

FSC National Risk Assessment

For Austria

DEVELOPED ACCORDING TO PROCEDURE FSC-PRO-60-002 V3-0

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International contact	Name: Ulrich Malessa Email address: info@fsc-deutschland.de
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Body responsible for NRA maintenance	FSC Germany – Verein für verantwortungsvolle Waldwirtschaft e.V.

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Risk designations in finalized risk assessments for Austria

Indicator	Risk designation (including functional scale when relevant)
Controlled wood category 1: Illegally harvested wood	
1.1	Low Risk
1.2	Not applicable in Austria, therefore not assessed
1.3	Low Risk
1.4	Low Risk
1.5	Not applicable in Austria, therefore not assessed
1.6	Low Risk
1.7	Low Risk
1.8	Low Risk
1.9	Low Risk
1.10	Low Risk
1.11	Low Risk
1.12	Low Risk
1.13	Low Risk
1.14	Not applicable in Austria, therefore not assessed
1.15	Not applicable in Austria, therefore not assessed
1.16	Low Risk
1.17	Low Risk
1.18	Low Risk
1.19	Low Risk
1.20	Low Risk
1.21	Low Risk
Controlled wood category 2: Wood harvested in violation of traditional and human rights	
2.1	Low Risk
2.2	Low Risk
2.3	Low Risk
Controlled wood category 3: Wood from forests where high conservation values are threatened by management activities	
3.0	Low Risk
3.1	Low Risk
3.2	Low Risk
3.3	Low Risk
3.4	Low Risk
3.5	Low Risk
3.6	Low Risk
Controlled wood category 4: Wood from forests being converted to plantations or non-forest use	
4.1	Low risk
Controlled wood category 5: Wood from forests in which genetically modified trees are planted	
5.1	Low Risk

Background information

What do we mean by FSC Controlled Wood?

The FSC Mix label enables the trading of products that contain not only FSC- certified material, but also material sourced from non-certified forests. These non-certified materials must, however, fulfil certain minimum requirements and are referenced as FSC Controlled Wood. FSC Controlled Wood guarantees a minimum code of conduct to exclude non-compliant forestry practices from products holding the FSC Mix label. The five listed unacceptable practices are:

- Illegally harvested wood
- Wood harvested in violation of traditional and human rights
- Wood from forests where high conservation values are threatened by management activities
- Wood from forests being converted to plantations or non-forest use
- Wood from forests in which genetically modified trees are planted

The objective of Controlled Wood is hence to facilitate the production of FSC Mix products while simultaneously securing a minimum code for non-certified product components. Labelling of products (e.g., by means of a separate symbol) is not possible!

Why is the risk assessment necessary?

Enterprises striving to declare FSC Controlled Wood material for incorporation in FSC Mix products must:

- Verify/prove the source of the wood
- Assess the risk of non-acceptable sources
- Evaluate the supply chain and adopt measures to avoid risk, where identified

So far, enterprises using non-certified wood could develop an internal system for risk assessment (enterprise-based risk assessment). With the revision of the FSC Controlled System this will no longer be possible. FSC is working on national risk assessments to which enterprises can refer. This risk analysis process is implemented for Austria by means of this document. It specifies in an assessment and evaluation how it ensure that forest management does not violate high conservation values or human rights, and how a proper degree of recognition in the risk assessment can be secured.

The risk analysis has been conducted with support of a working group comprising of representatives of economic, environmental, and social stakeholder groups from Austria. The risk assessment covers an analysis of the individual risk levels for each category and indicator, and the corresponding implications:

- If 'low risk' could be determined for a particular region (state), no further verification for controlled wood is required from this region. Wood from the region can be added as controlled wood for processing FSC Mix products.
- If 'specified risk' was determined, the supply chain must be assessed with respect to this risk and control measures must be implemented.
- If 'unassessed risk' was determined, the supply chain must be generally assessed and control measures must be implemented.

Proceeding in a participatory process

In order to globally accelerate the process, FSC has undertaken a centralised national risk assessment for certain low-conflicting categories. This task was carried out by experts. Expert results (provided centrally by FSC International) are available for Category 1 on illegally harvested wood, Category 2 on wood harvested from areas where violations of traditional and human rights occur, and Category 5 on wood from forests with genetically modified trees. These categories have been adopted in this document without alteration. An expert commissioned for Austria has elaborated the basis for the assessment of Category 3 (High Conservation Values) and Category 4 (Forest Conversion). The evaluation is provided for each indicator.

Timeline for the approval of the Austrian FSC risk assessment

Activity	Expected date (Month, Yr)
Start of the process	06/2015
CNRA results on cat 1, 2, 4 and 5 provided	10/2015
Establishment of technical project group	15/10/2016
First draft development (including revision of CNRA outcomes and first WG meeting)	12/2016
1. Meeting of WG in Vienna	19.01.2017
Inclusion of technical project group comments on Draft 1	17.03.2017
2. Meeting of technical project group in Vienna	05.04.2017
First draft submission to PSU	May 2017
Tentative revision of draft and consultation with technical project group, submission to PSU for examination	June 2017
Public consultation on 1 st draft ¹	July/August 2017
Feedback analysis	September 2017
Stakeholders meeting (optional)	September/October 2017
Second draft development and consultation (optional)	September/October 2017
Final draft development	October/November 2017
Approval of final draft by WG	November 2017

¹ PSU approval for draft contents is required prior to consultation

Activity	Expected date (Month, Yr)
Final draft submission to PSU	January 2018
Implementation of required amendments (if any)	February 2018
Expected approval of the NRA and publication by PSU	March 2018

List of members of the Austrian Technical Working Group (Contact details to be deleted for public consultation):

Titel/Function Name	Membership Chamber	Qualifications	Contact details
Dipl.-Ing. Andreas Freistetter	Social	<ul style="list-style-type: none"> - Chairman of the Austrian Chamber for Rural Workers - Chairman of the Workers Council at the Austrian State Forest Enterprise - Chairman of the Section Forestry in the Workers Council for Public Services 	Österreichischer Landarbeiterkammertag 1015 Wien, Marco d'Avianogasse 1 Tel: 01/512 23 31 oelakt@landarbeiterkammer.at
Chairman of the Central Worker's Council of Österreichische Bundesforsten Ing. Lukas Stepanek	Social	<ul style="list-style-type: none"> - Higher Federal Institute of Forest Sciences - Working experience as director of operations for timber harvesting and forest road construction for the Austrian Bundesforste AG - Chief forest officer since 2002 - Committeeman since 1998 - Chairman of the Central Worker's Council & member of the supervisory board at the Austrian Bundesforste AG 	Verband der Österreichischen Förster c/o Österreichischer Staatsförsterverein; 2763 Muggendorf, Hahngasse 16 Ruf: 0676/82094001; lukas.stepanek@bundesforste.a
Dipl.-Ing. Gregor Grill	Social	<ul style="list-style-type: none"> - Studied Forest Sciences - Holder of the upper grade of civil service in the forestry sector - Work experience includes work in the field of Bioenergy for the Austrian Biomass Association & Chamber of Agriculture - Executive director of proHolz Salzburg, an association for promoting the use of timber 	Österreichischen Forstakademiker Verband 1030 Wien, Marxergasse 2 – Zi. 402 gregor.grill@lk-salzburg.at

Titel/Function Name	Membership Chamber	Qualifications	Contact details
Dipl.-Ing. Gerald Plattner	Environment	<ul style="list-style-type: none"> - Studied Forest Sciences - Federal Environmental Abstractor of the Naturfreunde - Head of Natural Area Planning and Nature Conservation 	Naturfreunde Bundesorganisation Viktoriagasse 6, 1150 Wien Tel.: 01/892 35 34-0 gerald.plattner@naturfreunde.at
Mag.a Karin Enzenhofer	Environment	<ul style="list-style-type: none"> - Studied Vegetation Ecology and Conservation Biology - Focus on hemeroby of forests - Area of work at WWF Austria: Nature conservation in forests & protection of alpine landscapes - Participant of the Austrian Forest Dialogue & Alpine Convention (EUSALP group Mountain Forests) 	WWF Österreich Ottakringer Straße 114 - 116, A-1160 Wien Tel: +43 1 488 17 – 0 karin.enzenhofer@wwf.at
University Professor Dr. Walter Hödl	Environment	<ul style="list-style-type: none"> - PhD, Assoc. Prof. at the Department of Evolutionary Biology, University of Vienna - Research Topics are population biology, nature conservation, behavioural ecology, tropical biology - President of the Austrian Herpetological Society - President of the Lower Austrian Nature Conservation Society; - Member of the Scientific Committee of the WWF Austria & Nationalpark Donauauen 	Naturschutzbundes Österreich Museumsplatz 2 5020 Salzburg Tel +43 662 642909-12 birgit.mair-markart@naturschutzbund.at (preliminary mail address)
Dipl.-Ing. Wolfgang Schopfhauser	Economy	<ul style="list-style-type: none"> - Head of Division for Renewable Energy and Environmental Strategies 	PAPIERHOLZ AUSTRIA GMBH Frantschach 5 9413 St. Gertraud - Austria Tel.: +43 4352 2050-671 w.schopfhauser@papierholz-austria.at
Managing Director, Forest Director Dipl.-Ing. Dr. Kurt Ramskogler	Economy	<ul style="list-style-type: none"> - Studied Forest Sciences - Graduation in Ecology of Slopes - Generally sworn, court-certified expert for forestry, nature conservation, environmental protection etc. - Holder of the upper grade of civil service in the forestry sector - Chief forest officer for many years 	Land & Forstbetriebe Österreich c/o LIECO 1010 Wien, Schauflegasse 6/5. Stock T +43-(0)1-533 02 27-12 F +43-(0)1-533 21 04 ramskogler@sfl.at

Titel/Function Name	Membership Chamber	Qualifications	Contact details
		<ul style="list-style-type: none"> - Executive director - Work experiences in nature conservation in skiing areas, working group for mountain forests, PEFC, studies for tree proveniences 	
Head of Division Forestry and Timber Industry, Energy Dipl.-Ing. Martin Höbarth	Economy	<ul style="list-style-type: none"> - Studied Forest Sciences - Holder of the upper grade of civil service in the forestry sector - Department leader Forestry, Energy; Chamber of Agriculture, Austria - Working experience in developing the PEFC system in Austria, Austrian Forest Strategy & Biodiversity Strategy 2020+; Strategy for Adaption to Climate Change, Strategy for Riparian Forests in Austria 2020+, Austrian Forest Ecology Programm 	Landwirtschaftskammer Österreich Schauflergasse 6, 1015 Wien Tel. +43 1 53441 8590 m.hoebarth@lk-oe.at

The Technical Project Group is chamber-balanced and consists of forestry and nature protection experts. The results of the NRA Working Group and specific issues will be published for stakeholder consultation. The voting system will be 3-3-3.

Structure of the document

The document consists of five sections, one for each category of Controlled Wood. The contents for categories 1, 2 and 5 have been adopted from the approved CNRA results without alterations. For indicator 2.3 in category 2 an expert survey has been conducted. For category 3 on high conservation values and category 4 on forest conversion an expert was contracted to prepare an assessment to be discussed by the TWG. The TWG and the responsible body formulated its own content for category 3 on high conservation values (HCV) and category 4 on forest conversion.

Evaluation and control measures

The system employed by FSC requires that control measures shall be implemented for any category not designated 'low risk'. For categories with specified risk, respective control measures have to be formulated.

Applied procedures and framework

In order to ensure an international comparability of the country-specific risk assessments, FSC has developed guidelines for its elaboration and implementation.

Designation	Relevance for risk assessment in Austria	Reference and version
FSC PROCEDURE: The development and approval of FSC® national risk assessments	Requirements of and methods for a national risk assessment Normative and therefore binding	FSC-PRO-60-002 V3-0 EN
FSC national risk assessment framework	Contains the process steps for the risk assessment Normative and therefore binding for the working group	FSC-PRO-60-002 ^a V1-0 EN
FSC Standard: Requirements for sourcing FSC controlled wood	Describes the requirements of a system of due diligence for certified organisations in the FSC product chain so as to avoid the use of material from unacceptable sources and to declare material as FSC controlled wood Material from unacceptable sources may not be used for FSC mix products	FSC-STD-40-005 V3-0 DEU
Centralised national risk assessment for Austria – preliminary results	Results of the expert evaluation for Austria for categories 1, 2 and 5	Approved CNRA (Cat 1,2, and 5)

List of abbreviations

Abkürzung	Begriff
BFW	Bundesamt für Wald, Federal Agency for Forests
BGBI	Bundesgesetzblatt, official gazette
BMLFUW	Bundesministerium für Land- und Forstwirtschaft, Umwelt und Wasserwirtschaft, Federal Ministry for Agriculture and Forestry, Environment and Water Management
CBD	Convention on Biological Diversity = Übereinkommen über biologische Vielfalt
CBD	Convention on Biological Diversity
CEACR	Committee of Experts on the Application of Conventions and Recommendations
CMR	Convention on the Contract for the International Carriage of Goods by Road
CNRA	Centralised National Risk Assessment = Zentralisierte Risikobewertung

Abkürzung	Begriff
CNRA	Centralized National Risk Assment
CPI	Corruption Perception Index
CWRA	Controlled Wood Risk Assessment = Risikobewertung für Controlled Wood
ENGO	Environmental Non-Governmental Organisation
EU	European Union
EUSALP	EU Strategy for the Alpine Region
FDP	Forest Department Plan
FFH	Flora-Fauna-Habitat-Richtlinie, Habitats-Directive
FFH-Richtlinie	Flora-Fauna-Habitatrichtlinie
FG	Austrian forest law
FP	Forest Plan
FPIC	Free Prior Informed Consent
GCR	Global Corruption Report
GMO	Genetically Modified Organisms
HCV	High Conservation Value = besonderer Schutzwert
HCV	High Conservation Value
HCVRN	High Conservation Value Research Network
IFL	Intact Forest Landscapes = Intakte Waldlandschaften
ILO	International Labour Organisation
IP	Indigenous people
IRU	International Road Transport Union
MU	Betriebseinheit
n/a	not applicable = nicht zutreffend
NCTS	New Computerized Transit System
NRA	National Risk Assessment = Nationale Risikobewertung
ÖBf	Österreichische Bundesforsten, Austrian Federal Forests

Abkürzung	Begriff
OECD	Organisation for Economic Co-operation and Development
ÖGB	Österreichischer Gewerkschaftsbund, Austrian Federation of Trade Unions
OHCHR	Office of the United Nations High Commissioner for Human Rights
ÖWAD	Österreichischer Walddialog, Austrian Forest Dialogue
ÖWI	Österreichische Waldinventur, Austrian Forest Inventory
TIR	Transports Internationaux Routiers
TP	Traditional people

List of experts involved in the risk assessment and their contact details

The members of the working group are fulfilling the required qualifications for experts as mentioned in Annex A in FSC-PRO-60-002a. The following experts have contributed to the elaboration of the risk assessment:

CW Category	Name	Qualification	Contact details
1 and 2	Dipl.-Ing. Andreas Freistetter	See above	Österreichischer Landarbeiterkammertag 1015 Wien, Marco d'Avianogasse 1 Tel: +43 1 512 23 31 oelakt@landarbeiterkammer.at
1 and 2	Ing. Lukas Stepanek	See above	Verband der Österreichischen Förster c/o Österreichischer Staatsförsterverein; 2763 Muggendorf, Hahngasse 16 Tel.: +43 676 82094001; lukas.stepanek@bundesforste.at
1,2,4,5	Dipl.-Ing. Gregor Grill	See above	Österreichischen Forstakademiker Verband 1030 Wien, Marxergasse 2 – Zi. 402 gregor.grill@lk-salzburg.at
3 and 4	Dipl.-Ing. Dr. Bernhard Wolfslehner	Senior Forestry Expert	Universität für Bodenkultur Wien, Feistmantelstr. 4, 1180 Wien Tel.: +43 1 47654 73223 bernhard.wolfslehner@boku.ac.at
3,4,5	Dipl.-Ing. Gerald Plattner	See above	Naturfreunde Bundesorganisation Viktoriagasse 6, 1150 Wien Tel.: 01/892 35 34 0 gerald.plattner@naturfreunde.at
3,4	Mag.a Karin Enzenhofer	See above	WWF Österreich Ottakringer Straße 114 116, A 1160 Wien Tel: +43 1 488 17 – 0 karin.enzenhofer@wwf.at
3,4,5	Prof. Dr. Walter Hödl	See above	Naturschutzbundes Österreich Museumsplatz 2 5020 Salzburg Tel +43 662 642909 12 birgit.mair markart@naturschutzbund.at
1,4,5	Dipl.-Ing. Wolfgang Schopfhauser	See above	PAPIERHOLZ AUSTRIA GMBH Frantschach 5 9413 St. Gertraud Austria Tel: +43 4352 2050 671 w.schopfhauser@papierholz austria.at
1,2,3,5	Dipl.-Ing. Dr. Kurt Ramskogler	See above	Land & Forstbetriebe Österreich c/o LIECO 1010 Wien, Schauflegasse 6/5. Stock T +43 (0)1 533 02 27 12 F +43 (0)1 533 21 04 ramskogler@sfl.at
1,2,3	Dipl.-Ing. Martin Höbarth	See above	Landwirtschaftskammer Österreich Schauflegasse 6, 1015 Wien Tel. +43 1 53441 8590 m.hoebarth@lk-oe.at

National Risk Assessment maintenance

The responsible body (in accordance with section 2 of FSC-PRO-60-002 V3-0) is

FSC Germany – Verein für verantwortungsvolle Waldwirtschaft e.V.
Merzhauserstr. 183
79100 Freiburg
info@fsc-deutschland.de

The responsible body for maintenance of the NRA will be FSC Germany. Revisions and/or updates of the NRA will be implemented according to needs and at least once in five years. Each updated or revised version will be sent to FSC for approval (with relevant justifications). The revision process will be conducted in accordance with the requirements of FSC-PRO-60-002 V3-0 (or updated version of that document valid by the time of the review).

Complaints and disputes regarding the approved National Risk Assessment

In case of complaints stakeholders can contact the responsible body. The responsible body will handle the complaint in accordance with section 12 of FSC-PRO-60-002 V3-0 as follows:

- Acknowledgment of complaints within two (2) weeks of receipt of a complaint;
- The responsible body will investigate the complaint that meets the conditions (see below) after date of acknowledgement over a period of six (6) weeks;
- Conditions under which a complaint shall proceed according to FSC-PRO-01-008 Processing formal complaints in the FSC certification scheme:
 - contain the name and contact information of the complainant and be signed by the legal representative of the Complainant or by the individual in question if the complaint is not filed by an organization; FSC Germany will consider requests by Complainants who wish to remain anonymous to the Parties to the complaint and shall protect their privacy and identity to the maximum extent possible, while recognizing that the identity of the Complainant might be obvious depending on the circumstances;
 - be written in German or English, other languages will not be accepted;
 - list the issues that the complaint addresses in relation to this document, in specific a reference (page, section No. or other) should be stated, specify the events and specific details that lead to the complaint;
 - contain evidence to support each element or aspect of the complaint;
 - indicate whether and in what form the issues have been raised with the Defendant prior to lodging the complaint and what response was provided;
 - contain an agreement to share the complaint with the Defendant and other Parties to the Complaint;
 - contain an agreement to adhere to the terms and provisions of this procedure.
- The responsible body will manage a complaint registry, including recording and filing of all complaints received, actions taken and results of complaint evaluations;

- Latest after 10 days the complainant receives an initial response and acknowledgment of receipt;
- By latest 30 days after acknowledgement of the complaint the responsible body will inform the complainant about the status of the complaint and quick solution that might be possible;
- By latest 60 days the responsible body must provide a conclusion of all complaints and inform complainants about the actions taken or the rejection including justification.

In the case of a revised NRA, a summary of the performance or any existing complaint mechanisms shall be included.

List of key stakeholders for consultation

During the planned public consultation, the following stakeholders will be contacted through the indicated means.

Stakeholder Group	Mailing list of the Austrian Forest Dialogue	General communication such as Newsletter and website
Economic interests		
Forest owners and/or managers of large, medium and small forests; high-, medium- and low-intensity managed forests;	x	x
Forest contractors (including loggers);		x
Representatives of forest workers and forest industries;	x	x
Certificate holders;		x
Social interests		
NGOs involved or with an interest in social aspects of forest management and other related operations;	x	x
Forest workers;	x	
International, national and local trade/labor unions;		x
Representatives of local communities involved or with an interest in forest management, including those relevant for HCVs 5 and 6;	x	x
Representatives of indigenous peoples and/or traditional peoples (if present and/or holding rights), including those relevant for HCVs 5 and 6;	n/a	n/a
Representatives of recreation interests.	x	x

Stakeholder Group	Mailing list of the Austrian Forest Dialogue	General communication such as Newsletter and website
Environmental interests		
NGOs involved or with an interest in the environmental aspects of forest management. Consultation should target the following areas of interest and expertise: Biological diversity, Water and soil, Environmental-related High Conservation Values	x	x
FSC-accredited certification bodies active in the country;		x
National and state forest agencies;	x	x
Experts with expertise in Controlled Wood categories;		x
Research institutions and universities;	x	x
FSC Regional Offices, FSC Network Partners, registered Standard Development Groups and NRA Working Groups in the region2.	Will be contacted through FSC internal mail-list.	

Risk assessments

The content of the risk assessment for Category 1 was included from the CNRA for Austria without any adaptation or alteration by the Technical Project Group, as it has already been approved by FSC International on the 17th of December 2015.

Controlled wood category 1: Illegally harvested wood

Overview

Austria's forests cover 47% or 3.96 million hectares of the whole country. 54% are in possession of private land owners <200 ha, 31% owned by companies> 200 ha and 15% are in possession of the Austrian State Forest. 85% of the 3.96 million hectares of forest are in yield (production forest and protection forest) Of these, 74% coniferous forest. The services of the forest as a habitat are varied.

The general functions of Austrian forests (according to the Forest Development Plan) spread in% on: economic function 64.55%, 30.73% protective function, beneficial functions 3.61% and the recreational function with 1.11%

Austria's forests are characterized by a high proportion of coniferous trees. According to the Austrian Forest Inventory 2000/2002 (ÖWI 2002/2002) currently conifers are growing on 2,255,000 ha, representing a share of 66.8%. The proportion of Broad-leaved trees is 23.9% or 802,000 ha. The remaining 9.3% of the productive forest area consist of pelts, gaps and shrubs. The forest area proportions are (in percent) after mixing types: Coniferous trees 62%, thereof spruce pure of 41%, Coniferous trees and Broad-leaved trees mixed 15%, Broad-leaved trees and Coniferous trees mixed 11% and Broad-leaved trees pure 12%. Austria's forest policy pursues the principle of near-natural forest management. The 2008 Forest Report documents the sustainability of Austrian forestry in an impressive way. A 47.6 percent share of forests, 1.1 billion cubic meters of standing wood, rather natural forests, a forest sector which shows a positive balance in spite of difficult framework conditions, a very competitive, export-oriented timber industry as well as a dynamic wood energy sector testify the success story of Austria's forestry and wood-based industry. The Forest Act 1975 is the main source of law of the forest law. The Forest Act is carried out in the framework of indirect federal administration, thus by the provincial governor and the district administrations. The goal of the Forest Act 1975 is the preservation of the forest and the forest floor and ensuring the effects of forests and sustainable forest management. The Forest land use planning is defined in the Forest Act 1975. The instruments of forest land use planning are the Forest Plan, the Forest Development Plan and the Hazard Zone Plan.

The Forest Development Plan (FDP) presents and describes the whole area of Austria's forests and is currently the most important tool for assessing the forest functions in the public interest. Pursuant to the provisions of the Austrian Forest Act, the forest functions as defined in Section II are demarcated as 'function areas' on the basis of expert opinions provided by the provincial forest services. The function areas are then entered into working maps. The Hazard Zone Plan presents the total sum of all hazards due to torrents and avalanches in terms of intensity and extent in word and figures. It constitutes the basis for measures to be taken in torrent and avalanche control. Whereas the two other plans are established by the authorities, the Forest Plan as a third instrument of forest land-use planning is prepared at the initiative of the forest manager. The governor represented by forest district offices or forest provincial authorities reviewed the Forest Plan (FP).

The Austrian Forestry is not a separate part of the Acquis Communautaire, but individual aspects of relevance to forests are addressed. These topics are addressed by a number of Community policies of the EU, in particular by the EU environmental policy, the Common Agricultural Policy, the EU trade policy, the EU energy policy, etc. Measures of relevance to forestry are taken in particular within the framework of the rural development policy. In 1989 the Standing Forestry Committee was set up as a consultative committee for the European Commission. The strategy emphasizes the implementation of international obligations, principles and recommendations concerning national or regional forest programmes and underlines the

necessity of improving communication and cooperation in all fields of policy of relevance to the forest sector. The EU Forest Action Plan is to provide a concrete frame for the implementation of the EU Forest Strategy.

The Management goals vary in different categories of ownership. Larger forest properties are managed primarily for timber production. They have well-trained personnel, detailed management plans and special harvesting equipment. For farmers, market-related considerations in forest management are of minor importance. The market value of their forest has to be seen in connection with the farm and in a subsistence economy. They use wood for fuel and timber for construction, and grazing is still potentially important in certain regions. It is typical of farmers to regard the forest as a reserve for unexpected or extraordinary expenses. Public ownership in Austria is characterized by the market-oriented goal of wood production.

There are three levels of forest administration in Austria.

1. Ministry of Agriculture and Forestry has jurisdiction over forest-related matters.
2. In the provinces the governor (Landeshauptmann) is the competent forest authority.

The governor acts as general authority deciding not only on forest matters but also on other subjects like hunting, nature protection or trade and industry.

3. A separate forestry department (Landesforstdirektion) assists the provincial governor in forest-professional questions.

The list of sources provided in FSC-PRO-60-002a, section 3.3.3 has been reviewed in regards to the national legality risk assessment for Finland. The following sources have been used: World Bank "Worldwide Governance Indicators" and the Transparency International "Corruption Perceptions Index" to evaluate the law enforcement below. The remaining sources were found not to be relevant for the legality risk assessment for Austria.

