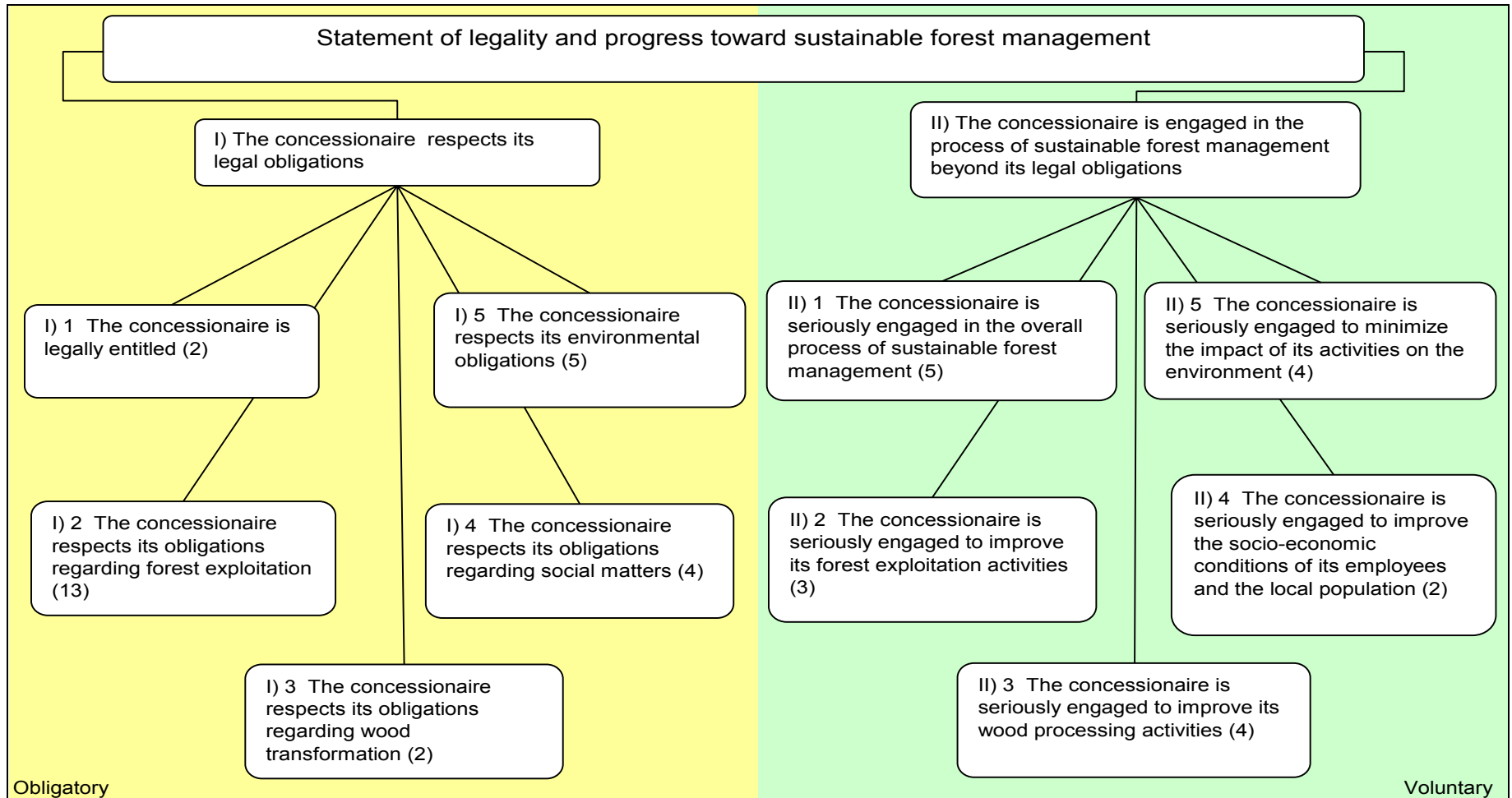


FORCOMS – Indicator Architecture¹



¹ This architecture includes the headings, sub-headings, and indicators – respectively Principles, Criteria, and Indicators if you will.
FORCOMS Indicators - version 05 November, 2004

