

SBP Framework Standard 1: Feedstock Compliance Standard

www.sustainablebiomasspartnership.org



Version 1.0 March 2015

Documents included with this Standard:

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

For further information on the SBP Framework and to view the full set of documentation see www.sustainablebiomasspartnership.org

Document history

Version 1.0: published 26 March 2015

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List of abbreviations#

BP	Biomass Producer
CPET	Central Point of Expertise for Timber (run by DEFRA)
CB	Certification Body
CoC	Chain of Custody
CHP	Combined Heat and Power
CITES	Convention on International Trade in Endangered Species
DEFRA	UK Department for Environment, Food and Rural Affairs
DECC	UK Department of Energy and Climate Change
EUTR	European Union Timber Regulation
FM	Forest Management
FMS	Forest Management Scheme
FSC®	Forest Stewardship Council
GRI	Global Reporting Initiative
GGL	Green Gold Label
GHG	Greenhouse Gas
ILO	International Labour Organisation
LVS	Legality Verification Systems
LAV	Locally Applicable Verifiers
PPE	Personal Protective Equipment
PEFC	Programme for the Endorsement of Forest Certification
RRA	Regional Risk Assessment
RA	Risk Assessment
RSB	Roundtable on Sustainable Biomaterials
SVP	Supplier Verification Programme
SB	Supply Base
SBE	Supply Base Evaluation
SBR	Supply Base Report
SBP	Sustainable Biomass Partnership
SFI	Sustainable Forestry Initiative

1 Background

The Sustainable Biomass Partnership (SBP) 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 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 carbon stocks are managed and that forests' carbon sequestration capability is maintained.

Collectively, the six 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.

2 Scope

This document (SBP Standard 1. Feedstock Compliance Standard) sets out the principles, criteria and indicators to be met by participating Biomass Producers (BPs) as part of a Supply Base Evaluation (SBE). The requirements are applicable to woody feedstock used in the production of biomass including feedstock included in biomass and that used for drying during the production of biomass.

Feedstock shall not be sourced from large (>1000 ha) short rotation plantations that are fully dedicated to the production of biomass and that were established after 1 January 2015.

2.1 General principles

SBP aims to provide an effective and verifiable process that will assure end users that feedstock is legally and sustainably sourced. The Standard stipulates that a participating BP is the unit of certification for this standard and must implement these requirements.

Feedstock received with a claim from an SBP-approved Forest Management Scheme need not be evaluated against this Standard. Other SBP standards, including those relating to Chain of Custody (CoC) and the collection and communication of data are applicable. BPs do not normally manage all forested land from which they source feedstock. They must implement the systems specified here, and verify if feedstock is SBP-compliant.

The definitions of 'sustainable' and 'legal' in this Standard are adapted from the UK's Central Point of Expertise of Timber (CPET) www.cpet.org.uk "Category B evidence", supplemented with the sustainability requirements for solid biomass defined in the Netherlands. The UK Department of Energy and Climate Change (DECC), Timber Standard for Heat and Electricity, 2014 (henceforth 'the Timber Standard') was subsequently developed in recognition that "wood used for fuel is typically low value, and a significant proportion is expected to be sourced from forests in North America that are not yet certified". As such, the Timber Standard permits "a risk-based regional approach that uses credible information and evidence that addresses the CPET legality and sustainability criteria¹ at regional rather than individual forest level or land unit." This is the basis from which the SBP Standard has been developed.

2.2 Normative elements in this Standard

This Standard does not stipulate what evidence must be provided to demonstrate compliance with each indicator, as this will vary among different operations. The Standard does provide examples of the means of verification, that is to say, how evidence of compliance with each indicator might be demonstrated. These examples are illustrative and are not normative.

¹ UK DEFRA (2013) *Definition of Legal and Sustainable for Timber Procurement*, UK Department for Environmental and Rural Affairs, June, 2013

The Standard also provides guidance to aid understanding of requirements and, where appropriate, provides sources of evidence for compliance with the indicator. This guidance is not normative.

CBs will independently evaluate compliance of the BP against the normative indicators presented in this Standard.

2.3 The role of the Biomass Producer

The BP is the unit of certification for this standard. The BP will usually be an organisation that operates a facility such as a pellet mill, but can also be any organisation in the supply chain that takes legal ownership of feedstock or biomass. For example, with an in-forest chipping operation or where chips are delivered directly to a generator the chipping operator or the generator could assume the responsibilities of the BP. Similarly, a forest owners' cooperative could take on the responsibilities of the BP. These responsibilities include implementation of the management systems and completing the Supply Base Report (SBR) and if necessary the SBE.

