



Type of document:	RA Standard
Scope:	International
Status of document:	1 st draft for public consultation
Date of this version:	01 - July - 2008
Consultation period:	60 days
Approval body:	Rainforest Alliance
Contact person:	<u>Walter Smith</u>
Contact email:	wsmith@ra.org

Title:	SmartLogging Generic Certification Standard, Version 6
SW document code:	SL- 02

© 2007 Published by Rainforest Alliance. No part of this work covered by the publisher's copyright may be reproduced or copied in any form or by any means (graphic, electronic or mechanical, including photocopying, recording, recording taping or information or retrieval systems) without the written permission of the publisher.

Introduction

Since pioneering global forest certification in 1989, the Rainforest Alliance¹ (RA) has helped the public identify good forestry operations through certification. Now, in collaboration with loggers and forestry professionals, the Rainforest Alliance's SmartWood Program is offering SmartLogging certification - a third-party, performance-based audit and certification program for loggers. RA/SmartWood has developed a Generic Certification Standard for SmartLogging certification that shall be used to assess timber harvesting practices. The intent of this standard is to acknowledge and certify that logging operations comply with a set of social, environmental and economic criteria. The standard specifies basic requirements, applicable at the level of a harvest area, for loggers, logging firms, groups of loggers, and forest products companies to demonstrate their commitment to harvesting practices that respect local and international laws and regulations, conserve forest health and productivity, protect worker health and safety, are financially viable and respect the values of local and indigenous people.

Audits to the standard shall verify on-site that harvesting operations meet the requirements of the following eight subject areas: legal requirements, harvest planning and monitoring, harvest practices, community values, occupational health and safety, business viability, continuous improvement and innovation, and silviculture and reforestation. Following initial certification, loggers will be audited on an annual basis to ensure that harvesting operations continue to conform to the standard. This standard is generic in nature and shall be adapted to incorporate the laws, regulations, acts and decrees of each country (or sub-national jurisdiction) where the standard is applied.

Background and Rationale

Because many forests around the world do not have management plans – a commonly accepted fundamental requirement for credible forest management certification – and significant volumes of wood and other forest products are harvested from these lands each year, the SmartWood Program of the Rainforest Alliance recognized the need to develop new tools to

¹ The Rainforest Alliance (RA) is an international non-profit organization whose mission is to conserve biodiversity and ensure sustainable livelihoods by transforming land-use practices, business practices and consumer behavior. SmartWood is a program of RA's forestry division.

encourage better harvesting practices on these lands. Working with forest products companies, loggers, forestry specialists, academics, environmentalists and other interested parties, SmartWood has developed SmartLogging, a program that provides performance-based, third-party logger certification. The end goal is to insure a more sustainable supply of forest products from the world's working forests that have been harvested in a socially, environmentally and economically sound manner. The SmartLogging program is, with multi-stakeholder consultation, developing best practice logging standards and assessment procedures.

SmartLogging fully supports FSC certification and strongly encourages its participants to consider and support FSC and other forest certifications.

Complementary Add-on Standards and Certifications

SmartLogging candidate operations may also apply for the following complementary add-on certifications when they apply for SmartLogging certification:

Controlled Wood – Controlled wood certification assures consumers and forest product companies that the forest products they buy have not been illegally harvested and have not originated from controversial sources. In order for companies to make a product using materials from both FSC certified and non-FSC certified forests they must obtain Controlled Wood from the non-FSC forests. Harvesters certified by SmartWood to the Controlled Wood standard will be able to supply those companies with Controlled Wood. Controlled Wood certification is based on the international Forest Stewardship Council (FSC) Standard FSC-STD-30-010 – Controlled Wood for Forest Management Enterprises.

Chain of Custody (COC) – COC certification assures consumers and forest product companies that the wood they buy comes from certified harvesting operations. Also based on FSC Standards, a COC candidate operation is evaluated to ensure that they have systems in place to track FSC certified wood from the forest to the manufacturer.

