



Forest Stewardship Council®



International Generic Indicators

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INTERNATIONAL GENERIC INDICATORS

FSC-STD-60-004 V1-1 EN

The Forest Stewardship Council® (FSC) is an independent, not for profit, non-government organization established to support environmentally appropriate, socially beneficial, and economically viable management of the world's forests.

FSC's vision is that the world's forests meet the social, ecological, and economic rights and needs of the present generation without compromising those of future generations.



Jaime Levy

Jaime's contribution to FSC over the years has been invaluable. He will be particularly remembered for his work to strengthen the voice of Indigenous Peoples in the FSC system, where – among many other achievements - he made a major contribution to the development of the IGI, and was also instrumental in the establishment of the Permanent Indigenous Peoples' Committee.

Kim Carstensen

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A Objective

The objective of this Standard is to provide a set of International Generic Indicators (IGI) that aim to:

- Operationalize at national level the FSC Principles and Criteria Version 5-1 (P&C V5-1);
- Ensure the consistent implementation of the P&C across the globe;
- Improve and strengthen the credibility of the FSC System;
- Improve the consistency and quality of National Forest Stewardship Standards;
- Support a faster and more efficient approval process of National Forest Stewardship Standards; and
- Replace the Certification Body's Interim Standards with Interim National Standards in countries that lack approved National Forest Stewardship Standards.

B Scope

At their 68th Meeting in March 2015, the FSC Board of Directors approved, with consensus, the International Generic Indicators (IGI) as the starting point for developing National Standards. The IGI are mandatory for Interim National Standards ('Certification Body standards').

Standard Development Groups shall consider the Instructions for Standard Developers, and all the IGI, with the option to adopt, adapt, drop or add indicators as appropriate and relevant nationally.

Certification Bodies developing Interim National Standards shall consider the Instructions for Standard Developers, and all the IGI, with the option to adopt or adapt indicators as appropriate and relevant nationally.

As part of the FSC Normative Framework, this Standard is subject to the review and revision cycle as described in Procedure *FSC-PRO-01-001*.

C Effective date

Approval date	25 March 2015
Publication date	01 June 2015
Effective date	01 September 2015
<u>Revision Date</u>	<u>[Date when IFL Indicators approved]</u>
Period of validity	until 31 August 2020 (or until replaced or withdrawn)

D References

The following referenced documents are relevant for the application of this document. For references without a version number, the latest edition of the referenced document (including any amendments) applies.

<i>FSC-DIR-20-007</i>	<i>FSC Directive on FSC Forest Management Evaluations</i>
<i>FSC-POL-01-004</i>	<i>Policy for the Association of Organizations with FSC</i>
<i>FSC-POL-20-003</i>	<i>The Excision of Areas from the Scope of Certification</i>
<i>FSC-POL-30-001</i>	<i>FSC Pesticides Policy</i>

<i>FSC-POL-30-401</i>	<i>FSC Certification and the ILO Conventions</i>
<i>FSC-POL-30-602</i>	<i>FSC Interpretation on GMOs (Genetically Modified Organisms)</i>
<i>FSC-PRO-01-001</i>	<i>The Development and Revision of FSC Normative Documents</i>
<i>FSC-PRO-01-005</i>	<i>Processing Appeals</i>
<i>FSC-PRO-01-008</i>	<i>Processing Complaints in the FSC Certification Scheme</i>
<i>FSC-PRO-01-009</i>	<i>Processing Policy for Association Complaints in the FSC Certification Scheme</i>
<i>FSC-PRO-60-006</i>	<i>Development and Transfer of NFSS to FSC P&C V5-1</i>
<i>FSC-STD-01-001</i>	<i>FSC Principles and Criteria for Forest Stewardship</i>
<i>FSC-STD-01-002</i>	<i>FSC Glossary of Terms</i>
<i>FSC-STD-01-003</i>	<i>SLIMF Eligibility Criteria</i>
<i>FSC-STD-30-005</i>	<i>FSC Standard for Group Entities in Forest Management Groups</i>
<i>FSC-STD-60-002</i>	<i>Structure and Content of National Forest Stewardship Standards</i>
<i>FSC-STD-60-006</i>	<i>Process requirements for the development and maintenance of National Forest Stewardship Standards</i>
<i>FSC-GUI-60-002</i>	<u>FSC Scale, Intensity and Risk Guidelines for Standards Developers</u> <i>SIR Guideline for Standard Developers</i>

E Preamble

Introduction

This Standard contains the FSC International Generic Indicators (IGI), and is a key document in the FSC certification system. The IGI consist of the Preamble, ten Principles and their associated Criteria and Indicators, Annexes, Instructions for Standard Developers and a Glossary of Terms.

The Preamble contains essential information for everyone interested in FSC certification and includes the following sections:

1. Purpose of the International Generic Indicators
2. Development of the International Generic Indicators
3. Scale, intensity and risk (SIR)
4. Instructions for Standard Developers
5. Annexes

Terms for which a definition is provided in the Glossary of Terms of the P&C V5-1 or of the IGI are formatted in italics and marked with an asterisk*. Please note that for editorial purposes and for easier use of this document, the terms defined in the Glossary of Terms of the IGI are also marked within the text of the Principles and Criteria.

1. Purpose of the International Generic Indicators

The IGI are a set of indicators that address each normative element of each Criterion in the FSC Principles & Criteria Version 5-1 (P&C V5-1). They are the common starting point for the development and transfer of all Regional and National Forest Stewardship Standards in the FSC system, including Interim National Standards.

The IGI are designed to be adaptable at the regional or national level. The rules for this adaptation are defined in the Standard *FSC-STD-60-002* (Structure and Content

of National Forest Stewardship Standards) and in the Procedure *FSC-PRO-60-006* (Development and Transfer of National Forest Stewardship Standards to the FSC Principles and Criteria Version 5-1).

2. Development of the International Generic Indicators

The development of the IGI began in June 2012 with the first meeting of the IGI Group, comprised of a six member chamber-balanced IGI Working Group and an eight member Technical Experts Group comprised of six regional representatives and two representatives of FSC-accredited Certification Bodies. IGI Draft 1-0 was released for stakeholder consultation in January 2013 and IGI Draft 2-0 was released for stakeholder consultation and field-testing in February 2014.

Stakeholder feedback to Draft 1-0 was received from almost 200 individuals, companies, organizations and FSC Network Partners. Key issues were identified and informed the Drafting Rules used to produce subsequent drafts. Finalizing the IGI started after completing the second public consultation and field-testing of Draft 2-0 in April 2014. Both general and specific comments from almost 300 individuals, companies, organizations and FSC Network Partners were directed at specific indicators, specific Notes in Draft 2-0 and overarching issues and themes. Six field tests were conducted in six continents by five FSC-accredited Certification Bodies. These field tests were conducted in plantations, natural forests, groups and community managed forests.

All the comments received during the second public consultation, together with the results of the field tests, were consistently considered when developing the final draft of the IGI.

Parallel to the public consultations, regional workshops took place in all the FSC regions. During these meetings, FSC staff and members of the IGI Group gathered with Network Partners and Standard Development Groups members, in order to support the IGI public consultations at national level, and to collect further input from the FSC stakeholders.

The IGI Group held five face to face meetings, and a high number of conference calls, in order to develop and agree on the International Generic Indicators. The final meeting took place at the end of May 2014, and the following months of 2014 were devoted to carrying out quality checks of the indicators, develop the preamble, finalize the glossary of terms and complete the scale, intensity and risk (SIR) Guideline. Once developed, all these elements were approved by the IGI Working Group and sent to the FSC Policy and Standards Committee for decision making.

At the end of 2014, the final draft was submitted for a final stakeholders review. The purpose of this final review was to provide FSC stakeholders with an opportunity to review the IGI Standard and the SIR Guideline before PSU sent them to the FSC Board for decision making, to provide high level feedback to these documents and to offer support for them.

A report summarizing the development process for the IGI Standard and the SIR Guideline, together with the feedback gathered during the final stakeholder review, was sent to the FSC Board of Directors for decision making.

The FSC Board approved this Standard in March 2015.

In July 2015 the High Conservation Values Technical Working Group (HCV TWG) began work on revising the IGI to include the normative elements of Policy Motion 65: High Conservation Value 2 (HCV2) – Intact forest landscapes (IFL) protection. The HCV TWG held 3 face-to-face meetings and monthly conference calls to develop a first draft of revised IGI. In March 2016 the HCV TWG released Draft 1 for public consultation.

Targeted consultation was also held with key FSC initiatives and aligned organizations including the FPIC Technical Working Group. Ecosystem Services,

Controlled Wood and the HCV Resource Network. The main purpose of this targeted consultation was to provide the HCV TWG with feedback from FSC initiatives and aligned organizations with content relevant to Intact Forest Landscapes.

Comments received from consultation were carefully reviewed and incorporated into the final draft.

3. Scale, Intensity and Risk

The FSC concept of scale, intensity and risk (SIR) is addressed in the FSC Scale, Intensity and Risk Guidelines for Standards Developers ~~SIR Guideline for Standard Developers (FSC-GUI-60-002), under development~~. Standard Developers shall consider this Guideline when developing National Standards. The aim of ~~the SIR~~ this Guideline is to provide:

- A generic framework for Standard Developers to address scale, intensity and risk (SIR) in developing National Forest Stewardship Standards and Interim National Standards;
- Definitions for the factors 'scale', 'intensity' and 'risk', which can be used as starting point by Standard Developers for the establishment of national thresholds;
- Clarification of what specifically SIR refers to. SIR primarily is related to 'risk' and the potential unacceptable negative impacts of management activities. In some cases SIR is also linked to other elements external to The Organization; and
- A Criterion level analysis of the values that are potentially at risk
- ~~Definitions and generic thresholds for the factors 'scale' and 'intensity', which can be used as starting point by Standard Developers for the establishment of national thresholds;~~
- ~~Clarification of what specifically SIR refers to. SIR primarily is related to the impact of management activities but in some cases is also linked to other elements external to The Organization; and~~
- ~~A Criterion level analysis of what is potentially at risk.~~

4. Instructions for Standard Developers

Instructions for Standard Developers provide specific directions that shall be considered in developing the indicators for a national standard. The compulsory nature of each Instruction is reflected in its language, expressed according to the ISO 'verbal forms for the expression of provisions':

- **"shall"**: indicates Instructions strictly to be followed.
- **"should"**: indicates that among several possibilities one is recommended as particularly suitable, without mentioning or excluding others. A Standard Developer can implement these Instructions in an equivalent way provided this can be demonstrated and justified.
- **"may"**: indicates a course of action permissible within the limits of the standard.
- **"can"**: is used for statements of possibility and capability, whether material, physical or causal.

The Instructions are intended to:

- Clarify the applicability of indicators to different types of Management Unit such as plantations and natural forests;

- Explain the intent of a suite of indicators, for example the requirements for establishing legal and customary rights under Principles 1, 3 and 4;
- Explain the connection between indicators in different Criteria and Principles, for example the applicability of the dispute resolution process in Criteria 1.6, 2.6. and 4.6;
- Introduce key terms and concepts that require national adaptation such as 'culturally appropriate engagement', 'habitat features' and 'best available information'; and
- Provide advice on the need for adding national thresholds or best practices.

5. Annexes

The IGI (Section F) contain ~~nine~~ nine ~~eight~~ Annexes that provide Standard Developers with a framework to assist them with meeting specific requirements of the standard. Their compulsory nature is reflected at the beginning of each Annex and summarized in the following table, expressed according to ISO 'verbal forms for the expression of provisions' as 'shall', 'should', etc.:

Annex	Title	Application for Standard Developers
Principle 1, Annex A	Minimum list of applicable laws, regulations and nationally ratified international treaties, conventions and agreements.	Standard Developers shall complete a list of all applicable laws, obligatory codes of practice and legal and customary rights at the national and, where applicable, sub-national level as outlined in Annex A. This list shall be included in the National Standard or the Interim National Standard.
Principle 2, Annex B	Training requirements for workers.	Standard Developers shall ensure that the following training requirements are included in National Standards and Interim National Standards, proportionate to scale, intensity and risk and consistent with existing national and sub-national training requirements. Standard Developers may also incorporate the relevant elements of this Annex into the indicators of the National Standards or the Interim National Standards.
Principle 5, Annex C	Additional Requirements for Ecosystem Services.	Standard Developers should adopt all the indicators in Annex C.
Principle 6, Annex D	Conservation Area Network conceptual diagram.	Standard Developers shall use this diagram to inform the development of appropriate guidance at the national and regional level for the creation of Conservation Area Networks.
Principle 7, Annex E	Elements of the management plan.	Standard Developers shall ensure that the relevant elements of this Annex are included in the requirements for the content of management plans, subject to scale, intensity and risk and consistent with national and regional management planning frameworks.
Principle 7, Annex F	Conceptual framework for planning and monitoring.	Standard Developers may use this diagram to inform the periodicity for revision of the various management planning and monitoring documents.
Principle 8, Annex G	Monitoring requirements.	Standard Developers shall ensure that the relevant elements of this Annex are included in the requirements for the content of Monitoring Plans, consistent with existing national and sub-national monitoring approaches and subject to scale intensity and risk.

Annex	Title	Application for Standard Developers
Principle 9, Annex H	Instructions for Standards Development Groups to develop indicators for <i>Intact Forest Landscape* core areas*</i>	<p>For countries with <i>Intact Forest Landscapes*</i> Standards Developers shall use the following instructions for establishing:</p> <p>a) The threshold for vast majority* of <i>Intact Forest Landscapes* as core areas*</i>; and</p> <p>Indicators for assessing and protecting <i>Intact Forest Landscapes*</i></p>
Principle 9, Annex I	Strategies for maintaining High Conservation Values.	Standard Developers shall consider this Annex to inform the development of management strategies to maintain High Conservation Values.

PRINCIPLE 1: COMPLIANCE WITH LAWS

The Organization* shall* comply with all applicable laws*, regulations and nationally-ratified* international treaties, conventions and agreements. (P1 P&C V4)



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers *shall**:

- Identify where *customary rights** govern use and access, and, where applicable, write additional indicators to ensure that these rights to carry out activities within the scope of the certificate are documented (Indicator 1.1.1);
- Identify the appropriate process that recognizes and grants *customary rights** related to use and access and how such recognized *customary rights** are to be documented (Indicator 1.2.1);
- Identify where *customary tenures** to manage and use resources exist at the national level and ensure that these are incorporated into indicators (Indicator 1.2.1).

*Customary rights** are further addressed under *Principles** 3 and 4.

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- 1.1 *The Organization* shall* be a legally defined entity with clear, documented and unchallenged legal registration*, with written authorization from the legally competent* authority for specific activities. (new)***
- 1.1.1 *Legal registration** to carry out all activities within the scope of the certificate is documented and unchallenged.
- 1.1.2 *Legal registration** is granted by a *legally competent** authority according to legally prescribed processes.
- 1.2 *The Organization* shall* demonstrate that the legal* status of the Management Unit*, including tenure* and use rights*, and its boundaries, are clearly defined. (C2.1 P&C V4)***
- 1.2.1 *Legal* tenure** to manage and use resources within the scope of the certificate is documented.
- 1.2.2 *Legal* tenure** is granted by a *legally competent** authority according to legally prescribed processes.
- 1.2.3 The boundaries of all *Management Units** within the scope of the certificate are clearly marked or documented and clearly shown on maps.
- 1.3 *The Organization* shall* have legal* rights to operate in the Management Unit*, which fit the legal* status of The Organization* and of the Management Unit*, and shall* comply with the associated legal* obligations in applicable national and local laws* and regulations and administrative requirements. The legal* rights shall* provide for harvest of products and/or supply of ecosystem services* from within the Management Unit*. The Organization* shall* pay the legally prescribed charges associated with such rights and obligations. (C1.1, 1.2, 1.3 P&C V4)***



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers *shall** complete a list of all *applicable laws**, *obligatory codes of practice** and *legal** and *customary rights** at the national and, where applicable, sub-national level as outlined in Annex A.

- 1.3.1 All activities undertaken in the *Management Unit** are carried out in compliance with:
- 1) *Applicable laws** and regulations and administrative requirements,
 - 2) *Legal** and customary rights*; and
 - 3) *Obligatory codes of practice**.
- 1.3.2 Payment is made in a *timely manner** of all applicable legally prescribed charges connected with *forest** management.
- 1.3.3 Activities covered by the *management plan** are designed to comply with all *applicable laws**.

1.4 *The Organization shall* develop and implement measures, and/or shall* engage with regulatory agencies, to systematically protect the *Management Unit** from unauthorized or illegal resource use, settlement and other illegal activities. (C1.5 P&C V4)**



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers *shall** develop indicators that apply both when the land is owned by a third party and also when *The Organization** needs to implement a collaborative strategy with the regulatory body, landowner and/or other stakeholders to prevent, by all *reasonable** means, illegal activities. This *Criterion** recognizes that it is not always possible for *The Organization** to enforce protective measures, for example when *The Organization** is not the landowner or does not have appropriate *legal** rights of control (Indicators 1.4.1 and 1.4.2).

Measures to protect the *Management Unit** from unauthorized or illegal resource use, settlement and other *illegal** activities emphasize prevention rather than control 'after the event' and may include:

- *Forest** roads have gates and/or have controlled access to areas of high *risk**;
- Temporary roads are physically closed off after harvesting;
- *Forest** roads are patrolled to detect and prevent illegal access to the *forest**; and
- Personnel and resources have been assigned to detect and control illegal activities promptly, within their *legal** rights*.

- 1.4.1 Measures are implemented to provide *protection** from unauthorized or illegal harvesting, hunting, fishing, trapping, collecting, settlement and other unauthorized activities.
- 1.4.2 Where *protection** is the *legal** responsibility of regulatory bodies, a system is implemented to work with these regulatory bodies to identify, report, control and discourage unauthorized or illegal activities.
- 1.4.3 If illegal or unauthorized activities are detected, measures are implemented to address them.

1.5 *The Organization shall* comply with the *applicable national laws**, local laws, *ratified** international conventions and *obligatory codes of practice**, relating to the transportation and trade of forest products within and from the *Management Unit**, and/or up to the point of first sale. (C1.3 P&C V4)**

- 1.5.1 Compliance with *applicable national laws**, *local laws**, *ratified** international conventions and *obligatory codes of practice** relating to

the transportation and trade of forest products up to the point of first sale is demonstrated.

1.5.2 Compliance with CITES provisions is demonstrated, including through possession of certificates for harvest and trade in any CITES species.

1.6 The Organization* shall* identify, prevent and resolve disputes* over issues of statutory or customary law*, which can be settled out of court in a timely manner*, through engagement with affected stakeholders*. (C2.3 P&C V4)



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers shall* include in their standards that developing a dispute* resolution process requires proactive and culturally appropriate* engagement* to identify disputes*.

Identifying *Indigenous Peoples** and *local communities** with rights is addressed in *Criterion** 3.1 and *Criterion** 4.1. Control of resources and *Free Prior and Informed Consent** is addressed in *Criterion** 3.2 and *Criterion** 4.2. Protection of special sites is addressed in *Criterion** 3.5 and in *Criterion** 4.7. Protection of *traditional knowledge** and *intellectual property** is addressed in *Criterion** 3.6 and *Criterion** 4.8.

*Disputes** could also be about *legal* and customary rights** including *forest* ownership*, challenged title to the land, and challenged ownership of *forest* concessions or tenures** (Indicator 1.6.1).

Standard Developers shall* develop a methodology to implement a *culturally appropriate* dispute* resolution process* following the requirements of *Criterion** 7.6.

*Disputes** appear in *Criterion** 1.6 related to legal tenure; in *Criterion** 2.6 related to workers grievances; and in *Criterion** 4.6 related to local communities and individuals, with regards to the impacts of management activities.

1.6.1 A *publicly available* dispute* resolution process* is in place; developed through *culturally appropriate* engagement** with affected *stakeholders**.

1.6.2 *Disputes** related to issues of *applicable laws* or customary law** that can be settled out of court are responded to in a *timely manner**, and are either resolved or are in the *dispute* resolution process*.

1.6.3 Up to date records of disputes related to issues of *applicable laws* or customary law*, are held including:

- 1) Steps taken to resolve *disputes**;
- 2) Outcomes of all *dispute* resolution processes*; and
- 3) Unresolved *disputes**, the reasons they are not resolved, and how they will be resolved.

1.6.4 Operations cease in areas where *disputes** exist:

- 1) Of substantial magnitude*; or
- 2) Of substantial duration*; or
- 3) Involving a *significant** number of interests.

1.7 The Organization* shall* publicize a commitment not to offer or receive bribes in money or any other form of corruption, and shall* comply with anti-corruption legislation where this exists. In the absence of anti-corruption legislation, The Organization* shall* implement other anti-corruption measures proportionate to the scale* and intensity* of management activities and the risk* of corruption. (new)



INSTRUCTIONS FOR STANDARD DEVELOPERS: This *Criterion** recognizes that corruption is generally regarded as illegal but that not all countries have or implement anti-corruption laws and regulations.

Where anti-corruption laws and regulations are ineffective or do not exist, Standard Developers *shall** include other anti-corruption measures that may include for example, *The Organization** develops or participates in formal integrity pacts with other organizations in the public and private sectors, such that each participant agrees in well publicized statements not to engage in corruption by offering or

receiving bribes, whether in money or in any other forms (Indicator 1.7.4).

An independent third party with expertise in such matters should then *monitor** performance related to such statements.

