

**NATIONAL VOLUNTARY FOREST CERTIFICATION SYSTEM STANDARD**

---

**SUSTAINABLE FOREST MANAGEMENT. GENERAL  
PROVISIONS  
(Third edition)**



**Association National Voluntary Forest Certification System**  
5, Starokozacka Str, 44049 Dnipro, Ukraine  
tel. +380975565335  
Email: [info@pefcukraine.com](mailto:info@pefcukraine.com)  
Website: [www.woodcertification.com.ua](http://www.woodcertification.com.ua)

### Copyright Notice

© Association National Voluntary Forest Certification System

This document of Association National Voluntary Forest Certification System is copyright-protected. The document is freely available from the Association National Voluntary Forest Certification System website or upon request.

No part of the document covered by the copyright may be changed or amended. It must not be reproduced or copied in any form or by any means for commercial purposes without the permission of Association National Voluntary Forest Certification System.

The official versions of the document are Ukrainian and English, completely authentic in content. In case of any doubt about the language interpretation, the English version is decisive.

**Name of the Document:** Sustainable Forest Management. General provisions

**Title of the Document:** UA SFM ST 02:2020 (Third edition)

**First edition approved by:** Council of the Association National Voluntary Forest Certification System **Date:** 24.06.2020

**Second edition approved by:** Council of the Association National Voluntary Forest Certification System **Date:** 25.02.2021

**Third edition approved by:** Council of the Association National Voluntary Forest Certification System **Date:** 28.11.2022

**Published on:** 26.12.2022

**Entry into force:** 26.12.2022

**Review Date:** not later than 23.06.2025

## Contents

Introduction.....	IV
1 Scope .....	1
2 Normative references .....	1
3 Terms and Definitions .....	2
4 Context of the national standard and the Organisations applying a PEFC endorsed standard .....	10
5 Leadership.....	12
6 Planning .....	12
7 Support.....	15
8 Operation.....	17
8.1 Criterion 1: Maintenance or appropriate enhancement of forest resources and their contribution to the global carbon cycle.....	17
8.2 Criterion 2: Maintenance of forest ecosystem health and vitality .....	19
8.3 Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood). .....	23
8.4 Criterion 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems .....	24
8.5 Criterion 5: Maintenance or appropriate enhancement of protective functions in forest management (notably soil and water) .....	29
8.6 Criterion 6: Maintenance or appropriate enhancement of socio-economic functions and conditions .....	30
9 Performance evaluation.....	32
10 Improvement .....	33
Annex A. Fundamental ILO conventions ratified by Ukraine .....	35
Annex B. Monitoring of processes related to sustainable forest management .....	36
Bibliography.....	39

## **Introduction**

Standard UA SFM ST 02 Sustainable forest management. General provisions was developed by Stakeholder Working Group on forest management standard development based on PEFC ST 1003, Sustainable Forest Management – Requirements and contains all its mandatory basic requirements, except the requirements for forest plantations and trees outside the forest.

According to the decision of the standardising body - the Association National System of Voluntary Forest Certification, special requirements for these categories of timber logging sources are not developed for the territory of Ukraine. The developed standard contains only restrictive requirements for forest plantations located within forest areas.

In the future, when the results of standard effect monitoring will reveal their relevance, they can be developed and included in this standard in accordance with the procedures for its revision, or allocated to the separate standard.

The requirements of this standard are applied to Organisations - applicants for certification as the criteria for the assessment by certification bodies and can be considered as a guide for the wide range of stakeholders in maintaining sustainable forest management in Ukraine.

The requirements of this standard are harmonized with the Forest Code of Ukraine and don't contradict other laws and regulations of Ukraine.

The second edition from the date of publication canceled and replaced the first edition UA SFM ST 02. The second edition had minor technical amendments related to PEFC Endorsement process of National Voluntary Forest Certification System.

The third edition from the date of its publication cancels and replaces the second edition of UA SFM ST 02. The third edition contains changes and additions made on the basis of the procedure for time-critical revision of the standard, which relate to changes in national laws and regulations affecting compliance with PEFC International requirements.

## **1 Scope**

1.1 The standard establishes the basic provisions of sustainable forest management, intended to the ensuring of high productivity and stability of forests, conservation and restoration of forest biodiversity, minimization or elimination of negative effects of forestry production on the environment, sustainable forest use, economic efficiency of forestry production, its social function.

1.2 The standard is intended to be used by legal entities (their branches, representative offices, departments or other separate units) and / or private individuals engaged in forest management and / or forest use. The standard requirements are also applicable for economic entities that render services (perform work) in forestry. The standard requirements cover all necessary processes aimed at the achieving of sustainable forest use, all types of products and services.

## **2 Normative references**

2.1 This Standard contains references to the following documents:

- ILO No. 87, Freedom of Association and Protection of the Right to Organise Convention, 1948;
- ILO No. 29, Forced Labour Convention, 1930;
- ILO No. 98, Right to Organise and Collective Bargaining Convention, 1949;
- ILO No. 100, Equal Remuneration Convention, 1951;
- ILO No. 105, Abolition of Forced Labour Convention, 1957;
- ILO No. 111, Discrimination (Employment and Occupation) Convention, 1958;
- ILO No. 138, Minimum Age Convention, 1973;
- ILO No. 182, Worst Forms of Child Labour Convention, 1999;
- ISO/IEC 17021-1, Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements;
- United Nations, Universal Declaration of Human Rights, 1948;
- Stockholm Convention on Persistent Organic Pollutants, 1998;
- PEFC ST 1001, Standard Setting – Requirements;
- PEFC ST 1002, Group Forest Management Certification – Requirements;
- PEFC GD 1007, Endorsement and Mutual Recognition of National Systems and their Revision;
- PEFC ST 2002, Chain of Custody of Forest Based Products – Requirements;
- ISO Guide 2, Standardization and related activities — General vocabulary;
- PEFC ST 1003: 2018 Sustainable Forest Management – Requirements;
- Forest Code of Ukraine.

### **3 Terms and Definitions**

For the purposes of this standard, the relevant terms and definitions given in ISO / IEC Guide 2, as well as the following definitions, are used:

#### **3.1 Affected stakeholder**

A stakeholder who might experience a direct change in living and / or working conditions caused by implementation of a standard, or a stakeholder who might be a user of a standard and therefore is subject to the requirements of the standard.

Note 1: Affected stakeholders include local communities, employees of the Organisation and service providers (contractors), adjacent land users registered in local communities, local processors of forest products, etc. (the list is not exhaustive). However, having an interest in the subject matter of the standard (e.g. NGOs, scientific community, civil society) is not equal to being affected.

Note 2: A stakeholder who might be a user of the standard is likely to become a certified entity, e.g. a forest manager in the case of a forest management standard, or a wood processing enterprise in the case of a chain of custody standard.

#### **3.2 Afforestation**

Establishment of forest through planting and / or deliberate seeding or natural expansion of forest on land that, until then, was under a different land use, implies a transformation of land use from non-forest to forest (source: based on FAO 2018).

#### **3.3 Artificially established forest**

Forest stands established by planting of seedlings, saplings, cuttings of trees and shrubs or by sowing of their seeds (National Standard of Ukraine DSTU 2980).

#### **3.4 Biological control agents**

Living organisms used to eliminate or regulate the population of pests and diseases (Source: World Conservation Union (IUCN)).

#### **3.5 Biological diversity**

The variability among living organisms from all sources including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are a part; this includes diversity within species, between species and of ecosystems (Source: Convention on Biological Diversity 1992, Article 2).

#### **3.6 Certified area**

The forest area covered by a sustainable forest management system according to the Standard UA SFM ST 02 Sustainable forest management. General provisions.

### **3.7 Connectivity**

A measure of how connected or spatially continuous a corridor, network, body of water or matrix is. The fewer gaps, the higher the connectivity. Connectivity refers to how connected an area is for a process, such as an animal moving through different types of landscape elements or bodies of water. (Source: Based on R. Forman. 1995. Land Mosaics. The Ecology of Landscapes and Regions. Cambridge University Press, 632 pp.).

### **3.8 Degraded forest**

Land with long-term significant reduction of the overall potential to supply benefits from the forest, which includes carbon storage, wood, biodiversity and other goods and services (definition based on FAO 2003).

### **3.9 Ecologically important forest areas**

Forest areas

- a) Containing protected, rare, sensitive or representative forest ecosystems;
- b) Containing significant concentrations of endemic species and habitats of threatened species, as defined in recognised reference lists;
- c) Containing endangered or protected genetic in situ resources;
- d) Contributing to globally, regionally and nationally significant large landscapes with natural distribution and abundance of naturally occurring species.