Verification of Legal Origin (VLO)/Verification of Legal Compliance (VLC) – VLO focuses on the auditing of timber from forest sources to verify a documented legal right to harvest pursuant to the laws and regulations of the government of jurisdiction and that those suppliers follow and maintain documented chain of custody systems. VLC expands upon the basic component of legal origin, through verification that the timber was produced in a manner that complies with all applicable and relevant laws and regulations governing forest management and trade in the jurisdiction.

Sustainable Forestry Initiative Objective 8 – Candidate operations can also meet the Sustainable Forestry Initiative Standard (SFIS) Objective for Procurement (SFIS Objective 8) through the SmartLogging Program.

Public Comment

This is the second phase of a two phase public comment period. This draft is open for a period of 60 days for stakeholder consultation and staff review, after which comments will be compiled and the standard will be revised where appropriate. Organizations or individuals with concerns or comments regarding the SmartLogging Program or any other topic regarding SmartWood-certified operations are strongly encouraged to contact SmartWood Headquarters (61 Millet

Street, Suite 201, Richmond, Vermont USA 05477, telephone 802-434-5491 or FAX 802-434-3116). Formal complaints or concerns should be sent in writing.

Note on the use of this standard

All aspects of this standard are considered to be normative, including the scope, standard effective date, references, terms and definitions, tables and annexes, unless otherwise stated.

Contents

- A Scope
- B Standard effective date
- C References
- D Terms and definitions
- E Standards and Requirements

Annexes

- Annex 1 General SmartLogging Assessment Information
- Annex 2 Synopsis of the Certification Assessment Process
- Annex 3 SmartLogging Program Policies
- Annex 4 Glossary

A Scope

This standard shall be applicable to individual loggers and logging firms, groups of loggers (e.g. logger associations), and forest products companies. All logging operations shall be evaluated to the first seven subject areas of the standard. Subject Area 8 – Silviculture and Reforestation – will be applicable only to harvesters who have complete control over the silviculture, reforestation and harvest volume removal from the forestland property they are purchasing the timber from.

B Standard effective date

This standard shall be effective from the date of the approved final version. The standard will be updated annually, replacing outdated versions as revised. All SmartLogging certificate holders shall be required to comply with this standard within 12 months of its approval. All certified operations shall be required to comply with a national or regional adaptation of this standard within 6 months of updates.

C References

FSC-STD-30-010 V2-0 EN Controlled Wood Standard for Forest Management Enterprises

D Terms and definitions

COC: Chain of Custody
CW: Controlled Wood
RA: Rainforest Alliance
SW: SmartWood
SL: SmartLogging

E SmartLogging Standard

Subject Area 1: Legal Requirements

Harvesters shall respect all applicable laws.

1.1: Harvester has a legal right to harvest the forest areas under consideration.

1.1.1: Harvester has documents that demonstrate that legal permits from the applicable government agency, where needed, are in place to harvest. These may be obtained by a dealer, landowner, and landowner's agent, whichever is appropriate.

1.1.2: A timber sale contract is signed by the landowner, or the landowner's agent (e.g., forester, land manager, etc.) and wood purchaser. Timber sale boundaries and landowner's commitment/permission are defined in the timber sale contract.

1.2: Harvester obeys legal/regulatory requirements, and obtains necessary permits in accordance with laws.

1.2.1: Legal requirements are met, including, but not limited to those related to:

- Environmental quality (BMP manual, harvesting regulations);
- Water or water quality (BMP manual, Water Quality Regulations);
- Rare, threatened or endangered species (Endangered Species Act, CITES); and,
- Non-timber forest products: hunting, fishing and other NTFPs meet applicable regulations.

1.2.2 Worker and harvester occupational health and safety and labor laws are met.

- Including government and ILO labor laws, and workers compensation laws.

1.2.3 Where applicable, harvester is a legally licensed professional, with required permits and license kept current.

1.2.4 Logging equipment used by the harvester meets government safety requirements.

1.2.5 Trucks meet government regulations.

1.2.6 Harvester has insurance in accordance with local legal requirements, which may include:

- General liability;
- Worker's comp; and
- Automotive liability.