- 1.7.1 A policy is implemented that includes a commitment not to offer or receive bribes of any description.
 - 1.7.2 The policy meets or exceeds related legislation.
 - 1.7.3 The policy is *publicly available** at no cost.
 - 1.7.4 Bribery, coercion and other acts of corruption do not occur.
 - 1.7.5 Corrective measures are implemented if corruption does occur.
- 1.8 *The Organization** shall* demonstrate a long-term* commitment to adhere to the FSC Principles* and Criteria* in the Management Unit*, and to related FSC Policies and Standards. A statement of this commitment shall* be contained in a publicly available* document made freely available. (C1.6 P&C V4)**
- 1.8.1 A written policy, endorsed by an individual with authority to implement the policy, includes a *long-term** commitment to *forest** management practices consistent with FSC Principles* and Criteria* and related Policies and Standards.
 - 1.8.2 The policy is *publicly available** at no cost.

Principle 1, Annex A: Minimum list of applicable laws, regulations and nationally-ratified international treaties, conventions and agreements.

1. Legal* rights to harvest	
1.1 Land <i>tenure</i> * and management rights	Legislation covering land <i>tenure</i> * rights, including <i>customary rights</i> * as well as management rights, that includes the use of <i>legal</i> * methods to obtain <i>tenure</i> * rights and management rights. It also covers <i>legal</i> * business registration and tax registration, including relevant legally required licenses.
1.2 Concession licenses	Legislation regulating procedures for issuing <i>forest</i> * concession licenses, including the use of <i>legal</i> * methods to obtain concession licenses. Bribery, corruption and nepotism are particularly well-known issues that are connected with concession licenses.
1.3 Management and harvesting planning	Any national or sub-national <i>legal</i> * requirements for Management Planning, including conducting <i>forest</i> * inventories, having a <i>forest</i> * <i>management plan</i> * and related planning and monitoring, impact assessments, consultation with other entities, as well as approval of these by <i>legally competent</i> * authorities.
1.4 Harvesting permits	National or sub-national laws and regulations regulating procedures for issuing harvesting permits, licenses or other <i>legal</i> * documents required for specific harvesting operations. This includes the use of <i>legal</i> * methods to obtain the permits. Corruption is a well-known issue that is connected with the issuing of harvesting permits.
2. Taxes and fees	
2.1 Payment of royalties and harvesting fees	Legislation covering payment of all legally required <i>forest</i> * harvesting specific fees such as royalties, stumpage fees and other volume-based fees. This includes payments of the fees based on the correct classification of quantities, qualities and species. Incorrect classification of <i>forest</i> * products is a well-known issue that is often combined with bribery of officials in charge of controlling the classification.
2.2 Value added taxes and other sales taxes	Legislation covering different types of sales taxes which apply to the material being sold, including the sale of material as growing <i>forest</i> * (standing stock sales).
2.3 Income and profit taxes	Legislation covering income and profit taxes related to profit derived from the sale of <i>forest</i> * products and harvesting activities. This category is also related to income from the sale of timber and does not include other taxes generally applicable for companies and is not related to salary payments.
3. Timber harvesting activities	
3.1 Timber harvesting regulations	Any <i>legal</i> * requirements for harvesting techniques and technology including selective cutting, shelter wood regenerations, clear felling, transport of timber from the felling site, seasonal limitations, etc. Typically this includes regulations on the size of felling areas, minimum age and/or diameter for felling activities, and elements that <i>shall</i> * be preserved during felling, etc. Establishment of skidding or

	hauling trails, road construction, drainage systems and bridges, etc., <i>shall</i> * also be considered as well as the planning and monitoring of harvesting activities. Any legally binding codes for harvesting practices <i>shall</i> * be considered.
3.2 Protected sites and species	International, national, and sub national treaties, laws, and regulations related to protected areas, allowable <i>forest</i> * uses and activities, and/or rare, threatened, or endangered species, including their <i>habitats</i> * and potential <i>habitats</i> *.
3.3 Environmental requirements	National and sub national laws and regulations related to the identification and/or <i>protection</i> * of <i>environmental values</i> * including but not limited to those relating to or affected by harvesting, acceptable levels for soil damage, establishment of buffer zones (e.g., along water courses, open areas and breeding sites), maintenance of retention trees on the felling site, seasonal limitations of harvesting time, environmental requirements for <i>forest</i> * machineries, use of <i>pesticides</i> * and other chemicals, biodiversity <i>conservation</i> *, air quality, <i>protection</i> * and <i>restoration</i> * of water quality, operation of recreational equipment, development of non-forestry <i>infrastructure</i> *, mineral exploration and extraction, etc.
3.4 Health and safety	Legally required personal <i>protection</i> * equipment for persons involved in harvesting activities, implementation of safe felling and transport practices, establishment of <i>protection</i> * zones around harvesting sites, safety requirements for machinery used, and legally required safety requirements in relation to chemical usage. The health and safety requirements that <i>shall</i> * be considered relevant to operations in the <i>forest</i> * (not office work, or other activities less related to actual <i>forest</i> * operations).
3.5 <i>Legal</i> * employment	<i>Legal</i> * requirements for employment of personnel involved in harvesting activities including requirements for contracts and working permits, requirements for obligatory insurance, requirements for competence certificates and other training requirements, and payment of social and income taxes withheld by the employer. Also covered are the observance of minimum working age and minimum age for personnel involved in hazardous work, legislation against forced and compulsory labor, and discrimination and freedom of association.
4. Third parties' rights	
4.1 <i>Customary rights</i> *	Legislation covering <i>customary rights</i> * relevant to <i>forest</i> * harvesting activities, including requirements covering the sharing of benefits and indigenous rights.
4.2 <i>Free Prior and Informed Consent</i> *	Legislation covering "free prior and informed consent" in connection with the transfer of <i>forest</i> * management rights and <i>customary rights</i> * to <i>The Organization</i> * in charge of the harvesting operation.
4.3 <i>Indigenous Peoples</i> '* rights	Legislation that regulates the rights of <i>Indigenous Peoples</i> * as far as it is related to forestry activities. Possible aspects to consider are land <i>tenure</i> *, and rights to use certain <i>forest</i> * related resources and practice traditional activities, which may involve <i>forest</i> * lands.
5. Trade and transport	

NOTE: This section covers requirements for <i>forest*</i> management operations as well as processing and trade.	
5.1 Classification of species, quantities, qualities	Legislation regulating how harvested material is classified in terms of species, volumes and qualities in connection with trade and transport. Incorrect classification of harvested material is a well-known method to reduce or avoid payment of legally prescribed taxes and fees.
5.2 Trade and transport	All required trading and transport permits <i>shall*</i> exist as well as legally required transport documents which accompany the transport of wood from <i>forest*</i> operations.
5.3 Offshore trading and transfer pricing	Legislation regulating offshore trading. Offshore trading with related companies placed in tax havens, combined with artificial transfer prices is a well-known way to avoid payment of legally prescribed taxes and fees to the country of harvest and is considered to be an important source of funds that can be used for payment of bribery to the <i>forest*</i> operations and personnel involved in the harvesting operation. Many countries have established legislation covering transfer pricing and offshore trading. It <i>should*</i> be noted that only transfer pricing and offshore trading, as far as it is legally prohibited in the country, can be included here.
5.4 Custom regulations	Custom legislation covering areas such as export/import licenses and product classification (codes, quantities, qualities and species).
5.5 CITES	CITES permits (the Convention on International Trade in Endangered Species of Wild Fauna and Flora, also known as the Washington Convention).
6. Due diligence / due care	
6.1 Due diligence / due care procedures	Legislation requiring due diligence/due care procedures, including, e.g., due diligence/due care systems, declaration obligations, and/or the keeping of trade related documents, etc.
7. Ecosystem Services	
	Legislation covering <i>ecosystem services*</i> rights, including <i>customary rights*</i> as well as management rights that include the use of <i>legal*</i> methods to make claims and obtain benefits and management rights related to <i>ecosystem services*</i> . National and subnational laws and regulations related to the identification, protection and payment for <i>ecosystem services*</i> . Also includes <i>legal*</i> business registration and tax registration, including relevant <i>legal*</i> required licenses for the exploitation, payment, and claims related to <i>ecosystem services*</i> (including tourism).

PRINCIPLE 2: *WORKERS** RIGHTS AND EMPLOYMENT CONDITIONS

The Organization* shall* maintain or enhance the social and economic wellbeing of workers*. (new)

- 2.1 ***The Organization* shall* uphold* the principles and rights at work as defined in the ILO Declaration on Fundamental Principles and Rights at Work (1998) based on the eight ILO Core Labour Conventions. (C4.3 P&C V4)***



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers shall* identify national laws and regulations addressing the requirements of the eight ILO Core Labour Conventions:

- 29 Forced Labour Convention, 1930;
- 87 Freedom of Association and Protection of the Right to Organise Conventions, 1948;
- 98 Right to Organise and Collective Bargaining Convention, 1949;
- 100 Equal Remuneration Convention, 1951;
- 105 Abolition of Forced Labour Convention, 1957;
- 111 Discrimination (Occupation and Employment) Convention, 1958;
- 138 Minimum Age Convention, 1973; and
- 182 Worst Forms of Child Labour Convention, 1999.

Standard Developers shall* identify gaps between the requirements of the listed ILO Core Labour Conventions and national regulations and describe through indicators how these gaps are to be addressed by *The Organization**.

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- 2.1.1 Employment practices and conditions for *workers** demonstrate conformity with or *uphold** the principles and rights of work addressed in the eight ILO Core Labour Conventions as defined in the ILO Declaration on Fundamental Principles and Rights at Work (1998).
 - 2.1.2 *Workers** are able to establish or join labour organizations of their own choosing subject only to the rules of the labour organization concerned.
 - 2.1.3 Agreements are implemented resulting from collective bargaining with *formal and informal workers organizations**.

- 2.2 ***The Organization* shall* promote gender equality* in employment practices, training opportunities, awarding of contracts, processes of engagement* and management activities. (new)***



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers shall* identify national laws and regulations regarding *gender equality** in employment practices, training opportunities, awarding of contracts, processes of *engagement** and management activities. Standard Developers shall* identify any gaps between the requirements of this *criterion** and national regulations and develop indicators that describe actions to be taken by *The Organization* to fill these gaps. Filling these gaps may in some cases require additional systems to be put in place by *the Organization** and these may include:

- Providing training opportunities for women in the skills required to advance their careers;

- Providing programs that assist women to secure employment at all levels of *The Organization**, including mentoring and leadership training;
 - Developing alternate payment methods to ensure safety of women workers, such as direct payments for school fees;
 - Providing flexible working policies and practices for parents such as flexible hours, job-sharing and home-working around school times;
 - Encouraging men to take paternity leave to support their families;
 - Providing alternate assignments without wage reduction when pregnancy requires a less physically demanding job assignment; and
 - Providing facilities for pregnant and breast-feeding women and day care facilities for pre-school age children.
-

- 2.2.1 Systems are implemented that promote *gender equality** and prevent gender discrimination in employment practices, training opportunities, awarding of contracts, processes of *engagement** and management activities.
- 2.2.2 Job opportunities are open to both women and men under the same conditions, and women are encouraged to participate actively in all levels of employment.
- 2.2.3 Work typically carried out by women (nurseries, silviculture, Non Timber Forest Product harvesting, weighing, packing, etc.) is included in training and health & safety programs to the same extent as work typically carried out by men.
- 2.2.4 Women and men are paid the same wage when they do the same work.
- 2.2.5 Women are paid directly and using mutually agreed methods (e.g. direct bank transfer, direct payments for school fees, etc.) to ensure they safely receive and retain their wages.
- 2.2.6 Maternity leave is no less than a six-week period after childbirth.
- 2.2.7 Paternity leave is available and there is no penalty for taking it.
- 2.2.8 Meetings, management committees and decision-making forums are organized to include women and men, and to facilitate the active participation of both.
- 2.2.9 Confidential and effective mechanisms exist for reporting and eliminating cases of sexual harassment and discrimination based on gender, marital status, parenthood or sexual orientation.

2.3 *The Organization shall* implement health and safety practices to protect workers* from occupational safety and health hazards. These practices shall*, proportionate to *scale, intensity and risk** of management activities, meet or exceed the recommendations of the ILO Code of Practice on Safety and Health in Forestry Work. (C4.2 P&C V4)**



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers shall* identify in Annex A Section 3.4 national laws and regulations regarding workers* health and safety that meet or exceed the ILO Code of Practice on Safety and Health in Forestry Work and ILO Convention 155, Occupational Safety and Health Convention (1981). Standard Developers shall* identify any gaps between the requirements of this *Criterion** and national regulations and describe how these gaps are to be addressed by *The Organization** (Indicator 2.3.1).

- 2.3.1 Health and safety practices are developed and implemented that meet or exceed the ILO Code of Practice on Safety and Health in Forestry Work.
 - 2.3.2 *Workers** have personal protective equipment appropriate to their assigned tasks.
 - 2.3.3 Use of personal protective equipment is enforced.
 - 2.3.4 Records are kept on health and safety practices including accident rates and lost time to accidents.
 - 2.3.5 The frequency and severity of accidents are consistently low compared to national *forest** industry averages.
 - 2.3.6 The health and safety practices are reviewed and revised as required after major incidents or accidents.
- 2.4 *The Organization* shall* pay wages that meet or exceed minimum forest* industry standards or other recognized forest* industry wage agreements or living wages**, where these are higher than the *legal** minimum wages. When none of these exist, *The Organization* shall* through engagement* with workers* develop mechanisms for determining living wages**. (new)**



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers *shall** identify all *forest** industry standards, other recognized *forest** industry wage agreements and *living wage** benchmarks and identify which of these are higher than the *legal** minimum wages and by how much. Standard Developers *shall** adapt indicators 2.4.2 and 2.4.3 based on this gap analysis.

Standard Developers may use methods to determine *living wages** which are under development by ISEAL.

The approach used to define *living wages** *shall** be *culturally appropriate** following the requirements of *Criterion* 7.6* (Indicator 2.4.3).

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- 2.4.1 Wages paid by *The Organization** in all circumstances meet or exceed *legal** minimum wage rates, where such rates exist.
 - 2.4.2 Wages paid meet or exceed:
 - 1) Minimum *forest** industry standards; or
 - 2) Other recognized *forest** industry wage agreements; or
 - 3) *Living wages** that are higher than *legal** minimum wages.
 - 2.4.3 When no minimum wage levels exist, wages are established through *culturally appropriate* engagement* with workers** and/or *formal and informal workers organizations**.
 - 2.4.4 Wages, salaries and contracts are paid on time.
- 2.5 *The Organization* shall* demonstrate that workers* have job-specific training and supervision to safely and effectively implement the Management Plan* and all management activities.* (C7.3 P&C V4)**
- 2.5.1 *Workers** have job specific training consistent with Annex B and supervision to safely and effectively contribute to the implementation of the *management plan** and all management activities.
 - 2.5.2 Up to date training records are kept for all relevant *workers**.
- 2.6 *The Organization* through engagement* with workers* shall* have mechanisms for resolving grievances and for providing fair compensation* to workers* for loss or damage to property, occupational***

***diseases**, or *occupational injuries** sustained while working for *The Organization**. (new)**



INSTRUCTIONS FOR STANDARD DEVELOPERS: Grievances with *workers** can often be on the grounds of race, gender or sexual orientation. This means Standard

Developers *shall** develop indicators to ensure that *culturally appropriate* engagement** is used to define *dispute** resolution processes following the requirements of *Criterion** 7.6 (Indicator 2.6.1).

- 2.6.1 A *dispute** resolution process is in place, developed through *culturally appropriate* engagement** with *workers**.
- 2.6.2 *Workers** grievances are identified and responded to and are either resolved or are in the *dispute** resolution process.
- 2.6.3 Up-to-date records of *workers** grievances related to *workers** loss or damage of property, occupational *diseases** or injuries are maintained including:
 - 1) Steps taken to resolve grievances;
 - 2) Outcomes of all *dispute** resolution processes including *fair compensation**; and
 - 3) Unresolved *disputes**, the reasons they are not resolved, and how they will be resolved.
- 2.6.4 *Fair compensation** is provided to *workers** for work-related loss or damage of property and occupational *disease** or injuries.

Principle 2, Annex B: Training requirements for *workers**.



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers *shall** ensure that the following training requirements are included in National Standards and Interim National Standards, proportionate to *scale, intensity and risk** and consistent with existing national and sub-national training requirements.

Standard Developers may also incorporate the relevant elements of this Annex into the indicators of the National Standards or the Interim National Standards.

The list of training requirements in this Annex is intended for those *workers** with specific job responsibilities related to the implementation of the National Standard or Interim National Standard.

*Workers** *shall** be able to:

- 1) Implement *forest** activities to comply with applicable *legal** requirements (*Criterion** 1.5);
- 2) Understand the content, meaning and applicability of the eight ILO Core Labour Conventions (*Criterion** 2.1);
- 3) Recognize and report on instances of sexual harassment and gender discrimination (*Criterion** 2.2);
- 4) Safely handle and dispose of hazardous substances to ensure that use does not pose health *risks** (*Criterion** 2.3);
- 5) Carry out their responsibilities for particularly dangerous jobs or jobs entailing a special responsibility (*Criterion** 2.5);
- 6) Identify where *Indigenous Peoples** have *legal** and *customary rights** related to management activities (*Criterion** 3.2);
- 7) Identify and implement applicable elements of UNDRIP and ILO Convention 169 (*Criterion** 3.4);
- 8) Identify sites of special cultural, ecological, economic, religious or spiritual significance to *Indigenous Peoples** and implement the necessary measures to protect them before the start of *forest** management activities to avoid negative impacts (*Criterion** 3.5 and *Criterion** 4.7);
- 9) Identify where *local communities** have *legal** and *customary rights** related to management activities (*Criterion** 4.2);
- 10) Carry out social, economic and *environmental impact assessments** and develop appropriate mitigation measures (*Criterion** 4.5);
- 11) Implement activities related to the maintenance and/or enhancement of declared *ecosystem services** (*Criterion** 5.1);
- 12) Handle, apply and store *pesticides** (*Criterion** 10.7); and
- 13) Implement procedures for cleaning up spills of *waste materials** (*Criterion** 10.12).

PRINCIPLE 3: INDIGENOUS PEOPLES* RIGHTS

The Organization* shall* identify and uphold* Indigenous Peoples* legal* and customary rights* of ownership, use and management of land, territories* and resources affected by management activities. (P3 P&C V4)

3.1 The Organization* shall* identify the Indigenous Peoples* that exist within the Management Unit* or those that are affected by management activities. The Organization* shall* then, through engagement* with these Indigenous Peoples, identify their rights of tenure*, their rights of access to and use of forest* resources and ecosystem services*, their customary rights* and legal* rights and obligations, that apply within the Management Unit*. The Organization* shall* also identify areas where these rights are contested. (new)



INSTRUCTIONS FOR STANDARD DEVELOPERS: This *Criterion** requires identification of *Indigenous Peoples** with a fair and legitimate claim to be allowed access to benefits, goods or *ecosystem services** from the *Management Unit**. They include those who have affirmed their rights to land, *forests** and other resources based on long established use, and also those who have not yet done so (due for example, to a lack of awareness or empowerment) (Indicator 3.1.1).

Standard Developers *shall** develop indicators to ensure that where there is no written text or records to support these claims to rights, *culturally appropriate** ways for identifying, agreeing to and documenting the rights and obligations of *Indigenous Peoples** are used.

Standard Developers *shall** develop a methodology to implement *culturally appropriate** approaches to identify and document the rights and obligations of *Indigenous Peoples** following the requirements of *Criterion** 7.6 (Indicator 3.1.2).

Standard Developers shall* develop a culturally appropriate* methodology through the free, prior and informed consent* of affected rights holders*, to identify and document the rights and obligations of Indigenous Peoples*, including Indigenous cultural landscapes*, ecological and cultural values and other legal* and customary rights* as identified under Criteria* 3.1, 3.4, 3.5 and 4.1, consistent with the requirements of Criterion* 7.6 (Indicator 3.1.2).

In addition, the rights of isolation should be respected for *Indigenous Peoples** that do not want to be contacted (e.g. Peru, Brazil) through the development of a respective indicator (Indicator 3.1.2).

*Indigenous Peoples** affected by management activities include those neighbouring the *Management Unit**, and those that are more distant, who may experience negative impacts as a result of activities within the *Management Unit**.

Mechanisms to address *disputes** with *Indigenous peoples** shall* follow the requirements in *Criterion** 1.6 if they are related to legal tenure; and follow the requirements in *Criterion** 4.6 if they are related to the impacts of management activities (Indicator 3.1.2).

3.1.1 *Indigenous Peoples** that may be affected by management activities are identified.

3.1.2 Through *culturally appropriate* engagement** with the *Indigenous Peoples** identified in 3.1.1, the following issues are documented and/or mapped:

1) Their *legal* and customary rights* of tenure**;

- 2) Their *legal** and *customary** access to, and *use rights**, of the *forest** resources and *ecosystem services**,
- 3) Their *legal** and *customary rights** and obligations that apply;
- 4) The evidence supporting these rights and obligations;
- 5) Areas where rights are contested between *Indigenous Peoples**, governments and/or others;
- 6) Summary of the means by which the *legal** and *customary rights** and contested rights, are addressed by *The Organization**; and
- 7) The aspirations and goals of *Indigenous Peoples** related to management activities, *Intact Forest Landscapes** and *Indigenous cultural landscapes**.

3.2 The Organization* shall* recognize and uphold* the legal* and customary rights* of Indigenous Peoples* to maintain control over management activities within or related to the Management Unit* to the extent necessary to protect their rights, resources and lands and territories*. Delegation by Indigenous Peoples of control over management activities to third parties requires Free, Prior and Informed Consent*. (C3.1 and 3.2 P&C V4)



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers shall* consider the applicability of active *engagement** and co-management at the national and sub-national level (Indicator 3.2.1 and 3.2.4).