FORCOMS – Indicators

Reference ²	Reference-Previous ³	Indicator	Category	Means of Verification	Nature and sources of data
I)		The concessionaire ⁴ respects its legal obligations			
I) 1		The concessionaire is legally entitled.			
I) 1.1	1.1	The concessionaire is a legal entity, is approved by the forest profession, and holds a legal forest title.	Legal	Documents	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Legal forest title • Business registration • Taxpayer identification • Company officially registered as bona fide logging company (MINEF) • Legal notice of cancellation of company registration as bona fide logging company (MINEF) • Legal notice of abandonment by company, government cancellation or transfer of forest title to a third party. • All other relevant documents <u>Types of documents to be provided by the Administration</u> <ul style="list-style-type: none"> • Same as above <u>Others</u>
I) 1.2	3.2	The concessionaire follows the regulations and is up to date regarding all the various tax obligations (taxes, royalties, and other fiscal matters).	Legal	Documents	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Various official receipts <u>Types of documents to be provided by the Administration</u> <ul style="list-style-type: none"> • Official receipts • Official request for payment • Notice of rectifications • Etc. <u>Others</u>

² Reflects new architecture presented in Figure 1.

³ Reference used in version of indicators agreed upon at the Douala workshop (March 2, 2004) and presented in the final summary workshop report.

⁴ The concessionaire as used in this document includes the actual concession holder, as well as its employees and subcontractors engaged for all activities related to forest management or exploitation on behalf of the concessionaire.

I) 2		The concessionaire respects its obligations regarding forest exploitation			
		Regarding the provisional and final management agreements			
I) 2.1	1.3	The concessionaire has (i) submitted and/or (ii) signed a provisional management agreement or any other equivalent document.	Legal	Documents	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> (i) Official confirmation of submission of provisional management agreement (ii) Official confirmation of signature of provisional management agreement <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Same as above <p><u>Others</u></p>
I) 2.2	1.3.1	The concessionaire has the capacity, either internally, or through a specialized firm, for the development of its forest management plan following the relevant forest regulations.	Legal	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Employment contract of forest manager • Service contract with a recognized forest management consultant firm <p><u>Types of documents to be provided by the Administration</u></p> <p><u>Others</u></p> <ul style="list-style-type: none"> • Interview with forest manager • Company forest management unit office visit
I) 2.3	1.5	The concessionaire has already begun planning or the data-collection and basic studies required for the drafting of the management plan and submits the results for approval with the relevant government agency, all according to a pre-established timeline.	Legal	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <p>Progress report pertaining to :</p> <ul style="list-style-type: none"> • Sampling Plan (cartography and pre-inventory, including sampling rate) • Management inventory and cartographic report • Socio-economic study • Consultation report on user rights of local population • Wildlife and biodiversity study • Environmental impact study • Technico-economic and industrial development study • Non-timber forest products (NTFP) study <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Land-use plan and maps • Administration's field monitoring reports • Various communications <p><u>Others</u></p> <ul style="list-style-type: none"> • Field visit • Third party information • Interview with local populations

I) 2.4	1.6	The concessionaire has submitted the management plan for approval to the relevant government agency within the prescribed times.	Legal	Documents	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Forest management plan (FMP) • Official confirmation of submission of the FMP by the Administration in charge of forests. <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Forest management plan (FMP) • Official confirmation of submission of the FMP by the Administration in charge of forests. • Notes on FMP review from the Administration in charge of forests. <p><u>Others</u></p>
I) 2.5	1.6.1	The concessionaire has management plan approved by the relevant government agency	Legal	Documents	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Official government confirmation of approval of the FMP <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Official government confirmation of approval of FMP <p><u>Others</u></p>
I) 2.6	new	The concessionaire has a final agreement for forest exploitation of a given area from the relevant government agency	Legal	Documents	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Decree confirming final forest concession agreement <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Decree confirming final forest concession agreement. <p><u>Others</u></p>
		Regarding forest operations in general			
I) 2.7	1.7.2, 1.8	The physical limits of the concession and the annual logging coupes are visible on the ground as required by national standards.	Legal	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Provisional or final forest concession agreement • Request for annual logging coupes including pre-harvesting forest inventory data and maps. • Annual logging coupes certificate with accompanying maps <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Administration's field monitoring reports • Annual logging coupes certificate with accompanying maps <p><u>Others</u></p> <ul style="list-style-type: none"> • Field visit