1.2.7 Containment and disposal of hazardous materials (e.g., pesticides, petroleum, lubricants and chemicals) is in accordance with jurisdiction laws and regulations.

1.3 Any legal outcomes from dispute resolution processes are respected.

Subject Area 2: Harvest Planning and Monitoring

Harvester completes adequate planning prior to harvest to assure an understanding of landowner harvest objectives and site-specific environmental concerns. Harvester monitors progress of harvest to see that environmental and landowner harvest objectives are met, and does a post-harvest assessment to determine if follow-up actions are necessary.

- 2.1: A written harvest plan or service/logging contract (see 1.1.3) is in place prior to harvest, based on site-specific conditions, and in agreement with the landowner's land use and harvest objectives.
- 2.1.1: If the landowner has a forest management plan and/or management and harvesting objectives, as described in or related to the written harvest plan, they are discussed with the landowner prior to harvest.
- 2.1.2: Any major changes to the harvest plan or service/logging contract are approved prior to implementation by the landowner or the landowner's agent.
- 2.2: Harvest plan and/or logging contract has been approved by landowner, landowner's agent or authorized state or other jurisdictional institution where applicable. (Note: Harvest plan/service/logging contract can be prepared by landowner, purchaser or harvester who buys timber, and then signed by landowner).
- 2.2.1: Harvest plan or service/logging contract includes:
- Landowner's harvest prescriptions;
 - Silviculture;
 - Harvesting restrictions;
 - Protection of wildlife habitat, rare plant communities, stream zones, historical or personal sites and other critical environmental or cultural features;
 - Penalty clauses for unauthorized cutting, excessive damage to residual stand, roads, bridges or other infrastructure;
 - Infrastructure improvements/construction (e.g., roads, skid trails, landings);
 - Harvesting close-out measures (e.g., waterbars, stream crossing rehabilitation, soil preparation and regeneration, etc.); and,
 - A clause to allow sale area to be audited for conformance with SmartLogging standards.
- 2.2.2 Harvest maps, or aerial photos, identify:
- Property boundaries;
 - Harvest area;
 - Streamside management zones and other riparian zones;
 - Unique historic, religious or cultural sites;
 - Rare, threatened or endangered species habitat; and,
 - Other unique biological or geological features.
- 2.3: A documented on-site pre-harvest inspection is conducted within one year of harvest.

- 2.3.1: The pre-harvest inspections are done by the harvester, preferably with the landowner or land manager.
 - 2.3.2: Pre-harvest inspections review property boundaries, harvest area boundaries, streamside management zones (SMZ) and harvesting restrictions in SMZs, special considerations for protection of special sites, and harvest “close out” procedures.
 - 2.3.3: Property boundaries and limits of the harvest area are clearly marked on the ground.
 - 2.3.4: Harvesting infrastructure (e.g. existing roads, landings, skid trails, stream crossings) is reviewed and necessary improvements are included in the sale/service agreement.
- 2.4: A documented post-harvest assessment of harvest site is conducted at completion of harvest.
- 2.4.1: A post-harvest evaluation (i.e., checklist or close-out document) is completed by the harvester, preferably with the landowner or land manager, and follow-up actions are identified and conducted as necessary. Post-harvest inspection by jurisdiction agency is required where the service is available.
 - 2.4.2: Post-harvest inspections review condition of streamside management zones, harvest infrastructure, sites identified for special protection, residual stand, “close-out” features, such as water bars, and other features identified in pre-harvest inspection.

Subject Area 3: Harvesting Practices

Harvesting practices, including equipment used, are chosen and employed based on specific site conditions and landowner harvest prescriptions for the stands and site. Protection of water quality is an increasingly important consideration in management of forest resources. Harvesters can have a significant impact in protecting water quality and soils. Harvesters follow state, provincial or regional BMPs and other recognized practices in all harvesting activities such as road construction, location of logging trails and landings, stream crossings, and protection of SMZs. In addition, harvesters work to conserve the timber resource and all forest resource values within the context of the landowners’ harvest prescriptions and they protect worker health and safety and promote community economic well-being.