- 3.2.1 Through *culturally appropriate* engagement** *Indigenous Peoples** are informed when, where and how they can comment on and request modification to management activities to the extent necessary to protect their rights, resources, *lands and territories**.
- 3.2.2 The *legal** and *customary rights** of *Indigenous Peoples** are not violated by *The Organization**.
- 3.2.3 Where evidence exists that *legal** and *customary rights** of *Indigenous Peoples** related to management activities have been violated the situation is corrected, if necessary, through *culturally appropriate* engagement** and/or through the *dispute** resolution process as required in *Criteria** 1.6 or 4.6.
- 3.2.4 *Free, prior and informed consent** is granted by *Indigenous Peoples** prior to management activities that affect their identified rights through a process that includes:
 - 1) Ensuring *Indigenous Peoples** know their rights and obligations regarding the resource;
 - 2) Informing the *Indigenous Peoples** of the value, in economic, social and environmental terms, of the resource over which they are considering delegation of control;
 - 3) Informing the *Indigenous Peoples** of their right to withhold or modify consent to the proposed management activities to the extent necessary to protect their rights, resources, *lands and territories**; and
 - 4) Informing the *Indigenous Peoples** of the current and future planned *forest** management activities.

3.3 In the event of delegation of control over management activities, a binding agreement* between The Organization* and the Indigenous Peoples* shall* be concluded through Free, Prior and Informed Consent*. The agreement shall* define its duration, provisions for renegotiation, renewal,

termination, economic conditions and other terms and conditions. The agreement shall* make provision for monitoring by Indigenous Peoples of The Organization*'s compliance with its terms and conditions. (new)



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers shall* develop indicators taking into consideration that *Indigenous Peoples** may choose to ratify *binding agreements** in writing or in another format of their choosing according to *culturally appropriate* engagement**. *Binding agreements** reflect cultural requirements and may also be based on oral and honour systems, to be applied in cases where written agreements are not favoured by *Indigenous Peoples**, either for practical reasons or on principle. Recognizing that *Indigenous Peoples** may not want to grant *Free Prior and Informed Consent** and/or delegate control for their own reasons, the *Indigenous Peoples** may choose to offer their support for management activities in a different way of their choosing (Indicator 3.3.1 and 3.3.2).

3.3.1 Where control over management activities has been granted through *Free Prior and Informed Consent** based on *culturally appropriate**

*engagement**, the *binding agreement** contains the duration, provisions for renegotiation, renewal, termination, economic conditions and other terms and conditions.

3.3.2 Records of *binding agreements** are maintained.

3.3.3 The *binding agreement** contains the provision for monitoring by *Indigenous Peoples** of *The Organization*'s* compliance with its terms and conditions.

3.4 *The Organization* shall* recognize and uphold* the rights, customs and culture of Indigenous Peoples* as defined in the United Nations Declaration on the Rights of Indigenous Peoples (2007) and ILO Convention 169 (1989). (C3.2P&C V4)*



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers shall* ensure that United Nations Declaration on the Rights of Indigenous Peoples (2007) and ILO Convention 169 (1989) requirements are included in National Standards and Interim National Standards. This *Criterion** refers to those articles of the United Nations Declaration on the Rights of Indigenous Peoples (2007) and ILO Convention 169 (1989) that cover explicitly the rights, customs and culture and spiritual relationship between *Indigenous Peoples** and the *Management Unit**.

This *Criterion** applies also in countries and jurisdictions that have not endorsed the UN Declaration and/or *ratified** ILO Convention 169. As a result, compliance with this *Criterion** may exceed *The Organization*'s legal** obligations in the country or jurisdiction within which the *Management Unit** lies.

Where this *Criterion** is in conflict with laws, separate FSC procedures apply (see FSC-STD-20-007 Forest Management Evaluations). Such 'conflicts' are defined as situations where it is not possible to comply with the *Principles** and *Criteria** and a law at the same time (Source: FSC-STD-01-001 V5-0). In the case of this *Criterion**, an example would be that one or more articles of the ILO Convention 169 are in conflict with a specific national law (Indicator 3.4.1).

3.4.1 The rights, customs and culture of *Indigenous Peoples** as defined in UNDRIP and ILO Convention 169 are not violated by *The Organization**.

3.4.2 Where evidence that rights, customs and culture of *Indigenous Peoples**, as defined in UNDRIP and ILO Convention 169, have been violated by *The Organization**, the situation is documented including steps to

restore* these rights, customs and culture of *Indigenous Peoples**, to the satisfaction of the rights holders.

3.5 *The Organization, through *engagement** with *Indigenous Peoples**, shall* identify sites which are of special cultural, ecological, economic, religious or spiritual significance and for which these *Indigenous Peoples* hold *legal* or customary rights**. These sites shall* be recognized by *The Organization** and their management, and/or *protection** shall* be agreed through *engagement** with these *Indigenous Peoples*. (C3.3P&C V4)**

3.5.1 Sites of special cultural, ecological, economic, religious or spiritual significance for which *Indigenous Peoples** hold *legal* or customary rights** are identified through *culturally appropriate* engagement**.

3.5.2 Measures to protect such sites are agreed, documented and implemented through *culturally appropriate* engagement** with *Indigenous Peoples**. When *Indigenous Peoples** determine that physical identification of sites in documentation or on maps would threaten the value or *protection** of the sites, then other means will be used.

3.5.3 Wherever sites of special cultural, ecological, economic, religious or spiritual significance are newly observed or discovered, management activities cease immediately in the vicinity until protective measures have been agreed to with the *Indigenous Peoples**, and as directed by local and *national laws**.

3.6 *The Organization shall* uphold* the right of *Indigenous Peoples** to protect* and utilize their traditional *knowledge** and shall* compensate *local communities** for the utilization of such knowledge and their *intellectual property**. A *binding agreement** as per *Criterion* 3.3* shall* be concluded between *The Organization** and the *Indigenous Peoples* for such utilization through *Free, Prior and Informed Consent** before utilization takes place, and shall* be consistent with the *protection** of *intellectual property** rights. (C3.4 P&C V4)**

3.6.1 *Traditional knowledge* and intellectual property** are protected and are only used when the acknowledged owners of that *traditional knowledge** and *intellectual property** have provided their *Free, Prior and Informed Consent** formalized through a *binding agreement**.

3.6.2 *Indigenous Peoples** are compensated according to the *binding agreement** reached through *Free, Prior and Informed Consent** for the use of *traditional knowledge** and *intellectual property**.

PRINCIPLE 4: COMMUNITY RELATIONS

The Organization* shall* contribute to maintaining or enhancing the social and economic wellbeing of local communities*. (P4 P&C V4)

4.1 *The Organization* shall* identify the local communities* that exist within the Management Unit* and those that are affected by management activities. The Organization* shall* then, through engagement* with these local communities*, identify their rights of tenure*, their rights of access to and use of forest* resources and ecosystem services*, their customary rights* and legal* rights and obligations, that apply within the Management Unit*. (new)*



INSTRUCTIONS FOR STANDARD DEVELOPERS: This *Criterion** requires identification of *local communities** with a fair and legitimate claim to be allowed access to benefits, goods or *ecosystem services** from the *Management Unit**. They include those who have affirmed their rights to land, *forests** and other resources based on long established use, and also those who have not yet done so (due for example, to a lack of awareness or empowerment).

*Local communities** affected by management activities include those neighbouring the *Management Unit**, and those that are more distant, who may experience negative impacts as a result of activities within the *Management Unit** (Indicator 4.1.1).

Mechanisms to address *disputes** with *local communities** shall* follow the requirements in *Criterion** 1.6 if they are related to legal tenure; and follow the requirements in *Criterion** 4.6 if they are related to the impacts of management activities (Indicator 4.1.2).

4.1.1 *Local communities** that exist in the *Management Unit** and those that may be affected by management activities are identified.

4.1.2 Through *culturally appropriate* engagement** with the *local communities** identified in 4.1.1, the following are documented and/or mapped:

- 1) Their legal* and customary rights* of tenure*;
- 2) Their legal* and customary* access to, and use rights*, of the forest* resources and ecosystem services*;
- 3) Their legal* and customary* rights* and obligations that apply;
- 4) The evidence supporting these rights and obligations;
- 5) Areas where rights are contested between *local communities**, governments and/or others;
- 6) Summary of the means by which the legal* and customary rights*, and contested rights are addressed by *The Organization**; and
- 7) The aspirations and goals of *local communities** related to management activities.

4.2 *The Organization* shall* recognize and uphold* the legal* and customary rights* of local communities* to maintain control over management activities within or related to the Management Unit* to the extent necessary to protect their rights, resources, lands and territories*. Delegation by local communities* of control over management activities to third parties requires Free, Prior and Informed Consent*. (C2.2 P&C V4)*



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers *shall** develop indicators to ensure that the right to *Free Prior and Informed Consent** is granted only to *local communities** with established *legal** or *customary rights** within the *Management Unit**. The scope of *Free Prior and Informed Consent** for *local communities** is limited to the rights that exist within the *Management Unit** and only to the extent that management actions have an impact on those rights (Indicator 4.2.4).

- 4.2.1 Through *culturally appropriate** *engagement** *local communities** are informed of when, where and how they can comment on and request modification to management activities to the extent necessary to protect their rights.
- 4.2.2 *The legal** and *customary rights** of *local communities** to maintain control over management activities are not violated by *The Organization**.
- 4.2.3 Where evidence exists that *legal** and *customary rights** of *local communities** related to management activities have been violated the situation is corrected, if necessary, through *culturally appropriate** *engagement** and/or through the *dispute** resolution process in *Criteria** 1.6 or 4.6.
- 4.2.4 *Free, Prior and Informed Consent** is granted by *local communities** prior to management activities that affect their identified rights through a process that includes:
 - 1) Ensuring *local communities** know their rights and obligations regarding the resource;
 - 2) Informing the *local communities** of the value, in economic, social and environmental terms, of the resource over which they are considering delegation of control;
 - 3) Informing the *local communities** of their right to withhold or modify consent to the proposed management activities to the extent necessary to protect their rights and resources; and
 - 4) Informing the *local communities** of the current and future planned *forest** management activities.
- 4.3 ***The Organization** shall* provide reasonable* opportunities for employment, training and other services to local communities*, contractors and suppliers proportionate to scale* and intensity* of its management activities. (C4.1 P&C V4)**
 - 4.3.1 *Reasonable** opportunities are communicated and provided to *local communities**, local contractors and local suppliers for:
 - 1) Employment,
 - 2) Training, and
 - 3) Other services.
- 4.4 ***The Organization** shall* implement additional activities, through engagement* with local communities*, that contribute to their social and economic development, proportionate to the scale*, intensity* and socio-economic impact of its management activities. (C4.4 P&C V4)**
 - 4.4.1 Opportunities for local social and economic development are identified through *culturally appropriate** *engagement** with *local communities** and other relevant organizations.

4.4.2 Projects and additional activities are implemented and/or supported that contribute to local social and economic benefit and are proportionate to the socio-economic impact of management activities.

4.5 *The Organization, through *engagement** with *local communities**, shall take action to identify, avoid and mitigate *significant** negative social, environmental and economic impacts of its management activities on affected communities. The action taken shall be proportionate to the scale, intensity and risk* of those activities and negative impacts. (C4.4 P&C V4)**



INSTRUCTIONS FOR STANDARD DEVELOPERS: This *Criterion** does not prohibit *The Organization** from providing services to *local communities** and thereby competing with services provided by local businesses, for example transport services or company stores that are open not only to *workers** but also to local people.

Standard Developers shall develop indicators to define the degree to which *The Organization** has a responsibility to contribute to mitigating the resulting negative social and economic impacts on affected communities (Indicator 4.5.1).

4.5.1 Through *culturally appropriate* engagement** with *local communities**, measures are implemented to identify, avoid and mitigate *significant** negative social, environmental and economic impacts of management activities.

4.6 *The Organization, through *engagement** with *local communities**, shall have mechanisms for resolving grievances and providing *fair compensation** to *local communities** and individuals with regard to the impacts of management activities of *The Organization**. (C4.5 P&CV4)**



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers shall develop a methodology to implement a *culturally appropriate* dispute** resolution process following the requirements of *Criterion** 7.6.

4.6.1 A *publicly available* dispute** resolution process is in place, developed through *culturally appropriate* engagement** with *local communities**.

4.6.2 Grievances related to the impacts of management activities are responded to in a *timely manner**, and are either resolved or are in the *dispute** resolution process.

4.6.3 An up to date record of grievances related to the impacts of management activities is held including:

- 1) Steps taken to resolve grievances;
- 2) Outcomes of all *dispute** resolution processes including *fair compensation** to *local communities** and individuals; and
- 3) Unresolved *disputes**, the reasons they are not resolved, and how they will be resolved.

4.6.4 Operations cease in areas while *disputes** exist of:

- 1) Substantial magnitude*;
- 2) Substantial duration*; or
- 3) Involving a *significant** number of interests.

4.7 *The Organization, through *engagement** with *local communities**, shall identify sites which are of special cultural, ecological, economic, religious or spiritual significance, and for which these *local communities** hold**

***legal* or customary rights**. These sites *shall** be recognized by *The Organization**, and their management and/or *protection** *shall** be agreed through *engagement** with these *local communities**. (new)**

4.7.1 Sites of special cultural, ecological, economic, religious or spiritual significance for which *local communities** hold *legal** or *customary rights** are identified through *culturally appropriate* engagement** and are recognized by *The Organization**.

4.7.2 Measures to protect such sites are agreed, documented and implemented through *culturally appropriate engagement** with *local communities**. When *local communities** determine that physical identification of sites in documentation or on maps would threaten the value or *protection** of the sites, then other means will be used.

4.7.3 Whenever sites of special cultural, ecological, economic, religious or spiritual significance are newly observed or discovered, management activities cease immediately in the vicinity until protective measures have been agreed to with the *local communities**, and as directed by local and *national laws**.

4.8 *The Organization* shall* uphold* the right of local communities* to protect* and utilize their traditional knowledge* and shall* compensate local communities* for the utilization of such knowledge and their intellectual property*. A binding agreement* as per Criterion* 3.3 shall* be concluded between The Organization* and the local communities* for such utilization through Free, Prior and Informed Consent* before utilization takes place, and shall* be consistent with the protection* of intellectual property* rights. (new)*

4.8.1 *Traditional knowledge** and *intellectual property** are protected and are only used when the owners of that *traditional knowledge** and *intellectual property** have provided their *Free, Prior and Informed Consent** formalized through a *binding agreement**.

4.8.2 *Local communities** are compensated according to the *binding agreement** reached through *Free, Prior and Informed Consent** for the use of *traditional knowledge** and *intellectual property**.

PRINCIPLE 5: BENEFITS FROM THE FOREST*

The Organization* shall* efficiently manage the range of multiple products and services of the Management Unit* to maintain or enhance long-term* economic viability* and the range of social and environmental benefits. (P5 P&C V4)

5.1 *The Organization* shall* identify, produce, or enable the production of, diversified benefits and/or products, based on the range of resources and ecosystem services* existing in the Management Unit* in order to strengthen and diversify the local economy proportionate to the scale* and intensity* of management activities. (C5.2 and 5.4 P&C V4).*



INSTRUCTIONS FOR STANDARD DEVELOPERS: A clarification of the use of the term *management objectives** in this standard is included under *Criterion* 7.1* (Indicator 5.1.2).

Standard Developers *should** consider that the primary *management objectives** of *The Organization** may be *conservation** or *protection** (Indicator 5.1.2).

5.1.1 The range of resources and *ecosystem services** that could strengthen and diversify the local economy are identified.

5.1.2 Consistent with *management objectives**, the identified benefits and products are produced by *The Organization** and/or made available for others to produce, to strengthen and diversify the local economy.

5.1.3 When *The Organization** makes FSC promotional claims regarding the maintenance and/or enhancement of *ecosystem services**, Annex C is followed regarding additional requirements.

5.2 *The Organization* shall* normally harvest products and services from the Management Unit* at or below a level which can be permanently sustained. (C5.6 P&C V4)*



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers *shall** provide clear direction to smallholders on how to complete the analysis to calculate the *timber harvesting level**, where little or no prior analysis has been completed and/or where data is weak or does not exist (Indicators 5.2.1 and 5.2.2). In addition, Standard Developers *shall** determine the appropriate spatial and temporal *scale** regarding *forest** productivity.

Standard Developers *shall** develop indicators to ensure that the rate of harvest for large, regionally dispersed *Management Units** does not allow concentrating the annual harvest in one sub-unit or any one species in a way that compromises *The Organization's** ability to meet all other aspects of the standard.

Standard Developers *shall** identify the *Best Available Information** for each Indicator where *Best Available Information** is a requirement (*Criteria** 5.2, 6.1, 6.4, 6.5, 6.10, 9.1, 9.2). The lists provided in the Instructions for Standard Developers at *Criterion** level provide examples of data to look for (*Criterion** 5.2) or sources of *Best Available Information** (*Criteria** 6.1 and Principle 9).

Standard Developers *shall** specify the *Best Available Information** that *The Organization** *shall** use for Indicators 5.2.1 and 5.2.4. Examples include:

- Up-to-date growth and yield information;
- Up-to-date inventory data;
- Volume and area reductions caused by mortality as well as natural disturbances such as fire, insects and disease; and

- Volume and area reductions to account for adherence to all other requirements in this standard including *Intact Forest Landscapes* Core Areas**.

*The Organization** may cut more than one year's volume within one year, provided that all other requirements of this standard are met and provided that harvest rates do not exceed the allowable cut when averaged over ten years. The ten year timeframe is the default, and deviations must be justified at the national level. Standard Developers *shall** determine at the national level what is the appropriate defined period, based on rotation ages of *forests** and existing planning cycles (Indicator 5.2.3).

Standard Developers may identify catastrophic natural disturbances (such as windthrow, fire, and pest epidemics) or *forest** restoration *objectives** that may warrant a temporary and non-routine annual harvest rate in excess of allowable cut levels (Indicator 5.2.3).

Standard Developers *shall** identify *non-timber forest products** in the national and regional context that may be threatened by management activities to ensure that their harvest does not threaten *environmental values** (Indicator 5.2.4).

Controlling and managing hunting, fishing and collecting is addressed in *Criterion** 6.6. Controlling illegal hunting, fishing and collecting is addressed in *Criterion** 1.4.

- 5.2.1 *Timber harvesting levels** are based on an analysis of current *Best Available Information** on growth and yield; inventory of the *forest**; mortality rates; and maintenance of *ecosystem functions**.
- 5.2.2 Based on the *timber harvesting level** analysis, a maximum allowable annual cut for timber is determined that does not exceed the harvest level that can be permanently sustained including by ensuring that harvest rates do not exceed growth.
- 5.2.3 Actual annual harvest levels for timber are recorded and the harvest over a defined period does not exceed the allowable cut determined in 5.2.2 for the same defined period.
- 5.2.4 For extraction of commercially harvested services and *non-timber forest products** under *The Organization's** control a sustainable harvest level is calculated and adhered to. Sustainable harvest levels are based on *Best Available Information**.

5.3 *The Organization shall* demonstrate that the positive and negative externalities* of operations are included in the *management plan**. (C5.1 P&C V4)**



INSTRUCTIONS FOR STANDARD DEVELOPERS: Social and environmental costs and benefits of management activities are often not accounted for and are known as *externalities**. *Externalities** may result in costs because of the need to prevent, mitigate, *restore** or compensate negative impacts as required in these *Principles** and *Criteria**.

Standard Developers *shall** develop indicators to ensure that financial planning and cost accounting is done by *The Organization** for the *Management Unit**. Refer to *Criterion** 5.5 below.

- 5.3.1 Costs related to preventing, mitigating or compensating for negative social and environment impacts of management activities are quantified and documented in the *management plan**.
- 5.3.2 Benefits related to positive social and environment impacts of management activities are identified and included in the *management plan**.

5.4 *The Organization* shall* use local processing, local services, and local value adding to meet the requirements of The Organization* where these are available, proportionate to scale, intensity and risk*. If these are not locally available, The Organization* shall* make reasonable* attempts to help establish these services. (C5.2 P&C V4)*



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers *shall** define what 'local' means in the context of this *Criterion**. The intention of this *Criterion** is for *The Organization** to promote further socio-economic benefits through economic opportunities beyond the direct employment by *The Organization**. The desired outcome is that *The Organization** stimulates the local economy through the purchase of relevant local services and products, or supports the creation of relevant new local services and supply of relevant local products. In areas where local service providers are already in place, the preference is to support these businesses before hiring other service providers who are not local.

5.4.1 Where cost, quality and capacity of non-local and local options are at least equivalent, local goods, services, processing and value-added facilities are used.

5.4.2 *Reasonable** attempts are made to establish and encourage capacity where local goods, services, processing and value-added facilities are not available.

5.5 *The Organization* shall* demonstrate through its planning and expenditures proportionate to scale, intensity and risk*, its commitment to long-term* economic viability*. (C5.1 P&C V4)*



INSTRUCTIONS FOR STANDARD DEVELOPERS: Expenditures referred to in this *Criterion** include, for example, costs related to:

- Safeguards against 'mining' (over-exploitation) of the resources or 'creaming' (excessive selective harvesting) of the *Management Unit's** most valuable species, according to *Criterion** 5.2; and
 - Preventing, mitigating or compensating for negative *externalities** as required in the *Principles and Criteria** (see *Criterion** 5.3).
-

5.5.1 Sufficient funds are allocated to implement the *management plan** in order to meet this standard and to ensure *long-term* economic viability**.

5.5.2 Expenditures and investments are made to implement the *management plan** in order to meet this standard and to ensure *long-term* economic viability**.

Principle 5, Annex C: Additional Requirements for *Ecosystem Services**



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers *should** adopt all of the indicators in Annex C.

For the certification of *ecosystem services**, all other requirements in this Standard continue to apply. Receiving payment, or making claims, for *ecosystem services** is voluntary. This Annex and accompanying normative and guidance documents describe the requirements and methods for certifying the maintenance of *ecosystem services** as the basis for promotional claims for improved market access to *ecosystem service** payments.

