

**Forest certification system**  
**ASSOCIATION “CENTER FOR DEVELOPMENT OF FOREST**  
**CERTIFICATION”**

Approved by:  
the Resolution of Management Committee  
**ASSOCIATION “CENTER FOR DEVELOPMENT OF FOREST**  
**CERTIFICATION”**  
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**SFMRU/38200-ST-1:2022**  
**Forest Management Standard**

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## Introduction

This standard was developed to implement certification requirements within forest management activities which are based on a set of regulatory legal acts and comply with federal laws, conventions and other regulations of the Russian Federation (ref. Bibliography) as well as basic forest management requirements.

The provisions of this standard shall ensure that forest management processes are sustainable in their planning and practice by setting basic and indicative certification requirements.

## 1 Scope

This standard sets down certification requirements for forest management activities including all kinds of products and services. Requirements of this standard shall be imposed on forest owners and managers as well as on contractors and other people operating within certified territories. The requirements cover all necessary processes aimed at sustainable forest management.

This standard is for:

- organisations including people who manage forests and exercise their rights to use forest areas in accordance with forest laws of the Russian Federation and can be the subjects of forest certification;

- organisations performing conformity assessment - certification bodies (CBs).

This standard can be used for self control for the organisations carrying out forest management activities.

Forest management requirements specified in this standard shall include management and performance requirements that are applicable at the level of forest management unit (FMU) or at another level as appropriate, to ensure that the aim of all requirements is achieved at FMU level.

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

The standard shall be applied within all territory of the Russian Federation.

## 2 Terms and Definitions

The following terms and definitions shall be used for the purposes of this standard (in Russian listed alphabetically):

**2.1 Biological plant protection** A system of activities aimed at protection of plants and plant products from pests by means of biologics or regulatory and destructive activities of pest natural enemies. Biological plant protection is also a section of plant protection science. (GOST 21507- 2013 Plant protection. Terms and definitions.)

**2.2 Biological control agents** Living organisms used to suppress or regulate populations of other living organisms.

**2.3 Biological remedy for plant protection (biologicals)** Remedy where primary nutrient is a microorganism or microorganism by-products. (GOST 21507- 2013 Plant protection. Terms and definitions.)

**2.4 Biological diversity (biodiversity)** 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 part; this includes diversity within species, between species and of ecosystems. (Convention on biological diversion, June 5th, 1992)

**2.5 Threatened species** Taxa and populations where the number of individuals has decreased to a critical level so that they may disappear in the nearest future. (Red Book of Endangered Species of the Russian Federation)

**2.6 Water conservation zone** Territories that adjoin the coastline of sea, river, brook, canal, lake or water storage basin and where special protection arrangements for business and other activities are established in order to prevent pollution, littering, silting as well as preserve aquatic bioresources habitat and other flora and fauna elements. (Federal Law of 03.06.2006 No. 74-FZ Water code of the Russian Federation)

**2.7 Selective cutting** Cutting when a part of trees and shrubs is removed on corresponding forest lands and land plots.

**2.8 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:

a) 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;

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

в) 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.

2. The following techniques are not considered as genetic modification resulting in genetically modified trees:

a) in vitro fertilisation;

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

в) polyploidy induction.

Notes:

1. Genetically modified organisms (GMO) are biological organisms whose genetic structure has been modified by different means including any living organism with a new combination of genetic material obtained through the use of modern biotechnologies.

2. Genetically engineered organism is an organism or some organisms, any noncellular, cellular or multicellular formation which is able to reproduce or transfer inherent genetic material and which is different from natural organisms resulting from genetic engineering methods and containing genetically engineered materials including genes, their fragments or combinations of genes. (Federal Law of 05.07.1966 No. 86-FZ on state regulation in the field of genetic engineering)

**2.9 State monitoring of hunting resources and their habitat** System of regular monitoring over:

a) the number and spread of hunting resources in their habitat, the condition of hunting resources and dynamics of their change by species;

b) the condition of hunting resources habitat and the condition of hunting areas.

State monitoring of hunting resources and their habitat is a part of the state ecological monitoring (state monitoring of the environment). (Federal Law of 24.07.2009 No. 209-FZ on hunting and conservation of hunting resources)

**2.10 Degraded forest** Forest lands with long-term significant reduction of the overall capacity to supply benefits from the forest such as carbon storage, wood, biodiversity and other

goods and services.

Note:

Forest degradation is a gradual loss of viability and dying of forest stands as a result of forest environment deterioration under the influence of anthropogenic or natural factors. (GOST R 56695-2015. Renewable resources. Forest resources. Terms and definitions)

**2.11 Forest lease agreement** A civil agreement that is a legal ground for private individuals and legal entities to lease on a free basis forest plots that are in state or municipal ownership for a particular purpose(-s) for a period of 10 to 49 years.

Notes:

1. Leaseholder shall pay forest lease fee and comply with his commitments to conserve, protect and regenerate forests on leased plot at his own expense.

2. Forest lease agreement for a forest plot in state or municipal ownership shall be concluded on a tender basis held in form of public auction if otherwise is not required by laws. (GOST R 57938- 2017 Forestry. Terms and definitions.)

**2.12 Forest stands sale and purchase agreement** A civil agreement concluded between an authorised state or municipal authority responsible for forestry matters and private individual or legal entity for the purpose of sale and purchase of forest stands located within the boundaries of one cutting area situated on the lands in state or municipal ownership.

Notes:

1. Forest stands sale and purchase agreement shall be concluded on a tender basis if otherwise is not required by laws.

2. Validity period for such agreement shall not exceed one year. (GOST R 57938- 2017 Forestry. Terms and definitions.)

**2.13 Stakeholder** A person, group, community or organisation with an interest in the subject of the standard.

Note: Stakeholders are those parties which can influence, be influenced or consider that they are influenced by organisation decisions or activities. Organisation shall identify its stakeholders that can be both external and internal including customers which can also have influence on organisation's ability to reach sustained success.

Organisation shall determine which stakeholders:

- a) pose risk for its sustained success if their needs and expectations are not satisfied;
- b) provide opportunities to enhance its sustained success.

Having determined relevant stakeholders organisation shall:

- identify their needs and expectations and define those of them that shall be addressed;
- establish procedures for addressing stakeholders needs and expectations.

Organisation shall decide how to communicate with its stakeholders on an ongoing basis to gain such benefits as improved performance, common understanding of goals and values, enhanced stability. (GOST R ISO 9004- 2019. Quality management. Quality of an organization. Guidance to achieve sustained success.)

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

Notes:

1. Affected stakeholders include neighbourhood communities, indigenous peoples, workers etc. However, the parties with an interest in the subject matter of the standard (e.g. non-governmental environmental organisations (NGO), scientific communities, civil society) shall not be considered affected stakeholders.

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

**2.15 Protective forests:** Protective forests include forests that are especially valuable natural objects and that are covered by special legal arrangements for their protection, conservation, use and regeneration.

There are following categories of protective forests:

- a) forests located in specially protected natural areas;
- б) forests located in water protection zones;
- в) forests serving to protect natural and other objects;
- г) forests of high value;
- д) urban forests. (Federal Law of 04.12.2006 No. 200-FZ Forest Code of the Russian Federation)

**2.16 SFMRU/38200 claim:** Organisation's declaration on material/products, stated in sales and delivery documentation, namely the claims "x% SFMRU/38200 certified" and "SFMRU/38200 Controlled Sources".

**2.18 Integrated pest management (IPM)** 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.

Note: Integrated pest management is a system for managing the phytosanitary condition of ecosystems through complex use of various means and methods for plant protection in order to ensure phytosanitary health; it is also a subdiscipline of plant protection science. (GOST 21507-2013 Plant protection. Terms and definitions.)

**2.19 Endangered species** Species are species steadily declining in number, that can within a short time be classified as threatened species. Red Book of Endangered Species of the Russian Federation)

**2.20 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.

**2.21 Conversion** Direct human-induced change of forest to non-forest land or forest plantation.

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.

Note: Conversion is a documented change in land use category, for example, change of forest lands into other land categories.

**2.22 Indigenous peoples of the Russian Federation** Peoples living on the territories of traditional settlement of their ancestors, preserving their traditional lifestyle, economic activity and crafts, numbering less than 50 thousand people in the Russian Federation and recognising themselves as self-sufficient ethnic communities. (Federal Law of 30.04.1999 No. 82-FZ on guarantees for indigenous peoples of the Russian Federation)

**2.23 Landscape** A socio-ecosystem that consists of a mosaic of natural and/or human-modified ecosystems, with a typical configuration of topography, vegetation, land use, and settlements that is influenced by the environmental, historical, economic and cultural processes and activities of the area.

Notes:

1. Landscape is a territorial system consisting of interacting natural or natural and anthropogenic components and complexes of a lower taxonomic rank.

2. Natural landscape is a landscape consisting on natural components interacting with each other and being formed or already formed under the influence of natural processes (GOST 17.8.1.01-86 (CT CЭB 5303- 85) Environmental protection. Landscapes. Terms and definitions.)

**2.24 Forest** An area of land of minimum 0.05-1.0 hectares with tree crown cover (or

equivalent stocking level) more than 10-30 per cent with trees with capacity to reach a minimum height of 2-5 meters 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 not yet reached a crown density of 10-30 per cent or tree height of 2-5 metres are included under forest concept, as well as areas normally forming part of forest which are temporarily unstocked due to human intervention such as harvesting or natural causes but which are expected to revert to forest.

Note: Each regional, national or subnational standard has to include the specific values for the criteria in the definition.

Note: Forest is a holistic dynamic ecological system of mainly woody plants soil, animals, fungi, microorganisms and other natural components, which has interrelations and connections with external environment and which is a part of environment and a source of environmental and social benefits as well as a natural resource able to meet the needs of the economy and population (GOST R 57938-2017 Forestry. Terms and definitions) Note (revised): Forests are areas of land of more than 0.05 ha with tree height of more than 5 metres and tree crown cover of more than 10 per cent or with trees with capacity to reach such threshold values in situ. Areas of land located mainly on agricultural or urban lands shall not be considered as forests. (Global Forest Resources Assessment 2020. Terms and Definitions. FAO, Rome, 2018)

**2.25 Forest management and forest use (forest management)** Interrelated procedures and processes aimed at using forests to satisfy needs in different products and benefits as well as at conservation and maintaining various functions of forests. (GOST R 58003- 2017 Forest management and forest use. Certification requirements)

Notes:

1. Forest management and forest use are always carried out jointly and so they are called “forest management” for short and defined generally as a system and structure of management and planning as well as activities to maintain and use various functions of forests conducted in accordance with current laws. Forest management unit is a forest plot (or plots united as a group and included into group entity) where organisation carries out its forest management activities.

The system consists of the following components: strategy and tactics, planning and monitoring, implementation and practice, control and corrective actions, as well as assessment of management for the purpose of constant improvement of forestry practices through regular measurement and assessment of a set of indicators selected for a certain area and adjustment of forecasts, activities and plans based on this information. The sustainability of the system is determined by the implemented structure, responsibility, instructions, procedures and processes within the planned timeframes.

2. Sustainable forest management (SFM) is defined as a “dynamic and evolving concept (system), which aims to maintain and enhance the economic, social and environmental values of all types of forests, for the benefit of present and future generations.” Forests and trees, when sustainably managed, make vital contributions both to people and to the planet, bolstering livelihoods, providing clean air and water, conserving biodiversity and responding to climate change. (FAO: <http://www.fao.org/forestry/sfm/en/>)

**2.26 Afforestation** Establishment of forest through planting and/or deliberate seeding on land that, until then, was under a different land use, implies a transformation of land use from non-forest to forest.

Notes:

1. Afforestation includes forest cultivation on non-forest lands within forest fund lands (swamps, reclaimed lands, former crop lands, gullies and other), creation of forest shelter belts on crop lands, industrial and transport lands, water resource lands and other land categories, creation of forest stands in the course of reclamation of lands disturbed by industrial operations as well as within recreational areas and lands of other categories.