I) 2.8	1.7, 1.8	The concessionaire exploits only within the approved annual allowable cut areas according to the terms defined in the provisional or final management agreements.	Legal	Documents, Remote sensing, Field check	<p><u>Types of documents to be provided by the concessionaire</u> Review of forest concession agreements:</p> <ul style="list-style-type: none"> • Annual logging coupes certificate with accompanying maps • Monthly production reports • Logging records • Transport docketts <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Administration's field monitoring reports <p><u>Others</u></p> <ul style="list-style-type: none"> • Field visit with GPS control points • Remote sensing
I) 2.9	1.7.1, 1.8	The annual harvested volume from the approved annual allowable cut areas is in accordance with the volumes authorized by the relevant government agency.	Legal	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Logging records • Forest production reports • Annual logging coupes certificate with accompanying maps • Transport docketts <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Administration's field monitoring reports <p><u>Others</u></p> <ul style="list-style-type: none"> • Field visit
I) 2.10	1.9, 1.8	The concessionaire respects the minimum diameter of exploitation for the timber species authorized in the annual allowable cut certificate according to the stipulations of the approved management plan or forest code.	Legal	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Logging records • Transport docketts • FMP (if required) <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Administration's field monitoring reports <p><u>Others</u></p> <ul style="list-style-type: none"> • Third party information • Field visit
I) 2.11	new	The concessionaire exploits only the tree species authorized by the approved annual allowable cut certificate.	Legal	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Logging records • Transport docketts <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Administration's field monitoring reports <p><u>Others</u></p> <ul style="list-style-type: none"> • Third party information • Field visit

I) 2.12	1.10	The concessionaire marks all the harvested logs as well as the stumps in accordance with the regulations.	Legal	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Logging records • Transport docketts • Wood processing plant log input records <u>Types of documents to be provided by the Administration</u> <ul style="list-style-type: none"> • Administration's field monitoring reports <u>Others</u> <ul style="list-style-type: none"> • Third party information • Field visit
I) 2.13	1.14	The concessionaire justifies the abandonment any harvested logs.	Legal	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Logging records • Transport docketts • Forest operations maps <u>Types of documents to be provided by the Administration</u> <ul style="list-style-type: none"> • Administration's field monitoring reports • Official report of abandonment • Other official records <u>Others</u> <ul style="list-style-type: none"> • Third party information • Field visit
I) 3					
I) 3		The concessionaire respects its obligations regarding wood transformation.			
I) 3.1	4.6	The concessionaire respects the national regulations regarding the rate of local transformation of harvested timber.	Legal	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Export statistics • Production statistics • Logging records • Wood processing plant log input records • Finished product records <u>Types of documents to be provided by the Administration</u> <ul style="list-style-type: none"> • Export statistics • Yield studies • Laws and related regulations <u>Others</u> <ul style="list-style-type: none"> • Field and wood processing plant visit