There is overlap between the management and monitoring activities for *environmental values** and those for *ecosystem services**. When *The Organization** makes FSC promotional claims regarding the maintenance and/or enhancement of *ecosystem services**, additional management and monitoring requirements *shall** apply to ensure credibility of claims and demonstration of impacts.

The “FSC Guidance for Maintaining and Enhancing Ecosystem Services” (to be developed) provides guidance for the identification of *ecosystem services**, management strategies and activities for their maintenance and enhancement.

The “FSC Procedure for Demonstrating the Impact of Forest Stewardship on Ecosystem Services” (to be developed) describes requirements for evaluating the outcomes and impacts of activities to maintain and/or enhance the provision of *ecosystem services**. The Procedure also describes how the results of impact evaluation *shall** be used as the basis for FSC promotional claims that *The Organization** may make for the provision of *ecosystem services**, according to FSC’s applicable trademark requirements.

Standard Developers *shall** use the following general indicators as the basis for developing indicators at the national or regional level.

I. General Indicators

- 1) A *publicly available** Ecosystem Services Certification Document is developed and includes:
 - i. A declaration of the *ecosystem services** for which a promotional claim is being or will be made;
 - ii. A description of the current condition of the declared *ecosystem services**;
 - iii. *Legal* tenure** to manage, use and/or receive payments for declared *ecosystem services**;
 - iv. *Management objectives** related to maintenance and/or enhancement of declared *ecosystem services**;
 - v. *Verifiable targets** related to maintenance and/or enhancement of declared *ecosystem services**;
 - vi. Management activities and strategies related to declared *ecosystem services**;
 - vii. Areas within and outside of the *Management Unit** that contribute to the declared *ecosystem services**;
 - viii. Threats to the declared *ecosystem services** within and outside of the *Management Unit**;

- ix. A description of management activities to reduce the threats to declared *ecosystem services** within and outside of the *Management Unit*;
 - x. A description of the methodology used to evaluate the impacts of management activities on the declared *ecosystem services** within and outside of the *Management Unit**, based on the FSC Procedure for Demonstrating the Impact of Forest Stewardship on Ecosystem Services;
 - xi. A description of monitoring results related to the implementation of management activities and strategies related to the maintenance and/or enhancement of declared *ecosystem services**;
 - xii. A description of results of the evaluation of impacts of activities and threats on the declared *ecosystem services*;
 - xiii. A list of communities and other organizations involved in activities related to the declared *ecosystem services**; and
 - xiv. A summary of *culturally appropriate* engagement** with *Indigenous Peoples** and *local communities**, related to the declared *ecosystem services** including *ecosystem services** access and use, and benefit sharing, consistent with *Principle* 3* and *Principle* 4*.
- 2) The results of the evaluation of impacts demonstrate that *verifiable targets** for the maintenance and/or enhancement of the declared *ecosystem services** are met or exceeded; and
 - 3) The results of the evaluation of impacts demonstrate no negative impacts from management activities on the declared *ecosystem services** within or outside of the *Management Unit**.

II. Management Indicators



INSTRUCTIONS FOR STANDARD DEVELOPERS: For each specific declared *ecosystem service**, the following Management Indicators *shall** be used as the basis for developing indicators at the national or regional level.

A. All Services

- 1) Management indicators for all *Ecosystem Services** ensure:
 - i. *Peatlands** are not drained;
 - ii. *Wetlands**, *peatlands**, savannahs or natural *grasslands** are not converted to *plantations** or any other land use;
 - iii. Areas converted from *wetlands**, *peatlands**, savannahs or natural *grasslands** to *plantation** since November 1994 are not certified, except where:
 - a) *The Organization** provides clear and sufficient evidence that it was not directly or indirectly responsible for the conversion; or
 - b) The conversion is producing clear, substantial, additional, secure, *long-term* conservation** benefits in the *Management Unit**; and
 - c) The total area of *plantation** on sites converted since November 1994 is less than 5% of the total area of the *Management Unit**.

- iv. Knowledgeable experts independent of *The Organization** confirm the effectiveness of management strategies and actions to maintain and/or enhance the identified *High Conservation Value** areas.

B. Carbon Sequestration and Storage

- 1) In addition to requirements to maintain *environmental values** in *Principle** 6, and *Principle** 9* when promotional claims are made regarding carbon sequestration and storage, the following are demonstrated:
 - i. *Forests** are identified to be protected due to their carbon stocks, according to the FSC Guidance for Maintaining and Enhancing Ecosystem Services.
 - ii. Management activities maintain, enhance or *restore** carbon storage in the *forest**; including through *forest** *protection** and reduced impact logging practices for carbon, as described in the FSC Guidance for Maintaining and Enhancing Ecosystem Services.

C. Biological Diversity* Conservation*

- 1) In addition to provisions to protect biological diversity in *Principle** 6 and *Principle** 9, when promotional claims are made regarding *biological diversity* conservation**, the following are demonstrated:
 - i. Management activities maintain, enhance or *restore**:
 - a) *Rare and threatened species** and their *habitats**, including through the provision of *conservation zones**, *protection areas**, *connectivity**, and other direct means for their survival and viability; and
 - b) Natural landscape-level characteristics, including *forest** diversity, composition and structure.
 - ii. The *conservation area network**, and conservation areas outside the *Management Unit**:
 - a) Represents the full range of *environmental values** in the *Management Unit**;
 - b) Has sufficient size or functional connectivity, to support natural processes;
 - c) Contains the full range of habitats present for *focal species** and *rare and threatened species**; and
 - d) Has sufficient size or functional connectivity with other suitable habitat to support viable populations of *focal species** including *rare and threatened species** in the region.
 - iii. Knowledgeable experts independent of *The Organization** confirm the sufficiency of the *conservation area network**.

D. Watershed Services

- 1) In addition to measures to protect water in *Principle** 6 and measures to reduce the impact from *natural hazards** in *Principle** 10, where promotional claims are made regarding watershed services:
 - i. An assessment identifies:

- a) Hydrological features and connections, including permanent and temporary *water bodies**, *watercourses**, and *aquifers**;
 - b) Domestic water needs for *Indigenous Peoples** and *local communities** within and outside of the *Management Unit** that may be impacted by management activities;
 - c) Areas of water stress* and water scarcity*; and
 - d) Consumption of water by *The Organization** and other users.
- 2) Measures are implemented to maintain, enhance or *restore** permanent and temporary *water bodies**, *watercourses**, and *aquifers**;
 - 3) Chemicals, waste and sediment are not discharged into *water bodies**, *watercourses** or *aquifers**; and
 - 4) Management activities and strategies respect universal access to water, as defined in the [UN resolution on the human right to water and sanitation](#).

E. Soil Conservation

- 1) In addition to measures related to soil in *Principle* 6* and *Principle* 10*, where promotional claims are made regarding soil conservation, the following are demonstrated:
 - i. Vulnerable or high risk soils are identified, including thin soils, soils with poor drainage and subject to water logging, and soils prone to compaction, erosion, instability and run-off;
 - ii. Measures are implemented to reduce compaction, erosion and landslides;
 - iii. Management activities maintain, enhance or restore soil fertility and stability; and
 - iv. Chemicals and waste are not discharged into soil.

F. Recreational Services



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers *shall** develop indicators to ensure that goods and services used by *The Organizations** seeking to make claims for recreational services prioritize locally sourced cultural goods and services. This means, for example, that artisanal crafts and locally grown food are preferred over more generic options that may also be available.

Recreational services are often provided by third parties and not by *The Organization*. As a result these third parties *shall** follow all other requirements in this Standard.

- 1) In addition to measures to assess, prevent, and mitigate negative impacts of management activities on social values identified in *Principle* 2* to *Principle* 5* and *Principle* 9*, where promotional claims are made regarding recreational services, the following are demonstrated:
 - i. Measures are implemented to maintain, enhance or *restore**:
 - a) Areas of importance for recreation and tourism including site attractions, archaeological sites, trails, areas of high visual quality and areas of cultural or historical interest; and
 - b) Populations of species that are a tourist attraction.
 - ii. The rights, customs and culture of *Indigenous Peoples** and *local communities** are not violated by tourism activities;

- iii. In addition to health and safety practices in *Criterion** 2.3, practices are implemented to protect the health and safety of tourism customers;
- iv. Health and safety plans and accident rates are publicly available in recreational areas and areas of interest to the tourism sector; and
- v. A summary is provided of activities that demonstrate prevention of discrimination based on gender, age, ethnicity, religion, sexual orientation or disability.

PRINCIPLE 6: ENVIRONMENTAL VALUES* AND IMPACTS

The Organization* shall* maintain, conserve* and/or restore* ecosystem services* and environmental values* of the Management Unit*, and shall* avoid, repair or mitigate negative environmental impacts. (P6 P&C V4)



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers *shall** ensure that the flow of the indicators from *Criterion** 6.1 to 6.3 is maintained as follows:

- 6.1 Assessment of *environmental values**.
- 6.2 *Environmental impact assessment** of management activities on *environmental values**.
- 6.3 Identify and implement effective actions to prevent negative impacts of management activities on the *environmental values**.

6.1 *The Organization* shall* assess environmental values* in the Management Unit* and those values outside the Management Unit* potentially affected by management activities. This assessment shall* be undertaken with a level of detail, scale and frequency that is proportionate to the scale, intensity and risk* of management activities, and is sufficient for the purpose of deciding the necessary conservation* measures, and for detecting and monitoring possible negative impacts of those activities. (new)*



INSTRUCTION FOR STANDARD DEVELOPERS: Standard Developers shall specify the *Best Available Information** that *The Organization shall** use for Indicator 6.1.1. Examples include:

- Representative Sample Areas* showing *environmental values** in their natural condition*;
- Field surveys;
- Databases relevant to the *environmental values**;
- Consultation with local and regional experts;
- *Culturally appropriate* engagement* with Indigenous Peoples*, local*

communities and affected stakeholders* and interested stakeholders*.*

6.1.1 *Best Available Information** is used to identify *environmental values** within, and, where potentially affected by management activities, outside of the *Management Unit**.

6.1.2 Assessments of *environmental values** are conducted with a level of detail and frequency so that:

- 1) Impacts of management activities on the identified *environmental values** can be assessed as per *Criterion** 6.2;
- 2) *Risks** to *environmental values** can be identified as per *Criterion** 6.2;
- 3) Necessary *conservation** measures to protect values can be identified as per *Criterion** 6.3; and,
- 4) Monitoring of impacts or environmental changes can be conducted as per *Principle** 8.

6.2 *Prior to the start of site-disturbing activities, The Organization* shall* identify and assess the scale, intensity and risk* of potential impacts of*

management activities on the identified *environmental values. (C6.1 P&C V4)**



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers *shall** specify the level of detail of *environmental impact assessments** to be undertaken, subject to *scale, intensity and risk** of management activities on *environmental values**.

6.2.1 An *environmental impact assessment** identifies potential present and future impacts of management activities on *environmental values**, from the stand level to the landscape level.

6.2.2 The *environmental impact assessment** identifies and assesses the impacts of the management activities prior to the start of site-disturbing activities.

6.3 *The Organization shall* identify and implement effective actions to prevent negative impacts of management activities on the *environmental values**, and to mitigate and repair those that occur, proportionate to the *scale, intensity and risk** of these impacts. (C6.1 P&C V4)**



INSTRUCTIONS FOR STANDARD DEVELOPERS: The projected future growth in demand for energy derived from *forest** biomass may be accompanied by scrutiny on the *forest** management requirements to maintain carbon sequestration and storage. *Indicators** 6.3.1 – 6.3.3 require the prevention, mitigation and repair of impacts on *environmental values**, which include carbon sequestration and storage. Standard Developers *should** consider whether national socio-economic and environmental circumstances require specific *indicators** related to this *environmental value**.

6.3.1 Management activities are planned and implemented to prevent negative impacts and to protect *environmental values**.

6.3.2 Management activities prevent negative impacts to *environmental values**.

6.3.3 Where negative impacts to *environmental values** occur, measures are adopted to prevent further damage, and negative impacts are *mitigated** and/or *repaired**.

6.4 *The Organization shall* protect *rare species** and *threatened species** and their *habitats** in the *Management Unit** through *conservation zones**, *protection areas**, *connectivity** and/or (where necessary) other direct measures for their survival and viability. These measures *shall** be proportionate to the *scale, intensity and risk** of management activities and to the *conservation** status and ecological requirements of the *rare and threatened species**. The *Organization** shall* take into account the geographic range and ecological requirements of *rare and threatened species** beyond the boundary of the *Management Unit**, when determining the measures to be taken inside the *Management Unit**. (C6.2 P&C V4)**



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers *shall** develop indicators that introduce *conservation** measures for particular groups of *rare and threatened species** into national standards. The primary focus is on the *protection** of *habitats**, populations, and individuals affected by activities in the *Management Unit**. However, where relevant, Standard Developers *shall** develop indicators at the national level directing *The Organization** to coordinate with *landscape** level *conservation** efforts. This instruction is to complement the already mandatory Annex to national standards listing endangered species as per *FSC-STD-60-002* Clause 3.5 (c).

Standard Developers *shall** specify the *Best Available Information** that *The Organization** *shall** use for Indicator 6.4.1.

- 6.4.1 *Best Available Information** is used to identify *rare and threatened species**, and their *habitats**, including CITES species (where applicable) and those listed on national, regional and local lists of *rare and threatened species** that are present or likely to be present within and adjacent to the *Management Unit**.
- 6.4.2 Potential impacts of management activities on *rare and threatened species** and their *conservation** status and *habitats** are identified and management activities are modified to avoid negative impacts.
- 6.4.3 The *rare and threatened species** and their *habitats** are protected, including through the provision of *conservation zones**, *protection areas**, *connectivity**, and other direct means for their survival and viability, such as species' recovery programs.
- 6.4.4 Hunting, fishing, trapping and collection of *rare or threatened species** is prevented.
- 6.5 *The Organization** *shall** identify and protect representative sample areas of native ecosystems* and/or restore* them to more natural conditions*. Where *representative sample areas** do not exist or are insufficient, *The Organization** *shall** restore* a proportion of the *Management Unit** to more natural conditions*. The size of the areas and the measures taken for their protection or restoration, including within plantations, *shall** be proportionate to the *conservation** status and value of the ecosystems* at the *landscape** level, and the *scale, intensity and risk** of management activities. (C6.4 and 10.5 P&C V4 and Motion 2014#7)**



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers *shall** identify the methods for identifying *Representative Sample Areas**.

*Representative Sample Areas** perform multiple functions, including:

- Representing the *environmental values** that exist in native ecosystems* and thus serve as a reference for environmental values* and ecosystem services* within the *Management Unit**. In order to use *Representative Sample Areas** as references for all of the ecosystems* that could potentially be present in the *Management Unit**, for the purposes of 6.1.1, it may be necessary to identify *Representative Sample Areas** outside of the *Management Unit**. This may be the case when dealing with *Management Units** comprised mainly of plantations.
- Informing *forest** management, including regeneration, within the *Management Unit** in order to maintain or enhance *environmental values**.
- Forming part of the *Conservation Areas Network** within the *Management Unit**. In order to protect and conserve *environmental values**, it may be necessary to designate and restore* *Representative Sample Areas** within the *Management Unit**. *Protection Areas**, *Conservation zones**, *Representative Sample Areas** and *High Conservation Value Areas**, may overlap spatially where they meet the same criteria to form the *Conservation Area Network**. Please refer to Annex D.

Please refer to Annex D for additional information on how *Conservation Area Networks** *shall** be defined.

The *Conservation Area Network** *shall** be large enough to allow natural processes to take place in the absence of any direct human interference. *Where Intact Forest Landscapes** occur, they should contribute to the *Conservation Area Network**. Since 2011, the FSC Policy and Standards Committee, on behalf of the FSC Board of

Directors, have consistently applied a minimum threshold of 10% of the *Management Unit** to all FSC National Standards through the national standards approval process. This threshold is written in *FSC Forest Stewardship Standards: structure, content and suggested indicators FSC-GUI-60-004 V1-0* at *Criterion** 6.2. This document has been

the key reference for Standard Development Groups since it was approved in 2011.

- 6.5.1 *Best Available Information** is used to identify native *ecosystems** that exist, or would exist under *natural conditions**, within the *Management Unit**.
 - 6.5.2 *Representative Sample Areas** of native *ecosystems** are protected, where they exist.
 - 6.5.3 Where *Representative Sample Areas** do not exist, or where existing sample areas inadequately represent *native ecosystems**, or are otherwise insufficient, a proportion of the *Management Unit** is *restored** to more *natural conditions**.
 - 6.5.4 The size of the *Representative Sample Areas** and/or *restoration** areas is proportionate to the *conservation** status and value of the *ecosystems** at the *landscape** level, the size of the *Management Unit** and the *intensity** of *forest** management.
 - 6.5.5 *Representative Sample Areas** in combination with other components of the *conservation areas network** comprise a minimum 10% area of the *Management Unit**.
- 6.6 ***The Organization* shall* effectively maintain the continued existence of naturally occurring native species* and genotypes*, and prevent losses of biological diversity*, especially through habitat* management in the Management Unit*. The Organization* shall* demonstrate that effective measures are in place to manage and control hunting, fishing, trapping and collecting. (C6.2 and C6.3 P&C V4)***



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers *shall** specify management thresholds for *habitat features** in national standards. Thresholds for *habitat features** that *should** be considered include:

- Timber harvest and silvicultural methods that maintain and *restore** *natural forest** diversity, composition and structure;
- Thresholds and guidelines for retention of trees throughout harvest areas as individual trees or in patches or groups of live trees and snags, including trees representative of the naturally dominant species for the site;
- Thresholds and guidelines for retention and recruitment of woody debris, and other vegetation representative of the natural stand;
- Thresholds and guidelines for regulation of opening sizes and rotation lengths for even-aged operations to ensure a range of stand ages that maintain all natural *habitat** types, prevent fragmentation and prevent cumulative watershed impacts; and

-
- Configuration of harvesting to ensure *connectivity**.

- 6.6.1 Management activities maintain the plant communities and *habitat features** found within *native ecosystems** in which the *Management Unit** is located.

- 6.6.2 Where past management has eliminated plant communities or *habitat features**, management activities aimed at re-establishing such *habitats** are implemented.
- 6.6.3 Management maintains, enhances, or *restores* habitat features** associated with *native ecosystems**, to support the diversity of naturally occurring species and their genetic diversity.
- 6.6.4 Effective measures are taken to manage and control hunting, fishing, trapping and collecting activities to ensure that naturally occurring *native species**, their diversity within species and their natural distribution are maintained.



INSTRUCTIONS FOR STANDARD DEVELOPERS: In regions where hunting is threatening species diversity the following indicators *shall** be included in National Standards and Interim National Standards:

- 6.6.X Mechanisms for wildlife *protection** are in place: Applicable national and/or international regulations on *protection**, hunting and trade in animal species or parts (trophies) *shall** be known and complied with;
- 6.6.X An internal regulation banning and punishing the transportation of and trade in bush meat and firearms in the facilities and vehicles of *The Organization**;
- 6.6.X A system of regular and punctual controls to ensure hunting policies are respected is implemented;
- 6.6.X Effective mitigation measures are in place to ensure that *workers** do not increase hunting trapping or collecting of bush meat or wild fish.

6.7 *The Organization* shall* protect* or restore* natural watercourses, water bodies*, riparian zones* and their connectivity*. The Organization* shall* avoid negative impacts on water quality and quantity and mitigate and remedy those that occur. (C6.5 and 10.2 P&C V4)*



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers *shall** identify protection measures that include the following, and may include existing regulations and/or best practices where they provide sufficient protection:

- Buffer zones and other measures to protect natural *watercourses** and *water bodies**, their *connectivity**, in-stream *habitat**, and fish, invertebrates, and other aquatic species;
- Measures to protect native vegetation in *riparian zones** of watercourses and *water bodies**, including feeding, breeding, or cover *habitat** for terrestrial and aquatic species, and needed inputs of wood and leaf litter into aquatic areas;
- Measures to prevent negative changes in water quantity and quality, including through maintaining stream shading sufficient to protect against temperature changes beyond natural limits;
- Measures to maintain natural hydrological patterns and stream flows;
- Measures to prevent impacts from road location, construction, maintenance and use;
- Measures to prevent sedimentation of water bodies and soil erosion from harvesting, roads, and other activities; and
- Measures to prevent negative impacts from chemicals or *fertilizers**.

- 6.7.1 *Protection** measures are implemented to protect natural *watercourses**, *water bodies**, *riparian zones** and their *connectivity**, including water quantity and water quality.
- 6.7.2 Where implemented *protection** measures do not protect *watercourses**, *water bodies**, *riparian zones** and their *connectivity**, water quantity or water quality from impacts of *forest** management, restoration activities are implemented.
- 6.7.3 Where natural *watercourses*, *water bodies**, *riparian zones** and their *connectivity**, water quantity or water quality have been damaged by past activities on land and water by *The Organization**, *restoration activities** are implemented.
- 6.7.4 Where continued degradation exists to *watercourses**, *water bodies**, water quantity and water quality caused by previous managers and the activities of third parties, measures are implemented that prevent or mitigate this degradation.
- 6.8 *The Organization** shall* manage the *landscape** in the *Management Unit** to maintain and/or *restore** a varying mosaic of species, sizes, ages, spatial *scales** and regeneration cycles appropriate for the *landscape values** in that region, and for enhancing environmental and economic *resilience**. (C10.2 and 10.3 P&C V4)**
- 6.8.1 A varying mosaic of species, sizes, ages, spatial *scales**, and regeneration cycles is maintained appropriate to the *landscape**.
- 6.8.2 The mosaic of species, sizes, ages, spatial *scales**, and regeneration cycles is *restored** where it has not been maintained appropriate to the *landscape**.
- 6.9 *The Organization** shall* not convert *natural forest** to *plantations**, nor *natural forests** or *plantations** on sites directly converted from *natural forest** to non-forest* land use, except when the conversion:**
- a) **Affects a *very limited portion** of the area of the *Management Unit**, and**
- b) **Will produce clear, substantial, additional, secure long-term *conservation** benefits in the *Management Unit**, and**
- c) **Does not damage or threaten *High Conservation Values**, nor any sites or resources necessary to maintain or enhance those *High Conservation Values**. (C6.10 P&C V4 and Motion 2014#7)**



INSTRUCTIONS FOR STANDARD DEVELOPERS: “*Directly converted from natural forest*” is intended to convey that if the plantation site was natural forest immediately

prior to being converted to plantation, then it may not be converted to non-forest uses. However, if the plantation site was non-forest immediately prior to being converted to a plantation, then it may be converted back to non-forest uses. Conversions must be consistent with *Criterion** 1.8 and demonstrate a *long-term** commitment to the FSC *Principles** and *Criteria** and to related FSC Policies and Standards.

