



**SGS QUALIFOR**  
(Associated Documents)

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**SGS QUALIFOR**  
**FOREST MANAGEMENT STANDARD FOR SWAZILAND**  
**2015**

This checklist presents the SGS Qualifor standard for forest certification against the FSC Principles and Criteria. This standard forms the basis for:

- Scoping assessment
- Certification assessment
- Surveillance assessment
- Information to stakeholders on the assessment criteria used by SGS Qualifor

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**CHANGES SINCE THE PREVIOUS VERSION OF THE STANDARD**

Section	Change	Date
	Changes throughout	23/01/2015

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## ADAPTATION OF STANDARD TO MEET LOCAL REQUIREMENTS AND THRESHOLDS

### The objective of local adaptation of the SGS Qualifor standard is to:

- i. identify any aspects of the standard that may be in conflict with legal requirements in the area in which the standard is to be used, and if such a conflict is identified shall evaluate it for the purposes of certification in discussion with the involved or affected parties. Conflict only occurs where a legal obligation *prevents the implementation of* some aspect of the generic standard. It is not considered a conflict if the requirements of the generic standard exceed the minimum requirements for legal compliance;
- ii. identify any aspects of its generic standard, which specify performance thresholds lower than the minimum legal requirement in the country concerned. If any such differences are identified the relevant thresholds shall be modified to ensure that they meet or exceed the minimum national requirements.
- iii. add specific indicators (with appropriate means of verification if required) and/or cross-references to the identified documentation to evaluate compliance with key requirements of the national and local forest laws, administrative requirements and multi-lateral environmental agreements related to the FSC Principles 1 - 10.
- iv. take account of the national context with regards to forest management;
- v. take account of national environmental, social and economic perspectives;
- vi. ensure that the standard is applicable and practical in the country concerned;
- vii. ensure that the standard is applicable and practical to the size and intensity of management of the Forest Management Unit concerned;
- viii. address specific issues that are of general concern to any stakeholder group in the country concerned.

### SGS QUALIFOR is not required to seek or develop a consensus with regard to the modification of our generic standard. SGS Qualifor will however make meaningful accommodation of stakeholder concerns and will be guided in this by:

- i. our knowledge of the indicators and means of verification that have been included in other, FSC-accredited, regional, national or sub-national standards, with regard to the issues raised;
- ii. advice provided in writing by the FSC National Initiative in the country concerned as to the likelihood that a proposed modification would have the support of the majority of the members of each chamber of an FSC working group active in that country;
- iii. advice provided in writing by an FSC Regional Office covering the country concerned, as to the likelihood that a proposed modification would have the support for the majority of FSC members of each chamber in the region.
- iv. the scale and intensity of forest management.

### SGS QUALIFOR should be able to demonstrate that the requirements of the locally adapted generic standard are broadly in line with the requirements of other FSC-accredited national standards applicable to similar forest types in the region, and with any guidance received from an FSC National Initiative in the country concerned.

### SGS Qualifor is not required to make further changes to the locally adapted standard used for an evaluation during the period of validity of the certificate except as necessary to bring it into compliance with any FSC Policies, Standards, Guidance or Advice Notes subsequently approved by FSC.

**LAYOUT OF THE STANDARD:**

The standard follows the FSC Principles and Criteria of Forest Stewardship (January, 2000). The Standard is divided into 10 sections, each corresponding to one of the FSC principles with the criteria listed underneath each principle. Refer below for further clarification.

Each page of the standard is divided into 3 columns. The standard also serves as the checklist that is used during an assessment and for every criterion the following is provided:

<b>The Qualifor Requirement: Indicator</b> <i>All local adaptations or additions are indicated in red.</i>	This outlines the norm or indicators that Qualifor requires for compliance with the specific FSC criterion. A potential source of information or evidence that allows an auditor to evaluate compliance with an indicator. Some indicators make a distinction between the requirements for "normal" forests and SLIMF operations (Small and Low Intensity Managed Forests).
<b>Verifiers</b>	<b>Verifiers</b> are examples of what the SGS assessor will look for to ascertain if the specific norm or indicator has been met. This list is not exhaustive and the assessor may use other means of verifying the relevant indicator.
<b>Guidance</b>	<b>Guidance</b> is written in <i>italics</i> and assists the assessor in understanding the requirement of the specific indicator.

**PRINCIPLE 1. COMMUNITY RELATIONS AND WORKER'S RIGHTS:**

Forest management operations shall maintain or enhance the long-term social and economic well being of forest workers and local communities.

**Criterion 4.1: The communities within, or adjacent to, the forest management area should be given opportunities for employment, training, and other services**

<b>Indicator 4.1.6</b>	<b>Verifiers &amp; Guidance:</b>
<b>Policies and procedures and the implementation thereof make qualifications, skills and experience the basis for recruitment, placement, training and advancement of staff at all levels</b>	<i>No evidence of discrimination on the basis of: race, colour, culture, sex, age, religion, political opinion, national extraction or social origin</i>
<b>SLIMF:</b> <b>Employees are not discriminated in hiring, advancement, dismissal remuneration and employment related to social security</b>	Employment policies and procedures. Interviews with Forest Managers, workers and Labor Union representatives. <b>SLIMF:</b> Interviews with workers and contractors

*An SGS Qualifor Guideline (Italics)*

The year of the evaluation

The SGS Qualifor Indicator

The SGS Qualifor observation i.t.o. the indicator

The SGS Qualifor verifier

## THE STANDARD

### PRINCIPLE 1. COMPLIANCE WITH LAWS AND FSC PRINCIPLES:

Forest management shall respect all applicable laws of the country in which they occur and international treaties and agreements to which the country is a signatory, and comply with all FSC Principles and Criteria

#### Criterion 1.1 Forest management shall respect all national and local laws and administrative requirements

<b>Indicator 1.1.1</b>	<b>Verifiers &amp; Guidance:</b>
<b>There is no evidence of significant non-compliance with all national and local laws and administrative requirements</b>	<p>Interviews with and information supplied by regulatory authorities, other stakeholders and Forest Managers.</p> <p>Control of required legal documentation. policies, operational procedures and standards demonstrate compliance with requirements.</p> <p><u>SLIMF:</u></p> <p>The forest manager knows what the legislation requires.</p> <p>Field observation and documentation available show that legislation is being complied with in-field.</p> <p><i>A legal non-compliance will be considered “significant” if:</i></p> <ol style="list-style-type: none"> <li><i>i. it has been allowed to persist or remain for a period of time that would normally have allowed detection; and/or</i></li> <li><i>ii. it is an intentional or a blatant/self-evident disregard for the law.</i></li> </ol> <p><i>A legal non-compliance will not be considered “significant if the deviation is short-term, unintentional and without significant damage to the environment.</i></p> <p><i>A permit from the Water Board is required to alter a water course, divert or store water and for the abstraction of water for industrial purposes (The Water Act, 2003). This is applicable to dams and weirs constructed and to sawmills within forestry. A permit is also necessary to drill or sink a borehole.</i></p> <p><i>See also Control of Tree Planting Act, 1972. A licence of permit is required for commercial plantations on agricultural or intermediate land, but not for marginal land. The Farms zoned for tree planting are listed in the Act.</i></p> <p><i>See Appendix A for a list of all the applicable laws, regulations and guidelines</i></p>
<b>Indicator 1.1.2</b>	<b>Verifiers &amp; Guidance:</b>
<b>Forest managers shall demonstrate awareness of relevant codes of practice, operational guidelines and other accepted norms or agreements.</b>	<p>Interviews with Forest Managers and field observations.</p> <p>List of applicable laws, regulations and national guidelines.</p> <p><i>See Appendix A for Regulations and Standards applicable in Swaziland including applicable laws and international agreements.</i></p> <p><i>See Appendix B for Reference to the RT&amp;E species.</i></p> <p><i>See Appendix C for a country profile of the Kingdom on Swaziland</i></p> <p><i>See Appendix D for a synopsis of the National Forest Policy</i></p>
<b>Indicator 1.1.3</b>	<b>Verifiers &amp; Guidance:</b>
<b>Forest managers shall demonstrate compliance</b>	<p>Interviews with Forest Managers and field observations.</p>

with relevant codes of practice, operational guidelines and other accepted norms or agreements.	List of applicable laws, regulations and national guidelines.
<b>Criterion 1.2 All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid</b>	
<b>Indicator 1.2.1</b>	<b>Verifiers &amp; Guidance:</b>
There is evidence that required payments have been made.	Invoices, tax returns, receipts. Interviews with and information supplied by regulatory authorities and other stakeholders. No evidence of non-payment
<b>Indicator 1.2.2</b>	<b>Verifiers &amp; Guidance:</b>
Provision has been made to meet the costs of future fees	Specific provisions in financial planning and long-term budgets. <u>SLIMF:</u> Forest manager can explain how future costs will be provided for.
<b>Criterion 1.3 In signatory countries, the provisions of all the binding international agreements such as CITES, ILO conventions, ITTA, and Convention on Biological Diversity, shall be respected.</b>	
<b>Indicator 1.3.1</b>	<b>Verifiers &amp; Guidance:</b>
There is implementation of the requirements of the Convention of International Trade in Endangered Species (CITES) and controls in place to ensure continuing compliance with such <u>SLIMF:</u> There is awareness of any local species that are covered by the requirements of the Convention of International Trade in Endangered Species (CITES) and controls in place to ensure continuing compliance with such	Interviews with Forest Managers Operational documentation Required licenses are in place <i>Swaziland is a signatory to CITES.</i> <i>Proof of access to lists of CITES plants and animals.</i>
<b>Indicator 1.3.2</b>	<b>Verifiers &amp; Guidance:</b>
Forest Managers have implemented controls to ensure continuing compliance with the International Labour Organisation (ILO) conventions that apply to their operations. ILO 87 and 98 are minimum requirements for certification. <u>SLIMF:</u> Forest Managers have implemented controls to ensure continuing compliance with national legislation relating to labour matters	Interviews with Forest Managers, workers, contractors, labour unions and regulatory authorities. Review of policies, procedures and personnel records. <u>SLIMF:</u> Forest Managers are aware of the requirements and there are no objective evidence of non-compliance. <i>Swaziland is a signatory to ILO.</i> <i>Proof of access to ILO conventions. Copies of the ILO documents 87, 98 and ILO Code of Practice on Safety and Health in Forestry Work (ILO1998) should be available.</i>
<b>Indicator 1.3.3</b>	<b>Verifiers &amp; Guidance:</b>
(Not applicable to SLIMF) Forest Managers have implemented controls to	Interviews with Forest Managers, regulatory authorities and other stakeholders. Review of policies, procedures and records

ensure continuing compliance with ITTA.		
<b>Indicator 1.3.4</b>	<b>Verifiers &amp; Guidance:</b> Interviews with Forest Managers, regulatory authorities and other stakeholders. Review of policies, procedures and records. <i>Swaziland is a signatory to International Biodiversity Convention. The three objectives of the Convention are: the conservation of biodiversity, the sustainable use of biological resources and the fair and equitable sharing of benefits arising from the use of genetic resources.</i>	
<b>(Not applicable to SLIMF)</b> <b>Forest Managers have implemented controls to ensure continuing compliance with the International Biodiversity Convention.</b>		
<b>Criterion 1.4</b>	<b>Conflicts between laws, regulations and the FSC Principles and Criteria shall be evaluated for the purposes of certification, on a case-by-case basis, by the certifiers and the involved or affected parties</b>	
<b>Indicator 1.4.1</b>	<b>Verifiers &amp; Guidance:</b> SGS will assess the conflict and advise on resolution thereof, where such were possible. Interviews with Forest Managers and other stakeholders. <i>The Swazi Government carries out spraying of DDT (prohibited pesticide) at the Swazi people's dwellings to control mosquitoes and hence the spread of Malaria. This is a potential conflict and should be reported if this happen on the certified FMU.</i>	
<b>Any identified conflicts are brought to the attention of SGS and involved or affected parties.</b>		
<b>Criterion 1.5</b>	<b>Forest management areas should be protected from illegal harvesting, settlement and other unauthorised activities</b>	
<b>Indicator 1.5.1</b>	<b>Verifiers &amp; Guidance:</b> Field observations show no damage from unauthorised or illegal activities Manager's explanation of protection/ prevention activities e.g. signs, gates, patrols, etc Copies of reports made to the authorities of problem activities Boundaries are known to the manager and local communities and are easily identified in the field. Boundaries are marked in areas where there is a high risk of encroachment.	
<b>Forest Managers have taken effective measures to monitor, identify and control illegal harvesting, settlement and other unauthorised activities.</b>		
<b>Indicator 1.5.2</b>	<b>Verifiers &amp; Guidance:</b> Staff records and records of security incidences Field observations provide no evidence of ongoing illegal activities	
<b>There are adequate personnel and surveillance resources to control such activities</b>		
<b>Criterion 1.6</b>	<b>Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria</b>	
<b>Indicator 1.6.1</b>	<b>Verifiers &amp; Guidance:</b> Written policy with appropriate statement is available <u>SLIMF:</u> The management plan Plans (written or informal) for investment, training, and sharing of income or other benefits Past management has been compatible with the P&C	
<b>There is a publicly available policy endorsed by the owner/most senior management explicitly stating long term commitment to forest management practices consistent with the FSC Principles and Criteria</b> <b><u>SLIMF:</u></b> <b>The forest manager has plans to manage the</b>		

forest in the long term in a way that is compatible with the FSC Principles and Criteria	
<b>Indicator 1.6.2</b> <b>(Not applicable to SLIMF)</b> <b>The policy is communicated throughout the organisation (including to contractors) and to external stakeholders</b>	<b>Verifiers &amp; Guidance:</b> Interviews with Forest Managers, workers and stakeholders. Evidence of distribution of policy to stakeholders.
<b>Indicator 1.6.3</b> <b>Where the owner/manager has some responsibility for forest lands not covered by the certificate, then there is a clear long term commitment to managing all forests in the spirit of the FSC P&amp;C</b>	<b>Verifiers &amp; Guidance:</b> <i>The applicant for certification must make a full disclosure of all forest areas over which the applicant has some responsibility, whether as owner (including share or partial ownership), manager, consultant or other responsibility. The disclosure shall be documented in the main assessment report. You must record full details of ownership, forest name, type, area and location for each such forest. This information must be made available to stakeholders as part of the consultation process.</i> <i>When the evaluation does not include all the forest areas in which the applicant is involved, the applicant must explain the reasons for this, and the reasons must be documented in the main assessment report.</i> Evidence of such other forest lands. Policies Interviews with Forest Managers.
<b>Indicator 1.6.4</b> <b>Management of forest areas identified in terms of 1.6.3 complies with the latest FSC Partial Certification Policy</b>	<b>Verifiers &amp; Guidance:</b> Interviews with Forest Managers, policies, procedures and field observations.
<b>PRINCIPLE 2. TENURE AND USE RIGHTS RESPONSIBILITIES:</b> Long-term tenure and use rights to the land and forest resources shall be clearly defined, documented and legally established.	
<b>Criterion 2.1 Clear evidence of long-term forest use rights to the land (e.g. land title, customary rights or lease agreements) shall be demonstrated</b>	
<b>Indicator 2.1.1</b> <b>There is documentation showing the owner/manager's legal rights to manage the land and/or utilise forest resources</b>	<b>Verifiers &amp; Guidance:</b> Documentation with appropriate legal status. Maps clearly indicating the boundaries of the FMU. <i>All land in Swaziland, save for the privately held title deed, is vested in the King in trust for the Swazi Nation. Swazi Nation Land (SNL) comprises 74% land, with 25% Title Deed Land. SNL is held communally and may be used free of charge by members of the community, but may be subject to widespread local rules on management of NTFPs.</i> <i>See Safeguarding of Swazi Areas Act of 1910 and definition of Swazi Areas Act, 1917. This Act makes provision for the protection of the rights of the Swazi people to areas set apart under the Concessions Partition Act for their sole and exclusive use and occupation. The proclaimed Swazi Areas are listed under the following districts: Peak, Ubombo, Mbabane North, Mbabane South and Hlatikulu District. Commercial forestry is a land use in some of these districts, therefore it should be</i>



	<i>checked that forestry has not encroached on these areas. The Swazi Land Settlement Act of 1946 provides for the establishment, control and development of a land settlement scheme for the Swazi Nation. There is commercial forestry in the Swazi Settlement areas, but the Deeds of Transfer are listed in this Act.</i>
<b>Indicator 2.1.2</b>	<b>Verifiers &amp; Guidance:</b>
<b>The FMU is committed to long-term forest management of at least one rotation length or harvest cycle.</b>	Policies and management plans make clear reference to management objectives that support this indicator.
<b>Indicator 2.1.3</b>	<b>Verifiers &amp; Guidance:</b>
<b>Where the Forest Manager does not have legal title, the owner/government does not impose constraints that prevent compliance with the SGS Qualifor standard or the objectives of the management plan.</b>	Provisions in agreement for tenure. FMU management plans. FMU long term strategies.
<b>Criterion 2.2</b>	<b>Local communities with legal or customary tenure or use rights shall maintain control, to the extent necessary to protect their rights or resources, over forest operations unless they delegate control with free and informed consent to other agencies.</b>
<b>Indicator 2.2.1</b>	<b>Verifiers &amp; Guidance:</b>
<b>All existing legal or customary tenure or use rights that local communities have within the FMU shall be documented and mapped</b>	Documentation showing acknowledgement by forest management of such agreements and maps. Interviews with Forest Managers and consultation with local community representatives.
<b>Indicator 2.2.2</b>	<b>Verifiers &amp; Guidance:</b>
<b>Forest planning and operations will be subject to these tenure or use rights unless such have been delegated to other agencies.</b>	Forest management plans Field observations
<b>Indicator 2.2.3</b>	<b>Verifiers &amp; Guidance:</b>
<b>Where communities have delegated control of their legal or customary tenure or use rights, or part thereof, this can be confirmed by documented agreements and/or interviews with representatives of the local communities</b>	Written agreements. Free and informed consent communicated by representatives of local communities. Clear evidence of payment for tenure or use rights.
<b>Indicator 2.2.4</b>	<b>Verifiers &amp; Guidance:</b>
<b>Allocation, by local communities, of duly recognized legal or customary tenure or use rights to other parties is documented, with evidence of free and informed consent</b>	Interviews with local communities. Written agreements. Free and informed consent communicated by representatives of local communities.
<b>Indicator 2.2.5</b>	<b>Verifiers &amp; Guidance:</b>
<b>The forest is accessible to local rights holders.</b>	Management Plans Interviews with local communities.

<b>Indicator 2.2.6</b>	<b>Verifiers &amp; Guidance:</b>
<b>Monitoring results show no significant impacts caused by access taking place in terms of 2.2.5</b>	Monitoring records Inspection of areas/resources where access and/or use has taken place.
<b>Criterion 2.3</b>	<b>Appropriate mechanisms shall be employed to resolve disputes over tenure claims and use rights. The circumstances and status of any outstanding disputes will be explicitly considered in the certification evaluation. Disputes of substantial magnitude involving a significant number of interests will normally disqualify an operation from being certified</b>
<b>Indicator 2.3.1</b>	<b>Verifiers &amp; Guidance:</b>
<b>Documented procedures to resolve tenure claims and use right disputes are in place where any potential for such conflicts does exist</b> <b>SLIMF:</b> <b>There are no major unresolved disputes relating to tenure and use rights in the forest. Disputes or grievances are being resolved using locally accepted mechanisms and institutions.</b> <b>Measures are taken to avoid damage to other peoples' use rights or property, resources, or livelihoods. Where accidental damage occurs, fair compensation is provided.</b>	Documented procedures. Interviews with Forest Managers and consultation with representatives of local communities. <i>Documented procedures are available that allow for a process that could generally be regarded as open and acceptable to all parties with an objective of achieving agreement and consent through fair consultation. Procedures should allow for impartial facilitation and resolution.</i> <b>SLIMF:</b> Interviews with Forest Manager and local community groups
<b>Indicator 2.3.2</b>	<b>Verifiers &amp; Guidance:</b>
<b>The Forest Manager shall maintain a record of disputes and the status of their resolution, including evidence related to the dispute and documentation of steps taken to resolve the dispute.</b>	Documented records of disputes
<b>Indicator 2.3.3</b>	<b>Verifiers &amp; Guidance:</b>
<b>Unresolved tenure and/or use right disputes that are of a substantial magnitude and involving a significant number of interests should disqualify an operation from being certified.</b>	<i>Magnitude of a dispute may be assessed by considering the scale at a landscape level associated with the opinion of a majority of community representatives and/or the time period over which the dispute has been in place</i> Interviews with Forest Managers and consultation with representatives of local communities. Complete record of a history of disputes.
<b>Indicator 2.3.4</b>	<b>Verifiers &amp; Guidance:</b>
<b>(Not applicable to SLIMF)</b> <b>Dispute resolution procedures shall make provision for the requirement that where the future tenure or use rights of communities may be compromised, forest operations that are, or may be the direct cause of the dispute, will not be initiated or will be suspended until the dispute had been resolved.</b>	Interviews with Forest Managers and consultation with representatives of local communities. Complete record of a history of disputes.