I) 3.2	2	The concessionaire verifies and ensures that the logs purchased on the local market to be transformed in its installations are accompanied by all the necessary documentation to attest their legal origin.	Legal	Documents, Field check	<p><u>Types of documents to be provided by the company</u></p> <ul style="list-style-type: none"> • Copy of forest title(s) and certificates of logging coupes for approved suppliers • Transport docketts • Proof of payment of forestry taxes • All other document that could confirm the legitimacy of external wood sources <p><u>Types of documents to be provided by the Administration</u></p> <p><u>Others</u></p> <ul style="list-style-type: none"> • Field visit • Monitoring of suppliers
I) 4		The concessionaire respects its obligations regarding social matters			
I) 4.1	3.2	All employees of the concessionaire are under contract and are paid and treated in conformity with the national regulations (labor code) and the collective agreements.	Legal	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Internal company rules and policies • Copy of pertinent laws • Employment contracts • Collective agreement <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Reports of government labor inspection bureau • Laws <p><u>Others</u></p> <ul style="list-style-type: none"> • Field visit • Interview with employees
I) 4.2	4.4	The concessionaire makes the necessary efforts to favor the employment and training of the local population (as possible with local capacity).	Legal	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Company documents pertaining to hiring polices and initiatives. • Employment statistics and professional training reports • Socio-economic studies (a component of FMP) <p><u>Types of documents to be provided by the Administration</u></p> <p><u>Others</u></p> <ul style="list-style-type: none"> • Field visit • Interview with employees • Third party information • Interview with local populations

I) 4.3	4.5	The concessionaire respects the agreed upon stipulations (<i>cahier des charges</i>) regarding health, education, and socio-economic development, in particular with respect to local communities.	Legal	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> Contractual obligations Official work completion records <u>Types of documents to be provided by the Administration</u> <ul style="list-style-type: none"> Administration's field monitoring reports <u>Others</u> <ul style="list-style-type: none"> Field visit Third party information Interview with local populations
I) 4.4	4.1	The concessionaire takes into account the recognized local community's user rights in planning the management of forest resources.	Legal	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> Socio-economic studies (a component of FMP) <u>Types of documents to be provided by the Administration</u> <u>Others</u> <ul style="list-style-type: none"> Summary report on meetings with local communities Field visit Third party information Interview with local populations
I) 5		The concessionaire respects its environmental obligations			
		Regarding bushmeat			
I) 5.1	5.1	The concessionaire establishes and enforces internal procedures prohibiting the participation of its employees in poaching, commercial hunting, as well as the transport or the trade of bushmeat or hunting equipment.	Legal	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> Internal company rules and policies List of disciplinary actions imposed and other records application of internal regulations. <u>Types of documents to be provided by the Administration</u> <ul style="list-style-type: none"> Report and follow-up on sanctions imposed by the government <u>Others</u> <ul style="list-style-type: none"> Summary report of extension activities Field visit Third party information Interview with local populations

I) 5.2	5.1	The concessionaire supports initiatives that make available alternative sources of protein at cost to its employees in order to minimize the consumption of bushmeat, for example through company stores or by supporting animal husbandry (fish culture, small animals or livestock husbandry).	Legal	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Internal company rules and policies • Contractual obligations • Project reports • List of purchases • List and status of ongoing operational projects <u>Types of documents to be provided by the Administration</u> <u>Others</u> <ul style="list-style-type: none"> • Field visit • Third party information • Interview with local populations
I) 5.3	5.4	The concessionaire controls access to the forest concession through checkpoints at each road entering the concession.	Legal	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Internal company rules and policies • Official corporate documents • Non-compliance report(s) submitted to the Administration • Forest operations maps <u>Types of documents to be provided by the Administration</u> <u>Others</u> <ul style="list-style-type: none"> • Field visit (barriers and checkpoints)
I) 5.4	5.5	The concessionaire closes the exploitation roads after completion of harvesting activities, with the approval of the proper authorities	Legal	Documents, Remote sensing, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Official corporate documents • Forest operations maps • Photos <u>Types of documents to be provided by the Administration</u> <u>Others</u> <ul style="list-style-type: none"> • Field visit • Remote sensing
		Regarding physical infrastructures			
I) 5.5	5.3	The concessionaire has undergone an environmental impact study of the planned infrastructure and has put into place the identified mitigation efforts.	Legal	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • FMP, • Terms of reference and impact studies • Official work completion records • Forest operations maps • Photos <u>Types of documents to be provided by the Administration</u> <u>Others</u> <ul style="list-style-type: none"> • Field visit