2.4 Locally Applicable Verifiers

The Standard is applicable globally and does not define the specific means of verification which are appropriate to each BP in determining risk.

BPs must prepare Locally Applicable Verifiers (LAVs) by applying the SBP requirements in Instruction Note 1A.

2.5 Components of a Supply Base Evaluation

The SBE comprises both a Risk Assessment (RA) and a Supplier Verification Programme (SVP). This Standard, together with Standard 2, specifies the requirements for the evaluation.

The BP will need to develop systems and procedures to ensure that all indicators are low risk. Such systems may be devised by the BP or may build on existing systems examples of which include SFI Fiber Sourcing and Legality Verification Systems. Although not specified in this Standard, it is likely that such systems will include:

- A sampling plan for assessing forest operations within the Supply Base;
- Records of those assessments;
- Contractual requirements with suppliers;
- Mechanisms to rank performance and development of a list of “approved suppliers”;
- Monitoring and updating this information.

2.6 SBP-endorsed Regional Risk Assessments

Where there is demand SBP will consider endorsing a Regional Risk Assessment (RRA) where the RRA has been completed in compliance with SBP requirements for endorsement. An endorsed RRA shall replace the

requirement for the Risk Assessment (RA) component of the SBE for the region covered by the endorsed RRA.

2.7 Evidence appropriate to the scale of the operation

The evidence must demonstrate compliance with the requirements of this Standard. The means of verification must be appropriate to the scale, intensity and level of risk associated with the SB.

3 Normative references

SBP Standard 2: Verification of SBP-compliant feedstock

SBP Standard 3: Certification Systems: Requirements for Certification Bodies

SBP Standard 4: Chain of Custody

SBP Standard 5: Collection and Communication of Data

SBP Standard 6: Energy and Carbon Balance Calculation

4 Glossary of terms and definitions

Please refer to separate *SBP Glossary of Terms and Definitions* document.

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 (CPET² 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.

² UK's Central Point of Expertise of Timber (CPET) www.cpet.org.uk

6 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
1.2.1	<p>The BP has implemented appropriate control systems and procedures to ensure that legality of ownership and land use can be demonstrated for the Supply Base.</p> <p>Examples of means of verification:</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 	<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>

- 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

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
1.3.1	<p>The BP has implemented appropriate control systems and procedures to ensure that feedstock is legally harvested and supplied and is in compliance with EUTR legality requirements.</p> <p>Examples of means of verification:</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 <p>Reference sources include:</p> <ul style="list-style-type: none"> • UK Department of Energy and Climate Change (DECC), Timber Standard for Heat and Electricity, 2014 • Reference: Article 2 of the EU Timber Regulation (EUTR). <i>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</i> (OJ L 295, 12.11.2010, p.23) <p>Risks of non-compliance are greater in areas with high levels of corruption relating to the granting of harvesting permits and</p>

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:</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
1.5.1	<p>The BP has implemented appropriate control systems and procedures to verify that feedstock is supplied in compliance with the requirements of CITES.</p> <p>Examples of means of verification:</p> <ul style="list-style-type: none"> • List of species purchased by BP • 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 is not sourced from areas where there are violations of traditional or civil rights.</p> <p>Examples of means of verification:</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.hcvnetwork.org/ • IUCN http://www.iucnredlist.org/ • 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 http://www.natureserve.org/ • The Global Forestry Risk Register http://www.globalforestryregistry.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.</p> <p>Examples of means of verification:</p> <ul style="list-style-type: none"> • Maps • Guidance provided by BPs to suppliers/forest operators, regarding threats to the identified forests and areas with high conservation values, and verification of conformance through field inspections 	<p>The potential impacts of management activities on forests and other areas with high conservation values and biodiversity should be evaluated, and BPs should have systems in place to verify that mitigation measures are implemented in the field.</p> <p>Forests and other areas with high conservation values include those habitats in which protected and endangered plant and animal species are found.</p> <p>There is communication with suppliers/forest operators, and they are provided with records of meetings, talks, workshops, etc.</p>

<ul style="list-style-type: none"> • Regional Best Management Practices • Standard Operating Procedures • Codes of Practice • Records of BPs' field inspections • Monitoring records • Interviews with staff • Publicly available information on the protection of the values identified • 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 	<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 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.globalforestryregistry.org/
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<p>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.</p> <p>Examples of means of verification:</p> <ul style="list-style-type: none"> • 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 	<p>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</p> <p>Sources of information include:</p> <ul style="list-style-type: none"> • http://www.fao.org/docrep/007/ae347e/ae347e02.htm • Global Forest Watch http://www.globalforestwatch.org/
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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
<p>2.2.1</p>	<p>The BP has implemented appropriate control systems and procedures to verify that feedstock is sourced from forests where there is appropriate 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 	<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>