Austria has a CPI (Corruption Perception Index) of 72, which is above FSC's threshold for low risk. There are no indications of corruption within the Austrian forest sector or significant inefficiencies within the relevant supervising authorities. On a scale of -2.5 to +2.5 Austria scores 1.83 for Rule of Law and 1.51 for Control of Corruption under the World Bank Worldwide Governance Indicators. These conditions together with statistics and other information from Austrian supervising

Sources of legal timber in Austria

Forest classification type		Permit/license type	Main license requirements (forest management plan, harvest plan or similar?)	Clarification
1	Energy wood (farm land)	Permit for conversion from agriculture to energy wood production		Reviewed by governor
2	Clear cutting and single cutting	Harvesting permit		Reviewed by governor
3	Protected areas	Harvesting permit		Has to be reforested with the wood species already growing in the area

Risk assessment

Indicator	Applicable laws and regulations, legal Authority, & legally required documents or records	Sources of Information	Risk designation and determination
Legal rights to harvest			
<p>1.1 Land tenure and management rights</p>	<p>Applicable laws and regulations</p> <p>Ministry of Agriculture, Forestry, Environment and Water Management. Ministry of Finance</p> <p>There are three levels of forest administration in Austria.</p> <ol style="list-style-type: none"> 1. Ministry of Agriculture and Forestry has jurisdiction over forest-related matters. 2. In the provinces the governor (Landeshauptmann) is the competent forest authority. The governor acts as general authority deciding not only on forest matters but also on other subjects like hunting, nature protection or trade and industry. 3. A separate forestry department (Landesforstdirektion) assists the provincial governor in forest-professional questions. <p>Legally required documents or records</p> <p>Certificate of Land registry (Can be obtained on-line from website or request from court)</p> <p>Website for land register certificate: www.grundbuchauszug-online.at</p>	<p>Sustainability Balanced Scorecard of Austrian federal Forests (Facts & Figures): http://www.bundesforste.at/fileadmin/bundesforste/Zahlen_Fakten/NHB-2013_Zahlenteil_en_FINAL-1.pdf</p> <p>Overview and description of land registry: https://www.help.gv.at/Portal.Node/hlpd/public/content/60/Seite.600100.html#Datenbank</p> <p>Website for land register certificate www.grundbuchauszug-online.at</p> <p>World Banks Worldwide Governance Indicator http://info.worldbank.org/governance/wgi/index.aspx#reports</p>	<p>Low risk</p> <p>54% of Austria's forests are owned by farms (<200 ha), 31% are owned by companies (>200 ha), and 15% are owned by the Austrian state forests and the Church. Austria has a high share of forests on private hands. The ownership patterns in Austria are well implemented, and the ownership and rights are registered in the land register, where information of type of use, area size, address, customary rights, etc. can be found.</p> <p>The land register is a public register under the responsibility of the district court, where properties and existing rights are registered. Every purchase of a property is registered in the land register, which is managed by the Ministry of Justice. To be registered in the land registry, the ownership and tax registration will be verified by the authorities. Insight into the land registry can be given through court or by direct request through the website of land register certificate (http://www.grundbuchauszug-online.at/) for a small fee.</p> <p>There is no major reporting of logging out of bounds. Austrian forest owners can be held accountable for felling timber near the boundary line of another forest owner's if this affects windshields, etc. Thus logging along borders and out of bound is well-regulated.</p> <p>Law enforcement in Austria is considered strong, and as the land management and tenure rights are well established and regulated, the risk is considered low.</p>
<p>1.2 Concession licenses</p>	<p>Applicable laws and regulations</p> <p>Not applicable There is no concession forestry in Austria and no legislation covering forest concessions.</p>	<p>N/A</p>	<p>N/A</p>

Indicator	Applicable laws and regulations, legal Authority, & legally required documents or records	Sources of Information	Risk designation and determination
	<p>Legal Authority</p> <p>N/A</p> <p>Legally required documents or records</p> <p>N/A</p>		
1.3 Management and harvesting planning	<p>Applicable laws and regulations</p> <p>Austrian Federal Forest Act 1975, idF. BGBl. I Nr. 440/1975 https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10010371 Section II, § 6 forest land-use planning §8 forest land-use planning §10 Forestry Plans</p> <p>Legal Authority</p> <p>Regional government authority District authority</p> <p>Legally required documents or records</p> <p>Degree of Forest development Plan (Verordnung für Waldentwicklungsplan, Fassung 14.09.2014)</p>	<p>Austrian Federal Forest Act 1975, idF. BGBl. I Nr. 440/1975 https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10010371</p> <p>Austrian Forest Report 2008 http://www.bmlfuv.gv.at/publikationen/forst/waldbericht/nachhaltige_waldwirtschaft_in_oesterreich-oesterreichischer_waldbericht_2008.html</p>	<p>Low risk</p> <p>The creation of a forest management plan is voluntary, but if a forest manager wishes to create a forest management plan, this will be regulated through the Forest Act with specifications of requirements and contents.</p> <p>Generally, forests of over 0.5 ha and the state forests create forest management plans. The small forest enterprises are supported by the Chamber of Agriculture in planning. Under the Austrian Forest Act it is required that all forests of over 0.5 ha have qualified personnel connected. All forests of over 0.5 ha therefore have forest ranger with the competence of developing management plans employed.</p> <p>The Austrian forests are inventoried by the Austrian Forest Inventory. The large-scale inventory aims at providing information on the raw material of wood and the status of and changes in the forest ecosystem. The results of the forest inventory are used as a tool for decision-making in forest and environmental policy.</p> <p>A management plan for felling and management is not mandatory, and no issues in connection with contents of the management plans occur. This category is therefore considered low risk.</p>
1.4 Harvesting permits	<p>Applicable laws and regulations</p> <p>Austrian Federal Forest Act 1975, idF. BGBl. I Nr. 440/1975 §17 (1-6) Forest clearance (Rodung) §17a Registration obligation of forest clearance §18 Allowance of Forest clearance §21-§25 protection forest §80 Protection of unfillable wood</p>	<p>Report on grubbing decree (Rodungserlass): http://www.bmlfuv.gv.at/forst/oesterreich-wald/Forstrecht/Forstgesetz.html, Document "Rodungserlass" is in the</p>	<p>Low risk</p> <p>Clear-felling and felling of single trees above the area of 0.5 ha require a permit from the forest authorities. The application shall specify the size of felling area, as well as the location and types of wood to be harvested. The area can be cleared only after approval by the forest authorities. The felling is conducted by the land owner or a contracted felling company. The forest authorities will grant approval only with a requirement of</p>

Indicator	Applicable laws and regulations, legal Authority, & legally required documents or records	Sources of Information	Risk designation and determination
	<p>§82 prohibition of clear cutting §85 subject to authorization of harvesting</p> <p>https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10010371</p> <p>Legal Authority</p> <p>Regional government authority district authority</p> <p>Legally required documents or records</p> <p>Felling license</p>	<p>Downloads area (on the right site)</p> <p>GCR 2013-2014 http://www.business-anti-corruption.dk/country-profiles/europe-central-asia/austria/snapshot.aspx</p> <p>No reporting of illegal logging occurring on search in www.illegal-logging.org</p> <p>Austrian Federal Forest Act 1975, idF. BGBl. I Nr. 440/1975 https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10010371</p> <p>World Banks Worldwide Governance Indicator http://info.worldbank.org/governance/wgi/index.aspx#reports</p>	<p>reforestation. An exception is if there is enough natural reforestation in an area. The forest authorities will verify the compliance on-site following an approval.</p> <p>Also, the felling of individual trees in protected areas can only be allowed with a permit, and the felling shall be justified (Forest Act, paragraph §21-§25 protection forest). However, this is not allowed for commercial harvesting.</p> <p>The majority of the felling taking place in Austria does not require a felling permit. In 2010 the share of felling taking place with a permit constituted about 30% of the total clear-felling and 4.5% of the total single tree felling. For each felling the authorities will review the felling area and verify the extent of the area harvested through on-site visits.</p> <p>Harvesting wood without required permits or felling license is not known to be a significant issue in Austria - based on international sources and reports in relation to illegal logging. Government Effectiveness, Regulatory Quality, Rule of Law and Control of Corruption are ranking in the 90 to 100 Percentile according to World Bank.</p> <p>It is not common for companies to make irregular payments or bribes connected with public contracts and licenses (GCR 2013-2014). There is no reporting of corruption in connection with the issuing of permits in the forest sector, and the governance and enforcement is considered reliable with on-site follow-up control. Therefore the risk of illegal actions is considered low.</p>
Taxes and fees			
1.5 Payment of royalties and harvesting fees	<p>Applicable laws and regulations</p> <p>Not applicable</p> <p>There is no legislation covering harvesting payment or payment in relation to classification.</p> <p>Legal Authority</p> <p>N/A</p>	N/A	N/A

Indicator	Applicable laws and regulations, legal Authority, & legally required documents or records	Sources of Information	Risk designation and determination
	<p>Legally required documents or records</p> <p>N/A</p>		
<p>1.6 Value added taxes and other sales taxes</p>	<p>Applicable laws and regulations</p> <p>Value Added Tax Act (Umsatzsteuergesetz 1994) https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10004873 §22 Abs1 UStG 1994 Tax of turn over by agriculture and forest units.(Besteuerung der Umsätze von Land- und forstlichen Betrieben) §10 rate of taxes</p> <p>Legal Authority</p> <p>Ministry of Finance</p> <p>Legally required documents or records</p> <p>VAT return (Umsatzsteuererklärung (U1a))</p> <p>Advance Tax Return U31 (Umsatzsteuervoranmeldung U31)</p> <p>Request for issue of a VAT identification number (U15) (Antrag auf Vergabe einer Umsatzsteuer Identifikationsnummer (U15))</p>	<p>World Banks Worldwide Governance Indicator http://info.worldbank.org/governance/wgi/index.aspx#reports</p> <p>GCR 2013-2014 http://www.business-anti-corruption.dk/country-profiles/europe-central-asia/austria/snapshot.aspx</p> <p>Ministry of Finance - sales tax: https://www.bmf.gv.at/steuern/selbststaendige-unternehmer/umsatzsteuer/umsatzsteuer.html</p>	<p>Low risk</p> <p>Charges for agriculture, forestry products, and services are generally subject to sales tax, often referred to as VAT.</p> <p>The raw material is delivered to the sawmill and measured on calibrated measuring equipment. The sawmill establishes a credit voucher incl. VAT to the seller. The company is obliged to submit a VAT declaration to the tax office.</p> <p>The requirements for the designation of value added tax for products and services are regulated by the Value added tax law. 10% VAT has to be paid on wood material. The value added tax is to be paid on a monthly or quarterly basis. The authorities verify tax payment per tax examination and verify the accounts for plausibility.</p> <p>The control and sanctions by the treasury are very strict and law enforcement in Austria is considered strong. The risk is considered low.</p>
<p>1.7 Income and profit taxes</p>	<p>Applicable laws and regulations</p> <p>Income Tax Act 1988 (Einkommensteuergesetz /EStG 1988) §125 Legal obligation to keep records (Bundesabgabenordnung) § 21 Agriculture and Forestry § 2 Type of income (Einkommensarten) §21 Income of agriculture and forestry</p> <p>https://www.bmf.gv.at/steuern/selbststaendige-unternehmer/einkommensteuer/einkommensteuer.html</p>	<p>www.bmf.gv.at Einkommensteuerpauschalierung 2011-2015, Report LK Oberösterreich</p> <p>World Banks Worldwide Governance Indicator http://info.worldbank.org/governance/wgi/index.aspx#reports</p> <p>Business anti-corruption Portal:</p>	<p>Low risk</p> <p>The payment of income tax is regulated by law and the value based on the profit and loss of the unit. There are two types of bookkeeping, the double entry bookkeeping or the cash accounting. The choice of type is dependent on the size and turnover of the unit. The profit is the criteria for the calculation of income tax. The Forest management unit must report tax to the Ministry of Finance, and The Ministry of Finance performs random on-site verifications of the forest management units.</p> <p>The raw material is supplied in the sawmill and measured on calibrated measuring equipment. The sawmill establish a credit</p>

Indicator	Applicable laws and regulations, legal Authority, & legally required documents or records	Sources of Information	Risk designation and determination
	<p>Legal Authority</p> <p>Ministry of Finance</p> <p>Legally required documents or records</p> <p>Income Tax Statement formular E1 (Einkommensteuererklärung E1)</p>	<p>http://www.business-anti-corruption.dk/country-profiles/europe-central-asia/austria/snapshot.aspx</p> <p>https://www.bmf.gv.at/steuern/selbststaendige-unternehmer/einkommensteuer/einkommensteuer.htm</p> <p>Ministry of Finance - Overview of lump sum: https://www.bmf.gv.at/steuern/selbststaendige-unternehmer/pauschalierung/p-einkommensteuer.html</p> <p>Required documents: https://www.help.gv.at/Portal.Node/hlpd/public/content/227/Seite.2270200.html#ErforderlicheUnterlagen</p>	<p>voucher with VAT to the seller. The company is obliged to report the income to the tax office. The tax office prescribes and adjust the amount of income tax.</p> <p>The fees shall be paid to defined deadlines. This will be enforced by the authorities and in serious incidents the authority can conduct the execution of a company.</p> <p>The control and sanctions by the treasury are implemented by tax auditors with sample auditing of forest owners. Austria has a high CPI of 72 and On a scale of -2.5 to +2.5 under the World Bank Worldwide Governance Indicators Austria scores 1.83 on the rule of law and Control of Corruption on 1.51 in 2013. No major issues of tax fraud is reported in connection to forestry and according to the Business Anti-Corruption Portal is it uncommon for Austrian companies to engage in tax fraud. Thus, the risk is considered low.</p>
Timber harvesting activities			
1.8 Timber harvesting regulations	<p>Applicable laws and regulations</p> <p>Austrian Forestry Act 1975 idF BGBl. I nr.189-2013, section VI</p> <p>§87 Abs.1-4 Fällungsantrag / harvesting application</p> <p>§88 Abs. 1 - 5 Fällungsbewilligung / harvesting authorization</p> <p>§17 (1-6) Forest clearance (Rodung)</p> <p>§17a Registration obligation of forest clearance</p> <p>§18 Allowance of Forest clearance</p> <p>§80 Protection of unfellable wood</p> <p>§82 prohibition of clear cutting</p> <p>§85 Authorized illegal harvesting</p> <p>Section V: § 58- 69: The supply of wood out of forest</p>	<p>The Austrian Forest Programme: http://www.bmlfuw.gv.at/en/searchresults.html?queryString=forest+program</p> <p>Austrian Forestry Act 1975 idF BGBl. I nr.189-2013: https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10010371</p> <p>Transparency International (CPI);</p>	<p>Low risk</p> <p>Harvesting of timber is regulated by the Forest Act with a focus on avoiding environmental risks and hazards. There are different types of harvesting activities, such as clear-cutting, individual tree selection and deforestation. The Forest Act regulates the forest treatment along the property boundaries as a protection of the neighboring forest, in order to avoid disasters.</p> <p>The federal Forest Act restricts final cuts to stands over age 60 and clear-fellings to certain areas depending on the forest type. The forest road construction must be approved by the authorities and a permit issued.</p> <p>The forest authorities verify the compliance on-site in connection with each harvesting permit issued, and the harvesting rules are</p>

Indicator	Applicable laws and regulations, legal Authority, & legally required documents or records	Sources of Information	Risk designation and determination
	<p>https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10010371</p> <p>Legal Authority</p> <p>Ministry of Agriculture, Forestry, Environment and Water Management.(Forestry)</p> <p>The Forest Act is carried out in the framework of indirect federal administration, thus by the provincial governor and the district administrations.</p> <p>Legally required documents or records</p> <p>Felling license</p>	<p>http://www.transparency.org/cpi2014/results</p> <p>Worldwide Governance Indicators</p> <p>http://info.worldbank.org/governance/wgi/index.aspx#reports</p>	<p>well controlled and enforced. The harvesting not requiring a permit is considered to be low scale harvesting, and thus the potential impact on the environment from the harvesting is considered to be low.</p>
1.9 Protected sites and species	<p>Applicable laws and regulations</p> <p>Protection Forest Regulation, BGBl. Nr. 398/1977 (Schutzwaldverordnung)</p> <p>https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10010385&ShowPrintPreview=True</p> <p>Regulation on Forest development Plan, BGBl.Nr. 582/1997 (Verordnung über den Waldentwicklungsplan)</p> <p>http://www.bmlfuw.gv.at/forst/oesterreich-wald/raumplanung/waldentwicklungsplan/WEP.html</p> <p>http://www.bmlfuw.gv.at/forst/oesterreich-wald/raumplanung/praxisplan.html</p> <p>Forest Protection Regulation, 09.12.2014 (Forstschutzverordnung)</p> <p>https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=20002457</p> <p>In Austria conservation is in the responsibility of the federal states. There are therefore nine provincial nature conservation laws and related legislation for National Parks.</p>	<p>Study "Nature protection in Austria" from the Federal Environment Agency- Austria:</p> <p>http://www.umweltbundesamt.at/fileadmin/site/publikationen/M091z.pdf</p> <p>Ministry of Agriculture, Forestry, Environment and Water - Forest Development Plan:</p> <p>http://www.bmlfuw.gv.at/forst/oesterreich-wald/raumplanung/waldentwicklungsplan/WEP.html</p> <p>Ministry of Agriculture, Forestry, Environment and Water - Forest Management plan:</p> <p>http://www.bmlfuw.gv.at/forst/oesterreich-wald/raumplanung/praxisplan.html</p>	<p>Low risk</p> <p>In Austria the provincial governments are responsible for the legislation in nature conservation, management, monitoring and controlling. In the nature reserve any intervention is prohibited, except as management and development measures. For each country there is a separate conservation law. The protection areas are designated by the authorities and marked with labels positioned along the boundary line of the protected area, with important information and pictures in relation to the protected area.</p> <p>The protected areas are described in the nature protection register. Under the regulation about nature protection area, the Ministry of forestry and Agriculture conducts a Hazard zone Plan. In these areas it is not allowed to harvest.</p> <p>Around 27% of the territory of Austria is protected under nature conservation legislation: 16% is strictly protected as Natura 2000 sites, national parks or nature conservation areas, while 11% comprises less strictly protected sites, such as landscape conservation areas.</p> <p>The Natural Forest Reserve Programme allows the state to make private contracts with forestry owners. The aim is to develop a</p>

Indicator	Applicable laws and regulations, legal Authority, & legally required documents or records	Sources of Information	Risk designation and determination
	<p>Austrian Federal Forest Act 1975, idF. BGBl. I Nr. 440/1975 §6 forestry land use planning §9 Forest development plan §21 Protection Forest Regulation §32a Forest with notably living environment §17 forest clearance https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10010371</p> <p>Forest Protection Regulation 09.12.2014, IV paragraph §11 Hazard zone Plan (legally required, ministry of forestry and agriculture makes this) - are not allowed to harvest in this area. plan for smeltevandstrømme. they draw a zone on this area (applicable under 3.2. and 3.3.) http://www.bmlfuw.gv.at/forst/oesterreich-wald/raumplanung/gefahrenzonenplan/Gefahrenzonenplan.html</p> <p>Legal Authority Regional government authority and district authority</p> <p>Legally required documents or records Nature protection register: http://www.geoland.at/site/themes.htm</p>	<p>an.html</p> <p>Forest Plant Protection: http://www.bmlfuw.gv.at/forst/oesterreich-wald/pflanzenschutz.html</p> <p>Hazard zone plan: http://www.bmlfuw.gv.at/forst/oesterreich-wald/raumplanung/gefahrenzonenplan.html</p> <p>Link to Conservation of legally protected areas in Austria: http://www.umweltbundesamt.at/umweltsituation/naturschutz/sg/ http://www.umweltbundesamt.at/en/soer/soer2010_parc/soer2010_nature/ http://www.umweltbundesamt.at/en/soer/soer2010_parc/soer2010_nature/soer2010_nature4/</p> <p>Austrian Forestry Act 1975 idF BGBl. I nr.189-2013: https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10010371</p>	<p>representative network with all of Austria's forest associations. There are currently 200 natural forest reserves.</p> <p>Austria is currently working on a new Biodiversity Strategy 2020. By 2020, introduction of forest management plans or equivalent instruments related to sustainable forest management will be in place in order to be a measurable improvement of the conservation status of species and habitats that depend on forestry or are influenced by it.</p> <p>The species and habitats are known and documented by the authorities and the forest owners. A violation is enforced with a penalty for the violator and on-site control in connection of the issuing of permits, and verification is continuously conducted by the forest department. A forest owner is well aware of the location of the protected areas. These areas can be found on maps (www.geoland.at) and/or the information can be retrieved from the authorities. The risk is considered low.</p>
1.10 Environmental requirements	<p>Applicable laws and regulations</p> <p>Austrian Federal Forest Act 1975, idF. BGBl. I Nr. 440/1975</p>	<p>www.lebensministerium.at</p> <p>Austrian Forestry Act 1975 idF BGBl. I nr.189-2013:</p>	<p>Low risk</p>

Indicator	Applicable laws and regulations, legal Authority, & legally required documents or records	Sources of Information	Risk designation and determination
	<p>https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10010371</p> <p>Protection Forest Regulation, BGBl. Nr. 398/1977 (Schutzwaldverordnung)</p> <p>https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10010385&ShowPrintPreview=True</p> <p>Regulation on Forest development Plan, BGBl.Nr. 582/1997 (Verordnung über den Waldentwicklungsplan)</p> <p>http://www.bmlfuw.gv.at/forst/oesterreich-wald/raumplanung/waldentwicklungsplan/WEPlan.html</p> <p>http://www.bmlfuw.gv.at/forst/oesterreich-wald/raumplanung/praxisplan.html</p> <p>Forest Protection Regulation, 09.12.2014 (Forstschutzverordnung)</p> <p>https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=20002457</p> <p>§87 Abs.1-4 harvesting application (Fällungsantrag)</p> <p>§88 Abs. 1 - 5 harvesting authorization (Fällungsbewilligung)</p> <p>§ 16 forest degradation</p> <p>§47 - §57 Forested air pollution</p> <p>https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10010371</p> <p>Lower Austrian nature protection law 2000 (5500-11)</p> <p>Regulation about nature protection areas (5500/13-33) in Lower Austria</p> <p>Legal Authority</p> <p>Nature protection is the competence of provincial government</p> <p>Ministry of Agriculture, Forestry, Environment and Water Management.</p>	<p>https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10010371</p> <p>Transparency International (CPI);</p> <p>http://www.transparency.org/cpi2014/results</p> <p>Worldwide Governance Indicators</p> <p>http://info.worldbank.org/governance/wgi/index.aspx#reports</p>	<p>Compliance with environmental requirements is regulated in the Forest Act and there are requirements for conducting Environmental Impact Assessments.</p> <p>All forest owners must comply with the requirements under § 16 of the Forest Act to avoid forest degradation. Measures have to be taken to protect soil quality and to ensure reforestation and proper fertilization. Also hazards due to harvesting have to be avoided. Under the Regulation of nature protection areas, the Ministry of Forestry and Agriculture conducts the Hazard zone Plan. In these areas it is not allowed to harvest.</p> <p>The forestry machines have evolved and adapted to the environmental requirements, and the forestry equipment is state of the art. The operation fluids are bio degradable. A large forest road network allows gentle harvesting and offers storage space. Rough material can be sorted on the forest road or in the storage yard, but delivery of the rough material directly to the sawmill is striven for, in order to reduce the need for a storage yard in the forest area along the forest road. This reduces the environmental impact of building activities on the forest.</p> <p>Compliance with environmental requirements is regulated through the Forest Act. For harvesting areas larger than 0.5 ha, an application is submitted, with a description of the harvesting activities. After verification, the authorities will issue a permit. The permit can include obligations to reduce the impact on the environment.</p> <p>The forest authorities verify the compliance on-site in connection with each harvesting permit issued, and the harvesting rules are well controlled and enforced. The harvesting not requiring a permit are considered to be low scale harvesting, and therefore the potential impact on the environment from the harvesting is considered to be low and no control is conducted.</p> <p>The forest department is constantly monitoring on-site for larger scale harvesting, and the requirements are clearly regulated. Austrian forests have often been in a family for generations and the</p>

Indicator	Applicable laws and regulations, legal Authority, & legally required documents or records	Sources of Information	Risk designation and determination
	<p>Legally required documents or records</p> <p>Felling license</p>		<p>awareness for ensuring sustainability is high amongst the forest owners. The risk is considered low.</p>
<p>1.11 Health and safety</p>	<p>Applicable laws and regulations</p> <p>Federal law for safety and health protection by the work BGBl</p> <p>Labour Protection act Nr. 450/1994, idF. 50/2012(ArbeitnehmerInnenschutzgesetz ASchG) https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10008910</p> <p>Employment act of children and youths (KJBG) 1987, (BGBl. 599/1987), idF 88/2008 (Kinder- und Jugend-Beschäftigungsgesetz) https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10008632</p> <p>Labour Protection act Nr. 450/1994, idF. 50/2012 by law: Regulation relating to Operating Material, BGBl. 164/2000), idF 21/2010 (Arbeitsmittelverordnung) https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=20000727</p> <p>Workplace Regulation (BGBl. 368/1998, idF . 256/2009 (Arbeitsstättenverordnung) https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10009098</p> <p>Regulation about legislative prohibitions for youths, KJBG-VO BGBl . 436/1998 (Verordnung über Beschäftigungsverbote und -beschränkungen für Jugendliche. https://www.ris.bka.gv.at/Dokumente/BgblPdf/1998_436_2/1998_436_2.pdf.</p>	<p>Statistic of accidents in the Forest sector 2013: http://www.auva.at/portal27/portal/auvaportal/content/contentWindow?contentid=10008.542528&action=b&cacheability=PAGE&version=1400571342</p> <p>Land and Forst: http://www.landforstbetrieb.e.at/content.php?p=75</p> <p>US Department of Labor Bureau of Labor Statistics, 2011</p>	<p>Low risk</p> <p>The safety and health of forest work (which includes the harvesting, transport, the work-up of snow breakage and windthrow and management measures) is regulated in § 88 of the Lower Austria Rural Worker Regularity.</p> <p>In Austria work safety is regulated by numerous laws and regulations (Federal law for safety and health protection by the work and labor protection act). The employee receives from the employer a safety briefing. This includes wearing protective equipment and handling of hazardous substances.</p> <p>Every employee is insured by a health insurance coverage. The employee and the employer share the financial cost.</p> <p>Forestry work is considered a dangerous work activity. The Forest accident statistics 2013 from the General Accident Insurance company (Allgemeine Unfallversicherungsanstalt-AUVA) show that 1.380 accidents occurred in the forest and wood industry. In 2013, 22 persons died in connection with forest work. The cause of accidents and accidents leading to death varies, for example, slippery ground, caused by the weather, motor saw accidents, etc. In Austria 280.000 people work in the forest and wood industry sector. Thus, there are about 480 accidents per 100.000 workers in the industry and 8 occurrences of death per 100.000 workers. The number of fatal accidents is low in comparison to countries such as the US (92 deaths per 100.000 workers) (US Department of Labor Bureau of Labor Statistics, 2011).</p> <p>The strict laws ensure compliance with occupational safety and health at the workplace. The General Accident Insurance makes annual verifications of the on-site compliance with law. The working conditions are verified and safety training offered, together with information material about safety working in the forest. The strictly regulated laws and the representatives of the social partners</p>

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	<p>Regulation of safety of building labor (Bauarbeiterschutzverordnung) (BauV) (BGBl. 340/1994), idF. 3/2011 https://www.ris.bka.gv.at/Dokumente/BgblPdf/1994_340_0/1994_340_0.pdf.</p> <p>Federal Law according the regulation of employment law in the by agriculture and forestry (Bundesgesetz betreffend die Grundsätze für die Regelung des Arbeitsrechts in der Land- und Forstwirtschaft Agricultural labor act (Landarbeitsgesetz1984 – LAG) (BGBl. 287/1984), idF. 19/2012 https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10008554</p> <p>Austrian Federal Forest Act 1975 idF BGBl. I nr.189-2013 https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10010371</p> <p>Lower Austria Rural worker regularity, § 88, (Landarbeiterordnung) http://www.landarbeiterkammer.at/noe/images/pdf/kv/2013/LRNI_2012137.pdf</p> <p>Legal Authority</p> <p>Federal Ministry of Science, Research and Economy Federal Ministry of Labour, Social affairs and Consumer Protection Federal Ministry of Health</p> <p>Legally required documents or records</p> <p>N/A</p>		<p>ensure compliance of occupational safety and health in the workplace.</p> <p>Due to a low level of accidents in the agriculture and forest sector, and the extensive focus on health and safety on the work-site, the risk is considered low.</p>
1.12 Legal employment	Applicable laws and regulations	www.ILO.org: http://www.ilo.org/Search4/search.do?searchLanguag	Low risk

Indicator	Applicable laws and regulations, legal Authority, & legally required documents or records	Sources of Information	Risk designation and determination
	<p>§1 Employee Act, 29.09.2014, BGBl. Nr. 292/1921 https://www.ris.bka.gv.at/Dokument.wxe?Abfrage=Bundesnormen&Dokumentnummer=NOR11008219</p> <p>Labour Protection act Nr. 450/1994, idF. 50/2012 by law: Regulation relating to Operating Material, BGBl. 164/2000), idF 21/2010 (Arbeitsmittelverordnung) https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=20000727</p> <p>Protection of Employees Act (ArbeitnehmerInnenschutzgesetz) https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10008910</p> <p>Legal Authority</p> <p>Federal Ministry of Science, Research and Economy</p> <p>Federal Ministry of Labour, Social affairs and Consumer Protection</p> <p>Legally required documents or records</p> <p>Collective agreement http://www.kollektivvertrag.at/cs/Satellite?pagename=KV/index&n=KV_0</p> <p>Contract of employment right Employer-employee relationships rights</p>	<p>e=en&searchWhat=Austria n</p> <p>Sozialministerium: http://www.sozialministerium.at/site/Arbeit/Arbeitsrecht/</p> <p>http://www.sozialministerium.at/site/Arbeit/Arbeitsschutz/</p> <p>Portal of Labour (Portal der Arbeiterkammern): http://www.arbeiterkammer.at/beratung/arbeitundrecht/index.html http://www.arbeiterkammer.at/beratung/steuerundeinkommen/index.html</p>	<p>Austria has ratified several ILO conventions. In addition the ILO fundamental principles, rights at work have been re-enforced by the accession of Austria into the EU, and the related implementation of the aquis communautaire into the national legislation.</p> <p>The employees' rights and duties are governed by the Employee Protection Act. The remuneration of employees is governed by the collective agreement. The employee protection law regulates the minimum age of employees and child labour is prohibited.</p> <p>The Austrian Trade Union Federation (OGB) is a non-partisan association of employees and has 1.2 million members. The OGB and its unions represent the interests of all employees against employers, the state and political parties. The establishment and membership of a union is voluntary. The Austrian federation of unions consists of 7 unions and has 1, 2 Mio members. Austria has a strong union history.</p> <p>The legislation on legal employment is very strict and will be reviewed by the Chamber of Labour and the unions reviewed the compliance of law. The worker or employee has the right to sue the employer, if there are violation of labour rights.</p> <p>Violations of legal employment is not known as a problem in Austria and the risk is considered low.</p>
1.13 Customary rights	<p>Applicable laws and regulations</p> <p>Austrian Federal Forest Act 1975, idF. BGBl. I Nr. 440/1975, §§ 33 https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10010371</p> <p>Code of civil law JGS Nr. 946/1811 §472 and §473</p>	<p>Third parties' rights</p> <p>Online land registry: www.grundbuchauszug-online.at https://www.jusline.at/grundbuch.html</p> <p>Land registry insight: https://www.help.gv.at/Port</p>	<p>Low risk</p> <p>The customary rights are based in the Code of Civil Law §472 and §473.</p> <p>The customary laws are called a servitude in the forest. According to Austrian property law servitudes are limited property rights to outside property whose owner is obliged to tolerate or to refrain from an action or use.</p>

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	<p>https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=1000162</p> <p>Legal Authority</p> <p>(1) District authority (always the first contact person) (2) Regional government authority (3) Ministry of Agriculture, Forestry, Environment and Water Management.</p> <p>Legally required documents or records</p> <p>Website for land register certificate www.grundbuchauszug-online.at</p>	<p>al.Node/hlpd/public/content/60/Seite.600300.html</p> <p>Austrian Forestry Act 1975 idF BGBl. I nr.189-2013, §§ 33</p> <p>https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10010371</p>	<p>Customary rights can be obtained for a single person for an indefinite amount of time, if he has exercised a right for a longer period of time. Common examples of use right are the use of roads or grazing rights. The right must be exercised in compliance with the legislation. Servitudes become time-barred by disuse (after 30 or 40 years). The servitude can be lost, if the property owner does not approve the customary right, and the servitude user does not exercise his right within 3 years.</p> <p>The Servitude are registered in the Land Registry or it is stipulated through contract.</p> <p>The customary rights in Austria are well established in the land registry, and thus easily identifiable, and there are no major issues reported in relation to this criteria. The risk for violation is considered low.</p>
1.14 Free prior and informed consent	<p>Applicable laws and regulations</p> <p>N/A. No legislation is covering “free prior and informed consent” in connection with transfer of forest management rights and customary rights</p> <p>Legal Authority</p> <p>N/A</p> <p>Legally required documents or records</p> <p>N/A</p>	N/A	N/A
1.15 Indigenous peoples rights	<p>Applicable laws and regulations</p> <p>N/A. Due to the accession of Austria to the European Union and the implementation of the aquis communautaire in the national legislation, recognized processes to resolve conflicts related to traditional rights, cultural interests and traditional identities are effective. Austria has not yet ratified ILO Convention 169. However, indigenous peoples are not living in</p>	<p>www.ilo.org www.sozialministerium</p>	N/A