Note: In Ukraine these are forest areas:

- a) Containing protected, rare, sensitive or representative forest ecosystems that are objects of conservation in their natural state within the territories and objects of the Natural Conservation Fund (according to the Law of Ukraine "On the Nature Conservation Fund of Ukraine");
- b) Containing significant concentrations of endemic and endangered species listed in the Red Book of Ukraine and their habitats (according to the Law of Ukraine "On the Red Book of Ukraine");
- c) Containing endangered or protected in situ genetic resources - genetic reserves (according to "Guidelines for Forest Seed Breeding");
- d) Contributing to globally, regionally and nationally significant large landscapes with natural distribution and abundance of naturally occurring species - primary forests, quasi-primary forests, natural forests (according to the Law of Ukraine "On the Amendments to Certain Legislative Acts of Ukraine Concerning the Conservation of Virgin Forests in Accordance with the Framework Convention on the Protection and Sustainable Development of the Carpathians");
- e) which are Emerald Network areas, habitats in need of special conservation measures in accordance with Resolution 4, as well as habitats of species listed in the annexes to the Convention on the Conservation of European Wildlife and Natural Habitats (according to the Law of Ukraine "On the Accession of Ukraine to the 1979 Convention on the Conservation of European Wildlife and Natural Habitats);

f) Containing significant concentrations of species included in the regional (oblast) lists of plant and animal species subject to special conservation in these regions (oblasts ) (according to the Laws of Ukraine "On Fauna" and "On Flora");

g) which are the especially protective forest sites with a regime of limited forest use (according to "The Order of the Division of the Forests on Categories and Allocation of Especially Protective Forest Sites").

### **3.10 Ecosystem**

A dynamic complex of plant, animal and micro-organism communities and their non-living environment interacting as a functional unit (Source: The Convention on Biological Diversity, 1992).

### **3.11 Ecosystem functions**

Inherent characteristics of an ecosystem in relation to a set of conditions and processes by which an ecosystem maintains its own integrity (such as primary productivity, food chain, biogeochemical cycles). Ecosystem functions include processes such as destruction, production, nutrient cycling, nutrient and energy flows. (Source: based on R. Hassan, R. Scholes and N. Ash. 2005. Ecosystems and Human Well-being: Synthesis. The Millennium Ecosystem Assessment Series. Island Press, Washington DC; and R.F. Noss. 1990. Indicators for monitoring biodiversity: a hierarchical approach. Conservation Biology 4(4):355–364

### **3.12 Ecosystem services**

Benefits obtained from ecosystems. These include:

- provisioning services such as food, water, timber, fibre, fuel, genetic resources etc.;
- regulating services that affect climate and macroclimate (incl. affects the productivity of crops), protection against floods and other natural disasters, disease control, absorption of human waste, water and air purification, pest control;
- cultural services that provide enrichment of cultural, spiritual and aesthetic aspects of human well-being: emotions from communication with nature, sense of terrain, environment for the formation of lifestyle, customs and traditions;
- supporting services that provide the existence of ecosystems: soil formation, primary productivity, basic biogeochemical processes (nutrient cycle, photosynthesis), environmental conditions.

(Source: Based on R. Hassan, R. Scholes and N. Ash. 2005. Ecosystems and Human Well-being: Synthesis. The Millennium Ecosystem Assessment Series. Island Press, Washington DC, <https://www.millenniumassessment.org/documents/document.300.aspx.pdf>).



### **3.13 Forest**

Minimum area of land of 0.1 hectares with tree crown cover (or equivalent stocking level) of more than 30 per cent with trees with the potential to reach a minimum height of 2 metres at maturity in situ. A forest may consist either of closed forest formations where trees of various storeys and undergrowth cover a high proportion of the ground or open forest. Young natural stands and all plantations which have yet to reach a crown density of 30 per cent or tree height of 2 metres are included under forest, as are areas normally forming part of the forest area which are temporarily unstocked as a result of human intervention such as harvesting or natural causes but which are expected to revert to forest (source: United Nations 2002).

### **3.14 Forest categories**

There are 4 categories of forests according to their ecological and socio-economic significance:

- 1) protective forests (perform mainly water protection, soil protection and other protective functions);
- 2) recreational and health forests (perform mainly recreational, sanitary, hygienic and health functions);
- 3) forests for environmental protection, scientific, historical and cultural purposes (perform special environmental, aesthetic, scientific functions, etc.);
- 4) exploitation forests.

(Source: Based on Forest Code of Ukraine, <https://zakon.rada.gov.ua/laws/show/3852-12>).

### **3.15 Forest conversion**

Change of designated purpose of forest plots, or replacement of natural and semi-natural forests for non-forest lands or forest plantations.

Note: Regeneration by planting or direct seeding and/or the human-induced promotion of natural seed sources, to the same dominant species as was harvested or other species that were present in the historical species mix is not considered a conversion.

### **3.16 Forest inventory period**

The period for which the management plan is developed; usually covers a period of 10 years.

### **3.17 Forest Management**

Purposeful influence of the Organisation on the regeneration and development of forest ecosystems and their functions.

### **3.18 Forest Management Unit (FMU)**

An area with clearly defined boundaries, on all or part of which there is forest or TOF and which is managed according to a unified management plan.

Note 1: A unified management plan can be developed for a legal entity or its branches, representative offices, departments and other separate units, as well as for private individuals.

Note 2: One legal entity may have one or more Forest Management Units.

### **3.19 Forest plantation**

Forest of introduced species, and in some cases native species, established through planting or seeding, mainly for production of wood or non-wood goods and services.

Note 1: Includes all stands of introduced species established for production of wood or non-wood goods and services.

Note 2: May include areas of native species characterised by few species, intensive land preparation (e.g. cultivation), straight tree lines and/or even-aged stands.

Note 3: For Ukraine forest plantation is the land plot with artificially established stands of fast-growing and / or technically valuable forest species (including introduced ones) to obtain valuable wood assortments, timber for energy production, raw materials for wickerwork and other products.

The purpose of plantations is to reduce the time of timber growing , improve its quality and increase timber stock per unit of area, which is achieved by using intensive methods depending on the type of product (pre-planting tillage with fertilizers, disease and pest control, thinning , fertilizer application, etc.) and the selection of certain species.

### **3.20 Fundamental ILO conventions**

Eight conventions (ILO 29, 87, 98, 100, 105, 111, 138 and 182) identified by the ILO's Governing Body as "fundamental" in terms of principles and rights at work: freedom of association and the effective recognition of the right to collective bargaining; the elimination of all forms of forced or compulsory labour; the effective abolition of child labour; and the elimination of discrimination in respect of employment and occupation.

### **3.21 Genetically modified trees**

Trees in which the genetic material has been altered in a way that does not occur naturally by mating and/or natural recombination, taking into account applicable legislation providing a specific definition of genetically modified organisms.

Note 1: The following techniques are considered as genetic modification resulting in genetically modified trees (EU Directive 2001/18/EC):

1) recombinant nucleic acid techniques involving the formation of new combinations of genetic material by the insertion of nucleic acid molecules produced by whatever means outside an organism, into any virus, bacterial plasmid or other vector system and their incorporation into a host organism in which they do not naturally occur, but in which they are capable of continued propagation;

2) techniques involving the direct introduction into an organism of heritable material prepared outside the organism including micro-injection, macro-injection, and micro-encapsulation;

3) cell fusion (including protoplast fusion) or hybridisation techniques where live cells with new combinations of heritable genetic material are formed through the fusion of two or more cells by means of methods that do not occur naturally.

Note 2: The following techniques are not considered as genetic modification resulting in genetically modified trees (EU Directive 2001/18/EC):

1) in vitro fertilisation;

2) natural processes such as: conjugation, transduction, transformation;

3) polyploidy induction.

### **3.22 Greenhouse gases**

Gases in the planet's atmosphere that are able to absorb thermal radiation from the planet's surface and clouds (infrared radiation) and reflect it back, further warming the planet's atmosphere.

### **3.23 Integrated Pest Management**

The careful consideration of all available pest control techniques and subsequent integration of appropriate measures that discourage the development of pest populations and keep pesticides and other interventions to levels that are economically justified and reduce or minimise risks to human health and the environment (source: FAO 2018).

### **3.24 Introduced species**

A species occurring in an area outside of its historically known natural range as a result of intentional or accidental dispersal by human activities. Also known as alien species.

(Source: [http://iufro-archive.boku.ac.at/iufro/silvavoc/glossary/29\\_0en.html](http://iufro-archive.boku.ac.at/iufro/silvavoc/glossary/29_0en.html))

### **3.25 Landscape**

A socio-ecological system that consists of a mosaic of natural and/or human-modified ecosystems, with a characteristic configuration of topography, vegetation, land use, and settlements that is influenced by the ecological, historical, economic and cultural processes and activities of the area (source: Scherr et al. 2013)

### **3.26 Landscape diversity**

The formal expression of the numerous relations existing in a given period between the individual or a society and a topographically defined territory, the appearance of which is the result of the action, over time, of natural and human factors

and a combination of both (Source: Council of Europe Draft Recommendation on the Integrated Conservation of Cultural Landscape Areas as part of Landscape Policies. Pan-European Biological and Landscape Diversity Strategy. <https://www.cbd.int/doc/nbsap/rbsap/peblids-rbsap.pdf>)

### **3.27 Management**

The process of planning, organizing, implementing and controlling the Organisation in order to achieve coordination of human, financial, natural and technological resources necessary for the effective performance of tasks.