II)		The concessionaire is engaged in the process of sustainable forest management beyond its legal obligations			
II) 1		The concessionaire is seriously engaged in the overall process of sustainable forest management			
II) 1.1	4.3	The concessionaire has a staff training policy aimed at reinforcing its own capacities in sustainable forest management.	Voluntary	Documents	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Official corporate documents • Human resource development plan <u>Types of documents to be provided by the Administration</u> <u>Others</u> <ul style="list-style-type: none"> • Interviews with personnel • Field visit
II) 1.2	6.1	The concessionaire has a permanent forest management unit to carry out and continuously monitor and update the forest management plan.	Voluntary	Documents	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Organizational chart • List of personnel • CV of managers • Long-term service contract with specialized firm(s) • Records of actions undertaken and on internal procedures on sustainable management <u>Types of documents to be provided by the Administration</u> <u>Others</u> <ul style="list-style-type: none"> • Interviews with personnel • Field visit
II) 1.3	1.2, 6.2	The concessionaire collaborates with scientific, technical, commercial, and nongovernmental organizations in order to improve its knowledge and capacities regarding the sustainable forest management of the concession.	Voluntary	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Contracts or MOU for collaboration • Reports and documents of relevant organization <u>Types of documents to be provided by the Administration</u> <u>Others</u> <ul style="list-style-type: none"> • Field visit

II) 1.4	6.3	The concessionaire has taken the steps necessary to be considered for an internationally recognized forest certification system.	Voluntary	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Service contract with an accredited consultant firm • Corporate strategic plan • Audit results • Various communications <u>Types of documents to be provided by the Administration</u> <u>Others</u> <ul style="list-style-type: none"> • Field visit
II) 1.5	new	The concessionaire is certified according to an internationally recognized forest certification system.	Voluntary	Documents	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Service contract with an accredited consultant firm • Audit results <u>Types of documents to be provided by the Administration</u> <u>Others</u>
The concessionaire is seriously engaged to improve its forest exploitation activities					
II) 2					
II) 2.1	1.14	The concessionaire develops and implements policies and practices aimed at minimizing the volume of wood pieces abandoned in log yards and in the forest, all aimed at Reduced Impact Logging.	Voluntary	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Logging records • Transport docketts <u>Types of documents to be provided by the Administration</u> <ul style="list-style-type: none"> • Administration's field monitoring reports <u>Others</u> <ul style="list-style-type: none"> • Field visit
II) 2.2	1.11, 1.12	The concessionaire develops and implements the directional felling techniques aimed at Reduced Impact Logging, including the necessary training of personnel.	Voluntary	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Training plan and reports • Technical studies <u>Types of documents to be provided by the Administration</u> <u>Others</u> <ul style="list-style-type: none"> • Field visit • Interview with personnel

II) 2.3	1.11, 1.12	The concessionaire develops and implements policies and practices aimed at improved planning of forest roads, unloading trails, and the log yards consistent with Reduced Impact Logging techniques.	Voluntary	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Training plan • Technical studies <u>Types of documents to be provided by the Administration</u> <u>Others</u> <ul style="list-style-type: none"> • Field visit • Interview with personnel
II) 3					
The concessionaire is seriously engaged to improve its wood processing activities					
II) 3.1	4.6	The concessionaire surpasses local transformation rates required by the relevant forestry regulations (to favor local employment).	Voluntary	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Production reports • Logging records • Wood processing plant log input records • Finished product records <u>Types of documents to be provided by the Administration</u> <ul style="list-style-type: none"> • Yield studies <u>Others</u> <ul style="list-style-type: none"> • Site visit
II) 3.2	1.13, 4.6	The concessionaire invests in production equipment, the processes and the staff training to improve the yield and local transformation rates.	Voluntary	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Capital investment reports • Production reports (including wood processing yield studies) • Training reports • Logging records • Wood processing plant log input records • Finished product records <u>Types of documents to be provided by the Administration</u> <u>Others</u> <ul style="list-style-type: none"> • Site visit