Indicator	Applicable laws and regulations, legal Authority, & legally required documents or records	Sources of Information	Risk designation and determination
	<p>Austria. Furthermore no tribal peoples are known to be resident in Austria.</p> <p>Legal Authority</p> <p>Ministry of Agriculture, Forestry, Environment and Water Management</p> <p>Ministry of Labour, Social affairs and consumer Protection</p> <p>Legally required documents or records</p> <p>N/A</p>		
Trade and transport			
<p>1.16 Classification of species, quantities, qualities</p>	<p>Applicable laws and regulations</p> <p>Austrian Wood Trade Standard, 2006 http://www.wienerborse.at/marketplace_products/commodity/holzhandelsusancen.html</p> <p>List of quotations for wood 3. September 2014 http://www.wienerborse.at/static/cms/sites/wbag/media/de/pdf/marketplace_products/warenboerse/holzkursblatt/holzkursblatt_03122014.pdf</p> <p>Legal Authority</p> <p>Vienna Stock Exchange</p> <p>Legally required documents or records</p> <p>Austrian Wood Trade Standard 2006</p>	<p>ForstHolzPapier; Information and training tool: http://www.forstholzpapier.at/index.php?option=com_content&view=article&id=103&Itemid=77</p> <p>Austrian Timber Trade Practices: http://www.wienerborse.at/marketplace_products/commodity/holzhandelsusancen.html</p>	<p>Low risk</p> <p>The criteria for the classification of harvested material is the Austrian wood trade standards (Holzhandelsusancen). The supplier delivers the rough material to the sawmill. The forest owner or his employee establishes a delivery document, issued by species, quantity and classification. The exact classification is defined in the sawmill. The rough material (logs) are measured on a calibrated measuring system. The seller gets a credit voucher from the sawmill. On each delivery, the forest owner makes an on-site check measurement per estimation or measurement of each log per hand.</p> <p>The classification of the raw material is in accordance with the Austrian wood trade standards. The Austrian wood trade standards are part of any contract.</p> <p>The classification and quantification are based on the calibrated measuring instruments. The measuring equipment must be calibrated every 2 years, in order to keep the risk of manipulating the measurement result low.</p>
<p>1.17 Trade and transport</p>	<p>Applicable laws and regulations</p> <p>Motor Vehicles Act BGBl. Nr. 267/1967 https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfra</p>	<p>Motor Vehicles Act BGBl. Nr. 267/1967 https://www.ris.bka.gv.at/G</p>	<p>Low risk</p> <p>The system of wood transportation is based upon the dense forest road net in Austria. Direct timber transportation from the road</p>

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	<p>ge=Bundesnormen&Gesetzesnummer=10011384 § 4 Abs. 7a</p> <p>Federal Act on the control of trade in wood (Holzhandelsüberwachungsgesetz) (EG) Nr. 2173/2005 http://www.parlament.gv.at/PAKT/VHG/XXIV/I/I_02442/index.shtml#tab-Uebersicht</p> <p>Legal Authority</p> <p>(1) District authority (always the first contact person) (2) Regional government authority (3) Ministry of Agriculture, Forestry, Environment and Water Management.</p> <p>Legally required documents or records</p> <p>Delivery Document (CMR)</p>	<p>eltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10011384 § 4 Abs. 7a</p> <p>Federal Act on the control of trade in wood (Holzhandelsüberwachungsgesetz) (EG) Nr. 2173/2005 http://www.parlament.gv.at/PAKT/VHG/XXIV/I/I_02442/index.shtml#tab-Uebersicht</p> <p>Austrian Timber Trade Practices: http://www.forstholzpapier.at/index.php?option=com_content&view=article&id=103&Itemid=77</p>	<p>landing to the mill prevails up to distances of about 150 km. The delivery document is the CMR (full title Convention on the Contract for the International Carriage of Goods by Road). The document comprises the origin of the wood, the kind of species, the amount, and the identity of the purchaser.</p> <p>The supplier delivers the rough material to the sawmill (I don't understand this sentence). The forest owner or his employee establishes a delivery document, issued by species, quantity and classification. Every delivery is traceable on site by the supplier documents. The delivery documents contain all necessary information about the wood material (supplier, customer, quality, quantity etc.).</p> <p>The delivery document will be completed on-site. The organization "forest-wood-paper" (Forst-Holz-Papier) will prepare a uniform delivery document. This organization is an umbrella organization established by chamber organizations from Forest, Wood and Paper. The delivery document is considered proof of legal harvesting for the sawmill.</p> <p>Every delivery is documented with the delivery note and traceable back to harvest entity. The delivery note is based on a valid contract between the owner and seller, and specifies the quantity, quality and type of trees. Directly it is controlled by the owner and seller and indirectly by authorities, for example the Ministry of Finance.</p> <p>Thus the criteria is considered 'low risk'.</p>
1.18 Offshore trading and transfer pricing	<p>Applicable laws and regulations</p> <p>Income Tax Act 1988, Art 6 Paragraph 6 https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10004570</p> <p>Federal Fiscal Code, Art 124, 131 and 138 https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10003940</p>	<p>PWC International Transfer Pricing 2013/14 -Austria: http://www.pwc.com/gx/en/international-transfer-pricing/assets/austria.pdf</p> <p>Austria Transfer Pricing Profile: http://ec.europa.eu/taxation_customs/resources/documents/taxation/company_tax/</p>	<p>Low risk</p> <p>Austria is a member of the OECD and follows the OECD principles on transfer pricing. The requirements to apply the arm's-length principle on inter-company dealings and for adequate documentation of transfer prices are constituted in the Income Tax Act and Federal Fiscal Code. In order to ensure the implementation of the OECD principles the Austrian Ministry of Finance published Transfer Pricing Guidelines in 2010 (VPR 2010). Austrian tax authorities have shown an increasing focus on transfer</p>

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	<p>Act on Tax Offences 2010 https://english.bmf.gv.at/combating-fraud/Combating.Fraud1.html</p> <p>Section 8 paragraph 1 and 2 of the Austrian Corporate Tax https://www.bmf.gv.at/steuern/selbststaendige-unternehmer/koerperschaftsteuer/koerperschaftsteuer.html</p> <p>Sections 21 et seq. of the Federal Procedural Tax Act https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=20007944&FassungVom=2014-01-01</p> <p>Legal Authority</p> <p>Federal Ministry of Finance International Tax Law Division (Division VI/8)</p> <p>Legally required documents or records</p> <p>No specific national transfer pricing documentation rules/guidance. All tax payers are obliged to keep sufficient records of their transactions according to section 126 of the Austrian Fiscal Code.</p>	<p>transfer_pricing/forum/profiles/tpprofile-at.pdf</p>	<p>pricing, which is supported by an increasing number of tax inspectors specializing in international transactions.</p> <p>It is not custom to conduct audits on transfer pricing alone, and these will be conducted as part of the general tax audit. Companies are being audited on a three to five years basis if exceeding a certain threshold. For smaller companies audit will take place if they have not been audited for an extended period of time; there might be a focus on certain industries from time to time; or if based on a 'professional judgment' or exceptional fluctuations in key ratios. Regularly examined are transactions with group companies based in low-tax jurisdictions, cross-border transfer of functions, assess or risks, financing transactions as well as inter-company services and licensing.</p> <p>There are units within the tax audit department that specialize in international transactions, including transfer pricing. Special training is given to this unit and an increase in the amount of these auditors has been seen in recent years.</p> <p>There are no specific transfer pricing penalties stipulated in VPR 2010, but interest can be charged on the difference between the tax paid and the final tax assessed, and fines and imprisonment charges in cases of tax evasion and fraud.</p> <p>Austria has raised the focus on transfer pricing and are incorporating the OECD principles on transfer pricing. The CPI of Austria is 69 (above the threshold of 50). No major issues are reported within the Austrian forest sector</p> <p>Thus the criteria is considered 'low risk'.</p>
1.19 Custom regulations	<p>Applicable laws and regulations</p> <p>Austria applies the European customs law. COMMISSION REGULATION (EC) No 1192/2008 of 17 November 2008 Regulation Nr. (EG) 2173/2005 and (EU) Nr.995/2010 (import of wood material) Regulation (EEC) No 2913/92</p>	<p>Federal Ministry of Finance webpage: www.bmf.gv.at</p> <p>EU- Customs codex www.exporthandbuch.at</p>	<p>Low risk</p> <p>In April 2005, the European Parliament and the Council of the European Union passed an amendment to the Customs Code (Regulation (EC) No 648/2005) with the objective of increasing security when importing and exporting goods into and out of the European Community. The details of this security amendment were</p>

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	<p>Federal Law Gazette 129. Custom law 1955 https://www.ris.bka.gv.at/Dokumente/BgblPdf/1955_130_0/1955_130_0.pdf</p> <p>Federal Law regarding regulation to enforcement of customer rights (ZollR-DG, BGBl Nr. 659/1994) https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10004913</p> <p>Legal Authority</p> <p>Federal Ministry of Finance Custom office</p> <p>Legally required documents or records</p> <p>Export and import documents Customs documents</p>		<p>regulated in the amendment to the Customs Code Implementing Regulation (Regulation (EC) No 1875/2006).</p> <p>Since 1. April 2004 the transit procedure has to be conducted as obligatory in NCTS (New Computerized Transit System). Its legal provisions are summarized in the Austrian working guidelines ZK-0910 and ZK-0917.</p> <p>The TIR-procedure – summarized in the Austrian working guidelines ZK-0911 - can only be used in the European Community where the movement either starts or ends in a third country, or where the goods move between two or more EU Member States via the territory of a third country.</p> <p>Truckers making use of the TIR procedure must first obtain an internationally harmonized customs document, referred to as a TIR carnet. TIR carnets are issued by national road transport associations. This customs document is valid internationally and as well as describing the goods, their shipper and their destination, represents a financial guarantee. When a truck arrives at a border customs post it need not pay import duties and taxes on goods at that time. Instead the payments are suspended. If the vehicle transits the country without delivering any goods, no taxes are due. If it fails to leave the country with all the goods, then the taxes are billed to the importer and the financial guarantee backstops the importer's obligation to pay the taxes. TIR transits are carried out in bond, i.e. the lorry must be sealed as well as bearing the carnet. The security payment system is administered by the International Road Transport Union (IRU).</p> <p>The export of wood is regulated by the Forest Act. The precipitated amount of wood will be documented and reviewed by the Ministry of Finance, the customs office.</p> <p>The traceability is given by the delivery documents and credit voucher, specifying species, quantity and quality.</p> <p>According to the World Banks Worldwide Governance Indicator the rule of law in Austria is at a level of 97.6% in 2013. The CPI of Austria is 69 (Above the threshold of 50).</p> <p>Overall, it is uncommon for companies to make irregular payments</p>

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			or bribes connected with imports and exports (GCR 2013-2014). There are no major issues reported on export of timber in connection to export, and the risk is considered low.
1.20 CITES	<p>Applicable laws and regulations</p> <p>Council Regulation (EG) No 338/97 of February 2008 on the protection of species of trees http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CONSL:EG:1997R0338:20080411:EN:PDF</p> <p>Regulation of the Minister of Agriculture, Forestry, Environment and Water Management on the criterion of irrelevance in trade in specimens of wild animal and plant species (species Trade Unerheblichkeitsverordnung - ArtHUV) file:///C:/Users/ds/Downloads/Artenhandel_Unerheblichkeitsverordnung.pdf</p> <p>Federal Law on the monitoring of trade in specimens of wild animal and Plant species (kinds Trading Act 2009 - ArtHG 2009) file:///C:/Users/ds/Downloads/Artenhandelsgesetz.pdf</p> <p>Legal Authority</p> <p>Ministry of Agriculture and Forestry, Environment and Water Management)</p> <p>Federal Ministry of Finance</p> <p>Criminal Intelligence Service Austria</p> <p>Legally required documents or records</p> <p>CITES certificate</p>	<p>Biennial Report 2009 and 2010.</p> <p>Convention on International Trade in Endangered Species of Wild Fauna and Flora: http://ec.europa.eu/environment/cites/pdf/compilation_2009-2010.pdf</p> <p>Cites Checklist http://checklist.cites.org/#/en/search/country_ids%5B%5D=98&output_layout=alphabetical&level_of_listing=0&show_synonyms=1&show_author=0&show_english=1&show_spanish=1&show_french=1&scientific_name=Plantae&page=2&per_page=20</p> <p>Austrian legislation trade with http://www.bmlfuw.gv.at/umwelt/naturartenschutz/cites/rechtliche-grundlagen/bundesgesetze.html</p> <p>Council Regulation (EG) No 338/97 of February 2008 on the protection of species of trees http://eur-</p>	<p>N/A</p> <p>Export: No woody species produced in Austria is mentioned in the CITES lists and the risk is therefore considered low.</p> <p>Import: Not applicable.</p>

Indicator	Applicable laws and regulations, legal Authority, & legally required documents or records	Sources of Information	Risk designation and determination
		<p>lex.europa.eu/LexUriServ/LexUriServ.do?uri=CONSLEG:1997R0338:20080411:EN:PDF</p> <p>Regulation of the Minister of Agriculture, Forestry, Environment and Water Management on the criterion of irrelevance in trade in specimens of wild animal and plant species (species Trade Unerheblichkeitsverordnung - ArtHUV)</p> <p>file:///C:/Users/ds/Downloads/Artenhandel_Unerheblichkeitsverordnung.pdf</p> <p>Federal Law on the monitoring of trade in specimens of wild animal and Plant species (kinds Trading Act 2009 - ArtHG 2009)</p> <p>file:///C:/Users/ds/Downloads/Artenhandelsgesetz.pdf</p>	
Diligence/ due care procedures			
1.21 Legislation requiring due diligence/ due care procedures	<p>Applicable laws and regulations</p> <p><u>EU Legislation</u> Regulation (EU) No 995/2010 of the European Parliament and of the Council of 20 October 2010 laying down the obligations of operators who place timber and timber products on the market, article 4, 5, 6 and appendix http://eur-</p>	<p>http://www.parlament.gv.at/PAKT/VHG/XXIV/I/I_02442/index.shtml#tab-Uebersicht</p> <p>http://bfw.ac.at/rz/bfwcms.w eb?dok=9379</p> <p>Federal Act on the control of trade in wood BGBl. 1 Nr. 178/2013 (Holzhandelsüberwachung)</p>	<p>Low risk</p> <p>Austria has implemented the EU Timber Regulation in March 2013. Austrian enforcement of the regulation of EU Timber regulation went into force in August 2013. All forest owners, forestry, companies along the chain of custody must achieve the DDS. The controlling body for the entire implementation of the EUTR is the "Department of Federal Forest office", which was established under the BFW-Act 2005. The Federal Forest Agency is an office of the Federal Ministry of Agriculture, Forestry, Environment and Water Management and employs mainly specially trained</p>

Indicator	Applicable laws and regulations, legal Authority, & legally required documents or records	Sources of Information	Risk designation and determination
	<p>lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2010:295:0023:0034:EN:PDF</p> <p>Commission Implementing Regulation (EU) No 607/2012 of 6 July 2012 on the detailed rules concerning the due diligence system and the frequency and nature of the checks on monitoring organizations as provided for in Regulation (EU) No 995/2010 of the European Parliament and of the Council laying down the obligations of operators who place timber and timber products on the market, article 3-6</p> <p>http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32012R0607&from=EN</p> <p>National legislation</p> <p>Federal Act on the control of trade in wood BGBl. 1 Nr. 178/2013 (Holzhandelsüberwachungsgesetz)</p> <p>https://www.ris.bka.gv.at/Dokumente/BgblAuth/BGBlA_2013_I_178/BGBlA_2013_I_178.pdf</p> <p>Legal Authority</p> <p>Federal Forest Agency</p> <p>The Federal Forest Agency is an office of the Federal Ministry of Agriculture, Forestry, Environment and Water Management and employs mainly specially trained personnel of the BFW.</p> <p>http://www.bmlfuw.gv.at/en/fields/forestry.html</p> <p>Legally required documents or records</p> <p>Documents required to fulfil the obligation for operators to exercise an due diligence system according to article 4.2 and 6 of the Regulation (EU) No 995/2010</p>	<p>sgesetz)</p> <p>https://www.ris.bka.gv.at/Dokumente/BgblAuth/BGBlA_2013_I_178/BGBlA_2013_I_178.pdf</p> <p>Personal interview</p>	<p>personnel of the BFW.</p> <p>The department is responsible for compliance and verification of Due Diligence by companies or traders exporting wood in the European market.</p> <p>The district authorities are responsible for controlling and enforcing the implementation of DDS at forest level. The Federal Ministry of Agriculture, Forestry, Environment and Water Management has asked the control to be conducted. However, there is to date no central knowledge on whether the DDS at forest level has in fact been implemented.</p> <p>The legislative framework has been developed in Austria for enforcing the due diligence system, and the controlling body is determined.</p> <p>There is limited evidence to suggest that the DDS requirements are uniformly enforced at forest level. However, since low risk has been found in CW Categories 1.1-1.20, it is concluded that the potential impact of this lack of enforcement will be limited both in impact and in scale. As a consequence the risk has been concluded to be low.</p>

Indicator	Applicable laws and regulations, legal Authority, & legally required documents or records	Sources of Information	Risk designation and determination
	<p>Documentation on information concerning the operator's supply, according to article 3, Commission Implementing Regulation (EU) No 607/2012</p> <p>Register of information concerning the operator's supply as provided for in Article 6.1 a) of Regulation (EU) No 995/2010 and documentation of application of risk mitigation procedures</p>		

Control measures

N/A

Controlled wood category 2: Wood harvested in violation of traditional and human rights

The content of the risk assessment for Category 2 was included from the CNRA for Austria without any adaptation or alteration by the Technical Project Group, as it has already been approved by FSC International on the 17th of December 2015.

Risk assessment

Indicator	Sources of Information	Functional scale	Risk designation and determination
2.1. The forest sector is not associated with violent armed conflict, including that which threatens national or regional security and/or linked to military control.	See detailed analysis below.	Country	Low risk All low risk thresholds (1, 2, 3, 4 and 5) are met and there is no other evidence of specified risk. None of the specified risk thresholds are met.
2.2. Labour rights are respected including rights as specified in ILO Fundamental Principles and Rights at work.	See detailed analysis below.	Country	Low risk The low risk thresholds 10 and 12 apply.
2.3. The rights of Indigenous and Traditional Peoples are upheld.	See detailed analysis below.	Country	Low risk The low risk thresholds 16 and 21 apply.

Control measures

N/A

Detailed analysis

Sources of information	Evidence	Scale of risk assessment	Risk indication ²
Context (the following are indicators that help to contextualize the information from other sources) <ul style="list-style-type: none"> Searching for data on: level of corruption, governance, lawlessness, fragility of the State, freedom of journalism, freedom of speech, peace, human rights, armed or violent conflicts by or in the country, etc. 			
World Bank: Worldwide Governance Indicators - the WGI's report aggregate and individual governance indicators for 215 countries (most recently for 1996–2012), for six dimensions of governance: Voice and Accountability; Political Stability and Absence of Violence; Government Effectiveness; Regulatory Quality; Rule of Law; Control of Corruption http://info.worldbank.org/governance/wgi/index.aspx#home	http://info.worldbank.org/governance/wgi/index.aspx#reports (click on table view tab and select Country) In 2013 (latest available year) Austria scores between 89.95 (for Control of Corruption) and 97.63 (for Rule of Law) on the percentile rank among all countries for all six dimensions (the scores range from 0 (lowest rank) to 100 (highest rank) with higher values corresponding to better outcomes).	country	
World Bank Harmonized List of Fragile Situations: http://siteresources.worldbank.org/EXTLICUS/Resources/511777-1269623894864/Fragile_Situations_List_FY11_%28Oct_19_2010%29.pdf	Austria does not feature on this list	country	
Committee to Protect Journalists: Impunity Index CPJ's Impunity Index calculates the number of unsolved journalist murders as a percentage of each country's population. For this index, CPJ examined journalist murders that occurred between January 1, 2004, and December 31, 2013, and that remain unsolved. Only those nations with five or more unsolved cases are included on this index. http://cpj.org/reports/2014/04/impunity-index-getting-away-with-murder.php	Austria does not feature on this list	country	
Carleton University: Country Indicators for Foreign Policy: the Failed and Fragile States project of Carleton University examines state fragility using a combination of structural data and current event monitoring http://www4.carleton.ca/cifp/ffs.htm	http://www4.carleton.ca/cifp/app/serve.php/1419.pdf Austria scores low on State fragility map 2011.	country	
Human Rights Watch: http://www.hrw.org	http://www.hrw.org/sites/default/files/reports/wr2014_web_0.pdf Austria does not feature in World Report 2014 of Human rights Watch	country	
US AID: www.usaid.gov Search on website for [country] + 'human rights' 'conflicts' 'conflict timber' For Africa and Asia also use: http://pdf.usaid.gov/pdf_docs/pnact462.pdf	www.usaid.gov No information found on specified risks after searching Austria + 'human rights' 'conflicts' 'timber conflicts'	country	

² A risk indication is provided for each source analyzed, except in the first part that addresses the general country context as that is not a risk indicator. A cumulative risk assessment for each risk indicator is provided in the row with the conclusion on each risk indicator, based on all the sources analyzed and evidence found.

Global Witness: www.globalwitness.org Search on website for [country] + 'human rights' 'conflicts' 'conflict timber'	www.globalwitness.org No information found on specified risks after searching Austria + 'human rights' 'conflicts' 'timber conflicts'	country	
http://wwf.panda.org/about_our_earth/about_forests/deforestation/forest_illegal_logging/	Austria not mentioned in article	country	
Transparency International Corruption Perceptions Index http://cpi.transparency.org/cpi2013/results/	Austria scores 69 points on the Corruption Perceptions Index 2013 on a scale from 0 (highly corrupt) to 100 (very clean). Austria ranks 26 out of 177 with rank nr. 1 being the cleanest country.	country	
Chatham House Illegal Logging Indicators Country Report Card http://www.illegal-logging.info	http://www.illegal-logging.info/content/liberian-campaigner-calls-eu-action-logging-law-dodgers - 11 March 2014 "According to the as-yet unpublished new data from Client Earth, based on questionnaires completed by each country, just eight EU states have registered the timber regulation on their statute books: Austria, Denmark, Croatia, Germany, Cyprus, Czech Republic, Portugal, Luxembourg, Slovenia and the UK."	country	
Amnesty International Annual Report: The state of the world's human rights -information on key human rights issues, including: freedom of expression; international justice; corporate accountability; the death penalty; and reproductive rights	http://files.amnesty.org/air13/AmnestyInternationalAnnualReport2013_complete_en.pdf „The Criminal Code was amended to introduce the crime of torture. Concerns about racism in the criminal justice system remained. Legal safeguards for asylum-seekers were reduced.“	country	
Freedom House http://www.freedomhouse.org/	http://www.freedomhouse.org/report-types/freedom-world#.U-3g5fl_sVc The status of Austria on the Freedom in the World index is 'free'. http://www.freedomhouse.org/report-types/freedom-net#.U-3hUvl_sVc The status of Austria on the Freedom on the Net is 'no data'. http://www.freedomhouse.org/report-types/freedom-press#.U-3hkvl_sVc The status of Austria on the Freedom of the Press is 'free'.	country	
Reporters without Borders: Press Freedom Index	2013: http://en.rsf.org/spip.php?page=classement&id_rubrique=1054 Austria ranks nr. 12 out of 179 with a score of 9,40 on the 2013 World Press Freedom Index, which ranks it among the countries with very good press freedom in the world.	country	
Fund for Peace - Failed States Index of Highest Alert - the Fund for Peace is a US-based non-profit research and educational organization that works to prevent violent conflict and promote security. The Failed States Index is an annual ranking, first published in 2005, of 177 nations based on their levels of stability and capacity http://www.fundforpeace.org/global/?q=cr-10-99-fs In 2014 the FFP changed the name of the Failed State Index to the Fragile State Index: http://ffp.statesindex.org/rankings-2013-sortable	http://ffp.statesindex.org/rankings-2013-sortable Austria is ranked 166 out of 178 countries on the failed states index. (nr. 1 being the most failed state). This ranks Austria in the category 'sustainable'.	country	
The Global Peace Index. Published by the Institute for Economics & Peace, This index is the world's leading measure of national peacefulness. It ranks 162 nations according to their absence of violence. It's made up of 23 indicators, ranging from a nation's level of military	http://www.visionofhumanity.org/sites/default/files/2014%20Global%20Peace%20Index%20REPORT.pdf The state of Peace in Austria is labelled 'Very High' with Austria ranking number 3 out of 162 countries with a score of 1.200 (p. 5).	country	

expenditure to its relations with neighbouring countries and the level of respect for human rights. Source: The Guardian: http://economicsandpeace.org/research/iep-indices-data/global-peace-index			
Additional sources of information (These sources were partly found by Googling the terms '[country]', 'timber', 'conflict', 'illegal logging')	Evidence	Scale of risk assessment	Risk indication
no other sources found			
From national CW RA: Info on illegal logging	not available		
Conclusion on country context: Austria scores positive on all sources and indicators reviewed in this context section. It is ranked high on all relevant aspects such as stable country, with good governance, absence of conflicts of any magnitude and it is a free country for all its citizens with a good justice system.		country	
Indicator 2.1. The forest sector is not associated with violent armed conflict, including that which threatens national or regional security and/or linked to military control.			
Guidance			
<ul style="list-style-type: none"> Is the country covered by a UN security ban on exporting timber? Is the country covered by any other international ban on timber export? Are there individuals or entities involved in the forest sector that are facing UN sanctions? 			
Compendium of United Nations Security Council Sanctions Lists http://www.un.org/sc/committees/list_compend.shtml	There is no UN Security Council ban on timber exports from Austria. Austria is not covered by any other international ban on timber export.	country	Low risk
US AID: www.usaid.gov	There are no individuals or entities involved in the forest sector in Austria that are facing UN sanctions.		
Global Witness: www.globalwitness.org			
From national CW RA	not available	-	-
Guidance			
<ul style="list-style-type: none"> Is the country a source of conflict timber? If so, is it at the country level or only an issue in specific regions? If so – which regions? Is the conflict timber related to specific entities? If so, which entities or types of entities? 			
www.usaid.gov http://pdf.usaid.gov/pdf_docs/pnact462.pdf Conflict Timber is defined by US AID as: - conflict financed or sustained through the harvest and sale of timber (Type 1), - conflict emerging as a result of competition over timber or other forest resources (Type 2) Also check overlap with indicator 2.3	No information found on specified risks after searching Austria + 'conflicts' 'timber conflicts'	country	Low risk

www.globalwitness.org/campaigns/environment/forests	No information found on specified risks after searching Austria + 'conflicts' 'timber conflicts'	country	Low risk
Human Rights Watch: http://www.hrw.org/	No information found on specified risks after searching Austria + 'conflicts' 'timber conflicts'	country	Low risk
World Resources Institute: Governance of Forests Initiative Indicator Framework (Version 1) http://pdf.wri.org/working_papers/gfi_tenure_indicators_sep09.pdf Now: PROFOR http://www.profor.info/node/1998	http://www.profor.info/node/1998 This work resulted in a publication: Assessing and Monitoring Forest Governance: A user's guide to a diagnostic tool (available on this page) published by PROFOR in June 2012. This tool has not yet been applied to Austria.	country	Low risk
Amnesty International Annual Report: The state of the world's human rights -information on key human rights issues, including: freedom of expression; international justice; corporate accountability; the death penalty; and reproductive rights http://www.amnesty.org/en/annual-report/2011/ ; http://amnesty.org/en/annual-report/2013/	No information on conflict timber related to Austria found.	country	Low risk
World Bank: Worldwide Governance Indicators - the WGIs report aggregate and individual governance indicators for 213 economies (most recently for 1996–2012), for six dimensions of governance: Voice and Accountability; Political Stability and Absence of Violence; Government Effectiveness; Regulatory Quality; Rule of Law; Control of Corruption http://info.worldbank.org/governance/wqi/index.aspx#home Use indicator 'Political stability and Absence of violence' specific for indicator 2.1	http://info.worldbank.org/governance/wqi/index.aspx#reports In 2013 (latest available year) Austria scores 96.68 for Political Stability and Absence of Violence/ on the percentile rank among all countries (the scores range from 0 (lowest rank) to 100 (highest rank) with higher values corresponding to better outcomes).	country	Low risk
Greenpeace: www.greenpeace.org Search for 'conflict timber [country]'	No information on conflict timber related to Austria found.	country	Low risk
CIFOR: http://www.cifor.org/ ; http://www.cifor.org/publications/Corporate/FactSheet/forests_conflict.htm	Austria is not mentioned in this document about <i>Forests and conflict</i> .	country	Low risk
Google the terms '[country]' and one of following terms or in combination 'conflict timber', 'illegal logging'	No information found on Austria as a source of conflict timber	country	Low risk
From national CW RA	not available		
Conclusion on indicator 2.1: No information was found on Austria as a source of conflict timber and the forest sector is not associated with any violent armed conflict.			
The following low risk thresholds apply: (1) The area under assessment is not a source of conflict timber ³ ; AND (2) The country is not covered by a UN security ban on exporting timber; AND (3) The country is not covered by any other international ban on timber export; AND			

³ "Conflict timber" limited to include "timber that has been traded at some point in the chain of custody by armed groups, be they rebel factions or regular soldiers, or by a civilian administration involved in armed conflict or its representatives, either to perpetuate conflict or take advantage of conflict situations for personal gain - conflict timber is not necessarily illegal. Please refer to FSC-PRO-60-002a V1-0.