### **3.28 Management plan**

Documented information specifying objectives, actions and control arrangements concerning the management of ecosystem resources and services for a set period of time.

Note 1: Forest inventory and management planning materials are the integral (but not the only) part of the management plan, mandatory for forest management, strategic planning and forecasting the use of forest resources.

Note 2: The components of the management plan are also tactical (annual production and financial) and operational (quarterly, monthly) plans.

### **3.29 Management system**

Set of interrelated or interacting elements of an Organisation to establish policies and objectives and processes to achieve those objectives.

### **3.30 Manager**

Person who directs and controls an Organisation.

Note: A manager may also be a person executing her or his ownership rights or traditional or customary tenure rights.

### **3.31 Monitoring**

The process of regular data collection and registration with subsequent analysis and forecast of changes in indicators for management decisions.

### **3.32 Non-forest ecosystem**

Land not meeting the definition of forest.

### **3.33 Non-forest lands**

Areas occupied by agricultural lands, waters and swamps, buildings, communications, unproductive lands, etc., which are provided according to the established procedure to the Organisation for permanent use and are used for forestry

purposes. (Source: Based on Forest Code of Ukraine, <https://zakon.rada.gov.ua/laws/show/3852-12>).

### **3.34 Non-wood forest products**

Products consisting of goods of biological origin other than wood, derived from forests and Trees outside Forests (source: following FAO 2017).

### **3.35 Objectiv**

The result to be achieved.

Note 1. The objective can be strategic, tactical or operational.

Note 2. Objectives can relate to different disciplines (such as financial, health and safety, and environmental objectives) and can apply at different levels (such as strategic, Organisation-wide, project, product and process. (ISO 9000:2015).

### **3.36 Organisation**

Person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its objectives (ISO 9000:2015).

Note 1: An Organisation applies for PEFC certification and is responsible for the compliance with PEFC sustainable forest management requirements and can be responsible for several forest management units.

Note 2: A manager or owner can also take the role of an Organisation.

### **3.37 Policy**

Intentions and direction of an Organisation as formally expressed by its top management (ISO 9000:2015).

### **3.38 Reforestation**

Re-establishment of forest through planting and/or deliberate seeding or natural regeneration on land classified as forest (source: Based on FAO 2018).

### **3.39 Sensitive natural resource features**

Elements of natural resources that can degrade or disappear due to uncontrolled exploitation or excessive recreational activities.

### **3.40 Stakeholder**

A person, group, community or Organisation with an interest in the subject of the standard.

### **3.41 Standardising body**

Body that has recognised activities in standardisation.

Note: A standardising body for a forest management certification system/standard is a body which is responsible for the development and maintenance of standards for the forest certification system. In the context of this standard, the National Governing Body - the Association "National System of Voluntary Forest Certification" acts as the standardization body.

### **3.42 Strategy**

Plan to achieve a long-term or overall objective (ISO 9000:2015).

### **3.43 Strategic plan**

A document or set of interrelated documents that defines resource-agreed goals, priorities, and expected outcomes.

Note: The strategic planning of a forestry enterprise is based on forest inventory and management planning materials.

### **3.44 Trees outside Forests (TOF)**

Trees growing outside areas of nationally designated forest land. Such areas will normally be classified as "agriculture" or "settlement".

## **4 Context of the national standard and the Organisations applying a PEFC endorsed standard**

### **4.1 General**

4.1.1 The general requirements for sustainable forest management defined in this standard relate to:

a) management and performance requirements that are applicable at the forest management unit level, or at another level as appropriate, to ensure that the intent of all requirements is achieved at the forest management unit (FMU) level;

Note: An example of a situation where a requirement can be defined as being at another level (e.g. group/regional) is monitoring of forest health. Due to monitoring of forest health at regional level, and communicating of results at the FMU level, the objective of the requirement is met without the necessity to carry out the individual monitoring of each forest management unit.

b) activities of all entities operating in the defined forest area who have an impact on achieving compliance with the requirements.

### **4.1.2 The using of PEFC claims**

a) Forest user / seller, who has PEFC recognised certificate in conformity of this Standard shall use claim "100% PEFC certified", as claim to communicate the origin of products from sustainable forest management to customers with a PEFC chain of custody.

Note: Translations into languages other than English of System claim "100% PEFC certified" according to these Standard requirements, are published online on the PEFC website [www.pefc.org](http://www.pefc.org).

b) only that forest user / seller who has a PEFC-recognized certificate of compliance with the requirements of this Standard, i.e. PEFC-certificate of the forest management system may use PEFC claims;

Note: An example would be the situation when the certificate holder products are sold by non-certified enterprise. In this case, this non-certified enterprise cannot claim that these products are "100% PEFC certified".

c) The holder of PEFC forest management certificate has right to make the informational statements regarding the promotion of its PEFC-certified products / services;

d) where certificate holder are selling products from areas other than covered by the standard, only products from areas covered by this Standard are sold with the claim "100% PEFC-certified";

Note: An example would be the situation when a certificate holder purchases products from non-certified suppliers for processing or resale. In this case, the certificate holder cannot use the claim "100% PEFC certified" when selling this particular product

#### 4.1.3. Handling of PEFC certified product:

a) products sold as PEFC-certified shall be accounted by the Organisation separately from non-certified products;

b) The Organisation shall establish the correspondence between the trade names of all products within the scope of certification under this Standard and the PEFC product groups;

c) during the sale of products as PEFC-certified, the Organisation shall at least indicate in its shipping or sales documents the following information:

- name and contact details of the Organisation;
- information for customer identification - the client's name (USREOU code), except for sales to end users;
- date of the document issue;
- trade name of the product;
- number of products sold;
- PEFC certificate code of the Organisation;
- PEFC claim.

## **4.2 Understanding the needs and expectations of affected stakeholders**

The Organisation shall determine:

a) the affected stakeholders that are relevant to the sustainable forest management of the Organisation;

b) the relevant needs and expectations of these stakeholders;

c) the effective mechanism for communication with these stakeholders (See 7.3).

### **4.3 Determining the scope of the management system**

4.3.1 The Organisation shall determine the boundaries and applicability of the management system to establish its scope.

4.3.2 The forest management shall comprise the cycle of inventory and planning, implementation, monitoring and evaluation, and shall include an appropriate assessment of the social, environmental and economic impacts of forest management practices. This shall form a basis for a cycle of continuous improvement.

## **5 Leadership**

5.1 The Organisation shall provide a commitment:

- a) to comply with the sustainable forest management standard and other applicable requirements of the certification system;
- b) to continuously improve the sustainable forest management system.

5.2 Such commitment shall be made freely available to all stakeholders, at least on the Organisation's website and / or the Organisation's official social network page, and optionally in other media.

5.3 The responsibilities for sustainable forest management shall be clearly defined and assigned.

## **6 Planning**

### **6.1 Actions to address risks and opportunities**

6.1.1 The Organisation shall consider risks and opportunities concerning compliance with the requirements for sustainable forest management:

- a) external factors, in particular economic, socio-cultural, technological, institutional, natural and environmental;
- b) internal factors, in particular scientific and technical, financial and economic, personnel and natural resources.

6.1.2 The assessment of the quantitative and qualitative characteristics and mapping of forest resources shall be carried out and maintained to the extent appropriate to local and national conditions, as well as to the requirements specified in this Standard.

### **6.2 Management plan**

6.2.1 The management plans shall be:

- a) elaborated and periodically updated or continually adjusted;
- b) appropriate to the size and use of the forest area;



c) based on applicable legislation as well as existing land-use or other official plans;

d) adequately covering all kinds of forest resources.

6.2.2 The management plans shall take into account the different uses and functions of the managed forest area.

6.2.3 The management plans shall include at least a description of the current forest management unit, long-term objectives, and the average annual allowable cut, including its justification.

6.2.4 The annually allowable use of non-wood forest products shall be included in the management plan where forest management covers commercial use of non-wood forest products.

6.2.5 The management plans shall specify ways and means to minimise the risk of degradation and damage to forest ecosystems.

6.2.6 The management plans shall take into account the results of scientific research.

6.2.7 The summary of the management plan, appropriate to the scope and scale of forest management, shall be publicly available and shall include information on the general objectives and forest management principles.