II) 3.3	new	The concessionaire increases investments in second and third level transformation	Voluntary	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Capital investment reports • Production reports (including wood processing yield studies) • Training reports • Logging records • Wood processing plant log input records • Finished product records <p><u>Types of documents to be provided by the Administration</u></p> <p><u>Others</u></p> <ul style="list-style-type: none"> • Site visit
II) 3.4	new	The concessionaire develops the new products/markets and expands the number of timber species exploited.	Voluntary	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Production and sales reports • Logging records • Wood processing plant log input records • Finished product records <p><u>Types of documents to be provided by the Administration</u></p> <p><u>Others</u></p> <ul style="list-style-type: none"> • Site visit
II) 4		The concessionaire is seriously engaged to improve the socio-economic conditions of its employees and the local population			
II) 4.1	4.2	The concessionaire elaborates and implements consultation processes with the local populations, in collaboration with the relevant government agency and NGOs.	Voluntary	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Summary of meetings, MOUs, agreements, etc. <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Same as above <p><u>Others</u></p> <ul style="list-style-type: none"> • Field visit • Third party information • Interview with local populations
II) 4.2	4.5	The concessionaire establishes medical and socio-economic infrastructures beyond the obligations described in the agreed upon stipulations (<i>cahier des charges</i>).	Voluntary	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Summary of meetings, MOUs, agreements, etc. • Official work completion records <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Summary of meetings, MOUs, agreements, etc. <p><u>Others</u></p> <ul style="list-style-type: none"> • Field visit • Third party information • Interview with local populations

II) 5		The concessionaire is seriously engaged to minimize the impact of its activities on the environment			
		Regarding bushmeat			
II) 5.1	5.2	The concessionaire participates in the development and contributes financially and materially to the implementation of a wildlife management plan, in collaboration with the relevant government agency, local communities, and NGOs.	Voluntary	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Wildlife management plan • Internal rules and policies • Summary of meetings, MOUs, agreements, etc • Official work completion records • Project and activity report <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Wildlife management plan • Summary of meetings, MOUs, agreements, etc <p><u>Others</u></p> <ul style="list-style-type: none"> • Field visit • Third party information • Interview with local populations
II.5.2	5.1	The concessionaire supports the creation and development of a system of monitoring and control of hunting activities within the concession (for example through a brigade of Eco-guards at road checkpoints along and in the concession), in collaboration with the relevant government agency, local communities, and NGOs.	Voluntary	Documents, Field check	<p><u>Types of documents to be provided by the concessionaire</u></p> <ul style="list-style-type: none"> • Wildlife management plan • Employment contracts • Monitoring reports • Report on sanctions imposed <p><u>Types of documents to be provided by the Administration</u></p> <ul style="list-style-type: none"> • Administration's field monitoring reports • Report on imposed sanctions <p><u>Others</u></p> <ul style="list-style-type: none"> • Field visit • Third party information • Interview with local populations

		Regarding ecologically important sites			
II) 5.3	5.3	The concessionaire has identified and carried out an inventory including maps of ecologically important sites.	Voluntary	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • FMP • Ecologically important sites inventory report • Land-use and infrastructure map <u>Types of documents to be provided by the Administration</u> <u>Others</u> <ul style="list-style-type: none"> • Field visit
II) 5.4	5.3	The concessionaire elaborates and implements an action plan aimed at the protection of ecologically important sites, in collaboration with the relevant government agency, local communities, and NGOs.	Voluntary	Documents, Field check	<u>Types of documents to be provided by the concessionaire</u> <ul style="list-style-type: none"> • Ecologically important sites protection action plan • FMP • Land-use and infrastructure map <u>Types of documents to be provided by the Administration</u> <u>Others</u> <ul style="list-style-type: none"> • Field visit