(4) Operators in the area under assessment are not involved in conflict timber supply/trade; AND (5) Other available evidence does not challenge 'low risk' designation.			
Indicator 2.2. Labour rights are respected including rights as specified in ILO Fundamental Principles and Rights at work.			
Guidance			
<ul style="list-style-type: none"> • Are the social rights covered by the relevant legislation and enforced in the country or area concerned? (refer to category 1) • Are rights like freedom of association and collective bargaining upheld? • Is there evidence confirming absence of compulsory and/or forced labour? • Is there evidence confirming absence of discrimination in respect of employment and/or occupation, and/or gender? • Is there evidence confirming absence of child labour? • Is the country signatory to the relevant ILO Conventions? • Is there evidence that any groups (including women) feel adequately protected related to the rights mentioned above? • Are any violations of labour rights limited to specific sectors? 			
general sources from FSC-PRO-60-002a V1-0 EN	information found and specific sources	scale of risk assessment	risk indication
Status of ratification of fundamental ILO conventions: http://www.ilo.org/dyn/normlex/en/f?p=1000:11001:0::NO:: or use: ILO Core Conventions Database: http://www.ilo.org/ilolex/english/docs/declworld.htm C29 Forced Labour Convention, 1930 C87 Freedom of Association and Protection of the Right to Organise Convention, 1948 C98 Right to Organise and Collective Bargaining Convention, 1949 C100 Equal Remuneration Convention, 1951 C105 Abolition of Forced Labour Convention, 1957 C111 Discrimination (Employment and Occupation) Convention, 1958 C138 Minimum Age Convention, 1973 C182 Worst Forms of Child Labour Convention, 1999 Ratification as such should be checked under Category 1. In Cat. 2 we take that outcome into consideration. Refer to it.	http://www.ilo.org/dyn/normlex/en/f?p=1000:11200:0::NO:11200:P11200_COUNT_RY_ID:102549 Austria has ratified all the 8 Fundamental ILO Conventions. The status on the ILO website for all 8 Conventions is 'in force'.	country	Low risk
ILO Declaration on Fundamental Principles and Rights at Work. Country reports. http://www.ilo.org/declaration/lang--en/index.htm Source of several reports. Search for 'racial discrimination', 'child labour', 'forced labour', 'gender equality', 'freedom of association'	http://www.ilo.org/global/about-the-ilo/newsroom/news/WCMS_115782/lang--en/index.htm - 19 October 2009 <i>ILO publishes pilot study on decent work in Austria</i> "Despite comprehensive initiatives of the government and the social partners the study notes only gradual progress with respect to gender equality. Women still earn between 20 and 25 per cent less than men, while only 28 per cent of managerial positions in the economy and administration are occupied by women. Both indicators stagnate at an unsatisfactorily level, the study says."	country	Specified risk for gender discrimination in the labour market
ILO Child Labour Country Dashboard: http://www.ilo.org/ipec/Regionsandcountries/lang--en/index.htm	http://www.ilo.org/ipec/Regionsandcountries/lang--en/index.htm Austria does not feature in the ILO Child Labour Country Dashboard	country	Low risk
Global March Against Child Labour: http://www.globalmarch.org/	No references to Austria regarding child labour or child trafficking.	country	Low risk

<p>Office of the United Nations High Commissioner for Human Rights (OHCHR), Committee on Rights of the Child: http://www.ohchr.org/EN/HRBodies/CRC/Pages/CRCIndex.aspx</p>	<p>file:///C:/Users/Leo/Downloads/G1248347.pdf <i>Concluding observations on the combined third and fourth periodic report of Austria, adopted by the Committee at its sixty-first session (17 September – 5 October 2012)</i> “Economic exploitation, including child labour 58. While noting that the Federal Law on the Employment of Children (2010) raised the minimum age for children to be involved in light work from 12 to 13 years, the Committee is nevertheless concerned that this age is still very low. The Committee is further concerned that the law lacks a precise definition of light work and that after-school work of children, in particular in family businesses, is not monitored effectively.” (p. 11) No mentioning of instances of child labour.</p>	<p>country</p>	<p>Low risk</p>
<p>ILO Helpdesk for Business on International Labour Standards: http://www.ilo.org/empent/areas/business-helpdesk/lang--en/index.htm</p>	<p>No information found on serious violations of labour rights in Austria.</p>	<p>country</p>	<p>Low risk</p>
<p>Committee on the Elimination of Discrimination against Women http://www.ohchr.org/en/hrbodies/cedaw/pages/cedawindex.aspx (Use the link to ‘Key documents’ on the left hand side. Go to ‘observations’ and search for country.) (Refer to CW Cat. 1) Or: Right top select country click on CEDAW treaty, click on latest reporting period and select concluding observations</p>	<p>http://tbinternet.ohchr.org/_layouts/treatybodyexternal/Download.aspx?symbolno=CEDAW%2fC%2fAUT%2fCO%2f7-8&Lang=en <i>Concluding observations on the seventh and eighth periodic reports of Austria, adopted by the Committee at its fifty - fourth session (11 February–1 March 2013)</i> Employment and economic empowerment 34. The Committee commends the various measures taken to support the participation of women in the labour market and facilitate the reconciliation of family and work life such as the recent introduction of unpaid leave “Daddy’s month”, the adoption of a National Action Plan on Gender Equality in the Labour Market in June 2010 and the amendment to the Equal Treatment Act of 2011, which introduces transparency in salaries, following the requirement that the Austrian Federal Civil Service and companies should produce staff income reports every two years. However, it is concerned that this obligation will only apply to companies with more than 150 employees, whereas most firms are smaller. The Committee also remains concerned at the persistence of segregation in the labour market, with women concentrated in the lower-paid service sectors and part-time work, and with the persistent and wide gender pay gap. (p. 4)</p>	<p>country</p>	<p>Specified risk for gender discrimination in the labour market</p>
<p>Human Rights Watch: http://www.hrw.org/</p>	<p>No references found regarding Austria and violations of labour rights</p>	<p>country</p>	<p>Low risk</p>
<p>Child Labour Index 2014 produced by Maplecroft. http://maplecroft.com/portfolio/new-analysis/2013/10/15/child-labour-risks-increase-china-and-russia-most-progress-shown-south-america-maplecroft-index/</p>	<p>Austria scores ‘low risk’ on the Child Labour Index 2014</p>	<p>country</p>	<p>Low risk</p>
<p>http://www.verite.org/Commodities/Timber (useful, specific on timber)</p>	<p>Austria is not mentioned on this site</p>	<p>country</p>	<p>Low risk</p>
<p>The ITUC Global Rights Index ranks 139 countries against 97 internationally recognised indicators to assess where workers’ rights are</p>	<p>Austria is not mentioned in this report</p>	<p>country</p>	<p>-</p>

<p>best protected, in law and in practice. The Survey provides information on violations of the rights to freedom of association, collective bargaining and strike as defined by ILO Conventions, in particular ILO Convention Nos. 87 and 98 as well as jurisprudence developed by the ILO supervisory mechanisms.</p> <p>http://www.ituc-csi.org/new-ituc-global-rights-index-the?lang=en</p>			
<p>Google the terms '[country]' and one of following terms 'violation of labour rights', 'child labour', 'forced labour', 'slave labour', 'discrimination', 'gender gap labour', 'violation of labour union rights' 'violation of freedom of association and collective bargaining'</p>	<p>http://www.state.gov/documents/organization/220463.pdf <i>AUSTRIA 2013 HUMAN RIGHTS REPORT- United States Department of State • Bureau of Democracy, Human Rights and Labor</i> “To establish greater transparency and reduce the pay gap between the genders, the government required reporting on salaries by position and gender for all companies with more than 1,000 employees. During the year this requirement was extended to companies with more than 250 employees, which must file biannual reports. The participation rate for women between the ages of 15 and 64 in the labor force was 67.3 percent, as compared to 77.8 percent for men. Approximately 45 percent of employed women worked part time, compared with 32 percent in 2000.” (p. 12)</p>	<p>country</p>	<p>Specified risk for gender discrimination in the labour market</p>
	<p>“Section 7. Worker Rights a. Freedom of Association and the Right to Collective Bargaining There were few reports of antiunion discrimination or other forms of employer interference in union functions. The government recognized the right to strike. Authorities enforced laws providing for collective bargaining and protecting unions from interference and workers from retaliation for union activities. There were no reports of antiunion discrimination or employer use of short-term contracts to avoid hiring workers with union rights. There were no reported threats against, or targeting of, union leaders.” (p. 19) “b. Prohibition of Forced or Compulsory Labor While the law prohibits all forms of forced or compulsory labor, there were reports that women were subjected to involuntary domestic servitude and that children were subjected to forced begging. In addition to government-initiated forced labor awareness campaigns and workshops, labor inspectors and revenue authorities conducted routine site visits to identify forced labor.” (p. 19)</p>	<p>country</p>	<p>Low risk for union rights</p>
	<p>“c. Prohibition of Child Labor and Minimum Age for Employment The minimum legal working age is 15, with the exception that children who are least 12 engage in certain forms of light work on family farms or businesses. Children who are 15 and older are subjected to the same regulations on hours, rest periods, overtime wages, and occupational health and safety restrictions as adults but are subjected to additional restrictions on hazardous forms of work or for ethical reasons. Laws and policies protect children from exploitation in the workplace and prohibit forced or compulsory labor, and the government generally enforced these laws and policies effectively. In contrast with previous years, there were no reports from the Crisis Center for Unaccompanied Minors in Vienna of any children trafficked for forced begging.</p>	<p>country</p>	<p>Low risk for child labour</p>

	<p>The labor inspectorate of the Ministry of Labor, Social Affairs, and Consumer Protection is responsible for enforcing child labor laws and policies in the workplace, and the inspectorate enforced the laws effectively." (p. 19-20). "d. Acceptable Conditions of Work</p>		
	<p>There is no legislated national minimum wage. Instead, nationwide collective bargaining agreements with a coverage rate between 98 and 99 percent of the workforce set minimum wages by job classification for each industry. All collective bargaining agreements provide for a minimum wage of 1,000 euro (\$1,350) per month. The official poverty level was 1,031 euro (\$1,395) per month. Where no such collective agreements existed, such as for domestic workers, janitorial staff, and au pairs, wages were generally lower than those covered by collective bargaining agreements. The law requires equal pay for equal work." (p. 20)</p>	country	Low risk for minimum wage
	<p>http://ec.europa.eu/justice/gender-equality/gender-pay-gap/situation-europe/index_en.htm "Key figures on equality between women and men at work in relation to the gender pay gap From the new Eurostat estimates (based on the Structure of Earnings survey), it appears that there are considerable differences between the Member States in this regard, with the gender pay gap ranging from less than 10% in Slovenia, Malta, Poland, Italy, Luxembourg and Romania, to more than 20% in Hungary, Slovakia, the Czech Republic, Germany and Austria, and reaching 30% in Estonia." [The Gender pay gap in Austria was 23.4% in 2012, the second highest percentage in EU after Estonia (30%), LV.] [...] "A high pay gap is usually characteristic of a labour market which is highly segregated, meaning that women are more concentrated in a restricted number of sectors and/or professions (e.g. Czech Republic, Estonia and Finland), or in which a significant proportion of women work part-time (e.g. Germany and Austria)."</p>	country	Specified risk for gender pay gap
	<p>http://ec.europa.eu/justice/gender-equality/gender-pay-gap/causes/index_en.htm Last update: 28/02/2014 Although part-time work may be a personal choice, women have greater recourse to part-time work in order to combine work and family responsibilities. There is evidence of a pay gap in hourly earnings of part-time and full-time workers. Across Europe around 32% of women work part-time, compared to only around 8% of men.</p>	country	Specified risk for gender pay gap
	<p>http://www3.weforum.org/docs/WEF_GenderGap_Report_2013.pdf The Global Gender Gap Report 2013, World Economic Forum Austria ranks nr. 19 on the Global Gender Gap Index 2013 which lists 136 countries with a score of 0,7437 (see table 3a on page 8 – 10). This makes the gender pay gap in Austria low from a global perspective.</p>	country	Low risk for gender gap
Additional general sources	Additional specific sources		
No other sources found			
From national CW RA	not available	-	-

<p>Conclusion on Indicator 2.2:</p> <ul style="list-style-type: none"> • Social rights are covered by the relevant legislation. • Rights like freedom of association and collective bargaining are upheld. • There is evidence confirming absence of compulsory and/or forced labour. • There is evidence confirming absence of discrimination in respect of employment and/or occupation, and/or gender. Although there is a gender pay gap it is concluded that this is limited from the international perspective. • There is evidence confirming absence of child labour. • The country is signatory to the relevant ILO Conventions. • There is evidence that all groups (including women) feel adequately protected related to the rights mentioned above. • Evidences of minor violations of labour rights are limited compared internationally. <p>The following low risk thresholds apply:</p> <p>(10) Applicable legislation for the area under assessment covers the key principles recognized in the ILO Fundamental Principles and Rights at work (which are recognized as: freedom of association and right to collective bargaining; elimination of forced and compulsory labour; eliminations of discrimination in respect of employment and occupation; and effective abolition of child labour), AND the risk assessment for relevant indicators of Category 1 confirms enforcement of applicable legislation ('low risk'); [Compare the assessment for category 1]</p> <p>AND</p> <p>(12) Other available evidence do not challenge 'low risk' designation.</p>	country	Low risk
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Indicator 2.3. The rights of Indigenous and Traditional Peoples are upheld.

Guidance:

- Are there Indigenous Peoples (IP), and/or Traditional Peoples (TP) present in the area under assessment?
- Are the regulations included in the ILO Convention 169 and is UNDRIP enforced in the area concerned? (refer to category 1)
- Is there evidence of violations of legal and customary rights of IP/TP?
- Are there any conflicts of substantial magnitude [footnote 6] pertaining to the rights of Indigenous and/or Traditional Peoples and/or local communities with traditional rights?
- Are there any recognized laws and/or regulations and/or processes in place to resolve conflicts of substantial magnitude pertaining to TP or IP rights and/or communities with traditional rights?
- What evidence can demonstrate the enforcement of the laws and regulations identified above? (refer to category 1)
- Is the conflict resolution broadly accepted by affected stakeholders as being fair and equitable?

general sources from FSC-PRO-60-002a V1-0 EN	information found and specific sources	scale of risk assessment	risk indication
ILO Core Conventions Database http://www.ilo.org/ilolex/english/docs/declworld.htm - ILO Convention 169	http://www.ilo.org/dyn/normlex/en/f?p=1000:11200:0::NO:11200:P11200_COUNT_RY_ID:102549 Austria did not ratify Convention 169. Therefore this source does not provide information on its implementation by Austria.	country	Specified risk for ILO 169
Survival International: http://www.survivalinternational.org/	No sources mention IP/TP presence in Austria, neither the sources that give overviews, such as The Indigenous World, nor could any report or website be	country	Low risk
Human Rights Watch: http://www.hrw.org/			

Amnesty International http://amnesty.org	found mentioning or claiming IP/TP presence or a discussion or debate about such a presence.		
The Indigenous World http://www.iwgia.org/regions			
United Nations Special Rapporteur on the rights of indigenous peoples http://www.ohchr.org/en/issues/ipeoples/srindigenouspeoples/pages/sripeoplesindex.aspx			
UN Human Rights Council Universal Periodic Review http://www.ohchr.org/EN/HRBodies/UPR/Pages/Documentation.aspx			
UN Human Rights Committee http://www.ohchr.org/EN/HRBodies/CCPR/Pages/CCPRIndex.aspx search for country Also check: UN Committee on the Elimination of All Forms of Racial Discrimination http://www.ohchr.org/EN/HRBodies/CERD/Pages/CERDIndex.aspx			
Intercontinental Cry http://intercontinentalcry.org/			
Forest Peoples Programme: www.forestpeoples.org FPP's focus is on Africa, Asia/Pacific and South and Central America.			
Society for Threatened Peoples: http://www.gfbv.de/index.php?change_lang=english			
Regional human rights courts and commissions: - Inter-American Court of Human Rights http://www.corteidh.or.cr/index.php/en - Inter-American Commission on Human Rights http://www.oas.org/en/iachr/ http://www.oas.org/en/iachr/indigenous/ - African Commission on Human and Peoples' Rights - African Court on Human and Peoples' Rights - European Court of Human Rights			
Data provided by National Indigenous Peoples', Traditional Peoples organizations;			
Data provided by Governmental institutions in charge of Indigenous Peoples affairs;			
Data provided by National NGOs; NGO documentation of cases of IP and TP conflicts (historic or ongoing);			
National land bureau tenure records, maps, titles and registration (Google)			
Relevant census data - Evidence of participation in decision making; (See info on implementing ILO 169 and protests against new laws)			

- Evidence of IPs refusing to participate (e.g. on the basis of an unfair process, etc.); (See info on implementing ILO 169 and protests against new laws)			
National/regional records of claims on lands, negotiations in progress or concluded etc.			
Cases of IP and TP conflicts (historic or ongoing).) Data about land use conflicts, and disputes (historical / outstanding grievances and legal disputes)			
Social Responsibility Contracts (<i>Cahier des Charges</i>) established according to FPIC (Free Prior Informed Consent) principles where available			
Google the terms '[country]' and one of following terms 'indigenous peoples organizations', 'traditional peoples organizations', 'land registration office', 'land office', 'indigenous peoples', 'traditional peoples', '[name of IPs]', 'indigenous peoples+conflict', 'indigenous peoples+land rights'			
Additional general sources for 2.3	Additional specific sources	scale of risk assessment	risk indication
no other sources found			
From national CW RA	not available	-	-
Conclusion on Indicator 2.3: There are no indigenous peoples and no traditional peoples in Austria. Therefore the following 'low risk' thresholds apply: (16) There is no evidence leading to a conclusion of presence of indigenous and/or traditional peoples in the area under assessment; AND (21) Other available evidence do not challenge 'low risk' designation.		country	Low risk

Controlled wood category 3: Wood from forests in which high conservation values are threatened by management activities

Overview

Austria currently has 3.99 million ha of forests, i.e. 47.6% of the land area with an increasing trend. Nature conservation is applied on 21.5% of this area according to the definitions of the FOREST Europe Indicator 4.9 (Protected Forests), on approximately 13% in a stricter sense in terms of priority management target for biological diversity. In the 294 reported Natura 2000 sites almost half of the forest areas are affected.

Austria has committed itself to the implementation of international conventions, such as the Convention on Biological Diversity, the Convention on the Conservation of Species, and the Alpine Convention, and has implemented these conventions accordingly in national environmental and nature conservation law.

Protection of nature and species as well as biodiversity protection are defined in the Austrian legislation at province level, but also at federal level.

The size of logging areas are legally regulated and officially supervised, transgressions are not common habit and are persecuted accordingly. There would be a need to improve the coordination of nature conservation and hunting competences (provinces) with those of forestry (federal). First steps into this direction have been undertaken in the "Forst-Jagd-Dialog" (Forest-Hunting-Dialogue), founded in 2012 and based on the Declaration of Mariazell (www.forstjagddialog.at). Representatives of the hunting federations and the forestry sector in Austria agreed on common principles and goals. Numerous measures have been implemented so far, e.g. a nationwide game impact monitoring, awarding best practice hunts dealing with the forest – game- issue, organisation of conferences and workshops dealing with nature-oriented forestry and integrated game-management.

Moreover the working program of the Austrian Forest Strategie 2020+ (Österreichische Waldstrategie) that has been elaborated in a broad stakeholder dialogue takes hunting and nature conservation likewise into account. Measures are e.g. to minimise conflicts, to improve dialogue and to consider the various stakeholder interests via integral land use planning, the implementation of the biodiversity and wetlands strategy in cooperation with nature protection, hunting, landscape planning etc.

In order to protect rare and endangered species, the environmental associations highly recommend to identify and localize the occurrence of natural forests and to develop adapted management concepts throughout Austria in the coming years. The Austrian Federal Ministry for Agriculture, Forestry, Environment and Water Management refers in this connection to the ongoing Federal Natural Forest Reserve Program and comparable programs on province level as well as planned expansions in line with the financial possibilities.

In addition, forestry organizations have been trying for years to positively promote measures of species diversity and biodiversity among forest managers/owners. Examples are: the educational program "Forest managers observe biodiversity", brochures like "Site-adapted rejuvenation of the forest" and "Design and maintenance of forest edges" or the "Woodpecker Project" for enriching biotope wood

Austria had a CPI (Corruption Perceptions Index) of 75 in 2016, which is above the FSC threshold of 50 for a low risk of corruption. There is no evidence of corruption in the Austrian forest sector or significant inefficiencies within the competent supervisory authorities. On a scale of -2.5 to +2.5 Austria achieved 1.83 for the rule of law and 1.51 for the control of corruption among World Bank Worldwide Governance indicators. These facts together with statistics and other information from Austrian supervisory authorities on legal compliance, which were used in the risk assessment of CW category 1 "legality" for Austria, allows conclusions regarding compliance of forestry and environmental legislation.

Assessment method

The assessment method employed for the risk assessment is based on the procedure FSC-PRO-60-002a V1-0.

The assessment scheme follows three fundamental questions:

- Is the conservation value present as stipulated in the indicator and defined for Austria?
- If yes, does forest management represent a threat?
- If yes, are protection mechanisms in place, are these sufficiently effective or, if impairments do exist, are compensation and correction measures possible?

The assessment was done by means of research of literature and 'grey' sources such as internet sources, expert statements and protocols, progressing from the general to an ever increasing level of detail, so that an information base is created. Employing the above sequence of questions, as soon as the conclusion 'low risk' could be drawn, no further research pertaining to the subsequent questions need be pursued.

Essentially there are three situations to come to an assessment:

- Based on sufficient information the three questions can be answered with 'low risk.' For this to occur, the information base must be such that there are no substantive suggestions that a 'specified risk' exists.
- Based on sufficient information the three questions can be answered with the conclusion 'specified risk'. In this case, it risk.' It is necessary to countercheck whether there may in fact be indications for a 'low risk' classification.
- If there is evidence for either 'low risk' and 'specified risk', then according to paragraph 2.4.4 of FSC-PRO-60-002a the precautionary approach and the weighting of the rating tends to be 'specified risk' and consequently control measures need to be suggested, However, the precautionary principle is only applied, if the assessment is decided on the last question of the decision tree and 'low risk' is assumed here.

Figure 1 illustrates the approach and the application of the risk assessment results by enterprises wishing to declare wood sourced in Austria as FSC controlled wood.

When assessing whether sufficient protection measures are in place, and whether these are effective, the three questions below are asked in sequence:

- Are protection measures in place?
- If yes, the following question applies: Are the specified protection measures sufficiently effective to control threats?
- If no, the following question applies: Do compensation or corrective measures apply, after violations of or non-compliance to protection measures took place?

If one these specific questions leads to negative results, the risk is classified as 'specified risk.'

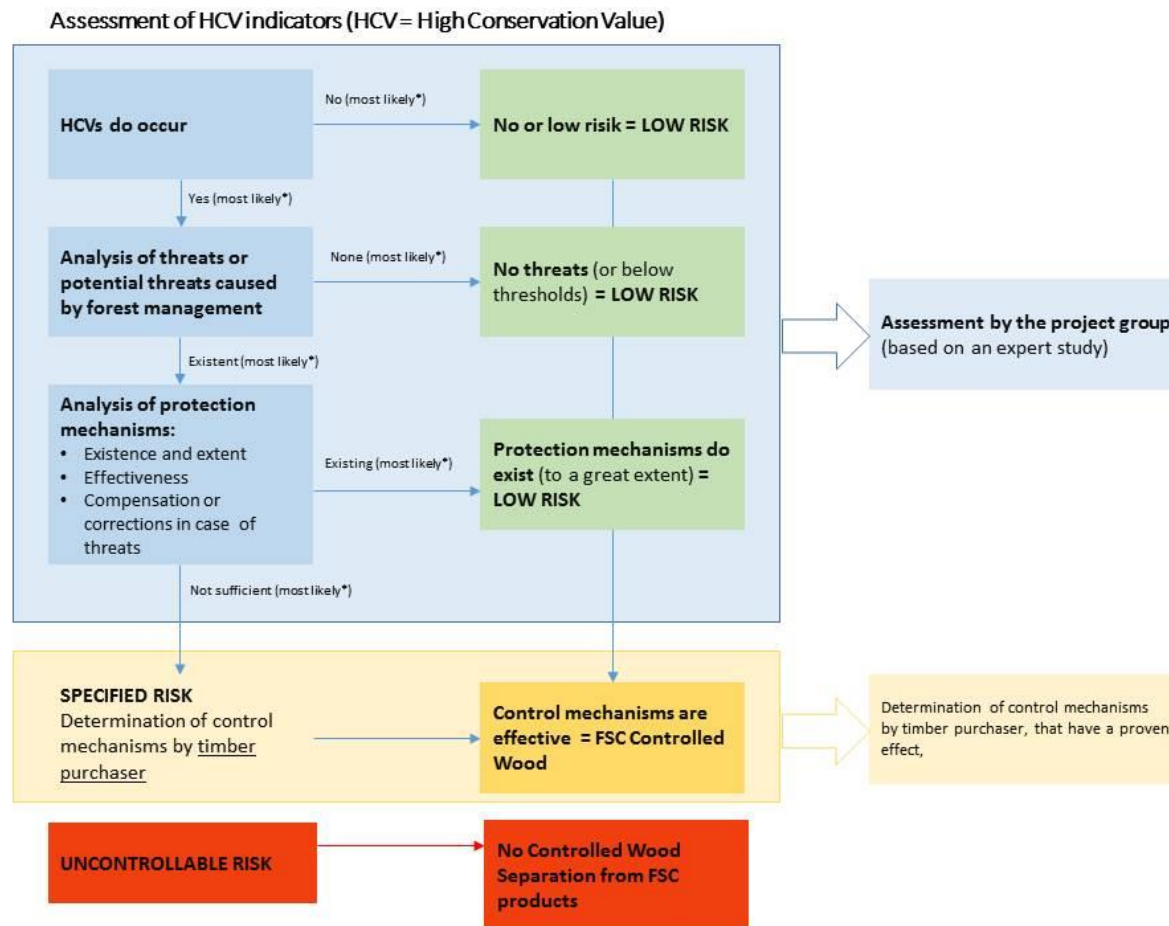


Fig. 1: Assessment method for Controlled Wood-Categorie 3 „High conservation values“

Definition of the categories for high conservation values

Definition of the CW category 3: Wood from forests in which high conservation values are threatened by management activities

Indicator 3.0- data availability: Data available are sufficient for: a) Determination of HCV presence for each HCV, AND

b) The assessment of the threats to HCVs from forest management activities.

HCV 1 - Species diversity: Concentration of biological *diversity* including endemic, *rare*, *threatened* and *endangered* species of significance on a global, regional or national level.

Application note for this indicator in Austria:

Occurrence of strictly protected species and handling of invasive species in forests

HCV 2 - Landscape-level ecosystems and mosaics: Intact forest landscapes and large landscape-level ecosystems and ecosystem mosaics that are significant at global, regional or national levels, and that contain viable populations of the great majority of the naturally occurring species in natural patterns of distribution and abundance.

Application note for this indicator in Austria:

For Austria all forests are referred to, which are subject to a nature protection status according to the FOREST EUROPE categories. Large landscape ecosystems are defined as a 50,000 ha closed forest without road infrastructure according to the approach of FSC International and Global Forest Watch.

HCV 3 - Ecosystems and habitats: Rare, threatened, or endangered ecosystems, habitats or refugia.

Application note for this indicator in Austria:

For Austria, nature conservation instruments in terms of national parks, nature reserves and natural forest reserves are scrutinised, in particular the designated Natura 2000 protected areas according to the FFH habitat types.

HCV 4 - Special ecosystem services: Critical ecosystem services. Basic ecosystem services in critical situations, including protection of water catchments and control of erosion of vulnerable soils and slopes.

Application note for this indicator in Austria:

The Austrian Forest Act (FG) 1975 in the amended version of 2002 forms the basis. In the course of the amendment 2002, the existing protection forest concept was included in the categories "site protection forest" for the protection of the site itself and "object protection forest" for the protection of people and human infrastructure to provide welfare effects of forests:

- Site protection comprises the protection against soil erosion and threat to the vegetation. This includes:
 - forests on wind-borne sands or soils,
 - forests on sites which are prone to karst or are highly erosion-prone,

- forests in rocky, shallow, or steep areas where their reforestation is possible only under difficult conditions,
- forests on slopes, where dangerous slides are to be feared,
- forest vegetation in the forest combat zone,
- the forest belt immediately adjacent to the combat zone.
- Object protection covers the protection of people and their facilities or installations against elementary hazards (such as rockfall, avalanches, landslides) and other damaging environmental influences (such as noise, immissions)
- Protection of and against water (drinking water or flood protection) has been subject to water law but has cross-references to the forest and its welfare effects.

HCV 5 - Community needs: Sites and resources fundamental for satisfying the basic necessities of local communities or indigenous peoples (e.g., for livelihoods, health, nutrition, water, etc.), identified through engagement with these communities or indigenous peoples.

Application note for this indicator in Austria:

The Austrian assessment of this indicator is oriented on the legally defined term „Einforstungsrechte“ (which represent specific rights in the Alps and include wood extraction and grazing rightson foreign property) and relates to the FOREST EUROPE Indicator 6.10 (access for recreational purposes). Indicator 6.10 is defined as forest and other forested land, where the public has a right of access for recreational purposes.

HCV 6 - Cultural values: Sites, resources, habitats and landscapes of global or national cultural, archaeological or historical significance, and/or of critical cultural, ecological, economic or religious/sacred importance for the traditional cultures of local communities or indigenous peoples, identified through engagement with these local communities or indigenous peoples.

Application note for this indicator in Austria:

The Austrian assessment is based on the FOREST EUROPE indicator 6.11 (cultural and spiritual values), as well as indicator 4.15 of the Austrian Forest Dialogue (traditional forest management forms).

Indicator 6.11 includes traditional, historically and culturally valuable objects and forests. Indicator 4.15 describes forest areas with particular traditional management, i.e. coppice forests or coppice with standards.

Experts consulted

	Name	Organization	Area of expertise (category/sub-category)
1.	xxx	xxx	Nature Conservation
2.	xxx	xxx	Research on silviculture
3.	xxx	xx	Management Forest Area Planning and Sustainable Forest Resource Development, Public Authority

Names of experts consulted have been blackened in the public version of the risk assessment for confidentiality reasons, but FSC International has been provided with all details.