Note: The publicly available summary of the management plan may exclude confidential business and personal information and other information made confidential by applicable legislation or for the protection of cultural sites or sensitive natural resource features.

## **6.3 Compliance requirements**

### **6.3.1 Legal compliance**

6.3.1.1 The Organisation shall identify and have access to the legislation applicable to its forest management and determine how these compliance obligations apply to the Organisation.

6.3.1.2 The Organisation shall comply with the requirements of current legislation on management issues, taking into account local (regional) conditions, including to:

- a) forest management practices;
- b) nature and environmental protection;
- c) protected and endangered species;
- d) property, tenure and land-use rights for local communities or other affected stakeholders;
- e) health, labour and safety issues;
- f) anti-corruption;
- g) the payment of applicable royalties and taxes.
- h) other legal requirements.

6.3.1.3 The Organisation shall develop measures to reduce the corruption risk in accordance with anti-corruption legislation.

6.3.1.4 The measures shall be implemented to address protection of the forest from unauthorised activities such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities.

### **6.3.2 Legal rights related to the forest land**

6.3.2.1 Property rights, land ownership and forest use rights shall be clearly defined, documented and established for the relevant forest management unit. Likewise, legal rights related to the forest land shall be clarified, recognised and respected.

6.3.2.2 The forest practices and operations shall be conducted in recognition of the established framework of legal rights. Where the extent of rights is not yet resolved, or is in dispute, there are processes for just and fair resolution. In such cases forest managers shall, in the interim, provide meaningful opportunities for parties to be engaged in forest management decisions whilst respecting the processes and roles and responsibilities laid out in the national policies and laws.

6.3.2.3 The forest practices and operations shall respect human rights as defined by the Universal Declaration on Human Rights.

### **6.3.3 Fundamental ILO conventions**

6.3.3.1 The forest practices and operations shall comply with fundamental ILO conventions.

### **6.3.4 Health, safety and working conditions**

#### *6.3.4.1 Labor protection management*

6.3.4.1.1 The Organisation shall provide the appropriate occupational health and safety management system for all employees engaged by the Organisation to perform the work, including service providers (contractors):

6.3.4.1.2 Forest management activities shall be planned, organized and implemented in such way as to identify risks to health hazards and occupational injuries.

6.3.4.1.3 The Organisation shall take all necessary measures to ensure the safe working conditions for employees.

6.3.4.1.4 Employees shall be informed about the risks associated with their work and about measures to avoid such risks.

#### *6.3.4.2 Training and control of the compliance on health and safety.*

6.3.4.2.1 The Organisation shall provide training and briefings on health and safety for all employee involved in forestry operations.

6.3.4.2.2 The Organisation shall provide the adequate control of the compliance on health and safety for all employees involved in forestry operations.

6.3.4.2.3 Organisations should study the capacity and shall oblige service

providers (contractors) to adhere occupational safety and health during the performing of forestry work.

#### **6.3.4.3 Working conditions**

6.3.4.3.1 The Organisation shall comply with the requirements for working hours and vacations in accordance with national law and in accordance with the concluded collective agreements.

6.3.4.3.2 Wages for both local workers and migrants, oblige service providers (contractors) and other workers involved in PEFC-certified areas shall meet at least the statutory branch minimum standards or exceed them (if any) under collective agreements.

6.3.4.4 The Organisation's employment policy shall provide for equal opportunities and non-discrimination, in particular on the basis of gender identity.

## **7 Support**

### **7.1 Resources**

7.1.1 The Organisation shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the sustainable forest management system.

7.1.2 The Organisation shall consider (take into account):

- a) opportunities and constraints related to its existing internal resources;
- b) resources that need to be attracted from the outside to achieve the stated objectives.

### **7.2 Competence**

Forest managers, employees, service providers (contractors) and forest owners shall be provided with sufficient information and kept up-to-date through continuous training in relation to sustainable forest management, as a precondition for all management planning and practices described in this Standard.

7.2.1.1 The Organisation shall determine the required level of competence of employees involved in the performance of work under its supervision.

7.2.1.2 The Organisation shall ensure the sufficient level of employees' competence.

7.2.1.3 The Organisation shall provide the opportunities to increase the employees' competence.

7.2.1.4 The Organisation shall bring the employees' competence under control.

7.2.2 The Organisation shall record and keep the appropriate evidence of employees' competence in accordance with the requirements of section 7.5.

### **7.3 Communication**

7.3.1 The Organisation shall provide the effective communication and consultation with and involvement of local communities and other stakeholders relating to sustainable forest management

7.3.2 The approved procedures of the Organisation for interaction with stakeholders shall reflect:

- a) issues involving stakeholders;
- b) criteria for involvement of stakeholders, taking into account the aspects of involvement;
- c) mechanisms for identifying and coordinating information exchange channels with stakeholders;
- d) criteria and mechanism for dissemination of information about the consultation results.

7.3.3 Stakeholder consultation processes shall be transparent.

### **7.4 Complaints**

7.4.1 The Organisation shall have the appropriate mechanisms for resolving complaints and disputes relating to forest management operations, land use rights and work conditions.

7.4.2 The Organisation shall make publicly available the existing mechanisms for resolving complaints and disputes related to forest management, land use rights and work conditions in the state language, and in other languages - at the discretion of the Organisation.

### **7.5 Documented Information**

7.5.1 The Organisation's management system shall include documented information required by this standard and determined by the Organisation as being necessary for the demonstrating the conformity to the standard and effectiveness of the sustainable forest management system.

7.5.2 The documented information shall be relevant, and updated as appropriate, to the activities of the Organisation.

7.5.3 The Organisation shall document at least the following aspects of its activities for the demonstrating the conformity to the standard:

- a) the process of forest management Organisation and planning;
- b) monitoring of the objects determined by the Organisation;
- c) the process of communication with stakeholders;
- d) social aspects, including labor protection issues;
- e) allocation of ecologically important areas.

## **8 Operation**

### **8.1 Criterion 1: Maintenance or appropriate enhancement of forest resources and their contribution to the global carbon cycle**

***8.1.1 Management of Organisation shall aim to maintain or increase of forests [area] and their ecosystem services and maintain or enhance the economic, ecological, cultural and social values of forest resources.***

8.1.1.1 Sites of clear cuttings shall be timely reforested according to the type of forest site conditions.

8.1.1.2 In the general structure of forest areas, the share of areas not covered by forest vegetation shall not increase or such increase shall be justified.

8.1.1.3 Forest management activities shall be planned and implemented taking into account forest categories to maximize the values of each category.

8.1.1.4 Within the territory of the Organisation and in adjacent territories, forest ecosystem services shall be identified and measures taken to maintain and improve them.

***8.1.2 Quantity and quality of the forest resources and the capacity of the forest to store and sequester carbon shall be safeguarded in the medium and long term by providing harvesting rates and growth rates (except in cases of emergencies related to natural disasters), using appropriate silvicultural measures and preferring techniques that minimize adverse impacts on forest resources.***

8.1.2.1 Annual allowable cut shall be established in terms of forest types and management sections, taking into account biological and productive maturity of the forest.

8.1.2.2 Timber harvesting volumes shall not exceed total average change in stock calculated for the forest inventory period, unless increase in harvesting is due to emergencies related to natural disasters.

8.1.2.3 Preference should be given to selective and gradual systems of cutting, taking into account forest vegetation conditions.

8.1.2.4 Natural and climatic conditions shall be considered when planning and conducting forest management activities.

***8.1.3 Forest management practices shall encourage green-house gas emission reductions and efficient use of resources.***

8.1.3.1 When planning of cuttings, which aim harvesting of commercial wood, it is necessary to take into account possibility of its prompt sale for efficient use of resources.

8.1.3.2 On all types of cutting appropriate logging technique shall be applied, which provides optimal amount of commercial wood with minimal impact on growing trees and other forest components.

8.1.3.3 Burning of logging residues can be carried out only in the cases when their remaining leads to deterioration of sanitary and fire resistance condition of forest, and if there is proper justification for doing this.

8.1.3.4 The Organisation shall implement and maintain an effective system of fire prevention measures to prevent and timely eliminate forest fires.

**8.1.4 Forest conversion shall not occur unless in justified circumstances where the conversion:**

a) is in compliance with national and regional policy and legislation applicable for land use and forest management and is a result of national or regional land-use planning governed by a governmental or other official authority including consultation with affected stakeholders; and

b) entails a small proportion (no greater than 5 %) of forest type within the certified area; and

c) does not have negative impacts on ecologically important forest areas, culturally and socially significant areas, or other protected areas; and

d) does not destroy areas of significantly high carbon stock; and

e) makes a contribution to long-term conservation, economic, and social benefits.