2. Afforestation is creation of forest stands on lands previously free from any forest vegetation in order to prevent water, wind or other soil erosion and for other protective purposes

to increase capacity of the territory. (GOST R 57938- 2017 Forestry. Terms and definitions.)

**2.27 Forest plantation** Forest or other wooded land plot 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.

Notes:

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

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

3. Application of the definition requires consideration of national forestry terminology and legal requirements.

Notes:

1. Plantations are relatively large areas occupied by homogeneous stands created for the purpose of accelerated growing of tree and shrubbery species with specified features for end products. Economic and technical indicators are a priority in plantation growing. In this regard, usual planted young stands do not belong to plantations, since the main purpose of their creation and cultivation is the restoration of forest vegetation typical for this landscape. Environmental, silvicultural and recreational purposes are priority in general reforestation.

2. Forest plantations are plots on forest fund lands and lands of other categories used for cultivation of forest plants to obtain certain products with specified characteristics.

Note: There are forest plantations for growing wood, berries, officinal and technical raw materials, Christmas trees, saps, mushrooms etc. (GOST R 57938- 2017 Forestry. Terms and definitions.)

**2.28 Forestry Management** and economic activity aimed at forest use, conservation, protection, regeneration and afforestation. (GOST R 57938- 2017 Forestry. Terms and definitions.)

**2.29 Forest lands** Lands designated for forest vegetation and covered or uncovered with it, which are included into forest fund lands as well as lands of other categories. (GOST R 57938-2017 Forestry. Terms and definitions.)

**2.30 Reforestation** Forest restoration through planting and/or deliberate seeding on a land plot classified as forests.

Note:

1. Reforestation is regeneration of forest tree species in order to create young high-density stands (young stands) on the territory previously occupied by forest.

2. According to forest laws there can be reforestation through natural processes with or without human input. With human input reforestation is carried out by promoting natural forest regeneration (natural reforestation), planting seedlings (artificial reforestation), as well as through a combination of natural and artificial reforestation (complex reforestation). (GOST R 57938-2017 Forestry. Terms and definitions.)

**2.31 Forest users** Individuals and legal entities using forests in the manner set out by the Forest Code of the Russian Federation (Federal Law of 04.12.2006 No 200-FZ)

**2.32 Forest inventory** A set of works for assessing the state of forests, wood and non-wood forest resources in order to plan activities aimed at their rational use, regeneration, conservation, protection and increase of their productivity and sustainability.

Note: Modern forest inventory includes designing of forest districts and forest parks, commercial forests, protective forests, reserved forests and specially protected forest plots; on-site marking of their boundaries; forest taxation; planning forest conservation, protection and regeneration measures in accordance with the Forest Code of the Russian Federation (Federal Law of 04.12.2006 No 200-FZ) (GOST R 57938- 2017 Forestry. Terms and definitions.)

**2.33 Cutting area** Part of forest plot, forest compartment or subcompartment where forest stands intended for felling are located. (Federal Law of 04.12.2006 No. 200-FZ Forest Code of the Russian Federation)



**2.34 Manager** Person who manages and controls an organisation.

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

**2.35 Local communities** People residing within the boundaries of particular territory (area) and using certain settlements as places for their permanent or seasonal residence.

**2.36 Forest monitoring** A system for monitoring, estimating and forecasting forest fund health and dynamics for the purpose of government management in the field of forest use, conservation, protection, regeneration and improving its environmental functions. (GOST R 56695-2015. Renewable resources. Forest resources. Terms and definitions.)

Note: In general monitoring includes forest monitoring inter alia forest health monitoring, monitoring of hunted species (game resources) and their habitat, social monitoring and monitoring of protective forests and specially protected forest plots.

**2.37 Violation** An intentional or unintentional action that is contrary to existing laws, applicable rules and regulations.

**2.38 Non-wood forest products** Products consisting of goods of biological origin other than wood, derived from forests and Trees outside Forests.

Notes:

1. Non-wood forest resources include deadfallen wood, stumps, birch bark, tree and bush bark, brushwood, woody forage, spruce, fir and pine branches, spruce and other coniferous tress used as Christmas trees, moss, forest floor, bulrush, reed grass and other forest products, harvested and collected in accordance with the forest laws. (Federal Law of 04.12.2006 No. 200-FZ Forest Code of the Russian Federation)

2. Non-wood products are food, officinal and technical raw materials, fodder grass as well as furs, beekeeping products and other types of products, except for wood raw materials. (GOST R 56695-2015. Renewable resources. Forest resources. Terms and definitions.)

**2.39 Non-forest ecosystem** Any lands that are not meeting the definition of forest.

**2.40 Objective evidence** Data proving the presence or truth of something. (GOST R ISO 9000- 2015 Quality management systems. Fundamentals and vocabulary)

**2.41 Standardising body** Body authorised to implement activities in standardisation.

Note: Standardising body for the purposes of the present standard shall be a body responsible for the development and maintenance of standards for forest certification system of Association Center for Development of Forest Certification”.

**2.42 Organisation** Person or group of people who perform specific functions, have authority and responsibility, build relationships to achieve their objectives.

Notes:

1. An organisation applies for SFMRU/38200 certification and is responsible for the compliance with SFMRU/38200 sustainable forest management requirements and can be responsible for several forest management units.

2. A manager or forest owner can also take the role of an organisation.

Notes:

1. Organisation is a person or a group of people who have particular relations, responsibilities, authorities and perform their functions to achieve their goals.

2. Organisation includes but is not limited to the following examples: sole entrepreneur, company, corporation, firm, enterprise, public authority, partnership, association, charity as well as their parts or incorporation be it legal entity or not, or be it public or private. (GOST R ISO 9000- 2015. National standard of the Russian Federation. Quality management systems. Fundamentals and vocabulary)

**2.43 Specially protected forest plots** Specially protected forest plots can be allotted in protective forests, commercial forests and reserve forests. Specially protected forest plots include:

a) bank protection and soil protection forest plots located along water bodies and ravine slopes;

б) forest edges bordering on forest-free fields;

- в) seed plantations, permanent seed plots and other parts of forest seed breeding system;
- г) preserve forest plots;
- д) forest plots with relict and endemic plants;
- е) habitats of rare and endangered wild animals;
- ж) natural heritage objects;
- е) other specially protected forest plots provided for by the Forest Inventory Instruction. (Federal Law of 04.12.2006 No. 200-FZ Forest Code of the Russian Federation)

**2.44 Report** Information, data about organisation activities over a specified period of time compiled in a certain form.

**2.45 Environmental impact analysis (EIA)** is an activity aimed at identification, analysis and consideration of direct, indirect and other impacts on environment caused by planned economic or other activities in order to make a decision on possibility or impossibility of their implementation. (Federal Law of 10.01.2002 No 7-FZ On environment protection).

Note: Environmental impact analysis for planned economic and other activities (EIA) is a process encouraging taking an environmentally oriented management decisions on realisation of planned economic and other activities by identifying possible adverse impacts, estimating environmental implications, taking into account public opinion, developing mitigation and prevention measures. (Order of State Committee for Environment Protection of 16.05.2000 No 372)

**2.46 Pesticide** Any substance or mixture of substances used for pest control in the process of production, storage, transportation, operation, use, sale and disposal of plant products, as well as to combat parasites and vectors of human and animal diseases.

Note: Pesticides include defoliants and desiccants. (GOST 21507- 2013 Plant protection. Terms and definitions.)

**2.47 Forest 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: Depending on local conditions an equivalent documented information or tools can comply with this function.

Work plan is a list of measures to achieve the goals set for a specified period of time: short-term (up to 1 year), middle-term (up to 3 years), long-term (over 10 years).

**2.48 Forest use fee** A fee charged for the use of forest plots and stands as lease fee and forest stand sale and purchase agreement fee. (GOST R 57938- 2017 Forestry. Terms and definitions.)

**2.49 Supplier** Entity supplying material used as input for an product group. Where SFMRU/38200 certified products are physically delivered by an entity other than that having the ownership title to the material, the entity that is covered by a SFMRU/38200 certificate and that has specified the organisation customer is considered the supplier for the product/delivery in question. The term “supplier” can also refer to an internal supplier within an organisation, where subsequent product groups have been established.

Note: The definition of “supplier” mentioned above is related to SFMRU/38200 chain of custody certification. In general, supplier is an organisation supplying products, goods, works and services.

**2.50 Forest development plan** Document developed in accordance with the requirements of forestry district regulations by entities that have forest plots in permanent (perpetual) use or on lease, which includes planned activities for forest exploitation, development of forest and timber processing infrastructure, forest conservation, protection, and regeneration as well as activities aimed at protection and use of animal world and water bodies. (GOST R 57938- 2017 Forestry. Terms and definitions.)

**2.51 Procedure** An established manner of proceeding or performing activity or process.

Note: Procedures may documented or non-documented. (GOST R ISO 9000- 2015 Quality management systems. Fundamentals and vocabulary)

**2.52 Process** A combination of interrelated and/or interacting activities using inputs to get intended outputs.

Note: Inputs for the process are its initial characteristics that can be outputs for other processes. (GOST R ISO 9000- 2015 Quality management systems. Fundamentals and vocabulary)

**2.53 Annual allowable cut** A quota of timber harvesting specified for a forest district (forest park) with regard to designated purpose of forests and their division into management subunits, species management units, forms of felling, based on the principles of continuous, inexhaustible and rational forest use. (GOST R 57938- 2017 Forestry. Terms and definitions.)

**2.54 Rare species** Taxa and populations which are small in number and occur in a limited area or scattered across vast areas. (Red Book of Endangered Species of the Russian Federation)

**2.55 Forest stand cutting** Cutting or other removing of trees, shrubs or liana in forest in process of timber harvesting and during implementation of measures for forest conservation, protection and regeneration.

Note: In accordance with <http://docs.cntd.ru/document/902017047> the Forest Code of the Russian Federation (Federal Law No. 200-FZ dd. 14.12.2006) <http://docs.cntd.ru/document/902017047> forest stand (trees, shrubs, liana in forest) cuttings are the processes of their felling including sawing and cutting as well as other related processes such as skidding, cut-to-length and storage in forest. Forest stand cutting shall be practiced as selective cutting or clear (regeneration) cutting. (GOST R 57938- 2017 Forestry. Terms and definitions.)

**2.56 Certification** Form of verification (assessment) carried out by a certification body for the purpose of identifying compliance with the technical regulations, provisions of standard or contracts.

**2.57 Forest management certification requirements** Basic and indicative requirements reflecting the provisions of regulatory legal documents and serving for assessment of compliance with them.

**2.57.1 Basic requirement (criterion)** Requirement that shall be met. Note: Basic requirement constitutes the sum of indicative requirements and serves as a criterion for compliance with the provisions of regulatory legal documents related to forest management.

**2.57.2 Indicative requirement (indicator)** Objective evidence (indicator) that allows to decide whether the basic requirement is met.

Note: Separate indicative requirement allows to decide what part of basic requirement is met. Meeting all indicative requirements means that the basic requirement is fully met.

(GOST R 58003- 2017 Forest management and forest use. Certification requirements)

Notes:

1. Related to the present standard forest management certification requirements mean the requirements that organisation shall meet (implement, fulfill, maintain and demonstrate) to comply with the present standard.

2. The criteria are arranged into groups based on:

**2.57.3 Principles** which are guiding rules for main activities of organisation implementing forest management.

3. Indicators display a progress in the process or state of the object of observation, its characteristics in the form convenient for understanding and assessment.

**2.58 Certified area** Forest area covered by a sustainable forest management system in accordance with SFMRU/38200 Sustainable Forest Management Standard.

**2.59 Management system** Set of interrelated or interacting elements of an organisation to establish policies, objectives and processes to achieve those objectives.

**2.60 Declining species** Taxa and populations continuously declining in number which, provided that factors contributing to such a decline still exist, may move to the category of endangered species in a short-term perspective. (Red Book of Endangered Species of the Russian Federation)

**2.61 Clear cutting (regeneration felling)** The process of cutting when forest stands on the respective forest plots is cut at a time.

**2.62 Applicant Organisation** that has rights to carry out forest management activities on a forest fund plot where forest management is going to be certified, and/or enterprises harvesting and/or processing forest products whose chain of custody is going to be certified.