<b>PRINCIPLE 3. INDIGENOUS PEOPLES' RIGHTS:</b>	
The legal and customary rights of indigenous peoples to own, use and manage their lands, territories, and resources shall be recognised and respected.	
<b>Criterion 3.1 Indigenous peoples shall control forest management on their lands and territories unless they delegate control with free and informed consent to other agencies</b>	
<b>Indicator 3.1.1</b>	<b>Verifiers &amp; Guidance:</b>
<b>The identity, location and population of all indigenous peoples, including migratory groups, living in the vicinity of the management area are documented by the forest managers.</b>	Management plans and maps. Consultation with representatives of indigenous peoples and government authorities. <i>See Appendix C for a country profile of the Kingdom on Swaziland</i> <i>See Appendix D for a synopsis of the National Forest Policy</i>
<b>Indicator 3.1.2</b>	<b>Verifiers &amp; Guidance:</b>
<b>All rights and claims to lands, territories or customary rights within the management area are documented and/or clearly mapped.</b>	Management plans and maps. Consultation with representatives of indigenous peoples.
<b>Indicator 3.1.3</b>	<b>Verifiers &amp; Guidance:</b>
<b>Rights identified in terms of Indicator 3.1.1 are respected.</b>	Consultation with representatives of indigenous peoples.
<b>Indicator 3.1.4</b>	<b>Verifiers &amp; Guidance:</b>
<b>Forest management operations do not take place in areas identified in Indicator 3.1.3 above, without clear evidence of the free and informed consent of the indigenous or traditional peoples claiming such land, territory or customary rights.</b>	<i>Affected communities should have the financial, technical and logistical capacity to enable "free and informed consent"</i> Consultation with representatives of indigenous peoples. No evidence of disputes. Evidence that agreed payments for use right and/or resources are being made.
<b>Criterion 3.2 Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples</b>	
<b>Indicator 3.2.1</b>	<b>Verifiers &amp; Guidance:</b>
<b>Any impacts of forest management on indigenous communities' resources or tenure rights are identified and recorded</b> <b><u>SLIMF:</u></b> <b>Any impacts of forest management on indigenous communities' resources or tenure rights are identified and known by the Forest Manager</b>	Records or impact assessments. Consultation with representatives of indigenous peoples
<b>Indicator 3.2.2</b>	<b>Verifiers &amp; Guidance:</b>
<b>Indigenous peoples are explicitly informed of any impacts that forest management may have on their resources or tenure rights</b>	Records of meetings. Consultation with indigenous peoples

<b>Indicator 3.2.3</b>	<b>Verifiers &amp; Guidance:</b>
<b>Forest Management will not proceed without clear evidence of the free and informed consent of the indigenous peoples claiming such land, territory or customary rights, accepting impacts identified in terms of Indicator 3.2.1. Where disputes arise post facto, operations affecting these rights will be suspended until such dispute had been resolved</b>	Consultation with representatives of indigenous peoples. Records of dispute resolution
<b>Indicator 3.2.4</b>	<b>Verifiers &amp; Guidance:</b>
<b>Actions are taken to prevent or mitigate adverse impacts</b>	Field inspections and records of corrective actions
<b>Criterion 3.3</b>	<b>Sites of special cultural, ecological, economic or religious significance to indigenous peoples shall be clearly identified in co-operation with such peoples, and recognised and protected by forest managers.</b>
<b>Indicator 3.3.1</b>	<b>Verifiers &amp; Guidance:</b>
<b>Sites of special cultural, historical, ecological, economic or religious significance are identified, described and mapped in co-operation with affected indigenous people.</b> <b><u>SLIMF:</u></b> <b>Sites of special cultural, historical, ecological, economic or religious significance have been identified and any special requirements are known.</b>	Interviews with Forest Managers and consultation with stakeholders. Records and maps. Refer also to Indicator 7.1.1 <i>See Part V National Monuments, Relics and antiques of The National Trust Commission Act, 1972. Monuments, relics, antiques and other objects of special significance are protected. Objects of aesthetic, historical, archaeological or scientific value or interest that has for more than 30 years been in any part of Southern Africa or which was made therein more than 50 years ago is protected by law. Monuments may be proclaimed through the Commission.</i> <i>These sites are also referred to as "SMZs" (special management zones) in the Environmental guidelines for commercial forestry plantations in South Africa (Aug 2002), to which Swaziland plantation forestry subscribes.</i>
<b>Indicator 3.3.2</b>	<b>Verifiers &amp; Guidance:</b>
<b>Management objectives and prescriptions are developed (and documented) in co-operation with affected or interested indigenous people</b> <b><u>SLIMF:</u></b> <b>Clear management objectives have been identified.</b> <b>3.3.2.1: A buffer of at least 5m should be maintained around SMZs. If there is potential for damage during operational activities, the distance should be increased to exclude such impacts.</b>	Management plans and documents. Consultation with stakeholders <b><u>SLIMF:</u></b> Interviews with the Forest Manager and field observations <i>According to the Environmental guidelines for commercial forestry plantations in South Africa (Aug 2002). An SMZ is considered a "no go" area. As such, no activity may be conducted in an SMZ other than for its maintenance or wise use</i>
<b>Indicator 3.3.3</b>	<b>Verifiers &amp; Guidance:</b>
<b>Such areas are identified in working plans and demarcated in the field where this is considered appropriate</b>	Operational plans and maps and field observation

<b>Indicator 3.3.4</b>	<b>Verifiers &amp; Guidance:</b>
<b>All operators and contractors can identify such sites in the field</b>	Interviews with operators and field observations. Consultation with stakeholders
<b>Indicator 3.3.5</b>	<b>Verifiers &amp; Guidance:</b>
<b>Measures are in place to prevent any form of damage or disturbance, other than such agreed with affected indigenous people</b>	Interviews with operators and field observations. Consultation with stakeholders
<b>Indicator 3.3.6</b>	<b>Verifiers &amp; Guidance:</b>
<b>Rights of access to these areas is permitted</b>	Consultation with stakeholders
<b>Criterion 3.4</b>	<b>Indigenous peoples shall be compensated for the application of their traditional knowledge regarding the use of forest species or management systems in forest operations. This compensation shall be formally agreed upon with their free and informed consent before forest operations commence.</b>
<b>Indicator 3.4.1</b>	<b>Verifiers &amp; Guidance:</b>
<b>Indigenous peoples' traditional knowledge regarding the use of forest species or management systems in forest operations, which is being, or may be, utilised commercially by the forest organisation, is documented</b>	Documented records. Consultation with indigenous peoples.
<b>SLIMF:</b> <b>Indigenous peoples' traditional knowledge regarding the use of forest species or management systems in forest operations, which is being, or may be, utilised commercially by the forest organisation, have been identified</b>	<b>SLIMF:</b> Interviews with Forest Manager and indigenous peoples/local communities
<b>Indicator 3.4.2</b>	<b>Verifiers &amp; Guidance:</b>
<b>Indigenous peoples shall be fully informed of the intent and nature of the use of their traditional knowledge by the assessed organisation. Such use will not proceed until indigenous peoples have agreed with free consent</b>	Records of meetings with representatives of indigenous peoples. Consultation with representatives of indigenous peoples. Agreements.
<b>Indicator 3.4.3</b>	<b>Verifiers &amp; Guidance:</b>
<b>If such traditional knowledge is used for profit by the assessed organisation (or any other organisation under an agreement with the assessed organisation) compensation is formally agreed before such knowledge is used</b>	Agreements. Consultation with representatives of indigenous peoples
<b>Indicator 3.4.4</b>	<b>Verifiers &amp; Guidance:</b>
<b>All agreed compensation is paid</b>	Financial records <b>SLIMF:</b>

	Interviews with indigenous peoples/local communities
<b>PRINCIPLE 4. COMMUNITY RELATIONS AND WORKER'S RIGHTS:</b>	
Forest management operations shall maintain or enhance the long-term social and economic well being of forest workers and local communities.	
<b>Criterion 4.1 The communities within, or adjacent to, the forest management area should be given opportunities for employment, training, and other services</b>	
<b>Indicator 4.1.1</b>	<b>Verifiers &amp; Guidance:</b>
<b>People in local communities are given opportunities in employment, training and contracting</b>	Interviews with Forest Managers and workers.
<b>SLIMF:</b>	Consultation with representatives of local communities and labour unions.
<b>Local workers and contractors should be used wherever possible</b>	Training strategies.
	Job advertisements in local publications
	<i>See Employment Act of 1980 (amended 1997)</i>
<b>Indicator 4.1.2</b>	<b>Verifiers &amp; Guidance:</b>
<b>In <u>large scale organisations</u>, contracts are awarded through a transparent process on the basis of clear criteria; justification for final selections is documented</b>	Interviews with contractors.
	Policies and procedures of the assessed organisation.
	Documentation on contracting of services.
<b>Indicator 4.1.3</b>	<b>Verifiers &amp; Guidance:</b>
<b>In <u>large scale organisations</u> training and/or other appropriate forms of assistance to local people and workers to meet the organisation's long-term staffing requirements are developed and supported.</b>	Workers include: employees, contractors, sub-contractors, and any other persons carrying out forestry work on the forest management unit.
	Long-term training plans.
	Interviews with Forest Managers and workers.
<b>Indicator 4.1.4</b>	<b>Verifiers &amp; Guidance:</b>
<b>(Not applicable to SLIMF)</b>	<i>Service provision and support for local infrastructure, facilities should, as a minimum, be consistent with meeting management plan objectives over the long term (e.g. provision of basic health, education and training facilities where these do not exist) as well as avoiding or mitigating any negative social impacts of the operations.</i>
<b>Support is provided for local infrastructure and facilities at a level appropriate to the scale of the forest resources</b>	Consultation with representatives of local communities
	Provision of training; schooling; medical; facilities; housing; accommodation
<b>Indicator 4.1.5</b>	<b>Verifiers &amp; Guidance:</b>
<b>Where practicable, communities are given controlled access to forest and non-forest products on the FMU</b>	Interviews with Forest Managers and local communities.
	Evidence of controlled harvesting activities
	<i>These communities should be described in the profile of the adjacent land (see 7.1.3)</i>
<b>Indicator 4.1.6</b>	<b>Verifiers &amp; Guidance:</b>
<b>Policies and procedures and the implementation thereof make qualifications, skills and experience the basis for recruitment,</b>	<i>No evidence of discrimination on the basis of: race, colour, culture, sex, age, religion, political opinion, national extraction or social origin</i>

<p>placement, training and advancement of staff at all levels</p> <p><b>SLIMF:</b></p> <p>Employees are not discriminated in hiring, advancement, dismissal remuneration and employment related to social security</p>	<p>Employment policies and procedures.</p> <p>Interviews with Forest Managers, workers and Labour Union representatives.</p> <p><b>SLIMF:</b></p> <p>Interviews with workers and contractors</p>
<p><b>Indicator 4.1.7</b></p> <p>All employees, contractors and sub-contractors must be paid a fair wage and other benefits, which meet or exceed all legal requirements and those provided in comparable occupations in the same region</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Benefits may include social security payments, pension, accommodation, food, etc.</p> <p>Records of payment</p> <p>Interviews with Forest Managers, workers and Labour Union representatives.</p> <p><i>Check minimum wages for Swaziland annually</i></p>
<p><b>Indicator 4.1.8</b></p> <p>No workers shall be engaged in debt bondage or other forms of forced labour</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers, workers and Labour Union representatives</p>
<p><b>Indicator 4.1.9</b></p> <p>Persons under 15 years are not employed in any forestry work</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p><i>National legislation may set higher minimum ages, but these ages are defined in ILO Convention 138 Article 3.</i></p> <p>Interviews with Forest Managers, workers and Labour Union representatives</p> <p>Observations in the work place.</p>
<p><b>Indicator 4.1.10</b></p> <p>Persons under 18 years shall not be employed at night or to carry out heavy work or hazardous operations, e.g. pesticide application, harvesting, except for the purposes of training</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p><i>Where children and young persons are to be removed from employment in order to comply with this requirement, criterion 4.4 on social impact assessment and mitigation will apply. Organisations are expected to carry out a social impact assessment of the displacement of children from the workplace and effectively mitigate that impact e.g. provide suitable alternative sources of family income and ensure the children have access to adequate education facilities.</i></p>
<p><b>Criterion 4.2 Forest management <u>should</u> meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families</b></p>	
<p><b>Indicator 4.2.1</b></p> <p>Forest Managers are aware of laws and/or regulations covering health and safety of employees and their families</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p><i>Forestry operations should follow the ILO Code of Practice on Safety and Health in Forestry.</i></p> <p>Interviews with Forest Managers, workers and union representatives.</p> <p>Guidelines/regulations are readily available.</p> <p><i>See Public Health Act</i></p> <p><i>FESA's South African Chainsaw Safety and Operating handbook and the South African Cable Yarding Safety and Operating Handbook.</i></p> <p><i>Responsible Use Guide: AVCASA Crop Protection and Animal Health Association (October 2001) (Responsible Use of Agricultural Chemicals and Stock Remedies).</i></p>

<p><b>Indicator 4.2.2</b></p> <p><b>Forest Managers comply with laws and/or regulations covering health and safety of employees and their families</b></p> <p><b>For <u>large scale organisations</u> a written safety and health policy and management system are in place</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p><i>Forestry operations should follow the ILO Code of Practice on Safety and Health in Forestry.</i></p> <p>Interviews with Forest Managers, workers and union representatives.</p> <p>Guidelines/regulations are readily available.</p> <p>Labour directives and inspection reports.</p> <p>Company OHS records</p>
<p><b>Indicator 4.2.3</b></p> <p><b>Forest Managers have systematically assessed the risk associated with all tasks and equipment In <u>large scale organisations</u>, compliance with this requirement shall be supported by documentation</b></p> <p><b><u>SLIMF:</u></b></p> <p><b><u>All work done in the forest must comply with health and safety laws and regulations</u></b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Documented risk assessments.</p> <p><u>SLIMF:</u></p> <p>Equipment is available to workers</p> <p>Interviews with Forest Managers and workers</p> <p>Field observations</p> <p><i>Specifically see the ILO Technical guidelines for Safety and health at the Forestry Worksite, 12 General provisions, and clauses 243-276.</i></p> <p><i>Risk assessment should include risks of exposure of workers to excessive UV radiation (ILO CoP on S&amp;H in Forestry Work, 1998)</i></p>
<p><b>Indicator 4.2.4</b></p> <p><b>In terms of the risks identified (refer 4.2.2) safe procedures which include the use of personal protective equipment (PPE), emergency procedures and key responsibilities have been recorded.</b></p> <p><b><u>SLIMF:</u></b></p> <p><b><u>All work done in the forest must comply with health and safety laws and regulations</u></b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers, workers and union representatives.</p> <p>Documented risk assessments and safety procedures.</p> <p><u>SLIMF:</u></p> <p>Equipment is available to workers</p> <p>Interviews with Forest Managers and workers</p> <p>Field observations</p>
<p><b>Indicator 4.2.5</b></p> <p><b>All workers have had relevant training in safe working practice and where required, hold the necessary skills certificates.</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers and workers.</p> <p>Training schedules and records</p> <p>Copies of skills certificates.</p> <p><i>First Aiders on site should have the appropriate First Aid Certificates, and should have had formal certificated training by recognised training institutes.</i></p> <p><i>Chainsaw operators must have the necessary skills certificate.</i></p>
<p><b>Indicator 4.2.6</b></p> <p><b>Forestry operations comply as a minimum, with the ILO Code of Practice on Safety and Health in Forestry</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers and workers</p> <p><i>Swaziland is a signatory to ILO. The FMU should have proof of access to the ILO Code of Practice on Safety and Health in Forestry Work (ILO 1998).</i></p>
<p><b>Indicator 4.2.7</b></p> <p><b>All necessary tools, machines, substances and equipment, including appropriate PPE, are</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers and workers.</p> <p>Field observations.</p>



<p>available at the worksite and are in safe and serviceable condition</p>	<p><i>UV Protection provided for workers based on risk assessment.</i></p> <p><i>An adequate supply of safe drinking water must be available at the worksite. For Physical work in hot climates, 1litre per person per hour may be required.</i></p> <p><i>First Aid kits must be available on site and adequately equipped</i></p>
<p><b>Indicator 4.2.8</b></p> <p><b>Managers take measures to ensure that workers use the PPE that is provided</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers and workers.</p> <p>Field observations</p>
<p><b>Indicator 4.2.9</b></p> <p><b>Health and safety records (including risk evaluations, accident records) are maintained and up-to-date</b></p> <p><b><u>SLIMF:</u></b></p> <p><b>Basic record is kept of health and safety related incidents</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Records of accidents, incidents, instructions to supervisors and workers</p> <p><b><u>SLIMF:</u></b></p> <p>Records</p> <p>Interviews with Forest Manager and workers</p> <p><i>In terms of the Public Health Act, medical practitioners (e.g. clinics) are required by law to notify the government (nearest officer of Health) of any occurrences of “notifiable” diseases which are listed in the Act as Group A (e.g. Cholera, smallpox, Plague, yellow fever) and Group B (e.g. anthrax, malaria, TB, AIDS).</i></p> <p><i>Check that H&amp;S records are maintained at the worksite (e.g. by First Aiders at the cutting site)</i></p>
<p><b>Indicator 4.2.10</b></p> <p><b>Provision is made for medical assistance in case of an accident and/or injury during operations.</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p><i>Emergency assistance needs to be provided to assist a worker in case of an injury sustained during operations. Communication and transport would be an important aspect of this assistance.</i></p> <p>Interviews with Forest Managers and workers</p>
<p><b>Indicator 4.2.11</b></p> <p><b>All employees and contractors and their families have access to adequate local medical facilities while working on the FMU.</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers and workers</p>
<p><b>Indicator 4.2.12</b></p> <p><b>Where located and provided on the FMU worker accommodation and nutrition comply, as a minimum, with the ILO Code of Practice on Safety and Health in Forestry.</b></p> <p><b>4.2.12.1:</b> The use of rivers/streams for washing (personal hygiene and clothes) is discouraged</p> <p><b>4.2.12.2:</b> Consideration should be given to cultural traditions in the design and type of facilities provided</p> <p><b>4.2.12.3:</b> Quality of drinking water should be monitored (unless it is municipal water)</p> <p><b>4.2.12.4:</b> Training and awareness education should cover aspects such as literacy, hygiene, health, maintenance and protection of surrounding natural assets</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Managers and workers</p> <p>Inspection of facilities</p> <p><i>In terms of the Public Health Act, unhygienic situations are defined as a “nuisance” and are listed in the Act under “what constitutes a nuisance”. Many of these listed situations are related to accommodation, potable water within a reasonable distance, sewage, refuse, stagnant water, drainage, ventilation and smoke, sufficient and sanitary latrines. It is illegal to allow such conditions, and this list should be referred to when inspecting workers accommodation and living conditions. The list also included unfit buildings and unfit vehicles.</i></p> <p><i>Specific attention to the availability of potable and adequate water supply, adequate ablution facilities and space (no overcrowding). Permits are necessary for waste sites and for sewage and water treatment plants.</i></p> <p><i>See Environmental Guidelines for Commercial Forestry</i></p>

	<i>Plantations in South Africa (Aug 2002) on Village Management'</i> .
<b>Indicator 4.2.13</b>	<b>Verifiers &amp; Guidance:</b>
<p>There is evidence of a programme on the FMU that raises awareness of illnesses and diseases endemic to the area that affect forest workers or their families.</p> <p>For <b>large scale organisations</b> there is contribution towards or provision of a prevention and control programme for any illnesses and diseases endemic to the area that affect forest workers or their families</p> <p><b>SLIMF:</b></p> <p>There is evidence of a basic programme on the FMU that raises awareness of illnesses and diseases endemic to the area that affect workers or their families</p> <p><b>4.2.13.1:</b> Evidence of implementation of an HIV/AIDS strategy as well as malaria awareness</p>	<p>Interviews with Forest Managers and workers.</p> <p>Interviews with social NGOs.</p> <p>Records of support.</p> <p>Health statistics for the region.</p> <p><b>SLIMF:</b></p> <p>Interviews with forest manager and workers</p> <p><i>In Southern Africa, waterborne diseases (e.g. cholera, bilharzia) in rural areas also pose an immense threat, as does gastro-enteritis (lack of clean water for washing) and Malaria. These threats are common in forestry areas, hence the need for such awareness too.</i></p>
<b>Criterion 4.3</b>	<b>The rights of the workers to organise and voluntarily negotiate with their employers shall be guaranteed as outlined in Conventions 87 and 98 of the International Labour Organisation (ILO).</b>
<b>Indicator 4.3.1</b>	<b>Verifiers &amp; Guidance:</b>
<p>Workers are free to organise and or join a trade union of their choice without fear of intimidation or reprisal. This will at a minimum comply with the requirements of the ILO Convention No. 87: Convention concerning Freedom of Association and Protection of the Right to Organise</p>	<p>Interviews with Forest Managers, workers and labour union representatives.</p> <p><i>See Industrial Relations Act of 2000.</i></p> <p><i>Proof of access to ILO Convention No. 87.</i></p> <p><i>Check that labour unions are included on the stakeholder's list (see 4.4.3).</i></p>
<b>Indicator 4.3.2</b>	<b>Verifiers &amp; Guidance:</b>
<p>Workers are free to organise and bargain collectively. This will at a minimum comply with the requirements of International Labour Organisation convention 98, Convention concerning the Application of the Principles of the Right to Organise and to Bargain Collectively</p>	<p>Interviews with Forest Managers, workers and labour union representatives</p> <p><i>Proof of access to ILO Convention No. 98.</i></p>
<b>Indicator 4.3.3</b>	<b>Verifiers &amp; Guidance:</b>
<p>There is an effective mechanism in place to provide information to, and enable the participation of workers in decision-making where this directly affects their working terms and conditions</p> <p><b>SLIMF:</b></p> <p>Workers or their representatives are accepted as participants in decision making</p>	<p>Interviews with Forest Managers, workers and labour union representatives</p>

<b>Criterion 4.4</b>	<b>Management planning and operations shall incorporate the results of evaluations of social impact. Consultations shall be maintained with people and groups (both men and women) directly affected by management operations.</b>
<p><b>Indicator 4.4.1</b></p> <p>In conjunction with the local stakeholders affected (both men and women) and in accordance with the scale and intensity of management, the social, socio-economic, spiritual and cultural impacts of forest operations are evaluated.</p> <p>For <u>large scale organisations</u>, these impacts shall be documented</p> <p><b>SLIMF (Small Forests):</b></p> <p>Anyone who is likely to be directly affected by an operation is informed and has an opportunity to comment.</p> <p>The forest manager must try to avoid negative impacts of operations.</p> <p><b>SLIMF (Low Intensity Forests):</b></p> <p>The forest manager proactively seeks assistance from external organizations to carry out an assessment of social impacts and/or social impact monitoring and uses the results to plan future management.</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p><i>New operations will normally be subjected to formal impact assessments and these assessments must include the social environment. For ongoing operations it will be necessary to maintain communication with stakeholders and thus ensure the Forest Manager is aware of any current and/or potential impacts. Management plans must provide mitigatory measures to address such impacts, e.g. problems with dust or noise caused by operations are known and planning is adjusted to reduce or negate such</i></p> <p>Interviews with Forest Managers and local communities.</p> <p><b>SLIMF (Small Forests):</b></p> <p>Discussions with neighbours and forest manager</p> <p>Copies of newspaper advertisements, letters, posters and signs used to inform people of operations.</p> <p><b>SLIMF (Low Intensity Forests):</b></p> <p>Copies of Social Impact Assessment reports</p> <p>Evidence of changes in management following results of an Social Impact Assessment <u>or</u> monitoring of social impacts.</p>
<p><b>Indicator 4.4.2</b></p> <p>(Not applicable to SLIMF)</p> <p>Adverse impacts, opportunities for positive impact and areas of potential conflict identified by evaluations are adequately addressed in plans</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers and local communities.</p> <p>Management plans</p>
<p><b>Indicator 4.4.3</b></p> <p>An up-to-date list of stakeholders is maintained</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Records</p> <p>Consultation with stakeholders</p> <p><i>The Swaziland Environment Authority (SEA) must be included as a key national stakeholder, given the functions and powers of this authority. (See Swaziland Environment Authority Act, 1992).</i></p>
<p><b>Indicator 4.4.4</b></p> <p>(Not applicable to SLIMF)</p> <p>There is adequate and ongoing consultation with stakeholders (local people, workers and relevant organisations); in particular, stakeholders are aware that forest management plans and monitoring results are available for inspection, if high impact operations are planned, and that the FMU is being evaluated/monitored for certification</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Records</p> <p>Consultation with stakeholders and interviews with Forest Managers</p>
<p><b>Indicator 4.4.5</b></p> <p>Issues raised by stakeholders are treated constructively and objectively</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Records</p> <p>Consultation with stakeholders and interviews with Forest</p>