**8.1.5 Afforestation of ecologically important non-forest ecosystems shall not occur unless in justified circumstances where the conversion:**

a) is in compliance with national and regional policy and legislation applicable for land use and forest management and is a result of national or regional land-use planning governed by a governmental or other official authority; and

b) is established based on a decision-making basis where affected stakeholders have opportunities to contribute to the decision-making on conversion through transparent and participatory consultation processes; and

c) does not have negative impacts on threatened (including vulnerable, rare or endangered) non-forest ecosystems, culturally and socially significant areas, important habitats of threatened species or other protected areas; and

d) entails a small proportion of the ecologically important non-forest ecosystem managed by an Organisation; and

e) does not destroy areas of significantly high carbon stock; and

f) makes a contribution to long-term conservation, economic, and social benefits.

**8.1.6 If conversion of severely degraded forests to forest plantations is being considered, it must add economic, ecological, social and/or cultural value. Precondition of adding such value are circumstances where the conversion:**

- a) is in compliance with national and regional policy and legislation applicable for land use and forest management and is a result of national or regional land-use planning governed by a governmental or other official authority; and
- b) is established based on a decision-making basis where affected stakeholders have opportunities to contribute to the decision-making on conversion through transparent and participatory consultation processes; and
- c) has a positive impact on long-term carbon sequestration capacity of forest vegetation; and
- d) does not have negative impacts on ecologically important forest areas, culturally and socially significant areas, or other protected areas; and
- e) safeguards protective functions of forests for society and other regulating or supporting ecosystem services; and
- f) safeguards socio-economic functions of forests, including the recreational function and aesthetic values of forests and other cultural services; and
- g) has a land history providing evidence that the degradation is not the consequence of deliberate poor forest management practices; and
- h) is based on credible evidence demonstrating that the area is neither recovered nor in the process of recovery.

**8.2 Criterion 2: Maintenance of forest ecosystem health and vitality**

**8.2.1 Health and vitality of forest ecosystems shall be maintained or enhanced and degraded forest ecosystems shall be rehabilitated wherever and as far as economically feasible, by making best use of natural structures and processes and using preventive biological measures.**

8.2.1.1 Forest management in favorable forest conditions should be aimed at formation of mixed multi-layer stands of different ages.

8.2.1.2 Secondary forest stands should be gradually replaced by native forests, taking into account nature and climate changes.

8.2.1.3 Degraded forest areas shall be restored to their natural state, which existed until degradation had occurred.

8.2.1.4 Measures shall be taken to prevent and control improper hunting, non-timber harvesting and other inappropriate use of natural resources.

8.2.1.5 Control over cattle grazing and hay harvesting in legally prescribed forest areas shall be ensured in order to prevent their damage.

**8.2.2 Planning and implementation of management measures shall encourage or maintain adequate genetic, species and structural diversity to enhance the stability, vitality and resilience of the forests to adverse environment factors and strengthen natural regulation mechanisms.**

8.2.2.1 During forest management activities measures to preserve diversity of forest ecosystems shall be taken. In particular, during timber harvesting on the operational sites seed trees of main tree species, valuable and rare trees and shrubs should be remained. Certain elements of forest stands that are important for biodiversity conservation (including dead standing and fallen trees, doty, hollow trees, old-growth trees, etc.) should be left intact, if their remaining does not lead to deterioration of forest health and justified in terms of health and safety requirements.

8.2.2.2 Soil damage on the harvesting site in the presence of reliable undergrowth should not exceed 15% of the site.

8.2.2.3 Share of harvesting site with preserved undergrowth shall be at least 75% of the total area of the site on which the undergrowth has to be preserved.

8.2.2.4 During the works on dead and damaged wood removal in the conservation forest, a part of dead wood should be left intact.

**8.2.3 Use of fire shall be limited to regions where fire is an essential tool in forest management for wildfire protection and nature maintenance. In these cases adequate management and control measures shall be taken.**

**8.2.4 According with local nature condition an appropriate forest management practices such as reforestation and afforestation with tree species and provenances that are suited to the site conditions or the use of tending, harvesting and transport techniques that minimize tree and/or soil damages shall be applied.**

8.2.4.1 In silvicultural activity measures should be taken to promote natural regeneration of forests with consideration of forest site conditions.

8.2.4.2 During artificial reforestation, preference should be given to mixed forest stands with consideration of types of forest site conditions.

8.2.4.3 When exotic tree species are used for reforestation, documented professional assessment of the purpose and feasibility of their use shall be made, as well as assessment of potential negative impact on resilience of indigenous populations and environment in general, and ways of their elimination or mitigation by the system of measures (monitoring of the condition and development, prevention of spontaneous spread by special mechanical and / or chemical measures, restriction of use of the species in forest management, etc.).

8.2.4.4 Thinning and final cutting techniques as well as wood transportation methods should be aimed at minimizing damage to trees and shrubs and soil cover.



Note: In order to comply with the laws and regulations of Ukraine, in particular «The Rules of Final Timber Harvest», the Resolution of the Cabinet of Ministers «On Approval of the Rules of Final Timber Harvest in the Mountain Forests of the Carpathians» the term «RUBKA» is used in this standard. Its synonym, which also finds a place in the practice of forestry in Ukraine and can be used in the assessment in accordance with this standard, is the term «RUBANNYA».

**8.2.5 The Organisation shall strictly avoid indiscriminate disposal of waste on forest land. Non-organic waste and litter shall be collected, stored in designated areas and removed in an environmentally-responsible manner. The spillage of oil or fuel during forest management operations shall be prevented. Emergency procedures for the minimization of risk of environmental harm arising from the accidental spillage shall be in place.**

8.2.5.1 Use of forest lands for establishing legal landfills is not allowed without prior approved change of their management purpose.

8.2.5.2 Precautions shall be taken to prevent forest littering.

8.2.5.3 Garbage and inorganic waste collection facilities shall be available at the forest sites.

8.2.5.4 Inorganic waste shall be disposed of in an environmentally sound manner or recycled if possible.

8.2.5.5 Absorbents shall be provided at each operational site to prevent fuels and oils spillage into soil and/or water bodies and operators shall be adequately trained in their use.

**8.2.6 Integrated pest management, appropriate silviculture alternatives and/or other biological measures shall be preferred to minimize the use of pesticides.**

8.2.6.1 If pesticides use provides the same effect, alternative silvicultural or biological control methods should be preferred.

8.2.6.2 If pesticides are used, the Organisation shall develop a set of measures for their appropriate application.

8.2.6.3 For the most effect, the use of pesticides shall be carried out taking into account appropriate timing, seasonality and climatic conditions.

8.2.6.4 If pesticides are used in the forest, preventive informing of local people shall be done.

8.2.6.5 If biological control agents are used, their use shall be clearly monitored, documented and evaluated for adverse environmental effects.

**8.2.7 Any use of pesticides shall be documented and controlled.**

8.2.7.1 Regular documented monitoring of the list, amount, dosage, and timing of pesticide use shall be performed.

**8.2.8 WHO Class 1A and 1B pesticides and other highly toxic pesticides shall be prohibited, except where no other viable alternative is available. Any exception to the usage of WHO Class 1A and 1B pesticides are defined by this standard.**

8.2.8.1 The use of pesticides of type 1A and 1B by WHO is allowed in exceptional cases, if:

- there are no other alternative methods and tools;
- an expert justification was obtained for this purpose;
- the effect of their use outweighs the undesirable environmental or social consequences.

**8.2.9 Pesticides, such as chlorinated hydrocarbons whose derivatives remain biologically active and accumulate in the food chain beyond their intended use, and any pesticides banned by international agreement, shall be prohibited.**

Note: «Pesticides banned by international agreements» are defined in the Stockholm Convention on Persistent Organic Pollutants.

**8.2.10 Use of pesticides shall follow the instructions given by the pesticide producer and be implemented with proper approaches and personal protective equipment by trained personnel.**

8.2.10.1 All pesticides shall be used in accordance with instructions for their use or in accordance with best national practices.

8.2.10.2 If pesticides are used, special personal protective equipment shall be provided and applied taking into account the risk assessment.

8.2.10.3 All workers involved in pesticides use shall be trained accordingly.

8.2.10.4 All workers involved in pesticides use shall undergo periodic medical testing based on risk assessments.

**8.2.11 Where fertilizers are used, they shall be applied in a controlled manner and with due consideration for the environment. Fertilizer use shall not be an alternative to appropriate soil nutrient management.**

8.2.11.1 Fertilizers can be used only in plantations, on permanent forest seed plots, forest seed plantations, in nurseries and greenhouses and in the case of plantation cultivation of non-timber forest products.

8.2.11.2 If fertilizers are used, their types, amounts of application, frequency and place of application shall be documented.

8.2.11.3 If fertilizers are used, it is necessary to assess adverse environmental and social effects of their use.

### **8.3 Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood).**

***8.3.1 While planning and implementing management measures capability of forests to produce a range of wood and non-wood forest products and services on a sustainable basis shall be maintained.***

8.3.1.1 All planned economic activities shall have financial provision, be economically justified and environmentally and socially oriented.