Risk assessment

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
3.0	All, as listed in the Annex	<p>The data on high conservation values is sufficient to conduct a risk assessment for Austria. Data are largely associated with legal national and international reporting requirements. In addition, scientific studies provide information on key aspects. The execution of a risk assessment was possible.</p> <p>For individual indicators game and pastoral influence as well as fragmentation / missing habitat interconnection are repeatedly mentioned as a cause of threat. It should be noted that these are mostly external influences, which are not attributable to forest management activities. In these cases they have no further significance for the risk assessment of forest management activities.</p>	n/a	<p>The risk designation for the area under assessment is 'low risk', as threshold 1 and 2 are met.</p> <p>Data for the assessment of the occurrence of all HCVs as well as the assessment and evaluation of potential threats caused by forest management activities are available to a sufficient degree.</p>
<u>Analysis of Threshold 1:</u> Data available are sufficient for determining HCV presence within	<p>Linser S. (2016): ÖWAD-Indikatoren-Set zur Vorlage an das Österreichische Waldforum. Universität für Bodenkultur, Wien.</p> <p>Bundesministerium für Land- und Forstwirtschaft, Umwelt &</p>	Data from the Austrian Forest Inventory form an essential basis for this risk assessment. The inventory is conducted periodically since 1960 and has been started as a permanent inventory in 2016 giving results for 2018/19. Red lists deliver important information about species and habitat types. Reports to the European Commission on the Habitats and Birds Directives provide information on the degree of implementation of Natura 2000 in Austria. The regularly		Threshold 1 is met; an assessment of HCV presence within the area under assessment based on the existing data was possible.

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
<p>the area under assessment.</p> <p><u>Context:</u> Are sufficient data available to determine the occurrence and the distribution of HCVs within the area under assessment, in accordance with the requirements of the risk assessment framework (FSC-PRO-60-002a)?</p>	<p>Wasserwirtschaft (2016): Österreichische Waldstrategie 2020+. https://www.google.de/url?sa=t&rct=j&q=&esrc=s&source=web&cd=2&ved=0ahUK EwiamO7z-JLVAhXDJVAKHU62BAEQFggoMAE&url=https%3A%2F%2Fwww.bmlfuw.gv.at%2Fdam%2Fjcr%3A80fde3f4-eea1-4653-b250-862059042e95%2FWaldstrategie%25202020%2B.pdf&usg=AFQjCNECNrs6_PzrG1NExKklm8MqU-Lrag&cad=rja Last visited on 18.07.2017.</p> <p>Bundesministerium für Land- und Forstwirtschaft, Umwelt & Wasserwirtschaft (2015): Nachhaltige Waldwirtschaft in Österreich. Österreichischer Waldbericht 2015. https://www.google.de/url?sa=t&rct=j&q=&esrc=s&source=web&cd=1&ved=0ahUK Ewj2v-LU-ZLVAhXRmLQKHDKAB8QFggiMAA&url=https%3A%2F%2Fwww.bmlfuw.gv.at%2Fdam%2Fjcr%3Af11131d2-9b5f-4e31-b55e-e4db98193213%2FWaldbericht%25202015.pdf&usg=AFQjCNGQfJaFQHVVY941kUHt0KWEsHfZ8vA&cad=rja Last visited on 18.07.2017.</p> <p>Additional sources detailed under each indicator.</p>	<p>published State of the Environment report documents influences on the environment, including forests and biodiversity.</p> <p>The indicators for sustainable forest management developed in the framework of the Austrian Forest Dialogue are based on the pan-European and international reporting requirements, but they also go beyond in a country-specific approach. They form the basis for the Austrian Forest Report, the most recent synthesis of forest parameters, and are updated at regular intervals.</p> <p>These data are supplemented by legal requirements regarding HCVs in the Austrian forests and international obligations, and their implementation in form of different policy instruments.</p>		
<p><u>Analysis of Threshold 2:</u> Data available are sufficient for</p>	<p>Detailed under each indicator.</p>	<p>The data basis on threats of HCVs by forest management is ensured by the above-mentioned instruments. In addition, scientific studies are used to underpin partial aspects of the discourse. In this context the assessment of temporal trends, the recognition of</p>		<p>Threshold 2 is met; an assessment of the threats to HCVs caused</p>

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
<p>assessing threats to HCVs caused by forest management activities.</p> <p><u>Context:</u> Are sufficient data available for assessing threats to HCVs caused by forest management activities?</p>		<p>new developments and the description of influencing factors are important. The Austrian Forest Dialogue with its forest strategy 2020+ and the corresponding work program (in progress) focuses cumulatively on the main aspects.</p>		<p>by forest management activities was possible.</p>
<p><u>Analysis of threshold 3 for specified risk:</u> Data available are not sufficient for determining HCV presence within the area under assessment. AND/OR</p>				<p>Threshold 3 has not been assessed as thresholds 1 and 2 have already resulted in a 'low risk' determination.</p>
<p><u>Analysis of threshold 4 for specified risk:</u> Data available are not sufficient for assessment of the threats to HCVs caused by forest management activities</p>				<p>Threshold 4 has not been assessed as thresholds 1 and 2 have resulted in a 'low risk' determination.</p>
<p><u>3.1 HCV 1</u></p>	<p>Bundesministerium für Land- und Forstwirtschaft, Umwelt & Wasserwirtschaft (2016): Österreichische Waldstrategie 2020+. https://www.google.de/url?sa=t&rct=j&q=&src=s&source=web&cd=2&ved=0ahUKEwi amO7z-JLVAhXDJVAKHU62BAEQFggoMAE&url=https%3A%2F%2Fwww.bmlfuw.gv.at%2Fdam%2Fjcr%3A80fde3f4-eea1-4653-b250-862059042e95%2FWaldstrategie%252020</p>	<p>The connection between nature conservation and forest management is still controversial. The main focus here is on the tension between ownership and sovereign interference. Beyond the systematic question of these two poles, which is not the focus of the evaluation, the question is whether there are sufficient instruments for regulating and obtaining information on species protection.</p> <p>Furthermore seminatural and natural forests, which can be found particularly in mountainous regions in Austria, are not uniformly and sufficiently documented at national level. The competent</p>	<p>n/a</p>	<p>The risk designation for Indicator 3.1 for the area under assessment is 'low risk' as threshold 7 is met. The occurring HCV1 are identified and are effectively protected against threats from forest management activities.</p>

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
	<p>20%2B.pdf&usg=AFQjCNECNrs6_PzrG1NExKklm8MqU-Lrag&cad=rja Last visited on18.07.2017.</p> <p>Bundesministerium für Land- und Forstwirtschaft, Umwelt & Wasserwirtschaft (2015): Nachhaltige Waldwirtschaft in Österreich. Österreichischer Waldbericht 2015. https://www.google.de/url?sa=t&rct=j&q=&src=s&source=web&cd=1&ved=0ahUKEwj2v-LU-ZLVAhXRmLQKHDKAB8QFggiMAA&url=https%3A%2F%2Fwww.bmlfuw.gv.at%2Fdam%2Fjcr%3Af11131d2-9b5f-4e31-b55e-e4db98193213%2FWaldbericht%25202015.pdf&usg=AFQjCNGQfJaFQHVY941kUht0KWEsHfZ8vA&cad=rja Last visited on18.07.2017.</p>	<p>nature conservation authorities would be required to disclose the existing data collections and to evaluate biotope mapping and contract nature conservation projects.</p> <p>A number of monitoring instruments and nature conservation tools are in place to generate information and data, such as red lists. It should be noted that they are not always up-to-date and a spatially explicit recording of nature conservation values in the forests does not exist on an extensive scale. Improved cooperation and communication between nature conservation and forest owners is recommended here. The cooperation between the Austrian Federal Forests (ÖBf) and WWF Austria can be cited as a joint example of developing projects to deal with nature conservation issues on ÖBf areas and to improve the cooperation and communication between nature conservation and forest owners.</p> <p>Although the risk can be evaluated as low, the relevant stakeholders in Austria do see the need for action and have taken up corresponding measures with a special emphasis on protected areas such as Natura 2000 or others. For example, the Federal Environment Agency carries out a survey and evaluation on the impact / effectiveness of legal regulations in protected areas and the evaluation of management plans for protected areas, which started in 2017. The goal is to merge these data. Results are expected in mid-2018 (expert interview June 2017).</p> <p>In the course of the discussions within the framework of the Austrian Forest Program, a better coordination of the Natura 2000 implementation and in particular the preparation of management plans to the necessary extent was demanded from several sides. These claims also include further measures for an urgently needed reconciliation of interests in this respect.</p> <p>In the course of the discussions within the framework of the Austrian Forest Program, a better coordination of the Natura 2000 implementation and in particular the preparation of management plans to the necessary extent was demanded from several sides. These claims also include further measures for an urgently needed reconciliation of interests in this respect.</p>		

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
		<p>Within the framework of the Austrian Forest Dialogue, the mentioned aspects are addressed by indicators for sustainable forest management that have been developed in a broad stakeholder dialogue and are inter alia fixated in the Forest Strategy 2020+. They are based on the pan-European and international reporting requirements, but are also going beyond in a country-specific approach. They are the most recent synthesis of forest parameters as basis for the Austrian Forestry Report and are updated at regular intervals.</p> <p>In order to meet the demand for a better understanding of forest biodiversity, the BMLFUW is coordinating a project to improve biodiversity monitoring in protected areas.</p> <p>After the exclusion of systematic and extensively occurring forest management practices that are adverse to nature conservation and the concurrent existence of a large number of political and legal regulations that actually meet the desired objectives, the risk of HCV1 values being threatened is classified as low.</p>		
<p><u>Analysis of threshold 5:</u> There is no HCV1 identified in the area under assessment and its occurrence is unlikely.</p> <p><u>Context:</u></p> <ul style="list-style-type: none"> • Are there instruments to identify HCVs of category 1 taking into account the precautionary 	<p>Ellmauer T. (2005): Entwicklung von Kriterien, Indikatoren und Schwellenwerten zur Beurteilung des Erhaltungszustandes der Natura 2000-Schutzgüter. Band 3: Lebensraumtypen des Anhangs I der Fauna-Flora-Habitat-Richtlinie. Umweltbundesamt, Wien</p> <p>Essl F., Egger G., Ellmauer T., Aigner S. (2002): Rote Liste gefährdeter Biotoptypen Österreichs. Wälder, Forste, Vorwälder. Umweltbundesamt Monographien Bd. 156, Wien.</p> <p>Linser S. (2016): ÖWAD-Indikatoren-Set zur Vorlage an das Österreichische Waldforum. Universität für Bodenkultur, Wien.</p>	<p>Conservation values of this category are identified and described for Austria. Nature conservation in Austria is the responsibility of the provinces within the scope of the nature conservation laws of the provinces, as well as the hunting law, while the forest law is federal competence. Red lists have been maintained in Austria since the 1970s, but a red list, which is specifically designed for forests, does not exist. One approach in this direction is the Red List for forest biotoptypes, which has been maintained since 2001 (Essl et al., 2002).</p> <p>The Red Lists serve as an indicator for the Austrian Forest Dialogue. The indicator itself is based on the FOREST EUROPE indicator 4.8, which evaluates the number of endangered species compared to the total number of forest species and is classified according to IUCN specifications. The Red Lists in Austria date from 1999-2007, i.e. they are not up to date. The working group is aware of the fact that the Red Lists require further updates. However, it concludes that based on the existing data and other existing instruments to determine the conservation</p>		<p>Strictly protected species in the forest area are identified and described within the framework of legal requirements and additionally identified and described on a regional scale. Threshold 5 is not met, further risk assessment was required.</p>

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
<p>principle where there is uncertainty over possible occurrence? Are there significant habitats such as sites for roosting, breeding or overwintering in the area under assessment, or might these habitats potentially exist (applying the precautionary principle)?</p>		<p>status of threatened species, an assessment of this conservation value can be executed for Austria. Generally, the distinction between species from forests and cultural landscapes is not always possible. However, a synopsis by Linser (2016) gives an overview of the endangered forest species. Hence there are varying both positive and negative trends, a number of species of fauna and flora are endangered or influenced to various degrees and are still assigned to high risk classes.</p> <p>Within the framework of the Natura 2000 network a number of species has been identified that are closely associated with forests. A total of 35 animal and plant species are listed in Annex II of the Habitats Directive, among them predators, bat species, deadwood beetles, butterflies or forest mosses. In Annex I of the Birds Directive, 34 bird species are listed that can be associated with forests, including species of woodpeckers, owls, grouses and petroicidae (Ellmayer, 2005).</p>		
<p><u>Analysis of Threshold 6:</u> There is low/negligible threat to HCV1 caused by management activities in the area under assessment.</p> <p><u>Context:</u></p>	<p>BFW (2009): Holz- und Biomassenstudie. BFW Praxisinformation Nr. 18-2009. Bundesamt für Wald, Wien.</p> <p>BFW (2016): Mischwälder – weniger Risiko, höhere Wertschöpfung. BFW Praxisinformation Nr. 41-2016. Bundesamt für Wald, Wien.</p> <p>BirdLife Österreich (2014): Ausarbeitung des österreichischen Berichts gemäß Artikel 12 der Vogelschutzrichtlinie, 2009/147/EG. Berichtszeitraum 2008-2012. BirdLife Österreich, Wien.</p>	<p><i>Habitat fragmentation</i></p> <p>The key aspects of the influence that forest management has are connotated with the forests` role as a cultural landscape form. A distinction must be drawn between the effects of forest management and the impacts on forests as ecosystems. The main influences on biodiversity can be summarized as follows (among others Kuratoriumswald, 2015):</p> <ul style="list-style-type: none"> • Habitat fragmentation and habitat interconnectedness • Forest structure and tree species composition • Deadwood management and biotope trees <p><i>Habitat removal</i></p> <p>It is important to note that a crucial aspect of habitat fragmentation stems from higher road infrastructure. Linser</p>		<p>Threats to forest species such as habitat loss, habitat fragmentation and invasive species do occur and are described. Threshold 6 is not met, further assessment was necessary.</p>

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
<p>The following threats shall be considered:</p> <ul style="list-style-type: none"> • habitat removal • habitat fragmentation <p>introduction of alien/invasive species</p>	<p>BMLFUW (2015): Indikatorenbericht MONE 2015.</p> <p>Ellmauer T. (2013): Ausarbeitung eines Entwurfs des österreichischen Berichts gemäß Artikel 17 der FFH-Richtlinie, Berichtszeitraum 2007-2012. Umweltbundesamt, Wien.</p> <p>Essl F., Rabitsch W. (2002): Neobiota in Österreich. Umweltbundesamt Wien.</p> <p>Grabherr, G., Koch, G., Kirchmeier, H. et al. (1998): Hemerobie österreichischer Waldökosysteme. Innsbruck: Österreichische Akademie der Wissenschaften.</p> <p>Heckl, F., Lexer, W., Vacik, H., Wolfslehner, B., Hackl, J. (2003): Grundlagen für die Umsetzung des Ökosystemaren Ansatzes des "Übereinkommens über die Biologische Vielfalt". Aspekte des Schutzes und der nachhaltigen Nutzung der biologischen Vielfalt am Beispiel des österreichischen Waldes, Umweltbundesamt Bericht BE-153, Umweltbundesamt, Wien.</p> <p>Hasenauer H. (2016): Douglasie. Eine alternative Holzart? Holzkurier 71, S. 26.</p> <p>Kuratorium Wald, (2016): Natura 2000 und Wald. Handbuch und Fachbeiträge zur Umsetzung des europäischen Schutzgebietsnetzwerks Natura 2000 in Österreichs Wäldern. Kuratorium Wald, Wien</p>	<p>(2016) reports that forest fragmentation occurs in nearly half of the forest area and that 36 km² of forest land loss is attributable to the higher road network. The fragmentation of the forest through roads, railways and other infrastructure is considered to be a major cause of the decline of individual forest species. The fact that Austria has a comparatively low interconnectness of habitats is above all related to this large-scale fragmentation, which is also difficult to reverse. This affects habitats of large carnivores such as bears, wolves and lynxes.</p> <p>In addition, the Austrian forests have a rather high density of 46 lfm / ha of forest roads and trails. This is reasoned with an increased need for forestry infrastructure to improve the accessibility in mountain forests and increased silvicultural measures respectively. Besides that forest roads are still - after a requirement analysis has been conducted - an essential subject of forestry subsidies.</p> <p>With regard to the ongoing negotiations with the European Commission (co-financing of support programs, implementation of EU nature conservation targets), it appears necessary to consider and balance individual reasons for both forest infrastructure requirements and protected areas.</p> <p>While an increasing infrastructural development is intended to prevent extensive operations on forest soils, an increasing part of sealed roads, trafficable for heavy goods vehicles, has a stronger effect. Fragmentation by forest roads is discussed controversially. On the one hand, the creation of inner ecotones can generate additional micro habitats, while on the other hand, logging activities on slopes, that interfere with watercourses and nutrient cycles of specific biotopes have a potential influence on biodiversity (Heckl et al., 2003).</p> <p><i>Forest structure and tree species composition</i></p>		

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
	<p>Linser S. (2016): ÖWAD-Indikatoren-Set zur Vorlage an das Österreichische Waldforum. Universität für Bodenkultur, Wien.</p> <p>Mühlethaler, U. (2010): Eine Baumart gibt zu diskutieren. Forst und Holz 6/10, 35-38.</p> <p>Pötzelsberger, E., Hasenauer, H. (2016): Der Götterbaum in Österreich. Österreichische Forstzeitung 127, S. 10-11.</p> <p>Seidl, R., Rammer, W, Lexer, MJ (2011): Adaptation options to reduce climate change vulnerability of sustainable forest management in the Austrian Alps. CAN J FOREST RES. 2011; 41(4): 694-706.</p> <p>Starlinger F., Englisch M. (2016): "Gastbaumart" oder "invasive gebietsfremde Art" – ein Spannungsfeld. https://bfw.ac.at/rz/bfwcms.web?dok=10039</p> <p>Vacik H., Wolfslehner G., Ruprecht H., Hochbichler E. (2015): Wissenschaftliche Grundlagen zum Totholzmonitoring als Beitrag zur Beurteilung des Erhaltungszustandes. In: Kuratorium Wald: Natura 2000 und Wald. Handbuch und Fachbeiträge zur Umsetzung des europäischen Schutzgebietsnetzwerks Natura 2000 in Österreichs Wäldern. Kuratorium Wald, Wien, S. 61-65.</p> <p>Wichmann G. (2015): Die Kooperation BirdLife Österreich und Österreichische</p>	<p>With regard to the forest structure and tree species composition, the Austrian Forest Inventory provides information at the federal level. Site adapted forests in the best possible degree of species mixture are regarded as basic prerequisites for a distinct biodiversity. According to a hemeroby study, 66% of the Austrian forests were classified as natural to moderately altered (Grabherr et al., 1998). Since only about 3% of the forests are considered as natural, i.e. without significant human influence, the functions of managed forests are particularly important. The latest forest inventories show a rising share of broad-leaved tree species, partly due to the shortfall of spruce in lowlands, partly due to forest management activities to increase the share of hardwood. This aspect is also reflected in the silvicultural programs of the provinces and the Austrian funding guidelines (BFW, 2016). Aspects of climate change adaptation are particular drivers (Seidl et al., 2011). Likewise, the share of shrubs in forest stands increased, while the area of shrubland decreased slightly (Linser, 2016). According to the Austrian Forest Inventory (ÖWI), 61% of the Austrian forests show a natural or semi-natural tree species composition (BMLFUW 2015).</p> <p>Within the framework of the already mentioned shift to a permanent forest inventory in Austria, indicators for the Austrian Forest Biodiversity Index are to be regularly collected, which will allow for evaluation of habitat continuity and old succession stages in forests at district level. Further information on deadwood specifications can be found in the Austrian Forest Inventory http://bfw.ac.at/rz/wi.auswahl.</p> <p>Interdependency between forest management and natural diversity are to be assessed in a differentiated manner. Here the discourse ranges from disruption of natural processes to a contribution to biodiversity in managed forests as a result of structural support. However, the avoidance of large clearings is</p>		

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
	<p>Bundesforste: In: Kuratorium Wald (2015): Natura 2000 und Wald. Handbuch und Fachbeiträge zur Umsetzung des europäischen Schutzgebietsnetzwerks Natura 2000 in Österreichs Wäldern. Kuratorium Wald, Wien, S. 66-70.</p>	<p>important. In Austria, the use of forests is restricted by the Forest Act.</p> <p>The Austrian Forest Act obliges to preserve the forest as such and to manage it sustainably. According to § 1 (3), sustainable forest management defines the management and use of forests in a way and to an extent that maintains their biological diversity and vitality, etc. Habitat continuity is further enhanced by specific management rules such as the obligation for reforestation (§ 13) as well as the prohibition of forest degradation (§ 16). Sustainable forest management also includes e.g. zones without active forest management such as natural forest reserves or core zones of national parks. § 80 of the Forestry Act defines the protection of immature stands, § 82 of the Forestry Act prohibits clear-cuts. Clearcuts are defined as cuttings larger than 2 ha, or if they exceed 600 m in length under a width of less than 50 m. In practice, realignments of the cuttings after salvage logging as well as clear-cuts and strip fellings that are positioned too close to each other can increase the effect of the clear-cut. Such effects are, however, examined by the forest authorities and, if necessary, prosecuted.</p> <p>Of crucial importance is the rejuvenation of existing forest stands. It is obvious that selective browsing caused by deer populations represents a persistent threat to tree species such as fir and the successful regeneration of forest stands. As a consequence, the fir is even listed in category 3 in the Red List of endangered plant species.</p> <p>With respect to deadwood, it has to be stated that the proportion of standing deadwood > 20 cm has more than doubled since the 1990s to 4.5 Vfm / ha. High diameter standing deadwood has also increased in the last 25 years (ÖWI 2007/09, see Linser, 2016). This kind of deadwood is important as it is essential e.g. for 21 bird species, listed on the red list (Wichmann, 2015). In addition,</p>		

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		<p>deadwood is important for a range of xylobiontic species, lichens, mosses, etc., and is an essential indicator for assessing the quality of habitats (Vacik et al., 2015). At present, the conservation of deadwood and old growth patches is supported by financial means for rural development. Functionally and spatially explicit statements cannot be fully derived from these data. Relating to the impacts of timber harvest, whole-tree harvesting is currently discussed with regard to nutrient removal and soil carrying capacity (BFW, 2009). Set against the current trend towards greater biomass use in the forest, it is important to ensure that the use of harvest residues and mature trees is not undertaken at the expense of biodiversity maintenance.</p> <p>The permanent forest inventory, which was launched in Austria in 2016, will give information about this issue from 2018/2019 onwards and deliver indicator values on district level. Since the spatial distribution of structures such as deadwood or old trees is essential for forest biodiversity, a project is to be prepared in 2017 according to the BMLFUW that deals with the inventory of more concrete values as regards the spatial distribution in protected areas as well as species and habitat types.</p> <p>Overall, Ellmauer (2013) concludes that forest species according to the Habitats Directive (FFH) are showing a better conservation status than the forest habitat types, even though species with specific requirements such as deadwood beetles, bat species or tree martens remain under pressure. Bird populations, especially of forest species, appear still relatively stable (BirdLife Austria, 2014). It appears that the situation in forests is consistently better than that of other ecosystems in Austria, while on the other hand the qualitative assessment of results is still concerning. In a further step, the study on the favourable conservation status (Ellmauer 2013) will be subjected to further technical evaluation and a revision is being considered in agreement with the federal states responsible for nature conservation.</p>		

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		<p><i>Invasive species / Neobiota</i></p> <p>The impacts of introduced species on native ecosystems are difficult to estimate but regarded as crucial factors for the endangerment of biodiversity. In Austrian forest ecosystems, neophytes are prevalent mainly in alluvial/floodplain areas and warmer regions (Linser, 2016). 11 introduced tree species and 16 plant species are documented in the shrub and herb layer in Austria's forests (Essl & Rabitsch, 2002). Tree species, that are showing an invasive character, are mainly Robinia (<i>Robinia pseudoacacia</i>), Canadian poplar (<i>Populus x canadensis</i>), Red ash (<i>Fraxinus pennsylvanica</i>), boxelder maple (<i>Acer negundo</i>) and ailanthus (<i>Ailanthus altissima</i>).</p> <p>Further invasive forest species are the small-flowered touch-me-not (<i>Impatiens parviflora</i>), red touch-me-not, giant goldenrod (<i>Solidago gigantea</i>), Japanese knotweed (<i>Fallopia japonica</i>), Canadian goldenrod (<i>Solidago canadensis</i>), lance-leaf aster (<i>Symphyotrichum lanceolatum</i>), New York aster (<i>Symphyotrichum novi-belgii</i>), devil's-pitchfork (<i>Bidens frondosa</i>), American willowherb (<i>Epilobium ciliatum</i>) and cutleaf coneflower (<i>Rudbeckia laciniata</i>).</p> <p>From the forest management perspective Robinia is particularly relevant on 0.2% of the total area, especially in the summer-warm East. The nitrogen fixing ability of Robinia affects the tree species composition of the concerned ecosystems and beyond (Mühlethaler, 2010). Also ailanthus is on the rise (Pötzelsberger & Hasenauer, 2016). Both tree species do not occur on a larger scale, but are highly invasive. The Douglas fir (<i>Pseudotsuga menziesii</i>) is discussed controversially as well, but it is not perceived as an invasive species in Austria (Starlinger & Englisch, 2016), further scientific studies are ongoing (Hasenauer, 2016).</p>		
<u>Analysis of Threshold 7:</u>	Geburek T., Büchsenmeister R., Englisch M., Frank G., Hauk E., Konrad H., Liebmann S., Neumann M., Starlinger F., Steiner H.	<p>There are numerous instruments for species protection in Austria.</p> <p>The following instruments are used superordinately (UBA, 2016):</p>		Austria is a signatory of the CBD and a number of other international

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
<p>HCV 1 is identified and/or its occurrence is likely in the area under assessment, but it is effectively protected against threats management activities.</p>	<p>(2015): Biodiversitätsindex Wald. Konzept und Auswertungen. BFW-Berichte 149/2015, Wien.</p> <p>Linser S. (2016): ÖWAD-Indikatoren-Set zur Vorlage an das Österreichische Waldforum. Universität für Bodenkultur, Wien</p> <p>Nitsch C. (2015): Netzwerk Naturwald – Vernetzung von Waldlebensräumen. In: Kuratorium Wald: Natura 2000 und Wald. Handbuch und Fachbeiträge zur Umsetzung des europäischen Schutzgebietsnetzwerks Natura 2000 in Österreichs Wäldern. Kuratorium Wald, Wien, S.78-81.</p> <p>Schwarzl B. (2014): Waldschutzgebiete in Österreich – ein Update. Umweltbundesamt, Wien.</p> <p>UBA (2016): Elfter Umweltkontrollbericht. Umweltsituation in Österreich. Umweltbundesamt, Wien.</p>	<ul style="list-style-type: none"> • Austria's ratification of the Convention on Biological Diversity, i.e. Implementation of the Convention Biological Diversity (BGBl. 213/1995) • Additional agreements under the Nagoya Protocol on Genetic Resources • Implementation of the EU biodiversity strategy 2020 • Implementation of the international biodiversity targets (EU, Aichi Targets) in the biodiversity strategy 2020+, which is evaluated by a national biodiversity commission • The implementation of the EU Habitats and Birds Directives within the Natura 2000 network • A new national park strategy 2016-2020 + • A wetland strategy to implement the Ramsar Convention • Ratification of CITES, the Berne Convention, the Bonn Convention, the Alpine Convention, etc. • Austrian Action Plan on Alien Species 2004 • Federal Genetic Conservation Program <p>In addition, relevant responsibilities are regulated on the provincial level, such as nature and landscape conservation, hunting, fisheries, land use planning and agriculture. The nature conservation laws of the provinces and the Red Lists for vascular plants and animals are essential tools for nature conservation. Nature conservation categories are applied on 21.5% of the forest area (see in more detail HCV 2).</p> <p>Especially on areas of the FOREST EUROPE Class 1 (priority management objective: biodiversity) concrete management measures for biodiversity protection (approx. 13% of the forest area) are in place, though not on a level of detail that is required by the representatives for nature conservation.</p> <p>The Forest law is effective on forest areas across the entire federal territory and restricts the extent of utilization. Additional statutory provisions are in place to protect forests, and three-fourths of the Austrian forest areas are managed in compliance with certification systems.</p>		<p>agreements on the protection of species. The CBD has been ratified into national legislation and implemented in a biodiversity strategy 2020+. In addition, a number of nature conservation areas in the forest (21.5% of the forest area) with management measures for biodiversity protection exist at least on 13% of the area. Legal and political instruments regulate species protection with different competencies. This also applies to promotion and contractual conservation management agreements related to species protection, deadwood, and the like. Invasive species are treated according to the EU Action Plan. Conflicts between forestry and nature conservation are discussed in the Austrian Forest Dialogue.</p>

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
		<p>Nature conservation is of extensive importance for forest management; more than 20% of the total forest area is under nature and landscape protection regulations (Schwarzl, 2014). In addition to this, contractual conservation management agreements are also relevant in private forests. Beyond sovereign interference, voluntary instruments are particularly important in Austria with more than 70% of private forest owners and more than 50% of small-scale forest owners.</p> <p>Nature conservation and forestry regulations equally impact on private and state forests. The Forest Act defines the size of clear-cuts and immature forest stands to minimize negative effects. It should also be noted that the Red Lists need to be updated and the definition of forest species needs to be specified more clearly. Throughout Austria positive trends can be delivered by the Austrian Forest Inventory. Spatially explicit patterns, however, cannot be delivered, e.g. for key species, dead wood hotspots etc. The localization of protection values is increasingly requested by nature conservation groups in order to increase the effect of protective mechanisms. The implementation of Natura 2000 has also not been completed yet; further nominations have been requested by the European Commission. The Forest Inventory, which has been permanently managed since 2016, will enable extended statistical statements on the status of forest biodiversity in Austria. A forest biodiversity index has also been developed (Geburek et al., 2015). In addition to forest trees, for additional botanical components data are planned to be collected. Further considerations on improving monitoring in protected areas, e.g. through biotope mapping, breeding bird atlas etc. are in progress.</p> <p>Conflicts between nature conservation and forestry, which arise again because of the not undisputed Natura 2000 implementation, can only be discussed in participative forums.</p> <p>There is a basis (forest inventory, biotope mapping) for the localization of protected and endangered species, but further improvements are to be developed. For example, two workshops have already been held in the framework of the project "Monitoring</p>		<p>Within the framework of the implementation of Natura 2000 and the Austrian Forest Strategy 2020+, there are agreements to localize rare and endangered species and to promote and maintain a favourable conservation status through adequate management, where required as proposed in management plans.</p> <p>Threshold 7 is met. Therefore, the risk assessment for the study area is 'low risk'.</p>