	Managers
<b>Indicator 4.4.6</b>	<b>Verifiers &amp; Guidance:</b>
In <u>large scale operations</u> , communications with stakeholders on issues that require action and follow-up shall be documented	Documentation of communication
<b>Criterion 4.5</b>	<b>Appropriate mechanisms shall be employed for resolving grievances and for providing fair compensation in the case of loss or damage affecting the legal or customary rights, property, resources or livelihoods of local peoples. Measures shall be taken to avoid such loss or damage</b>
<b>Indicator 4.5.1</b>	<b>Verifiers &amp; Guidance:</b>
Every effort is made to resolve disputes through fair consultation aimed at achieving agreement and consent	Records Consultation with stakeholders and interviews with Forest Managers <i>See Industrial Relations Act of 2000 and Workmen's Compensation Act.</i>
<b>Indicator 4.5.2</b>	<b>Verifiers &amp; Guidance:</b>
(Not applicable to SLIMF) Dispute resolution is clearly defined. System for resolving disputes includes legal requirements and is documented for <u>large scale operations</u> .	Documented dispute resolution  Consultation with stakeholders and interviews with Forest Managers
<b>Indicator 4.5.3</b>	<b>Verifiers &amp; Guidance:</b>
(Not applicable to SLIMF) Dispute resolution mechanism makes provision for compensations to local people in the case of loss or damage affecting their legal or customary rights, property, resources or livelihoods.	Records Consultation with stakeholders and interviews with Forest Managers
<b>Indicator 4.5.4</b>	<b>Verifiers &amp; Guidance:</b>
(Not applicable to SLIMF) There is evidence that all payments agreed in terms of 4.5.3 have been made.	Records of payments Consultation with stakeholders and interviews with Forest Managers
<b>PRINCIPLE 5. BENEFITS FROM THE FOREST:</b>	
Forest management operations shall encourage the efficient use of the forest's multiple products and services to ensure economic viability and a wide range of environmental and social benefits.	
<b>Criterion 5.1</b>	<b>Forest management should strive towards economic viability, while taking into account the full environmental, social, and operational costs of production, and ensuring the investments necessary to maintain the ecological productivity of the forest</b>
<b>Indicator 5.1.1</b>	<b>Verifiers &amp; Guidance:</b>
Optimal use is made of the potential annual yield of forest products	Annual plan of operations, budgets and financial statements. Yield estimates

<p><b>Indicator 5.1.2</b></p> <p>Current and future budgets include specific provision for environmental and social, as well as all operational costs</p> <p><b>SLIMF</b></p> <p>The Forest Manager is aiming to be in an economically viable situation which permits long term forest management</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p><i>Income may be interpreted broadly as direct income from sales of forest products and indirect income from leisure/tourism, charitable fundraising, payments for environmental services rendered and subsidies.</i></p> <p>Financial planning records and statements.</p> <p>Interviews with Forest Managers</p>
<p><b>Indicator 5.1.3</b></p> <p>Investments are made to maintain the ecological productivity of the forest</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers and environmental NGOs.</p> <p>Plans and maps.</p> <p>Observation of ecosystems.</p>
<p><b>Criterion 5.2 Forest management and marketing operations should encourage the optimal use and local processing of the forest's diversity of products.</b></p>	
<p><b>Indicator 5.2.1</b></p> <p>(Not applicable to SLIMF)</p> <p>The owner/manager should promote the development of markets for of common, lesser known plantation-grown or natural forest species and non-timber forest products</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers and consultation with local communities.</p> <p><i>The trading (growing, gathering, selling) in mushrooms is prohibited without a permit (The plant Control Act, 1981.)</i></p>
<p><b>Indicator 5.2.2</b></p> <p>Local processing and markets are provided access to forest products available from the FMU, unless there is a justifiable reason for not doing so</p> <p><b>SLIMF</b></p> <p>Local processing is used where it is viable.</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers and consultation with local communities.</p> <p>Evidence of opportunities to support local processing and markets.</p> <p><b>SLIMF:</b></p> <p>Details of sales of timber and information about local processing options.</p>
<p><b>Criterion 5.3 Forest management <u>should</u> minimise waste associated with harvesting and on-site processing operations and avoid damage to other forest resources.</b></p>	
<p><b>Indicator 5.3.1</b></p> <p>Strategic and tactical/operational harvest planning and harvest operations shall be carried out in accordance with national best practice guidelines (where these do not exist or are inadequate, for tropical high forest the FAO Model Code of Forest Harvesting Practice will apply)</p> <p><b>SLIMF:</b></p> <p>Wood waste and damage to the remaining forest during harvesting and on site processing are minimised.</p> <p><i>5.3.1.1: Strategic Plans (at least one rotation) are available and demonstrate sustainability of harvest.</i></p> <p><i>5.3.1.2: Tactical Plans (3-5 years) are available and incorporate the critical elements.</i></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Harvest plans</p> <p>Forest Managers' knowledge of local BOPs</p> <p><b>SLIMF:</b></p> <p>Field inspections</p> <p>Harvest records and sales volumes</p> <p><i>Consult Guideline for Forest Engineering Practices in South Africa (FESA, May 1999) for comprehensive detail on harvest planning.</i></p> <p><i>Consult Harvesting Planning and Implementation section of Environmental Guidelines for Commercial Forestry plantations in South Africa (Aug 2002). These guidelines provide simple and clear recommendations for the elements that are required for tactical, annual and operational harvest plans in the South African context as well as environmental issues.</i></p>

<p><b>5.3.1.3:</b> The Annual Plan of Operations (APO) balances compartments and harvesting systems over a year.</p> <p><b>5.3.1.4:</b> An operational harvesting plan is prepared for each harvesting site (compartment).</p> <p><b>Swaziland SLIMF:</b></p> <p><b>5.3.1.5:</b> Strategic plans for at least one rotation are available, demonstrating sustainability.</p> <p><b>5.3.1.6:</b> The Forest Manager can explain the Annual Plan of Operations in relation to the long term Strategic Plan.</p>	
<p><b>Indicator 5.3.2</b></p> <p><b>Harvesting techniques are designed to avoid log breakage, timber degradation and damage to the forest stand</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers, supervisors and workers.</p> <p>Observation of harvesting operations</p>
<p><b>Indicator 5.3.3</b></p> <p><b>Waste generated through harvesting operations, is minimised whilst leaving adequate organic material on the forest floor for soil conservation</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p><i>When timber products are removed from the stand sufficient material in the form of tops, branches and solid wood should remain behind to assist the natural nutrient cycle.</i></p> <p>Observation of harvesting and on-site processing operations.</p> <p><i>See "Silvicultural Practices" section of Environmental Guidelines for Commercial Forestry plantations in South Africa (Aug 2002) for Slash Management.</i></p>
<p><b>Indicator 5.3.4</b></p> <p><b>Harvested and processed wood and/or products processed on-site are transported from the forest before any deterioration occurs</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Observation of harvesting operations.</p> <p>Records of timber deliveries</p>
<p><b>Criterion 5.4 Forest management <u>should</u> strive to strengthen and diversify the local economy, avoiding dependence on a single forest product.</b></p>	
<p><b>Indicator 5.4.1</b></p> <p><b>The forest should be managed for more than one product, considering both timber and non-timber forest products, commercial or non-commercial use.</b></p> <p><b><u>SLIMF (Small Forests):</u></b></p> <p><b>Not applicable</b></p> <p><b><u>SLIMF (Low Intensity Forests):</u></b></p> <p><b>Forest management should aim to avoid dependence on a single forest product.</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers.</p> <p>Forest management planning</p> <p><u>SLIMF (Low Intensity Forests):</u></p> <p>Sales records.</p> <p>Discussions with local communities and the forest manager</p>
<p><b>Indicator 5.4.2</b></p> <p><b>Local initiatives involving the use, processing and/or marketing of forest products are encouraged.</b></p> <p><b><u>SLIMF (Small Forests):</u></b></p> <p><b>Not applicable</b></p> <p><b><u>SLIMF (Low Intensity Forests):</u></b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers.</p> <p>Interviews with local service providers</p> <p>Forest management planning</p> <p><u>SLIMF (Low Intensity Forests):</u></p> <p>Sales records.</p> <p>Discussions with local communities and the forest manager</p>

Local initiatives involving the use, processing and or marketing of forest products are encouraged.	
<b>Indicator 5.4.3</b>	<b>Verifiers &amp; Guidance:</b>
The utilisation of non-timber forest products by local community enterprises is encouraged	Interviews with Forest Managers and consultation with local communities. Evidence of NTFP sales or licenses or permits issued.
<b>Criterion 5.5 Forest management operations shall recognise, maintain and, where appropriate, enhance the value of forest services and resources such as watersheds and fisheries.</b>	
<b>Indicator 5.5.1</b>	<b>Verifiers &amp; Guidance:</b>
Forest managers are aware of the range of forest services and resources	Interviews with Forest Managers
<b>Indicator 5.5.2</b>	<b>Verifiers &amp; Guidance:</b>
Forest management practices minimise negative impacts on services and other forest resources	Interviews with Forest Managers
<b>Indicator 5.5.3</b>	<b>Verifiers &amp; Guidance:</b>
Forest management practices maintain and where appropriate, enhance the value of forest services and resources: <ul style="list-style-type: none"> <li>▪ Monitoring evidence that services and resources are maintained</li> <li>▪ Practices to enhance services and resources are evident.</li> </ul>	Interviews with Forest Managers
<b>Criterion 5.6 The rate of harvest of forest products shall not exceed levels, which can be permanently sustained.</b>	
<b>Indicator 5.6.1</b>	<b>Verifiers &amp; Guidance:</b>
Data on forest growth, regeneration and volumes harvested and thinned are reported regularly and analysed in comparison with predicted volumes and growth data (data accuracy is appropriate to scale and intensity of management) <b><u>SLIMF (Small Forests):</u></b> Harvest levels are sustainable over the long term (a period equivalent to the rotation length of the trees harvested). Note that annual harvest levels may vary hugely. <b><u>SLIMF (Low Intensity Forests):</u></b> Harvest limits are established at sustainable levels, based on conservative estimates of tree growth and yield rates. The harvest limits are stated in the management plan.	Evidence of enumerations, yield calculations and harvesting planning <b><u>SLIMF:</u></b> Management plan Field observations of harvesting sites compared to areas planned for harvesting. Maps of tree location Harvest and sales records and plans over the relevant time span. Data on likely or actual growth rates of species harvested.

<b>Indicator 5.6.2</b>	<b>Verifiers &amp; Guidance:</b>
<b>Sustainable harvest and thinning intensities and frequencies have been calculated for the FMU based on the most up-to-date available information and do not exceed calculated replenishment rates over the long term.</b>	Timber resource planning
<b>Indicator 5.6.3</b>	<b>Verifiers &amp; Guidance:</b>
<b>Authorised harvesting of non-timber forest products does not exceed calculated replenishment rates over the long term</b>	Management plans
<b>PRINCIPLE 6. ENVIRONMENTAL IMPACT:</b>	
Forest management shall conserve biological diversity and its associated values, water resources, soils, and unique and fragile ecosystems and landscapes, and, by so doing, maintain the ecological functions and the integrity of the forest.	
<b>Criterion 6.1 Assessment of environmental impacts shall be completed - appropriate to the scale, intensity of forest management operations and the uniqueness of the affected resources - and adequately integrated into management systems. Assessments shall include landscape level considerations as well as the impacts of on-site processing facilities. Environmental impacts shall be assessed prior to commencement of site disturbing operations.</b>	
<b>Indicator 6.1.1</b>	<b>Verifiers &amp; Guidance:</b>
<b>(Not applicable to SLIMF)</b> <b>The owner/manager has systematically assessed the potential environmental impacts of all activities (including on-site processing facilities) carried out in the forest; the impacts of forest plans have been considered at the landscape level, taking account of the interaction with adjoining land and other nearby habitats. For <u>large scale organisations</u>, the results of these impact assessments shall be documented.</b>	<p><i>For all operations or activities carried out on the FMU, there should be an evaluation of the possibility of the following potentially negative impacts being caused: soil erosion and compaction; changes to soil productivity; changes to invasive exotic, native or naturalised flora or fauna species abundance, diversity or distribution. Habitat fragmentation, pesticide, lubricant, nutrient or fertiliser pollution (by runoff, spray drift or spillage) and sedimentation of watercourses or water bodies; changes to water flow and drainage regimes of watercourses, water bodies, visual changes to prominent landscapes. Working Instruction 01 regarding on-site processing plants must be used as reference.</i></p> <p>Interviews with Forest Managers, environmental NGOs and government conservation agencies.</p> <p><i>In terms of the Fresh water Fish Regulations, 1973, the stocking; removing or transfer of any fish from any waters requires a permit. Particularly prevalent is the stocking of rivers and dams with non-indigenous trout or bass. An EIA is also necessary for this.</i></p> <p><i>In the case of the introduction of livestock (cattle, sheep, goats), access to wetlands and watercourses and other sensitive areas must be controlled, and carrying capacity should not be exceeded (evidence required). Where communities drive their cattle onto the FMU without permission and in excess of the carrying capacity, there must be evidence of communication with such communities to discourage this and/or to provide alternative grazing.</i></p>
<b>Indicator 6.1.2</b>	<b>Verifiers &amp; Guidance:</b>
<b>Site-specific assessments of the potential environmental impacts of all forest operations are carried out prior to commencement of site</b>	<p>A "significant activity is an activity that has the potential to cause environmental impacts that are:</p> <ul style="list-style-type: none"> <li>▪ Permanent or long term; or</li> </ul>



<p>disturbing operations, in a manner appropriate to the scale of the operations and the sensitivity of the site. Where such activities are considered “significant”, these site-specific assessments are documented. “Significant” activities shall include, but not be restricted to:</p> <ul style="list-style-type: none"> <li>▪ The building of new roads or substantial rerouting of existing roads;</li> <li>▪ Any form of flow restriction in streams and rivers;</li> <li>▪ Aforestation;</li> <li>▪ Change in genus in the reforestation of more than 100 ha during the same planting season within an operational/management unit, where an FMU comprises more than one;</li> <li>▪ Recreational activities and associated infrastructure</li> <li>▪ Communication masts and associated infrastructure</li> <li>▪ Power lines</li> <li>▪ Water lines</li> <li>▪ Change of natural vegetation to commercial or any other use.</li> <li>▪ Erection of new fences</li> <li>▪ Use of natural areas and products for commercial gain or any other purpose</li> <li>▪ New waste disposal sites;</li> <li>▪ Implementation of new/modified activities/products that may have significant impacts on the environment.</li> </ul> <p><b>SLIMF (Small Forests):</b> Before starting any operation, the possible negative environmental impacts are identified and the operation is designed to minimise them. Assessments do not need to be documented unless legally required</p> <p><b>SLIMF (Low Intensity Forests):</b> Before starting any operation, the possible negative environmental impacts at the site and landscape levels are identified and the operation is designed to minimise them. Assessments do not need to be documented unless legally required</p>	<ul style="list-style-type: none"> <li>▪ <i>Affects a wide environment</i></li> </ul> <p>An EIA is the <b>formal</b> procedure that is followed to collect, organise, analyse, interpret and communicate data that are relevant to making a decision. The procedure can however be followed as an <b>informal</b> assessment for a project such as the planning of a harvesting operation. The <b>purpose of an EIA</b> is to minimise negative impacts, ensure the conservation of important features and to enhance positive aspects of the project.</p> <p>Principles that a <b>formal</b> EIA should comply with are:</p> <p><b>Informed Decision Making:</b> Decision-making should be based on reliable information.</p> <p><b>Accountability:</b> Responsibilities must be clearly defined.</p> <p><b>Environment in the Broadest Sense:</b> The environment includes all aspects (i.e. physical, social, political, economic, visual).</p> <p><b>Open Consultation:</b> Consultation with all interested and affected parties must be done in a transparent manner.</p> <p><b>Specialist Input:</b> Specialists in the particular field must support impact assessments.</p> <p><b>Alternatives:</b> Consider all possible alternatives in terms of location and activities.</p> <p><b>Mitigatory Measures:</b> Assess mitigatory measures that will reduce or negate negative impacts and enhance the positive impacts of the planned activities.</p> <p><b>Consider all Stages:</b> The assessment should consider all stages of the development, from the planning phase through to closure.</p> <p>Interviews with Forest Managers also testing their basic knowledge of EIAs.</p> <p>Records of assessments and decisions.</p> <p>Environmental management plans.</p> <p><b>SLIMF:</b></p> <p>Manager’s knowledge of the site and impacts of operations</p> <p>Field observations</p> <p>Management plan</p> <p>Documented environmental statement or assessment where legally required</p> <p><i>No person may undertake any project that may have an effect on the environment without the written approval of the Swaziland Environmental Authority (SEA). The person proposing to undertake the project shall submit a project brief to the SEA, who will review the project. The nature of the project will determine the level of EIA necessary. This will be decided by the SEA. (Environmental Management Act, 2002 and Swaziland Environment Authority Act, 1992)</i></p> <p><i>See also The Environmental Audit, Assessment and Review Regulations, 2000 for proposed projects. See Appendix A for further information on the project categories.</i></p>
<p><b>Indicator 6.1.3</b></p> <p>All potential environmental impacts identified during assessments are considered during operations and planning and ensure that adverse impacts are avoided or mitigated</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>See also requirements 6.5.1 and 6.5.2.</p> <p>Interviews with Forest Managers, supervisors and workers also testing their knowledge of minimum requirements.</p> <p>Field observations and operational plans. For <u>large scale operations</u>, these provisions and controls will be documented in plans.</p> <p><i>The polluter pays principle requires that those causing the adverse effects shall be required to pay the full social and</i></p>

	<p><i>environmental costs of avoiding, mitigating and remedying those adverse effects (Environmental Management Act, 2002).</i></p> <p><i>In terms of the Natural Resources Act, any act which impacts negatively on the soil and water resources is seen as an offence. Soil erosion and sedimentation of water resources are key areas of environmental concern. Forestry operations (especially harvesting, road building, quarries, firebreaks) resulting in such impacts must therefore be dealt with very strictly.</i></p>
<b>Indicator 6.1.4</b>	<b>Verifiers &amp; Guidance:</b>
<b>Timely corrective actions are considered and implemented to address both past and potential non-conformances.</b>	<p><u>Corrective Actions:</u></p> <p>The first <u>objective</u> is, whenever there is a non-conformance:</p> <ul style="list-style-type: none"> <li>▪ action is taken to correct any damage to the environment that may have occurred (corrective action); and</li> <li>▪ measures are instituted to prevent the non-conformance from recurring (preventive action).</li> </ul> <p>The <u>second objective</u> is to ensure that preventative action is taken where there is obvious potential for an activity to develop into a non-conformance with subsequent environmental impact(s).</p> <p>The <u>third objective</u> is to ensure that CARs are reviewed periodically to identify persistent problem areas and to ensure that such problem areas are appropriately addressed, in either a corrective or a preventative manner.</p> <p>Interviews with managers.</p> <p>Comparison of quality of ongoing operations and associated record of past CARs.</p>
<b>Indicator 6.1.5</b>	<b>Verifiers &amp; Guidance:</b>
<b>Corrective action requests (CARs) are recorded and closed out appropriately</b>	<p><u>Records of CARs</u></p> <p><u>SLIMF:</u></p> <p>Interviews with the forest Manager and workers and field observations</p>
<b>SLIMF:</b>	
<b>Timeous corrective actions are taken</b>	
<b>Indicator 6.1.6</b>	
<b>Criterion 6.2</b>	<b>Safeguards shall exist which protect rare, threatened and endangered species and their habitats (e.g. nesting and feeding areas). Conservation zones and protection areas shall be established, appropriate to the scale and intensity of forest management and the uniqueness of the affected resources. Inappropriate hunting, fishing, trapping and collecting shall be controlled.</b>
<b>Indicator 6.2.1</b>	<b>Verifiers &amp; Guidance:</b>
<b>Rare, threatened and endangered species and their habitats present (or likely to be present) on the FMU have been identified and documented</b>	<p>Where survey data are incomplete, it should be assumed that relevant species ARE present.</p> <p>Interviews with Forest Managers, local experts and government agencies.</p> <p>Refer also to 7.1.7</p>
<b>SLIMF (Small Forests):</b>	<b>SLIMF (Small Forests):</b>
<b>Where known, rare, threatened and endangered species and their habitats are protected.</b>	Manager's knowledge of rare, threatened and endangered species in the area.
<b>SLIMF (Low Intensity Forests):</b>	
<b>Where known, rare, threatened and endangered</b>	

<p><b>species and their habitats are mapped and protected.</b></p>	<p>Records from other sources of species found on the site. Field observations of nesting and feeding areas of rare, threatened and endangered species.</p> <p><u>SLIMF (Low Intensity Forests):</u> Manager's and workers' knowledge of rare, threatened and endangered species in the area. Reports of training for forest workers on protection issues. Field observations of nesting and feeding areas of rare, threatened and endangered species. Reports of the conservation status of the FMU from other sources.</p> <p><i>See Flora Protection Act, 2001 which lists protected floral species. Floral species are categorised as follows: Schedule A (Endangered), B (Vulnerable) and C (Rare). There is less information available on the fauna, but the RSA Red Data books also cover Swaziland, and are listed in Appendix A.</i></p> <p><i>The Game Act of 1953 specifies First Schedule Game which are specially protected, Second Schedule Game which is Royal Game and also protected, and then the Third Schedule Game which are common and may be hunted with a licence.</i></p> <p><i>See Appendix A (Regulations, standards and guidelines) and Appendix B (RT&amp;E Species reference)</i></p>
<p><b>Indicator 6.2.2</b></p> <p><b>There is co-operation with acknowledged experts and/or conservation organisations and/or regulatory authorities in identifying conservation zones and protection areas for rare, threatened and endangered species present</b></p> <p><u>SLIMF:</u> Other features which are important for conservation are identified and protected.</p>	<p><b>Verifiers &amp; Guidance:</b> Interviews with Forest Managers, local experts and government agencies.</p> <p><u>SLIMF:</u> Maps showing conservation features Field observations and interviews with forest manager</p>
<p><b>Indicator 6.2.3</b></p> <p><b>The habitats of rare, threatened and endangered species are demarcated on maps, and, where necessary, on the ground</b></p>	<p><b>Verifiers &amp; Guidance:</b> Records and maps.</p>
<p><b>Indicator 6.2.4</b></p> <p><b>Rare, threatened and endangered species are protected during operations</b></p>	<p><b>Verifiers &amp; Guidance:</b> Operational plans. Interviews with Forest Managers, local experts and government agencies.</p> <p><i>See Flora Protection Act, 2001 which lists protected floral species. It is a criminal offence to pick, gather, cut, uproot, break, possess or destroy any protected flora or part thereof, including seeds of such flora.</i></p> <p><i>The Wild Birds Protection Act No. 45 of 1914 prohibits the sale and exportation of the plumage and skins of wild birds and provides for the protection of wild birds.</i></p>
<p><b>Indicator 6.2.5</b></p> <p><b>(Not applicable to SLIMF)</b> <b>Conservation zones and protection areas,</b></p>	<p><b>Verifiers &amp; Guidance:</b> Where less than 10% of the total area of large FMUs has been set aside for conservation zones and protection areas, justification must be provided for this in the form of consultation</p>