8.3.1.2 Forestry and logging operations shall not lead to deterioration of water quality and protection function of forests.

***8.3.2 Sound economic performance shall be pursued, taking into account possibilities for new markets and economic activities in connection with all relevant goods and services of forests.***

8.3.2.1 Economic activity shall be focused on multiple uses of forest resources, which includes use of timber and non-timber forest products and recreational functions of forests.

8.3.2.2 Market conditions shall be taken into account when timber harvesting.

***8.3.3 Management measures, including harvesting and regeneration operations shall be carried out at a time, and in a way, that does not reduce the productive capacity of the site.***

8.3.3.1 First of all, it is necessary to take measures, the delay of which will lead to the loss of the forest's inherent functions.

***8.3.4 Harvesting levels of both wood and non-wood forest products shall not exceed a rate that can be sustained in the long term, and harvested products shall be effectively used.***

8.3.4.1 Basic forest inventory shall be carried out at least once every ten years.

8.3.4.2 Indicators of the total average stock change and actual volumes of timber harvesting shall be systematically analyzed and reported for comparison in order to ensure a sustainable level in the long term.

8.3.4.3 Volumes of harvesting of non-timber forest products with commercial purpose shall not exceed the established limits on special use of forest resources during implementation of secondary forest uses, approved in the prescribed manner.

***8.3.5 Adequate infrastructure such as roads, skid tracks or bridges shall be planned, established and maintained to ensure efficient delivery of goods and services while minimizing negative impacts on the environment.***

8.3.5.1 When constructing roads, skidding routes, bridges, timber loading areas, and other infrastructure, all requirements shall be met to prevent erosion and minimize adverse environmental impact.

#### **8.4 Criterion 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems**

***8.4.1 Management planning shall aim to maintain, conserve and enhance biodiversity on landscape, ecosystem, species and genetic levels.***

8.4.1.1 Management plans shall include materials on the conservation, maintenance and appropriate enhancement of biodiversity on landscape, ecosystem, species and genetic levels.

***8.4.2 Inventory, mapping and planning of forest resources shall identify, protect, conserve or set aside ecologically important forest areas; specific measures shall be planned for protection and / or conservation of these areas.***

Note: This does not prohibit forest management activities that do not damage the important ecologic values of those biotopes.

8.4.2.1 Management plans shall include data on existing ecologically important forest areas.

8.4.2.2 Ecologically important forest areas shall be marked on cartographic materials.

8.4.2.3 Management plans shall contain the lists of conservation measures and the lists of restrictions on the implementation of management activities for each identified ecologically important area.

8.4.2.4 The Organisation shall not establish plantations and use introduced tree and shrub species for reforestation within ecologically important forest areas.

***8.4.3 Protected, threatened and endangered plant and animal species shall not be exploited for commercial purposes. Where necessary, measures shall be taken for their protection and, where relevant, to increase their population.***

Note: The requirement does not preclude trade according to CITES requirements.

8.4.3.1 The Organisation shall not use for commercial purposes and trade in plant and animal species listed in the CITES Appendices, protected or threatened species and endangered species.

8.4.3.2 The Organisation shall have the list of habitats of protected and endangered species of plants and animals within the forestry area of the Organisation.

8.4.3.3 Protected zones of the habitats of protected plant and animal species threatened species and endangered species shall be marked on the cartographic materials of the Organisation.

8.4.3.4 During the planning and implementing of management activities, the Organisation shall take into account the existing habitats of protected plant and animal species, threatened and endangered species.

8.4.3.5 The Organisation, with the involvement of stakeholders and experts, shall develop the effective measures on habitat conservation for protected species and threatened species and endangered species within the Organisation's area and ensure that these measures are properly implemented in practice.

8.4.3.6 The Organisation shall take measures to prevent illegal hunting, as well as the trapping and collection of protected species, threatened species and endangered species.

***8.4.4 The successful regeneration shall be ensured through natural regeneration or planting that is adequate to ensure the quantity and quality of the forest resources.***

8.4.4.1 Management plans shall contain the planned quantities of reforestation works and methods of their implementation (natural regeneration or artificial reforestation), sufficient to ensure the quantity and quality of forests.

8.4.4.2 The Organisation shall ensure the successful reforestation to the required extent by the specified time.

8.4.4.3 Natural regeneration shall be preferred for regeneration compared to artificial reforestation, (unless forest site conditions don't contribute to the natural regeneration of forests).

***8.4.5 Native species that are well-adapted to site conditions shall be preferred for reforestation and afforestation. Only those introduced species, provenances or varieties shall be used whose impacts on the ecosystem and on the genetic integrity of native species and local provenances have been scientifically evaluated, and if negative impacts can be avoided or minimised.***

***Limited use of introduced species to assess their impact is possible only under the guidance and control of research institutions.***

Note: CBD (Convention on Biological Diversity) Guiding Principles for the Prevention, Introduction, and Mitigation of Impacts of Alien Species that Threaten Ecosystems, Habitats or Species are recognised as guidance for avoidance of invasive species.

8.4.5.1 Species selected for reforestation and afforestation shall comply with forest site conditions and be predominantly aboriginal species of local origin.

8.4.5.2 When selecting species for reforestation the Organisation shall not increase the area with the domination of introduced species except where severe forest site conditions (including generated by climate changes) don't allow applying the aboriginal species.

8.4.5.3 Introduced species may only be used if there is conclusive documented evidence (practical experience and / or research results):

- their advantages in productivity, value and stability over aboriginal (native) species,
- their safety for the stable functioning of aboriginal species populations and
- the verifiability of such species.

Limited use of introduced species to assess their impact is possible only under introduction of their environmental impact monitoring and the guidance and control of regional research institutions.

8.4.5.4 The Organisation shall develop and implement effective measures to monitor and control the expansion of invasive introduced species detected within the Organisation's area.

8.4.5.5 The plantations of introduced species shall be established only on areas allocated for afforestation.

**8.4.6. The afforestation, reforestation and other tree planting activities that contribute to the improvement and restoration of ecological connectivity shall be promoted.**

8.4.6.1 The Organisation shall identify forest areas suitable for reforestation, where forest cover has been lost due to abiogenic and biogenic factors and due to anthropogenic activities as well as non-forest areas, the afforestation of which will improve or restore ecological connectivity.

8.4.6.2 The Organisation shall ensure the successful and timely re/afforestation of the areas referred to in 8.4.6.1.

**8.4.7 Genetically-modified trees shall not be used.**

Note: The restriction on the usage of genetically-modified trees has been adopted by the PEFC General Assembly based on the Precautionary Principle. Until enough scientific data on genetically modified trees indicates that impacts on human and animal health and the environment are equivalent to, or more positive than, those presented by trees genetically improved by traditional methods, no genetically-modified trees will be used.

8.4.7.1 The Organisation shall not use the genetically modified organisms.

**8.4.8 The diversity of both horizontal and vertical structures and the diversity of species such as mixed stands shall be promoted, where appropriate. The practices shall also aim to maintain or restore landscape diversity.**

8.4.8.1 During reforestation planning, the establishment of mixed stands in forest site conditions favourable for their growth shall be preferred.

8.4.8.2 During planning of harvesting (final) cuttings, the application of stripped-coupe and/or non-clear cutting systems shall be preferred in suitable forest site conditions with favorable species composition.

8.4.8.3 Harvesting (final) cuttings, as well as thinning and sanitary cuttings shall promote the growing of mixed stands in appropriate forest site conditions.

8.4.8.4 Thinning and sanitary cutting shall ensure the gradual renewal and formation of forests close to native ones.

8.4.8.5 Associate aboriginal tree species shall not be completely removed during thinning and sanitary cuttings.

***8.4.9 Traditional management practices that establish forest ecosystems valuable for biodiversity conservation and nature protection on appropriate sites shall be supported, where appropriate.***

8.4.9.1 Planning and implementation of harvesting (final) cuttings, thinning and sanitary cuttings, artificial and natural reforestation shall be aimed at the establishing and training of native forest ecosystems from aboriginal tree species that meet forest site conditions and perform the biodiversity conservation and / or environmental protection functions.

***8.4.10 Any logging shall be conducted in a way that does not cause lasting damage to ecosystems. Wherever possible, practical measures shall be taken to maintain or improve biological diversity***

8.4.10.1 Any logging shall be conducted in a way that does not cause soil erosion, damage to remaining trees, and exclude the possibility of negative impact on the condition of forests and water bodies.

8.4.10.2 Any logging shall be carried out using the technologies that ensure the conservancy of the remaining trees and undergrowth.

8.4.10.3 Technological charts for logging of cutting site shall contain the information with the list of biodiversity-valuable objects identified within the cutting site and practical measures to maintain or improve the condition of such objects.