- 3.1: Harvesting practices meet or exceed applicable jurisdictional best management practices (BMPs), even if BMPs are voluntary.
 - 3.1.1: Applicable state harvesting BMPs are being implemented.
 - 3.1.2: Logger, supervisor, or person responsible for implementing BMPs is required to have BMP training and training on the SL Standard.
 - 3.1.3: BMP manuals are accessible to employees, contactors and employees.

3.2: Harvesting practices are conducted when risk of impacts are low.

3.2.1: Harvesting, especially of identified sensitive areas, is conducted when risk is low (i.e., on dry or frozen ground).

3.2.2: Harvesting systems are appropriate for the site.

3.2.3: Appropriate equipment (e.g., low impact tires, mats) is used in wet (swamp) areas.

3.3: Harvest prescriptions are followed and damage to residual vegetation is minimized.

3.3.1: Silvicultural prescriptions are followed.

3.3.2: Damage to residual trees and other resources is minimized by the harvest and extraction process.

- Scarring on boles of residual trees is minimized;
- Damage to residual tree leaders and limbs is minimized;
- Coarse woody debris is left on site; and,
- Damage to understory vegetation is minimized.

3.3.3: Harvest closeout activities are undertaken and occur as per the harvest plan.

3.4: Streams, lakes and wetlands are protected during harvest operations.

3.4.1: Riparian buffer zones and streamside management zones (SMZ) are protected as outlined in BMPs or this standard.

3.4.2: Equipment use in SMZs and wetlands is minimized.

3.4.3: Additional buffer zone management practices outlined by the landowner are respected.

3.5: Road and landing construction is implemented in a manner that minimizes soil erosion and does not impede water flow.

3.5.1: The number of, and forest area affected by, roads, landings and concentration yards is based on site conditions. The total area affected by the harvesting network should be kept to a minimum.

Deleted: log

3.5.2: Roads and landings are constructed outside of SMZs unless the reuse of a pre-existing facility is the less damaging alternative.

3.5.3: Layout of roads, skid trails and landings consider soil, slope stability, gradient, and weather conditions.

- 3.5.4: Erosion control structures such as waterbars and rolling (broad-based) dips are properly constructed to effectively divert water from roads and skid trails.
- 3.5.5: Erosion control structures (e.g., waterbars, rolling dips) are constructed prior to stream crossings to divert direct water flow into buffers or filter strips.
- 3.5.6: Road surfaces are designed to drain water effectively:
- Rock and gravel is used on roads if feasible; and,
 - Roads are outsloped, insloped or crowned as appropriate.
- 3.5.7: Permanent culverts are adequately sized and properly situated:
- Placed to effectively manage water flow;
 - Installed so that subsequent road maintenance does not result in damage to culverts; and,
 - Sized adequately for periods of high volume water flow.
- 3.5.8: Disturbed soil is stabilized to prevent soil erosion or sediment flow, including:
- Road cut banks;
 - Sidecast banks; and,
 - Landing sites.
- 3.5.9: Non-invasive species are used for soil stabilization and re-vegetation of disturbed sites.

3.6: Skid trails are designed and managed in a manner that protects and conserves soil and water resources.

3.6.1: Skid trails should be located and flagged before harvesting commences.

3.6.2: A reasonable effort is made to minimize disruption of soil organic layers during harvest operations including:

- Minimal skidder rutting;
- Minimal blading of slash; and,
- Minimal machinery use off skid trails.

3.6.3: Skid trails are stabilized during and following harvesting activities, including:

- Using slash;
- Seeding;
- Mulching; or
- Other erosion control methods

3.6.4: Skid trails avoid sensitive sites, such as wet areas and unstable soils.

3.7: Stream crossings are managed to minimize negative environmental impacts during road building and harvest.

3.7.1: The number of road or skid trail stream crossings for all categories of streams is minimized.