**2.63 Traditional use of natural resources by indigenous peoples of the North, Siberia and Far East of the Russian Federation** (traditional nature use): historically developed and ensuring sustainable nature management ways of using objects of flora and fauna, other natural resources by the indigenous peoples of the North, Siberia and the Far East of the Russian Federation. (Federal Law of 07.05.2001 No. 49-FZ On territories of traditional nature use of indigenous peoples of the North, Siberia and the Far East of the Russian Federation)

**2.64 Management subunit** An organisational and economic part of the forest fund, representing the set of forest stands and uncovered forest lands with a common management objective.

**2.64.1 Species management unit** is a sum of management subunits united by common prevailing species (coniferous, hard-wooded and soft-wooded broadleaved).

**2.65 Chain of custody** All changes in the ownership of timber and products thereof taking place during harvesting, transportation, handling and sale of timber and products thereof through the chain of supplies “from forest to end user” or “from producer to consumer”.

**2.66 SFMRU/38200 chain of custody** Processes of an organisation for handling forest and tree based products and information related to their material category, and making accurate and verifiable claims.

**2.67 Ecological appraisal (EA)** A procedure to assess whether the documentation justifying planned economic and other activities on the object of ecological expertise comply with the environmental requirements set out in technical regulations and laws related to environmental protection in order to prevent adverse impact of such activities on the environment. (Federal Law of 23.11.1995, No. 174-FZ On ecological appraisal)

**2.68 Environmentally important forest areas** Forest areas

- a) Containing protected, rare, sensitive or representative forest ecosystems;
- b) Containing significant concentrations of endemic species and habitats of endangered species, specified in generally recognized reference book;
- b) Containing endangered or protected genetic in situ resources;
- г) Contributing to globally, regionally and nationally significant large landscapes with natural distribution and abundance of naturally occurring species

**2.69 Ecosystem** Entitative part of natural environment with spatial and territorial boundaries within which animate (plants, animals and other organisms) and inanimate elements interact as a single functional unit and are interrelated through substance and energy exchange. (GOST R 57007- 2016. Best available techniques. Biodiversity. Terms and definitions.)

**2.70 Ecosystem services:** Benefits obtained from ecosystems. These benefits include provisioning services such as food, water, timber, and fibre; regulating services that affect climate, floods, disease, wastes, and water quality; cultural services that provide recreational, aesthetic, and spiritual benefits; and supporting services such as soil formation, photosynthesis, and nutrient cycling.

Note: Ecosystem services are all tangible and intangible values that people obtain from nature including benefits obtained from use of ecosystems. (GOST R 57007- 2016. Best available techniques. Biodiversity. Terms and definitions.)

**2.71 Commercial forests** Forests subject to exploitation in order to obtain high-quality timber, other forest resources and products resulted from their processing through sustainable and most efficient methods provided that forest benefits in the area are preserved. (Federal Law of 04.12.2006 No. 200-FZ Forest Code of the Russian Federation)

**2.72 Sample representative forest plots** are forest plots representing natural (or close to natural) forest ecosystems in different groups of forest growth conditions relevant for a particular territory.

Note: When allocating such plots it shall be noted that they are essential for conservation of biodiversity on genetic, species and ecosystem levels and for maintenance of ecological functions and natural forest cycles such as reforestation and natural forest growth.

### 3 General Provisions

3.1 The main aims of organisation's forest management activities shall be not only prevention and elimination of harmful influence on environment, specially protected natural areas and sites, life and health of animals, plants and forests, people and their property as well as property of other organisations but also support and improvement of their health and well-being.

3.2 In its activities organisation shall meet the requirements of SFMRU/38200 system documents ([www.pefc.ru](http://www.pefc.ru)) and be guided by the concept of PDCA (Plan, Do, Check and Act). PDCA is a cyclic process of activities for constant improvement of organisation activities:

- Plan - develop system objectives and processes, determine resources to reach the results in accordance with clients demands and organisational policy, identify and consider risks and opportunities;

- Do - perform everything that was planned;

- Check - monitoring and (where applicable) measurement of processes, products and services in accordance with policy, objectives, requirements and plans, communication of results;

- Act - take actions to improve performance.

Note: For constant improvement of forest management system organisation should take into account the following guidelines and recommendations:

- GOST R ISO 9000- 2015 Quality management systems. Fundamentals and vocabulary;

- GOST R 55269- 2012 Organization management systems. Recommendations for building the integrated management systems;

- GOST R ISO 9001- 2015 Quality management systems. Requirements;

- GOST R 57189- 2016/ISO/TS 9002:2016 Quality management systems. Guidelines for the application of ISO 9001:2015;

- GOST R ISO 9004- 2019 Quality management. Quality of an organization. Guidance to achieve sustained success;

- GOST R ISO 14001- 2016 Environmental management systems. Requirements with guidance for use;

- GOST R ISO 19011- 2012 Guidelines for auditing management systems (ISO 19011:2018 Guidelines for auditing management systems).

3.3 In process of forest management an organisation shall declare and ensure that certification requirements are fulfilled in accordance with the following principles:

Principle 1: Organisation shall ensure

effective and continual improvement of its management system;

Principle 2: Organisation shall ensure compliance with Russian legislation and international obligations of the Russian Federation;

Principle 3: Organisation shall ensure that planning and monitoring of its activity are the basis for sustainable and multipurpose use of forest resources;

Principle 4: Organisation shall ensure rational and effective forest management;

Principle 5: Organisation shall ensure conservation of biodiversity, vitality of forest ecosystems and functions of forests;

Principle 6: Organisation shall ensure identification, protection and conservation of protective forests and specially protected forest plot;

Principle 7: In the process of its forest management activities organisation shall ensure respect for international and national rights and commitments in relation to its employees, local communities and indigenous people as well as needs and expectations of stakeholders.

3.3.1 The requirements stated in principles have been extended in criteria and indicators in order to be precise, results-based, verifiable in the process of certification audit and applicable to all organisations operating on a specified forest area and contributing to achieve meeting the requirements.

3.4 Organisation shall demonstrate that it meets the requirements of the documents and decisions of standardising body which is the Management Committee of Association “Centre for Development of Forest Certification” ([www.pefc.ru](http://www.pefc.ru)) including the requirements of this standard providing evidence to its stakeholders and assessors during certification audit that includes such activities in the office and outside (field audit) as: interviewing, testing, observing activities and processes, analysing and evaluating documented information, including records and data.

3.5 Forest management system of an organisation that

- a) does not have essential documentation;
- b) violates legal requirements in its planning and activities that entail progressing negative consequences either for people or for the environment;
- c) continues operating after it got negative results of its impact assessment from independent experts;
- d) deceives control and certification bodies by proving false operation results (when having evidence)

shall be unambiguously considered as failing to meet the requirements of this standard.

Positive assessment results mean that SFMRU/38200 certificate can be issued to the applicant.

#### **4. Sustainable forest management certification requirements**

##### **4.1 Principle 1: Organisation shall ensure efficiency and constant improvement of its management activities**

###### ***4.1.1 Criterion: Organisation shall ensure efficiency of its internal management structure***

###### ***Indicators:***

4.1.1.1 Boundaries and scope of applicability of forest management system shall be specified.

4.1.1.2 Forest management activities shall be carried out under the supervision of people with particular functions and responsibilities on the ground of constant improvement cycle, based on results of forest taxation, planning, implementation, monitoring, assessment and respective appraisal of social, environmental and economic impact made by forest management activities.

4.1.1.3 Resources necessary for development, implementation, maintenance and constant improvement of sustainable forest management system shall be identified and provided.

4.1.1.4 Managers, contractors, workers and forest owners shall be provided with sufficient information and continuous SFMRU/38200 training as a precondition for all management and planning activities and practices describe in this standard.

4.1.1.5 Plans, activities and results of such activities proving compliance of organisation with the requirements of this standard shall be accounted.

4.1.1.6 Documented information specified in this standard and considered by an organisation as necessary information for effective operation of its SFM system shall be available.

4.1.1.7 Up-to-date documented information that timely revised in accordance with organisation activities shall be available.

**4.1.2 Criterion: Organisation shall ensure effective external cooperation**

**Indicators:**

4.1.2.1 Affected stakeholders related to organisation's forest management as well as their needs and expectations shall be identified.

4.1.2.2 Issues related to organisation's sustainable forest management shall be considered through effective cooperation and consultations with local people, indigenous peoples and other stakeholders.

4.1.2.3 Appropriate mechanisms for resolving appeals, complaints and disputes related to forest management activities, land use rights and work conditions shall be available.

**4.1.3 Criterion: Organisation shall ensure monitoring, control and regulation of its activities**

**Indicators:**

4.1.3.1 Monitoring of forest resources and assessment of organisation's forest management including environmental, social and economic consequences shall be in place.

4.1.3.2 Results of monitoring shall be considered in the process of planning.

4.1.3.3 Health and vitality of forests shall be periodically examined, especially key biotic and abiotic factors that potentially affect health and vitality of forest ecosystems, such as pests, diseases, overgrazing and overstocking, fires, and damage caused by climatic factors, air pollutants or by forest management operations ;

4.1.3.4 In cases when non-wood forest products are under responsibility of an organisation and included in organisation's forest management system, their exploitation shall be regulated, monitored and controlled.

4.1.3.5 Regular monitoring over working conditions and their adjustment to changing influences, if necessary.

**4.1.4 Criterion: Organization shall carry out internal audits**

**Indicators:**

4.1.4.1 Internal audit programme shall be implemented and it shall provide information whether the management system:

a) complies with:

- organisation's requirements for its management system;
- requirements of this standard;

b) is effectively implemented and maintained.

4.1.4.2 Internal audits shall be carried out consistently through:

- a) planning, development, implementation and maintenance of internal audit programme including its regularity, ways, responsibilities and requirements for planning and reporting where significance of corresponding processes and previous audit results shall be considered.
- б) identification of internal audit criteria and scope of each audit;
- в) selection of auditors and conducting internal audits to ensure objectivity and the impartiality of the audit process;
- г) results of the audits are reported to relevant management;
- д) duly documented information shall be kept as evidence of the implementation of the audit programme and audit results.

4.1.4.3 In case of nonconformity, appropriate corrective actions shall be chosen in accordance with the likely consequences of such nonconformity and the organisation shall

a) react to the nonconformity and, as applicable:

- take action to control and correct it;
- 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:

- reviewing the nonconformity;
- determining the causes of the nonconformity;
- 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.

4.1.4.4 Corrective actions shall be chosen based on the consequences nonconformity may cause.

4.1.4.5 Documented information shall be kept as the evidence of:

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

#### ***4.1.5 Criterion: Organisation shall review its forest management system***

##### ***Indicators:***

4.1.5.1 Annual forest management system 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;
- b) information on the organisation's performance, including trends in:
  - nonconformities and corrective actions;
  - monitoring and measurement results;
  - results of internal and external audits.

opportunities for continual improvement.

4.1.5.2 The outputs of the forest management system review shall include decisions related to continual improvement and any changes to the management system.

4.1.5.3 Documented information shall be kept as evidence that forest management system was reviewed.

## **4.2 Principle 2: Organisation shall ensure compliance with Russian legislation and international obligations of the Russian Federation**

### ***4.2.1 Criterion: Organisation shall ensure compliance with federal legislation and corresponding legislation of territorial entities (regions) of the Russian Federation***

#### ***Indicators:***

4.2.1.1 Documentary evidence of compliance with the requirements of the legislation of the Russian Federation during establishment and registration of entities engaged in forest management, shall be available in accordance with the following federal laws [1]-[4] and [35];

4.2.1.2 The up-to-date laws and sublaws of the Russian Federation and regions of the Russian Federation regulating forestry relations shall be available for organisation's personnel.

4.2.1.3 A system for tracking and timely updating of current legislation of the Russian Federation and its regions applicable to the organisation activity shall be operative.