- 6.9.1 There is no conversion of *natural forest** to *plantations**, nor conversion of *natural forests** to non-forest* land use, nor conversion of *plantations** on sites directly converted from natural *forest** to non-forest* land use, except when the conversion:
- 1) Affects a very limited portion* of the Management Unit*, and

- 2) The conversion will produce clear, substantial, additional, secure, long-term *conservation** benefits in the *Management Unit**; and
- 3) Does not damage or threaten *High Conservation Values**, nor any sites or resources necessary to maintain or enhance those *High Conservation Values**.

6.10 *Management Units containing *plantations** that were established on areas converted from *natural forest** after November 1994 *shall** not qualify for certification, except where:**

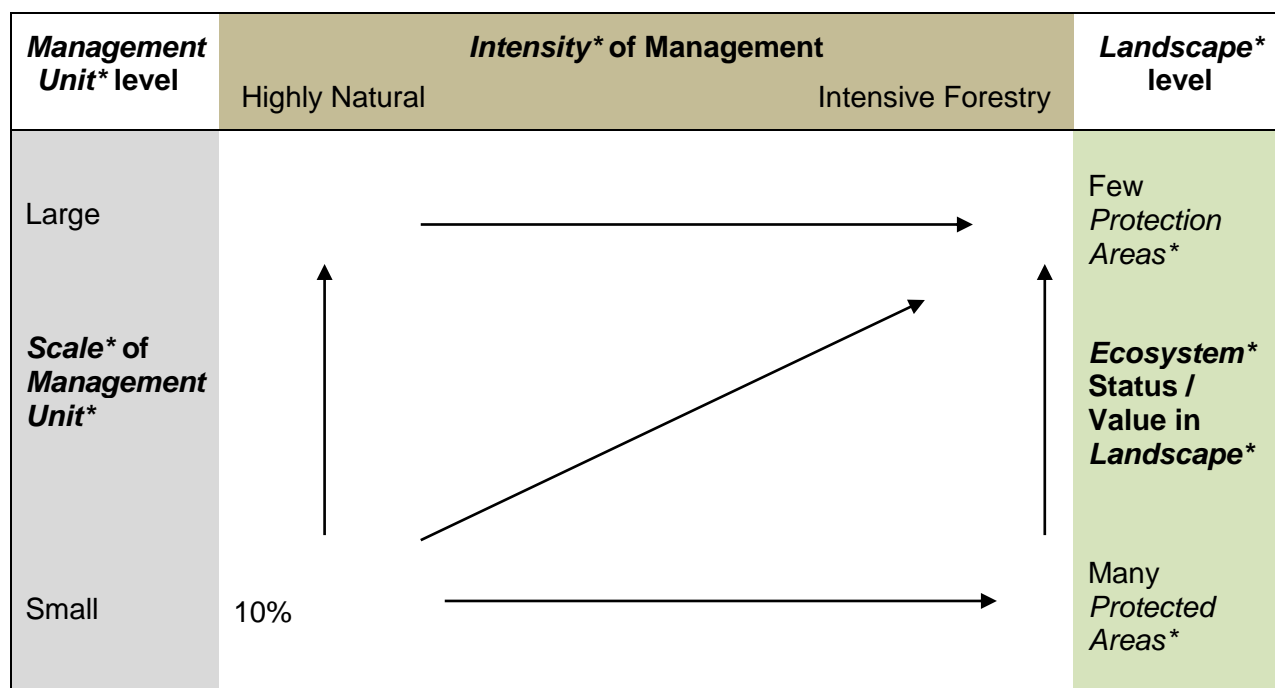
- a) **Clear and sufficient evidence is provided that *The Organization** was not directly or indirectly responsible for the conversion, or**
- b) **The conversion affected a *very limited portion** of the area of the *Management Unit** and is producing clear, substantial, additional, secure long-term *conservation** benefits in the *Management Unit**.**
(C10.9 P&C V4)

6.10.1 Based on *Best Available Information**, accurate data is compiled on all conversions since 1994.

6.10.2 Areas converted from *natural forest** to *plantation** since November 1994 are not certified, except where:

- 1) The *Organization** provides clear and sufficient evidence that it was not directly or indirectly responsible for the conversion; or
- 2) The conversion is producing clear, substantial, additional, secure, long-term *conservation** benefits in the *Management Unit**; and
- 3) The total area of *plantation** on sites converted from *natural forest** since November 1994 is less than 5% of the total area of the *Management Unit**.

Principle 6, Annex D: *Conservation Area Network** Conceptual Diagram.



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers *shall** use this diagram to inform the development of appropriate guidance at the national and regional level for the creation of *Conservation Area Networks**.

The diagram shows how the area of the *Management Unit** included in the *Conservation Area Network** is generally expected to increase from the 10% minimum as the size, *intensity** of management, and/or the status and value of *ecosystems** at the *landscape** level each increase. The arrows and their direction represent these increases.

The far right column titled '*Ecosystems** Status/Value in the *Landscape**' signifies the extent to which *native ecosystems** are protected at the *landscape** level and the relative requirements for further *protection** in the *Management Unit**.

The far left column titled '*Area of Management Unit**' shows that as the *Management Unit** area increases, the *Management Unit** will itself be at the *landscape** level and so will be expected to have a *Conservation Area Network** containing functional examples of all of the naturally occurring *ecosystems** for that *landscape**.

PRINCIPLE 7: MANAGEMENT PLANNING

The Organization* shall* have a management plan* consistent with its policies and objectives* and proportionate to scale, intensity and risks* of its management activities. The management plan* shall* be implemented and kept up to date based on monitoring information in order to promote adaptive management*. The associated planning and procedural documentation shall* be sufficient to guide staff, inform affected stakeholders* and interested stakeholders* and to justify management decisions. (P7 P&CV4)

- 7.1 *The Organization* shall*, proportionate to scale, intensity and risk* of its management activities, set policies (visions and values) and objectives* for management, which are environmentally sound, socially beneficial and economically viable. Summaries of these policies and objectives* shall* be incorporated into the management plan*, and publicized. (C7.1a P&C V4)***



INSTRUCTIONS FOR STANDARD DEVELOPERS: The term *management objectives**, as used in this standard, refers to specific management goals, practices, outcomes, and approaches established to achieve the requirements of this standard. Standard Developers *shall** develop indicators to ensure that *The Organization** establishes specific *management objectives** that correspond to specific management goals, practices, outcomes, and approaches required by this standard. *The Organization** may also establish overarching, aspirational *objectives** for managing the *forest** providing these do not contradict the requirements of this standard.

- 7.1.1 Policies (vision and values) that contribute to meeting the requirements of this standard are defined.
- 7.1.2 Specific, operational *management objectives** that address the requirements of this standard are defined.
- 7.1.3 Summaries of the defined policies and *management objectives** are included in the *management plan** and publicized.

- 7.2 *The Organization* shall* have and implement a management plan* for the Management Unit* which is fully consistent with the policies and management objectives* as established according to Criterion* 7.1. The management plan* shall* describe the natural resources that exist in the Management Unit* and explain how the plan will meet the FSC certification requirements. The management plan* shall* cover forest* management planning and social management planning proportionate to scale*, intensity* and risk* of the planned activities. (C7.1 P&C V4)***



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers *shall** develop indicators to ensure that the duration of the *management plan** is consistent with *Criterion* 1.8* and demonstrate a *long-term** commitment to the *FSC Principles** and *Criteria** and to related FSC Policies and Standards.

- 7.2.1 The *management plan** includes management actions, procedures, strategies and measures to achieve the *management objectives**.
- 7.2.2 *The management plan** addresses the elements listed in Annex E, and is implemented.

7.3 The management plan* shall* include verifiable targets* by which progress towards each of the prescribed management objectives* can be assessed. (new)



INSTRUCTIONS FOR STANDARD DEVELOPERS: Examples of *verifiable targets** to be established include:

- Site productivity, yield of all products harvested;
- Composition and observed changes in the flora and fauna;
- Water quality and quantity;
- Soil erosion, compaction, fertility and carbon content;
- Wildlife populations, *biodiversity** and status of *High Conservation Values**;
- Sensitive cultural and environmental resources;
- Stakeholder satisfaction with *engagement**;
- Benefits of management operations provided to *local communities**;
- Number of occupational accidents*;
- Area of Intact Forest Landscape* to be protected* as Core Areas* and
- Overall economic viability* of the Management Unit*.

7.3.1 *Verifiable targets**, and the frequency that they are assessed, are established for monitoring the progress towards each *management objective**.

7.4 The Organization* shall* update and revise periodically the management planning and procedural documentation to incorporate the results of monitoring and evaluation, stakeholder engagement* or new scientific and technical information, as well as to respond to changing environmental, social and economic circumstances. (C7.2 P&C V4)



INSTRUCTIONS FOR STANDARD DEVELOPERS: Under the FSC definition, the *management plan** is a collection of documents, reports, records and maps that describe, justify and regulate management activities. As such the frequency of revision to these varied documents and maps depends on the source of information as listed in 7.4.1 as well as the type of planning document as summarized in Annex F. Annex F is intended to explain the scope of the planning framework and is not meant to be prescriptive. In general, information received from stakeholder *engagement**, new scientific and technical information and changing environmental,

social, or economic circumstances should result in more frequent revisions to the relevant management planning document or map.

7.4.1 *The management plan** is revised and updated periodically consistent with Annex F to incorporate:

- 1) Monitoring results, including results of certification audits;
- 2) Evaluation results;
- 3) Stakeholder *engagement** results;
- 4) New scientific and technical information, and
- 5) Changing environmental, social, or economic circumstances.

7.5 The Organization* shall* make publicly available* a summary of the management plan* free of charge. Excluding confidential information*, other relevant components of the management plan* shall* be made available to affected stakeholders* on request, and at cost of reproduction and handling. (C7.4 P&C V4)



INSTRUCTIONS FOR STANDARD DEVELOPERS: The intent of this *Criterion** is to strike a balance between minimizing the administrative burden for *The Organization** in producing a summary of the *management plan** with ensuring that comprehensive information is provided. The entire *management plan** can be provided if this reduces the administration burden. Examples of *Confidential Information** include data and content:

- Related to investment decisions;
- About *intellectual property** rights;
- Which is client confidential;
- Which is, by law, confidential;
- Whose dissemination could put at *risk** the *protection** of wildlife species and *habitats**; and
- About sites which are of special cultural, ecological, economic, religious or spiritual significance to *Indigenous Peoples** or *local communities** (see Criteria 3.5 and 4.7) as requested by these groups.

7.5.1 A summary of the *management plan** in a format comprehensible to stakeholders including maps and excluding *confidential information** is made *publicly available** at no cost.

7.5.2 Relevant components of the *management plan**, excluding *confidential information**, are available to *affected stakeholders** on request at the actual costs of reproduction and handling.

7.6 The Organization* shall*, proportionate to scale, intensity and risk* of management activities, proactively and transparently engage affected stakeholders* in its management planning and monitoring processes, and shall* engage interested stakeholders* on request. (C4.4 P&C V4)



INSTRUCTIONS FOR STANDARD DEVELOPERS: *Culturally appropriate** processes consider cultural differences, such as preferences for direct or indirect negotiation; attitudes toward competition, cooperation, and conflict; the desire to preserve relationships among complainants; authority, social rank, and status; ways of understanding and interpreting the world; concepts of time management; attitudes toward third parties; and the broader social and institutional environment.

Standard Developers shall develop *culturally appropriate* engagement** processes for the *Criteria** specified in Indicator 7.6.1, following the requirements of Indicator 7.6.2, with variations according to the target group if deemed necessary.

7.6.1 *Culturally appropriate* engagement** is used to ensure that *affected stakeholders** are proactively and transparently engaged in the following processes:

- 1) *Dispute** resolution processes (*Criterion** 1.6, *Criterion** 2.6, *Criterion** 4.6);

- 2) Definition of *Living wages** (*Criterion** 2.4);
- 3) Identification of rights (*Criterion** 3.1, *Criterion** 4.1), *Indigenous cultural landscapes** (*Criterion** 3.1) sites (*Criterion** 3.5, *Criterion** 4.7) and impacts (*Criterion** 4.5);
- 4) *Local communities** socio-economic development activities (*Criterion** 4.4); and
- 5) *High Conservation Value** assessment, management and monitoring (*Criterion** 9.1, *Criterion** 9.2, *Criterion** 9.4).

7.6.2 *Culturally appropriate* engagement** is used to:

- 1) Determine appropriate representatives and contact points (including where appropriate, local institutions, organizations and authorities);
- 2) Determine mutually agreed communication channels allowing for information to flow in both directions;
- 3) Ensure all actors (women, youth, elderly, minorities) are represented and engaged equitably;
- 4) Ensure all meetings, all points discussed and all agreements reached are recorded;
- 5) Ensure the content of meeting records is approved; and
- 6) Ensure the results of all *culturally appropriate* engagement** activities are shared with those involved.

7.6.3 *Affected rights holders* and affected stakeholders** are provided with an opportunity for *culturally appropriate* engagement** in monitoring and planning processes of management activities that affect their interests.

7.6.4 On request, *interested stakeholders** are provided with an opportunity for *engagement** in monitoring and planning processes of management activities that affect their interests.

Principle 7, ANNEX E: Elements of the *Management Plan**.



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers *shall** include in National Standards and Interim National Standards a list that includes the relevant elements of the *management plan** as listed below. This list *shall** be consistent with existing national and sub-national management planning frameworks.

Standard Developers may also develop different lists for different types of Organizations, proportionate to the *scale**, *intensity** and *risk** of the management activities.

- 1) The results of assessments, including:
 - i. Natural resources and *environmental values**, as identified in *Principle** 6 and *Principle** 9;
 - ii. Social, economic and cultural resources and condition, as identified in *Principle** 6, *Principle** 2 to *Principle** 5 and *Principle** 9;
 - iii. *Intact Forest Landscapes** and *core areas**, as identified in *Principle** 9;
 - iv. *Indigenous cultural landscapes**, as identified with *affected rights holders** in *Principle** 3 & *Principle** 9
 - v. Major social and environmental risks in the area, as identified in *Principle** 6, *Principle** 2 to *Principle** 5 and *Principle** 9; and
 - vi. The maintenance and/or enhancement of *ecosystem services** for which promotional claims are made as identified in *Criterion** 5.1 and Annex C.
- 2) Programs and activities regarding:
 - i. *Workers**' rights, occupational health and safety, *gender equality**, as identified in *Principle** 2;
 - ii. *Indigenous Peoples**, community relations, local economic and social development, as identified in *Principle** 3, *Principle** 4 and *Principle** 5;
 - iii. Stakeholder *engagement** and the resolution of *disputes** and grievances, as identified in *Principle** 1, *Principle** 2 and *Principle** 7;
 - iv. Planned management activities and timelines, silvicultural systems used, typical harvesting methods and equipment, as identified in *Principle** 10;
 - v. The rationale for harvesting rates of timber and other natural resources, as identified in *Principle** 5.
- 3) Measures to *conserve** and/or *restore**:
 - i. Rare and threatened species* and habitats*;
 - ii. Water bodies* and riparian zones*;
 - iii. *Landscape** *connectivity**, including wildlife corridors;
 - iv. Declared *ecosystem services** as identified in *Criterion** 5.1, and Annex C;
 - v. Representative Sample Areas*, as identified in *Principle** 6; and
 - vi. High Conservation Values*, as identified in *Principle** 9.
- 4) Measures to assess, prevent, and mitigate negative impacts of management activities on:
 - i. Environmental values*, as identified in *Principle** 6 and *Principle** 9;

- ii. Declared *Ecosystem services** as identified in *Criterion** 5.1 and Annex C;
 - iii. Social Values and Indigenous cultural landscapes*, as identified in Principle* 2 to Principle* 5 and Principle* 9; and
 - iv. Intact Forest Landscapes* and core areas*, as identified in *Principle** 9.
- 5) A description of the monitoring program, as identified in *Principle** 8, including:
- i. Growth and yield, as identified in *Principle** 5;
 - ii. Declared *Ecosystem services** as identified in *Criterion** 5.1 and Annex C;
 - iii. *Environmental values**, as identified in Principle* 6;
 - iv. Operational impacts, as identified in *Principle** 10;
 - v. High Conservation Values*, as identified in Principle* 9;
 - vi. Monitoring systems based on stakeholder *engagement** planned or in place, as identified in *Principle** 2 to *Principle** 5 and *Principle** 7;
 - vii. Maps describing the natural resources and land use zoning on the *Management Unit**;
 - viii. Description of the methodology to assess and monitor* any development and land use options allowed in Intact Forest Landscapes* and core areas* including their effectiveness in implementing the precautionary approach*;
 - ix. Description of the methodology to assess and monitor* any development and land use options allowed in Indigenous cultural landscapes* including their effectiveness in implementing the precautionary approach*; and
 - x. Global Forest Watch map, or more accurate national or regional map, describing the natural resources and land use zoning on the Management Unit*, including the Intact Forest Landscapes* core areas*

Principle 7, ANNEX F: Conceptual Framework for Planning and Monitoring.



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers may use this diagram to inform the periodicity for revision of the various management planning and monitoring documents. The frequency of revision should be based on existing planning cycles and the source and significance of the information received from monitoring, evaluation and *engagement**.

Sample Management Plan* Document Note: These will vary with SIR and jurisdiction	Management Plan* Revision Periodicity	Element Being Monitored (Partial List)	Monitoring Periodicity	Who Monitors This Element? (Note: These will vary with SIR and jurisdiction)	FSC Principle* / Criterion*
Site Plan (Harvest Plan)	Annual	Creek crossings	When in the field and annually	Operational staff	P10
		Roads	When in the field and annually	Operational staff	P10
		Retention patches	Annually sample	Operational staff	P6, P10
		Rare Threatened and Endangered species	Annually	Consulting Biologist	P6
		Annual harvest levels	Annually	Woodlands Manager	C5.2
		Insect disease outbreaks	Annually, sample	Consulting Biologist / Ministry of Forests	
Budgeting	Annual	Expenditures	Annually	Chief Financial Officer	P5
		Contribution to local economy	Quarterly	General Manager	P5
Engagement* Plan	Annual	Employment statistics	Annually	General Manager	P3, P4
		Social Agreements	Annually, or as agreed in	Social Coordinator	P3, P4

Sample Management Plan* Document Note: These will vary with SIR and jurisdiction	Management Plan* Revision Periodicity	Element Being Monitored (Partial List)	Monitoring Periodicity	Who Monitors This Element? (Note: These will vary with SIR and jurisdiction)	FSC Principle* / Criterion*
			<i>Engagement*</i> Plan		
		Grievances	Ongoing	Human Resources Manager	P2, P3, P4
5-Year management plan*	5 years	Wildlife populations	To be determined	Ministry of Environment	P6
		Coarse Woody Debris	Annually	Ministry of Forests	P10
		Free growing / regeneration	Annually, sample		
Sustainable Forestry management plan*	10 years	Age class distribution Size class distribution	Ten years	Ministry of Environment	P6
		10 year Allowable Annual Cut	Annually, ten years	Ministry of Forests / Woodlands manager	C5.2
Ecosystem Services* Certification Document	5 years	Prior to validation and verification	Prior to validation and verification	General Manager	Annex C

PRINCIPLE 8: MONITORING AND ASSESSMENT

The Organization* shall* demonstrate that, progress towards achieving the management objectives*, the impacts of management activities and the condition of the Management Unit*, are monitored* and evaluated proportionate to the scale, intensity and risk* of management activities, in order to implement adaptive management*. (P8 P&C V4)

8.1 *The Organization* shall* monitor* the implementation of its Management Plan*, including its policies and management objectives*, its progress with the activities planned, and the achievement of its verifiable targets*. (new)*

8.1.1 Procedures are documented and executed for monitoring the implementation of the *management plan** including its policies and *management objectives** and achievement of *verifiable targets**.

8.2 *The Organization* shall* monitor* and evaluate the environmental and social impacts of the activities carried out in the Management Unit*, and changes in its environmental condition. (C8.2 P&C V4)*



INSTRUCTIONS FOR STANDARD DEVELOPERS: The *Criterion** requires that three distinct categories *shall* be monitored**: environmental impacts of management activities, addressed in *Principle* 10*; social impacts of activities, addressed in *Principles* 1-5*, as well as the *engagement** addressed in *Principle* 9*; and changes in environmental conditions, addressed in *Principles* 5, 6 and 9*. Please refer to Annex G for specific monitoring requirements (Indicators 8.2.1 and 8.2.2).

8.2.1 The social and environmental impacts of management activities are *monitored** consistent with Annex G.

8.2.2 Changes in environmental conditions are *monitored** consistent with Annex G.

8.3 *The Organization* shall* analyze the results of monitoring and evaluation and feed the outcomes of this analysis back into the planning process. (C8.4 P&C V4)*

8.3.1 *Adaptive management** procedures are implemented so that monitoring results feed into periodic updates to the planning process and the resulting *management plan**.