- 3.7.2: Log landings are placed on either side of the stream where practical to reduce multiple crossing of intermittent streams.
- 3.7.3: Portable bridges, mats, or logs are used to cross streams when necessary.
- 3.7.4: Stream crossings are placed at right angles to the stream where appropriate.
- 3.7.5: Culverts are installed properly in a manner not to inhibit migration of aquatic organisms.
- 3.7.6: Integrity of stream channel and stream banks is maintained during installation and removal of stream crossing devices.

3.8: Chemicals and petroleum products are contained as to not cause environmental damage.

- 3.8.1: Spills are dealt with according to state regulations and BMPs.
- 3.8.2: Spill kits are available at the worksite and operators are familiar with their use.
- 3.8.3: Chemical and petroleum product waste from equipment maintenance procedures are captured and not allowed to flow on the ground or in watercourses.
- 3.8.4: Equipment is properly maintained to avoid hydraulic fluid, motor oil and gear oil leaks.

3.9: Important habitats to wildlife, rare, threatened or endangered species, and other special or unique natural sites are conserved.. If available, natural heritage programs are consulted to determine if RTE species and rare natural communities are present.

- 3.9.1: Specific wildlife habitat is protected as marked or designated in the harvest plan.
- 3.9.2: Harvesting avoids time periods and sites that are known to be important to species that are sensitive to human activity (e.g., nesting and breeding sites, etc.).
- 3.9.3: Wildlife trees, snags, and other special situations are retained in a creative and safe manner in compliance with hazardous tree regulations or procedures.
- 3.9.4: Areas designated for strict conservation by the landowner (i.e. no harvesting or other activities) are protected.
- 3.9.5: Rare, threatened or endangered species, or their habitats, that are discovered during harvest operations are protected and reported to the landowner.
- 3.9.6: Unique features are protected during the harvest.

Subject Area 4: Community Values

Efforts are made to conduct harvesting operations in such a way that respects local community values so that loggers maintain a “social license to operate”. This means that loggers are mindful of working hours and avoid excess noise beyond working hours; limit the use of compression brakes in populated areas if safe to do so; take precautions to keep children and adults out of work area, such as putting up signs to mark off the work area; use extra precautions when operating near property lines, houses and power lines to avoid accidental damage to neighboring property and ensure that the protection of unique features is acceptable to the property owner, surrounding landowners, and the public.

4.1: Harvest planning and operations consider potential impacts to local community.

4.1.1: Cultural features of historic and/or archaeological value are protected in the field as identified in the harvest prescription.

4.1.2: Aesthetic prescriptions as defined in the harvest prescriptions are implemented during harvest and close-out operations.

4.1.3: Chemical containers, solid non-organic wastes and other refuse produced during harvesting are disposed of in an environmentally sound manner at off-site locations.

4.1.4: Harvester actively works to resolve conflicts with neighbors when they arise.

Subject Area 5: Occupational Health and Safety

Recognizing that logging is a dangerous occupation, protecting the health and safety of workers is of utmost importance. Loggers should maintain constant vigilance to recognize and minimize occupational health and safety risks.

5.1: Harvester has an occupational health and safety plan.

5.1.1: A written safety & health plan that includes:

- An emergency response plan;
- Requirements for personal safety equipment;
- Policies for forest workers when working alone, including strategies for making their whereabouts known to others at prescribed times each day, which is verified as a daily procedure when in the forest; and,
- Periodic safety inspection of equipment.

5.1.2: Harvester participates in insurance or government compensation programs.

5.2: Harvester ensures compliance with safety plan and related requirements in terms of protective equipment (e.g., hardhats, hearing protection, etc.), machine/tool operation, maintenance of harvesting and felling equipment, and handling of dangerous materials.

5.2.1: Harvesters, employees or sub-contractors have received occupational safety and health orientation/training.

- 5.2.2: Harvesters, employees and sub-contractors demonstrate safe harvesting techniques in the field, such as:
- Maintaining good communication with other workers;
 - Maintaining safe distance from operating machinery or felling;
 - Wearing personal protective equipment at all times..
- 5.2.3: Harvester evaluates and documents employee and sub-contractor safety performance.
- 5.2.4: Harvester's written safety plan is accessible to sub-contractors and employees.
- 5.2.5: CPR, first aid training (e.g. blood lost stoppage, stabilizing broken bones, immobilization of injured worker, etc.) and transport of injured workers, is provided by the harvester.
- 5.2.6: Where available, communications equipment for emergencies is on-site.