8.4.10.4 Erosion control measures (arrangement of fascines and wicker fences, earth embankments, drains, leveling of depressions on skid tracks), clearing of watercourses from logging residues, repairing of the damaged access roads shall be carried out.

***8.4.11 Infrastructure shall be planned and constructed in a way that minimises damage to ecosystems, especially to rare, sensitive or representative ecosystems and genetic reserves, and that takes threatened or other key species – in particular their migration patterns – into consideration.***

8.4.11.1 Information on planning, design and construction of infrastructure facilities (structures, buildings, forest roads, bridges, timber loading sites, etc.) shall be publicly available.

8.4.11.2 Documentation for the construction of infrastructure facilities shall be agreed with the relevant state authorities.

8.4.11.3 The design of infrastructure facilities shall be carried out by institutions and enterprises that have the appropriate state-approved permits from authorized state institutions to perform such work.

8.4.11.4 The Organisation shall assess and document the potential extent of damage to ecosystems, especially to rare or vulnerable ecosystems and genetic reserves, habitats of endangered species or other key species before commencing design work for the construction of the infrastructural facility. If there is the risk of significant damage - the location of infrastructural facility shall be changed.

***8.4.12 With due regard to management objectives, measures shall be taken to control the pressure of animal populations on forest regeneration and growth as well as on biodiversity.***

8.4.12.1 The Organisation shall initiate the obtaining of necessary permits and promote regulation measures or regulate the number of animal populations that adversely affect on reforestation successfulness, stand growth and biodiversity to the scientifically based level.

8.4.12.2 The Organisation shall take measures to protect forests established in the process of reforestation or afforestation from damage by animals.

***8.4.13 Standing and fallen dead wood, hollow trees, old groves and rare tree species shall be left in quantities and distribution necessary to safeguard biological diversity, taking into account the potential effect on the health and stability of forests and on surrounding ecosystems.***

8.4.13.1 To ensure the preservation of biological diversity during clear cuttings, the following elements of forest ecosystem (or their parts) should be left standing, unless their removal is justified by labour protection, safety reasons, passages of vehicles or negative implications for adjacent forest sites:

- separate clumps of trees with the presence of viable undergrowth, rare plant species, bird's nests and other biodiversity elements;
- very old and hollow trees;
- standing deadwood, windthrown trees and snags;
- endemic and rare tree species.

8.4.13.2 The elements of forest ecosystem (or their parts ) that are planned to be left during clear cuttings shall be indicated in the technological charts for logging of cutting site.



## **8.5 Criterion 5: Maintenance or appropriate enhancement of protective functions in forest management (notably soil and water)**

***8.5.1 Protective functions of forests for society, such as their potential role in erosion control, flood prevention, water purification, climate regulation, carbon sequestration and other regulating or supporting ecosystem services shall be maintained or enhanced.***

8.5.1.1 The Organisation shall maintain and enhance the protective functions of forests by identifying such forests, planning and implementing appropriate measures (see also 8.5.2).

8.5.1.2 The Organisation shall contribute to the maintenance or enhancement of carbon sequestration in forest ecosystems (primarily in trunk timber).

8.5.1.3 Both aboriginal and introduced tree species may be used during the establishment or regeneration of soil conservation and water protection forests in unfavorable forest site conditions, provided that monitoring and control (prevention) of the expansion of potentially invasive introduced species shall be carried out.

***8.5.2 The areas that fulfil specific and recognised protective functions for society shall be mapped, and forest management plans and operations shall ensure the maintenance or enhancement of these functions.***

8.5.2.1 Management plans shall contain data about forest areas performing protective functions that were identified during the inventory.

8.5.2.2 Forest areas performing protective functions shall be marked on cartographic materials

8.5.2.3 Management plans shall contain the lists of management activities to maintain or enhance the protective functions of forest areas of the appropriate designated purpose.

***8.5.3 The special care shall be given to forestry operations on sensitive soils and erosion-prone areas as well as in areas where operations might lead to excessive erosion of soil into watercourses. Techniques applied and the machinery used shall be suitable for such areas. Special measures shall be taken to minimise the pressure of animal populations on these areas.***

8.5.3.1 The Organisation shall comply with the established requirements for the implementation of management activities to maintain the erosion-preventive functions of forest areas of the appropriate designated purpose.

8.5.3.2 Thinning and sanitary cuttings shall be carried out in ways that minimize the risk of soil erosion (see also 8.4.10).

8.5.3.3 Technologies, machines and mechanisms that provide the least soil disturbance / deterioration of their water-physical characteristics and prevent erosion processes on logged areas shall be used during logging.

8.5.3.4 Technological charts for logging of cutting site shall contain the information with the list of erosion control measures performed during and after logging.

8.5.3.5 After the end of logging the erosion control measures shall be performed on erosion threatening parts of the logging area

**8.5.4 The special care shall be given to forestry operations in forest areas with water protection functions to avoid adverse effects on the quality and quantity of water resources. Inappropriate use of chemicals or other harmful substances or inappropriate silvicultural practices influencing water quality in a harmful way shall be avoided. Downstream water balance and water quality shall not be significantly affected by the operations.**

8.5.4.1 The Organisation shall comply with the established requirements for management activities to maintain the water protection functions of forest areas.

8.5.4.2 In the mountain forests of the Carpathians, the Organisation shall not lay skidding tracks closer than 20 meters from permanent and 10 meters from temporary watercourses, in the sources of rivers and around them.

8.5.4.3 The measures to minimize the littering of watercourses with logging residues shall be carried during logging. After logging the watercourses shall be cleared from logging residues (see also 8.4.10.4)

**8.5.5 The construction of roads, bridges and other infrastructure shall be carried out in a manner that minimises bare soil exposure, avoids the introduction of soil into watercourses and preserves the natural level and function of water courses and river beds. Proper road drainage facilities shall be installed and maintained**

8.5.5.1 The designing, construction and exploitation of forest roads, bridges timber loading sites and other infrastructure shall be carried out in a manner that minimises bare soil exposure, avoids the introduction of soil into watercourses and preserves the natural level and function of water courses and river beds. (see also 8.4.11).

8.5.5.2 Forest road drainage systems shall be maintained in working condition.

## **8.6 Criterion 6: Maintenance or appropriate enhancement of socio-economic functions and conditions**

**8.6.1 The forest management planning shall aim to respect all socio-economic functions of forests.**

8.6.1.1 Planning materials shall aim to maintain all socio-economic functions of forests.

8.6.1.2 Planned activities shall ensure that forests perform forest functions which are important for the local population.

**8.6.2 The adequate public access to forests for the purpose of recreation shall be provided, taking into account respect for ownership rights, safety and the rights of others, the effects on forest resources and ecosystems, as well as compatibility with other functions of the forest.**

8.6.2.1 The Organisation shall ensure free access of the population to forests for recreational purposes. Access to forests is restricted only:

- during the fire-hazardous period,
- to areas where logging is carried out,
- to the Nature Conservation Fund areas and objects if such visiting is prohibited by the regime of these areas and objects,
- as well as in other cases provided by the legislation of Ukraine.

8.6.2.2 The Organisation shall agree with the hunting areas users the places for construction of fenced area and other objects related to hunting management, in order to ensure free and safe access of the population to forests for recreational purposes

**8.6.3 The sites with recognised specific historical, cultural or spiritual significance and areas fundamental to meeting the needs of local communities (e.g. health, subsistence) shall be protected or managed in a way that takes due regard of the significance of the site.**

8.6.3.1 The Organisation together with local communities shall identify areas of specific historical, cultural or spiritual significance and areas fundamental to meeting the basic needs of local communities.

8.6.3.2 Areas of specific historical, cultural or spiritual significance and areas fundamental to meeting the basic needs of local communities shall be mapped.

8.6.3.3 The Organisation together with local communities shall identify measures for the protection of such areas and possible management measures that will contribute to the preservation of such areas, the sanitation and land improvement.

**8.6.4 The management shall promote the long-term health and well-being of communities within or adjacent to the forest management area, where appropriate supported by engagement with local communities.**

8.6.4.1 The Organisation shall keep up-to-date information on local communities within or adjacent to the forest management area and on cooperation with them.

8.6.4.2 The Organisation shall manage taking into account the promoting of long-term health and well-being of local communities.

8.6.4.3 In case of harming to local communities, the Organisation shall have a mechanism in place to resolve such conflict and redress, and apply it effectively.