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
		<p>of Biodiversity Hotspots" (1st meeting (internal) in the Ministry with the BFW and Federal Environmental Agency, 2nd meeting (external) with provinces, WWF Austria, Umweltdachverband (environmental umbrella organization), Austrian Chamber of Agriculture and Agricultural and Forestry enterprises.) It has been negotiated to develop another project in autumn 2017 to create possibilities for improvement of the current biodiversity monitoring through further investigations (remote sensing, definition of hotspots, structural characteristics) (expert interview June 2017).</p> <p>Another participatory forum is the Austrian Forest Dialogue. It offers an opportunity of open exchange on questions around forests for all stakeholder groups, interested in forests. This forum is organised several times a year and sets up goals for the protection of biotopes in the Austrian Forest Strategy, among other things. The platform „Natura 2000 in the forest“, and the educational project „Biodiversity in the forest“ of the Board of Agricultural Engineering are practical examples of this implementation. In order to further aspire these goals, both dialogue and a better acceptance of support programs for forest biodiversity protection are necessary. First approaches e.g. for the purpose of targeting rejuvenation cells or the construction of stepping stone biotopes are currently investigated (Nitsch, 2015). There is still little evidence on how the importance of forest key species and the corresponding interconnection of their habitats are taken into account in forest management activities.</p> <p>The Federal Program for Genetic Conservation promotes the implementation of genetic conservation measures on almost 9000 ha in form of registered genetic conservation forests and more than 22000 ha of genetic conservation stands, thus it secures – in combination with seed plantations and seed banks - the protection of genetic resources of forest species ex situ and in situ (Linser, 2016).</p> <p>In order to regulate the influence of game on forest ecosystems, the Austrian Forestry & Hunting Dialogue (www.forstjagddialog.at) was launched, which, based on findings of the game impact monitoring, advises joint measures and</p>		

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
		<p>coordination in order to minimize selective browsing (fir, deciduous trees). In the Declaration of Mariazell (2012) representatives of the hunting federations and the forestry sector in Austria agreed on common principles and goals.</p> <p>Clear regulations for invasive species do exist in the Forest Act, besides an action plan for alien species has been elaborated to combat neophytes. Ongoing EU negotiations, including the Implementing Regulation 2016/1141 / EU in implementation of the Regulation 1143/2014 / EU on invasive species are also part of Austrian commitments.</p> <p>The risk assessment for invasive species for HCV 1 is 'low risk'.</p>		
<p><u>Analysis of threshold 8 for specified risk:</u> HCV 1 is identified and/or its occurrence is likely in the area under assessment and it is threatened by management activities.</p>				<p>Threshold 8 for specified risk has not been assessed since threshold 7 for low risk is met.</p>
<p><u>3.2 HCV 2</u></p>		<p>Large landscape conservation areas in a strict definition are not existent in Austria. Larger forest ecosystems are covered in a variety of nature protection sites. For example, 21,5% of the Austrian forest area is under protected area status, 13% of the forest under stricter protection with priority on biodiversity.</p> <p>Furthermore, the principle of multifunctional, sustainable forest management is pursued in Austria, which includes the integration of nature conservation aspects also on forest areas that are not directly under a regime of protection.</p> <p>Under these two conditions the assessment of HCV2 with regard to further fragmentation on the total area is low risk.</p>		<p>The risk designation for Indicator 3.2 for the area under assessment is low risk as threshold 10 is met. The occurring HCV2 are identified and threats from forest management activities are low/negligible.</p>
<p><u>Analysis of Threshold 9:</u> There is no HCV 2 identified and its occurrence is unlikely in the</p>	<p>Linser S. (2016): ÖWAD-Indikatoren-Set zur Vorlage an das Österreichische Waldforum. Universität für Bodenkultur, Wien</p>	<p>Following the German definition of large landscape ecosystems/intact forest landscapes based on a concept of Global Forest Watch (2006-2014), we refer to forest ecosystems of at least 50.000 ha with no or minimal human impact. There are no such forest ecosystems of this size are in Austria.</p>		<p>HCV 2 in form of landscape ecosystems and mosaics are identified. Threshold 9 is not met, further assessment was needed.</p>

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
<p>area under assessment.</p> <p><u>Context:</u></p> <ul style="list-style-type: none"> Do HCVs of category 2 exist in the area under assessment? Are there HCVs of category 2 that cross regional and/or national boundaries? If yes, is a FSC risk designation available for those areas located outside of national boundaries? <p>All intact forest landscapes, as defined per the map at http://intactforests.org, must be considered HCVs</p>	<p>Schwarzl B., Aubrecht P. (2004): Wald in Schutzgebieten. Umweltbundesamt Monographien Bd. 156, Wien.</p>	<p>But there are forests that meet the indicator of landscape-level ecosystems and mosaics in Austria. Thus 21,5 % of the forests are attributed to a conservation status, according to the FOREST EUROPE classes for protected forests for the reference year 2013 (Linser, 2016) and fall into HCV category 2:</p> <ul style="list-style-type: none"> Class 1: priority management objective: Biodiversity <ul style="list-style-type: none"> No active intervention: 0% of the forest area Minimum intervention: 0,8% of the forest area or 29.800 ha Protection through active management: 12,1% of the forest area or 471.700 ha Class 2: priority management objective: Protection of landscapes and specific natural elements: 8,6% of the forest area and 333.200 ha. <p>The classification of the protected areas including forests is classified as follows (Schwarzl & Aubrecht, 2004):</p> <ul style="list-style-type: none"> Class 1.1: hardly ever occurs in the small-structured central Europe. Class 1.2 essentially corresponds to the core zones of the national parks, of which mainly the Danube Floodplains, Thayatal, Kalkalpen and Hohe Tauern national parks are forest-relevant. Class 1.3 includes instruments such as nature reserves, landscape protection areas, protected landscape parts, national parks (without core zones according to 1.2) natural parks and other protected areas, as well as the newly set up European protection areas in the Natura 2000 network. Class 2 is primarily composed of large landscape protection areas that do not correspond to Category 1.3. No restrictions on forestry are implemented, with the exception of a permit for forest road construction. Additionally, natural forest reserve program exists, an instrument of contractual conservation management agreements, that preserves more than 100 forest 		

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
<p>belonging to category 2. Additional HCVs of category 2 may be identified provided there is agreement amongst all members of the national risk assessment working group.</p>		<p>ecosystems/communities on about 8500 ha through active management, and BIOSA, contractual conservation management areas on approx. 3000 ha (Linser, 2016) (see also HCV 3).</p>		
<p><u>Analysis of Threshold 10:</u> There is low/negligible threat to HCV 2 caused by management activities in the area under assessment.</p> <p><u>Context:</u></p> <ul style="list-style-type: none"> Is there a threat to HCVs of category 2 as a consequence of forest management activities? 	<p>Linser S. (2016): ÖWAD-Indikatoren-Set zur Vorlage an das Österreichische Waldforum. Universität für Bodenkultur, Wien</p> <p>Schwarzl B., Aubrecht P. (2004): Wald in Schutzgebieten. Umweltbundesamt Monographien Bd. 156, Wien.</p>	<p>The strong fragmentation of the landscape in Austria, as in the rest of Central Europe, is the primary cause for the non-existence of the object of protection in the strict sense of large IFLs larger than 50.000 km. Thus there is no need to assess the threat to landscape ecosystems and mosaics caused by logging. However, there are forests in Austria that are considered relevant on a landscape level. Therefore, the risk of fragmentation of HCV 2 in Austria was assessed.</p> <p>The historical genesis of this fact in Austria ranges the cultivation of land for agricultural production, over the sprawl of rural areas, mostly due to a lack of spatial planning, to the large-scale development/establishment of infrastructure, especially for the purpose of transport (see HCV 1).</p> <p>As already mentioned under HCV 1 it is important to note that a crucial reason and driver for habitat fragmentation stems from higher road infrastructure. Forest management activities, on the other hand, play only a minor role as a cause of fragmentation. Individual forest species are lost, IFLs are non-existent in Austria. The fact of relatively low interconnectedness of habitats in Austria should be understood in this context and is difficult to reverse. As mentioned for HCV 1, the Austrian Forest Act prescribes to</p>		<p>Large forest landscapes larger than 50.000 km do not exist in Austria. However, there are forests in Austria that are considered relevant on a landscape level. They have been identified and have been designated with a conservation status.</p> <p>Fragmentation of ecosystems has developed historical, especially road infrastructure and urban sprawl are causes for additional fragmentation. Forest areas are influenced by forest management activities, i.e. forest infrastructure, but not with large-scale impact.</p>

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
<p>The following shall be considered threats:</p> <ul style="list-style-type: none"> • fragmentation • logging production (applies only to intact forest landscapes) 		<p>maintain forest areas and to manage them sustainably, and hence to ensure a continuity of habitat.</p> <p>Fragmentation caused by forest management occurs due to the fact that the Austrian forests have a rather high density of 46 m / ha of forest roads and trails. The reasons for this are on the one hand an increased need for site development to improve the accessibility to the mountain forest and intensified silvicultural measures. That is why forest roads are still - after a requirement analysis has been conducted - an essential subject of forestry subsidies. In each case-specific funding act, consideration is given to balancing necessity and ecological requirements. In the course of the Austrian Forest Ecology Program, the support of forest biodiversity-supporting existing structures, including the connectivity of valuable biotope elements, is also taking place there. While an increasing infrastructural development is intended to prevent extensive operations on forest soils, an increasing part of sealed roads, trafficable for heavy goods vehicles, has a stronger effect. Fragmentation by forest roads is discussed controversially. On the one hand, the creation of inner ecotones can generate additional micro habitats, while on the other hand, logging activities on slopes that interfere with watercourses and nutrient cycles of specific biotopes have a potential influence on biodiversity (Heckl et al., 2003).</p>		<p>Threshold 10 is 'low risk' not met, further threshold 11 was assessed.</p>
<p>Analysis of threshold 11: HCV 2 is identified and/or its occurrence is likely in the area under assessment, but it is effectively protected from threats caused by</p>		<p>Forest management in protected areas of category 2 is subject to nature conservation requirements in accordance with nature conservation laws of the federal states or, in the case of the national parks, with the national park law of the federal government. In addition to general prohibitions on forest management in categories 1.1 and 1.2, certain measures may be required for protected areas of category 1.3. These include the prescription of management measures and management plans and specifications regarding concrete silvicultural measures, such as, for example, rejuvenation, felling</p>		<p>Forest areas are influenced by forest management, i.e. forestry infrastructure, but not with large-scale effects respectively the existing mechanisms and instruments are effective to protect HCV2 from further fragmentation.</p>

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
management activities.		<p>size (beyond the Forest Act), tree selection, fertilization, etc. (Schwarzl & Aubrecht, 2004).</p> <p>The impacts of forest management are addressed. Also for 49% of the Natura 2000 areas management plans are in place to ensure a favourable protection status of the protected goods (Linser, 2016). The issue to avoid fragmentation respectively to promote connectivity is mainly related to agricultural areas. For the forest sector viaducts for smaller and larger animals are in place as well as stepping stone biotopes have been established.</p> <p>The existing instruments are effective to minimize further fragmentation of HCV2, the risk designation is 'low risk'.</p>		Threshold 11 is met. A risk assessment with 'low risk' was possible.
<p>Analysis of threshold 12 for specified risk: HCV 2 is identified and/or its occurrence is likely in the area under assessment, and it is threatened by management activities.</p>				Threshold 12 was not evaluated as threshold 11 is met. A risk designation with 'low risk' was possible.
3.3 HCV 3		<p>The history of the Austrian implementation of Natura 2000 is a controversial one.</p> <p>Both the insufficient territorial allocation as reported to the EU and the lack of acceptance by landowners are documented. Changing the conservation status of forest habitat types requires a deeper analysis. However, measures to strengthen the adoption of Natura 2000 and a greater coverage with management plans, as currently underway, should contribute positively to the development. It will be important to involve private forest owners, with often very small forest properties (50% of the Austrian forest properties are in the hands of smallholders <200 ha) that have little access to the possibilities and information on Natura 2000 implementation.</p> <p>In addition, semi-natural and natural forests, particularly to be found in mountainous regions in Austria, are not uniformly and sufficiently documented at national level.</p>		The risk designation for Indicator 3.3 for the area under assessment is 'low risk' as threshold 15 is met. The occurring HCV3 are identified and effectively protected against threats from forest management activities.

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
		<p>The established Forest Dialogue (Wald Dialog), involving relevant stakeholder groups, is one central instrument to negotiate and to govern the diverse interests in forests.</p> <p>Environmental associations highly recommend to identify and to localize the overall occurrence of natural forests in Austria and to develop adaptive management concepts in the coming years. In that respect the BMLFUW (Bundesministerium für Land- und Forstwirtschaft, Umwelt und Wasserwirtschaft – Federal Ministry for Agriculture, Forestry, Environment and Water Management) draws attention to the ongoing Federal Natural Forest Reserve Program, in which equivalent data are collected at federal level, as well as to comparable state programs and planned extensions, that are possible within the scope of the available financial resources.</p> <p>Because many aspects are already addressed in the Austrian Forest Program. Moreover, it is planned to establish a working group to find out about possible synergies and contradictions. Possible risks have already been identified and are addressed.</p> <p>At the state level, Natura 2000 and other programs represent a way to collect relevant data: By developing management concepts (at least) to the extent required by law as well as within the scope of contractual nature conservation, solutions applying to smaller areas can be/are developed. So far € 900,000 has been spent annually in connection with the Austrian Natural Forest Reserve Program. The Austrian Forest Ecology Program / Program for Rural Development allocates approximately 3 million € per year to take care of HCVs. According to the BMLFUW, the share of the Forest Ecology Program equates to around one-tenth of the total forest funding in Austria. Furthermore, other types of forest funding have direct and indirect positive effects on nature conservation, e.g. processing of calamities or the re-establishment of forest stands (expert interview June & October 2017).</p> <p>Austria is legally obliged to implement instruments such as the Convention on Biological Diversity and the Habitat Directive/Natura 2000. Against this background, corrective actions such as additional nominations and the creation of participatory platforms to support the Natura 2000 implementation, as well as strategic</p>		

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
<p><u>Analysis of Threshold 13:</u> There is no HCV 3 identified and its occurrence is unlikely in the area under assessment.</p> <p><u>Context:</u></p> <ul style="list-style-type: none"> Which ecosystems classified at national/regional level might be considered HCVs of category 3? Do national/regional systems for protection exist that can be utilised to assess the occurrence of and the threat to the HCVs? (e.g.: Natura 2000 protected areas at 	<p>Ellmauer T. (2005): Entwicklung von Kriterien, Indikatoren und Schwellenwerten zur Beurteilung des Erhaltungszustandes der Natura 2000-Schutzgüter. Band 3: Lebensraumtypen des Anhangs I der Fauna-Flora-Habitat-Richtlinie. Umweltbundesamt, Wien</p> <p>Ellmauer T. (2015): Ergebnisse des aktuellen Artikel 17 Zustandsbericht. In: Kuratorium Wald (2015): Natura 2000 und Wald. Handbuch und Fachbeiträge zur Umsetzung des europäischen Schutzgebietsnetzwerks Natura 2000 in Österreichs Wäldern. Kuratorium Wald, Wien, S. 54-60.</p> <p>Linser S. (2016): ÖWAD-Indikatoren-Set zur Vorlage an das Österreichische Waldforum. Universität für Bodenkultur, Wien.</p>	<p>tools to promote biodiversity protection, are found to be appropriate. The objects of protection are identified and a completion is imminent. Considering this background, 'low risk' can be attributed.</p> <p>As outlined for HCV 2, approximately 13% of the Austrian forest area is subject to a nature protection status with a priority on biodiversity protection. This mainly comprises national parks and nature reserves as the most important instruments. Furthermore, the existing Natural Forest Reserve Program aims at preserving specific forest ecosystems on approximately 8.500 ha via contractual conservation management agreements.</p> <p>The Natura 2000 network is the central element for the protection of habitats. About 36% of the forest area, i.e. 1.44 million ha, have been designated as protective habitats by the Habitat Directive, Annex I, with shares in the continental and alpine biogeographical region. A total of 23 forest habitat types have been designated as being of Community interest, 7 of them as being of priority interest (Ellmauer, 2015). The latter include Tilio-Acerion forests of slopes screes and ravines (9180), Bog Woodland (91D0), Residual alluvial forests with <i>Alnus glutinosa</i> and <i>Fraxinus excelsior</i> (91E0), Pannonian woods with <i>Quercus petraea</i> and <i>Carpinus betulus</i> (91G0), Pannonian woods with <i>Quercus pubescens</i> (91H0), Euro-Siberian steppic woods with <i>Quercus</i> spp. (91I0) and (Sub-)Mediterranean pine forests with endemic black pines (9530) (Ellmauer et al., 2005). In the continental region habitat types of beech forests and riparian forests are of particular importance. In the alpine region, these are predominantly spruce forest and beech forest habitat types.</p> <p>A total of 294 Natura 2000 sites with forest areas have been nominated as of 12/2015, of which 196 areas are legally prescribed. In 2013 1.26 million ha could be calculated for 239 areas, of which 44% are located in forests (Linser, 2016).</p>		<p>HCVs of Category 3 are present in and described for Austria</p> <p>In the course of the implementation of Natura 2000, objects of protection in forests with HCVs 3 are to be localized by the responsible nature conservation authorities and, if necessary, the favourable conservation status is to be secured by management plans.</p> <p>HCVs 3 are existent in Austria. Threshold value 13 is not met; therefore a further evaluation was necessary.</p>

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
<p>European level)</p> <p><u>Analysis of Threshold 14:</u> There is low/negligible threat to HCV 3 caused by management activities in the area under assessment.</p> <p><u>Context:</u></p> <ul style="list-style-type: none"> Does forest management pose a threat to HCVs of category 3? 	<p>Ellmauer T. (2013): Ausarbeitung eines Entwurfs des österreichischen Berichts gemäß Artikel 17 der FFH-Richtlinie, Berichtszeitraum 2007-2012. Umweltbundesamt, Wien</p> <p>Ellmauer T. (2015): Ergebnisse des aktuellen Artikel 17 Zustandsbericht. In: Kuratorium Wald (2015): Natura 2000 und Wald. Handbuch und Fachbeiträge zur Umsetzung des europäischen Schutzgebietsnetzwerks Natura 2000 in Österreichs Wäldern. Kuratorium Wald, Wien, S. 54-60.</p> <p>Essl F., Egger G., Ellmauer T., Aigner S. (2002): Rote Liste gefährdeter Biotoptypen Österreichs. Wälder, Forste, Vorwälder. Umweltbundesamt Monographien Bd. 156, Wien.</p> <p>Schodterer, H. (2014): Österreichisches Wildeinflussmonitoring 2012: Was hat sich seit 2004 verändert? Österreichische Forstzeitung 125, 28-29.</p> <p>Seidl, R; Rammer, W; Jäger, D; Lexer, MJ (2008): Impact of bark beetle (<i>Ips typographus</i> L.) disturbance on timber production and carbon sequestration in different management strategies under climate change. FOREST ECOL MANAGE. 2008; 256(3): 209-220</p>	<p>Potential threats of forest management for HCV 3 correspond with the derivations for HCV 1 and HCV 2. Essl et al. (2002) described also those applying for woodland, forests and pioneer forests in a Red List of endangered biotope types in Austria. This study was also integrated in the criteria for assessing the conservation status of Natura 2000 protected areas.</p> <p>The risk situation in Austria is largely in line with the situation in the neighbouring countries of Central Europe, although somewhat weaker in the alpine regions with lower exploitation. Among the threats that can be attributed to forest management activities are conversion of forest stands and promotion of coniferous trees, such as spruce in riparian forests, bogland forests, mixed oak forests, beech forests and deciduous mixed forests, that have been exercised since the post-war period. Against the backdrop of an ever increasing breakdown of spruce, particularly in lowlands in the course of climate change (for example bark beetles); this trend has already been revised (c.f. Seidl et al., 2008). Furthermore, a large-scale loss of fir, e.g. in the spruce-fir-beech forest, can be observed due to persistent game influence (Schodterer, 2014).</p> <p>Ellmauer (2013, 2015) states a deterioration of the conservation status of forest habitat types based on several parameters from forest inventory data (area size, tree species mixture, structure, use, deadwood, disturbance indicators, wildlife influence, and hydrology). An increase of the category "mediocre conservation status" at the expense of the category "good conservation status" was detected. Generally, the situation in the alpine region is better than in the continental region, where a more intensive management is executed. However, it is also noted that forests are in better conditions than other ecosystems, e.g. fresh water habitats, bogs and grasslands. A higher acceptance of Natura 2000 by forest managers, as well as a better communication and transparency of the evaluation are essential starting points to solve these problems. Concrete causes of threats by forest management cannot be</p>		<p>Threats to protective effects caused by forest management in areas relevant for nature conservation are described. Legal instruments are in place to minimize these influences. The conservation status of forest habitats has deteriorated; the adoption of Natura 2000 and inclusion in management plans or comparable instruments could be improved. Threshold value 14 is not met, a further risk assessment was necessary.</p>

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
<p>Analysis of Threshold 15: HCV 3 is identified and/or its occurrence is likely in the area under assessment, but it is effectively protected from the threats caused by management activities</p> <p>Context: Threats to be taken into consideration:</p> <ul style="list-style-type: none"> A lack of effective protection measures for HCVs of category 3 Is there progress towards the achievement of the Aichi targets apparent in the area 	<p>BFW (2015): Naturwaldreservate-Programm in Österreich. https://bfw.ac.at/rz/bfwcms.web?dok=4614</p> <p>Geitzenauer M., Hogl K., Weiss G. (2016): The implementation of Natura 2000 in Austria—A European policy in a federal system. Land Use Policy 52, 120-135.</p> <p>Jäger, F. (2003): Forstrecht. 3. Auflage mit Kommentar. Verlag Österreich, Wien</p> <p>Keller M. (2014): Das Österreichische Wald Ökologie Programm (ÖWÖP) und seine Implementierung in die Ländliche Entwicklung. Ministerium für ein Lebenswertes Österreich, Wien.</p> <p>Kirchmeier H., Kreimer E. (2015): Studie zur Ausweisung von Natura 2000 Gebieten (Wälder) in Kärnten. E.C.O. Institut für Ökologie, Klagenfurt.</p> <p>Kuratorium Wald (2015): Natura 2000 und Wald. Handbuch und Fachbeiträge zur Umsetzung des europäischen Schutzgebietsnetzwerks Natura 2000 in Österreichs Wäldern. Kuratorium Wald, Wien</p> <p>Linser S. (2016): ÖWAD-Indikatoren-Set zur Vorlage an das Österreichische Waldforum. Universität für Bodenkultur, Wien.</p>	<p>derived from that assessment; the main causes presumably correspond with the causes of threat described by Essl et al. (2002).</p> <p>Austria installed a wide range of forest conservation tools, which also support the protection of habitat types and habitats. In addition to the existing national instruments (as described), the implementation of the Natura 2000 approach according to the Habitat Directive can be mentioned as a priority. It was also integrated into the Forest Act FG §32a "Forests with a special habitat". In this respect, however, on objective balancing between forestry and nature conservation interests must be taken into account, which cannot be automatically assumed on the basis of the legal situation and shared competences (Jäger, 2003). Nature impact assessments are also designated for projects with a potential impact on European Nature Reserves (UBA, 2012).</p> <p>The implementation of the nominated Natura 2000 sites is progressing, since 2013 55 new areas have been nominated. However, Austria, as many other European countries, had to undergo an EU infringement procedure, leading to the additional nomination of protected areas in 2013, e.g. in Carinthia, Tyrol and Upper Austria. In addition, there have been calls for subsequent nominations that have been made in the course of the EU enlargement to the East. For example, proposals for the habitat types of Luzulo-Fagetum beech forests (9110), Tilio-Acerion forests of slopes, screes and ravines (9180), Illyrian Fagus sylvatica forests (91K0) and Illyrian oak –hornbeam forests (91L0) were developed for Carinthia (Kirchmeier and Kreimer, 2015). Corrective measures and subsequent nominations are therefore in progress and have been discussed in two biogeographical seminars in 2015 and 2016.</p> <p>In addition, there is still little evidence to which extent § 32 FG is used and applied. Due to the division of competencies the provinces are obliged to ensure the enforcement of the legislation for nature protection, and to support a favourable conservation status of Natura 2000 sites. At present, Austria undertakes</p>		<p>Austria has launched new initiatives to improve the implementation of Natura 2000, e.g. in form of a participatory platform and corrective actions in form of subsequent nominations of Natura 2000 sites. A national biodiversity strategy was already elaborated in 2011 and reedited 2014 to ensure the implementation of the CBD and Aichi targets.</p> <p>Financial incentives for the conservation of valuable ecosystems and habitats have been used to a greater extent (see derivation of threshold 12).</p> <p>Threshold 15 is met. The risk designation for the area examined is 'low risk'.</p>

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
under assessment?	<p>UBA (2012): UVE-Leitfaden. Eine Information zur Umweltverträglichkeitserklärung Überarbeitete Fassung 2012. Report REP-0396. Umweltbundesamt, Wien.</p> <p>UBA (2016): Elfter Umweltkontrollbericht. Umweltsituation in Österreich. Umweltbundesamt, Wien.</p> <p>Wichmann G. (2015): Die Kooperation BirdLife Österreich und Österreichische Bundesforste: In: Kuratorium Wald (2015): Natura 2000 und Wald. Handbuch und Fachbeiträge zur Umsetzung des europäischen Schutzgebietsnetzwerks Natura 2000 in Österreichs Wäldern. Kuratorium Wald, Wien, S. 66-70.</p>	<p>measures for the subsequent nomination of Natura 2000 sites in response to the EU's infringement proceedings. In addition, programs were launched to increase the motivation of forest owners to adopt the instrument.</p> <p>To improve the conservation status a higher acceptance of Natura 2000 by forest owners is required. The funding of the Austrian Rural Development Program has thus practically not been exploited. Reasons for that is the high administrative burden and the lack of management plans for Natura 2000 sites (Linser, 2016). In addition, measures were taken to improve cooperation and communication between nature conservation and forestry. From 2013 until 2015, the Kuratorium Wald carried out a Natura 2000 project within the scope of the rural development program. Several working groups are dealing with the optimization of forest management to promote maintenance and conservation of forest biodiversity, also in the ongoing funding period RD-2014-20. In this way it shall be ensured that scientific findings and suggestions for control mechanisms help to ease the emotionally charged discussions. A positive example is the cooperation between the Austrian Federal Forests (ÖBf) and BirdLife Austria to jointly develop bird protection activities in forests (Wichmann, 2015). It appears to be that sovereign measures alone are not sufficient to implement the intention of Natura 2000 to a satisfying level. In this respect, deficient coordination among the provinces constitutes another major obstacle (Geitzenauer et al., 2016). As a step towards improving the situation, a Natura 2000 focal point was set up by the non-governmental initiative Kuratorium Wald in 2013 (http://natura2000.wald.or.at/workshop-4-23-und-24-mai2017/). The working platform „Natura 2000 forest“ aims at specifying the requirements and challenges of a close-to-nature forest management to preserve or restore a favourable conservation status of FFH forest objects of protection. Synergies and conflicts in the Natura 2000 implementation are to be demonstrated in a series of workshops, e.g. about specific forest types. Such participatory models are a major contribution to stipulate the motivation of forest owners. District supervision for an improved</p>		

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
		<p>local and regional implementation of Natura 2000 as well as an increasing promotion of Natura 2000 areas are encouraged as important elements (Kuratorium Wald, 2015).</p> <p>Management plans are a key component for the Natura 2000 implementation in forest management. Currently such plans are available for about half of the Natura 2000 sites (Linser, 2016). From the forest management side the instrument of forestry plans (Waldfachplan), which already exist since 1975, is propagated to integrate forest management and Natura 2000 management. In this context it is important that these plans entail a sufficient depth of details on nature protection issues. This concern is also considered as a measure under the Rural Development Program of the EU 2014-20, which started in 2014. The pilot project aims towards the generation of forest plans at the operational and supra-operational level to generate more detailed information. The project also deals with the related wildlife ecology plans. The project includes co-financing rates of 100%.</p> <p>As mentioned for HCV 1, the Austrian forest law defines the fundamental commitment to preserve forest areas, to sustainably manage it and thus also to ensure habitat continuity. Sustainable management of forests is according to § 1 (3), the management and use of forests in a way and a scale that their biological diversity and vitality, etc. are maintained. Further, habitat continuity shall be safeguarded by specific management regulations such as the reforestation precept (Wiederbewaldungsgebot) (§ 13) as well as the prohibition of forest degradation (Waldverwüstungsverbot) (§ 16). Sustainable forest management also includes e.g. zones without active forest management such as natural forest reserves or core zones of national parks.</p> <p>In addition, instruments of contractual conservation management agreements for the preservation of forest habitat types are in force. The Austrian Natural Forest Reserve Program currently comprises more than 100 of 118 forest communities occurring in Austria (BFW, 2015). Beyond that a Forest Ecology Program (ÖWÖP) has</p>		