8.3.2 If monitoring results show non-conformities with the FSC Standard then *management objectives**, *verifiable targets** and/or management activities are revised.

8.4 *The Organization* shall* make publicly available* a summary of the results of monitoring free of charge, excluding confidential information*. (C8.5 P&C V4)*



INSTRUCTIONS FOR STANDARD DEVELOPERS: The intent of this *Criterion** is to strike a balance between minimizing the administrative burden for *The Organization** in producing a summary of the results of monitoring with ensuring that comprehensive information is provided. The entire results of monitoring can be provided if this reduces the administration burden. Examples of *Confidential Information** are provided in the Instruction under *Criterion* 7.5*.

8.4.1 A summary of the monitoring results consistent with Annex G, in a format comprehensible to stakeholders including maps and excluding *confidential information** is made *publicly available** at no cost.

8.5 *The Organization* shall* have and implement a tracking and tracing system proportionate to scale, intensity and risk* of its management activities, for demonstrating the source and volume in proportion to projected output for each year, of all products from the Management Unit* that are marketed as FSC certified. (C8.3 P&C V4)*

8.5.1 A system is implemented to track and trace all products that are marketed as FSC certified.

8.5.2 Information about all products sold is compiled and documented, including:

- 1) Common and scientific species name;
- 2) Product name or description;
- 3) Volume (or quantity) of product;
- 4) Information to trace the material to the source of origin logging block;
- 5) Logging date;
- 6) If basic processing activities take place in the forest, the date and volume produced; and
- 7) Whether or not the material was sold as FSC certified.

8.5.3 Sales invoices or similar documentation are kept for a minimum of five years for all products sold with an FSC claim, which identify at a minimum, the following information:

- 1) Name and address of purchaser;
- 2) The date of sale;
- 3) Common and scientific species name;
- 4) Product description;
- 5) The volume (or quantity) sold;
- 6) Certificate code; and
- 7) The FSC Claim "FSC 100%" identifying products sold as FSC certified.

Principle 8, Annex G: Monitoring Requirements.



INSTRUCTIONS FOR STANDARD DEVELOPERS: Monitoring is scheduled in the management planning cycles, so that monitoring results can be used in decision-making at an early stage of the planning of a new cycle. Refer to Principle 7, Annex F.

Standard Developers *shall** develop indicators to ensure that monitoring procedures are consistent and replicable over time, suitable for quantifying changes over time, and suitable for identifying *risks** and unacceptable impacts. Monitoring *shall** include the changes of the conditions of the *Management Unit**, with and without interventions. This implies that baseline data exists.

In addition to the monitoring conducted for *Criteria** 8.1 and 8.2, Standard Developers *shall** include in National Standards and Interim National Standards a list that includes the relevant elements of the monitoring requirements as listed below. This list *shall** be consistent with existing national and sub-national monitoring frameworks.

Standard Developers may also develop different lists for different types of Organizations, proportionate to the *scale**, *intensity** and *risk** of the management activities.

- 1) Monitoring in 8.2.1 is sufficient to identify and describe the environmental impacts of management activities, including where applicable:
 - i. The results of regeneration activities (*Criterion** 10.1);
 - ii. The use of ecologically well adapted species for regeneration (*Criterion** 10.2);
 - iii. Invasiveness or other adverse impacts associated with any *alien species** within and outside the *Management Unit** (*Criterion** 10.3);
 - iv. The use of *genetically modified organisms** to confirm that they are not being used (*Criterion** 10.4);
 - v. The results of silvicultural activities (*Criterion** 10.5);
 - vi. Adverse impacts to environmental values* from fertilizers* (*Criterion** 10.6);
 - vii. Adverse impacts from the use of *pesticides** (*Criterion** 10.7);
 - viii. Adverse impacts from the use of *biological control agents** (*Criterion** 10.8);
 - ix. The impacts from *natural hazards** (*Criterion** 10.9);
 - x. The impacts of infrastructural development, transport activities and silviculture to *rare and threatened species**, *habitats**, *ecosystems**, *landscape values**, water and soils (*Criterion** 10.10);
 - xi. The impacts of harvesting and extraction of timber on *non-timber forest products**, *environmental values**, merchantable wood waste and other products and services (*Criterion** 10.11); and
 - xii. Environmentally appropriate disposal of *waste materials** (*Criterion** 10.12).

- 2) Monitoring in 8.2.1 is sufficient to identify and describe social impacts of management activities, including where applicable:
- i. Evidence of illegal or unauthorized activities (*Criterion* 1.4*);
 - ii. Compliance with *applicable laws**, *local laws**, *ratified* international conventions* and obligatory *codes of practice** (*Criterion* 1.5*);
 - iii. Resolution of *disputes** and grievances (*Criterion* 1.6*, *Criterion* 2.6*, *Criterion* 4.6*);
 - iv. Programs and activities regarding *workers* rights* (*Criterion* 2.1*);
 - v. *Gender equality**, sexual harassment and gender discrimination (*Criterion* 2.2*);
 - vi. Programs and activities regarding occupational health and safety (*Criterion* 2.3*);
 - vii. Payment of wages (*Criterion* 2.4*);
 - viii. *Workers* training* (*Criterion* 2.5*);
 - ix. Where *pesticides** are used, the health of *workers** exposed to *pesticides** (*Criterion* 2.5* and *Criterion* 10.7*);
 - x. The identification of *Indigenous Peoples** and *local communities** and their *legal* and customary rights** (*Criterion* 3.1* and *Criterion* 4.1*);
 - xi. Full implementation of the terms in *binding agreements** (*Criterion* 3.2* and *Criterion* 4.2*);
 - xii. *Indigenous Peoples** and community relations (*Criterion* 3.2*, *Criterion* 3.3* and *Criterion* 4.2*);
 - xiii. *Protection** of sites of special cultural, ecological, economic, religious or spiritual significance to *Indigenous Peoples** and *local communities** (*Criterion* 3.5* and *Criterion* 4.7*);
 - xiv. *The persistence of Indigenous cultural landscapes* and associated values of significance to Indigenous Peoples* (Criterion* 3.1, Criterion* 3.5)*;
 - xv. The use of traditional knowledge* and intellectual property* (*Criterion* 3.6* and *Criterion* 4.8*);
 - xvi. Local economic and social development (*Criterion* 4.2*, *Criterion* 4.3*, *Criterion* 4.4*, *Criterion* 4.5*);
 - xvii. The production of diversified benefits and/or products (*Criterion* 5.1*);
 - xviii. The maintenance and/or enhancement of *ecosystem services** (*Criterion* 5.1*);
 - xix. Activities to maintain or enhance *ecosystem services** (*Criterion* 5.1*);
 - xx. Actual compared to projected annual harvests of timber and *non-timber forest products** (*Criterion* 5.2*);
 - xxi. The use of local processing, local services and local value added manufacturing (*Criterion* 5.4*);
 - xxii. Long term* economic viability* (*Criterion* 5.5*); and
 - xxiii. High Conservation Values* 5 and 6 identified in *Criterion* 9.1*.
- 3) Monitoring procedures in 8.2.2 are sufficient to identify and describe changes in environmental conditions including where applicable:

- i. The maintenance and/or enhancement of *ecosystem services** (*Criterion** 5.2) (when *The Organization** makes FSC promotional claims regarding the provision of *ecosystem services**, or receives payment for the provision of *ecosystem services**);
- ii. *Environmental values** and *ecosystem functions** including carbon sequestration and storage (*Criterion** 6.1); including the effectiveness of actions identified and implemented to prevent, mitigate and repair negative impacts to *environmental values** (*Criterion** 6.3);
- iii. *Rare and threatened species**, and the effectiveness of actions implemented to protect them and their *habitats** (*Criterion** 6.4);
- iv. *Representative sample areas** and the effectiveness of actions implemented to *conserve** and/or *restore** them (*Criterion** 6.5);
- v. Naturally occurring *native species** and *biological diversity** and the effectiveness of actions implemented to *conserve** and/or *restore** them (*Criterion** 6.6);
- vi. Water courses, *water bodies**, water quantity and water quality and the effectiveness of actions implemented to *conserve** and/or *restore** them (*Criterion** 6.7);
- vii. *Landscape values** and the effectiveness of actions implemented to maintain and/or *restore** them (*Criterion** 6.8);
- viii. Conversion of *natural forest** to *plantations** or conversion to non-forest* (*Criterion** 6.9);
- ix. The status of *plantations** established after 1994 (*Criterion** 6.10); and
- x. *High Conservation Values** 1 to 4 identified in *Criterion** 9.1 and the effectiveness of actions implemented to maintain and/or enhance them.

PRINCIPLE 9: *HIGH CONSERVATION VALUES**

The Organization* shall* maintain and/or enhance the High Conservation Values* in the Management Unit* through applying the precautionary approach*. (P9 P&C V4)



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers *shall** develop a National *High Conservation Value**(HCV) Framework, which is a tool for the identification, management and monitoring of *High Conservation Values** in the country.

When developing this National HCV Framework, Standard Developers *shall** consider:

- 'Common Guidance for the identification of High Conservation Values', developed by the HCV Resource Network (available on the FSC Website);
- FSC step-by-step guide for SLIMFs (available on the FSC Website);
- Relevant databases and maps;
- Global Forest Watch *Intact Forest Landscapes** maps (2015) www.globalforestwatch.org, or other maps based on a more recent and accurate *Intact Forest Landscapes** inventory using a refined methodology;
- *Culturally appropriate* engagement* with affected rights holders*, affected* and interested stakeholders*, and relevant local and regional experts;*
- FSC Guidance on Free Prior and Informed Consent (2017) currently under development by FSC International;
- Guideline for Standard Developers for addressing risk of unacceptable activities in regard to scale and intensity (2016);
- FSC Guidance on HCV Management for Forest Managers, currently under development by FSC International;
- Annexes H and I below; and
- Other available sources.

Standard Developers *shall** clarify in the National Standard and Interim National Standard how the National HCV Framework *shall** be used by *The Organization**, when identifying the *High Conservation Values** in the *Management Unit** and when developing management strategies to protect these *High Conservation Values**.

Standard Developers *shall** develop indicators that apply the principle of *Precautionary Approach**, which considers *High Conservation Values** to be *critical**, *fundamental*, *significant** or *valuable*, and therefore any threat to a *High Conservation Value** is considered to be a threat of severe or irreversible damage. Standard Developers *shall** also apply the principle of *Precautionary Approach** to the development of the National HCV Framework.

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- ~~'Common Guidance for the identification of High Conservation Values', developed by the HCV Resource Network (available on the FSC Website);~~
 - ~~FSC step-by-step guide for SLIMFs (available on the FSC Website);~~
 - ~~Annex H below; and~~
 - ~~FSC Guidance on HCV Management, currently under development by FSC International.~~
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Standard Developers ~~shall~~* clarify in the National Standard and Interim National Standard how the National HCV Framework shall be used by ~~The Organization~~*, when identifying the ~~High Conservation Values~~* in the ~~Management Unit~~* and when developing management strategies to protect these ~~High Conservation Values~~*.

Both Standard Developers and ~~The Organization~~*, when identifying ~~High Conservation Values~~*, shall* use the ~~Best Available Information~~*, including (Indicators 9.1.1 and 9.2.1):

- ~~High Conservation Value~~* surveys of the ~~Management Unit~~*;
- ~~Relevant databases and maps;~~
- ~~Consultation with relevant local and regional experts;~~
- ~~Other available sources; and/or~~
- ~~Review of the results by knowledgeable expert(s) independent of The Organization~~*.

Standard Developers ~~shall~~* develop indicators that apply the principle of ~~Precautionary Approach~~*, which considers ~~High Conservation Values~~* to be ~~critical~~*, fundamental, ~~significant~~* or valuable, and therefore any threat to a ~~High Conservation Value~~* is considered to be a threat of severe or irreversible damage. Standard Developers ~~shall~~* also apply the principle of ~~Precautionary Approach~~* to the development of the National HCV Framework.

9.1 ~~The Organization~~*, through ~~engagement~~* with ~~affected stakeholders~~*, ~~interested stakeholders~~* and other means and sources, shall* assess and record the presence and status of the following ~~High Conservation Values~~* in the ~~Management Unit~~*, proportionate to the ~~scale, intensity and risk~~* of impacts of management activities, and likelihood of the occurrence of the ~~High Conservation Values~~*:

HCV 1 – Species diversity. Concentrations of *biological diversity including endemic species, and *rare**, *threatened** or endangered species, that are *significant** at global, regional or national levels.**

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.**

HCV 3 – *Ecosystems and *habitats**. *Rare**, *threatened**, or endangered *ecosystems**, *habitats** or *refugia**.**

HCV 4 – *Critical *ecosystem services**. Basic *ecosystem services** in *critical** situations, including *protection** of water catchments and**

control of erosion of vulnerable soils and slopes.

HCV 5 – Community needs. Sites and resources fundamental for satisfying the basic necessities of *local communities or *Indigenous Peoples** (for livelihoods, health, nutrition, water, etc.), identified through *engagement** with these communities or Indigenous Peoples.**

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. (C9.1 P&C V4 and Motion 2014#7)**



Standard Developers shall* specify the *Best Available Information** that *The Organization** shall* use when identifying *High Conservation Values** (Indicator 9.1.1) including:

- *High Conservation Value** surveys and *Intact Forest Landscapes** assessments of the *Management Unit**;
- Relevant databases and maps;
- Global Forest Watch *Intact Forest Landscapes** maps (2015) www.globalforestwatch.org, or other maps based on a more recent and accurate *Intact Forest Landscapes** inventory using a refined methodology;
- *Culturally appropriate** engagement* with *affected rights holders**, *affected** and *interested stakeholders**, and relevant local and regional experts;
- ~~FSC Guidance on Free Prior and Informed Consent (2012);~~
- FSC Guidance on Free Prior and Informed Consent (2017) currently under development by FSC International;
- FSC Scale, Intensity and Risk Guidelines for Standards Developers (2016);
- Other available sources; and
- Review of the results by knowledgeable expert(s) independent of *The Organization**.

Standard Developers shall* develop indicators for the assessment of Intact Forest Landscapes* consistent with Annex H.

9.1.1 An assessment is completed using *Best Available Information** that records the location and status of *High Conservation Value** Categories 1-6, as defined in *Criterion** 9.1; the *High Conservation Value Areas** they rely upon, and their condition.

9.1.2 This assessment includes identification of *Intact Forest Landscapes**, as of January 1, 2017.

9.1.3 The assessment uses results from *culturally appropriate** engagement* with *affected rights holders** and *affected** and *interested stakeholders** with an interest in the *conservation** of the *High Conservation Values**.

9.2 *The Organization shall* develop effective strategies that maintain and/or enhance the identified *High Conservation Values**, through engagement* with *affected stakeholders**, *interested stakeholders** and experts. (C9.2 P&C V4)**



INSTRUCTIONS FOR STANDARD DEVELOPERS: For Those countries / regions with *Intact Forest Landscapes** Standard Developers shall* develop indicators that protect* 80% of the total area of *Intact Forest Landscapes** within the *Management Unit** as *core areas**, consistent with Annex H section B. Standards Developers may develop a threshold different than 80%, through processes consistent with Annex H section A.

9.2.1 Threats to High Conservation Values* are identified using Best Available Information*.

9.2.2 Management strategies and actions are developed to maintain and/or enhance the identified *High Conservation Values** and to maintain associated *High Conservation Value Areas** prior to implementing potentially harmful management activities.

9.2.3 *Affected rights holders**, *affected** and *interested stakeholders** and experts are engaged in the development of management strategies and actions to maintain and/or enhance the identified *High Conservation Values**.

9.2.4 Management strategies are developed to *protect** *core areas**.

9.2.5 The *vast majority** of each *Intact Forest Landscape** is designated as *core area**.

9.2.6 The strategies developed are effective to maintain and/or enhance the *High Conservation Values**.

9.2.7 Management strategies allow limited *industrial activity** within *core areas** only if all effects of *industrial activity** including *fragmentation**:

- 1) Are restricted to a *very limited portion of the core area**;
- 2) Do not reduce the *core area** below 50,000 ha, and
- 3) Will produce clear, substantial, additional, long-term conservation and social benefits

9.3 *The Organization shall* implement strategies and actions that maintain and/or enhance the identified *High Conservation Values**. These strategies and actions shall* implement the *precautionary approach** and be proportionate to the *scale, intensity and risk** of management activities. (C9.3 P&C V4)**

9.3.1 The *High Conservation Values** and the *High Conservation Value Areas** on which they depend are maintained and/or enhanced, including by implementing the strategies developed.

9.3.2 The strategies and actions prevent damage and avoid risks to *High Conservation Values**, even when the scientific information is incomplete or inconclusive, and when the vulnerability and sensitivity of *High Conservation Values** are uncertain.

9.3.3 *Core areas** are *protected** consistent with *Criterion** 9.2.

9.3.4 Limited *industrial activity** in *core areas** is consistent with *Indicator* 9.2.7.

9.3.5 Activities that harm *High Conservation Values** cease immediately and actions are taken to *restore** and protect the *High Conservation Values**.

9.4 *The Organization shall* demonstrate that periodic monitoring is carried out to assess changes in the status of *High Conservation Values**, and shall* adapt its management strategies to ensure their effective *protection**. The monitoring shall* be proportionate to the *scale, intensity and risk** of management activities, and shall* include *engagement** with *affected stakeholders**, *interested stakeholders** and experts. (C9.4 P&C V4)**

9.4.1 A program of periodic monitoring assesses:

- 1) Implementation of strategies;

- 2) The status of *High Conservation Values**, including *High Conservation Value Areas** on which they depend; and
 - 3) The effectiveness of the management strategies and actions for the *protection** of *High Conservation Values**, to fully maintain and/or enhance the *High Conservation Values**.
- 9.4.2 The monitoring program includes *engagement** with *affected* rights holders, affected* and *interested stakeholders** and experts.
 - 9.4.3 The monitoring program has sufficient scope, detail and frequency to detect changes in *High Conservation Values**, relative to the initial assessment and status identified for each *High Conservation Value**.
 - 9.4.4 Management strategies and actions are adapted when monitoring or other new information show that these strategies and actions are insufficient to ensure the maintenance and/or enhancement of *High Conservation Values**.

Annex H: Principle 9, Instructions for Standards Development Groups to develop indicators for *Intact Forest Landscape** *Core Areas**.



INSTRUCTIONS FOR STANDARD DEVELOPERS: For countries with *Intact Forest Landscapes** Standards Developers shall* use the following instructions for establishing:

- A. The threshold for *vast majority** of *Intact Forest Landscapes** as *core areas**; and
- B. Indicators for assessing and protecting *Intact Forest Landscapes**.

A. Threshold for *vast majority**

The definition of *vast majority** is 80% of the total area of *Intact Forest Landscapes** within the *Management Unit** as of January 1, 2017. The *vast majority** also meets or exceeds the definition of *Intact Forest Landscape**.

The threshold for *vast majority** may be established below 80% providing it achieves the greatest amount of *conservation** gains based on national or *eco-regional** considerations and still meets or exceeds the definition of *Intact Forest Landscape**.

Thresholds above 80% shall be considered in nations and/or *eco-regions* where *Intact Forest Landscapes** are relatively rare and/or *fragmented**, and/or where large amounts of *Intact Forest Landscapes** have been lost since 2000.

In developing nationally or *eco-regionally** specific thresholds of *vast majority** Standards Developers shall* consider the following:

1. Evidence to demonstrate the relative abundance of *Intact Forest Landscapes** and the level of *risk** of degradation to *Intact Forest Landscapes** from human activities, including:
 - a. Relative scarcity of *Intact Forest Landscapes** nationally or *eco-regionally**. The more scarce *Intact Forest Landscapes*, then the higher the threshold for *vast majority**;
 - b. The degree to which national or *eco-regional** *Intact Forest Landscapes** have been degraded by human activities since 2000 and are therefore, scarce, rare or *fragmented**. The quicker the degradation of *Intact Forest Landscapes*, then the higher the threshold for *vast majority**;
 - c. The types of human activities that have resulted in the degradation of *Intact Forest Landscapes** since 2000. The more damaging the human activities to the intactness of *Intact Forest Landscapes**, then the higher the threshold for *vast majority**;
 - d. The *risk** of damage to *Intact Forest Landscapes** from human activities. The greater the risk to *Intact Forest Landscapes**, then the higher the threshold for *vast majority**;
 - e. Amount and relative permanence of *protection** of *Intact Forest Landscape** *core areas** comparing different intensities of *industrial activity**. *Protection** should maintain or enhance the integrity and other ecological attributes of *Intact Forest Landscape** *core areas**. The more permanent the *protection** of *Intact Forest Landscapes**, then the lower the threshold for *vast majority**;

- f. The nature and distribution of ecological values within and adjacent to *Intact Forest Landscapes*^{*}. The greater the concentration of these values within and adjacent to *Intact Forest Landscapes*, then the higher the threshold for *vast majority*^{*};
- g. The nature and distribution of cultural values and *legal and customary rights*^{*} within and adjacent to *Intact Forest Landscapes*^{*}; and
- h. The outcomes of *culturally appropriate engagement*^{*} with *affected rights holders*^{*} *affected*^{*} and *interested stakeholders*^{*};

B: Developing Indicators for Assessing and Protecting *Intact Forest Landscapes*^{*}

Standard Developers shall^{*} consider the following information when developing indicators for *Criteria*^{*} 9.1 and 9.2.

The outcome shall^{*} be nationally or *eco-regionally*^{*} appropriate requirements to identify, assess and protect the *vast majority*^{*} of *Intact Forest Landscapes*^{*} as *core areas*^{*}.