4.2.1.4 A procedure for making personnel aware of related legislation requirements shall be operative.

4.2.1.4 A system for identifying violations of forest legislation and related laws shall be operative, including development and implementation of anti-corruption measures [35]:



- a) appointing units or people responsible for prevention of corruption and other offenses;
- б) cooperation with law enforcement authorities;
- в) development and implementation of standards and procedures aimed at ensuring the conscientious work of the organisation;
- г) adopting a code of conduct for organisation's personnel;
- д) prevention and settlement of conflicts of interests;
- е) prohibition for unofficial reporting and use of forged documents.

4.2.1.5 Any documents like orders, instructions, guidelines and reports related to identified violations of laws shall be available.

4.2.1.6 Timely corrective measures shall be taken to eliminate the causes and mitigate the negative impacts of identified violations of forestry legislation and related laws.

4.2.1.7 Orders, instructions and guidelines related to elimination of causes and mitigation of the negative impacts of such violations shall be available.

4.2.1.8 A system for recording reports (including state inspection reports), protocols of violations of environmental, forest and water legislation shall be operative.

**4.2.2 Criterion: Organisation shall ensure that all kinds of imposed payments, duties, assignments, taxes and other charges are paid.**

**Indicators:**

4.2.2.1 The list of all payments, duties, assignments, taxes and other charges with due dates shall be available.

4.2.2.2 The evidence of timely settled payments shall be available.

4.2.2.3 The evidence of no arrears of payments, duties, assignments, taxes and other charges shall be available.

**4.2.3 Criterion: Organisation shall ensure that current labour and social legislation ensuring employment guarantees and social obligations to personnel is respected.**

**Indicators:**

4.2.3.1 Current up-to-date laws and workplace safety rules shall be available;

4.2.3.2 Workplace safety guidelines shall be available;

4.2.3.3 Records of training on labor protection and safety at work shall be kept;

4.2.3.4 The management of the organisation shall demonstrate that it is aware of the contents of the Labour Code [5] and related laws[2], [3], [29], [30];

4.2.3.5 The personnel of the organisation shall demonstrate that it is aware of the contents of the Labour Code [5] and related laws[2], [3], [29], [30];

4.2.3.6 Industry and tariff agreements shall be available and personnel shall be aware of their provisions;

4.2.3.7 The agreements between the employer and employee/employees on implementation of labor guarantees and social obligations shall be available.

4.2.3.8 There shall be evidence of no violations of labor guarantees and social obligations.

4.2.3.9 Bonded and forced labour shall not be used.

**4.2.4 Criterion: Organisation shall ensure that rights of legal entities and private individuals to carry out forest management activities are defined and respected.**

**Indicators:**

4.2.4.1 Documents proving rights of tenure, lease and use of forest plots shall be available [1], [2].  
Note: General procedures shall comply with FAO principles [43].

4.2.4.2 Organisation's management shall be aware of legal requirements to exercise their rights for tenure, leasehold and management of forest plots.

4.2.4.3 Information about forest owners and leaseholders of adjacent forest plots shall be available.

4.2.4.4 Information about local communities, indigenous peoples and affected stakeholders, their needs and expectations related to forest management as well as their rights shall be identified and available.

4.2.4.5 Legal requirements related to tenure and use rights for forest plots with due regard for the rights (legal, customary, traditional) of local communities, indigenous peoples and affected stakeholders shall be respected.

4.2.4.6 Procedures for resolution of disputes related to tenure and leasehold rights shall be available.

4.2.4.7 Procedures for processing appeals and complaints and resolution of disputes with local communities, indigenous peoples and affected stakeholders shall be operative.

4.2.4.8 There shall not be any outstanding disputes over rights for tenure and leasehold of forest plots (in case there are such disputes they shall be resolved in accordance with the laws).

4.2.4.9 There shall not be any outstanding disputes between organisation and communities (in case there are such disputes they shall be resolved in accordance with laws).

4.2.4.10 Records and reports related to forest plots, species, materials and products assortment shall be available.

4.2.4.11 The boundaries of forest plots shall be defined on maps and on site.

4.2.4.12 The information about tenders on rights for leasehold and use of forest plots shall be available.

4.2.4.13 The transfer of forest plots to the organisation for use shall be public and local communities shall be informed.

***4.2.5 Criterion: Organisation shall ensure protection of forest plots from illegal operations.***

***Indicators:***

4.2.5.1 There shall not be any illegal and unauthorised allotment or seizure of lands.

4.2.5.2 There shall not be any unauthorised activities.

4.2.5.3 A registration and control system for all users entitled to carry out economic activities shall be available.

4.2.5.4 A system for detection and suppression of unauthorised activities such as illegal logging, illegal land use, arsons etc. shall be operative.

4.2.5.5 A system of measures to prevent negative impacts from activities in adjacent forest plots shall be operative.

4.2.5.6 Appropriate measures addressed to detect illegal and unauthorised activities shall be carried out in accordance with current laws.

4.2.5.7 There shall not be any conversion of forest fund lands into other categories of land use.

4.2.5.8 There shall be a legal justification for cases when forest fund lands are converted into other land use categories [38].

Note: Such legal justification shall include evidence that the conversion:

- a) is in compliance with national and regional policy and legislation applicable for land use and forest management and is the result of national or regional land-use planning regulated by a government or other official authorities including consultations with stakeholders;
- b) causes an insignificant (less than 5%) reduction of forest types within the certified territories;
- b) does not have negative impacts on ecologically important forest areas, culturally and socially significant areas, or other protected areas,
- г) does not destroy areas of significantly high carbon stock (such as high-bonitet stands and old-growth forests),
- д) make a contribution to long-term conservation, economic and social benefits.

4.2.5.9 There shall be a legal justification that reforestation and afforestation of ecologically important non-forest ecosystems is an extraordinary and exceptional case [6, 8, 38];

Note: Such legal justification shall include evidence that reforestation and afforestation:

- a) are 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;
- б) is based on a decision-making process when affected stakeholders have opportunity to contribute in this process through transparent and participatory consultation;
- в) do not have negative impacts on endangered (including sensible, rare or vanishing) non-forest ecosystems, culturally and socially significant areas, important habitats of endangered species or other protected areas;
- г) occupy a small proportion of the ecologically important non-forest ecosystem managed by an organisation;
- д) do not destroy areas of significantly high carbon stock,
- е) make a contribution to long-term conservation, economic, and social benefits.

4.2.5.10 There shall be a legal justification including evidence that conversion of abandoned agricultural lands and non-forest lands into forest fund lands increases economic, environmental, social and/or cultural values of this territory and is an an important exceptional case [38].

**4.2.6 Criterion: Organisation shall comply with the provisions of international documents and agreements signed and ratified by the Russian Federation.**

**Indicators:**

4.2.6.1 International documents signed and ratified by the Russian Federation (in accordance with the list), as well as resolutions of Helsinki and Montreal processes, materials of Lisbon and Vienna Conferences on Sustainable Forest Management shall be available [25]-[27].

4.2.6.2 Organisation's personnel shall be aware of international requirements regulating their activity.

4.2.6.3 Information on compliance with the provisions of international documents signed and ratified by the Russian Federation shall be included in organisation's plans.

4.2.6.4 Forest management practices shall be in compliance with the requirements of international documents signed and ratified by the Russian Federation.

4.2.6.5 Red Books of rare and endangered flora and fauna species of the Russian Federation and a territorial entity (region) of the Russian Federation shall be available [31]-[33].

4.2.6.6 Lists of flora and fauna species as well as areas fallen under the ratified Conventions [19], [20], [21] shall be available.

4.2.6.8 Flora and fauna species discovered within areas of organisation's activity and fallen under the ratified Conventions and Agreements shall be recorded in related plans.

**4.2.7 Criterion: Organisation shall comply with the laws related to environmental aspects of forest management.**

**Indicators:**

4.2.7.1 Organisation's personnel shall be aware of current legislation related to environmental aspects of forest management [1], [2], [6]-[8], [19]-[21], [31- 33].

4.2.7.2 There shall not be any violations of current federal and local (regional) legislation as well as administrative requirements.

4.2.7.3 Corrective measures shall be taken in case of any conflict between federal laws and sublaws or local (regional) legislation.

4.2.7.4 Measures regarding identified disparity in legislation concerning environmental aspects of forest management shall be agreed through consultations with stakeholders.

### 4.3 Principle 3: Organisation shall ensure

**that planning and monitoring of its activity are the basis for sustainable and multipurpose use of forest resources;**

***4.3.1 Criterion: Organisation shall plan its activities in order to keep economic, social and environmental balance. Indicators:***

4.3.1.1 Long-term, medium-term and short-term plans that correspond with forest plots size and type of forest use shall be available.

4.3.1.2 Long-term and medium-term plans shall be implemented after short-term plans.

4.3.1.3 Short-term plans shall be implemented in a timely manner.

4.3.1.4 Forest management plan shall have the aim to maintain or increase forest areas and other lands under forest and to improve the quality of economic, environmental, cultural and social values of forest resources including soil and water resources considering risks and opportunities related to compliance with forest management requirements [1].

4.3.1.5 Forest management plan shall have the aim to maintain and improve health and viability of forest ecosystems and restore the degraded forest ecosystems; maintain and enhance the protective functions of forests such as protection of water resources, infrastructural facilities, prevention of soil erosion, protection against adverse impacts of water resources such as floods and avalanches.

4.3.1.6 Forest management plan shall indicate the ways and means for minimizing the risk of degradation of and damage to natural ecosystems.

4.3.1.7 Forest management plan shall include cycles of inventory, revision of plans, their implementation, monitoring and assessment as well as relevant evaluation of social, environmental and economic impacts of forestry operations.

4.3.1.8 Forest management plan shall demonstrate constant improvement to minimize or prevent negative impact on forests.

4.3.1.9 Forest management plan shall be worked out and updated regularly in accordance with scientific achievements, current legislation, existing land and forest use plan and available forest resources.

Note: Forest management plan must be necessarily updated in case of executive authority decision to withdraw forest lands from the organisation's leased plots to use them for other purpose.

4.3.1.10 Information about forest resources, environmental restrictions, land use and tenure status, socio-economic conditions and description of adjacent lands shall be available.

4.3.1.11 Forest management plan shall include such operations as forest regeneration; preventive measures for forest protection including provision of technical means for fire detection and extinction; protection from pests, diseases and other pathological factors.

4.3.1.12 Forest management plan shall include the following sections:

- a) - description of current state of forest management including available forest resources, types of forest use and forest plot functions, environmental restrictions, socio-economic conditions, as well as land use conditions, tenure status and other information about adjacent lands;
- b) - data on annual allowable cut, actual felling volumes, silvicultural system of use, protection and regeneration of forest resources including applied techniques, machines and equipment;
- B) - description of a system of forest pathology and forest fire monitoring as well as monitoring of forest stand dynamics and growth;
- r) - description/justification of planned forestry operations including long-term goals; system of forest management plan revision on the basis of monitoring results; a list of harvested species; measures to exercise rights and guarantees of personnel, local communities and indigenous peoples [34]; measures to preserve and enhance biodiversity (at landscape, ecosystem, species and genetic diversity levels) such as identification and protection of rare and endangered species as well as species

included in the federal and regional Red Books of flora and fauna species [31]-[33], conservation of protective forests, specially protected forest plots, specially protected natural areas;

- д) - maps with current and planned operations including location of forest resources; hunting areas; habitats of protected species; boundaries of protective forests, specially protected forest plots, specially protected natural areas; planned forestry operations and land ownership rights.

4.3.1.13 Forest management plan shall define sustainable allowable use rates through implementation of techniques that minimise direct and indirect damage to forest, soil and water resources providing:

- a) - maintenance of the quantity and quality of forest resources in the long and medium perspective based on balanced harvest/increment ratio;  
 б) - allowable use of non-wood forest products in cases when forest management covers commercial use of non-wood forest products at a level which can have an impact on their long-term sustainability.

Note: Sustainable allowable use rates shall be revised in case of executive authority decision to withdraw forest lands from the organisation's leased plots for use them for other purpose if such withdrawal has influence on the rates.

4.3.1.14 Forest inventory and mapping forest recourses as well as their regular update shall be implemented in scale corresponded to the local, regional and federal conditions.