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
		<p>been developed to generate better incentives for sustainable and biodiversity-enhancing management on the basis of biodiversity targets, criteria and measures (Keller, 2014). A strategy report, developed from this, had built the foundation for the new funding period in the rural development programme.</p> <p>All these activities can be linked to the implementation of the Convention on Biological Diversity that has been ratified by Austria as well. Concomitantly the implementation of the Aichi targets is addressed. Quantitative and qualitative sub-targets are formulated in the Austrian Biodiversity Strategy 2020+, in which players responsible for its implementation as well as evaluation parameters are identified. The realization of the targets shall be largely implemented by 2020 (UBA, 2016).</p> <p>At present, Austria has taken measures for the additional nomination of Natura 2000 sites in response to the EU's infringement proceedings. In addition, programs had been launched to increase the motivation of forest owners to better adopt the instrument, e.g. within the scope of the rural development programme of the EU 2014-20. Evaluation results do not exist yet. Even though the nomination of Natura 2000 sites is not fully implemented yet, the situation in Austria shows that all relevant stakeholders are aware of the importance of such sites and the need to improve on that level. It also shows that an active dialogue does exist, in which conservation aspects are taken into consideration.</p> <p>Additionally to the various programs and initiatives that have been launched in the last four years, the risk assessment for Category 1 "Legality" shows that the legal environment as well as the legal enforcement connected to nature conservation is generally strong and reliable (see page 16 ff), therefore the risk can be designated as 'low risk'.</p>		
<p><u>Analysis of threshold 16:</u> There is documented progress in achieving Aichi biodiversity targets relevant for the area under assessment confirming that these targets will be met OR Aichi targets are met.</p>				<p>Threshold 16 was not evaluated because threshold 15 is met. A</p>

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
				risk assessment with 'low risk' was possible.
		<p><u>Analysis of threshold 17 for specified risk:</u> HCV 3 is identified and/or its occurrence is likely in the area under assessment and it is threatened by forest management activities.</p>		Threshold 17 for specified risk has not been assessed because threshold 15 is met. A risk assessment with 'low risk' was possible.
		<p><u>Analysis of threshold 18 for specified risk:</u> There is no progress in achieving Aichi biodiversity targets.</p>		Threshold 18 for specified risk has not been assessed because threshold 15 is met. A risk assessment with 'low risk' was possible.
3.4 HCV 4		<p>On the basis of the analysis no comprehensive threat of ecosystem services by forest management in Austria can be stated. Important external influences such as high game pressure or increasing human infrastructure have to be considered for protection forest areas. Appropriate legislative, financial and informational tools guarantee in principle the safeguarding of the protective effects provided by forests. Violations against these rules cannot be determined as systematic and are persecuted by authorities. While the natural conditions indeed vary between the alpine and continental area, the available tools to protect ecosystem services operate consistently. Taking this into account the risk designation is 'low risk'.</p>	n/a	The risk designation for indicator 3.4 in the study area is 'low risk', as threshold 20 is met. There is only a low level of threats for the HCV4; preventive forest management activities are implemented.
<p><u>Analysis of Threshold 19:</u> There is no HCV 4 identified and its occurrence is unlikely in the area under assessment.</p> <p><u>Context:</u></p>	ÖWI 2007/2009. Österreichische Waldinventur. Bundesamt für Wald, Wien.	<p>According to the latest forest inventory (ÖWI 2007/09) there are 820,000 ha of protection forest in Austria, which corresponds to 20.5% of the country's territory. This category refers to site protection forests, because the category of "object protection forest", defined in 2002, was not (yet) surveyed. Protection forest, i.e. forests to be protected, which are endangered by erosive forces of wind, water and gravity and need special treatment, is predominantly located in mountain forests, in the alpine area. Altogether 500,000 ha of protection forest are not harvested, in the sense that they are basically unmanaged or without yields from forest management activities, since they are difficult to access or</p>		<p>In the area under assessment, both forests for site protection as well as physical protection forests, referring to HCV4, occur.</p> <p>Threshold 19 is not met, further risk assessment was necessary.</p>

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
<ul style="list-style-type: none"> Do HCVs of category 4 exist in the area under assessment? Are there areas of forest present in the area under investigation that play a critical role in the amelioration of the effects of flooding, in the regulation of the water level or of water quality? 		<p>not accessible at all or because they do provide an insufficient growth performance for an economic use. This means that 320,000 ha of protection forests are used economically, i.e. 8% of the country's territory. Of this, approximately 24% are public property held by the Austrian Federal Forests (ÖbF), and more than 36% are owned by small scale forest owners with less than 200 ha.</p>		
<p><u>Analysis of Threshold 20:</u> There is low/negligible threat to HCV 4 caused by management activities in the area under assessment.</p> <p><u>Context:</u></p> <ul style="list-style-type: none"> Are there effective management tools and/or 	<p>BMFLUW (2015): Österreichischer Waldbericht 2015. Nachhaltige Waldwirtschaft in Österreich. Ministerium für ein Lebenswertes Österreich, Wien. BMFLUW (2016): Wildschadensbericht 2015. Ministerium für ein Lebenswertes Österreich, Wien</p> <p>Jäger, F. (2003): Forstrecht. 3. Auflage mit Kommentar. Verlag Österreich, Wien</p> <p>Lipp S., Steiner H., Oettel J., Frank G. (2016): Standortschutzwald in Österreich. Eine Studie zur Begriffsbestimmung und den Zuordnungskriterien am Beispiel der</p>	<p>It cannot be assumed that there is a comprehensive threat of ecosystem services in Austria caused by forest management activities. Individual cases are known, but are sanctioned or corrected by the efficient existing legal regulations. (cf. CW-Category 1 'low risk' for "legality")</p> <p>Forest management in protection forests are subject to a set of legal regulations. If there is a protection forest in accordance with Art. 21 FG, it is defined in Art. 22 FG, how forest owners have to treat and use it. This especially refers to stabilisation measures (plant cover, structure, regeneration), reforestation of forest clearings and special forest protection actions. Authorities can prescribe by the protection forest decree (BGBl. No. 398/1997), which measures are to be conducted. Forests with a direct protective effect on an object can furthermore be defined as</p>		<p>Protection forests in Austria are subject to a variety of legal regulations, spatial planning and management categories. Participatory mechanisms such as protection forest platforms provide an active involvement of relevant stakeholders. Challenges for an adequate conservation of the protection effects (site and physical</p>

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
<p>regulations capable of ensuring that these forest areas can continue to perform their functions?</p> <ul style="list-style-type: none"> Are HCVs of category 4 threatened by forest management activities? <p>The following threats shall be considered:</p> <ul style="list-style-type: none"> reduction of water quality and quantity negative impacts on human health (e.g., water contamination) 	<p>Naturwaldreservate. BFW-Berichte 150/2016.</p> <p>Perzl, F. (2014): Der Objektschutzwald – Bedeutung und Herausforderung. BFW Praxisinformation Nr 34, 20-24</p> <p>Wolfslehner B., Vacik H., Huber P. Ruprecht H. (2009): Potenzialabschätzung von Nichtholzprodukten und forstlichen Dienstleistungen in Österreich. Universität für Bodenkultur, Wien.</p>	<p>protected forest (“Bannwald”) by official notification (Art. 27 FG), for which special measures are prescribed (Perzl, 2014).</p> <p>Furthermore, a set of forestal spatial planning tools is in place. The forest development plan (“Waldentwicklungsplan”) (in accordance with Art. 7 FG) specifies criteria for protection forests, evaluates the protective category and defines the management focus. The hazard zone plan (“Gefahrenzonenplan”) (BGBl. No. 436/1976) is a comprehensive expert report about threats from torrents, avalanches and erosion and forms the basis for planning protection measures also in protection forests.</p> <p>Especially relating to protection from natural hazards a set of participative tools was installed. Measures like protection forest plans on federal level (“Landesschutzwaldkonzepte”), platforms for protection forests (“Schutzwaldplattformen”) or the initiative „Protection through forests“ (“Schutz durch Wald”) are meant to ensure the safeguarding and improvement, mainly of the protective effect on objects, of forests through common objectives and efficient use of funds (BMLFUW, 2015).</p> <p>In a broader sense the protection of drinking water by forests is relevant as a substantial ecosystem service. In this case we distinguish between water protection areas and water conservation areas. Water protection areas refer to sites of water extraction like wells, springs and the associated catchment areas. These are determined through official notification by the responsible authority and modalities with the land owner are defined. Water conservation areas are determined by decree of the provincial governor (“Landeshauptmann”) or the BMLFUW, if necessary via an environmental impact assessment (Wolfslehner et al., 2009). Appropriate measures can be prescribed to the land owner.</p> <p>Despite a multitude of tools, the protection forests are not in a secure state. Substantial factors lie within the pressure caused by settlements, i.e., urban sprawl, traffic and touristic infrastructure. Furthermore, the over ageing of protection forests and lack of</p>		<p>protection forests, protection of and against water, climate, air, emissions, noise) of forests in the alpine region are identified by spatial protection forest concepts. Problems can mainly be related to insufficient spatial planning (tourism infrastructure, urban sprawl), but only to a minor extent to forest management activities (e.g., over ageing of the protected forest).</p> <p>Threshold 20 is met. The risk assessment is ‘low risk’.</p>

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
		<p>sufficient rejuvenation is a major problem. Above all browsing by game or grazing livestock are major influences (BMLFUW, 2016). Suitable concepts for the balancing of forest and hunting management activities respectively forest and pasture are until now often limited in its practical implementation.</p> <p>Appropriate concepts should be developed to balance the interests of forestry and hunting management, as well as of forest and pasture, in order to reduce the impact on forests. However, these are mainly located outside forestry management activities. An existing pilot project aims towards creating forest plans at the operational and supra-operational level to deliver more detailed information, also dealing with game-ecology plans. The project includes co-financing rates of 100% (Expert interview June 2017).</p> <p>Difficulties in accessing alpine mountain forests respectively problems of cost recovery of management activities impede additional measures of forest rejuvenation. Recently developed criteria and indicators for protection forests should help to develop measures that are tailored better for individual types of protection forests. (Lip et al., 2016). Furthermore, the topic of climate change found its way into the debate about protection forests as substantial challenge for the resilience of mountain forests. (e.g. "Aktion klimafitter Wald" by the BMLFUW).</p> <p>As mentioned the state of protection forests is influenced by various factors, in which forest management only plays a minor role and only has a low impact. Forest management activities rather focus on an improvement in condition of protection forests. Therefore the risk designation is 'low risk'.</p>		
<p><u>Analysis of threshold 21:</u> HCV 4 is identified and/or its occurrence is likely in the area under assessment, but it is effectively protected from threats caused by management activities.</p>				<p>Threshold 21 has not been assessed because threshold 20 is met. A risk assessment with 'low risk' was possible.</p>
<p><u>Analysis of threshold 22 for specified risk:</u> HCV 4 is identified and/or its occurrence is likely in the area under assessment and it is threatened by management activities.</p>				<p>Threshold 22 for specified risk has not</p>

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
3.5 HCV 5	Linser S. (2016): ÖWAD-Indikatoren-Set zur Vorlage an das Österreichische Waldforum. Universität für Bodenkultur, Wien	<p>Wood and grazing rights, which allow land uses (lumbering, grazing) on foreign property and form a specific type of cultivation in the Alps („Einforstungsrechte“) and recreational use as rights of the resident (and touristic) population are clearly defined in the Forest Act. Stakeholder surveys to identify possible conservation values are therefore not needed.</p> <p>Currently 94% of Austria's forests are freely accessible (Linser, 2016); unjustified barriers in forests are isolated cases and cannot be evaluated as common practice. Furthermore, there are permanent area closures due to legal hunting regulations, their extent is unknown. A comprehensive, national evaluation of free accessibility of forest areas should be conducted in the next few years.</p> <p>Based on contractual solutions there are currently more than 20,000 km of designated routes for mountain biking. The need-oriented expansion especially of single trails happens continuously in consideration of the requirements of bikers and other nature users.</p> <p>Based on this background information 'low risk' can be attested.</p>	n/a	<p>been assessed because threshold 20 is met. A risk assessment with 'low risk' was possible.</p> <p>The risk designation for indicator 3.5 for the area under assessment is 'low risk' as threshold 24 is met. There is a low / negligible threat to HCV 5 caused by forest management respectively effective management activities are implemented</p>
<p><u>Analysis of Threshold 23:</u> There is no HCV 5 identified and its occurrence is unlikely in the area under assessment.</p> <p><u>Context:</u></p> <ul style="list-style-type: none"> Do HCVs of category 5 exist in the area under 	<p>BMLFUW (2006): ALP Austria - Programm zur Sicherung und Entwicklung der alpinen Kulturlandschaft. Multifunktionale Neuordnung von Wald und Weide. Lebensministerium, Wien.</p> <p>Seher, W. (2006): Wald und Weide im Gebirge. VS Alpine Raumordnung. Universität für Bodenkultur, Wien.</p>	<p>Indigenous people in accordance to the international definition and legislation are not present in Austria.</p> <p>Wood and grazing rights, which allow land uses (lumbering, grazing) on foreign property (“Einforstungsrechte“) that form customary rights are of local significance for the resident population. They are defined in Art. 38 FG in such a way, that they comprise the rights for the use of lumber, pasture rights and servitudes (e.g. right of way) to third parties. Approximately 600,000 ha are affected by rights to use the forest and its products by third parties (“Einforstungsrechte“), of which 70% are held by the Austrian Federal Forests (ÖBf), with an extent of 330,000 m³ of firewood and 95,000 m³ of timber (Seher, 2006). Above all in the</p>		<p>The recreational function of forests and rights of third parties on the forest are defined and described.</p> <p>Threshold 23 is not met; a further risk assessment was necessary.</p>

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
assessment ?		area of separating forest and pasture, regional efforts are being made to compensate these rights (BMLFUW, 2006).		
<p><u>Analysis of Threshold 24:</u> There is low/negligible threat to HCV5 caused by management activities in the area under assessment.</p> <p><u>Context:</u></p> <ul style="list-style-type: none"> Is there a threat posed to HCVs of category 5 by forest management activities? The following threat shall be considered: <ul style="list-style-type: none"> The compromising (influencing) of the fundamental needs of indigenous peoples and local communities by 	<p>BMLFUW (2015): Österreichischer Waldbericht 2015. Nachhaltige Waldwirtschaft in Österreich. Ministerium für ein Lebenswertes Österreich, Wien.</p> <p>Jäger, F. (2003): Forstrecht. 3. Auflage mit Kommentar. Verlag Österreich, Wien.</p> <p>Linser S. (2016): ÖWAD-Indikatoren-Set zur Vorlage an das Österreichische Waldforum. Universität für Bodenkultur, Wien</p> <p>Wolfslehner B. Weiss, G. (2013): Klimafolgenstudie Wälder und Landwirtschaft der Stadt Wien im Klimawandel und internationaler Vergleich zur Situation von Stadtwäldern in Zentral-Osteuropa. Universität für Bodenkultur, Wien.</p> <p>Wolfslehner B., Vacik H., Huber P. Ruprecht H. (2009): Potenzialabschätzung von Nichteholzprodukten und forstlichen Dienstleistungen in Österreich. Universität für Bodenkultur, Wien.</p>	<p>For the population at large the discussion about recreational use of forests is essential. The use of Austrian forests for recreational purposes is defined in the FG in Art. 33-36 in a separate chapter. It states that everyone may enter forests for recreational uses and is allowed to reside there (Art. 33 FG), with the exception of forest areas that are restricted by authorities, forest areas with forest operational installations like seedling nurseries, operating sites etc. as well as reforestation areas and afforestation areas (Art. 33, 34). In practice that means, that currently 94% of the Austrian forest areas are freely accessible (Linser, 2016). In the Austrian Forest Development Plan ("Waldentwicklungsplan") 46,000 ha or 1.1 % of the total area are designated with the key feature of recreational use. Especially in areas close to cities the recreational function is prior ranking (Wolfslehner & Weiss, 2013). That does not mean that the recreational effect is limited only to the key feature. An example is the "Biosphärenpark Wienerwald", which aims at the combination of nature protection and recreational functions on 105,000 ha in an area close to the city. Additional cooperations with tourism are significant, as they generate common marketing opportunities of recreational values in the forest both for summer and winter tourism. (Wolfslehner et al., 2009)</p> <p>Rights to use the forest and its products by third parties ("Einförstungsrechte") are defined and guaranteed in the Forest Act. They represent a traditional tool for the use of forests by third parties. The termination of such rights is especially accelerated in the sector of dividing forest and pasture and is carried out in accordance with the rule of law.</p> <p>The recreational function is determined by law and the Austrian forest is for most parts freely accessible. Restrictions are either defined as temporary or permanent restrictions (Art. 34 FG). Temporary restrictions are designated for construction sites, danger zones due to utilisation of wood, calamity areas, forest protection areas and areas of scientific importance. Permanent</p>		<p>Public access to forests for recreational purposes, with the exception of legally defined, operational forest management activities, is guaranteed to the greatest possible extent. The dimension and impact of restricted hunting areas should be inventoried and published nationwide by the responsible authorities.</p> <p>Claims of third parties in the form of wood usage rights, pastry and servitudes are regulated by law.</p> <p>Threshold 24 is met; a risk assessment with 'low risk' was possible.</p>

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
<p>management activities. When assessing potential threats, please refer also to the legality assessment in order to assess whether community rights are legally recognized and enforced.</p>		<p>restrictions can be declared in consequence of subsidiary use such as cultivation of Christmas trees, zoological and botanical gardens or the proximity to housing areas.</p> <p>In order to provide a broader commercialisation of recreational services cooperations as well as a reconciliation of interests are important - especially between forestry and tourism - which might lead to dissolving possible conflicting uses together within a common marketing concept (Wolfslehner et al., 2009). 2009).</p>		
<p><u>Analysis of threshold 25:</u> HCV 5 is identified and/or its occurrence is likely in the area under assessment, but it is effectively protected from threats caused by management activities.</p>				<p>Threshold 25 has not been assessed because threshold 24 is met. A risk assessment with 'low risk' was possible.</p>
<p><u>Analysis of threshold 26 for specified risk:</u> HCV 5 is identified and/or its occurrence is likely in the area under assessment and it is threatened by management activities.</p>				<p>Threshold 26 for specified risk has not been assessed because threshold 24 is met. A risk assessment with 'low risk' was possible.</p>
<p>3.6 HCV 6</p>		<p>Cultural values are of great importance in the mainly traditionally positioned forestry scene in Austria, they are part of the sector's self-perception. Furthermore legal regulations work efficiently. There is no evidence for additional threats of these values through forestry except for individual cases. Therefore 'low risk' can be designated.</p>		<p>The risk designation for indicator 3.6 for the area under assessment is 'low risk' as threshold 28 is met. There is a low / negligible threat to HCV 6, through forest management respectively effective management measures exist.</p>

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
<p><u>Analysis of Threshold 27:</u> There is no HCV 6 identified and its occurrence is unlikely in the area under assessment.</p> <p><u>Context:</u></p> <ul style="list-style-type: none"> Do exceptional natural landscapes that have evolved as a result of social, economic, administrative, and/or religious factors exist? Have sufficient buffer areas been put in place for cultural values? 	<p>Johann, E., Latorre, J.G., Klemm, S. (2014): Kostbarkeiten im Wald. Österreichischer Forstverein, Wien.</p> <p>ÖWI 2007/2009. Österreichische Waldinventur. Bundesamt für Wald, Wien.</p> <p>Wolfslehner B., Vacik H., Huber P. Ruprecht H. (2009): Potenzialabschätzung von Nichtholzprodukten und forstlichen Dienstleistungen in Österreich. Universität für Bodenkultur, Wien.</p>	<p>Cultural and spiritual values of the forest are important in forestry that traditionally consists of many family businesses and farm-based forest owners, but is spatially marginal. A precise inventory of such values does not exist, but there is an active network of forestry culture and forestry history, amongst others in form of a "Fachausschusses des Österreichischen Forstvereins". Johann et al. (2014) documented old forms of settlements, transportation routes, buildings and remnants of wood utilisation and processing. In this context the initiative "Forst Kultur" is also relevant, which includes the certification seminar „Forest + Culture“. The initiative conducted 1721 activities tied to forestry culture since 2009 and has more than 80,000 ha as projected forest area (Linser, 2016). New marketing aspects like forest cemeteries, cultural events or the commercialisation of forest sceneries e.g. for movies are increasing, but still have a minor extent (Wolfslehner et al., 2009).</p> <p>Traditional forms of cultivation can be mainly related to agricultural management in Austria (e.g. the management of alpine pastures). In terms of forests, coppice forests and coppice with standards are relevant, which are mainly cultivated in the Pannonian East. The Austrian Forest Inventory records no significant changes regarding these forms of cultivation in the last 20 years and currently records 92,000 ha of coppicing (ÖWI 2007/09).</p> <p>The available data is sufficient to identify the conservation value; hence no stakeholder survey is needed for this purpose.</p>		<p>Cultural and spiritual values and traditional forest management are defined and described.</p> <p>Threshold 27 was not met, a further risk assessment was necessary.</p>
<p><u>Analysis of Threshold 28:</u> There is low/negligible threat to HCV 6 caused by</p>	<p>BMFLUW (2015): Österreichischer Waldbericht 2015. Nachhaltige Waldwirtschaft in Österreich. Ministerium für ein Lebenswertes Österreich, Wien.</p>	<p>Currently no threat of cultural values can be observed for Austria.</p> <p>The preservation of cultural values is mainly regulated through tools of nature protection and protection of historic monuments.</p>		<p>The preservation of cultural values in Austria is regulated by law and there is no sign of a serious threat caused by forest management.</p>

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
<p>management activities in the area under assessment.</p> <p><u>Context:</u></p> <ul style="list-style-type: none"> Are HCVs of category 6 threatened by forest management activities? <p>The following threat shall be considered:</p> <ul style="list-style-type: none"> Destruction and/or disturbance of rights/values influencing the occurrence of HCVs of category 6. <p>When assessing the potential threats, please refer also to the legality assessment in order to determine whether community rights are legally</p>	<p>ÖWI 2007/2009. Österreichische Waldinventur. Bundesamt für Wald, Wien.</p>	<p>Many forest owners contribute to a high extent to the preservation of cultural monuments (e.g. castles, churches including its inventory) using private income from forestry.</p> <p>There is no evidence of violations of those principals on a wider scale in Austria. Marketing traditional and new cultural values like forest cemeteries is strongly related to voluntary actions of forest enterprises (BMLFUW, 2015). Regarding traditional management forms no negative trend is indicated, e.g. forestry transformation of coppice forests to high forests. Given a share of 2.3% of the total area (ÖWI 2007/2009) the importance is marginal in comparison to forests of e.g. southern Europe.</p>		<p>Traditional forms of forest management show a stable occurrence.</p> <p>The legal framework for CW category 1 was classified as 'low risk'. Threshold 28 is met, as there is a low / negligible threat to HCV 6 in the area under assessment.</p> <p>The risk designation is 'low risk'.</p>

Indicator	Sources of Information	HCV occurrence and threat assessment	Functional scale	Risk designation and determination
recognized and enforced.				
<u>Analysis of threshold 29:</u> HCV 6 is identified and/or its occurrence is likely in the area under assessment, but it is effectively protected from threats caused by management activities.				Threshold 29 has not been assessed because threshold 28 is met. A risk assessment with 'low risk' was possible.
<u>Analysis of threshold 30 for specified risk:</u> HCV 6 is identified and/or its occurrence is likely in the area under assessment and it is threatened by management activities.				Threshold 30 for specified risk has not been assessed because threshold 28 is met. A risk assessment with 'low risk' was possible.

Control measures

N/A

Controlled wood category 4: Wood from forests being converted to plantations or non-forest use

Indicator 4.1: Conversion of natural forests to plantations or non-forest use in the area under assessment is less than 0.02% or 5000 hectares average net annual loss for the past 5 years

Or

Conversion is illegal at the national or regional level on public and private land.

Application note for the indicator for Austria:

The indicator is assessed on the basis of the development of the forest area in Austria according to the Austrian Forest Inventory. The Austrian Forest Inventory provides data about the condition of the forests in Austria, based on defined sampling points that are spread at a distance of 3,89 km across the Federal territory. Every year, a third of these sampling points, equally spread over the territory, are surveyed. It is the major source for statistical data about Austrian forests, the majority of other scientific reports refers to that source. For the last four years there is no other source available. The national inventory is the central monitoring instrument, which serves inter alia for all reporting duties for international treaties. It is internationally accepted.

Risk assessment

Indicator	Source of information	Functional scale	Risk designation and determination
4.1 Conversion of natural forests to plantations or non-forest use in the area under assessment is less than 0.02% or 5000 hectares average net annual loss for the past 5 years (whichever is less)	<p>Austrian Forest Inventory: http://bfw.ac.at/rz/wi.home</p> <p>Fieldwork instructions for the Austrian Forest Inventory 2007-2009. http://bfw.ac.at/700/pdf/DA_2009_Endfassung_klein.pdf</p> <p>BFW (2012): Holz- Energiequelle der Zukunft. BFW Praxisinformation 28, Wien.</p> <p>Jäger, F. (2003): Forstrecht. 3. Auflage mit Kommentar. Verlag Österreich, Wien</p>	n/a	<p>Assessment based on spatial data</p> <p>The forest area has grown steadily in Austria over the last decades. The Austrian forest area comprises 3.99 million ha according to the last forest inventory, i.e. 47.6% of the land area.</p> <p>The forest area has increased by 67,000 ha and has increased by 0.8% of the land area since the inventory in 1992/96 until 2007/09, (Linser, 2016).</p> <p>The comparison between the last two inventories 2000/02 and 2007/09 shows an increase of 31,000 ha, which corresponds to an annual average increase of about 4.400 ha, or 0,1% of the forest area. Commercial plantations with rotation <30y are not forests according to the law. In case of longer rotation cycles they are not considered as plantations.</p> <p>Local forest loss due to clearing is compensated by substitute afforestation or compensation services. Conversion of forests into plantations is not relevant in Austria, because plantations are not forests according to the forest law, hence it would fall under non-</p>

Indicator	Source of information	Functional scale	Risk designation and determination
			<p>forest use. Short-term plantations such as energy wood plantations mainly exist on agricultural land. (BFW, 2012)</p> <p>Threshold 1 is met: Thresholds provided in the indicator are not exceeded. The risk designation is 'low risk'.</p>
<p>OR</p> <p>Conversion is illegal at the national or regional level on public and private land</p>	<p>Austrian Federal Forest Act 1975 idF BGBl. I nr.189-2013, §17 17a, 18, 19, 20:</p> <p>https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10010371</p> <p>IUCN; Towards integrated wildlife management in the Vienna Woods:</p> <p>https://www.iucn.org/about/union/commissions/sustainable_use_and_livelihoods_specialist_group/sulinews/issue_2/sn2_vienna_woods/</p> <p>Jäger, F. (2003): Forstrecht. 3. Auflage mit Kommentar. Verlag Österreich, Wien</p> <p>Linser S. (2016): ÖWAD-Indikatoren-Set zur Vorlage an das Österreichische Waldforum. Universität für Bodenkultur, Wien.</p>		<p>Assessment based on legislation</p> <p>Forest conversion is regulated in §§ 17-20 of the Forest Act (Jäger, 2003)</p> <p>Content of the law</p> <p>Conversion to non-forest use is prohibited (Forest Act 1975 § 17th). Plantations are not forests according to the forest law that is why they are considered as non-forest use. However, if a particular public interest exists a permit can be issued for clearing. In particular, in relation to the comprehensive national defence, rail, air or road traffic, the public postal or telecommunications, mining, hydraulic engineering, in the energy industry, in the agricultural structure improvement in human settlements or in the nature, and can be done through expropriation. A clearing permit is not required if the area covers less than 1000m².</p> <p>In the clearing permit the terms and conditions are defined;</p> <ul style="list-style-type: none"> • a fixed time at which the clearing permit expires if the clearing purpose was not fulfilled, • to bind the validity of the authorization to the exclusive use of the area requested • measures are prescribed to minimize negative effects on the surrounding forests or- to compensate for the loss of forest services. In case such measures are not possible or reasonable, a monetary compensation to the forest service to be used for forest restoration measures can be prescribed.

Indicator	Source of information	Functional scale	Risk designation and determination
			<p>Compensation has to be conducted, involving either restoring the attributable effects by afforestation of non-forest land (reforestation) or measures to improve the forest condition in the vicinity of the cleared area on the basis of an agreement made. A hearing process shall be conducted prior to harvesting.</p> <p>Areas used for military exercises (training areas) do not need a clearing permit. At the beginning of each year the Federal Minister of Defence has to inform the Federal Minister for Agriculture, Forestry, Environment and Water of the areas known to have been cleared in the previous year. This is not allowed in protected areas.</p> <p>Is the law enforced? Yes. The conversion is strictly governed under the Forest Act and may only be conducted with approval from the Forestry Department. All forest conversion endeavours have to be submitted to forest authorities and need to receive allowance and a prescription of compensation measures beforehand. No major issues have been reported for these criteria. Please also consider the outcome of Category 1 “Legality”, which states that the legal enforcement in Austria is strong and concludes “low risk.”</p> <p>Is it possible to conclude that the spatial threshold can be met by assessing the enforcement of legislation?</p> <p>No. There are only a number of instances where conversion is allowed with a permit. Although compensation is required, it is not necessarily reforestation, as it can also be measured to improve the forest condition or monetary compensation to the forest service dedicated for forest restoration.</p>

Indicator	Source of information	Functional scale	Risk designation and determination
			<p>However, the spatial analysis confirms that natural forest area loss and conversion of forests into plantations or non-forest use are below the spatial thresholds on national scale in Austria.</p> <p>Threshold 3 is met, as other available evidence does not challenge a 'low risk' designation.</p>

Control measures

N/A

Controlled wood category 5: Wood from forests in which genetically modified trees are planted

The content of the risk assessment for Category 5 was included from the CNRA for Austria without any adaptation or alteration by the Technical Project Group, as it has already been approved by FSC International on the 17th of December 2015.