<p>representative of existing ecosystems, are being protected in their natural state, based on the identification of key biological areas and the requirement for natural corridors (with special reference to plantations) and/or consultation with local experts and government agencies</p>	<p><i>with local experts and/or government agencies.</i></p> <p><i>The indigenous forests of Swaziland are protected by the Forest Preservations Act. No person shall cut down, damage, and remove sell or purchase indigenous or government timber without authorisation. Malicious or negligent burning which causes damages indigenous forests is also a criminal offence.</i></p> <p><i>Areas that are declared as Private Forests (Private Forests Act) enjoy greater protection in that no hunting and no harvesting of NTFPs is allowed in such areas. Access to such forests is controlled.</i></p> <p><i>South Africa (including Swaziland) is a semi-arid country; therefore, protection of the water resource must be seen as a conservation priority.</i></p>
<p><b>Indicator 6.2.6</b></p> <p>(Not applicable to SLIMF)</p> <p>Where less than 10% of the total area included in the scope of certification has been set aside for conservation zones and protection areas, justification must be provided for this in the form of consultation with local experts and/or government agencies.</p>	
<p><b>Indicator 6.2.7</b></p> <p>Conservation management and protection activities are documented in plans and demarcated on maps.</p> <p><b>SLIMF:</b></p> <p>Conservation management and protection activities have been determined and are demarcated on maps</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Plans and maps, including annual plan of operations.</p>
<p><b>Indicator 6.2.8</b></p> <p>Conservation management and protection activities are implemented</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Records of operations</p> <p>Field observations</p>
<p><b>Indicator 6.2.9</b></p> <p>Authorised hunting, fishing, grazing and collecting activities are managed to ensure they do not exceed sustainable levels</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Policies and procedures.</p> <p>Interviews with Forest Managers, local experts and government agencies.</p> <p>Field observations and records of collection.</p> <p><i>The Wild Birds Protection Act No. 45 of 1914 prohibits the sale and exportation of the plumage and skins of wild birds and provides for the protection of wild birds.</i></p> <p><i>The Protection of Fresh Water Fish Act, 1938, provides regulations for open and closed fishing seasons and non-indigenous fish (e.g. trout, bass) are not allowed to be taken from waters without a permit. Fishing with any kraal or contrivance of sacking, canvas, wicker, cane, wire or net is prohibited. The use of explosives or chemical poisoning is also prohibited. In addition, the placing of obstructions in any waters with the intention of preventing free passage of fish is an offence.</i></p> <p><i>The Game Act of 1953 specifies that hunting is prohibited during the closed season of 1 Sep to 30 April the following year. Licences are required for hunting during the open season. Specially protected and royal game may not be hunted. The</i></p>

	<p><i>allowable means of hunting is also specified. It is illegal to take the eggs of birds or the young of game.</i></p> <p><i>Where communicates drive their cattle onto the FMU without permission and in excess of the carrying capacity, there must be evidence of communication with such communities to discourage this and/or to provide alternative grazing.</i></p>
<b>Indicator 6.2.10</b>	<b>Verifiers &amp; Guidance:</b>
<b>Measures are in place to control inappropriate hunting, fishing, grazing and collecting activities</b>	<p>Policies and procedures.</p> <p>Interviews with Forest Managers, local experts and government agencies.</p> <p>Field observations and records of collection.</p>
<b>Criterion 6.3</b>	<b>Ecological functions and values shall be maintained intact, enhanced, or restored, including:</b>
	<ul style="list-style-type: none"> <li>▪ <b>Forest regeneration and succession.</b></li> <li>▪ <b>Genetic, species and ecosystem diversity.</b></li> <li>▪ <b>Natural cycles that affect the productivity of the forest ecosystem.</b></li> </ul>
<b>Indicator 6.3.1</b>	<b>Verifiers &amp; Guidance:</b>
<p><b>The status of the FMU with regard to:</b></p> <ul style="list-style-type: none"> <li>▪ <b>regeneration and succession</b></li> <li>▪ <b>genetic, species and ecosystem diversity</b></li> <li>▪ <b>natural cycles</b></li> </ul> <p><b>is known or estimated.</b></p> <p><i>6.3.1.1: Noxious weeds and alien invader plants have been identified.</i></p>	<p><i>This requirement applies to natural forest and plantation management organisations. Compliance might involve an initial assessment and monitoring of the following:</i></p> <ul style="list-style-type: none"> <li>▪ <i>Regeneration of natural forest areas harvested, degraded areas, fragmented areas, areas damaged by fire, conservation zones and protection areas;</i></li> <li>▪ <i>Impacts of past management e.g. logging, collection of NTFPs, soil erosion</i></li> <li>▪ <i>Distribution and status of plant communities;</i></li> <li>▪ <i>Conservation status of native floral and faunal assemblages, species and their habitats;</i></li> <li>▪ <i>Spread of invasive species</i></li> <li>▪ <i>Ongoing soil erosion</i></li> <li>▪ <i>Water quality</i></li> </ul> <p>Records and maps</p> <p>Interviews with Forest Managers and local experts.</p> <p><i>The Plant Control Act, 1981 lists all of the restricted plants under the different schedules. The Schedule 1: Plants which are prohibited (such as Bugweed, Lantana, Mauritius thorn etc). The Swazi list is not complete, but these species are equivalent to the Category 1 Declared Alien Invader Plants of RSA, which can be used as a reference.</i></p>
<b>Indicator 6.3.2</b>	<b>Verifiers &amp; Guidance:</b>
<p><b>Silvicultural and/or other management systems are appropriate for the ecology of the forest and resources available</b></p> <p><i>6.3.2.1: Grasslands are not burnt at shorter intervals than 24 months</i></p> <p><i>6.3.2.2: Burning of grasslands does not take place between May and 30 September, unless with special permission.</i></p>	<p>Interviews with Forest Managers and local experts</p> <p><i>Grass Fire Act No. 44 of 1955 states that the interval between fires may not be shorter than 24 months (2 years) and burning is prohibited between 1 May and 30 September, otherwise permission is required. Makes honey hunting with fire and smoke illegal except on own land.</i></p>
<b>Indicator 6.3.3</b>	<b>Verifiers &amp; Guidance:</b>

<b>Ecological functions (regeneration, succession, diversity, natural cycles) are maintained</b>	Interviews with Forest Managers, local experts. Plans and maps and field observations.
<b>Indicator 6.3.4</b>	<b>Verifiers &amp; Guidance:</b>
<p><b>There is a programme for restoration of degraded sites</b></p> <p><b>6.3.4.1:</b> Strategic (long term), tactical (3-5 years) and annual weed control plans are in place and being implemented, with special attention to listed noxious weeds and invader plants.</p> <p><b>6.3.4.2:</b> There is measurable progress in weed control/eradication programmes.</p> <p><b>Swaziland SLIMF:</b></p> <p><b>6.3.4.3:</b> For FMU &gt; 100 ha, the entire FMU is in a weed maintenance phase</p>	<p><i>Enhancement, maintenance and restoration activities should be prepared to provide for the restoration of degraded natural areas, weed infestation, erosion, borrow pits, waste sites, quarries, etc.</i></p> <p>Interviews with Forest Managers, local experts. Plans and maps and field observations.</p> <p><i>The Plant Control Act, 1981 lists all of the restricted plants under the different schedules as follows:</i></p> <p><i>Schedule 1: Plants which are prohibited (such as Bugweed, Lantana, Mauritius thorn etc). The Swazi list is not complete, but these species are equivalent to the Category 1 Declared Alien Invader Plants of RSA, which can be used as a reference. It is an offence to trade (buy, sell, propagate) in noxious weeds</i></p> <p><i>Schedule 2: Plants and living material which require a permit. This includes citrus, sugar cane, cereal crops, any honey, beeswax, hives, bees or larvae as well as any alien animals.</i></p> <p><i>Schedule 3: Plants and living material which require a permit, but will not normally be restricted if from RSA. Examples are fruit and vegetables, ornamental plants etc.</i></p> <p><i>Note: Commercial plantation tree species such as Eucalyptus, Pinus and Wattle (Acacia) are seen as Schedule 4 which do not require a permit if from RSA as long as the source can be verified. When these trees occur out of a managed plantation or woodlot situation, they should be viewed as Schedule 1 noxious weeds and eradicated.</i></p>
<b>Indicator 6.3.5</b>	<b>Verifiers &amp; Guidance:</b>
<b>In natural and semi-natural forest, natural regeneration is preferred where adequate for the meeting of management objectives</b>	Plans and maps Interviews with Forest Managers, local experts
<b>Indicator 6.3.6</b>	<b>Verifiers &amp; Guidance:</b>
<b>Where artificial regeneration is planned, the environmental impact has been assessed (refer Criterion 6.1)</b>	Plans and maps Interviews with Forest Managers, local experts
<b>Criterion 6.4</b>	<b>Representative samples of existing ecosystems within the landscape shall be protected in their natural state and recorded on maps, appropriate to the scale and intensity of operations and the uniqueness of the affected resources.</b>
<b>Indicator 6.4.1</b>	<b>Verifiers &amp; Guidance:</b>
<p><b>Conservation zones and protection areas, representative of existing ecosystems, are being protected in their natural state, based on the identification of key biological areas and the requirement for natural corridors (with special reference to plantations) and/or consultation with local experts and government agencies</b></p> <p><b>SLIMF:</b></p> <p><b>Where representative samples of ecosystems</b></p>	<p><i>For smaller FMUs the conservation zones and protection areas should exist within the FMU or in nearby landscapes.</i></p> <p>Plans and maps and records of completed work. Interviews with Forest Managers, local experts and government agencies.</p> <p><i>The indigenous forests of Swaziland are protected by the Forest Preservations Act. No person shall cut down, damage, and remove sell or purchase indigenous or government timber without authorisation. Malicious or negligent burning which</i></p>

<p>are known to exist in the FMU these shall be protected.</p> <p><b>6.4.1.1:</b> Formal plans for vegetation management include the control and eradication of declared weeds and alien invader plants. Evidence of implementation of these plans.</p> <p><b>6.4.1.2:</b> Plans are available for the restoration of wetlands and riparian zones which have historically been degraded through poor land-use or historical infringement by commercial tree species or agricultural crops. Evidence of implementation of these plans.</p> <p><b>Swaziland SLIMF:</b></p> <p><b>6.4.1.3:</b> For FMUs &gt; 100ha, the entire FMU is in a weed maintenance phase</p> <p><b>6.4.1.4:</b> The Forest Manager is aware of degraded wetlands and riparian zones and can explain plans to ameliorate such. Progress with this work is evident.</p>	<p><i>causes damages indigenous forests is also a criminal offence.</i></p> <p><i>Areas that are declared as Private Forests (Private Forests Act) enjoy greater protection in that no hunting and no harvesting of NTFPs is allowed in such areas. Access to such forests is controlled.</i></p> <p><i>South Africa (including Swaziland) is a semi-arid country; therefore, protection of the water resource must be seen as a conservation priority.</i></p>
<p><b>Indicator 6.4.2</b></p> <p><b>(Not applicable to SLIMF)</b></p> <p><b>Where less than 10% of the total area included in the scope of certification has been set aside for conservation zones and protection areas, justification must be provided for this in the form of consultation with local experts and/or government agencies.</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Plans and maps and records of completed work.</p> <p>Interviews with Forest Managers, local experts and government agencies.</p>
<p><b>Indicator 6.4.3</b></p> <p><b>Conservation management and protection activities are documented in plans and demarcated on maps.</b></p> <p><b><u>SLIMF:</u></b></p> <p><b>Conservation management and protection activities have been determined and are demarcated on maps</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Plans and maps, including annual plan of operations.</p>
<p><b>Indicator 6.4.4</b></p> <p><b>Conservation management and protection activities are implemented.</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Records of operations</p> <p>Field observations</p>
<p><b>Criterion 6.5</b>      <b>Written guidelines shall be prepared and implemented to: control erosion; minimise forest damage during harvesting, road construction, and all other mechanical disturbances; and protect water resources.</b></p>	
<p><b>Indicator 6.5.1</b></p> <p><b>All environmentally sensitive forest operations are identified (see 6.1) and written guidelines defining acceptable practice are available to forest managers and supervisors; operational guidelines must meet or exceed national or regional best practice requirements</b></p> <p><b><u>SLIMF:</u></b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p><i>Forest operations include: site preparation, fire belt management, planting, weed control, stand management, harvesting and extraction, road surfacing material extraction and excavation site closure, road network design, road design, construction, maintenance and closure.</i></p> <p>Records, plans and maps.</p> <p>Interviews with Forest Managers and field observations.</p>

<p><b>All forest management operations that may damage soil (e.g. compaction, erosion) and methods to mitigate or avoid such are known.</b></p> <p><b>6.5.1.1:</b> Forest Managers are aware of and have access to nationally endorsed local standards, codes of practice and guidelines.</p>	<p><u>SLIMF:</u> Interviews with Forest Managers and field observations Maps showing new roads and locations of new and ongoing operations</p> <p><i>The guidelines and standards (pollution, water, EIA's etc) established by the Swaziland Environment Authority (SEA) must be consulted. (See Swaziland Environment Authority Act, 1992)</i></p> <p><i>The nationally endorsed local standards, best operating practices and guidelines available for South Africa have been adopted for plantation forestry in Swaziland and are included as Appendix A. Forest managers must be aware of and have access to these guidelines.</i></p>
<p><b>Indicator 6.5.2</b></p> <p><b>Guidelines developed in terms of indicator 6.5.1 are implemented during operations and planning</b></p> <p><b>6.5.2.1:</b> Land preparation methods are based on site conditions and conform to guidelines available.</p> <p><b>6.5.2.2:</b> Extraction methods are based on terrain conditions and conform to guidelines available.</p> <p><b>6.5.2.3:</b> Road building methods are based on soil and terrain conditions and conform to guidelines available.</p> <p><b>6.5.2.4:</b> Slope restrictions for afforestation (slopes of 35-60% and &gt;60%) apply (refer Environmental Guidelines for Commercial Forestry Plantations in SA, 2002).</p> <p><b>6.5.2.5:</b> Slash management is based on the Environmental guidelines provided, and burning restrictions apply.</p> <p><b>6.5.2.6:</b> Tracers on fire breaks shall not be hoed where such is located on steep slopes and all visible erosion from earlier hoeing shall be controlled.</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p><i>The main assessment report should make explicit reference to the national or regional best practice guidelines used as a reference.</i></p> <p>Operational plans, interviews with staff and field observations.</p> <p><i>6.5.2.1: See Silvicultural Practices section and Annexure C of the Environmental Guidelines for Commercial Forestry plantations in South Africa (Aug 2002) should be consulted.</i></p> <p><i>6.5.2.2: See Annexure F of Environmental Guidelines for Commercial Forestry plantations in South Africa (Aug 2002), as well as the Guidelines for Forest Engineering Practices in South Africa (FESA, 1999).</i></p> <p><i>6.5.2.3: See Environmental Guidelines for Commercial Forestry plantations in South Africa (Aug 2002) as well as the South African Forestry Road handbook (FESA, August 2004).</i></p> <p><i>6.5.2.4: See Environmental Guidelines for Commercial Forestry plantations in South Africa (Aug 2002) – Silvicultural Practices Planning Section PS14. In the case of non-conforming existing plantation areas, there is evidence of corrective planning/mitigation.</i></p> <p><i>6.5.2.5: See Silvicultural Practices section of Environmental Guidelines for Commercial Forestry plantations in South Africa (Aug 2002), section 11.4 (PS14) for <u>slope restrictions</u>.</i></p>
<p><b>Indicator 6.5.3</b></p> <p><b>Buffer zones are maintained along watercourses and around water bodies in compliance with specifications made in national and regional best practice guidelines</b></p> <p><b>6.5.3.1:</b> Buffer zones of at least 30.5m are maintained on either bank of the water body, or wetland delineation applied, which ever gives the greatest distance.</p> <p><b>6.5.3.2:</b> Depots/landings should not be situated within 40m of a river, stream or wetland. <u>Temporary</u> landings alongside roads that are within 40 metres of a stream or wetland shall be managed to prevent siltation into such stream or wetland.</p> <p><b>6.5.3.3:</b> A buffer zone of 30m (approximately one tree length) should be maintained around cliffs or significant rocky outcrops which are larger than 0.25 ha.</p> <p><b>6.5.3.4:</b> At establishment, a buffer of at least 5m</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p><i>The main assessment report shall make explicit reference to the national or regional best practice guidelines used as a reference.</i></p> <p>Operational plans, interviews with staff and field observations.</p> <p><i>The Natural Resources Act, 1951 prohibits anyone from building, planting crops, or destroying natural vegetation within 100 feet (30.5m) of a bank of a public stream. All water occurring naturally in Swaziland is public property.</i></p> <p><i>Swaziland forestry is using the RSA wetland delineation system as a best practice, but delineation should not be less than the legal requirement.</i></p> <p><i>Also refer to the Environmental guidelines for Commercial Forestry Plantations in South Africa (August 2002).</i></p> <p><i>See buffer zones that are specified in the Silvicultural Practices section of Environmental Guidelines for Commercial Forestry Plantations in South Africa (Aug 2002). All buffers must be kept weed free.</i></p> <p><i>The proximity of sawmills to watercourses and water bodies</i></p>



<p>should be allowed for indigenous forests. Where the indigenous forest invades the buffer zone, maintain the plantation boundary as demarcated. Should there be potential for damage of the forest edge</p>	<p><i>should also be checked for legal compliance.</i></p>
<p><b>Indicator 6.5.4</b></p>	<p><b>Verifiers &amp; Guidance:</b></p>
<p><b>Operators are able to implement adequate emergency procedures for clean-up following accidental oil and chemical spillages</b></p>	<p>Operational plans, interviews with staff and field observations. No evidence of significant spillages.</p>
<p><b>Criterion 6.6</b>      <b>Management systems shall promote the development and adoption of environmentally friendly non-chemical methods of pest management and strive to avoid the use of chemical pesticides. World Health Organisation Type 1A and 1B and chlorinated hydrocarbon pesticides; pesticides that are persistent, toxic or whose derivatives remain biologically active and accumulate in the food chain beyond their intended use; as well as any pesticides banned by international agreement, shall be prohibited. If chemicals are used, proper equipment and training shall be provided to minimise health and environmental risks.</b></p>	
<p><b>Indicator 6.6.1</b></p>	<p><b>Verifiers &amp; Guidance:</b></p>
<p><b>There is an up-to-date list of all pesticides used in the organisation that documents trade name, and active ingredient. Where not provided by the product label, authorised applications, application methods and rates will also be documented.</b></p>	<p><i>Chemical pesticides include herbicides, insecticides, fungicides, and rodenticides in the formulation applied in the field (including any surfactants, dispersants or solvents used).</i> Records of chemicals in use. Receipts and invoices. Procedures for the safe and appropriate use of chemicals</p>
<p><b>Indicator 6.6.2</b></p>	<p><b>Verifiers &amp; Guidance:</b></p>
<p><b>Prohibited pesticides are not used except where:</b></p> <ul style="list-style-type: none"> <li>▪ a derogation of policy has been obtained from the FSC Secretariat; or</li> <li>▪ a temporary exemption has been authorised in terms of FSC-POL-30-001 and its associated documents.</li> </ul>	<p>Refer SGS Qualifor Work Instruction 16 for:</p> <ul style="list-style-type: none"> <li>▪ <i>Current list of prohibited pesticides;</i></li> <li>▪ <i>Derogations;</i></li> <li>▪ <i>Temporary derogations; and</i></li> <li>▪ <i>Use of prohibited chemicals for emergency situations.</i></li> </ul> <p>Chemical records</p> <p><i>Only chemical listed on the current list provided by the Timber Industry Pesticide Working Group (TIPWG) shall be in use.</i> <i>Any use of DDT by the Swazi Government (sprayed at the Swazi people's dwellings to control</i></p>
<p><b>Indicator 6.6.3</b></p>	<p><b>Verifiers &amp; Guidance:</b></p>
<p><b>Where chemicals are used on an on-going basis the owner/manager must prepare a strategy that will have at least the following components:</b></p> <ul style="list-style-type: none"> <li>▪ reduction of use is a stated as a long-term objective;</li> <li>▪ a range of methods for pesticide control providing justification for chemical-use as an option;</li> <li>▪ procedures that promote the optimal use of chemicals (timing, follow-up, equipment, etc)</li> </ul>	<p><i>Usage, and reduction targets should be expressed on a per hectare basis and sub-divided according to operations and catchment/drainage basin; targets should be quantitative</i> <i>Some organisations may be allowed to increase use of certain chemical pesticides in the short or medium term, where the use of these pesticides is justified on social or environmental grounds, see 6.6.</i> This requirement applies to nurseries located on the certified FMU. Documented long term strategy Chemical use records.</p>

<ul style="list-style-type: none"> <li>▪ clear measurable targets for long term chemical use; with reduction as the objective;</li> </ul> <p>Usage is expressed per product, on a per hectare basis and sub-divided according to catchment or drainage basin.</p> <p><b>SLIMF:</b></p> <p>There is an indication that alternative methods are being considered leading to a reduction in use of the long term</p>	
<p><b>Indicator 6.6.4</b></p> <p>(Not applicable to SLIMF)</p> <p>The chemical use strategy (refer 6.6.3) is implemented.</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Field observations and records.</p>
<p><b>Indicator 6.6.5</b></p> <p>(Not applicable to SLIMF)</p> <p>Where pesticides are the preferred method of control for environmental or social reasons, the consideration of alternatives and justification for their use has been determined and documented in cooperation with acknowledged experts</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p><i>Pesticides may be preferred in some instances, for example, to eliminate invasive weeds, control vectors of serious human diseases.</i></p> <p>Interviews with Forest Managers and local experts.</p> <p>Documented justification.</p>
<p><b>Indicator 6.6.6</b></p> <p>All transport, storage, handling, application and emergency procedures for clean up following accidental spillages of chemical pesticides comply, as a minimum, with the ILO publications 'Safety &amp; Health in the Use of Agrochemicals: A Guide', and 'Safety in the Use of Chemicals at Work'</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Procedures and records.</p> <p>Interviews with staff</p> <p><i>AVCASA's Responsible use of Agricultural Chemicals and Stock Remedies will also apply.</i></p> <p><i>See Chemical Application Section of Environmental Guidelines for Commercial Forestry plantations in South Africa (Aug 2002)</i></p>
<p><b>Criterion 6.7      Chemicals, containers, liquid and solid non-organic wastes including fuel and oil shall be disposed in an environmentally appropriate manner at off-site locations.</b></p>	
<p><b>Indicator 6.7.1</b></p> <p>Where such facilities exist, the owner/manager shall ensure that non-organic wastes (e.g. oil, tyres, containers, etc.), including those generated by contractors working on the FMU are recycled where recycling is possible</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Field observations and interviews with staff</p> <p>Records of waste deliveries</p>
<p><b>Indicator 6.7.2</b></p> <p>The owner/manager shall ensure that waste that cannot be re-cycled, including that generated by contractors working on the FMU, is disposed of in environmentally appropriate ways.</p> <p><i>6.7.2.1: Commercial, industrial and household waste is only disposed of at an approved waste</i></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p><i>Waste includes:</i></p> <ul style="list-style-type: none"> <li>▪ <i>Surplus chemicals</i></li> <li>▪ <i>Chemical containers</i></li> <li>▪ <i>Plastic waste</i></li> <li>▪ <i>Fuels and lubricants</i></li> <li>▪ <i>Worn vehicle tyres</i></li> </ul>