4.3.1.15 The annual allowable cut shall be calculated for each forest district and separately for commercial and protective forests in view of species management units.

Note: The annual allowable cut shall be calculated separately for clear (regeneration) cuttings, selective cuttings in mature and overmature stands as well as in medium-aged, maturing, mature, overmature stands in case of felling of dead or damaged stands, forest thinnings (except 1-age-class young stands) on the basis of forest inventory data, the State Forest Register and special forest surveys.

***4.3.2 Criterion: Organisation shall ensure economic feasibility and efficiency of planned activities with view of market outlets.***

***Indicators:***

4.3.2.1 The operational plan and budget for the current fiscal year shall be available.

4.3.2.2 Necessary investments to maintain or increase forest productivity shall be made.

4.3.2.3 Marketing research of forest product markets shall be conducted.

4.3.2.4 Costs and profits by types of economic activity shall be periodically calculated.

4.3.2.5 Financial plan providing funds for forestry and forest protection operations shall be available.

4.3.2.6 Plans shall be reviewed and updated regularly based on ecological, social and economic changes as well as financial capabilities.

4.3.2.7 Any changes in allocation of funds for forestry and forest protection operations shall be justified.

***4.3.3 Criterion: Organisation shall ensure that examination and coordination of all projects regulating forestry and forest use are conducted in accordance with the laws.***

***Indicators:***

4.3.3.1 Updated forest inventory materials, forest development plan, district forestry regulation shall be available.

4.3.3.2 Environmental impact analysis of forest management including plantation cultivation shall be conducted according to scale and intensity of forestry including cutting operations.

4.3.3.3 The documents with results of environmental impact analysis, examination and coordination of forest inventory materials, forest development plans in view of rare (protected) forest resources involved in economic activity shall be available.

4.3.3.4 The results of environmental impact analysis shall be taken into account when implementing forest management plans.

**4.3.4 Criterion: Organisation shall ensure timely monitoring of the state of forests, their socio-economic and ecological functions, accounting forest resources and products.**

**Indicators:**

4.3.4.1 Forest health and forest management scale shall be monitored annually.

4.3.4.2 Changes in socio-economic conditions, ecological functions and values of forest shall be recorded, controlled and assessed.

4.3.4.3 The sanitary condition and vitality of forests shall be regularly monitored, especially key biotic and abiotic factors which may affect the sanitary condition and vitality of forest ecosystems such as pests, diseases, excessive grazing and stock in stands, fires and damage caused by climatic factors, air pollutants or forest management operations.

4.3.4.4 Information shall be collected and assessed by the following indicators:

- a) actual/allowable timber harvest ratio;
- б) clear/selective cuttings ratio and the dynamics of this indicator;
- в) land area under forest stands and the share of economically valuable species;
- г) volume of removed forest products;
- д) dynamics of mean annual increment;
- е) scale of reforestation;
- ж) age and bonitet structure of forests;
- з) protected areas by category;
- и) volumes of biotechnical operations;
- к) volumes and types of forest protection and conservation measures;
- л) dynamics of changes in composition of protected species;
- м) environmental and social impacts of harvesting and other forestry operations;
- н) aggregate expenditures for forestry operations.

4.3.4.5 Inspecting organisations shall have access to documentation enabling to track flows of forest products from the place of origin to sales (chain of custody).

4.3.4.6 The system for accounting all produced and sold forest products shall be implemented.

4.3.4.7 All sold certified products shall be accompanied by the following information:

- a) type;
- б) volume;
- в) place of harvesting/production;
- г) date of harvesting/production;
- д) certificate number;
- е) customer details;
- ж) date of custodianship transfer.

**Notes:**

1- The organisation shall specify the type of document where claims for outputs are made.  
2- The claims of product origin from the area covered by this standard shall be made only by forest owners/managers holding an SFMRU/38200 certificate of conformity to the standard.

3 - In case when forest owners/managers sell products coming from the areas other than those covered by the standard, claim “100% SFMRU/38200-certified” or other system specific claim shall be used only for products covered by the standard.

4 - For each delivery of output products coming from SFMRU/38200 product group with SFMRU/38200 claim, it shall provide SFMRU/38200 customer with documentation containing the following information: name client, name of supplying organisation, name of products,

volume, date of delivery / delivery period / accounting period, applicable claim for each claimed product covered by the documentation, number of SFMRU/38200 certificate.

4.3.4.8 An annual monitoring program covering forest health, volume of harvest and scale of forest management shall be available.

4.3.4.9 A report on results of annual monitoring of forest health, volume of harvest and scale of forest management shall be available.

4.3.4.10 The procurement policy for certified raw material shall be available.

4.3.4.11 Record of suppliers shall be kept.

4.3.4.12 Customers shall be registered.

4.3.4.13 The scheme of product supply shall be available.

***4.3.5 Criterion: Organisation shall apply methods of monitoring that ensure receiving comparable results and assessing changes of forest health.***

***Indicators:***

4.3.5.1 Methods of monitoring and operation control shall be available.

4.3.5.2 Monitoring of all activities shall be documented.

4.3.5.3 Specially trained personnel shall be appointed for monitoring and operation control.

4.3.5.4 Records and/or reports on forest monitoring and operating control shall be available.

***4.3.6 Criterion: Organisation shall review its short-, medium- and long-term plans based on monitoring results.***

***Indicators:***

4.3.6.1 Monitoring results shall be analysed.

4.3.6.2 Forest management plans shall be implemented and revised based on results of monitoring and operation control including changes in socio-economic conditions, environmental functions and values of forests.

***4.3.7 Criterion: Organisation shall ensure that information about planned activities and monitoring results is provided to the public.***

***Indicators:***

4.3.7.1 Summary reports on monitoring and operational control shall be brought to attention of all stakeholders.

4.3.7.2 Public inquiries concerning the results of monitoring and operational control shall be considered.

4.3.7.3 Summary of organisation activities shall be communicated to the mass media.

4.3.7.4 Summary of forest management plan shall be communicated to the public including information about planned forestry operations.

Note: The summary may not include confidential, commercial or private information as well as information about valuable cultural and natural sites to prevent unauthorised access to them.

#### **4.4 Principle 4: Organisation shall ensure rational and effective forest management**

***4.4.1 Criterion: Organisation shall ensure effective management***

***Indicators:***

4.4.1.1 A commitment to comply with the requirements of this standard as well as principles and criteria of sustainable forest management shall be available.

4.4.1.2 Employees with specific functions and job descriptions responsible for sustainable forest management shall be appointed.

4.4.1.3 The requirements of this standard shall be communicated to personnel, subcontractors and forest users.

4.4.1.4 Regulations and specifications shall be consistent with principles and criteria of sustainable forest management.

4.4.1.5 The management and personnel shall comply with regulations and instructions reflecting sustainable forest management requirements stated in this standard.

***4.4.2 Criterion: Organisation shall ensure balance between the volume of harvested forest resources and allowable harvest rates.***

***Indicators:***

4.4.2.1 Forestry operations shall comply with the goal of maintaining or reaching the economically, environmentally and socially desirable forest growing stock.

4.4.2.2 A system for recording harvested forest resources shall be available.

4.4.2.3 Timber harvest volumes for each species management unit shall not exceed allowable harvest rate.

4.4.2.4 Volumes of annual harvest of non-timber forest products shall not exceed the allowable harvest rate.

4.4.2.5 Organisation shall control over its activities in terms of the balance between volume of timber harvesting and allowable rates for harvesting non-timber forest products, hunting and fishing.

4.4.2.6 Volumes of annual harvest of timber and non-timber forest products shall not exceed the rates that may be sustained in the long-term perspective.

4.4.2.7 Harvested forest resources shall be used in an optimum manner.

***4.4.3 Criterion: Organisation shall ensure that productivity and commercial value of forests are not decreased.***

***Indicators:***

4.4.3.1 Harvested timber and produced forest products shall be accounted by volume, species and grades.

4.4.3.2 Timber harvesting plans and silvicultural operations such as reforestation, protection and conservation of forests, biotechnical activities shall be implemented.

4.4.3.3 Reforestation, afforestation, thinnings and timber harvesting (including skidding and hauling) shall be carried out in due time and manner not affecting the productive capacity of the forest plot to store and sequester carbon in medium and long-term perspective, for example, by preventing the damage to the remaining stand, trees and forest soils as well as by applying appropriate melioration and silvicultural systems.

4.4.3.4 Forestry operations and timber harvesting shall be performed as scheduled.

4.4.3.5 Forestry operations and timber harvesting shall be carried out according to the district forestry regulation.

4.4.3.6 Forestry operations and timber harvesting shall be of proper quality.

***4.4.4 Criterion: Organisation shall ensure that it carries out operations in view of all opportunities for production of various forest products, services and types of forest use.***

***Indicators:***

4.4.4.1 The forest management plan shall aim to maintain the forests' ability to produce timber and non-timber products and services without forest depletion.

4.4.4.2 Forest management plan shall include a section for recording production of forest products and forest use.

4.4.4.3 The policy for sustainable forest management including for support of production of commercial and non-commercial forest products and services shall be documented.

4.4.4.4 Records for all produced forest products and provided services shall be kept.

4.4.4.5 Marketing research of trends and competitiveness of forest products and services shall be conducted.



4.4.4.6 The forest management plan shall aim to reach reasonable economic indicators in view of marketing research results, opportunities of expanding into new markets and economic activities covering all forest products and services.

4.4.4.7 A long-term plan for expanding the range of produced forest products and provided services shall be available.

4.4.4.8 Opportunities for producing a wide range of forest products (timber and non-timber) including use of non-timber forest resources as well as use of forest plots for cultural, recreational, ecological, educational, tourist and sports purposes shall be considered and used.

4.4.4.9 Forestry operations to maintain and improve forest resources and encourage the diversification of products and services in the long-term perspective shall be carried out.

**4.4.5 Criterion: Organisation shall ensure sufficient funding of measures for maintaining economic, ecological and social aspects of economic activity.**

**Indicators:**

4.4.5.1 Economic activity shall be break-even in the long-term perspective.

4.4.5.2 Organisation shall plan sufficient funds for measures aimed at maintaining economic, ecological and social aspects of economic activity.

4.4.5.3 Accounting system complying with the requirements of the law shall be operative.

4.4.5.4 Incurred expenses shall be recorded and controlled.

4.4.5.5 Funds allocated for maintaining economic, ecological and social aspects of economic activity shall be spent according to the plan.

**4.4.6 Criterion: Organisation shall ensure that clear-cutting operations are justified with regard to environmental impact.**

**Indicators:**

4.4.6.1 State expertise opinion and documents approving clearcut plan (including sanitary cutting) in accordance with the law shall be available.

4.4.6.2 Clear cutting shall be accompanied by necessary reforestation measures.

4.4.6.3 Clear cutting shall be performed within the planned time schedule.

4.4.6.4 Clear cutting shall comply with the forest legislation.

4.4.6.5 Certificates of cutting sites inspection shall be available.

4.4.6.6 A strategy and program for promotion of selective cuttings shall be available.

4.4.6.7 Selective cuttings shall be applied, where applicable, depending on stands conditions for ensuring preservation of forest environment on cutting sites.

**4.4.7 Criterion: Organisation shall ensure that losses during harvesting and processing of timber and non-timber forest resources are recorded, assessed and prevented.**

**Indicators:**

4.4.7.1 Plan for production modernization and introduction of advanced low-waste methods of harvesting and processing of timber and non-timber forest resources shall be available.

4.4.7.2 Arrangements for implementation of advanced low-waste methods of harvesting and processing of timber and non-timber forest resources shall be made.

4.4.7.3 Records for manufactured products, wood waste and losses shall be kept.

4.4.7.4 Calculated rates of wood waste and losses shall not be exceeded.

4.4.7.5 All types of harvested wood and secondary wood resources suitable for industrial processing shall be processed if economically and technically justified.

4.4.7.6 Wood waste shall be utilised unless it does not contradict fire safety regulations and ecological requirements.

**4.4.8 Criterion: Organisation shall ensure that proper infrastructure for effective supply of products and services is planned, developed and maintained.**

**Indicators:**

4.4.8.1 The plan for harvesting, forestry operations and road construction shall contain provisions for removal of production waste, vehicle and equipment operation waste.