Subject Area 6: Business Viability

Logging is a difficult business and equipment is costly. Loggers must be able to understand the true costs of doing business to have an economically sustainable business. A logger should demonstrate awareness of the need for sustainable business practices.

- 6.1: Harvester demonstrates business viability.
- 6.1.1: Harvester has a written business plan.
- 6.1.2: Harvester consults business support professionals as necessary, such as accountants and insurance professionals..
- 6.1.3: Harvester maintains records of harvesting activities, including:
- Contracts with landowners, mills, dealers and subcontractors; and,
 - Load reports, and scale records and summaries.
 - Calculating equipment, personnel and overhead costs; and,
 - Calculating daily cost per production unit (e.g., ton, board foot).
- 6.1.5: Equipment is well maintained:
- No oil or hydraulic leaks;
 - ROPS of machinery is in good condition;
 - Regular maintenance is performed and documented.
- 6.2: Harvester provides working conditions (e.g. wages, benefits and opportunities) that enhance workforce stability.
- 6.2.1: Harvester provides equal opportunities for employment and advancement.
- 6.2.2: Employee job training is provided.

6.3: Harvester maximizes utilization of harvested products.

6.3.1: Grading and sorting of harvested products is conducted to add or maintain commercial value where appropriate.

6.3.2: Harvested products are transported from harvest site to markets on a timely basis to minimize product degrade and loss.

6.3.3: All merchantable materials as prescribed in the harvest contract are shipped.

6.4: Harvester maintains ethical business practices.

6.4.1: Contracts are honored.

6.4.2: Fair market value is provided for services rendered.

6.4.3: Fair market value is provided for timber purchased.

6.4.4: Required taxes, royalties and fees are paid.

Subject Area 7: Continuous Improvement and Innovation

Harvester demonstrates efforts to improve logging operations, uses best available technologies, and shows innovation in the procedures used. Observation of harvest sites, attendance of harvesters at training courses, and observations by landowners and others familiar with the harvester's work demonstrate efforts at improvement.

7.1: Harvester continually learns from experience and training to improve practices.

7.1.1: Harvester analyzes challenging harvesting situations and data from post-harvest assessments and pre-plans innovative solutions, such as

- Renting or acquiring equipment appropriate for operation;
- Laying out access network in a more effective manner; or
- Improving tree harvesting techniques.

7.1.2: Harvesting skills and business skills are maintained or enhanced through periodic training (e.g., continuing education courses, equipment operator training and environmental education).

Subject Area 8: Silviculture and Reforestation

This subject area applies only to harvesters who have complete control over the silviculture, reforestation and harvest volume removal on the forestland property from which they are purchasing timber.

8.1: Silviculture, forest management and reforestation BMPs are followed.

8.2: Silviculture and/or reforestation are part of the harvest plan.

8.1.1: Silvicultural prescriptions that identify and address long-term forest management goals, such as rotation age, length of cutting cycle, target tree diameter, and desired species are described in the harvest plan.

8.1.2: Reforestation method, including site preparation and desired species, is described in the harvest plan.

8.3: Uneven-aged silviculture or partial cuts shall not result in high grading a forest stand.

8.2.1: Uneven-aged silviculture shall leave high quality examples of trees in all existing age classes.

8.2.2: High quality examples of desired tree species should be retained as seed sources,.

8.4: Clearcuts shall be planted or should show signs of natural regeneration, such as new growth of desired species, unless clearcut is associated with legal land use conversion to agriculture or development.

8.3.1: Areas that are clearcut have a written reforestation plan in accordance with 8.2 unless clearcut is associated with legal land use conversion to agriculture or development.