	<ul style="list-style-type: none"> • Level of enforcement • Regional, publicly available data from a credible third party • The existence of a strong legal framework in the region 	<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>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 is sourced from forests where management maintains or improves soil quality (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 • 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 • Assessment at an operational level of measures designed to minimise impacts on the values identified • Monitoring records 	<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> <p>Impacts include those originating in the area of operation, but which may affect areas downstream or external to the area of operation.</p>

	<ul style="list-style-type: none"> • 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>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 • Regional, publicly available data from a credible third party • The existence of a strong legal framework in the region 	<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 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>

<p>2.2.9</p>	<p>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)
<p>Criterion 2.3: Management of the forest ensures that productivity is maintained (CPET S6; S6a; S6e)</p>		
<p>Reference</p>	<p>Indicator</p>	<p>Guidance</p>
<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 • Training course curricula • Records of BPs' field inspections • Training records • Interviews with staff • Training plans, training records, and records of qualifications 	<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>
<p>2.3.3</p>	<p>Analysis shows that feedstock harvesting and biomass production positively contribute to the local economy, including employment.</p> <p>Examples of means of verification:</p>	<p>Contributions to the local economy from feedstock harvesting and biomass production should be evaluated for positive and negative impacts.</p>

<ul style="list-style-type: none"> • Analysis of contribution to the local economy • Description of: <ul style="list-style-type: none"> ○ 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. 	<p>These should be calculated on the basis of economic performance indicators EC1, EC6, and EC7 of Global Reporting Initiative (GRI)</p> <p>Reference sources include:</p> <ul style="list-style-type: none"> • GRI (2013) G4 Sustainability Reporting Guidelines, Part 2: Implementation Manual. Global Reporting Initiative, p266 <p>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.</p> <p>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.</p>
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Criterion 2.4: Management of the forest ensures that forest ecosystem health and vitality is maintained (CPET S7)

Reference	Indicator	Guidance
2.4.1	<p>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).</p> <p>Examples of means of verification:</p> <ul style="list-style-type: none"> • 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 	<p>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.</p> <p>Relevant ecological functions and values may include:</p> <ul style="list-style-type: none"> • Forest regeneration and succession • Genetic, species and community diversity • Natural cycles affecting productivity of the forest ecosystem <p>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:</p> <ul style="list-style-type: none"> • Erosion control • Flood control • Adequate access for recreation, where possible.

	<p>There should be ongoing maintenance and improvement for other forest services provided, such as access for recreation.</p>
<p>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).</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 • Regional, publicly available data from a credible third party • The existence of a strong legal framework in the region 	<p>Appropriate management of such situations will depend upon the forest type, management objectives and local best practice and guidance.</p> <p>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.</p> <p>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.</p> <p>Control systems and procedures should, define appropriate management practice for the particular forest type and region.</p>
<p>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).</p> <p>Examples of means of verification:</p> <ul style="list-style-type: none"> • Maps • Records of BPs' field inspections • Monitoring records • Interviews with staff • Interviews with stakeholders • Publicly available information 	<p>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.</p> <p>Where illegal/unauthorised activities are detected, appropriate action should be taken.</p> <p>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.</p>

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

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>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>In this Standard the term “forest workers” includes contractors.</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>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.saintl.org/index.cfm?fuseaction=Page.ViewPage&PageID=937
2.7.2	<p>The BP has implemented appropriate control systems and procedures for</p>	<p>‘Compulsory labour’ is defined as “All work or service that a person has not offered to do</p>

	<p>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>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</p>	<p>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 • Interviews with staff 	<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 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</p>	<p>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 	<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

	<ul style="list-style-type: none"> • Company policies indicating that the requirements are met 	
2.7.5	<p>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.sai-intl.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	<p>The BP has implemented appropriate control systems and procedures for verifying that appropriate safeguards are put in place to protect the health and safety of forest workers (CPET S12).</p> <p>Examples of means of verification:</p> <ul style="list-style-type: none"> • 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 	<p>Appropriate safeguards include the requirement to identify risks, to provide appropriate training courses, and to provide appropriate Personal Protective Equipment (PPE).</p>

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

Reference	Indicator	Guidance
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<p>2.9.1</p>	<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
<p>2.9.2</p>	<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 • Awareness of pressures or opportunities from outside the supply area • Recognition that there may be periods of transition requiring management • Regular review <p>Where there is a direct land use change, the carbon emissions associated with this may need to be calculated.</p> <p>Sources of information include:</p> <ul style="list-style-type: none"> • 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

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.