<p>disposal facility which have environmental compliance certificates.. This includes sawmill waste such as sawdust and off-cuts.</p> <p>6.7.2.2: Landfill sites many not be located:</p> <ul style="list-style-type: none"> <li>• In Protected areas (like game reserves) or areas having historical/archaeological significance.</li> <li>• Within 1:25 year flood lines</li> <li>• In areas with geological faults</li> </ul> <p>6.7.2.2: Littering is a criminal offence in Swaziland.</p> <p>6.7.2.3: Hazardous waste such as diesel and oil (oil filters etc), batteries and neon lights need to be disposed of at sites licensed for such disposal.</p>	<ul style="list-style-type: none"> <li>▪ Used vehicle batteries</li> <li>▪ Waste produced from processing operations</li> <li>▪ Domestic</li> </ul> <p>Evidence that waste has been disposed off in an acceptable manner.</p> <p><i>No person may (without lawful authority) discharge or allow the discharge of any contaminant into the environment if that contaminant is likely to cause an adverse effect. (Environmental Management Act, 2002)</i></p> <p><i>Waste Licences: Approval from the SEA is required for a permanent landfill, incinerator or other facility at which waste is permanently disposed or is stored indefinitely. The same applies to a sewage treatment plant. (Environmental Management Act, 2002). Environmental compliance certificates are also required (Waste Regulations, 2000)</i></p> <p>6.7.2.1: See the Waste Regulations 2000.</p> <p>6.7.2.3: See Waste regulations, 2000 for hazardous waste list</p>
<p><b>Indicator 6.7.3</b></p> <p>The owner/manager shall ensure that the handling and disposal of chemicals and chemical containers, including that generated by contractors working on the FMU, shall comply, as a minimum, with the ILO publications 'Safety &amp; Health in the Use of Agrochemicals: A Guide', and 'Safety in the Use of Chemicals at Work'</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with staff</p>
<p><b>Indicator 6.7.4</b></p> <p>On-site facilities for easy collection of waste are provided</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Presence of waste receptacles or other at operational sites and service areas.</p>
<p><b>Criterion 6.8 Use of biological control agents shall be documented, minimised, monitored and strictly controlled in accordance with national laws and internationally accepted scientific protocols. Use of genetically modified organisms shall be prohibited.</b></p>	
<p><b>Indicator 6.8.1</b></p> <p>The use of biological control agents is avoided or minimised by making use of best available alternative control methods not entailing excessive cost</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers. Policies and procedures.</p>
<p><b>Indicator 6.8.2</b></p> <p>Any use of biological control agents must be supported by documented justification which details: alternative methods of pest or disease control considered, ecological impact assessment, relevant organisations and regulatory authorities consulted</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Documentation</p>
<p><b>Indicator 6.8.3</b></p> <p>All activities where biological control agents are used are documented and monitored</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Documentation</p>

<b>Indicator 6.8.4</b>	<b>Verifiers &amp; Guidance:</b> Interviews with staff. Records of biological material sources and supplies	
<b>No genetically modified organisms are used in management, production or research programmes within the FMU.</b>		
<b>Criterion 6.9</b>	<b>The use of exotic species shall be carefully controlled and actively monitored to avoid adverse ecological impacts</b>	
<b>Indicator 6.9.1</b>	<b>Verifiers &amp; Guidance:</b> Records of scientific studies. Interviews with Forest Managers <i>In terms of the Fresh water Fish Regulations, 1973, the stocking of any waters with any fish requires a permit. Particularly prevalent is the stocking of rivers and dams with non-indigenous trout or bass. An EIA is also necessary for this. See also Control of Tree Planting Act, 1972.</i>	
<b>Exotic species are assessed for adverse ecological impacts</b>		
<b>Indicator 6.9.2</b>	<b>Verifiers &amp; Guidance:</b> Monitoring records	
<b>The impacts identified in terms of 6.9.1 are avoided or mitigated</b>		
<b>Criterion 6.10</b>	<b>Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion:</b>	
	<ul style="list-style-type: none"> <li>a) entails a very limited portion of the forest management unit; and</li> <li>b) does not occur on high conservation value forest areas; and</li> <li>c) will enable clear, substantial, additional, secure, long-term conservation benefits across the forest management unit.</li> </ul>	
<b>Indicator 6.10.1</b>	<b>Verifiers &amp; Guidance:</b> <i>Clear felling and replanting of a natural or semi-natural forest with a mixture native species in the absence of satisfactory natural regeneration is not considered forest conversion to plantation. Clear felling and replanting of a natural or semi-natural forest with an exotic species is considered conversion.</i> Interviews with Forest Managers, local experts and government agencies. Plans and maps. Field observations.	
<b>FME shall not convert forests to plantations or non- forest land uses, except where the conversion meets the conditions of 6.10.2 – 6.10.4 below.</b>		
<b>Indicator 6.10.2</b>	<b>Verifiers &amp; Guidance:</b> Interviews with Forest Managers, local experts and government agencies. Plans and maps. Field observations.	
<b>If conversion occurs, the area affected shall not exceed 0.5% of the area of the FMU in any one year, nor affect a total of more than 5% of the area of the Management Unit.</b>		
<b>Indicator 6.10.3</b>	<b>Verifiers &amp; Guidance:</b> <i>Conversion may, for example, have a net conservation benefit where an area is converted back to its original natural or semi-natural habitat type such as open wetland or grassland.</i> Interviews with Forest Managers, local experts and government	
<b>If conversion occurs, the forest manager shall demonstrate that any conversion produces clear, substantial, additional, secure, long-term conservation benefits across the forest</b>		

management unit.	agencies.
<b>Indicator 6.10.4</b>	<b>Verifiers &amp; Guidance:</b>
If the conversion occurs, it shall not occur on high conservation value forest areas.	Scientific evidence and interviews with Forest Managers and local experts
<b>PRINCIPLE 7. MANAGEMENT PLAN:</b>	
A management plan - appropriate to the scale and intensity of the operations - shall be written, implemented, and kept up to date. The long-term objectives of management, and the means of achieving them, shall be clearly stated.	
<b>Criterion 7.1</b>	<b>The management plan and supporting documents shall provide:</b>
	<ul style="list-style-type: none"> <li>a) management objectives;</li> <li>b) description of the forest resources to be managed, environmental limitations, land use and ownership status, socio-economic conditions, and a profile of adjacent lands;</li> <li>c) description of silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resources inventories</li> <li>d) rationale for rate of annual harvest and species selection;</li> <li>e) provisions for monitoring of forest growth and dynamics;</li> <li>f) environmental safeguards based on environmental assessments;</li> <li>g) plans for the identification and protection of rare, threatened and endangered species;</li> <li>h) maps describing the forest resource base including protected areas, planned management activities and land ownership;</li> <li>i) description and justification of harvesting techniques and equipment to be used.</li> </ul>
<b>Indicator 7.1.1</b>	<b>Verifiers &amp; Guidance:</b>
There is a management plan (or overview linking different planning documents) <b>SLIMF:</b> Management plans may consist of brief notes and a map	Management plan <b>SLIMF:</b> Checking the plan exists and contains all the information required. Field checks that the plan has been implemented in the past and is currently still followed.
<b>Indicator 7.1.2</b>	<b>Verifiers &amp; Guidance:</b>
Management objectives are clearly described <b>SLIMF:</b> An outline is provided of objectives and how these will be achieved	Management plan
<b>Indicator 7.1.3</b>	<b>Verifiers &amp; Guidance:</b>
Forest resources, attributes of any high conservation value forest, environmental limitations, special characteristics of the forest, land use and ownership status, socio-economic conditions, and adjacent lands are described <b>SLIMF:</b> The forest is broadly described	Management plan

<b>Indicator 7.1.4</b>	<b>Verifiers &amp; Guidance:</b>
<b>Silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resources and inventories, are described</b>	Management plan
<b><u>SLIMF:</u></b>	
<b>The forest is broadly described</b>	
<b>Indicator 7.1.5</b>	<b>Verifiers &amp; Guidance:</b>
<b>Rate of harvest, species selection, management prescriptions (for production and conservation zones) and operational techniques are documented and justified</b>	Management plan
<b><u>SLIMF:</u></b>	<b><u>SLIMF:</u></b>
<b>Sustainable harvest limits and regeneration plans (long term, at least one full rotation period for the whole of the FMU) are provided</b>	Harvest limits are established at sustainable limits and are based on conservative estimates of tree growth and yield. Silvicultural prescriptions take into account factors such as DBH, seed trees for each species, etc.
<b>Indicator 7.1.6</b>	<b>Verifiers &amp; Guidance:</b>
<b>Provisions for monitoring forest growth and dynamics are described</b>	Management plan
<b><u>SLIMF:</u></b>	
<b>The plans include provisions for monitoring forest regrowth</b>	
<b>Indicator 7.1.7</b>	<b>Verifiers &amp; Guidance:</b>
<b>Refer Criterion 6.1 for description of environmental safeguards</b>	
<b>Indicator 7.1.8</b>	<b>Verifiers &amp; Guidance:</b>
<b>Refer 6.2 for conservation planning and provision for RTE species.</b>	
<b>Indicator 7.1.9</b>	<b>Verifiers &amp; Guidance:</b>
<b>The pest management strategy is documented and describes and justifies objectives, control methods and precautions.</b>	
<b>Refer also Criterion 6.6 for chemical use in pest management</b>	
<b>Indicator 7.1.10</b>	<b>Verifiers &amp; Guidance:</b>
<b>Any control of wild animals is based on a written strategy, which describes and justifies objectives, cull targets, control methods and precautions</b>	Written strategy and communication with interested and affected parties.
<b><u>SLIMF:</u></b>	Interviews with Forest Managers and consultation with local stakeholders, experts and government agencies.
<b>Refer Criterion 6.2</b>	<i>Specifically check for control of indigenous animals such as baboons, antelope, rodents that may cause damage to commercial tree species.</i>

<b>Indicator 7.1.11</b>	<b>Verifiers &amp; Guidance:</b>
There are appropriate maps (at a scale appropriate for planning and supervision activities) showing the forest resource base including protected areas, watercourses, roads and other features important for forest management. <b>SLIMF:</b> There are appropriate maps showing the forest resource base including protected areas, watercourses, roads and ownership.	Maps and associated records
<b>Indicator 7.1.12</b>	<b>Verifiers &amp; Guidance:</b>
Maps shall be prepared prior to commencement of harvesting and road construction	Maps and associated records
<b>Indicator 7.1.13</b>	<b>Verifiers &amp; Guidance:</b>
Harvesting techniques and equipment are described and justified <b>SLIMF:</b> The plan describes harvesting methods and silviculture to ensure responsible management	Management plan and operational controls. Interviews with staff <i>Conformance with recommendations in the FESA Harvesting Code of practice (May 1999) and the Environmental Guidelines for Commercial Forestry Plantations in South Africa (Aug 2002).</i>
<b>Indicator 7.1.14</b>	<b>Verifiers &amp; Guidance:</b>
For <b>large scale operations</b> , planning includes short (operational/annual), medium (tactical/3-5 yearly) and long (strategic, rotation/harvesting cycle) term plans covering all operations and these shall be documented. For <b>small-scale operations</b> a long-term plan covering harvesting operations will be documented. The requirement for documented planning in small-scale operations will be decided by the scale, duration and intensity of the operation. <b>SLIMF:</b> Only a long term plan as outlined in Indicators 7.1.2 to 7.1.11 is required.	Management plan and operational controls. Interviews with staff <i>Conformance with recommendations in the FESA Harvesting Code of practice (May 1999) and the Environmental Guidelines for Commercial Forestry Plantations in South Africa (Aug 2002).</i>
<b>Indicator 7.1.15</b>	<b>Verifiers &amp; Guidance:</b>
Plans are being implemented and any deviation from prescription or rate of progress is adequately justified; overall objectives will still be achieved <b>SLIMF:</b> Plans are being implemented and deviations (whilst maintaining long term objectives) can be explained	Management plan and operational controls. Interviews with staff

<b>Criterion 7.2</b>		<b>The management plan shall be periodically revised to incorporate the results of monitoring or new scientific and technical information, as well as to respond to changing environmental, social and economic circumstances</b>
<b>Indicator 7.2.1</b>	<b>Verifiers &amp; Guidance:</b>	
<b>In <u>large scale organisations</u>, staff members with responsibility for the overall compilation and updating of the management plan are identified</b>	Company procedures	
<b>Indicator 7.2.2</b>	<b>Verifiers &amp; Guidance:</b>	
(Not applicable to SLIMF) New scientific and technical developments in production forestry and biodiversity conservation are available at the FMU or Forest Managers have access to this information	Publications Interviews with Forest Managers	
<b>Indicator 7.2.3</b>	<b>Verifiers &amp; Guidance:</b>	
<b>There is evidence that scientific and technical developments and results of monitoring are incorporated into revisions of policies, procedures and plans.</b> <b><u>SLIMF:</u></b> <b>There is evidence that scientific and technical developments and results of monitoring are incorporated into revisions of plans.</b>	Interviews with Forest Managers, scientific evidence. Evidence of revised planning	
<b>Indicator 7.2.4</b>	<b>Verifiers &amp; Guidance:</b>	
<b>There is evidence that changing environmental, social and economic considerations have been included in the revision of the management plan</b>	Interviews with Forest Managers, scientific evidence. Evidence of revised planning	
<b>Indicator 7.2.5</b>	<b>Verifiers &amp; Guidance:</b>	
<b>In <u>large scale operations</u> a timetable for the periodic revision of the management plan is documented and adhered to</b>	Management revision timetable and status of current management plan	
<b>Criterion 7.3</b>		<b>Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plan</b>
<b>Indicator 7.3.1</b>	<b>Verifiers &amp; Guidance:</b>	
<b>Forest workers at all levels of skill and responsibility are appropriately educated and trained in the tasks they are assigned to and company policy and procedures.</b> <b><u>SLIMF:</u></b> <b>Forest workers at all levels of skill and responsibility are appropriately trained in the tasks they are assigned to.</b>	Training records Interviews with workers and management Field observations	



Indicator 7.3.2	<b>Verifiers &amp; Guidance:</b>
<b>(Not applicable to SLIMF)</b> Managers and supervisors (including those employed by contractors) have received adequate education, training or experience to ensure that they are able to plan and organize forestry operations in accordance with organisations' plans, policies and procedures	Training records Interviews with staff
Indicator 7.3.3	<b>Verifiers &amp; Guidance:</b>
All activities are supervised and monitored sufficiently to ensure that plans, policies, procedures and contract specifications (for contractors) are adequately implemented	Operational procedures Interviews with staff.
Indicator 7.3.4	<b>Verifiers &amp; Guidance:</b>
Evidence of formal or informal training exists in the field	Interviews with workers and field observations
Indicator 7.3.5	<b>Verifiers &amp; Guidance:</b>
In large scale organisations a formal long-term training plan shall be available	Strategic training plan
<b>Criterion 7.4</b> While respecting the confidentiality of information, forest managers shall make publicly available a summary of the primary elements of the management plan, including those listed in Criterion 7.1 above.	
Indicator 7.4.1	<b>Verifiers &amp; Guidance:</b>
There are publicly available statements that provide an up-to-date summary of the primary management plan elements listed in 7.1 at company level <b>SLIMF:</b> The management plan, or a summary of it (which includes the information required by Indicators 7.1.2 to 7.1.11 is available for the public to see on request.	Public Summary of Management Plan <b>SLIMF:</b> Management Plan is available
<b>PRINCIPLE 8. MONITORING AND ASSESSMENT:</b> Monitoring shall be conducted - appropriate to the scale and intensity of forest management - to assess the condition of the forest, yields of forest products, chain of custody, management activities and their social and environmental impacts.	
<b>Criterion 8.1</b> The frequency and intensity of monitoring <u>should</u> be determined by the scale and intensity of forest management operations as well as the relative complexity and fragility of the affected environment. Monitoring procedures <u>should</u> be consistent and replicable over time to allow comparison of results and assessments of change.	
Indicator 8.1.1	<b>Verifiers &amp; Guidance:</b>
All activities that require monitoring are identified.	Interviews with Management and environmental specialists/stakeholders

<p>For <b>large scale organisations</b> these shall be documented in a monitoring programme.</p>	<p>Monitoring programme <i>It is recommended that Swaziland also apply the SASS5 (South African Scoring System, Version 5) for the biomonitoring of stream conditions.</i></p>
<p><b>Indicator 8.1.2</b></p> <p>The frequency, intensity and expense of monitoring are defined and is appropriate to the scale and intensity of the forest management operations and the sensitivity of the receiving environment</p> <p><b>SLIMF:</b> Monitoring should be done in a consistent and replicable way over time to allow comparison of results and assessment of change.</p>	<p><b>Verifiers &amp; Guidance:</b> Monitoring programmes <b>SLIMF:</b> Manager's field notes Manager's description of how monitoring is done.</p>
<p><b>Indicator 8.1.3</b></p> <p>(Not applicable to SLIMF) Consistent and replicable monitoring procedures for each activity are documented in the programme and implemented, allowing for comparison and change over time.</p>	<p><b>Verifiers &amp; Guidance:</b> Monitoring procedures Interviews with Forest Managers and local experts</p>
<p><b>Indicator 8.1.4</b></p> <p>Monitoring information is readily available and in a format that facilitates effective auditing and certification by third parties</p>	<p><b>Verifiers &amp; Guidance:</b> Monitoring records, reports and archival system. Internal audit records CAR records</p>
<p><b>Indicator 8.1.5</b></p> <p>Corrective actions identified through the monitoring process are appropriately implemented and closed out</p>	<p><b>Verifiers &amp; Guidance:</b> Corrective action documentation</p>
<p><b>Criterion 8.2</b> Forest management <b>should</b> include the research and data collection needed to monitor, at a minimum, the following indicators:</p> <ol style="list-style-type: none"> <li>a) yield of all forest products harvested;</li> <li>b) growth rates, regeneration and condition of the forest;</li> <li>c) composition and observed changes in the flora and fauna;</li> <li>d) environmental and social impacts of harvesting and other operations;</li> <li>e) costs, productivity, and efficiency of forest management.</li> </ol>	
<p><b>Indicator 8.2.1</b></p> <p>Yields of all forest products harvested are recorded</p>	<p><b>Verifiers &amp; Guidance:</b> Harvesting records</p>
<p><b>Indicator 8.2.2</b></p> <p>A timber resource inventory is conducted, appropriate to the scale and intensity of forest management</p> <p><b>SLIMF:</b> The manager knows what information they</p>	<p><b>Verifiers &amp; Guidance:</b> <i>Data are collected on growth rates, regeneration, and yield of all forest products harvested as well as the condition of the forest (data accuracy is appropriate to scale and intensity of management)</i> Documented inventory</p>

<p>need in order to judge progress towards their objectives. The information is collected and recorded.</p> <p>In all cases this will include:</p> <ul style="list-style-type: none"> <li>▪ Amount of products harvested</li> <li>▪ Effects of operations as identified under C6.1</li> <li>▪ Changes in features identified under C6.2</li> <li>▪ At least annual monitoring of high conservation values identified under C 9.1</li> <li>▪ Invasive exotic species</li> </ul>	<p><u>SLIMF:</u></p> <p>Discussions with forest manager.</p> <p>Evidence of the manager's knowledge of the forest and proactive approach to field observation and field notes</p> <p>Review of manager's field notes, observations or reports on HCVs.</p> <p>Available maps and reports from other sources</p>
<p><b>Indicator 8.2.3</b></p> <p>Where non-timber products are used, a resource inventory is conducted, appropriate to the scale and intensity of forest management</p> <p><u>SLIMF:</u></p> <p>The sustainable harvest levels of non-timber forest products is known</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Documented Inventory</p> <p><u>SLIMF:</u></p> <p>Interviews with the Forest Manager and field observations</p>
<p><b>Indicator 8.2.4</b></p> <p>(Not applicable to SLIMF)</p> <p>Data are collected on the composition and observed changes in the flora and fauna and the effectiveness of conservation activities, particularly of rare, threatened and endangered species</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Monitoring data</p> <p><u>SLIMF:</u></p> <p>Interviews with Forest Managers</p>
<p><b>Indicator 8.2.5</b></p> <p>Indicators to track long term changes in terms of environmental and social impacts of forest operations, including health and safety, are determined and monitoring data collected</p> <p><u>SLIMF:</u></p> <p>The forest manager is aware of the social impacts of operations and mitigate these where they are negative</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Monitoring data</p> <p>Interviews with Forest Managers and consultation with local communities</p> <p><i>The intent of the indicator is to ensure that long term trends in terms of the social and bio-physical environments can be measured. Specific indicators that can provide this information need to be identified.</i></p>
<p><b>Indicator 8.2.6</b></p> <p>Data are collected on any wild mammals culled</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Data</p>
<p><b>Indicator 8.2.7</b></p> <p>Post-harvest monitoring is carried out to assess waste and damage to the site.</p> <p>For <u>large scale operations</u> this monitoring shall be documented.</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers and supervisors.</p> <p>Field observations</p> <p>Post-harvest monitoring record</p> <p><i>Consult Guideline for Forest Engineering Practices in South Africa (FESA, May 1999) for guidelines on post-harvest monitoring. (also see 5.3.3).</i></p> <p><i>Consult Harvesting Planning and Implementation section of Environmental Guidelines for Commercial Forestry plantations in South Africa (Aug 2002) for post-harvest issues.</i></p>

<b>Indicator 8.2.8</b>	<b>Verifiers &amp; Guidance:</b>
The owner/manager records and analyses data on the costs, productivity and efficiency of forest management activities	Data and records
<b>Indicator 8.2.9</b>	<b>Verifiers &amp; Guidance:</b>
The results of such analyses (refer 8.2.8) are incorporated into plans	Data and records
<b>Indicator 8.2.10</b>	<b>Verifiers &amp; Guidance:</b>
Contractors' performance is monitored, including compliance with contract specifications and legal requirements. In <u>large scale organisations</u> , formal auditing of contractors shall be carried out on a regular basis and records thereof maintained	Interviews with Forest Managers and contractors. Audit documents <i>The intent of the indicator is not only the monitoring of the daily operations of contractors, but also their compliance with the requirements of their contracts, compliance with legal requirements, the payment of any fees and taxes and compensation of employees and allowances for leave and other associated requirements.</i>
<b>Indicator 8.2.11</b>	<b>Verifiers &amp; Guidance:</b>
Waste disposal sites within the FMU are regularly checked	Interviews with Forest Managers and field observations
<b>Criterion 8.3</b>	<b>Documentation shall be provided by the forest manager to enable monitoring and certifying organisations to trace each forest product from its origin, a process known as the "chain of custody."</b>
<b>Indicator 8.3.1</b>	<b>Verifiers &amp; Guidance:</b>
There is a procedure for identifying all products (timber and non-timber) leaving the forest so that the recipient can easily determine the forest of origin. For <u>large scale organisations</u> this procedure shall be documented.	<i>The scope of a joint FM/CoC certificate covers harvesting and transportation of roundwood to the first point of sale, unloading or processing. On site processing e.g. charcoal burning, use of a mobile saw-bench, or purchase and harvesting of standing timber by a third party (e.g. sawmill, harvesting contractor, timber merchant) must be covered by a separate chain of custody certificate if the products are to be sold as certified.</i> Interview with Forest Managers Procedures.
<b>Indicator 8.3.2</b>	<b>Verifiers &amp; Guidance:</b>
Documentation of origin and destination of all certified forest products is available for products held at landing areas, stacking areas and processing sites on the FMU	Delivery notes, receipts and stock records
<b>Indicator 8.3.3</b>	<b>Verifiers &amp; Guidance:</b>
Sales invoices and other documentation related to sales of certified material include the chain of custody certificate number, in the correct format (SGS-FM/CoC-XXXXXX) and indicating the FSC category "FSC 100%".	Sales invoices
<b>Indicator 8.3.4</b>	<b>Verifiers &amp; Guidance:</b>