Annex 1: General SmartLogging Assessment Information

The Standard presented above includes the major subject areas for evaluation, as well as the criteria and indicators to be used by auditors for assessing performance of harvesting operations. Conformance with this standard is a required element for receiving SmartLogging certification.

SmartLogging certification is performance-based; meaning that the assessment of a harvesting company, harvester or group of harvesters will focus on evidence gathered pertaining to documentation, on-the-ground harvesting practices, and interviews with the harvester and stakeholders.

The fundamental intent of each criterion is the most important factor for SmartLogging assessments. Conformance at the criterion level is required to receive a SmartLogging certificate. If there is nonconformance at the criterion level, a major Corrective Action Request (CAR) will be issued. The indicators are a tool for assessing conformance with each criterion. All indicators must be evaluated during the initial assessment. Auditors are to use professional judgment when evaluating the indicators, and must reach a clear conclusion as to whether the fundamental intent of each criterion has been met. Nonconformance with an indicator will generally result in a minor CAR. Verifiers may be used by the auditor(s) to help evaluate the indicator, but are not required to be met by the candidate operation.

If an operation attains SmartLogging Certification, annual audits are required which focus first on applicable CARs, second on issues raised by stakeholders, and third to ensure that throughout the life of the certificate, conformance is audited for all indicators during a five year certification period (not all indicators must be evaluated each audit year).

SmartLogging certification may be obtained by individual harvesting companies, harvesters (i.e. sole proprietors), groups of harvesters (e.g., a logger association or other type of grouping) and forest products companies. Whether individual loggers or groups of loggers are certified, each candidate operation must demonstrate conformance with the SmartLogging standard. For group SmartLogging certification assessments, a sample of group members will be selected and audited, and each group member is expected to demonstrate full compliance with the SmartLogging criteria and indicators.

Annex 2: Synopsis of the Certification Assessment Process²

Application - The certification assessment process begins with a SmartLogging candidate submitting an application to SmartWood. The candidate harvester or group manager (when a group of loggers applies for certification) is assigned a SmartWood Task Manager who will work with the candidate operation to determine the scope of certification and develop a certification assessment cost estimate. After agreement with the budget a Service Agreement is formalized and the assessment process can begin.

² For detailed information about procedures, contact our headquarters or regional offices through www.smartwood.org.

Auditor Selection and Planning – The SmartWood Task Manager, with input from the candidate operation, selects a qualified Lead Auditor and other team members (where appropriate) to participate in the assessment. The Lead Auditor is chosen based on their experience and knowledge of logging operations, master logger programs, best management practices (BMPs), forest management and SmartLogging standards, and auditing experience. The auditor must also be free of conflicts of interest with the certification candidate. For example, the auditor can not have any financial interest in the candidate’s operations, come from a competing operation or have any ongoing disagreement with the candidate. Auditors are provided with detailed guidance on the certification process and are provided training and written SmartLogging auditing procedures.

Stakeholder notification: At least 30 days prior to SmartLogging evaluation, stakeholders are notified of the pending assessment and SmartWood requests stakeholders’ observations or comments with regard to the operation’s conformance with the certification standard.

Fieldwork evaluation – Evaluation of conformance with the standard is based upon data collection by the auditor(s) through review of the harvester’s documentation, interviews with employees and stakeholders, and field observations and measurements. The Lead Auditor organizes opening meetings with the harvester or group manager to review the assessment scope and procedures, and certification standards. The assessment process then moves quickly to the field phase. Inspections are made to sites chosen by SmartLogging auditors based on a comprehensive review of the candidate’s harvesting systems, harvesting jobs, forest conditions, discussions with interested/affected stakeholders, and identification of critical issues or challenging sites.

Data analysis and decision making – The auditor(s) evaluates performance by the harvester at the criterion and indicator level of the standard. Any non-conformances are analyzed and classified as either minor or major and specific corrective action requests (CARs) are defined. The following definitions apply, and are the basis for all certification assessments:

Nonconformance	Corrective Action Type	CAR definition
Major nonconformance: failure to meet the objectives of the criterion	Major CAR	Requirements that harvester must meet <u>before</u> SmartLogging certification by SmartWood can take place.
Minor nonconformance: noncompliance not leading to failure at the criterion level	Minor CAR	Requirements that harvester must meet, within a defined time period (usually within one year), during the period of the certification.
Observation: very minor problem or beginning stages of a problem that if untreated could result in a minor non-conformance	Observation	Non-mandatory actions or recommendations suggested by the assessment team to address the operation’s performance.