Core areas^{*} are intended to be *protected*^{*} from activities that impact their intactness including commercial logging, mining, and the construction of roads, dams, and other infrastructure^{*}.

1. The Indicators developed for the identification and designation of *core areas*^{*} shall^{*}:
 - a. Respect the right to *free, prior and informed consent*^{*} of *affected rights holders*^{*} (Criterion 3.1 and 4.1);
 - b. Ensure the *legal*^{*} and *customary rights*^{*} of *affected rights holders*^{*} to use the *core areas*^{*} are *upheld*^{*};
 - c. Ensure that *core areas*^{*} contain the most ecologically valuable, contiguous, and intact portions of the *Intact Forest Landscapes*^{*};
 - d. Ensure the shape of *core areas*^{*} is designed to maximize their interior habitats.
 - e. Ensure that *core areas*^{*} contain habitat for *rare, threatened and endangered*^{*} species and other wildlife that depend on large contiguous areas of unaltered *forest*^{*};
 - f. Ensure that *core areas*^{*} maintain or restore *connectivity*^{*} between *core areas*^{*} both within and adjacent to the *Management Unit*^{*}; and
 - g. Ensure that *core areas*^{*} are not smaller than 50,000 ha.
2. The Indicators developed for the *protection*^{*} of *core areas*^{*} shall ensure:
 - a. The *legal*^{*} and *customary rights*^{*} of *affected rights holders*^{*} to use the *core areas*^{*} are *upheld*^{*};
 - b. *Indigenous Peoples*^{*}, traditional peoples and forest dependent communities are given priority to design and implement alternative management and *conservation*^{*} activities compatible with *protection*^{*} of *core areas*^{*};
 - c. Prevention of illegal logging, windthrow, degradation, and other edge effect impacts within *core areas*^{*};
 - d. Management of road construction and the *intensity*^{*} of other activities adjacent to *core areas*^{*} to prevent illegal logging, windthrow, degradation, and other edge effect impacts within *core areas*^{*}; and

- e. Identification of appropriate buffer zone widths adjacent to *core areas** where road construction and other activities are managed to prevent edge effect impacts within the *core areas**.
- 3. The Indicators developed for the *protection** of *core areas** shall* ensure intactness of *core areas**; considering activities that impact intactness, including commercial logging, mining, and the construction of roads, dams, and other infrastructure. Examples of management that *protects** the intactness of *core areas** include *conservation zones** as well as areas that may or not have *legal** *protection** such as set asides, reserves, deferrals, community reserves, and Indigenous protected areas.
- 4. The Indicators developed for *Intact Forest Landscapes** shall* clarify that the portions of *Intact Forest Landscapes** not designated as *Core Areas** shall be managed to protect and/or maintain *High Conservation Values** Category 2.

Principle 9, Annex I: Strategies for maintaining *High Conservation Values**



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers *shall** consider the following strategies to inform the development of indicators to maintain *High Conservation Values**

Strategies for maintaining *High Conservation Values** may not necessarily preclude harvesting. However, the only way to maintain some *High Conservation Values** will be through *protection** of the *High Conservation Value Area** that supports them.

HCV 1 – Protection zones, harvest prescriptions, and/or other strategies to protect threatened, endangered, endemic species, or other concentrations of *biological diversity** and the ecological communities and *habitats** upon which they depend, sufficient to prevent reductions in the extent, integrity, quality, and viability of the *habitats** and species occurrences. Where enhancement is identified as the *objective**, measures to develop, expand, and/or *restore** *habitats** for such species are in place.

HCV 2 – Strategies that fully maintain the extent and intactness of the *forest** *ecosystems** and the viability of their biodiversity concentrations, including plant and animal indicator species, keystone species, and/or guilds associated with large intact *natural forest** *ecosystems**. Examples include *protection** zones and set-aside areas, with any commercial activity in areas that are not set-aside being limited to *low-intensity** operations that fully maintain *forest** structure, composition, regeneration, and disturbance patterns at all times. Where enhancement is identified as the *objective**, measures to *restore** and reconnect *forest** *ecosystems**, their intactness, and *habitats** that support natural *biological diversity** are in place.

HCV 3 – Strategies that fully maintain the extent and integrity of rare or threatened *ecosystems**, *habitats**, or *refugia**. Where enhancement is identified as the *objective**, measures to *restore** and/or develop rare or threatened *ecosystems**, *habitats**, or *refugia** are in place.

HCV 4 – Strategies to protect any water catchments of importance to *local communities** located within or downstream of the *Management Unit**, and areas within the unit that are particularly unstable or susceptible to erosion. Examples may include *protection** zones, harvest prescriptions, chemical use restrictions, and/or prescriptions for road construction and maintenance, to protect water catchments and upstream and upslope areas. Where enhancement is identified as the *objective**, measures to *restore** water quality and quantity are in place. Where identified HCV 4 *ecosystem services** include climate regulation, strategies to maintain or enhance carbon sequestration and storage are in place.

HCV 5 – Strategies to protect the community's and/or *Indigenous Peoples*'* needs in relation to the *Management Unit** are developed in cooperation with representatives and members of *local communities** and *Indigenous Peoples**.

HCV 6 – Strategies to protect the cultural values are developed in cooperation with representatives and members of *local communities** and *Indigenous Peoples**.

PRINCIPLE 10: IMPLEMENTATION OF MANAGEMENT ACTIVITIES

Management activities conducted by or for *The Organization** for the *Management Unit** shall be selected and implemented consistent with *The Organization**'s economic, environmental and social policies and *objectives** and in compliance with the *Principles** and *Criteria** collectively. (new)

10.1 After harvest or in accordance with the *management plan**, *The Organization** shall, by natural or artificial regeneration methods, regenerate vegetation cover in a timely fashion to pre-harvesting or more *natural conditions**. (new)



INSTRUCTIONS FOR STANDARD DEVELOPERS: The *pre-harvest** condition can be either *plantation** or *natural forest**. Standard developers shall consider the following when developing indicators:

- For an existing *plantation**, the species harvested may be the same as the one(s) used to regenerate. However, there may be solid ecological, social and economic reasons for changing the species. The chosen species must be ecologically well adapted to the site and the *management objectives** consistent with *Criterion** 10.2.
- For alien species, use is restricted by the preference for native species at *Criterion** 10.2 and control and mitigation measures for invasive impacts at *Criterion** 10.3.
- For *natural forests**, one consideration for regeneration is to determine if the *pre-harvest** condition was the result of previous harvesting and silvicultural activities, or natural events that have left the area in a degraded condition. The *objective** should be to improve degraded areas, once harvested, to more *natural conditions**.
- For *natural forests**, an important *objective** is to ensure a relatively natural abundance of species for both population and size range, across the space of the *Management Unit**. This may be demonstrated by following the concept of 'range of natural variation', since forests do not remain static over time. This approach allows *The Organization** some flexibility on a stand level or harvest area level as long as the species diversity across the *Management Unit** is within the range of natural variation, including within managed stands, while allowing native species the possibility of migration resulting from climate change.
- The period required for regeneration is typically shorter for areas to be planted (artificial regeneration) than areas assigned or selected for natural regeneration. However, this *Criterion** does not give preference to planting as a way to shorten the period for regeneration, because in certain cases natural regeneration approaches are more suitable for achieving *The Organization**'s *objectives**, while in other cases planting programs are more suitable.
- Regeneration practices must not violate the requirements under *Principle** 6. Consistent with *Criteria** 6.9 and 6.10, these practices cannot lead to conversion, losses of genetic and species diversity measured at the *Management Unit** level, or damage to other *environmental values**.

10.1.1 Harvested sites are regenerated in a *timely manner** that:

- 1) Protects affected *environmental values**; and

- 2) Is suitable to recover overall *pre-harvest** or *natural forest** composition and structure.

10.1.2 *Regeneration activities** are implemented in a manner that:

- 1) For harvest of existing *plantations**, regenerate to the vegetation cover that existed prior to the harvest or to more *natural conditions** using ecologically well-adapted species;
- 2) For harvest of *natural forests**, regenerate to *pre-harvest** or to more *natural conditions**; or
- 3) For harvest of degraded *natural forests**, regenerate to more *natural conditions**.

10.2 The Organization* shall* use species for regeneration that are ecologically well adapted to the site and to the management objectives*. The Organization* shall* use native species* and local genotypes* for regeneration, unless there is clear and convincing justification for using others. (C10.4 and C10.8 P&C V4)



INSTRUCTIONS FOR STANDARD DEVELOPERS: If the use of non-local *genotypes** of *native species** or the use of non-native species is agreed to at the national level, then Standard Developers *shall** develop a rationale for allowing their use (Indicator 10.2.1).

This rationale may include:

- Growth rates not meeting *management objectives**;
- Yields not being viable for the local species;
- *Native species** and/or local *genotypes** becoming extinct;
- *Native species** and/or local *genotypes** not being resistant to disease and pests;
- Site stresses, such as water;
- Afforestation of degraded agriculture and range lands;

- Climate change adaptation; or
- Capacity to stock carbon.

10.2.1 *Species** chosen for regeneration are ecologically well adapted to the site, are *native species** and are of local provenance, unless clear and convincing justification is provided for using non-local *genotypes** or non-*native species**.

10.2.2 *Species* chosen for regeneration are consistent with the regeneration *objectives** and with the *management objectives**.

10.3 The Organization* shall* only use alien species* when knowledge and/or experience have shown that any invasive impacts can be controlled and effective mitigation measures are in place. (C6.9 and C10.8 P&C V4)

10.3.1 *Alien species** are used only when direct experience and/or the results of scientific research demonstrate that invasive impacts can be controlled.

10.3.2 *Alien species** are used only when effective mitigation measures are in place to control their spread outside the area in which they are established.

- 10.3.3 The spread of *invasive species** introduced by *The Organization** is controlled.
- 10.3.4 Management activities are implemented, preferably in cooperation with separate regulatory bodies where these exist, with an aim to control the invasive impacts of *alien species** that were not introduced by *The Organization**.
- 10.4 *The Organization** shall* not use *genetically modified organisms** in the *Management Unit**. (C6.8 P&C V4)**
- 10.4.1 *Genetically modified organisms** are not used.
- 10.5 *The Organization** shall* use silvicultural practices that are ecologically appropriate for the vegetation, species, sites and *management objectives**. (new)**
- 10.5.1 Silvicultural practices are implemented that are ecologically appropriate for the vegetation, species, sites and *management objectives**.
- 10.6 *The Organization** shall* minimize or avoid the use of *fertilizers**. When *fertilizers** are used, *The Organization** shall* demonstrate that use is equally or more ecologically and economically beneficial than use of silvicultural systems that do not require fertilizers, and prevent, mitigate, and/or repair damage to *environmental values**, including soils. (C10.7 P&C V4 and Motion 2014#7)**



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers shall*

develop indicators to ensure that where *fertilizers** are used, buffer zones that exclude the use of *fertilizers** around rare plant communities, *riparian zones**, *watercourses** and *water bodies** are included in National Standards and Interim National Standards (Indicator 10.6.4).

- 10.6.1 The use of *fertilizers** is minimized or avoided.
- 10.6.2 When *fertilizers** are used, their ecological and economic benefits are equal to or higher than those of silvicultural systems that do not require *fertilizers**.
- 10.6.3 When *fertilizers** are used, their types, rates, frequencies and site of application are documented.
- 10.6.4 When *fertilizers** are used, *environmental values** are protected, including through implementation of measures to prevent damage.
- 10.6.5 Damage to *environmental values** resulting from *fertilizer** use is mitigated or repaired.
- 10.7 *The Organization** shall* use integrated pest management and *silviculture** systems which avoid, or aim at eliminating, the use of chemical *pesticides**. *The Organization** shall* not use any chemical *pesticides** prohibited by FSC policy. When *pesticides** are used, *The Organization** shall* prevent, mitigate, and/or repair damage to *environmental values** and human health. (C6.6 and C10.7 P&C V4)**



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers shall* include the relevant aspects of the '*FSC Guide to integrated pest, disease and weed management in FSC certified forests and plantations*' (2009) and associated policies, guidelines, advice notes and other FSC normative documents for the development of indicators (Indicator 10.7.1).

Standard Developers *shall** either reference or include the relevant aspects of the ILO document “*Safety in the use of chemicals at work*” (Geneva, ILO, 1993) or any national interpretation of this document in National Standards and Interim National Standards (Indicator 10.7.4).

- 10.7.1 Integrated pest management, including selection of *silviculture** systems, is used to avoid, or aim to eliminate, the frequency, extent and amount of chemical *pesticide** applications, and result in non-use or overall reductions in applications.
- 10.7.2 Chemical *pesticides** prohibited by FSC’s Pesticide Policy are not used or stored in the *Management Unit** unless FSC has granted derogation.
- 10.7.3 Records of *pesticide** usage are maintained, including trade name, active ingredient, quantity of active ingredient used, period of use, location and area of use and reason for use.
- 10.7.4 The use of *pesticides** complies with the ILO document “Safety in the use of chemicals at work” regarding requirements for the transport, storage, handling, application and emergency procedures for cleanup following accidental spillages.
- 10.7.5 If *pesticides** are used, application methods minimize quantities used, while achieving effective results, and provide effective *protection** to surrounding *landscapes**.
- 10.7.6 Damage to *environmental values** and human health from *pesticide** use is prevented and mitigated or repaired where damage occurs.
- 10.7.7 When *pesticides** are used:
 - 1) The selected *pesticide**, application method, timing and pattern of use offers the least risk to humans and non-target species; and
 - 2) Objective evidence demonstrates that the *pesticide** is the only effective, practical and cost effective way to control the pest.

10.8 The Organization* shall* minimize, monitor* and strictly control the use of biological control agents* in accordance with internationally accepted scientific protocols*. When biological control agents* are used, The Organization* shall* prevent, mitigate, and/or repair damage to environmental values*. (C6.8 P&C V4)



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers *shall** either reference or include the relevant aspects of *internationally accepted scientific protocols** associated with *biological control agents** including the FAO Code of Conduct for the Import and Release of Exotic Biological Control and any national regulations, where these exist (Indicator 10.8.2).

- 10.8.1 The use of *biological control agents** is minimized, *monitored** and controlled.
- 10.8.2 Use of biological control agents* complies with *internationally accepted scientific protocols**.
- 10.8.3 The use of *biological control agents** is recorded including type, quantity, period, location and reason for use.

10.8.4 Damage to *environmental values** caused by the use of *biological control agents** is prevented and mitigated or repaired where damage occurs.

10.9 The Organization* shall* assess risks* and implement activities that reduce potential negative impacts from natural hazards* proportionate to scale, intensity, and risk*. (new)



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers *should** identify the frequency, distribution and severity of natural hazards that occur regionally and nationally (Indicator 10.9.1).

In addition, Standard Developers *should** identify both those *risks** that can be

increased by management activities (Indicator 10.9.3) and potential means to mitigate the increased *risk** (Indicator 10.9.4).

Recognizing that *natural hazards** also include natural disturbances such as wind and fire, mitigation of the impact of *natural hazards** *should** focus in these cases on ensuring resilience as opposed to attempting to control or prevent the *natural hazards** (Indicators 10.9.2 and 10.9.4).

10.9.1 Potential negative impacts of *natural hazards** on *infrastructure**, *forest** resources and communities in the *Management Unit** are assessed.

10.9.2 Management activities mitigate these impacts.

10.9.3 The *risk** for management activities to increase the frequency, distribution or severity of *natural hazards** is identified for those *hazards** that may be influenced by management.

10.9.4 Management activities are modified and/or measures are developed and implemented that reduce the identified *risks**.

10.10 The Organization* shall* manage infrastructural development*, transport activities and silviculture* so that water resources and soils are protected, and disturbance of and damage to rare and threatened species*, habitats*, ecosystems* and landscape values* are prevented, mitigated and/or repaired. (C6.5 P&C V4)

10.10.1 Development, maintenance and use of *infrastructure**, as well as transport activities, are managed to protect *environmental values** identified in *Criterion** 6.1.

10.10.2 *Silviculture** activities are managed to ensure protection of the *environmental values** identified in *Criterion** 6.1.

10.10.3 Disturbance or damages to *water courses**, *water bodies**, soils, *rare and threatened species**, *habitats**, *ecosystems** and *landscape values** are prevented, mitigated and repaired in a *timely manner**, and management activities modified to prevent further damage.

10.11 The Organization* shall* manage activities associated with harvesting and extraction of timber and non-timber forest products* so that environmental values* are conserved, merchantable waste is reduced, and damage to other products and services is avoided. (C5.3 and C6.5 P&C V4)



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers *should** either reference or include the relevant aspects of these documents where they apply at the national level (Indicators 10.11.1 and 10.11.4):

- The FAO Model Code of Forest Harvesting Practice;
- Reduced Impact Logging Documents.

Standard Developers *shall** develop indicators to prevent *high grading** (Indicator 10.11.2).

10.11.1 Harvesting and extraction practices for timber and *non-timber forest products** are implemented in a manner that conserves *environmental values** as identified in *Criterion** 6.1 and *High Conservation Values** identified in *Criteria** 9.1 and 9.2.

10.11.2 Harvesting practices optimize the use of *forest** products and merchantable materials.

10.11.3 Sufficient amounts of dead and decaying biomass and *forest** structure are retained to conserve *environmental values**.

10.11.4 Harvesting practices avoid damage to standing residual trees, residual woody debris on the ground and other *environmental values**.

10.12 *The Organization shall* dispose of waste materials* in an environmentally appropriate manner. (C6.7 P&C V4)**



INSTRUCTIONS FOR STANDARD DEVELOPERS: Standard Developers *shall** either reference national regulations that address the disposal of *waste materials** in an environmentally appropriate manner, or, where national regulations are insufficient or do not exist, develop additional indicators.

10.12.1 Collection, clean up, transportation and disposal of all *waste materials** is done in an environmentally appropriate way that conserves *environmental values** as identified in *Criterion** 6.1.

G Glossary of Terms

Normative definitions for terms are given in FSC-STD-01-002 FSC Glossary of Terms apply. This glossary includes internationally accepted definitions whenever possible. These sources include, for instance, the Food and Agriculture Organization of the United Nations (FAO), the Convention on Biological Diversity (1992), the Millennium Ecosystem Assessment (2005) as well as definitions from online glossaries as provided on the websites of the World Conservation Union (IUCN), the International Labour Organization (ILO) and the Invasive Alien Species Programme of the Convention on Biological Diversity. When other sources have been used they are referenced accordingly.

The term 'based on' means that a definition was adapted from an existing definition as provided in an international source.

Words used in the International Generic Indicators, if not defined in this Glossary of Terms or other normative FSC documents, are used as defined in the Shorter Oxford English Dictionary or the Concise Oxford Dictionary.

Adaptive management: A systematic process of continually improving management policies and practices by learning from the outcomes of existing measures (Source: Based on World Conservation Union (IUCN). Glossary definitions as provided on IUCN website).

Affected stakeholder: Any person, group of persons or entity that is or is likely to be subject to the effects of the activities of a Management Unit. Examples include, but are not restricted to (for example in the case of downstream landowners), persons, groups of persons or entities located in the neighborhood of the Management Unit.

The following are examples of affected stakeholders:

- Local communities
- Indigenous Peoples
- Workers
- Forest dwellers
- Neighbors
- Downstream landowners
- Local processors
- Local businesses
- Tenure and use rights holders, including landowners
- Organizations authorized or known to act on behalf of affected stakeholders, for example social and environmental NGOs, labor unions, etc.

(Source: FSC-STD-01-001 V5-0).

Affected Rights Holder: Persons and groups, including *Indigenous Peoples**, *traditional peoples** and *local communities** with legal or customary rights* whose free, prior and informed consent* is required to determine management decisions.

Alien species: A species, subspecies or lower taxon, introduced outside its natural past or present distribution; includes any part, gametes, seeds, eggs, or propagules of such species that might survive and subsequently reproduce (Source: Convention on Biological Diversity (CBD), Invasive Alien Species Programme. Glossary of Terms as provided on CBD website).

Applicable law: Means applicable to *The Organization** as a *legal** person or business enterprise in or for the benefit of the Management Unit and those laws which affect the implementation of the FSC Principles and Criteria. This includes any combination of statutory law (Parliamentary-approved) and case law (court

interpretations), subsidiary regulations, associated administrative procedures, and the national constitution (if present) which invariably takes *legal** precedence over all other *legal** instruments (Source: FSC-STD-01-001 V5-0).

Aquifer: A formation, group of formations, or part of a formation that contains sufficient saturated permeable material to yield significant quantities of water to wells and springs for that unit to have economic value as a source of water in that region. (Source: Gratzfeld, J. 2003. Extractive Industries in Arid and Semi-Arid Zones. World Conservation Union (IUCN)).

Best Available Information: Data, facts, documents, expert opinions, and results of field surveys or consultations with stakeholders that are most credible, accurate, complete, and/or pertinent and that can be obtained through *reasonable** effort and cost, subject to the *scale** and *intensity** of the management activities and the *Precautionary Approach**.

Binding Agreement: A deal or pact, written or not, which is compulsory to its signatories and enforceable by law. Parties involved in the agreement do so freely and accept it voluntarily.

Biological diversity: The variability among living organisms from all sources including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are a part; this includes diversity within species, between species and of ecosystems (Source: Convention on Biological Diversity 1992, Article 2).

Biological control agents: Organisms used to eliminate or regulate the population of other organisms (Source: Based on FSC-STD-01-001 V4-0 and World Conservation Union (IUCN). Glossary definitions as provided on IUCN website).

Confidential information: Private facts, data and content that, if made publicly available, might put at risk *The Organization**, its business interests or its relationships with stakeholders, clients and competitors.

Conflicts between the Principles and Criteria and laws: Situations where it is not possible to comply with the Principles and Criteria and a law at the same time (Source: FSC-STD-01-001 V5-0).