4.4.8.2 Relevant norms regulating cutting and forestry operations as well as construction of roads, hydrotechnical structures and bridges shall be met.

4.4.8.3 Environmentally friendly techniques aimed to minimize environmental impacts shall be used for harvesting operations.

4.4.8.4 Harvesting, construction, vehicles and equipment operations shall not pollute the adjacent water reservoirs and their coastal buffer zones.

4.4.8.5 Design and construction of infrastructure facilities including roads and bridges shall be implemented in such a way to minimize damage to ecosystems and ecologically important forest plots with conservation of natural migration routes.

4.4.8.6 Goods and services shall be delivered effectively and use of forest road network, hydrotechnical structures and bridges shall not lead to disturbance or pollution of water reservoirs, waterways, beds of small rivers and streams (including non-perennial ones).

4.4.8.7 Prohibitory and restrictive road signs shall be set up on forest plots in accordance with existing rules and regulations.

4.4.8.8 Timber harvesting and road construction shall not lead to soil erosion.

4.4.8.9 Forestry practice shall include construction and use of drainage systems including roads that prevent swamping and inundation.

***4.4.9 Criterion: Organisation shall ensure that forest management is supervised by qualified experts in view of scientific findings.***

***Indicators:***

4.4.9.1 Documents proving that personnel have appropriate qualifications to perform their duties shall be available.

4.4.9.2 Staffing table and job descriptions shall be available.

4.4.9.3 A plan for qualification upgrade (reskilling) and re-training shall be available.

4.4.9.4 A report on qualification upgrade and re-training shall be available.

4.4.9.5 All operations in forest shall be carried out under supervision of professionals [41].

4.4.9.6 Economic activity shall be under control by authorities.

4.4.9.7 Forestry operations shall be under internal control.

4.4.9.8 Forest management activities shall be based, inter alia, on scientific research results recommended to be used by forest management authorities according to established order.

4.4.9.9 The organisation shall contribute to improving the quality of forest management based on scientific research and data collection.

Note: Respective scientific research carried out by other organisations shall be supported when applicable.

**4.5 Principle 5: Organisation shall ensure conservation of biodiversity, vitality of forest ecosystems and functions of forests**

***4.5.1 Criterion: Organisation shall ensure that forest management planning is aimed to maintain, conserve and enhance biodiversity on landscape, ecosystem, species and genetic levels.***

***Indicators:***

4.5.1.1 The forest management plan shall aim to maintain, conserve and enhance biological diversity of the ecosystem, including forest types, species and genetic diversity and, where possible, diversity at the landscape level.

4.5.1.2 Forest management planning, inventory and mapping shall identify, protect and/or preserve ecologically important forest plots.

4.5.1.3 Forest plots shall be surveyed to identify rare, endangered and on the verge of extinction species as well as species covered by the Red Books of the Russian Federation and territorial entities of the Russian Federation [31]-[33];

4.5.1.4 Information about rare, endangered and on the verge of extinction species, as well as species covered by the Red Books of the Russian Federation and territorial entities of the Russian Federation [31]-[33] identified or not identified on forest plots shall be available.

4.5.1.5 Maps showing location and habitat of rare, endangered and on the verge of extinction species as well as species covered by the Red Books of the Russian Federation and territorial entities of the Russian Federation [31]-[33] shall be available.

4.5.1.6 Identified rare, endangered and on the verge of extinction species as well as species covered by the Red Books of the Russian Federation and territorial entities of the Russian Federation [31]-[33], their habitats, nesting and feeding areas shall be recorded and protected in all types of forestry activities (including hunting and fishing).

4.5.1.7 Personnel shall be informed about the list of rare, endangered and on the verge of extinction species as well as species covered by the Red Books of the Russian Federation and territorial entities of the Russian Federation [31]-[33].

4.5.1.8 Procedures describing methods and techniques used to protect identified rare, endangered and on the verge of extinction species as well as species included into the Red Books of the Russian Federation and territorial entities of the Russian Federation [31]-[33] shall be available.

4.5.1.9 Discovered habitats of rare, endangered and on the verge of extinction species as well as species covered by the Red Books of the Russian Federation and territorial entities of the Russian Federation [31]-[33] shall be considered in forest management plans.

4.5.1.10 When allocating cutting areas flora and fauna inventory data shall be considered.

4.5.1.11 Timber shall not be harvested on the forest plots that are key habitats for protected species.

4.5.1.12 Commercial use of protected and endangered plant and animal species shall not be allowed.

4.5.1.13 Measures to preserve protected and endangered plant and animal species and enhance their populations, where applicable, shall be taken.

4.5.1.14 Organisation shall support the process of establishment of protected areas with habitats of rare, endangered and on the verge of extinction species as well as species included into the Red Books of the Russian Federation and territorial entities of the Russian Federation [31]-[33].

4.5.1.15 Organisation shall restrict forest use in the areas where rare, endangered and on the verge of extinction species as well as species included into the Red Books of the Russian Federation and territorial entities of the Russian Federation are found [31]-[33].

4.5.1.16 Traditional forest management systems aimed at creating valuable ecosystems such as coppice system shall be maintained if economically feasible.

4.5.1.17 The regime of limited forest use for conservation of rare, endangered and on the verge of extinction species as well as species included into the Red Books of the Russian Federation and territorial entities of the Russian Federation [31]-[33] shall be followed.

4.5.1.18 Measures to conserve, improve and maintain biological diversity (genetic, species and ecosystem) shall be taken in accordance with rules and regulations in force.

Note: It is necessary to support horizontal and vertical diversification as well as species diversity such as, for example, mixed forest if applicable. This shall aim at maintenance or restoration of landscape diversity.

4.5.1.19 Thinnings and cutting operations shall be conducted in a way to minimize their potential impact on health and stability of forests and surrounding ecosystems as well as to preserve such elements (or their parts) of forest ecosystem as old trees, ecologically valuable trees, seed trees of economically valuable species, dead standing trees and windfall, hollow trees, overmature forest and individual rare tree species in a quantity necessary to ensure biodiversity.

4.5.1.20 An assessment of forestry operations impact on species included into the Red Books of the Russian Federation and territorial entities of the Russian Federation shall be conducted [31]-[33].

**4.5.2 Criterion: Organisation shall ensure that sample, representational plots of forests are identified in situ and protected in their natural condition.**

**Indicators:**

4.5.2.1 Major ecological functions and forest values for sample, representational forest plots shall be identified.

4.5.2.2 Forest areas shall be surveyed in order to identify sample, representational forest plots.

4.5.2.3 Summary of survey results for identification of sample, representational forest plots shall be available.

4.5.2.4 Specific protection arrangements for the identified sample, representational forest plots shall be introduced.

4.5.2.5 Identified forest plots shall be preserved in their natural condition.

4.5.2.6 Forestry operations shall be implemented in view of all socio-economic functions especially recreational function and esthetic values of forests through maintaining representational forest structures and encouraging growth of promising trees, groves and other attributes such as colour scheme, flowers and fruit, in the manner and scale preventing serious impact on forest resources and lands.

**4.5.3 Criterion: Organisation shall ensure that sanitary condition of forests is maintained and improved.**

**Indicators:**

4.5.3.1 Forest pathology monitoring in view of the role of natural succession shall be maintained.

4.5.3.2 Sanitary measures shall be planned on the basis of results of forest pathology surveys.

4.5.3.3 Plans for sanitary measures shall be implemented.

**4.5.4 Criterion: Organisation shall ensure that measures to prevent disturbance and degradation of forest ecosystems are taken.**

**Indicators:**

4.5.4.1 Environmental impact analysis system shall be available and applied according to the scale and intensity of cutting operations and uniqueness of forest resources (e.g. periodic surveys of flora and fauna, assessment of the risks of floods (flooding) and avalanches, soil erosion on banks of water bodies and their pollution).

4.5.4.2 The full complex analysis results shall be taken into account when planning activities including preventive measures.

4.5.4.3 Preventive measures shall be taken based on assessment of forest ecosystems degradation risk, due to for example natural decay, erosion processes, harvesting on slopes and other negative natural and human induced processes.

4.5.4.4 Technological processes and machinery shall be used in such a way to prevent floods (flooding), avalanches, damage to soil and trees left at the cutting sites and adjacent forest areas including the banks of water bodies.

4.5.4.5 Measures to control recreation, harvesting operations and collection of non-timber forest resources in order to minimise damage shall be taken.

4.5.4.6 Measures to protect planted seedlings and young stands shall be taken.

4.5.4.7 Measures to minimize the impact of animal populations and cattle grazing on sensitive soils, reforestation, forest growth and biological diversity shall be taken.

**4.5.5 Criterion: Organisation shall ensure that damaged forest ecosystems are restored.****Indicators:**

4.5.5.1 Forest plots damaged as a result of economic activity shall be identified.

4.5.5.2 A summary report on forest plots damaged as a result of economic activity shall be available.

4.5.5.3 Maps of forest plots damaged as a result of economic activity shall be available.

4.5.5.4 Organisation's plans shall include measures for restoration of damaged forest ecosystems on forest plots.

4.5.5.5 Organisation's budget shall allocate funds for restoration of damaged forest ecosystems.

4.5.5.6 Works on restoration of forest ecosystems damaged as a result of economic activity shall be carried out.

**4.5.6 Criterion: Organisation shall ensure the priority used of local economically valuable species for reforestation, afforestation and creating plantations.****Indicators:**

4.5.6.1 The species composition in regenerated forests and on plantations shall be selected on the basis of forest seed zoning [1].

4.5.6.2 Endemic and native species well adapted to the conditions of forest plot shall be used for reforestation and afforestation, where applicable.

Note: Only those introduced species or varieties that have been assessed against environmental impact on ecosystem and genetic integrity shall be used on condition that their negative impact can be prevented or minimized. Guiding principles of the Convention on biological diversity[20] for prevention, introduction and reduced impact of exotic species threatening ecosystems, habitats and endemic species shall be considered as a guide for prevention of introduction of invasive species.

4.5.6.3 Introduced species shall only be used on forest plantations.

4.5.6.4 Plantations shall be set up after getting an approval of the environmental examination realised according to the established procedure [1].

Note: Conversion of primary forests into plantations is prohibited. Conversion of severely degraded forests into forest plantations shall be considered, whenever it can add economic, ecological, social and/or cultural value. Preconditions of this are circumstances where the conversion:

- a) are 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 the government or other authorities;
- б) is based on a decision-making process when affected stakeholders have opportunity to contribute in this process through transparent and participatory consultation;
- в) has a positive impact on long-term carbon sequestration capacity of forest vegetation;
- г) does not have negative impacts on ecologically important forest areas, culturally and socially significant areas, or other protected areas,
- д) safeguards protective functions of forests for society and other regulating or supporting services,
- е) safeguards socio-economic functions of forests, including the recreational one and aesthetic values of forests and other cultural services,
- ж) has a land history providing evidence that the degradation is not a consequence of poor forest management practices,

is based on credible evidence demonstrating that the area is neither recovered nor is in the process of regeneration.

4.5.6.5 The forest plantation design and exploitation plans shall be available.

4.5.6.6 The use of introduced species shall be controlled.

4.5.6.7 An opportunity for natural regeneration shall provided in the process of reforestation.

4.5.6.8 Natural reforestation shall be encouraged or, if it is not possible or applicable, combined or artificial methods with forest sowing and planting to the extent sufficient to guarantee the required quantity and quality of forest resources shall be used.

4.5.6.9 Natural reforestation shall be in priority to artificial one.

4.5.6.10 Reforestation and afforestation shall be provided to promote improving and restoring ecological links.

4.5.6.11 The impact of plantations on the environment shall be controlled by experts.

**4.5.7 Criterion: Organisation shall ensure that chemical and biological agents are used in a safe manner.**

**Indicators:**

4.5.7.1 Fertilizers shall be used only under control of experts and only on the permanent sites of forest-seed plots, forest plantations, nurseries, in process of afforestation and soil reclamation for non-forest lands when the necessity of such use is approved as a result of assessments and permits in accordance with legislation.