Records are kept of the total quantities of all products sold, as well as of quantities sold to any chain-of-custody certificate holders	Sales records, invoices
Indicator 8.3.5	Verifiers & Guidance:
Use of the FSC trademark is in accordance with policy and has been approved by SGS Qualifor	Samples of trademark use
<b>Criterion 8.4 The results of monitoring shall be incorporated into the implementation and revision of the management plan.</b>	
Indicator 8.4.1	Verifiers & Guidance:
The results of research and monitoring programmes are regularly analysed and incorporated into planning on a regular basis <b>SLIMF:</b> Refer Indicators 7.2.3 and 7.2.4	Interviews with local experts and Forest Managers. Forest planning documents
Indicator 8.4.2	Verifiers & Guidance:
There is evidence that monitoring results are used to improve forest management <b>SLIMF:</b> Refer Indicators 7.2.3 and 7.2.4	Interviews with local experts and Forest Managers
<b>Criterion 8.5 While respecting the confidentiality of information, forest managers shall make publicly available a summary of the results of monitoring indicators, including those listed in Criterion 8.2.</b>	
Indicator 8.5.1	Verifiers & Guidance:
Results and/or summaries of monitoring programmes (including those listed in Criterion 8.2) are available to the public within the accepted norms of commercial confidentiality. <b>SLIMF:</b> Refer Indicator 7.4.1	Public summary
<b>PRINCIPLE 9. MAINTENANCE OF HIGH CONSERVATION VALUE FORESTS:</b>	
Management activities in high conservation value forests shall maintain or enhance the attributes, which define such forests. Decisions regarding high conservation value forests shall always be considered in the context of a precautionary approach.	
<b>Criterion 9.1 Assessment to determine the presence of the attributes consistent with High Conservation Value Forests will be completed, appropriate to scale and intensity of forest management</b>	
Indicator 9.1.1	Verifiers & Guidance:
The FMU has been adequately assessed (in consultation with conservation organisations, regulatory authorities and other local and national stakeholders) and any HCVPs and their biological and/or socio-economic or cultural attributes have been identified <b>SLIMF:</b>	<i>This requirement must be applied to all forests undergoing assessment. HCVPs possess one or more the following attributes:</i> <ul style="list-style-type: none"> <li>▪ Forest areas containing globally, regionally or nationally significant concentrations of biodiversity values and/or large landscape level forests where viable populations of most/all naturally occurring species exist in natural patterns of</li> </ul>

<p>The FMU has been adequately assessed (in consultation with conservation organisations and regulatory authorities) and any HCVFs and their biological and/or socio-economic or cultural attributes have been identified</p>	<p><i>distribution and abundance;</i></p> <ul style="list-style-type: none"> <li>▪ <i>Rare, threatened or endangered ecosystems;</i></li> <li>▪ <i>Forests that provide basic ecological services in critical situations (e.g. water quality or flow, protection against erosion or natural disasters such as cyclones or hurricanes, pollinators);</i></li> <li>▪ <i>Forests fundamental to meeting basic economic or bio-physiological needs of local communities or critical to local community cultural identity.</i></li> </ul> <p>Interviews with Forest Managers and local experts. Evidence of assessments.</p> <p><i>The indigenous forests of Swaziland are protected by the Forest Preservations Act. No person shall cut down, damage, and remove sell or purchase indigenous or government timber without authorisation. Malicious or negligent burning which causes damages indigenous forests is also a criminal offence.</i></p> <p><i>Areas that are declared as Private Forests (Private Forests Act) enjoy greater protection in that no hunting and no harvesting of NTFPs is allowed in such areas. Access to such forests is strictly controlled.</i></p>
<p><b>Indicator 9.1.2</b></p> <p><b>For large scale organisations the assessment procedure shall be documented and records of consultation maintained</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Documented procedures and records</p>
<p><b>Criterion 9.2 The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.</b></p>	
<p><b>Indicator 9.2.1</b></p> <p><b>The owner/manager has determined appropriate management prescriptions for the HCVF in consultation with (and acceptable to) conservation organisations, regulatory authorities and other local and national stakeholders</b></p> <p><b><u>SLIMF:</u></b></p> <p><b>The owner/manager has determined appropriate management prescriptions for the HCVF in consultation with (and acceptable to) conservation organisations and regulatory authorities.</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Management plans and maps Consultation with stakeholders and/or government agencies or evidence of input by these agents</p>
<p><b>Indicator 9.2.2</b></p> <p><b>When an HCVF has been identified for its socio-economic or cultural attributes, there shall be joint analysis and decision-making with the stakeholders directly affected</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers, local experts and communities. Affected communities/persons are listed on the stakeholder list (refer Criterion 4.4).</p>
<p><b>Criterion 9.3 The management plan shall include and implement specific measures that ensure the maintenance and/or enhancement of the applicable conservation attributes consistent with the precautionary approach. These measures shall be specifically included in the publicly available management plan summary.</b></p>	
<p><b>Indicator 9.3.1</b></p>	<p><b>Verifiers &amp; Guidance:</b></p>

All biological and/or social attributes of any HCVF identified are described in the management plan	Management plan
Indicator 9.3.2	Verifiers & Guidance: Management plan
The plan describes the specific measures to be taken to enhance the identified attributes (see also Criterion 7.1)	
Indicator 9.3.3	Verifiers & Guidance: Management plan
All measures are described in the public summary of the plan	
Indicator 9.3.4	Verifiers & Guidance: Management plans and maps. Interviews with Forest Managers and local experts. Field observations.
When an HCVF has been identified for biological values, management shall: <ul style="list-style-type: none"> <li>▪ maintain natural patterns of distribution and abundance of species,</li> <li>▪ maintain natural evolutionary and ecological processes (biotic and abiotic, including disturbance),</li> <li>▪ avoid fragmentation, and set aside core areas for strict protection</li> </ul>	
Indicator 9.3.5	Verifiers & Guidance: Management plans and maps. Interviews with Forest Managers and local experts
Critically endangered forest landscapes must be subject to complete protection (i.e. no harvesting)	
<b>Criterion 9.4 Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.</b>	
Indicator 9.4.1	Verifiers & Guidance: Interviews with Forest Managers and local experts
Monitoring indicators and frequency are defined in consultation with acknowledged experts, local and national stakeholders to monitor effectiveness of each measure described in the plan <b>SLIMF:</b> Refer Indicator 8.2.2	
Indicator 9.4.2	Verifiers & Guidance: Records of monitoring
Records of monitoring are kept and used, in consultation with acknowledged experts, local and national stakeholders, to adapt future management <b>SLIMF:</b> Records of monitoring are kept and used, in consultation with conservation and government agencies, to adapt future management	

Indicator 9.4.3	
Indicator 9.4.4	<b>Verifiers &amp; Guidance:</b> Scientific evidence. Interviews with Forest Managers and local experts
Managers are actively monitoring research developments which might contribute to management of HCVFs <b>SLIMF:</b> Managers are actively communicating with conservation and government agencies to access research developments which might contribute to management of HCVFs	
<b>PRINCIPLE 10. PLANTATIONS:</b> Plantations shall be planned and managed in accordance with Principles and Criteria 1 - 9, and Principle 10 and its Criteria. While plantations can provide an array of social and economic benefits, and can contribute to satisfying the world's needs for forest products, they should complement the management of, reduce pressures on, and promote the restoration and conservation of natural forests.	
<b>Criterion 10.1</b> The management objectives of the plantation, including natural forest conversion and restoration objectives, shall be explicitly stated in the management plan, and clearly demonstrated in the implementation of the plan.	
Indicator 10.1.1	<b>Verifiers &amp; Guidance:</b> "Natural forest" can be also be interpreted as natural vegetation. Forest Management Plan Interviews with Forest Managers and local experts.
The management plan of the plantation explicitly states the management objectives for the plantation itself, as well as for natural forest conversion and restoration (see also Criterion 7.1)	
Indicator 10.1.2	<b>Verifiers &amp; Guidance:</b> Interviews with Forest Managers and local experts. Field observations
The achievement of the objectives can be clearly demonstrated	
<b>Criterion 10.2</b> The design and layout of plantations should promote the protection, restoration and conservation of natural forests, and not increase pressures on natural forests. Wildlife corridors, streamside zones and a mosaic of stands of different ages and rotation periods, shall be used in the layout of the plantation, consistent with the scale of the operation. The scale and layout of plantation blocks shall be consistent with the patterns of forest stands found within the natural landscape.	
Indicator 10.2.1	<b>Verifiers &amp; Guidance:</b> Maps
Natural vegetation areas are considered during planning	
Indicator 10.2.2	<b>Verifiers &amp; Guidance:</b>
For protection, restoration and conservation of natural forest and wildlife corridors, refer to Criteria 6.2	



<b>Indicator 10.2.3</b>	<b>Verifiers &amp; Guidance:</b>
Buffer zones along watercourses and around water bodies are demarcated on maps in compliance with specifications made in national and regional best practice guidelines. Refer indicator 6.5.3.	Maps and documentation
<b>Indicator 10.2.4</b>	<b>Verifiers &amp; Guidance:</b>
Buffer zones identified in terms of 10.2.3 are maintained	Maps and field observations
<b>Indicator 10.2.5</b>	<b>Verifiers &amp; Guidance:</b>
The scale and layout of existing and new plantation blocks are consistent with the patterns of forest stands within the natural landscape.	Maps and field observations <i>See "Visual landscape" section of the Environmental Guidelines for Commercial Forestry Plantations in South Africa (Aug 2002).</i>
<b>Criterion 10.3</b> Diversity in the composition of plantations is preferred, so as to enhance economic, ecological and social stability. Such diversity <u>may</u> include the size and spatial distribution of management units within the landscape, number and genetic composition of species, age classes and structures.	
<b>Indicator 10.3.1</b>	<b>Verifiers &amp; Guidance:</b>
Plantation planning and reestablishment make provision for diversity in species and/or provenances and/or clones to achieve optimal economic, ecological and social stability	Forest plans and maps Field observations
<b>Indicator 10.3.2</b>	<b>Verifiers &amp; Guidance:</b>
<p>Maximum clear-cut size is defined. Documented justification shall be provided where there are potential adverse environmental or socio-economic impacts</p> <p><b>SLIMF:</b> Maximum clear-cut size is defined and justified.</p> <p><b>10.3.2.1:</b> Clearfelling areas should be separated sufficiently to provide buffers serving as sediment traps and escape routes or havens for fauna.</p> <p><b>10.3.2.2:</b> Within a catchment that feeds a permanent watercourse, no more than one third of the catchment should be clearfelled within a two-year period.</p>	Policies and procedures. <b>SLIMF:</b> Interviews with Forest Managers and field observations <i>10.3.2.1&amp;2 See "Size of Clearfelling" section of the Environmental Guidelines for Commercial Forestry Plantations in South Africa (Aug 2002).</i>
<b>Criterion 10.4</b> The selection of species for planting shall be based on their overall suitability for the site and their appropriateness to the management objectives. In order to enhance the conservation of biological diversity, native species are preferred over exotic species in the establishment of plantations and the restoration of degraded ecosystems. Exotic species, which shall be used only when their performance is greater than that of native species, shall be carefully monitored to detect unusual mortality, disease, or insect outbreaks and adverse ecological impacts.	
<b>Indicator 10.4.1</b>	<b>Verifiers &amp; Guidance:</b>

<p><b>Selection of species, provenances and clones is based on documented trials that demonstrate their suitability to the site and management objectives</b></p> <p><b>SLIMF:</b> The species chosen for plantations are suited to the site and matched to the objectives.</p> <p><b>10.4.1.1:</b> The weed potential and water use efficiency of species is taken into consideration in terms of the locality of the planting site.</p> <p><b>10.4.1.2:</b> Trees are not planted where they cannot be adequately managed or harvested. This includes steep and inaccessible areas and marginal sites where the profitability is questionable.</p>	<p>Scientific evidence and interviews with local experts</p> <p><b>SLIMF:</b> Discussions with manager about plantation objectives Plans for future planting</p> <p><i>See "Site-Species Matching" (Silvicultural Practices) section of the Environmental Guidelines for Commercial Forestry Plantations in South Africa (Aug 2002).</i></p>
<p><b>Indicator 10.4.2</b></p> <p><b>Exotic species are used only where they outperform native species in meeting management objectives</b></p>	<p><b>Verifiers &amp; Guidance:</b> Scientific evidence and interviews with local experts</p>
<p><b>Indicator 10.4.3</b></p> <p><b>Information is available on seed sources and these can be traced to the stand data</b></p>	<p><b>Verifiers &amp; Guidance:</b> Plant records</p>
<p><b>Criterion 10.5</b> A proportion of the overall forest management area, appropriate to the scale of the plantation and to be determined in regional standards, shall be managed so as to restore the site to a natural forest cover.</p>	
<p><b>Indicator 10.5.1</b></p> <p><b>At least 10% of the overall forest management area is managed so as to restore the site to a natural forest cover and/or other natural ecosystems. Refer Criterion 6.2. Where less than 10% is present, this shall be agreed with authorities and/or local experts.</b></p> <p><b>SLIMF:</b> Improvements to the ecological value of the plantation are made where conservation features exist.</p>	<p><b>Verifiers &amp; Guidance:</b> <b>SLIMF:</b> Field observations of conservation features Plans for future improvements</p>
<p><b>Criterion 10.6</b> Measures shall be taken to maintain or improve soil structure, fertility and biological activity. The techniques and rate of harvesting, road and trail construction and maintenance, and the choice of species shall not result in long term soil degradation or adverse impacts on water quality, quantity or substantial deviation from stream course drainage patterns</p>	
<p><b>Indicator 10.6.1</b></p> <p><b>There is information on all soil types in the plantation area that indicate their susceptibility to degradation from forest operations and appropriate plantation species;</b></p> <p><b>Small growers and SLIMF can demonstrate their efforts to get access to adequate information on soil types occurring within the</b></p>	<p><b>Verifiers &amp; Guidance:</b> Interviews with Forest Managers and local experts. Documented site information. Evidence that site information is being used in planning of operations.</p> <p><i>See Annexure D of the Environmental Guidelines for Commercial Forestry plantations in South Africa (Aug 2002), which provides a soil sensitivity index (NB the forest manager</i></p>

managed area.	<i>still needs to know the soil form, to apply this index).</i>
<b>Indicator 10.6.2</b>	<b>Verifiers &amp; Guidance:</b>
<b>Where soils are degraded from previous activities, there are plans to restore them</b>	Soil degradation through erosion, oil and chemical spills, etc. Interviews with Forest Managers and field observations.
<b>Indicator 10.6.3</b>	<b>Verifiers &amp; Guidance:</b>
<b>Major water resources within the forest area are identified</b>	Maps and interviews with Forest Managers
<b>Indicator 10.6.4</b>	<b>Verifiers &amp; Guidance:</b>
<b>For impacts on soil and other biophysical aspects, refer also to Criteria 6.1 and 6.5</b>	
<b>Criterion 10.7</b>	<b>Measures shall be taken to prevent and minimise outbreaks of pests, diseases, fire and invasive plant introductions. Integrated pest management shall form an essential part of the management plan, with primary reliance on prevention and biological control methods rather than chemical pesticides and fertilisers. Plantation management should make every effort to move away from chemical pesticides and fertilisers, including their use in nurseries. The use of chemicals is also covered in Criteria 6.6 and 6.7.</b>
<b>Indicator 10.7.1</b>	<b>Verifiers &amp; Guidance:</b>
<b>The principle forest pests and diseases are identified. For <u>large scale organisations</u> these shall be documented.</b>	
<b>Indicator 10.7.2</b>	<b>Verifiers &amp; Guidance:</b>
<b>There is a documented pest and invasive plant management strategy. (For chemical use, refer to criterion 6.6)</b>	
<b>Indicator 10.7.3</b>	<b>Verifiers &amp; Guidance:</b>
<b>Effective control and remedial action is taken in the event of a pest, disease or invasive plant problem. For <u>large scale organisations</u> these actions shall be documented.</b>	Interview with Forest Managers and staff. Documentation
<b>Indicator 10.7.4</b>	<b>Verifiers &amp; Guidance:</b>
<b>Where required, effective measures are taken to protect the plantation from fire. For <u>large scale organisations</u> there is regular monitoring of fire readiness that test all procedures</b>	<i>These measure will include documented* procedures for fire suppression that include definition of responsibilities and reporting lines.</i> Interviews with staff and records of training. Fire readiness and control procedures.
<i>10.7.4.1: Fire breaks are prepared in accordance with the Grass Fire Act 1955 in terms of timing and notification of neighbours</i>	<i>Grass Fire Act No. 44 of 1955 states that burning is prohibited between 1 May and 30 September, otherwise permission is required. Makes honey hunting with fire and smoke illegal except on own land.</i>
<i>10.7.4.2: Fire breaks are a) wide and long enough to have a reasonable chance of preventing a</i>	<i>Refer to Chapter on "Fire Protection" in the Environmental</i>

<p>veldfire from spreading, b) do not cause soil erosion and c) are reasonable free of inflammable material.</p> <p>10.7.4.3: Where, possible, fire breaks are wide enough to permit burning each half in alternate rotations where mowing cannot be practiced.</p>	<p><i>Guidelines for Commercial Forestry plantations in South Africa (Aug 2002) for further legal obligations and environmental mitigation measures.</i></p>
<p><b>Criterion 10.8</b></p>	<p><b>Appropriate to the scale and diversity of the operation, monitoring of plantations, shall include regular assessment of potential on-site and off-site ecological and social impacts, (e.g. natural regeneration, effects on water resources and soil fertility, and impacts on local welfare and social well-being), in addition to those elements addressed in principles 8, 6 and 4. No species should be planted on a large scale until local trials and/or experience have shown that they are ecologically well-adapted to the site, are not invasive, and do not have significant negative ecological impacts on other ecosystems. Special attention will be paid to social issues of land acquisition for plantations, especially the protection of local rights of ownership, use or access.</b></p>
<p><b>Indicator 10.8.1</b></p> <p>For potential on-site impacts, see Criteria 6.1 and 6.5</p>	<p><b>Verifiers &amp; Guidance:</b></p>
<p><b>Indicator 10.8.2</b></p> <p><b>(Not applicable to SLIMF)</b></p> <p><b>Potential biophysical and social off-site impacts shall be monitored on a regular basis</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p><i>Off-site impacts may include:</i></p> <ul style="list-style-type: none"> <li>▪ <i>Spread of exotic plantation species.</i></li> <li>▪ <i>Unwanted natural regeneration of native plantation species</i></li> <li>▪ <i>Effects on water resources</i></li> <li>▪ <i>Effects on soil fertility</i></li> <li>▪ <i>Impacts on the aesthetics of the landscape</i></li> </ul> <p>Interviews with Forest Managers and local communities and/or experts. Evidence of consultation.</p>
<p><b>Indicator 10.8.3</b></p> <p><b>(Not applicable to SLIMF)</b></p> <p><b>There is evidence of consultation with affected parties in terms of the impacts identified under 10.8.2</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p>Interviews with Forest Managers and local communities and/or experts. Evidence of consultation.</p>
<p><b>Indicator 10.8.4</b></p> <p>For exotic or invasive species issues, see Criteria 6.9 and 10.7</p>	<p><b>Verifiers &amp; Guidance:</b></p>
<p><b>Indicator 10.8.5</b></p> <p>For social impacts, see Criteria 2.1, 2.2, 4.2 and 4.4.</p>	<p><b>Verifiers &amp; Guidance:</b></p>

<b>Criterion 10.9</b>		<b>Plantations established in areas converted from natural forests after November 1994 normally shall not qualify for certification. Certification may be allowed in circumstances where sufficient evidence is submitted to the certification body that the manager/owner is not responsible directly or indirectly of such conversion.</b>
<b>Indicator 10.9.1</b>	<b>Verifiers &amp; Guidance:</b>	
<b>Accurate data is compiled on all conversions since 1994.</b>	<p><i>Clear felling and replanting of a natural or semi-natural forest with a mixture of native species in the absence of satisfactory natural regeneration is not considered forest conversion to plantation. Clear felling and replanting of a natural or semi-natural forest with an exotic species is considered conversion.</i></p> <p><i>Where the requirements of criteria 10.9 are in conflict with criterion 6.10, the latter will take precedence.</i></p> <p>Interviews with Forest Managers and Government Agencies. Plantations plans and maps.</p>	
<b>Indicator 10.9.2</b>	<b>Verifiers &amp; Guidance:</b>	
<b>Areas converted from natural forest to plantation since November 1994 are not certified, except where the Organization provides clear and sufficient evidence that it was not directly or indirectly responsible for the conversion.</b>	Legal evidence of ownership or use-right	

## APPENDIX A

### LAWS, REGULATIONS AND STANDARDS APPLICABLE IN SWAZILAND

<b>A.</b>	<b>NATIONAL LEGISLATION</b>
	<p><b>Legal Rights to Harvest:</b></p> <ul style="list-style-type: none"> <li>● <b>Land tenure and management rights</b> <i>Legislation covering land tenure rights, including customary rights as well as management rights that includes the use of legal methods to obtain tenure rights and management rights. It also covers legal business registration and tax registration, including relevant legal required licenses.</i></li> <li>● <b>Concession licenses</b> <i>Legislation regulating procedures for the issuing of forest concession licenses, including use of legal methods to obtain concession license. Especially bribery, corruption and nepotism are well-known issues in connection with concession licenses.</i></li> <li>● <b>Management and harvest planning</b> <i>Any legal requirements for management planning, including conducting forest inventories, having a forest management plan and related planning and monitoring, as well as approval of these by competent authorities.</i></li> <li>● <b>Harvesting permits</b> <i>Legislation regulating the issuing of harvesting permits, licenses or other legal document required for specific harvesting operations. It includes the use of legal methods to obtain the permit. Corruption is a well-known issue in connection with the issuing of harvesting permits.</i></li> </ul>
1.	Swazi Nation land tenure has not been defined by legislation. Swaziland is characterized by two types of land tenure: land held in customary tenure, or Swazi Nation land (SNL); and land held by freehold tenure, or title deed land (TDL). The latter is sometimes referred to as individual tenure farms (ITF). The evolution of the dual system is traced back to the early 1900s. The SNL comprises 63% of the country.
2.	Control of Tree Planting Act No. 7 of 1972. This Act limits commercial plantation tree species to specified areas.
3.	Wattle Bark Control Act of 1960 (controls the production, sale, grading and processing of wattle bark)
4.	The Swazi Administration Act of 1950 Orders may be given prohibiting, restricting or regulating the cutting and destruction of trees and/or burning of grass and bush.
	<p><b>Taxes and Fees</b></p> <ul style="list-style-type: none"> <li>● <b>Payment of royalties and harvesting fees</b> <i>Legislation covering payment of all legally required forest harvesting specific fees such as royalties, stumpage fees and other volume based fees. It also includes payments of the fees based on correct classification of quantities, qualities and species. Incorrect classification of forest products is a well-known issue often combined with bribery of officials in charge of controlling the classification.</i></li> <li>● <b>Value added and sales taxes</b> <i>Legislation covering different types of sales taxes which apply to the material being sold, including selling material as growing forest (standing stock sales).</i></li> <li>● <b>Income and profit taxes</b> <i>Legislation covering income and profit taxes related to the profit derived from sale of forest products and harvesting activities. This category is also related to income from the sale of timber and does not include other taxes generally applicable for companies or related to salary payments.</i></li> </ul>
5.	Taxation Laws Amendment Act No. 27 of 1997 This is the only Swaziland Act dealing with taxation.
	<p><b>Timber Harvesting Activities</b></p> <ul style="list-style-type: none"> <li>● <b>Timber harvesting regulations</b></li> </ul>