Annex 3: SmartLogging Program Policies

1. Communications

Communications by loggers, logging companies and groups of loggers pertaining to their certified status and made in association with the requirements of this standard shall be approved in writing by Rainforest Alliance/SmartWood prior to use.

Use of any certification seal or label on-product and in conjunction with this service shall not be permitted. Certified companies shall be allowed, however, to put a certification code number (e.g. SW-SL-####) upon invoices and products to permit traceability, especially for the purpose of other companies' chain of custody.

SmartWood shall determine the limits of use to Rainforest Alliance and/or SmartWood names or logos in conjunction with this service for business to business and off-product communications.

SmartWood shall provide any company that has been successfully audited and compliant with these standards the opportunity to communicate that message by means of a Certification Statement that SmartWood shall issue. The Certification Statement shall be regulated similar to a certificate, with reference to scope, period of validity, and other required information.

The Certification Statement should include the following information:

- Company, harvester, or representatives' name(s) and contact details;
- Forest products types;
- Location and jurisdiction of suppliers;
- Date of the initial certification report;
- Certification code number; and,
- Validity period of the statement.

2. Reporting

SmartWood shall provide public summary reporting of information about the companies audited and those covered by an active verification statement. This public summary information shall be maintained up to date and posted on the SmartWood website and the certification statement shall be available upon request.

3. Auditing

SmartWood shall determine the frequency and scope of surveillance audits for the application of this standard. SmartWood shall provide further guidance on audit frequency and what entities need to be audited within the SmartWood certification evaluation procedures.

Annex 4: Glossary of Terms

Chain-of-Custody (CoC): CoC in the forest products industry refers to the path taken by raw materials from the forest to the consumer including all successive stages of processing, transformation, and distribution. For the purposes of this standard, CoC refers to the tracking and handling systems in use from the point of purchase to the point of shipment and sale for the company being audited.

Controlled Wood: Wood or wood fiber that has been determined to not be from one of the 5 excluded categories within the Forest Stewardship Council's (FSC) Controlled Wood standards. These categories are: forest areas where traditional or civil rights are violated; non FSC-certified forest areas having high conservation values which are threatened; genetically modified trees; illegally harvested wood; and natural forest areas converted to plantations or for non-forest use. FSC CoC certification requires that non-certified wood materials used in products with FSC claims must be controlled.

Genetically modified: Genetically modified organisms are biological organisms which have been induced by various means to consist of genetic structural changes.

SmartLogging: The SmartWood certification program for loggers that includes evaluation for best practice logging standards, quality of harvesting activities, protection of high conservation values, and Controlled Wood requirements, as well as optional evaluation according to FSC CoC requirements and procurement requirements such as those embodied within the PEFC (including Sustainable Forestry Objective 8). The SmartLogging service is not accredited or recognized by either FSC or SFI (or PEFC) at this time, though steps are being taken to achieve this.

SmartStep: The SmartWood phased approach to FSC certification, designed to provide forest management operations with a clear path to achieving FSC certification while gaining access to potential market benefits before achieving certification. The SmartStep service, which is provided by the SmartWood Program, is not accredited or recognized by the FSC, though FSC is currently developing a system for accrediting "stepwise" approaches such as SmartStep.

Verification of Legal Origin (VLO)/Verification of Legal Compliance (VLC) – VLO focuses on the auditing of timber from forest sources to verify a documented legal right to harvest pursuant to the laws and regulations of the government of jurisdiction and that those suppliers follow and maintain documented chain of custody systems. VLC expands upon the basic component of legal origin, through verification that the timber was produced in a manner that complies with all applicable and relevant laws and regulations governing forest management and trade in the jurisdiction.