Note: Use of fertilizers shall not be an alternative for proper regulation of nutrient intensity in soil.

4.5.7.2 The use of pesticides shall be minimised by using methods of IPM and other suitable silvicultural and biological control means.

4.5.7.3 A strategy relying on biological agents for pest control methods rather than chemical pesticides shall be available.

4.5.7.4 Biological agents shall be used as a priority and in accordance with their application rules.

4.5.7.5 A strategy for avoiding chemical methods of pest control shall be implemented.

4.5.7.6 Pesticides shall be used only in cases when their use is absolutely necessary. Pesticides shall only be used by trained experts in accordance with rules and regulations of pesticides use as well as safety regulations.

4.5.7.7 Proper training of personnel on use of pesticides shall provided.

4.5.7.8 Proper training of personnel on use of chemicals shall provided.

4.5.7.9 Proper equipment for handling pesticides shall be provided.

4.5.7.10 Proper equipment for handling chemicals shall be provided.

4.5.7.11 Safety instructions and guidelines including manufacturer instructions (user manuals) for use of approved pesticides and chemicals shall be followed.

4.5.7.12 Use of permitted pesticides and chemicals shall be controlled and documented by the experts.

4.5.7.13 Safety instructions and guidelines for use of pesticides and chemicals shall be available.

4.5.7.14 Approval and prohibitive documents shall be available and followed [22, 23, 28, 36];

Note: Pesticides type 1A (highly hazardous) and 1B (very hazardous) of World Health Organisation list of prohibited pesticides and chemicals as well as other highly toxic pesticides shall not be used. Such pesticides as chlorinated hydrocarbons whose derivatives remain biologically active and are accumulated in the food chain beyond their intended use as well as any pesticides banned by the international agreements shall be prohibited in accordance with the 2001 Stockholm Convention on Persistent Organic Pollutants [22].

4.5.7.15 Genetically modified organisms shall not be used.

**4.5.8 Criterion: Organisation shall ensure that production and domestic waste accumulated in process of economic activity are removed, collected and recycled in safe manner.**

**Indicators:**

4.5.8.1 Rules and instructions for handling chemicals, containers, liquid and solid non-organic waste, including fuels and lubricants, prohibition for their uncontrolled disposal as well as actions in case of emergency shall be available.

4.5.8.2 Person(s) responsible for disposal, collection and recycling of production and domestic waste, waste from vehicles and equipment use as well as scrap metal shall be appointed according to the norms of environmental protection.

4.5.8.3 Chemicals and their containers, liquid and solid non-organic waste including fuels and lubricants shall be stored and recycled according to the established rules and regulations.

4.5.8.4 Non-organic waste and garbage including waste from vehicles and equipment use shall be removed from the logging area upon completion of operations.

4.5.8.5 Environmentally friendly fuel and lubricants shall be used for vehicles and equipment.

4.5.8.6 Refueling and oil change in chain saws, vehicles and equipment shall be performed in specially designated areas with a minimal risk of contamination.

4.5.8.7 Measures for soil and water protection from contamination in process of vehicles operation, use, storage and refilling of chemicals, fuel and lubricants shall be imposed.

4.5.8.8 Oil leaks in process of harvesting, road building and silvicultural operations shall not occur.

4.5.8.9 Places for storage of chemicals, fuel, lubricants and waste shall be organised in accordance with safety regulations.

4.5.8.10 Waste from vehicles and equipment use as well as production and domestic waste shall be sorted and recycled.

4.5.8.11 Non-organic wastes and garbage shall be collected and stored in special places, they shall also be removed using environmentally friendly methods.

4.5.8.12 Instructions for recycling and storage of chemicals and their containers, liquid and solid non-organic waste including fuel and lubricants shall be available.

4.5.8.13 Personnel shall be trained to handle emergencies including accidental spill of chemicals, fuel and lubricants to minimize damage to environment, soil and water resources.

4.5.8.14 Records proving that personnel has been trained to handle emergencies, equipment, chemicals and materials shall be available.

**4.5.9 Criterion: Organisation shall ensure that technological processes, vehicle and equipment do not have adverse impact on soil and water resources.**

**Indicators:**

4.5.9.1 Personnel shall be trained for different ways and methods of handling emergencies to minimize the negative impact on forest environment including climate, soils and water resources and to apply these methods in practice.

4.5.9.2 Person(s) responsible for maintenance of vehicles and equipment shall be appointed.

4.5.9.3 Instructions imposing restrictions and/or prohibitions to cause harmful actions to environment and water resources in process of vehicles and equipment operation shall be available.

Note: Harmful actions are

- a) skidding during the seasons when soil is saturated with water, skidding through water bodies (rivers, lakes), watercourses (beds of small rivers and streams including intermittent rivers and spruits) as well as skidding uphill at steep slopes;
- b) logging in protected areas;
- b) storage of fuel and lubricants and parking vehicles in water protection zones, on the ice of watercourses and water bodies;
- г) use of chemicals and other hazardous materials or inappropriate silviculture operations;
- д) use of slash fire and artificial burning on cutting areas in cases other than when they are used under control of experts to achieve reasonable planned goals;

- e) uncontrolled excessive use of vehicles and other equipment that pollute the air with emissions.

4.5.9.4 Plans (including requirements) regulating cutting, construction of roads, bridges and hydrotechnical structures as well as other economic activities shall be available and implemented.

4.5.9.5 Measures to control and prevent pollution of environment, soil and water resources shall be taken.

Note: Measures to control and prevent pollution of environment, soil and water resources include:

- a) use of appropriate vehicles and equipment that do not have negative impact on environment, soil and water resources;
- b) use of technological processes that are recommended and feasible for local natural and production conditions;
- в) use of appropriate forestry practices feasible for local conditions including methods of thinnings, timber harvesting and transportation that have minimum impact on vegetation, soil and water resources;
- г) cutting operations that comply with cutting site technological chart;
- д) regulations for bundling and rafting of wood shall be followed;
- e) monitoring the results of implemented measures including water-resources balance and water quality (downstream, where applicable).

4.5.9.6 Rules and requirements for construction, maintenance and exploitation of roads, bridges, hydraulic structures, drainage systems and other infrastructure facilities shall be taken into account when planning and followed when working in the forest in order to keep natural level and functions of water bodies and river beds as well as minimize soil denudation and prevent water bodies from contamination with soil.

4.5.9.7 Wetlands can be drained only for restoration of natural hydrological conditions based on projects approved on the ground of environmental impact assessment [8] [9];

4.5.9.8 Planning and use of engineering elements for cutting area development including number of log-loading sites shall be carried out based on infrastructure as well as natural and production conditions established during the previous timber harvesting period, such as location of protected areas, land form, soil type, hydrological conditions.

4.5.9.9 Water protection zones for all watercourses, water bodies and surface bogs shall be established, the boundaries of water protection territories/zones shall be marked on maps and designated by prohibiting signs and traffic restrictions, forest management activities in the water protection zones shall be carried out in accordance with current rules and regulations.

***4.5.10 Criterion: Organisation shall ensure that recreation, hunting and fishing comply with rules and regulations and are under control.***

***Indicators:***

4.5.10.1 Recreation, hunting and fishing shall be carried out under control with due consideration to their compatibility with other forest functions and types of forest use.

4.5.10.2 Regulation of wild animal populations shall aim to preserve biological diversity and maintain/increase fish and game populations.

4.5.10.3 Maps of key habitats of rare and threatened animal species listed in the Red Books of the Russian Federation and appropriate regions of the Russian Federation as well as other economically valuable animal species shall be available.

4.5.10.4 Guidelines for maintaining fish and game populations as well as their key habitats shall be available.

4.5.10.5 Guidelines for protection of fish and game populations as well as their key habitats shall be followed.

4.5.10.6 An action plan to enhance and maintain populations of animal species shall be available.



4.5.10.7 Free public access to forest plots for the purpose of recreation, hunting, fishing, picking mushrooms and berries as well as tourism (except for fire danger periods and emergency situations) shall be provided while the impact on forest resources and ecosystems shall be controlled and property rights shall be respected.

#### **4.6 Principle 6: Organisation shall ensure identification, protection and conservation of protective forests and specially protected forest plots**

##### ***4.6.1 Criterion: Organisation shall ensure identification of protective forests and specially protected forest plots***

###### ***Indicators:***

- 4.6.1.1 Protective forests and specially protected forest plots shall be identified.
- 4.6.1.2 Responsible people should be aware of the characteristics of protective forests and specially protected forest plots and take measures to identify, preserve and maintain them.
- 4.6.1.3 Features of protective forests and specially protected forest plots shall be identified.
- 4.6.1.4 Organisation's management shall be aware of the characteristics of protective forests and specially protected forest plots in the region.
- 4.6.1.5 Practical instructions for identifying and establishing exploitation regimes for protective forests and specially protected forest plots shall be available.
- 4.6.1.6 Protective forests and specially protected forest plots shall be publicly available.
- 4.6.1.7 Maps identifying areas with limited use regime (such as specially protected natural areas, protective forests and specially protected forest plots) shall be available.
- 4.6.1.8 Maps identifying protected forest areas shall be available.
- 4.6.1.9 An action plan for protection of plots of key importance for environment and resource protection shall be available.
- 4.6.1.10 Areas with special and protective functions in relation to society (forests of high value, other protection forests) shall be registered and marked on maps.

##### ***4.6.2 Criterion: Organisation shall ensure that special use regimes are introduced and implemented for protective forests and specially protected forest plots***

###### ***Indicators:***

- 4.6.2.1 A list of features of protective forests and specially protected forest plots shall be available for their identification.
- 4.6.2.2 Special use regime for protective forests and specially protected forest plots shall be established in accordance with their categories.
- 4.6.2.3 Special use regime for protective forests and specially protected forest plots shall be implemented.
- 4.6.2.4 Specially protected nature areas and planned specially protected nature areas shall be excluded from road infrastructure development plans as well as from industrial exploration of natural resources.
- 4.6.2.5 Special use regime for protective forests and specially protected forest plots shall involve prohibition for commercial (industrial) cutting which can lead to loss of values for these forests.
- 4.6.2.6 Forest management activities in the forest of special significance for local communities shall be carried out upon agreement with them.
- 4.6.2.7 Documents (passport, description and regulation) for identified protective forests and specially protected forest plots shall be available.
- 4.6.2.8 Maps indicating forest plots with limited use regime (specially protected nature areas, protective forests and specially protected forest plots) shall be available.

##### ***4.6.3 Criterion: Organisation shall ensure that good condition of protective forests and specially protected forest plots is maintained.***

***Indicators:***

4.6.3.1 Forest development plan, district forestry regulations and forest lease agreement shall include measures for maintenance and conservation of protective forests and specially protected forest plots.

4.6.3.2 Approved procedures for monitoring the health of protective forests and specially protected forest plots shall be available.

4.6.3.3 Approved procedures for monitoring the health of protective forests and specially protected forest plots shall be followed.

4.6.3.4 A report on monitoring the health of protective forests and specially protected forest plots shall be available.

4.6.3.5 An action plan for maintenance and conservation of protective forests and specially protected forest plots based on results of monitoring shall be available.

4.6.3.6 An action plan for maintenance and conservation of protective forests and specially protected forest plots shall be implemented.

4.6.3.7 A report on actions implemented for maintenance and conservation of protective forests and specially protected forest plots shall be available.

4.6.3.8 Forest management and forestry operations shall be carried out in such a manner that does not cause harm for the health of protective forests and specially protected forest plots including those in the adjacent areas.

4.6.3.9 Consolidated data on specially protected nature areas and planned specially protected nature areas excluded from road infrastructure development plans and industrial exploration of natural resources shall be available.

4.6.3.10 Maps indicating specially protected nature areas and planned specially protected nature areas excluded from road infrastructure development plans and industrial exploration of natural resources shall be available.