	<p><i>Any legal requirements for harvesting techniques and technology including selective cutting, shelter wood regenerations, clear felling, transport of timber from felling site and seasonal limitations etc. Typically this includes regulations on the size of felling areas, minimum age and/or diameter for felling activities and elements that shall be preserved during felling etc. Establishment of skidding or hauling trails, road construction, drainage systems and bridges etc. shall also be considered as well as planning and monitoring of harvesting activities. Any legally binding codes for harvesting practices shall be considered.</i></p> <ul style="list-style-type: none"> <li>● <b>Protected sites and species</b> <i>Covers legislation related to protected areas as well as protected, rare or endangered species, including their habitats and potential habitats</i></li> <li>● <b>Environmental requirements</b> <i>Covers legislation related to environmental impact assessment in connection with harvesting, acceptable level for soil damage, establishment of buffer zones (e.g. along water courses, open areas, breeding sites), maintenance of retention trees on felling site, seasonal limitation of harvesting time, and environmental requirements for forest machineries.</i></li> <li>● <b>Health and safety</b> <i>Legally required personal protection equipment for persons involved in harvesting activities, use of safe felling and transport practice, establishment of protection zones around harvesting sites, and safety requirements to machinery used. Legally required safety requirements in relation to chemical usage. The health and safety requirements that shall be considered relate to operations in the forest (not office work, or other activities less related to actual forest operations).</i></li> <li>● <b>Legal employment</b> <i>Legal requirements for employment of personnel involved in harvesting activities including requirement for contracts and working permits, requirements for obligatory insurances, requirements for competence certificates and other training requirements, and payment of social and income taxes withhold by employer. Furthermore, the points cover observance of minimum working age and minimum age for personal involved in hazardous work, legislation against forced and compulsory labour, and discrimination and freedom of association</i></li> </ul>
6.	<p>The Environmental Management Act, No. 5 of 2002. An Act to provide and promote the enhancement, protection and conservation of the environment, sustainable management of natural resources.</p>
7.	<p>Swaziland Environmental Authority Act, No. 15 of 1992 SEA mandate to implement and enforce environmental policies and regulations. <i>No person may undertake any project that may have an effect on the environment without the written approval of the Swaziland Environmental Authority (SEA). The person proposing to undertake the project shall submit a project brief to the SEA, who will review the project. The nature of the project will determine the level of EIA necessary. This will be decided by the SEA.</i></p>
8.	<p>Forests Preservation Act, No. 14 of 1910 (Restricts forest clearance &amp; cutting of trees. Permission required for cutting, selling and purchasing timber. Fuelwood collection and bush cutting allowed. Allows, through absence of prohibitions, the utilisation of NTFPs for subsistence and commercial use.) <i>The indigenous forests of Swaziland are protected by the Forest Preservations Act. No person shall cut down, damage, and remove sell or purchase indigenous or government timber without authorisation. Malicious or negligent burning which causes damages indigenous forests is also a criminal offence. Areas that are declared as Private Forests (Private Forests Act) enjoy greater protection in that no hunting and no harvesting of NTFPs is allowed in such areas. Access to such forests is controlled.</i></p>
9.	<p>Private Forest Act No. 3 of 1951 Owner's permission required to utilise timber and non timber products in declared private forests. No fires allowed within 1 mile.</p>
10.	<p>Natural Resources Act No. 71 of 1951 Supervision of the country's natural resources outside Swazi National Land –SNL <i>In terms of this Act, any act which impacts negatively on the soil and water resources is seen as an offence. Soil erosion and sedimentation of water resources are key areas of environmental concern. Forestry operations (especially harvesting, road building, quarries, firebreaks) resulting in such impacts must therefore be dealt with very strictly. This Act prohibits anyone from building, planting crops, or destroying natural vegetation within 100 feet (30.5m) of a bank of a public stream. All water occurring naturally in Swaziland is public property.</i></p>
11.	<p>Grass Fire Act No. 44 of 1955 To consolidate the law relating to grass burning and grass fires <i>Grass Fire Act No. 44 of 1955 states that the interval between fires may not be shorter than 24 months (2 years) and burning is prohibited between 1 May and 30 September, otherwise permission is required. Makes honey hunting with fire and smoke illegal except on own land.</i></p>

12.	<p>Plant Control Act No. 8 of 1981 Protects indigenous plants from uncontrolled harvest.</p> <p><i>The Plant Control Act, 1981 lists all of the restricted plants under the different schedules. The Schedule 1: Plants which are prohibited (such as Bugweed, Lantana, Mauritius thorn etc). The Swazi list is not complete, but these species are equivalent to the Category 1 Declared Alien Invader Plants of RSA, which can be used as a reference.</i></p> <p><i>The trading (growing, gathering, selling) in mushrooms is prohibited without a permit.</i></p>
13.	The Employment Act, No. 5 of 1980 (amended 1997)
14.	The Industrial Relations Act of 2000
15.	The Workmen's Compensation Act
16.	<p>Public Health Act No. 5 of 1969.</p> <p><i>In terms of the Public Health Act, unhygienic situations are defined as a "nuisance" and are listed in the Act under "what constitutes a nuisance". Many of these listed situations are related to accommodation, potable water within a reasonable distance, sewage, refuse, stagnant water, drainage, ventilation and smoke, sufficient and sanitary latrines. It is illegal to allow such conditions, and this list should be referred to when inspecting workers accommodation and living conditions. The list also included unfit buildings and unfit vehicles.</i></p> <p><i>Specific attention to the availability of potable and adequate water supply, adequate ablution facilities and space (no overcrowding). Permits are necessary for waste sites and for sewage and water treatment plants.</i></p>
	<p><b>Third Party Rights</b></p> <ul style="list-style-type: none"> <li>● <b>Customary</b> <span style="float: right;"><b>rights</b></span> <i>Legislation covering customary rights relevant to forest harvesting activities including requirements covering sharing of benefits and indigenous rights</i></li> <li>● <b>Free prior and informed consent (FPIC)</b> <i>Legislation covering "free prior and informed consent" in connection with transfer of forest management rights and customary rights to the organisation in charge of the harvesting operation</i></li> <li>● <b>Rights of indigenous peoples</b> <i>Legislation that regulates the rights of indigenous people as far as it's related to forestry activities. Possible aspects to consider are land tenure, right to use certain forest related resources or practice traditional activities, which may involve forest lands</i></li> </ul>
17.	<p>Safeguarding of Swazi Areas Act, No. 39 of 1910.</p> <p>This Act makes provision for the protection of the rights of the Swazi people to areas set apart under the Concessions Partition Act for their sole and exclusive use and occupation.</p> <p>The proclaimed Swazi Areas are listed under the following districts: Peak, Ubombo, Mbabane North, Mbabane South and Hlatikulu District. Commercial forestry is a land use in some of these districts, therefore it should be checked that forestry has not encroached on these areas.</p>
18.	<p>Definition of Swazi Areas Act, No. of 1916.</p> <p>An Act to record the description of the areas set apart under the Concessions Partition Act, and to declare and determine the conditions and restrictions subject to which the Swazi people are entitled to the sole and exclusive use and occupation of such areas. This lists the Districts in Swaziland that are set aside for the exclusive use and occupation of the Swazi Nation. This means that no person other than a Swazi is allowed to utilise this land.</p>
19.	<p>The Swazi Land Settlement Act of 1946</p> <p>Provides for the establishment, control and development of a land settlement scheme for the Swazi Nation. There is commercial forestry in the Swazi Settlement areas, but the Deeds of Transfer are listed in this Act.</p>
20.	<p>The Swazi Administration Order, No. 6 of 1998.</p> <p>An Order-in-Council to provide for the incorporation of the law governing appointment, removal and functions of Chiefs and Tindvuna into the law relating to the administration of Swazi Affairs.</p>
	<p><b>Trade and Transport</b></p> <ul style="list-style-type: none"> <li>● <b>Classification of species, quantities, qualities</b> <i>Legislation regulating how harvested material is classified in terms of species, volumes and qualities in connection with trade and transport. Incorrect classification of harvested material is a well-known method to reduce/avoid</i></li> </ul>



	<p><i>payment of legality prescribed taxes and fees</i></p> <ul style="list-style-type: none"> <li>• <b>Trade and transport</b> <i>All required trading permits shall exist as well as legally required transport document which accompany transport of wood from forest operation</i></li> <li>• <b>Offshore trading and transfer pricing</b> <i>Legislation regulating offshore trading. Offshore trading with related companies placed in tax havens combined with artificial transfer prices is a well-known way to avoid payment of legally prescribed taxes and fees to the country of harvest and considered as an important generator of funds that can be used for payment of bribery and black money to the forest operation and personal involved in the harvesting operation. Many countries have established legislation covering transfer pricing and offshore trading. It should be noted that only transfer pricing and offshore trading as far as it is legally prohibited in the country, can be included here.</i></li> </ul>
21.	<p>There is no available Swaziland legislation dealing with Trade and Transport. According to <a href="http://www.trademarksa.org">www.trademarksa.org</a>, nine documents are required for exports and 11 for imports. The key challenge, which falls out of the country's control, is its landlocked status, where reliance is on the cooperation of neighbours. The documents required for export are: bill of lading, certificate of origin, collection order, commercial invoice, customs export declaration F1-78 declaration (Central Bank control), Inspection report, NEP Form (National Environment Policy), packing list. The documents required for import are: bill of entry, bill of lading, cargo release order, certificate of origin, commercial invoice, container terminal order, customs import declaration, import license, inspection certificate, packing list, terminal handling receipts.</p>
	<p><b>Custom regulations</b> <i>Custom legislation covering areas such as export/import licenses, product classification (codes, quantities, qualities and species)</i></p>
22.	See above. There is no other legislation covering export/import.
	<p><b>CITES</b> <i>CITES permits (the Convention on International Trade in Endangered Species of Wild Fauna and Flora, also known as the Washington Convention)</i></p>
23.	The Lusaka Agreement on Co-operative Enforcement Operations Directed at Illegal Trade in Wild Flora and Fauna
24.	<p>Wild Birds Protection Act No. 45 of 1914</p> <p>Prohibits the sale and exportation of the plumage and skins of wild birds and provides for the protection of wild birds.</p>
	<b>Other</b>
25.	The Draft Constitution of Swaziland
26.	Animal Diseases Act No. 7 of 1965
27.	<p>Flora Protection Act No. 51 of 1953 (Control of harvest and trade of rare species)</p> <p><i>Lists protected floral species. Floral species are categorised as follows: Schedule A (Endangered), B (Vulnerable) and C (Rare). It is a criminal offence to pick, gather, cut, uproot, break, possess or destroy any protected flora or part thereof, including seeds of such flora.</i></p>
28.	Game Control Act No. 37 of 1947
29.	<p>Game Act of 1953</p> <p>Established game reserves and deals with hunting and trade in wild animals, including birds</p> <p><i>This Act specifies First Schedule Game which are specially protected, Second Schedule Game which is Royal Game and also protected, and then the Third Schedule Game which are common and may be hunted with a licence.</i></p> <p><i>Specifies that hunting is prohibited during the closed season of 1 Sep to 30 April the following year. Licences are required for hunting during the open season. Specially protected and royal game may not be hunted. The allowable means of hunting is also specified. It is illegal to take the eggs of birds or the young of game.</i></p> <p>Temporary Protection of Game No. 51 of 1953 (2)</p> <p>Variation of Closed Season No. 51 of 1953 (3)</p>

30.	Game (Amendment) Act of 1991 Includes severe sentences for poaching
31.	National Trust Commission Act of 1972 Law governing habitat protection and basis for declaring National Parks and reserves <i>See Part V National Monuments, Relics and antiques of The <b>National Trust Commission Act, 1972.</b> Monuments, relics, antiques and other objects of special significance are protected. Objects of aesthetic, historical, archaeological or scientific value or interest that has for more than 30 years been in any part of Southern Africa or which was made therein more than 50 years ago is protected by law. Monuments may be proclaimed through the Commission.</i>
32.	Ozone Depleting Substances Regulations, 2003
33.	Protection of Fresh Water Fish Act No. 75 of 1937
34.	Seeds and Plant Varieties Act No. 7 of 2000
35.	Swaziland Waste Regulations, 2000 <i>Waste Licences: Approval from the SEA is required for a permanent landfill, incinerator or other facility at which waste is permanently disposed or is stored indefinitely. The same applies to a sewage treatment plant. (Environmental Management Act, 2002). Environmental compliance certificates are also required (Waste Regulations, 2000)</i>
36.	Swazi Nation Act of 1961 Controls land use in rural areas.
37.	Water Act No. 7 of 2003 Specifies the need for a Permit to divert or alter a watercourse or store water for various purposes. The use of groundwater is also controlled through drilling and abstraction permits.
38.	The Cattle Routes Act, No. 15 of 1918
<b>B.</b>	<b>REGULATIONS PERTINENT TO FORESTRY RELATED TO AND EMERGING FROM NATIONAL LEGISLATION AND OTHER LEGISLATIVE INSTITUTIONS:</b>
39.	Environmental Audit, Assessment and Review Regulations, 2000. Projects are categorised in these regulations as follows: <b>Category 1</b> Projects: Unlikely to cause significant environmental impact e.g. small buildings, small scale social infrastructure provision, small scale tourism projects etc <b>Category 2</b> Projects: Likely to cause environmental impacts, some of which may be significant unless mitigation measures are taken e.g. electrical transmission lines, irrigation and drainage, rural water supply and sanitation, watershed management and rehabilitation, small scale infrastructure like small roads and sewage treatment works, projects located near environmentally sensitive areas etc <b>Category 3</b> Projects: Likely to have significant adverse impacts whose scale, extent and significance cannot be determined without an in-depth study. Appropriate mitigation measures can only be identified after such study. E.g. construction of dams and reservoirs, afforestation and other large scale monocultures, road construction and large scale mining or soil excavation, projects involving re-settlement etc
40.	The Natural Resources (Public Stream Banks) Regulations No. 71 of 1951 (1) <i>The Natural Resources Act, 1951 prohibits anyone from building, planting crops, or destroying natural vegetation within 100 feet (30.5m) of a bank of a public stream. All water occurring naturally in Swaziland is public property.</i>
41.	Fresh Water Fish Regulations No. 75 of 1973 (1) <i>The Protection of Fresh Water Fish Act, 1938, provides regulations for open and closed fishing seasons and non-indigenous fish (e.g. trout, bass) are not allowed to be taken from waters without a permit. Fishing with any kraal or contrivance of sacking, canvas, wicker, cane, wire or net is prohibited. The use of explosives or chemical poisoning is also prohibited. In addition, the placing of obstructions in any waters with the intention of preventing free passage of fish is an offence. In terms of the Fresh water Fish Regulations, 1973, the stocking of any waters with any fish requires a permit. Particularly prevalent is the stocking of rivers and dams with non-indigenous trout or bass. An EIA is also necessary for this.</i>
42.	Purification of Industry Water and Effluent Regulations No. 25 of 1967 (1)
43.	National Fire Services Order, No. 14 of 1975

44.	The South African Red Data Book Series (National Scientific Programmes Report Series published by the CSIR: No 7 and 11 in 1976, 14 and 18 in 1977, 23 in 1978, 45 in 1980, 97 in 1984 and 117 in 1986. These cover birds, small mammals, fishes, large mammals, reptiles and amphibians and vascular plants in South Africa, Lesotho and <b>Swaziland</b> .
45.	Barnes, K. N. (ed.) 2000. The Eskom Red Data Book of Birds of South Africa, Lesotho and <b>Swaziland</b> . BirdLife South Africa, Johannesburg – ISBN number 0-620-25499-8
46.	Minter, L.R., M. Burger, J.A. Harrison, H.H. Braak, P.J. Bishop and D. Kloepfer, eds, 2004. Atlas and Red Data Book of the Frogs of South Africa, Lesotho and <b>Swaziland</b> . SI/MAB Series #9.
47.	Scott-Shaw, C. R. 1999. Rare and Threatened Plants of KwaZulu-Natal and Neighbouring Regions. KwaZulu-Natal Nature Conservation Service. This includes RT&E plants of central and southern <b>Swaziland</b> .
48.	Golding, J. (ed) 2002. Southern African Plant Red Data Lists. South African Botanical Diversity Network report No 14.
49.	National List of Declared Weeds and Invader Plants: Table 3 of Regulation 15 of Conservation of Agricultural resources Act (43 of 1983). Government Gazette Vol. 429: No 22166 of the 30 March 2001. R280.
50.	Henderson, L. (2001). Alien Weeds and Invasive Plants: A complete guide to declared weeds and invaders in South Africa. Plant Protection Research Institute handbook No12, Agricultural Research Council.
51.	Bromilow, C. (2010). Problem Plants and Alien Weeds of South Africa. Briza Publications, Pretoria.
<b>C.</b>	<b>INTERNATIONAL AGREEMENTS PERTINENT TO FORESTRY</b>
52.	<p>Convention on Biological Diversity</p> <p>The CBD was signed by 150 government leaders at the 1992 Rio Earth Summit and entered into force in December 1993. There are currently 188 Parties to the Agreement. The three objectives of the Convention are: the conservation of biodiversity, the sustainable use of biological resources and the fair and equitable sharing of benefits arising from the use of genetic resources. The principles of the CBD are broad in scope and unlike CITES, the CBD does not contain detailed provisions on implementation. Accordingly, implementation of the CBD depends on the incorporation of the Convention and associated policies and guidelines into the national legislation of Member States.</p>
53.	<p>Convention on the International Trade in Endangered Species (CITES)</p> <p>CITES (1973) aims to protect certain endangered species from over-exploitation by means of a system of import-export permits. The Convention includes animals and plants whether dead or alive, and any recognisable parts of derivatives thereof. Appendix I to the Convention covers endangered species, trade in which is to be tightly controlled; appendix II covers species that may become endangered unless trade is regulated; appendix III covers species that any party wishes to regulate and requires international cooperation to control trade; and appendix IV contains model permits. Permits are required for species listed in appendices I and II stating that export / import will not be detrimental to the survival of the species.</p>
54.	<p>International Labour Organisation (ILO): with specific reference to</p> <ul style="list-style-type: none"> <li>▪ ILO Code of Practice on Safety and Health in Forestry Work (ILO 1998)</li> <li>▪ ILO Safety and Health in the use of Agrochemicals, A guide. 1991</li> <li>▪ ILO Safety in the use of Chemicals at Work (Code of Practice), 1993</li> <li>▪ Convention 29: Forced Labour, 1930</li> <li>▪ Convention 87: Freedom of Association and Protection of the Right to Organise, 1948</li> <li>▪ Convention 97: Migration for Employment, 1949</li> <li>▪ Convention 98: Right to Organise and Bargain Collectively, 1949</li> <li>▪ Convention 100: Equal remuneration, 1951</li> <li>▪ Convention 105: Abolition of Forced Labour, 1957</li> <li>▪ Convention 111: Discrimination (occupation and Employment), 1958</li> <li>▪ Convention 131: Minimum Wage Fixing, 1970</li> <li>▪ Convention 138: Minimum Age for Working, 1973</li> <li>▪ Convention 141: Rural Worker's Organisations, 1975</li> <li>▪ Convention 142: Human Resources Development, 1975</li> </ul>

	<ul style="list-style-type: none"> <li>▪ Convention 143: Migrant Workers (Supplementary Provisions), 1975</li> <li>▪ Convention 155: Occupational Safety and Health, 1981</li> <li>▪ Convention 169: Indigenous and Tribal People, 1989</li> <li>▪ Convention 182: Worst Forms of Child Labour, 1999</li> <li>▪ Guidelines for worker's health surveillance</li> <li>▪ Guidelines for Labour Inspection in Forestry 2005</li> <li>▪ Guidelines for Occupational Health and Safety</li> <li>▪ Protection of Worker's personal data</li> </ul>
55.	IUCN Red List of Threatened Species
56.	The United Nations Convention to Combat Desertification (CCD)
57.	The United Nations Framework Convention on Climate Change (UNFCCC)
58.	<p>The African Convention on the Conservation of Nature and Natural Resources (1968)</p> <p>Participating and signatory states undertake to adopt the measures necessary to ensure conservation, utilisation and development of soil, water, floral and faunal resources in accordance with scientific principles and with due regard to the best interests of the people (Article II); to take effective measures to conserve and improve the soil and to control erosion and land use (Article IV); and to establish policies to conserve, utilise and develop water resources, prevent pollution and control water use (Article V). Furthermore, the Convention imposes on states the obligation to protect flora and ensure its best utilisation, the management of forests and control of burning, land clearance and overgrazing (Article VI); and to conserve faunal resources and use them wisely, manage populations and habitats, control hunting, capture and fishing, and prohibit the use of poisons, explosives and automatic weapons in hunting (Article VII). States are required to tightly control traffic in trophies, to prevent trade in illegally killed and obtained trophies and to establish and maintain conservation areas (Article X). A list of protected species which enjoy full total protection, and a list of species, which may be taken only with authorisation is part of the Convention.</p>
59.	The Treaty Establishing the African Economic Community
60.	<p><b><u>The Southern African Development Community (SADC)</u></b></p> <p>SADC was established in Windhoek in 1992 as the successor to the Southern African Development Coordination Conference (SADCC), which was founded in 1980. SADC currently counts 15 states among its members, namely Angola, Botswana, the Democratic Republic of Congo (DRC), Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, the Seychelles, South Africa, Swaziland, Tanzania, Zambia, and Zimbabwe.</p> <p>SADC's objectives include the achievement of development and economic growth, the alleviation of poverty, the enhancement of the standard and quality of life, support of the socially disadvantaged through regional integration, the evolution of common political values, systems and institutions, the promotion and defence of peace and security, and achieving the sustainable utilisation of natural resources and effective protection of the environment. Amongst other issues, food security, land and agriculture as well as natural resources and the environment have been identified as areas of cooperation by the SADC Treaty.</p> <p>SADC Protocols are instruments by means of which the SADC Treaty is implemented, and they have the same legal force as the Treaty itself. A Protocol legally binds its signatories after ratification. The Protocols which are of most relevance with regard to forestry are listed in below.</p>
61.	<p><b>SADC Protocol on Forestry, 2002</b></p> <p>Forests cover an area of 357 million of the SADC Region corresponding to about 33 per cent. Forests are home to a rich biodiversity, and millions of people live within the forests and woodlands which directly support their livelihoods. Forest products from which the population can benefit include charcoal, honey, bush meat, and construction materials. Thus, the trans-boundary conservation and management of forests are essential contributions to the protection and conservation of the environment and its biodiversity, and ultimately, to poverty alleviation. The basic regional policy for sustainable management of forests in the SADC region is the Protocol on Forestry. It is a set of rules or principles agreed upon by the SADC member states on how to integrate and co-operate among themselves in order to commonly conserve and manage the SADC forests and woodlands for the benefit of the SADC people.</p> <p>The Protocol addresses issues of common concern including deforestation, genetic erosion, climate change, forest fires, pests, diseases, invasive alien species, and law enforcement.</p>