**8.6.5 The best use shall be made of forest-related experience and traditional knowledge, innovations and practices such as those of forest owners/users, NGOs, local communities. Equitable sharing of the benefits arising from the utilization of such knowledge should be encouraged.**

**8.6.6 The management shall give due regard to the role of forestry in local economies. Special consideration shall be given to new opportunities for training and employment of local people.**

8.6.6.1 Organisation shall identify the list of resources and ecosystem services that can strengthen the local economy.

**8.6.7 The forest management shall contribute to research activities and data collection needed for sustainable forest management or support relevant research activities carried out by other Organisations, as appropriate.**

8.6.7.1 In order to obtain scientific data to ensure sustainable forest management, the Organisation should cooperate with scientific institutions (for example, by concluding economic contracts for research or advisory services) and / or in various ways to support research within the Organisation.

## **9 Performance evaluation**

### **9.1 Monitoring, measurement, analysis and evaluation**

9.1.1 The monitoring of forest resources and evaluation of their management, including ecological, social and economic effects, shall be periodically performed, and results fed back into the planning process.

9.1.2 The health and vitality of forests shall be periodically monitored, especially key biotic and abiotic factors that potentially affect health and vitality of forest ecosystems, such as pests, diseases, overgrazing and overstocking, fire, and damage caused by climatic factors, air pollutants or by forest management operations.

9.1.3 Where it is the responsibility of the forest owner/manager and included in forest management, the use of non-wood forest products, including hunting and fishing, shall be regulated, monitored and controlled.

9.1.4 The working conditions shall be regularly monitored and adapted as necessary

### **9.2 Internal audit**

#### **9.2.1 Objectives**

The internal audit programme at planned intervals shall provide information on whether the management system:

- a) conforms to
  - the Organisation's requirements for its management system;
  - the requirements of the national sustainable forest management standard;
- b) is effectively implemented and maintained.

#### 9.2.2 Organisation

The Organisation shall:

- a) plan, establish, implement and maintain an audit programme(s) including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the importance of the processes concerned and the results of previous audits;
- b) define the audit criteria and scope for each audit;
- c) select the auditors and conduct audits to ensure objectivity and the impartiality of the audit process;
- d) ensure that the results of the audits are reported to relevant management;
- e) retain documented information as evidence of the implementation of the audit programme and the audit results.

### 9.3 Management review

9.3.1 The annual management review shall at least include:

- a) the status of actions from previous management reviews;
- b) changes in external and internal issues that are relevant to the management system;
- c) information on the Organisation's performance, including trends in:
  - nonconformities and corrective actions;
  - monitoring and measurement results according to the indicators from Annex B;
  - audit results;
- d) opportunities for continual improvement.

9.3.2 The outputs of the management review shall include decisions related to continual improvement opportunities and any need for changes to the management system.

9.3.3 The documented information as evidence of the results of management reviews shall be retained.

## 10 Improvement

### 10.1 Nonconformity and corrective actions

10.1.1 When a nonconformity occurs, the Organisation shall:

- a) react to the nonconformity and, as applicable:

- i. take action to control and correct it;
- ii. deal with the consequences;
- b) evaluate the need for action to eliminate the causes of the nonconformity, in order that it does not recur or occur elsewhere, by:
  - i. reviewing the nonconformity;
  - ii. determining the causes of the nonconformity;
  - iii. determining if similar nonconformities exist, or could potentially occur;
- c) implement any action needed;
- d) review the effectiveness of any corrective action taken;
- e) make changes to the management system, if necessary.

10.1.2 The corrective actions shall be appropriate to the effects of the nonconformities encountered.

10.1.3 The Organisation shall retain documented information during two certification cycles as evidence of:

- a) the nature of the nonconformities and any subsequent actions taken;
- b) the results of any corrective action.

## **10.2 Continual improvement**

The suitability, adequacy and effectiveness of the sustainable forest management system shall be continuously improved.

## Annexes

### Annex A. Fundamental ILO conventions ratified by Ukraine

Convention	Date of ratification
C29 Forced Labour Convention, 1930	10.08.1956
C87 Freedom of Association and Protection of the Right to Organise Convention, 1948	14.09.1956
C98 Right to Organise and Collective Bargaining Convention, 1949	14.09.1956
C100 Equal Remuneration Convention, 1951	10.08.1956
C105 Abolition of Forced Labour Convention, 1957	14.12.2000
C111 Discrimination (Employment and Occupation) Convention, 1958	04.08.1961
C138 Minimum Age Convention, 1973	03.05.1979
C182 Worst Forms of Child Labour Convention, 1999	14.12.2000

## Annex B. Monitoring of processes related to sustainable forest management

This Annex can be used to compile monitoring documentation in accordance with the requirements of the Standard. The list of monitoring items is recommendatory and may be amended or supplemented by the Organisation.

The frequency of monitoring reporting determines the minimum term for the reporting documents preparation, and the frequency of monitoring is set by the Organisation on the basis of its own management practices, taking into account legal regulations.

Object of monitoring	Subject of monitoring	Periodicity of monitoring reporting	Recommended representative of the management staff responsible for monitoring
1. The health and vitality of forests	The use of forest resources (including ecosystem services)	Annually, Each audit period	Chief Forester
	Parameters of the forestry area by age structure, species composition, timber stocks and areas	Annually, Each audit period	Head of the Forestry Department
	Volumes and condition of reforestation and afforestation	Annually, Each audit period	Head of the Forestry Department, Forest Regeneration Engineer
	Volume of forest use (including non-timber forest products)	Annually, Each audit period	Forestry Engineer, Head of the Forestry Department
	Parameters of hunting species	Annually, Each audit period	Game Manager
	Biotechnical measures	Annually	Game Manager
	Ecologically important forest areas	Annually	Head of the Forestry Department
	Non-native species, including invasive species	Annually	Head of the Forestry Department
	Presence of unauthorized and illegal logging, land grabbing, poaching and illegal forest use and their prevention	Daily Annually	Forest protection and conservation engineer



Object of monitoring	Subject of monitoring	Periodicity of monitoring reporting	Recommended representative of the management staff responsible for monitoring
	Disease and insect outbreak monitoring	Monthly Annually, Each audit period	Forest protection and conservation engineer
	Application of fertilizers and pesticides	Annually	Chief Forester
	Forest fires	Annually, Daily during the fire-hazardous period	Forest protection and conservation engineer
	Erosion processes and erosion control measures within forestry areas	Annually, Each audit period	Forestry engineer, Head of the Forestry Department
	Waste treatment	Annually	Logging engineer, Chief engineer
2. Social sphere	Provision of labor resources	Annually	Chief economist, Head of Human Resources
	Public relations and image	Annually	Chief Forester
	Availability and use of personal protective equipment and workwear, compliance with labor protection and safety requirements, including on areas contaminated with radionuclides	Annually	Safety Engineer
	Presence of corrupt actions and the presence of corruption risks in the staff activities	Annually	Legal adviser
	Compliance with labor legislation	Annually	Legal adviser
	Presence and reasons for complaints and appeals	Annually	Legal adviser

Object of monitoring	Subject of monitoring	Periodicity of monitoring reporting	Recommended representative of the management staff responsible for monitoring
	Staff qualifications	Annually	Head of Human Resources
	Involvement of stakeholders to various management issues	Annually	Chief Forester
3. Economic sphere	Infrastructure development	Annually, Each audit period	Chief Engineer
	Provision with fixed assets	Annually, Each audit period	Chief Engineer
	Provision with financial resources	Annually	Chief Economist
	Promoting to the local economy development	Annually, Each audit period	Chief Economist
	Payment of taxes and fees	Annually	Chief Accountant
	Remuneration	Annually	Chief Accountant
	Expenses on forestry	Annually	Chief Accountant
	Expenses for labor protection measures	Annually	Chief Economist, Safety Engineer

## **Bibliography**

CITES, Convention on International Trade in Endangered Species of Wild Fauna and Flora, 1973, as amended.

Directive 2001/18/EC of the European Parliament & of the Council of 12 March 2001 on the deliberate release into the environment of genetically modified organisms and repealing Council Directive 90/220/EEC.

FAO. 2003. Report of the international conference on the contribution of criteria and indicators for sustainable forest management: the way forward. Rome.

FAO (2012), Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security.

FAO 2015, FRA 2015 Terms and Definitions, Forest Resources Assessment Working Paper 180

FAO 2017, Non-wood forest products in international statistical systems.

FAO 2018, Integrated Pest Management, <http://www.fao.org/agriculture/crops/thematic-sitemap/theme/%20pests/ipm/en>, access February 2018.

FAO 2018, Terms and Definitions FRA 2020.

Millennium Ecosystem Assessment, 2005. Ecosystems and Human Well-being: Synthesis. Island Press, Washington, DC.

Scherr et al. 2013, Defining Integrated Landscape Management for Policy Makers  
Stockholm Convention on Persistent Organic Pollutants (POPs) as amended in 2009  
United Nations 1948, Universal Declaration on Human Rights.

United Nations 2002, Report of the Conference of the Parties on its 7th session, held at Marrakesh, from 29 October to 10 November 2001, Addendum, Part two.