***4.7 Principle 7: Organisation shall respect international and national rights and guarantees in relation to its personnel, local communities and indigenous people as well as needs and expectations of affected stakeholders.***

***4.7.1 Criterion: Organisation shall ensure that international and national rights and guarantees of its personnel are respected.***

***Indicators:***

4.7.1.1 Fundamental ILO conventions and documents related to labour law shall be available [4], [5], [8], [42];

4.7.1.2 Organisation's management shall inform personnel about their rights and guarantees in accordance with international obligations [10-18, 42] and laws of the Russian Federation [4], [5];

4.7.1.3 Organisation's management shall respect personnel's rights in accordance with international obligations [10]-[18], [42] and laws of the Russian Federation [4], [5];

4.7.1.4 There shall not be any obstacles for personnel to communicate to the organisation's management.

Note: Management can appoint a person responsible for communication between employer and employees when appropriate.

4.7.1.5 There shall not be heated controversies between employees.

4.7.1.6 Relationships between employer and employees shall be based on requirements of labour laws, trade union activity, labor agreement, sectoral payroll agreements of the forest sector of the Russian Federation and the labour agreement between employer and employee (including such rights and obligations as: working hours, holidays, wage, work safety and social guarantees).

4.7.1.7 Salary shall be paid in full and in a timely manner as well as other payments prescribed by laws and regulations, sectoral payroll agreements, collective agreements and labor agreements.

4.7.1.8 The text of sectoral payroll agreement shall be available.

4.7.1.9 Consolidated data on payments prescribed by the laws and sublaws, sectoral payroll agreements, collective and labour agreements shall be available.

**4.7.2 Criterion: Organisation shall have an effective mechanism for disputes resolution.**

**Indicators:**

4.7.2.1 Information on rights of adjacent forest users, local communities, indigenous peoples, business partners, shareholders and mediators shall be available.

4.7.2.2 Periodic consultations with adjacent forest users, local communities, indigenous peoples, business partners, shareholders and mediators (e.g. round table meetings) shall be held.

4.7.2.3 Extrajudicial procedures for resolution of disputes arising out of the economic activities and including for example, as a temporary measure, reasonable opportunities for the parties to participate in decision making process related to forest management issues with due regard to the order, roles and responsibilities stipulated in policies and laws in force on the territory of certification shall be developed and documented.

4.7.2.4 All complaints from local communities and indigenous peoples shall be documented and considered in accordance with the extrajudicial dispute resolution procedure. Decisions shall be mutually acceptable including decisions on compensation for loss or damage to property, resources and living conditions.

4.7.2.5 Compensation for damage or loss inflicted to local communities and indigenous peoples as a result of the economic activity shall be paid.

4.7.2.6 There shall not be any acute disputes with other forest users.

4.7.2.7 There shall not be any acute disputes with local communities.

4.7.2.8 There shall not be any acute disputes with indigenous peoples.

4.7.2.9 Consolidated data and maps on adjacent forest users, local communities and indigenous peoples, business partners, shareholders and mediators shall be available.

4.7.2.10 Joint meetings, consultations and round table discussions with adjacent forest users, local communities, indigenous peoples, business partners, shareholders and mediators shall be documented and available.

**4.7.3 Criterion: Organisation shall ensure that all applicable laws covering health and safety are respected.**

**Indicators:**

4.7.3.1 The personnel shall be made aware of actual labour laws in force [5] as well as provisions regulating health and safety issues [29], [30].

4.7.3.2 Person(-s) responsible for ensuring health and safety shall be appointed.

4.7.3.3 A program (strategy) for ensuring social guarantees for personnel and their families including accident insurance shall be available.

4.7.3.4 An action plan on improvement of occupational health and safety and reduction of industrial traumatism shall be available.

4.7.3.5 Assessment of labour conditions including special assessment shall be carried out.

4.7.3.6 Actions to improve labour conditions and occupational health and safety shall be taken after assessment of labour conditions including special assessment has been carried out.

4.7.3.7 Forest management activities shall be planned on the ground of identified risks for health and of industrial traumatism.

4.7.3.8 Forest management activities shall be carried out in a safe manner.

4.7.3.9 Actions to improve occupational health and safety and reduce industrial traumatism shall be taken.

4.7.3.10 Personnel shall be made aware of risks related to its work and measures to prevent such risks.

4.7.3.11 Measures to protect personnel from risks related to its work shall be taken.

4.7.3.12 Personnel shall be provided with safe working environment [5], [29], [30] including:

- a) personal protection equipment according to the regulations on occupational health and safety and industrial sanitation as well as results of special assessment of labour conditions
- b) the first aid in case of accident.

4.7.3.13 Regular training on health and safety shall be provided including premedical first aid, actions in emergency situations, etc.

4.7.3.14 Health and medical care shall be provided.

4.7.3.15 Safe equipment (both for personnel and contractors) shall be provided.

4.7.3.16 Use of safe and operable equipment shall be monitored by person(s) responsible for maintaining machines and equipment.

4.7.3.17 Job descriptions for person(s) responsible for safe working environment and maintenance of vehicles and equipment shall be available.

4.7.3.18 An action plan for improvement of health and safety and reduction of industrial traumatism shall be implemented.

4.7.3.19 Records (maintenance documentation) on inspection of vehicles and equipment in use shall be available.

4.7.3.20 Statistics on industrial traumatism shall be available.

4.7.3.21 Records on providing personnel with individual protective equipment shall be available.

4.7.3.22 Records on health and safety training including occupational (industrial) safety, premedical first aid, actions in emergency situations shall be available.

4.7.3.23 Measures to reduce risk of natural and man-made disasters during fire hazardous and emergency situations shall be planned and taken.

***4.7.4 Criterion: Organisation shall provide training and advanced training (skills upgrading) for its personnel.***

**Indicators:**

4.7.4.1 A program for personnel training and advanced training (skills upgrading) shall be available.

4.7.4.2 Funds for personnel training and advanced training (skills upgrading) shall be allocated.

4.7.4.3 The program for personnel training and advanced training (skills upgrading) shall be implemented.

4.7.4.4 Additional special training on environmental and technical aspects of forest management shall be provided.

4.7.4.5 Advanced training (skills upgrading) and/or retraining (reskilling) shall be provided.

4.7.4.6 A report on personnel training and advanced training (skills upgrading) including additional special training on environmental and technical aspects of forest management shall be available.

***4.7.5 Criterion: Organisation shall ensure that legal and customary rights of local communities and indigenous peoples are respected.***

**Indicators:**

4.7.5.1 Local communities and indigenous peoples who can be affected by organisation economic activities [39], [40] shall be identified.

4.7.5.2 Legal and customary rights of local communities and indigenous peoples shall be determined [1], [17], [24], [34], [42].

4.7.5.3 An agreement on compliance with legal and customary rights of local communities and indigenous peoples as well as on control of forest management activities shall be available.

Note: In case when scope of rights is not determined or in case of dispute the procedure for fair dispute resolution shall be applied. In such cases organisation's managers shall as a temporary measure provide parties with reasonable opportunities to participate in forest management decision making with due regard to procedures, roles and responsibilities specified in policies and laws in force applied on the certified area.

4.7.5.4 Organisation's activities shall be conducted in compliance with legal rights of local communities and indigenous peoples for traditional use of natural resources [1], [39], [40].

**4.7.6 Criterion: Organisation shall ensure that conditions for preferential employment of local communities and indigenous peoples are created.**

**Indicators:**

4.7.6.1 Employment policy that provides equal opportunities and nondiscrimination,

- a) priority employment of local residents,
- b) professional development and training for employees representing local communities and indigenous peoples,
- b) and gender balance promotion shall be set up.

4.7.6.2 Employment policy requiring priority employment of local communities and indigenous peoples shall be implemented.

4.7.6.3 No recorded evidence of discrimination of local communities and indigenous peoples in employment opportunities shall be available.

4.7.6.4 Policy of professional training for employees representing local communities and promoting gender balance shall be implemented.

**4.7.7 Criterion Organisation shall provide opportunities for local economy development.**

**Indicators:**

4.7.7.1 Organisation's management shall be aware of potential forest products and services for local economy.

4.7.7.2 Organisation's management shall be aware of possible sources of revenue from timber and non-timber forest products and services such as tourism, eco-tourism, hunting.

4.7.7.3 A programme for diversification of local economy shall be implemented (own or external).

4.7.7.4 Local consumers shall be provided with information about products and services assortment.

4.7.7.5 Forest resources shall be processed using own production facilities or supplied to other facilities if they are available in the area of logging operations and if such supply is economically feasible.

4.7.7.6 A plan for development of forest settlements infrastructure or commitment to contribute to the regional infrastructure development programme shall be available.

4.7.7.7 Organisation shall participate in supporting social infrastructure of forest settlements as well as local communities.

4.7.7.8 Opportunity to produce a wide range of timber and non-timber products and services for local communities shall be taken.

4.7.7.9 A list of products and services assortment shall be available.

4.7.7.10 A list of buyers of produced forest products shall be available.

4.7.7.11 Consolidated data on expenses and profits shall be available.

4.7.7.12 A plan to enhance a range of products and services shall be available.

**4.7.8 Criterion: Organisation shall ensure that local communities, affected stakeholders and indigenous peoples have an opportunity to participate in forest management.**

**Indicators:**

4.7.9.1 Forest management plan shall aim to consider multiple forest functions valuable for the society including local communities, affected stakeholders and indigenous peoples, in

particular the role of forestry in the development of rural areas and new employment opportunities for the population in relation to social and economic functions of forests.

4.7.9.2 Local communities, affected stakeholders and indigenous peoples shall be informed about inspections and audits carried out by regulatory authorities and certification bodies.

4.7.9.3 Forest development plans shall be coordinated with local communities, affected stakeholders and indigenous peoples.

4.7.9.4 Assessment of possible social impacts of economic activities shall be carried out on the basis of consultations with local communities, affected stakeholders and indigenous peoples.

4.7.9.5 Local communities, affected stakeholders and indigenous peoples shall be provided with opportunity to participate in planning and control over forest management activities as well as access information about use of forest resources on this area.

4.7.9.6 Local communities, affected stakeholders and indigenous peoples shall be provided with opportunity to participate in forest management activities.

***4.7.10 Criterion Organisation shall ensure that its forest management activities are carried out in a way to meet needs and expectations of local communities, indigenous peoples and affected stakeholders***

***Indicators:***

4.7.10.1 Knowledge and experience related to forests and forest management systems shall be identified in the process of consultations with local communities, indigenous peoples and affected stakeholders as well as their needs and expectations.

4.7.10.2 Organisation's management shall take into consideration all information on possible use of traditional knowledge and experience of indigenous peoples and local communities.

4.7.10.3 In the process of forest management the most effective knowledge and experience of local communities, forest owners and NGOs shall be used.

4.7.10.4 The process of providing compensations for the use of innovations, skills and knowledge related to sustainable forest management including contribution of suppliers to gained benefits shall be documented.

4.7.10.5 Forest management shall be carried out with due regard to existing system of legal, customary and traditional rights set in international requirements [17], [24]; deviations from which are permissible only with the voluntary and informed consent of the right holders, including the provision for compensation, where applicable.

4.7.10.6 Indigenous peoples shall in a timely manner be provided with compensations for use of their skills and knowledge related to use of flora and fauna as well as forest management systems based on agreements with local authorities and representative body of indigenous peoples.

4.7.10.7 Participation of indigenous peoples in the process of identification of places of special historical, cultural, ecological, economic and religious significance and in the process of approval of special protection and/or use regimes for such places, including migration paths of tame and game animals shall be provided.

4.7.10.8 Places of special historical, cultural, ecological, economic and religious significance, territories of traditional use of natural resources and migration paths of tame and game animals shall be marked on the ground and on maps.

4.7.10.9 Identified places of special historical, cultural, ecological, economic and religious significance as well as areas fundamental for satisfying basic needs of local communities (e.g., health, subsistence) shall be protected.

4.7.10.10 Forest management activities shall be carried out in a way to consider the need to build up health and well-being of local communities including those living near the forest plot.

4.7.10.11 Evidence proving that needs and expectations of local communities, indigenous peoples and affected stakeholders are satisfied shall be available.

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