	The Protocol emphasises that traditional forest-related knowledge must be protected and requires mechanisms to ensure the equitable sharing of benefits from forest resources. SADC is currently in the process of drafting a SADC Regional Forestry Strategy and implementation plan.
62.	<p><b>SADC Revised Protocol on Shared Watercourses</b></p> <p>This repeals and replaces the 1995 Protocol on Shared Watercourse Systems. It aims to foster closer cooperation for judicious, sustainable and coordinated management, protection and utilisation of shared watercourses. State Parties are obliged to respect the existing rules of customary or general international law relating to the utilisation and management of the resources of shared watercourses. According to Article 3.4 of the Protocol, State Parties commit themselves to maintain a proper balance between resource development for a higher standard of living for their people and conservation and enhancement of the environment to promote sustainable development. Furthermore, the Protocol states that State Parties have to take all appropriate measures to prevent the causing of significant harm to other watercourse states. Where significant harm is caused to another watercourse state, the state whose use causes such harm is to take all appropriate measures to eliminate or mitigate such harm and, where appropriate, to discuss the question of compensation.</p>
63.	<p><b>SADC Protocol on Wildlife Conservation and Law Enforcement, 1999</b></p> <p>This Protocol aims to establish within the framework of the respective national laws of each State Party, common approaches to the conservation and sustainable use of wildlife resources and to assist with the effective enforcement of laws governing those resources. Each State Party has to ensure the conservation and sustainable use of wildlife resources under its jurisdiction, and that activities within its jurisdiction or control do not cause damage to the wildlife resources of other states or in areas beyond the limits of national jurisdiction. In line with Article 4 of the Protocol, appropriate policy, administrative and legal measures have to be taken to ensure the conservation and sustainable use of wildlife and to enforce national legislation pertaining to wildlife effectively.</p>
<b>D.</b>	<b>LOCAL STANDARDS AND BEST OPERATING PRACTICES</b>
64.	A practical field procedure for identification and delineation of wetlands and riparian areas. Final draft: February 2003. Department of Water Affairs and Forestry.
65.	Engelbrecht, G. V. R. And Warkotsch, P.W. 1994. Chute Operating Manual – FESA Chute Project Group
66.	Environmental Guidelines for Commercial Forestry Plantations in South Africa (Forestry South Africa, Second Edition, August 2002).
67.	Guidelines for Forest Engineering Practices in South Africa. Forest Engineering Working Group of South Africa (FESA) May 1999.
68.	Protective Device for users of sharp bladed tools: Requirements for leg protectors. FESA standard FESA 001:1998.
69.	Responsible Use Guide. AVCASA Crop protection and Animal Health Association, October 2001. (Responsible Use of Agricultural Chemicals and Stock Remedies)
70.	South African Forestry Handbook, 5 <sup>th</sup> Edition, 2012. Edited by Brian V Bredenkamp and Sally J Upfold. The Southern African Institute of Forestry (SAIF).
71.	The Private Security Industry Regulatory Authority (SIRA) Regulations.
72.	The South African Cable-yarding Safety and Operating handbook (FESA).
73.	The South African Chainsaw Safety and Operating handbook January 2000. (FESA).
74.	The South African Forestry Road Handbook. FESA Working Group, August 2004.
75.	FSC Guidelines for the Implementation of the right to free, prior and informed consent (FPIC). Version 1, 30 October 2012.

## APPENDIX B

### LIST OF RARE THREATENED AND ENDANGERED SPECIES LISTED FOR SWAZILAND

The following websites provide information about Swaziland RT&E species:

[www.iucnredlist.org](http://www.iucnredlist.org) (IUCN red lists)

[www.panda.org](http://www.panda.org)

[www.earthsendangered.com](http://www.earthsendangered.com) (this allows a search per country for species lists)

[www.nationsencyclopedia.com](http://www.nationsencyclopedia.com) (information per country)

[www.animalinfo.org](http://www.animalinfo.org) (information per country)

[www.conservationoutdoors.org](http://www.conservationoutdoors.org) (species search per country)

[www.nationalredlist.org](http://www.nationalredlist.org) (email [info@nationalredlists.org](mailto:info@nationalredlists.org))

In addition to the above, the following references are also listed:

#### Flora:

Hilton-Taylor, C. 1996. Red Data list of Southern African Plants. NBI. Strelitzia 4.

The South African Red Data Book Series (National Scientific Programmes Report Series published by the CSIR: No 7 and 11 in 1976, 14 and 18 in 1977, 23 in 1978, 45 in 1980, 97 in 1984 and 117 in 1986. These cover birds, small mammals, fishes, large mammals, reptiles and amphibians and **vascular plants** in South Africa, Lesotho and **Swaziland**.

#### Fauna (mammals)

The South African Red Data Book Series (National Scientific Programmes Report Series published by the CSIR: No 7 and 11 in 1976, 14 and 18 in 1977, 23 in 1978, 45 in 1980, 97 in 1984 and 117 in 1986. These cover birds, small **mammals**, fishes, large mammals, reptiles and amphibians and vascular plants in South Africa, Lesotho and **Swaziland**.

#### Fauna (Reptiles and amphibians)

The South African Red Data Book Series (National Scientific Programmes Report Series published by the CSIR: No 7 and 11 in 1976, 14 and 18 in 1977, 23 in 1978, 45 in 1980, 97 in 1984 and 117 in 1986. These cover birds, small mammals, fishes, large mammals, **reptiles and amphibians** and vascular plants in South Africa, Lesotho and **Swaziland**.

#### Fauna (Birds)

See: Barnes, K. N. (ed.) 2000. The Eskom Red Data Book of Birds of South Africa, Lesotho and **Swaziland**. BirdLife South Africa, Johannesburg – ISBN number 0-620-25499-8

#### Fauna (Fish)

The South African Red Data Book Series (National Scientific Programmes Report Series published by the CSIR: No 7 and 11 in 1976, 14 and 18 in 1977, 23 in 1978, 45 in 1980, 97 in 1984 and 117 in 1986. These cover birds, small mammals, **fishes**, large mammals, reptiles and amphibians and vascular plants in South Africa, Lesotho and **Swaziland**.

## APPENDIX C

### Kingdom of Swaziland: Country Profile

Swaziland gained independence from Britain on 6<sup>th</sup> September 1968. The Constitutional Law Act, No. 50 of 1968 created a Westminster type Parliamentary System which incorporated Swaziland's traditional system of authority. The blending of the two systems has given a unique flavour of duality to the country's governance structures and processes.

In 1973 the 1968 Constitution was repealed by a King's Proclamation. The Decree provided for vesting all Executive, Legislative and Judicial powers in His Majesty the King. In effect, however, these powers were delegated and exercised by separate arms of government by provision of the 1973 and later Decrees. In 1978 by an Order in Council, Parliament was re-established based on the Tinkhundla (constituency) electoral system.

In reality, however, since independence, Swaziland has been ruled by a hereditary monarchy, which, despite hard-won democratic reforms during the 1990s, has maintained a large degree of judicial, legislative and executive control of the country. Youth organisations continued to be active in their opposition to the prevailing political dispensation throughout the 1990s.

### **Government type:**

Monarchy: independent member of Commonwealth. Swaziland is governed as a traditional monarchy, with the King wielding extensive executive, legislative and judicial powers vested in him by the 1973 Royal Proclamation under which the constitution was suspended and political parties banned. The supremacy of the 1973 Proclamation was reaffirmed in a Decree issued by King Mswati in July 2001. King Mswati III has been the Chief of State since April 1986. He exercises his authority as both Head of State of the modern government as well as Ingwenyama, traditional leader and custodian of Swazi Law and Custom. The responsibilities of the Monarchy are shared by the King and Queen Mother (Indlovukazi).

The day-to-day management of government business is carried out by a Cabinet of Ministers headed by a Prime Minister, all of whom are appointed by the King. Senior civil servants are also appointed by the King.

### **Constitution:**

None; constitution of 6 September 1968 was suspended 12 April 1973; a new constitution was promulgated 13 October 1978, but was not formally presented to the people; since then a few more outlines for a constitution have been compiled under the Constitutional Review Commission (CRC), but so far none have been accepted. A Constitutional Drafting Committee was established in 2002 and the current constitution remains in a draft form.

### **Legal system**

An independent Judiciary is headed by the Chief Justice. Courts operate at the subordinate, High Court and Appellate level. The legal system is based on Roman-Dutch and English Common law (UNDP Swaziland) in statutory courts. Traditional courts preside over matters appertaining Swazi Law and Custom as well as identified criminal and minor offences. This system of traditional courts also has an appellate division. Attempts to harmonise the two (2) legal systems follows the exercise of Codification of Swazi Law and Custom. Swazi traditional law and custom in traditional courts; has not accepted compulsory International Court of Justice jurisdiction

### **Land Ownership:**

All land in Swaziland, save for the privately held title deed, is vested in the King in trust for the Swazi Nation. Swazi Nation Land (SNL) comprises 74% and the private Title Deed land comprises 25%. 69% of the population live on SNL, 23% in urban areas and 8% on title deed land. There cannot be private ownership of water naturally found in Swaziland.

### **Local Government:**

Swaziland is divided into four (4) geographical and administrative regions of Hhohho, Manzini, Lubombo and Shiselweni. Each region has a district administration responsible for coordinating the functions of Government at district level. The political head of a region is the Regional Administrator. The Administrative Head of the region is the Regional Secretary who facilitates coordination and provision of technical and social services to the people within the region. Several Ministries such as Education, Health, Agriculture, operate with district level personnel. District Administration falls within the portfolio of the Deputy Prime Minister who is responsible for Regional Development and Tinkhundla Administration.

According to the Urban Government Act of 1969, urban local authorities fall administratively within the portfolio of the Ministry of Housing and Urban Development. Municipal elections are held every three (3) years to constitute City Councils or Town Boards. These authorities operate as parastatals. They manage their own budgets, levy rates and provide infrastructure and basic social services within their jurisdiction. Budget subsidies are allocated from central government.

About 80% of the country's population resides in rural and semi-urban areas. The administration of these areas falls under the authority of Chiefs. These traditional authorities are the representatives of the King at local level. They allocate land for family use and have responsibility for the welfare of people living in the area as well as ensuring maintenance of law and order. The office of Chief is hereditary and non-salaried.

The administration of local authorities in the constituencies (Tinkhundla) consists of an elected Headman (indvuna) and Council (Bucophu) whose term of office coincides with Parliamentary elections. There appears to be some overlap and duplication between the roles and functions of Member of Parliament, Chief, Traditional Headman, Elected Headman, as well as local councils.

### **The State and Civil Society:**

#### **NGOs:**

The Non-governmental sector is highly active in Swaziland playing a complementary role in national development. The Government is responsible for overall development policy, provision of infrastructure and basic social services. NGOs are involved in delivery of services to grassroots communities targeting special interest groups.

The majority of NGOs are involved in Social Welfare activities addressing the needs of vulnerable groups such as the aged, youth, or people with disabilities. There are also numerous self-help income-generating associations assisting in the transition from subsistence to the formal business economy. Specialized NGOs deal with promotion of Education, Agriculture, Health or Environmental awareness skills. The advent of HIV/AIDS has seen the proliferation of NGOs for dealing with combating the effects of the epidemic.

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## Literacy Rate and Education

Siswati and English are recognised as the official languages. In 1999, 78.9% of the Swazi population could read and write. Of the entire youth population, 10.4% of males and 8.8% of females were illiterate in 2000, while by 2005 it is expected that this figure will decrease to 8.4 % of males and 6.7% of females. Youth have been defined in Swaziland as any person between the ages of 12 and 30 years. Most sources, however, use the UN definition of 15-24 years.

Swaziland legislation stipulates seven years of compulsory education (World Bank EdStats). In 2000/2001, 93% of all children eligible for primary school education were enrolled in primary schools (UNESCO).

According to some authors, the Swazi youth have played an important role in hastening political reform and the extension of democratic institutions (such as universal suffrage and nominal division of powers) during the 1990s. Youth organisations continued to be active in their opposition to the prevailing political dispensation. In 2000 the 5<sup>th</sup> General Congress of the Swaziland Youth Congress (SWAYOCO), an active partner in the social movement of the 1990s, was violently broken up by the police. The government recognises the rights of national youth movements to organise on a non-governmental basis, but with the proviso that such organisations be convened for non-political purposes.

Swazi youth are faced with an increasingly undemocratic monarchy; youth activism is being repressed by government forces. One of the factors that would contribute to sustainable youth development is a transformation in the political climate in Swaziland.

## Major Economic Sectors by Output and Employment

The services sector accounts for the major portion of Swaziland's GDP (47%) followed by industry (43%) and agriculture (10%) with 80% of the population involved in subsistence agriculture (CIA World Fact Book). The major economic sector by paid employment is services (32.6%), followed by agriculture and forestry (21.4%). Commercial Forestry and related Processing Industry represents 15% of the GDP.

## HIV/AIDS Prevalence

In 2000 the overall national HIV prevalence among 15-19 year olds was 25.9% (UNAIDS). Female youth infection rate was estimated at 39.5% in 2001 (World Bank). In 2002 it was estimated that approximately 35.6% of adults (aged 15+) were HIV positive (CIA World Fact Book).

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## APPENDIX D

### Synopsis of the National Forest Policy

Commercial forestry and related processing industry represents 15% of the GDP. The Forestry sector employs 8,000 people or 8% of formal employment. Commercial forestry in Swaziland is entirely run by private companies, and comprises plantation forestry of primarily Eucalyptus and Pine species. Management and distribution of most wattle forests has deteriorated, with resultant uncontrolled wattle growth and spreading.

Deforestation and degradation of forest and woodland is caused by conversion of land to agriculture, uncontrolled extraction of forest products from communal land and large livestock populations. Little is documented about present use and potential value of indigenous forest.

There are four strategic forestry areas within the forest sector as follows: Industrial forestry, Community forestry, Urban forestry and Natural forest and woodland management. The last is the most underdeveloped sector.

Forest Policy Principles include:

- Forests should be treated as a national asset;
- Access to forest resources should be secured for basic needs and requirements;
- Land and tree tenure should be guaranteed by the Constitution;
- The close link should be recognised between the biodiversity of the forest resources and the Swazi cultural and spiritual needs and rights;
- Community participation, accountability and transparency in admin and management of forests and trees.

There are no regulations and guidelines on cutting of trees and land clearance in the country. Trees are cut for fuelwood, building, craft and medicinal purposes. Natural Resources Act 1951 prohibits anyone from building, planting crops or destroying natural vegetation within 100 feet of a bank of a public stream.

Swazi Administration Order 1998 – provides the Chiefs with administrative control over prohibiting, restricting or regulating the cutting or destruction of trees and also over prohibiting or restricting the sale, supply, use, possession or cultivation of poisonous or noxious plants and the manufacture of noxious drugs or poisons.

Flora Protection Act 2001 prohibits any person from plucking, gathering, cutting, uprooting, injuring, breaking or destroying a plant of any species listed in the Schedule to the Act. It also requires an Environmental Impact Assessment (EIA) to be carried out in respect of any activity that would impact on indigenous flora.

#### **Community Forestry:**

This refers to communal, group and individual participation in the planning, implementation and management of social and economic forestry in the local environment. Community Forestry also deals with the use and management of natural forests and woodlands.

There has been the establishment of community woodlots, specifically designed for the production of fuelwood but the primary use by the community is for timber. It has been suggested that degraded land should be designated for woodlots.

Policy: Community members shall be supported and trained to develop forestry management skills for improving the management and monitoring of woodlots. As a matter of principle, ownership and user rights of trees should be clearly defined with respect to tree tenure as well as land tenure. There is lack of clarity of ownership and user rights of community owned woodlots. Harvesting and other practices related to the use of woodlots by community leaders are often not in the interest of the community. Stakeholders need to organise themselves in Natural Resource Management Committees.

Wattle is considered a very useful tree for fuelwood, pulpwood, mining timber, charcoal and tannin, but is also seen as a threat to biodiversity, as it is an invasive species. Wattle forest is being overexploited at a higher rate than it regenerates. Medium and small holders now almost exclusively control commercially grown wattle, as the large industrial companies are phasing out the growing of wattle. Wattle has invaded ecosystems with resulting negative impacts on the environment.

Agro-forestry refers to mixed land uses where the use of trees, crops and livestock are integrated. The use of trees in mixed systems provides better micro-climatic conditions for crop growth and supplements the soil with additional nutrients from leaves, roots and branches. In terms of Policy, appropriate agro-forestry practices for Swazi farming systems shall be promoted, introduced and further developed, based on national and international research information. The policy also refers to the proper selection of suitable tree and plant species on the basis of community needs for each of the Agro-ecological Zones (AEZ) of Swaziland as an integral part of agro-forestry planning. Specific tree species, with emphasis on indigenous species, should be researched and selected for specific situations, e.g. nitrogen-fixing Acacia species in semi arid areas.

The promotion of agro-forestry should include education and training of communities in agro-forestry concepts and management institutions to be involved in training and research should include relevant government ministries, the University of Swaziland, forestry companies and NGOs.

The Policy also states that communities shall be trained in efficient use of trees in combination with other plant species in the conservation and rehabilitation of all degraded land. All degraded land should be used for forestry purposes. NRMCS need to be organised and trained in community forestry applications to rehabilitate land, especially the technical and management aspects.

Chiefs are officially responsible for the overall management of the communal forest and woodland reserves. Communities must be provided with technical knowledge and empowered to take full responsibility for the sustainable management of their own forest

resources. There is a lack of agreement and definition with respect to ownership and user rights of communal indigenous forests and woodland.

#### **Natural Forests and Woodlands:**

There is evidence that the forest resources of Swaziland are being depleted through export of specific forest products, notably medicinal plants, to neighbouring countries. Management of natural forests and woodlands remains the most important forestry issue in Swaziland. Policy: sustainable forest management systems must be fully developed and introduced to communities and all other stakeholders, based on agreed national criteria and indicators.

The use of fire in Swaziland is recognised as an efficient tool in the management of natural forests and rangelands. Most of the burning that takes place in the natural woodlands intends to improve grazing conditions. However, there is evidence that uncontrolled and random fires result in destruction of natural forest resources and loss of biodiversity.

Policy: Natural resource accounting (NRA) in forestry and promotion of proper valuation of forest resources will be further developed and applied in order to establish the true value of forests.

Traditional leaders manage communal areas and anyone wishing to harvest products from the communal forest requires their permission. The present situation is that often no charge is levied on persons from outside the chiefdom. Current trade in natural forest products is uncontrolled and not sufficiently benefiting communities. A permit system should be introduced, controlled by the community NRMCS.

Policy: the development of small sustainable industries specialising in the processing of natural forest and woodland products shall be encouraged and supported.

The most important 'free' non-timber forest product that is traded with impunity is that of medicinal plants. Fuelwood and woodcraft form other important categories. Other NTFPs include a wide variety of edible animal and plant products, bark and other tree products, grasses, reeds, etc

Policy: a comprehensive species utilisation database of NTFPs needs to be created in conjunction with research into the wide occurrence and potential of NTFPs in Swaziland. In particular, the area of medicinal plants needs to be investigated, with a focus on sustainable management status and commercialisation.

#### **Medicinal Plants:**

Medicinal plants are the most important group of NTFPs, in both the economic and social perspective. Swaziland has a satisfactory documentation of the indigenous traditional medicinal flora.

Policy: medicinal plants must be protected by effective measures, to ensure that extraction and use will be sustainable and primarily aimed at satisfying local needs. Harvesting from communal land should only take place by registered traditional healers and other authorised persons through a licensing system. Limited harvesting for personal and household use should be exempted. Growing of medicinal plants in gardens and nurseries should be promoted.

#### **Woodcraft:**

There is currently an uncontrolled over-exploitation and commercialisation of indigenous plants and tree species for the woodcraft market. Policy: an inventory of indigenous species used for woodcraft should be compiled and a replanting programme of identified natural plant and tree species should be developed.

#### **Fuelwood:**

About 70% of rural households in Swaziland rely on fuelwood. Local shortages exist, notably in the Upper Middleveld and parts of the Lower Middleveld and Lowveld.

#### **Cultural Importance of Forest Resources:**

Some plants and trees are sacred and spiritual revered by all members of the community. Various indigenous plants and tree species are used for medicine, the building of homesteads, cattle kraals, Chief's and Royal kraals, the making of warrior and ceremonial sticks, etc.

Culturally important plants and plant materials are used at certain times of the year for the different annual festivities and ceremonies, when regiments and Chiefdoms are commissioned to cut and deliver plant materials that are required. Certain plant species are now threatened or have become extinct.

Many of the farms and ranches controlled by government are presently under utilised, in particular with respect to the value of their forest resources.

#### **Conservation of the Biodiversity of Natural Forest Resources:**

A general principle of conservation is that the ecological structure, function and dynamics of forests, including water, soil and nutrient cycles, landforms and micro-climate must be protected and maintained. The indigenous biological diversity of forests must be protected and maintained at all spatial scales and through all time frames. Conservation programmes must have a holistic approach, with the full involvement of communities.

All the individual conservation areas of Swaziland are relatively small, namely less than 20,000 ha., and do not adequately cover all of the important habitats to avoid future unwanted changes and fully maintain biodiversity. Swaziland should carefully select an additional six per cent of representative conservation areas.

The identification of flora protection areas as part of the overall protection-worthy areas (PWAs) is an essential step to enhance and consolidate the comprehensive conservation of the biodiversity of the forest and other natural resources of Swaziland. Policy – additional forest and flora protection areas as part of overall PWAs must be defined proclaimed and properly managed.

#### **Protection of Wetlands:**

Swaziland is not a signatory to the 1971 Ramsar convention on Wetlands. Many wetlands have been fragmented, degraded and encroached by other land uses.

**Role of Government:**

Constraints in the organisational structure of the current government forestry institution have a negative impact on management of forests and other natural resources. The need for expansion, upgrading, transfer to another ministry and other institutional matters regarding the forestry are under review. There is a need for a National Forest Action Programme (NFAP).

A wealth of information on forestry and other natural resources is available in Swaziland, not only in the Ministry responsible for forestry but also in other departments and ministries. However, much of this information is not readily accessible, due to the lack of integrated information systems. Local tertiary training institutions not offer any forestry courses.

Acronyms used:

NDS	National Development Strategy (1999)	Top level of policy
NLP	National Land Policy	Next layer of policy to NDS, includes proposal to introduce 99 year leases on SNL
NEP	National Environmental Policy	Next layer of policy to NDS
NFP	National Forestry Policy	
SEA	Swaziland Environmental Authority	Environmental Management Act, 2002
SNL	Swazi Nation Land	
SEAP	Swazi Environment Action Plan (1997)	
BSAP	National Biodiversity Strategy & Action Plan	Swazi biodiversity unusual for country's size
NPDP	National Physical Development Plan	

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## APPENDIX E

### LIST OF ISSUES OF CONTENTION RAISED BY STAKEHOLDERS IN TERMS OF THIS STANDARD

Issue Nr	Issue

End of Standard