Risk assessment

Indicator	Sources of information	Functional scale	Risk designation and determination
5.1	<p>FAO Forest Genetic Resources Working Paper 59 - Preliminary review of biotechnology in forestry, including genetic modification. 2004</p> <p>http://www.fao.org/docrep/008/ae574e/ae574e00.htm</p> <p>Federal Office for Health - Bundesministerium für Gesundheit</p> <p>http://bmg.gv.at/home/Schwerpunkte/Gentechnik/Fachinformation_Allgemeines/Description_of_Austrian_Regulations_on_Genetic_Engineering</p> <p>Environment Agency Austria 2014:</p> <p>http://www.umweltbundesamt.at/umweltschutz/gentechnik/zulassungen/ (The permission of genetically modified organisms (GVO))</p> <p>Import ban: Article 16 der Guideline 90/220/EWG bzw.</p> <p>http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:31990L0220:DE:HTML</p> <p>Protection clause: Article 23 of the guideline 2001/18/EG</p> <p>http://www.bfr.bund.de/cm/343/richtlinie_2001_18_eg_ueber_die_absichtliche_fraeisetzung.pdf</p> <p>Austrian Act on Genetic Engineering (BGBl. I Nr. 73/1998):</p> <p>http://www.bmg.gv.at/cms/home/attachments/7/8/8/CH1060/CMS1226929588865/73_1998.pdf</p> <p>Expert consultation;</p> <p>Mr. DI. Dr. Johannes Schima, Federal Ministry of Agriculture and Forestry, Environment and Water and Mr. Dr. Thomas Geburek from the Department of Forest Genetics Federal Research and Training Centre for Forests, Natural Hazards and Landscape (BFW).</p>	N/A	<p>Low risk</p> <p>(1) GMO use is illegal according to applicable legislation of the area under assessment AND the risk assessment for relevant indicators of Category 1 confirms that applicable legislation is enforced.</p> <p>The use of genetically modified-forest reproductive material may only be conducted with permission from The Austrian Federal Ministry of Agriculture, Forestry, Environment and Water Management. The Austrian public is strongly opposed to genetically modified crops. With small average field sizes, few farmers believe that coexistence between organic farming, conventional agriculture, and GM crops can occur. The Austrian government's stance on the issue is in line with popular opinion and has banned several GMOs assessed as safe at the European level. Thus, currently no GMO trees have been approved and the legislation enforced.</p> <p>(2) There is no commercial use of GMO (tree) species in the area under assessment,</p> <p>GM trees have not been cultivated for commercial purposes, nor has there been test cultivation for scientific purposes outside of closed areas (such as greenhouses).</p> <p>AND</p>

			<p>(3) Other available evidence does not challenge 'low risk' designation.</p> <p>As there has been no approval of the use of GMO trees, and no illegal use of GMO trees has been found, the risk is considered low.</p>
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GMO Context Question	Answer
1. Is there any legislation covering GMO (trees)?	<p>Yes.</p> <p>Austrian Gene Technology Act (BGBl. Nr. 510/1994, i.d.g.F) Austrian Act on Genetic Engineering (BGBl. I Nr. 73/1998), Ordinance on Work with GMOs in Contained Use (Systemverordnung 2002 BGBl. Nr. 431/2002) Ordinance on Public Hearings (Anhörungsverordnung BGBl.Nr. 61/1997, i.d.F. BGBl. II Nr. 164/1998) Ordinance on Labelling of products that contain GMOs (Gentechnik-Kennzeichnungsverordnung, BGBl. II Nr. 5/2006) "GMO-Register" (Gentechnikregister gemäß § 101c Abs. 1 und 2 GTG).</p> <p>GMO is regulated by the following ministries: Austrian legislation on gene technology Austrian Ministry for Economics and Labor Ministry of Health and Women Federal Ministry of Agriculture, Forestry, Environment and Water The Federal Environmental Agency AGES, Austrian Agency for Health and Food Safety (DE)</p>
2. Does applicable legislation for the area under assessment include a ban for commercial use of GMO (trees)?	There is no direct ban against GMO, GMO is highly regulated and permission is needed before planting GMO. The Environment Agency Austria supports the Federal Ministry under the Act on Genetic Engineering. You need a comprehensive cover risk analysis to get a permit to use GMO. The message of the Austrian Federal Ministry is not to allow GMO, and to date no use of GMO crops or trees species has been approved.
3. Is there evidence of unauthorized use of GM trees?	No
4. Is there any commercial use of GM trees in the country or region?	No
5. Are there any trials of GM trees in the country or region?	No
6. Are licenses required for commercial use of GM trees?	A permit is needed from the Ministry. This is governed under the Act on Genetic Engineering: Chapter III, Discharge of Genetically Modified Organism (GMO). No licenses have been issued.
7. Are there any licenses issued for GM trees relevant for the area under assessment? (If so, in what regions, for what species and to which entities?)	No

8. What GM 'species' are used?	N/A
9. Can it be clearly determined in which MUs the GM trees are used?	Yes. This is governed under the Act on Genetic Engineering: Chapter III, Discharge of Genetically Modified Organism (GMO). Currently there is no use of GMO trees in Austria.

Control measures

N/A

Annex A & B

Not applicable.

Annex C1 List of information sources

1.	Sustainability Balanced Scorecard of Austrian federal Forests (Facts & Figures): http://www.bundesforste.at/fileadmin/bundesforste/Zahlen_Fakten/NHB-2013_Zahlenteil_en_FINAL-1.pdf	1.1
2.	Overview and description of land registry: https://www.help.gv.at/Portal.Node/hlpd/public/content/60/Seite.600100.html#Datenbank	1.1
3.	Land register certificate: www.grundbuchauszug-online.at	1.1
4.	World Banks Worldwide Governance Indicator: http://info.worldbank.org/governance/wgi/index.aspx#reports	1.1, 1.4, 1.6, 1.7, 1.8, 1.10, 2.0, 2.1
5.	Austrian Forest Report 2008 http://www.bmlfuw.gv.at/publikationen/forst/waldbericht/nachhaltige_waldwirtschaft_in_oesterreich-oesterreichischer_waldbericht_2008.html	1.3
6.	Report on grubbing decree (Rodungserlass): http://www.bmlfuw.gv.at/forst/oesterreich-wald/Forstrecht/Forstgesetz.html , Document "Rodungserlass" is in the Downloads area (on the right site)	1.4
7.	GCR 2013-2014 http://www.business-anti-corruption.dk/country-profiles/europe-central-asia/austria/snapshot.aspx	1.4, 1.6
8.	No reporting of illegal logging occurring on search in www.illegal-logging.org	1.4
9.	Ministry of Finance - sales tax: https://www.bmf.gv.at/steuern/selbststaendige-unternehmer/umsatzsteuer/umsatzsteuer.html	1.6
10.	Consolidation into a lump sum of income tax 2011-2015, Report Rural District Oberösterreich Einkommensteuerpauschalierung 2011-2015, Report LK Oberösterreich www.bmf.gv.at	1.7
11.	Business anti-corruption Portal: http://www.business-anti-corruption.dk/country-profiles/europe-central-asia/austria/snapshot.aspx	1.7
12.	Federal Ministry of Finances – Income taxes (Bundesministerium für Finanzen – Einkommenssteuer) https://www.bmf.gv.at/steuern/selbststaendige-unternehmer/einkommensteuer/einkommensteuer.html	1.7
13.	Ministry of Finance - Overview of lump sum: https://www.bmf.gv.at/steuern/selbststaendige-unternehmer/pauschalierung/p-einkommensteuer.html	1.7
14.	Required document for Income Taxes: https://www.help.gv.at/Portal.Node/hlpd/public/content/227/Seite.2270200.html#ErforderlicheUnterlagen	1.7

15.	The Austrian Forest Programme: http://www.bmlfuw.gv.at/en/searchresults.html?queryString=forest+program	1.8
16.	Austrian Forestry Act 1975 idF BGBl. I nr.189-2013: https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10010371	1.8, 1.9, 1.10, 1.13
17.	Transparency International (CPI); http://www.transparency.org/cpi2014/results	1, 1.8, 1.10
18.	Study "Nature protection in Austria" from the Federal Environment Agency-Austria: http://www.umweltbundesamt.at/fileadmin/site/publikationen/M091z.pdf	1.9
19.	Ministry of Agriculture, Forestry, Environment and Water - Forest Development Plan: http://www.bmlfuw.gv.at/forst/oesterreich-wald/raumplanung/waldentwicklungsplan/WEP.html	1.9
20.	Ministry of Agriculture, Forestry, Environment and Water - Forest Management plan: http://www.bmlfuw.gv.at/forst/oesterreich-wald/raumplanung/praxisplan.html	1.9
21.	Forest Plant Protection: http://www.bmlfuw.gv.at/forst/oesterreich-wald/pflanzenschutz.html	1.9
22.	Hazard zone plan: http://www.bmlfuw.gv.at/forst/oesterreich-wald/raumplanung/ Gefahrenzonenplan.html	1.9
23.	Conservation of legally protected areas in Austria: http://www.umweltbundesamt.at/umweltsituation/naturschutz/sg/ http://www.umweltbundesamt.at/en/soer/soer2010_partc/soer2010_nature/ http://www.umweltbundesamt.at/en/soer/soer2010_partc/soer2010_nature/soer2010_nature4/	1.9
24.	Federal Ministry for Sustainability and Tourism www.lebensministerium.at	1.10
25.	Statistic of accidents in the Forest sector 2013: http://www.auva.at/portal27/portal/auvaportal/content/contentWindow?contentid=10008.542528&action=b&cacheability=PAGE&version=1400571342	1.11
26.	Land and Forst: http://www.landforstbetriebe.at/content.php?p=75	1.11
27.	www.ILO.org: http://www.ilo.org/Search4/search.do?searchLanguage=en&searchWhat=Austrian Austrian Federal Constitutional Laws (selection) as of 2000, English, French and German	1.12, 1.15
28.	Ministry of Social Affairs: http://www.sozialministerium.at/site/Arbeit/Arbeitsrecht/ http://www.sozialministerium.at/site/Arbeit/Arbeitsschutz/	1.12, 1.15
29.	Portal of Labour (Portal der Arbeiterkammern): http://www.arbeiterkammer.at/beratung/arbeitsrecht/index.html http://www.arbeiterkammer.at/beratung/steuerundeinkommen/index.html	1.12
30.	Online land registry: www.grundbuchauszug-online.at https://www.jusline.at/grundbuch.html	1.1, 1.13

31.	Land registry insight: https://www.help.gv.at/Portal.Node/hlpd/public/content/60/Seite.600300.html	1.13
32.	ForstHolzPapier; Information and training tool: http://www.forstholzpapier.at/index.php?option=com_content&view=article&id=103&Itemid=77	1.16
33.	Austrian Timber Trade Practices: http://www.wienerbourse.at/marketplace_products/commodity/holzhandelsusancen.html	1.16
34.	Austrian Timber Trade Practices: http://www.forstholzpapier.at/index.php?option=com_content&view=article&id=103&Itemid=77	1.17
35.	PWC International Transfer Pricing 2013/14 - Austria: http://www.pwc.com/gx/en/international-transfer-pricing/assets/austria.pdf	1.18
36.	Austria Transfer Pricing Profile: http://ec.europa.eu/taxation_customs/resources/documents/taxation/company_tax/transfer_pricing/forum/profiles/tpprofile-at.pdf	1.18
37.	Federal Ministry of Finance webpage: www.bmf.gv.at	1.19
38.	EU- Customs codex: www.exporthandbuch.at	1.19
39.	Biennial Report 2009 and 2010. Convention on International Trade in Endangered Species of Wild Fauna and Flora: http://ec.europa.eu/environment/cites/pdf/compilation_2009-2010.pdf	1.20
40.	Cites Checklist http://checklist.cites.org/#/en/search/country_ids%5B%5D=98&output_layout=alphabetical&level_of_listing=0&show_synonyms=1&show_author=0&show_english=1&show_spanish=1&show_french=1&scientific_name=Plantae&page=2&per_page=20	1.20
41.	Austrian legislation trade with http://www.bmlfuw.gv.at/umwelt/natur-artenschutz/cites/rechtliche-grundlagen/bundesgesetze.html	1.20
42.	Council Regulation (EG) No 338/97 of February 2008 on the protection of species of trees http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CONSLEG:1997R0338:20080411:EN:PDF	1.20
43.	Regulation of the Minister of Agriculture, Forestry, Environment and Water Management on the criterion of irrelevance in trade in specimens of wild animal and plant species (species Trade Unerheblichkeitsverordnung - ArthUV) file:///C:/Users/ds/Downloads/Artenhandel_Unerheblichkeitsverordnung.pdf	1.20
44.	http://www.parlament.gv.at/PAKT/VHG/XXIV/I/I_02442/index.shtml#tab-Uebersicht	1.21
45.	http://bfw.ac.at/rz/bfwcms.web?dok=9379	1.21
46.	Personal interview	1.21
47.	World Bank Harmonized List of Fragile Situations: http://siteresources.worldbank.org/EXTLICUS/Resources/511777-1269623894864/Fragile_Situations_List_FY11_%28Oct_19_2010%29.pdf	2.0
48.	Committee to Protect Journalists: Impunity Index	2.0

	CPJ's Impunity Index calculates the number of unsolved journalist murders as a percentage of each country's population. For this index, CPJ examined journalist murders that occurred between January 1, 2004, and December 31, 2013, and that remain unsolved. Only those nations with five or more unsolved cases are included on this index. http://cpj.org/reports/2014/04/impunity-index-getting-away-with-murder.php	
49.	Carleton University: Country Indicators for Foreign Policy: the Failed and Fragile States project of Carleton University examines state fragility using a combination of structural data and current event monitoring http://www4.carleton.ca/cifp/ffs.htm	2.0
50.	Global Witness: www.globalwitness.org Search on website for [country] + 'human rights' 'conflicts' 'conflict timber'	2.0
51.	http://wwf.panda.org/about_our_earth/about_forests/deforestation/forest_illegal_logging/	2.0
52.	Transparency International Corruption Perceptions Index http://cpi.transparency.org/cpi2013/results/	2.0
53.	Chatham House Illegal Logging Indicators Country Report Card http://www.illegal-logging.info/content/liberian-campaigner-calls-eu-action-logging-law-dodgers	2.0
54.	Freedom House http://www.freedomhouse.org/ http://www.freedomhouse.org/report-types/freedom-world#.U-3q5fl_sVc http://www.freedomhouse.org/report-types/freedom-net#.U-3hUvl_sVc http://www.freedomhouse.org/report-types/freedom-press#.U-3hkvl_sVc	2.0
55.	Fund for Peace - Failed States Index of Highest Alert http://ffp.statesindex.org/rankings-2013-sortable	2.0
56.	http://www.visionofhumanity.org/sites/default/files/2014%20Global%20Peace%20Index%20REPORT.pdf	2.0
57.	Compendium of United Nations Security Council Sanctions Lists http://www.un.org/sc/committees/list_compend.shtml	2.1
58.	US AID: www.usaid.gov	2.1
59.	Global Witness: www.globalwitness.org	2.1
60.	http://pdf.usaid.gov/pdf_docs/pnact462.pdf	2.1
61.	www.globalwitness.org/campaigns/environment/forests	2.1
62.	Human Rights Watch: http://www.hrw.org/	2.0, 2.1, 2.2, 2.3
63.	World Resources Institute: Governance of Forests Initiative Indicator Framework (Version 1) http://pdf.wri.org/working_papers/gfi_tenure_indicators_sep09.pdf	2.1
64.	Now: PROFOR http://www.profor.info/node/1998	2.1
65.	Amnesty International Annual Report: The state of the world's human rights -information on key human rights issues, including: freedom of expression; international justice; corporate accountability; the death penalty; and reproductive rights http://www.amnesty.org/en/annual-report/2011 ; http://amnesty.org/en/annual-report/2013/	2.0, 2.1, 2.3
66.	Greenpeace: www.greenpeace.org Search for 'conflict timber [country]'	2.1
67.	CIFOR: http://www.cifor.org/ ; http://www.cifor.org/publications/Corporate/FactSheet/forests_conflict.htm	2.1
68.	Google the terms '[country]' and one of following terms or in combination 'conflict timber', 'illegal logging'	2.1
69.	Status of ratification of fundamental ILO conventions: http://www.ilo.org/dyn/normlex/en/f?p=1000:11001:0::NO::	2.2
70.	ILO Core Conventions Database: http://www.ilo.org/ilolex/english/docs/declworld.htm C29 Forced Labour Convention, 1930 C87 Freedom of Association and Protection of the Right to Organise Convention, 1948	2.2

	C98 Right to Organise and Collective Bargaining Convention, 1949 C100 Equal Remuneration Convention, 1951 C105 Abolition of Forced Labour Convention, 1957 C111 Discrimination (Employment and Occupation) Convention, 1958 C138 Minimum Age Convention, 1973 C182 Worst Forms of Child Labour Convention, 1999	
71.	ILO Declaration on Fundamental Principles and Rights at Work. Country reports, http://www.ilo.org/declaration/lang--en/index.htm Source of several reports. Search for 'racial discrimination', 'child labour', 'forced labour', 'gender equality', 'freedom of association'. http://www.ilo.org/global/about-the-ilo/newsroom/news/WCMS_115782/lang--en/index.htm - 19 October 2009	2.2
72.	ILO Child Labour Country Dashboard: http://www.ilo.org/ipec/Regionsandcountries/lang--en/index.htm	2.2
73.	Global March Against Child Labour: http://www.globalmarch.org/	2.2
74.	Office of the United Nations High Commissioner for Human Rights (OHCHR), Committee on Rights of the Child: http://www.ohchr.org/EN/HRBodies/CRC/Pages/CRCIndex.aspx	2.2
75.	ILO Helpdesk for Business on International Labour Standards: http://www.ilo.org/empent/areas/business-helpdesk/lang--en/index.htm	2.2
76.	Committee on the Elimination of Discrimination against Women Concluding observations on the seventh and eighth periodic reports of Austria, adopted by the Committee at its fifty - fourth session (11 February–1 March 2013) http://tbinternet.ohchr.org/_layouts/treatybodyexternal/Download.aspx?symbolno=CEDAW%2fC%2fAUT%2fCO%2f7-8&Lang=en	2.2
77.	Child Labour Index 2014 produced by Maplecroft. http://maplecroft.com/portfolio/new-analysis/2013/10/15/child-labour-risks-increase-china-and-russia-most-progress-shown-south-america-maplecroft-index/	2.2
78.	Verité, Fair Labor. Worldwide. http://www.verite.org/Commodities/Timber	2.2
79.	The ITUC Global Rights Index http://www.ituc-csi.org/new-ituc-global-rights-index-the?lang=en	2.2
80.	AUSTRIA 2013 HUMAN RIGHTS REPORT- United States Department of State • Bureau of Democracy, Human Rights and Labor http://www.state.gov/documents/organization/220463.pdf	2.2
81.	Gender equality. Promoting equal economic independence for women and men, closing the gender pay gap, advancing gender balance in decision making, ending gender based violence and promoting gender equality beyond the EU. http://ec.europa.eu/justice/gender-equality/gender-pay-gap/situation-europe/index_en.htm	2.2
82.	Gender equality. Promoting equal economic independence for women and men, closing the gender pay gap, advancing gender balance in decision making, ending gender based violence and promoting gender equality beyond the EU. http://ec.europa.eu/justice/gender-equality/gender-pay-gap/causes/index_en.htm	2.2
83.	<i>The Global Gender Gap Report 2013, World Economic Forum</i> http://www3.weforum.org/docs/WEF_GenderGap_Report_2013.pdf	2.2
84.	Survival International: http://www.survivalinternational.org/	2.3

85.	The Indigenous World http://www.iwgia.org/regions	2.3
86.	United Nations Special Rapporteur on the rights of indigenous peoples http://www.ohchr.org/en/issues/ipeoples/srindigenouspeoples/pages/sripeoplesindex.aspx	2.3
87.	UN Human Rights Council Universal Periodic Review http://www.ohchr.org/EN/HRBodies/UPR/Pages/Documentation.aspx	2.3
88.	UN Human Rights Committee http://www.ohchr.org/EN/HRBodies/CCPR/Pages/CCPRIndex.aspx search for country	2.3
89.	UN Committee on the Elimination of All Forms of Racial Discrimination http://www.ohchr.org/EN/HRBodies/CERD/Pages/CERDIndex.aspx	2.3
90.	Intercontinental Cry http://intercontinentalcry.org/	2.3
91.	Forest Peoples Programme www.forestpeoples.org	2.3
92.	Society for Threatened Peoples http://www.gfbv.de/index.php?change_lang=english	2.3
93.	Regional human rights courts and commissions: - Inter-American Court of Human Rights http://www.corteidh.or.cr/index.php/en - Inter-American Commission on Human Rights http://www.oas.org/en/iachr/ http://www.oas.org/en/iachr/indigenous/ - African Commission on Human and Peoples' Rights - African Court on Human and Peoples' Rights - European Court of Human Rights	2.3
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95.	Bundesministerium für Land- und Forstwirtschaft, Umwelt & Wasserwirtschaft (2015): Nachhaltige Waldwirtschaft in Österreich. Österreichischer Waldbericht 2015. https://www.google.de/url?sa=t&rct=j&q=&esrc=s&source=web&cd=1&ved=0ahUKEwj2v-LU-ZLVAhXRmLQKHxDKAB8QFgqiMAA&url=https%3A%2F%2Fwww.bmlfuw.gv.at%2Fdam%2Fjcr%3Af11131d2-9b5f-4e31-b55e-e4db98193213%2FWaldbericht%25202015.pdf&usq=AFQjCNGQfJaFQHvY941kUHt0KWEsHfZ8vA&cad=rja Last accessed on 18.07.2017.	3.0, 3.1
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145.	FAO Forest Genetic Resources Working Paper 59 - Preliminary review of biotechnology in forestry, including genetic modification. 2004 http://www.fao.org/docrep/008/ae574e/ae574e00.htm	5.1
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Annex C2 Identification of applicable legislation

Legal rights to harvest

1.1 Land tenure and management rights

- Ministry of Agriculture, Forestry, Environment and Water Management.
Ministry of Finance

1.2 Concession licenses

Not applicable

1.3 Management and harvesting planning

- Austrian Federal Forest Act 1975, idF. BGBl. I Nr. 440/1975 Section II,
§ 6 forest land-use planning
§8 forest land-use planning
§10 Forestry Plans

1.4 Harvesting permits

- Austrian Federal Forest Act 1975, idF. BGBl. I Nr. 440/1975
§17 (1-6) Forest clearance (Rodung)
§17a Registration obligation of forest clearance
§18 Allowance of Forest clearance
§21-§25 protection forest
§80 Protection of unfellable wood
§82 prohibition of clear cutting
§85 subject to authorization of harvesting

Taxes and fees

1.5 Payment of royalties and harvesting fees

Not applicable

1.6 Value added taxes and other sales taxes

- Value Added Tax Act (Umsatzsteuergesetz 1994) §22 Abs1 UStG 1994 Tax of turn over by agriculture and forest units.(Besteuerung der Umsätze von Land-und forstlichen Betrieben)
§10 rate of taxes

1.7 Income and profit taxes

- Income Tax Act 1988 (Einkommensteuergesetz /EStG 1988)
§125 Legal obligation to keep records (Bundesabgabenordnung)
§ 21 Agriculture and Forestry
§ 2 Type of income (Einkommensarten)
§21 Income of agriculture and forestry

Timber harvesting Activities

1.8 Timber harvesting regulations

- Austrian Forestry Act 1975 idF BGBl. I nr.189-2013, section VI
§87 Abs.1-4 Fällungsantrag / harvesting application
§88 Abs. 1 - 5 Fällungsbewilligung / harvesting authorization
§17 (1-6) Forest clearance (Rodung)
§17a Registration obligation of forest clearance
§18 Allowance of Forest clearance
§80 Protection of unfellable wood
§82 prohibition of clear cutting
§85 Authorizing illegal harvesting
- Section V: § 58- 69: The supply of wood out of forest

1.9 Protected sites and species

- Protection Forest Regulation, BGBl. Nr. 398/1977 (Schutzwaldverordnung)
- Regulation on Forest development Plan, BGBl.Nr. 582/1997 (Verordnung über den Waldentwicklungsplan)

- Forest Protection Regulation, 09.12.2014 (Forstschutzverordnung)
- Austrian Federal Forest Act 1975, idF. BGBl. I Nr. 440/1975
 - §6 forestry land use planning
 - §9 Forest development plan
 - §21 Protection Forest Regulation
 - §32a Forest with notably living environment
 - §17 forest clearance
- Forest Protection Regulation 09.12.2014, IV paragraph
 - §11 Hazard zone Plan (legally required, ministry of forestry and agriculture makes this) - are not allowed to harvest in this area. plan for smeltevandstrømme. they draw a zone on this area (applicable under 3.2. and 3.3.)

1.10 Environmental requirements

- Austrian Federal Forest Act 1975, idF. BGBl. I Nr. 440/1975
- Protection Forest Regulation, BGBl. Nr. 398/1977 (Schutzwaldverordnung)
- Regulation on Forest development Plan, BGBl.Nr. 582/1997 (Verordnung über den Waldentwicklungsplan)
- Forest Protection Regulation, 09.12.2014 (Forstschutzverordnung)
 - §87 Abs.1-4 harvesting application (Fällungsantrag)
 - §88 Abs. 1 - 5 harvesting authorization (Fällungsbewilligung)
 - § 16 forest degradation
 - §47 - §57 Forested air pollution
- Lower Austrian nature protection law 2000 (5500-11)
- Regulation about nature protection areas (5500/13-33) in Lower Austria

1.11 Health and safety

- Federal Law for Safety and Health Protection by the work BGBl
- Labour Protection Act Nr. 450/1994, idF. 50/2012 (ArbeitnehmerInnenschutzgesetz ASchG)
- Employment Act of Children and Youths (KJBG) 1987, (BGBl. 599/1987), idF 88/2008 (Kinder- und Jugend-Beschäftigungsgesetz)
- Labour Protection Act Nr. 450/1994, idF. 50/2012 by law:
 - Regulation relating to Operating Material, BGBl. 164/2000, idF 21/2010 (Arbeitsmittelverordnung)
- Workplace Regulation (BGBl. 368/1998, idF . 256/2009 (Arbeitsstättenverordnung)
- Regulation about legislative prohibitions for youths, KJBG-VO BGBl. 436/1998 (Verordnung über Beschäftigungsverbote und -beschränkungen für Jugendliche.
- Regulation of safety of building labor (Bauarbeiterschutverordnung) (BauV) (BGBl. 340/1994), idF. 3/2011

- Federal Law according the regulation of employment law in the by agriculture and forestry (Bundesgesetz betreffend die Grundsätze für die Regelung des Arbeitsrechts in der Land- und Forstwirtschaft Agricultural Labor Act (Landarbeitsgesetz1984 – LAG) (BGBl. 287/1984), idF. 19/2012
- Austrian Federal Forest Act 1975 idF BGBl. I nr.189-2013
- Lower Austria Rural worker regularity, § 88, (Landarbeiterordnung)

1.12 Legal employment

- §1 Employee Act, 29.09.2014, BGBl. Nr. 292/1921
- Labour Protection Act Nr. 450/1994, idF. 50/2012 by law: Regulation relating to Operating Material, BGBl. 164/2000), idF 21/2010 (Arbeitsmittelverordnung)
- Protection of Employees Act (ArbeitnehmerInnenschutzgesetz)

Third parties' rights

1.13 Customary rights

- Austrian Federal Forest Act 1975, idF. BGBl. I Nr. 440/1975, §§ 33
- Code of civil law JGS Nr. 946/1811 §472 and §473

1.14 Free prior and informed consent

Not applicable

1.15 Indigenous people rights

Not applicable

Trade and transport

1.16 Classification of species, quantities, qualities

- Austrian Wood Trade Standard, 2006
- List of quotations for wood 3. September 2014

1.17 Trade and Transport

- Motor Vehicles Act BGBl. Nr. 267/1967
- Federal Act on the Control of Trade in Wood (Holzhandelsüberwachungsgesetz) (EG) Nr. 2173/2005

1.18 Offshore trading and transfer pricing

- Income Tax Act 1988, Art 6 Paragraph 6
- Federal Fiscal Code, Art 124, 131 and 138
- Act on Tax Offences 2010
- Section 8 paragraph 1 and 2 of the Austrian Corporate Tax
- Sections 21 et seq. of the Federal Procedural Tax Act

1.19 Custom regulations

- Austria applies the European customs law
COMMISSION REGULATION (EC) No 1192/2008 of 17 November 2008
Regulation Nr. (EG) 2173/2005 and (EU) Nr.995/2010 (import of wood material)
Regulation (EEC) No 2913/92
- Federal Law Gazette 129. Custom law 1955
- Federal Law regarding regulation to enforcement of customer rights (ZollR-DG, BGBl Nr. 659/1994)

1.20 CITES

- Council Regulation (EG) No 338/97 of February 2008 on the protection of species of trees
- Regulation of the Minister of Agriculture, Forestry, Environment and Water Management on the criterion of irrelevance in trade in specimens of wild animal and plant species (species Trade Unerheblichkeitsverordnung - ArtHUV)
- Federal Law on the Monitoring of Trade in Specimens of Wild Animal and Plant Species (Kinds Trading Act 2009 - ArtHG 2009)

Diligence / due care procedures

1.21 Legislation requiring due diligence/due care procedures

- EU Legislation
Regulation (EU) No 995/2010 of the European Parliament and of the Council of 20 October 2010 laying down the obligations of operators who place timber and timber products on the market, article 4, 5, 6 and appendix

- Commission Implementing Regulation (EU) No 607/2012 of 6 July 2012 on the detailed rules concerning the due diligence system and the frequency and nature of the checks on monitoring organizations as provided for in Regulation (EU) No 995/2010 of the European Parliament and of the Council laying down the obligations of operators who place timber and timber products on the market, article 3-6
- National legislation
Federal Act on the Control of Trade in Wood BGBl. 1 Nr. 178/2013 (Holzhandelsüberwachungsgesetz)

4.1 Wood from forests being converted to plantations or non-forest use

- Austrian Federal Forest Act 1975 idF BGBl. I nr.189-2013, §17 17a, 18, 19, 20:
<https://www.ris.bka.gv.at/GeltendeFassung.wxe?Abfrage=Bundesnormen&Gesetzesnummer=10010371>

5.1 Wood from forests in which genetically modified trees are planted

- Austrian Act on Genetic Engineering (BGBl. I Nr. 73/1998):
http://www.bmgf.gv.at/cms/home/attachments/7/8/8/CH1060/CMS1226929588865/73_1998.pdf
- Protection clause: Article 23 of the guideline 2001/18/EG
http://www.bfr.bund.de/cm/343/richtlinie_2001_18_eg_ueber_die_absichtliche_freisetzung.pdf
- Import ban: Article 16 der Guideline 90/2207EWG
<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:31990L0220:DE:HTML>