Connectivity: A measure of how connected or spatially continuous a corridor, network, or matrix is. The fewer gaps, the higher the connectivity. Related to the structural connectivity concept; functional or behavioral connectivity refers to how connected an area is for a process, such as an animal moving through different types of landscape elements. Aquatic connectivity deals with the accessibility and transport of materials and organisms, through groundwater and surface water, between different patches of aquatic ecosystems of all kinds. (Source: Based on R.T.T. Forman. 1995. Land Mosaics. The Ecology of Landscapes and Regions. Cambridge University Press, 632pp).

Conservation/Protection: These words are used interchangeably when referring to management activities designed to maintain the identified environmental or cultural values in existence long-term. Management activities may range from zero or minimal interventions to a specified range of appropriate interventions and activities designed to maintain, or compatible with maintaining, these identified values (Source: FSC-STD-01-001 V5-0).

Conservation Areas Network: Those portions of the Management Unit* for which conservation is the primary and, in some circumstances, exclusive objective; such areas include *representative sample areas**, *conservation zones**, *protection areas**, *connectivity** areas and *High Conservation Value Areas**.

Conservation zones and protection areas: Defined areas that are designated and managed primarily to safeguard species, habitats, ecosystems, natural features or

other site-specific values because of their natural environmental or cultural values, or for purposes of monitoring, evaluation or research, not necessarily excluding other management activities. For the purposes of the Principles and Criteria, these terms are used interchangeably, without implying that one always has a higher degree of conservation or protection than the other. The term 'protected area' is not used for these areas, because this term implies *legal** or official status, covered by national regulations in many countries. In the context of the Principles and Criteria, management of these areas should involve active conservation, not passive protection' (Source: FSC-STD-01-001 V5-0).

Core area: The portion of each *Intact Forest Landscape** designated to contain the most important cultural and ecological values. *Core areas** are managed to exclude industrial activity*. *Core Areas** meet or exceed the definition of *Intact Forest Landscape**.

Critical: The concept of criticality or fundamentality in Principal 9 and HCVs relates to irreplaceability and to cases where loss or major damage to this HCV would cause serious prejudice or suffering to affected stakeholders. An ecosystem service is considered to be critical (HCV 4) where a disruption of that service is likely to cause, or poses a threat of, severe negative impacts on the welfare, health or survival of local communities, on the environment, on HCVs, or on the functioning of significant infrastructure (roads, dams, buildings etc.). The notion of criticality here refers to the importance and risk for natural resources and environmental and socio-economic values (Source: FSC-STD-01-001 V5-0).

Criterion (pl. Criteria): A means of judging whether or not a Principle (of forest stewardship) has been fulfilled (Source: FSC-STD-01-001 V4-0).

Culturally appropriate [mechanisms]: Means/approaches for outreach to target groups that are in harmony with the customs, values, sensitivities, and ways of life of the target audience.

Customary law: Interrelated sets of customary rights may be recognized as customary law. In some jurisdictions, customary law is equivalent to statutory law, within its defined area of competence and may replace the statutory law for defined ethnic or other social groups. In some jurisdictions customary law complements statutory law and is applied in specified circumstances (Source: Based on N.L. Peluso and P. Vandergeest. 2001. Genealogies of the political forest and customary rights in Indonesia, Malaysia and Thailand, *Journal of Asian Studies* 60(3):761–812).

Customary rights: Rights which result from a long series of habitual or customary actions, constantly repeated, which have, by such repetition and by uninterrupted acquiescence, acquired the force of a law within a geographical or sociological unit (Source: FSC-STD-01-001 V4-0).

Dispute: for the purpose of the IGI, this is an expression of dissatisfaction by any person or organization presented as a complaint to *The Organization**, relating to its management activities or its conformity with the FSC Principles and Criteria, where a response is expected (Source: based on FSC-PRO-01-005 V3-0 Processing Appeals).

Dispute of substantial duration: *Dispute** that continues for more than twice as long as the predefined timelines in the FSC System (this is, for more than 6 months after receiving the complaint, based on FSC-STD-20-001).

Dispute of substantial magnitude: For the purpose of the International Generic Indicators, a *dispute** of substantial magnitude is a *dispute** that involves one or more of the following:

- Affects the *legal** or *customary rights** of *Indigenous Peoples** and *local communities**;

- Where the negative impact of management activities is of such a scale that it cannot be reversed or mitigated;
- Physical violence;
- Destruction of property;
- Presence of military bodies;
- Acts of intimidation against *forest* workers** and *stakeholders**.

This list should be adapted or expanded by Standard Developers.

Economic viability: The capability of developing and surviving as a relatively independent social, economic or political unit. Economic viability may require but is not synonymous with profitability (Source: Based on the definition provided on the website of the European Environment Agency).

Eco-regional: Large unit of land or water containing a geographically distinct assemblage of species, natural communities, and environmental conditions (Source: WWF Global 200. http://www.panda.org/about_our_earth/ecoregions/about/what_is_an_ecoregion/).

Ecosystem: A dynamic complex of plant, animal and micro-organism communities and their non-living environment interacting as a functional unit (Source: Convention on Biological Diversity 1992, Article 2).

Ecosystem function: An intrinsic ecosystem characteristic related to the set of conditions and processes whereby an ecosystem maintains its integrity (such as primary productivity, food chain, biogeochemical cycles). Ecosystem functions include such processes as decomposition, production, nutrient cycling, and fluxes of nutrients and energy. For FSC purposes, this definition includes ecological and evolutionary processes such as gene flow and disturbance regimes, regeneration cycles and ecological seral development (succession) stages. (Source: Based on R. Hassan, R. Scholes and N. Ash. 2005. Ecosystems and Human Well-being: Synthesis. The Millennium Ecosystem Assessment Series. Island Press, Washington DC; and R.F. Noss. 1990. Indicators for monitoring biodiversity: a hierarchical approach. Conservation Biology 4(4):355–364).

Ecosystem services: The benefits people obtain from ecosystems. These include:

- provisioning services such as food, forest products and water;
- regulating services such as regulation of floods, drought, land degradation, air quality, climate and disease;
- supporting services such as soil formation and nutrient cycling; and
- cultural services and cultural values such as recreational, spiritual, religious and other non-material benefits.

(Source: Based on R. Hassan, R. Scholes and N. Ash. 2005. Ecosystems and Human Well-being: Synthesis. The Millennium Ecosystem Assessment Series. Island Press, Washington DC).

Engaging / engagement: The process by which The Organization communicates, consults and/or provides for the participation of interested and/or affected stakeholders ensuring that their concerns, desires, expectations, needs, rights and opportunities are considered in the establishment, implementation and updating of the *management plan** (Source: FSC-STD-01-001 V5-0).

Environmental Impact Assessment (EIA): Systematic process used to identify potential environmental and social impacts of proposed projects, to evaluate alternative approaches, and to design and incorporate appropriate prevention, mitigation, management and monitoring measures (Source: based on Environmental impact assessment, guidelines for FAO field projects. Food and agriculture organization of the United Nations (FAO). Rome, -STD-01-001 V5-0).

Environmental values: The following set of elements of the biophysical and human environment:

- ecosystem functions (including carbon sequestration and storage);
- biological diversity;
- water resources;
- soils;
- atmosphere;
- landscape values (including cultural and spiritual values).

The actual worth attributed to these elements depends on human and societal perceptions (Source: FSC-STD-01-001 V5-0).

Externalities: The positive and negative impacts of activities on stakeholders that are not directly involved in those activities, or on a natural resource or the environment, which do not usually enter standard cost accounting systems, such that the market prices of the products of those activities do not reflect the full costs or benefits (Source: FSC-STD-01-001 V5-0).

Fair compensation: Remuneration that is proportionate to the magnitude and type of services rendered by another party or of the harm that is attributable to the first party.

Fertilizer: Mineral or organic substances, most commonly N, P₂O₅ and K₂O, which are applied to soil for the purpose of enhancing plant growth.

Focal species: Species whose requirements for persistence define the attributes that must be present if that landscape is to meet the requirements of the species that occur there (Source: Lambeck, R., J. 1997. Focal Species: A multi-species Umbrella for Nature Conservation. Conservation Biology vol 11 (4): 849-856.).

Forest: A tract of land dominated by trees (Source: FSC-STD-01-001 V5-0. Derived from FSC Guidelines for Certification Bodies, Scope of Forest Certification, Section 2.1 first published in 1998, and revised as FSC-GUI-20-200 in 2005, and revised again in 2010 as FSC-DIR-20-007 FSC Directive on Forest Management Evaluations, ADVICE-20-007-01).

Formal and informal workers organization: association or union of *workers**, whether recognized by law or by *The Organization** or neither, which have the aim of promoting *workers** rights and to represent *workers** in dealings with *The Organization** particularly regarding working conditions and compensation.

Fragmentation: The process of dividing habitats into smaller patches, which results in the loss of original habitat, loss in connectivity, reduction in patch size, and increasing isolation of patches. *Fragmentation** is considered to be one of the single most important factors leading to loss of native species, especially in forested landscapes, and one of the primary causes of the present extinction crisis. In reference to *Intact Forest Landscapes**, the *fragmentation** of concern is understood to be that caused by human industrial activities. (SOURCE: Adapted from: Gerald E. Heilman, Jr. James R. Strittholt Nicholas C. Slosser Dominick A. Dellasala, *BioScience* (2002) 52 (5): 411-422.)

Free, Prior, and Informed Consent (FPIC): A *legal** condition whereby a person or community can be said to have given consent to an action prior to its commencement, based upon a clear appreciation and understanding of the facts, implications and future consequences of that action, and the possession of all relevant facts* at the time when consent is given. Free, prior and informed consent includes the right to grant, modify, withhold or withdraw approval (Source: Based on the Preliminary working paper on the principle of Free, Prior and Informed Consent of Indigenous Peoples (...) (E/CN.4/Sub.2/AC.4/2004/4 8 July 2004) of the 22nd Session of the United Nations Commission on Human Rights, Sub-commission on

the Promotion and Protection of Human Rights, Working Group on Indigenous Populations, 19–23 July 2004).

Gender equality: Gender equality or gender equity means that women and men have equal conditions for realizing their full human rights and for contributing to, and benefiting from, economic, social, cultural and political development (Source: Adapted from FAO, IFAD and ILO workshop on 'Gaps, trends and current research in gender dimensions of agricultural and rural employment: differentiated pathways out of poverty', Rome, 31 March to 2 April 2009.).

Genetically modified organism: An organism in which the genetic material has been altered in a way that does not occur naturally by mating and/or natural recombination. (Source: Based on FSC-POL-30-602 FSC Interpretation on GMO (Genetically Modified Organisms)).

Genotype: The genetic constitution of an organism (Source: FSC-STD-01-001 V5-0).

Grassland: Land covered with herbaceous plants with less than 10% tree and shrub cover (Source: UNEP, cited in FAO. 2002. Second Expert Meeting on Harmonizing Forest-Related Definitions for use by various stakeholders).

Habitat: The place or type of site where an organism or population occurs (Source: Based on the Convention on Biological Diversity, Article 2).

Habitat features: *Forest** stand attributes and structures, including but not limited to:

- Old commercial and non-commercial trees whose age noticeably exceeds the average age of the main canopy;
- Trees with special ecological value;
- Vertical and horizontal complexity;
- Standing dead trees;
- Dead fallen wood;
- Forest openings attributable to natural disturbances;
- Nesting sites;
- Small wetlands, bogs, fens;
- Ponds;
- Areas for procreation;
- Areas for feeding and shelter, including seasonal cycles of breeding;
- Areas for migration;
- Areas for hibernation.

High Conservation Value (HCV): Any of the following values:

- HCV1: Species Diversity. Concentrations of *biological diversity** including endemic species, and rare, *threatened or endangered** species, that are significant at global, regional or national levels.
- HCV 2: Landscape-level ecosystems and mosaics. Intact Forest Landscapes, 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.
- HCV 3: Ecosystems and habitats. Rare, threatened, or endangered ecosystems, *habitats** or *refugia**.

- HCV 4: Critical ecosystem services. Basic *ecosystem services** in critical situations, including protection of water catchments and control of erosion of vulnerable soils and slopes.
- HCV 5: Community needs. Sites and resources fundamental for satisfying the basic necessities of local communities or *Indigenous Peoples** (for example for livelihoods, health, nutrition, water), identified through engagement with these communities or *Indigenous Peoples**.
- 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**.

(Source: based on FSC-STD-01-001 V5-0).

High Conservation Value Areas: Zones and physical spaces which possess and/or are needed for the existence and maintenance of identified *High Conservation Values**.

High grading: High grading is a tree removal practice in which only the best quality, most valuable timber trees are removed, often without regenerating new tree seedlings or removing the remaining poor quality and suppressed understory trees and, in doing so, degrading the ecological health and commercial value of the forest. High grading stands as a counterpoint to sustainable resource management (Source: based on Glossary of Forest Management Terms. North Carolina Division of Forest Resources. March 2009).

Indicator: A quantitative or qualitative variable which can be measured or described, and which provides a means of judging whether a *Management Unit** complies with the requirements of an FSC Criterion. Indicators and the associated thresholds thereby define the requirements for responsible forest management at the level of the *Management Unit** and are the primary basis of forest evaluation (Source: FSC-STD-01-002 V1-0 FSC Glossary of Terms (2009)).

Indigenous cultural landscapes: *Indigenous cultural landscapes** are living landscapes to which *Indigenous Peoples** attribute environmental, social, cultural and economic value because of their enduring relationship with the land, water, fauna, flora and spirits and their present and future importance to their cultural identity. An *Indigenous cultural landscape** is characterized by features that have been maintained through long-term interactions based on land-care knowledge, and adaptive livelihood practices. They are landscapes over which *Indigenous Peoples** exercise responsibility for stewardship.

NOTE: The adoption of the term *Indigenous cultural landscapes** is voluntary by Standard Development Groups. Standard Development Groups may choose not to use it. Through *Free Prior and Informed Consent** *Indigenous Peoples** may choose to use different terminology

Indigenous Peoples: People and groups of people that can be identified or characterized as follows:

- The key characteristic or Criterion is self-identification as Indigenous Peoples at the individual level and acceptance by the community as their member;
- Historical continuity with pre-colonial and/or pre-settler societies;
- Strong link to territories and surrounding natural resources;

- Distinct social, economic or political systems;
- Distinct language, culture and beliefs;
- Form non-dominant groups of society;
- Resolve to maintain and reproduce their ancestral environments and systems as distinctive peoples and communities.

(Source: Adapted from United Nations Permanent Forum on Indigenous, Factsheet 'Who are Indigenous Peoples' October 2007; United Nations Development Group, 'Guidelines on Indigenous Peoples' Issues' United Nations 2009, United Nations Declaration on the Rights of Indigenous Peoples, 13 September 2007).

Industrial activity: Industrial forest and resource management activities such as road building, mining, dams, urban development and timber harvesting.

Infrastructure: In the context of forest management, roads, bridges, culverts, log landings, quarries, impoundments, buildings and other structures required in the course of implementing the *management plan**.

Intact Forest Landscape: a territory within today's global extent of forest cover which contains forest and non-forest ecosystems minimally influenced by human economic activity, with an area of at least 500 km² (50,000 ha) and a minimal width of 10 km (measured as the diameter of a circle that is entirely inscribed within the boundaries of the territory) (Source: Intact Forests / Global Forest Watch. Glossary definition as provided on Intact Forest website. 2006-2014).

Intellectual property: Practices as well as knowledge, innovations and other creations of the mind (Source: Based on the Convention on Biological Diversity, Article 8(j); and World Intellectual Property Organization. What is Intellectual Property? WIPO Publication No. 450(E)).

Intensity: A measure of the force, severity or strength of a management activity or other occurrence affecting the nature of the activity's impacts (Source: FSC-STD-01-001 V5-0).

Interested stakeholder: Any person, group of persons, or entity that has shown an interest, or is known to have an interest, in the activities of a Management Unit. The following are examples of interested stakeholders.

- Conservation organizations, for example environmental NGOs;
- Labor (rights) organizations, for example labor unions;
- Human rights organizations, for example social NGOs;
- Local development projects;
- Local governments;
- National government departments functioning in the region;
- FSC National Offices;
- Experts on particular issues, for example High Conservation Values.

(Source: FSC-STD-01-001 V5-0)

Internationally accepted scientific protocol: A predefined science-based procedure which is either published by an international scientific network or union, or referenced frequently in the international scientific literature (Source: FSC-STD-01-001 V5-0).

Invasive species: Species that are rapidly expanding outside of their native range. Invasive species can alter ecological relationships among native species and can affect ecosystem function and human health (Source: Based on World Conservation Union (IUCN). Glossary definitions as provided on IUCN website).

Lands and territories: For the purposes of the Principles and Criteria these are lands or territories that Indigenous Peoples or local communities have traditionally owned, or customarily used or occupied, and where access to natural resources is vital to the sustainability of their cultures and livelihoods (Source: Based on World Bank safeguard OP 4.10 Indigenous Peoples, section 16 (a). July 2005.).

Landscape: A geographical mosaic composed of interacting ecosystems resulting from the influence of geological, topographical, soil, climatic, biotic and human interactions in a given area (Source: Based on World Conservation Union (IUCN). Glossary definitions as provided on IUCN website).

Landscape values: Landscape values can be visualized as layers of human perceptions overlaid on the physical landscape. Some landscape values, like economic, recreation, subsistence value or visual quality are closely related to physical landscape attributes. Other landscape values such as intrinsic or spiritual value are more symbolic in character and are influenced more by individual perception or social construction than physical landscape attributes (Source: Based on website of the Landscape Value Institute).

Legal: In accordance with primary legislation (national or local laws) or secondary legislation (subsidiary regulations, decrees, orders, etc.). 'Legal' also includes rule-based decisions made by legally competent agencies where such decisions flow directly and logically from the laws and regulations. Decisions made by legally competent agencies may not be legal if they do not flow directly and logically from the laws and regulations and if they are not rule-based but use administrative discretion (Source: FSC-STD-01-001 V5-0).

Legally competent: Mandated in law to perform a certain function (Source: FSC-STD-01-001 V5-0).

Legal registration: National or local *legal*^{*} license or set of permissions to operate as an enterprise, with rights to buy and sell products and/or services commercially. The license or permissions can apply to an individual, a privately-owned enterprise or a publicly-owned corporate entity. The rights to buy and sell products and/or services do not carry the obligation to do so, so *legal*^{*} registration applies also to Organizations operating a Management Unit without sales of products or services; for example, for unpriced recreation or for conservation of biodiversity or habitat (Source: FSC-STD-01-001 V5-0).

Legal status: The way in which the Management Unit is classified according to law. In terms of tenure, it means the category of tenure, such as communal land or leasehold or freehold or State land or government land, etc. If the Management Unit is being converted from one category to another (for example, from State land to communal indigenous land) the status includes the current position in the transition process. In terms of administration, legal status could mean that the land is owned by the nation as a whole, is administered on behalf of the nation by a government department, and is leased by a government Ministry to a private sector operator through a concession (Source: FSC-STD-01-001 V5-0).

Living wage: The remuneration received for a standard work week by a worker in a particular place sufficient to afford a decent standard of living for the worker and her or his family. Elements of a decent standard of living include food, water, housing, education, health care, transport, clothing, and other essential needs including provision for unexpected events (Source: A Shared Approach to a Living Wage. ISEAL Living Wage Group. November 2013).

Local communities: Communities of any size that are in or adjacent to the Management Unit, and also those that are close enough to have a significant impact on the economy or the environmental values of the Management Unit or to have their economies, rights or environments significantly affected by the management

activities or the biophysical aspects of the Management Unit (Source: FSC-STD-01-001 V5-0).

Local laws: The whole suite of primary and secondary laws (acts, ordinances, statutes, decrees) which is limited in application to a particular geographic district within a national territory, as well as secondary regulations, and tertiary administrative procedures (rules / requirements) that derive their authority directly and explicitly from these primary and secondary laws. Laws derive authority ultimately from the Westphalian concept of sovereignty of the Nation State (Source: FSC-STD-01-001 V5-0).

Long-term: The time-scale of the forest owner or manager as manifested by the objectives of the *management plan*^{*}, the rate of harvesting, and the commitment to maintain permanent forest cover. The length of time involved will vary according to the context and ecological conditions, and will be a function of how long it takes a given ecosystem to recover its natural structure and composition following harvesting or disturbance, or to produce mature or primary conditions (Source: FSC-STD-01-002 V1-0 FSC Glossary of Terms (2009)).

Management objective: Specific management goals, practices, outcomes, and approaches established to achieve the requirements of this standard.

Management plan: The collection of documents, reports, records and maps that describe, justify and regulate the activities carried out by any manager, staff or organization within or in relation to the Management Unit, including statements of objectives and policies (Source: FSC-STD-01-001 V5-0).

Management plan monitoring: Follow up and oversight procedures for the purpose of evaluating the achievement of the *management objectives*^{*}. The results of the monitoring activities are utilized in the implementation of *adaptive management*^{*}.

Management Unit: A spatial area or areas submitted for FSC certification with clearly defined boundaries managed to a set of explicit long term management objectives which are expressed in a *management plan*^{*}. This area or areas include(s):

- all facilities and area(s) within or adjacent to this spatial area or areas under *legal*^{*} title or management control of, or operated by or on behalf of *The Organization*, for the purpose of contributing to the management objectives; and
- all facilities and area(s) outside, and not adjacent to this spatial area or areas and operated by or on behalf of *The Organization*^{*}, solely for the purpose of contributing to the management objectives.

(Source: FSC-STD-01-001 V5-0).

Managerial control: Responsibility of the kind defined for corporate directors of commercial enterprises in national commercial law, and treated by FSC as applicable also to public sector organizations (Source: FSC-STD-01-001 V5-0).

National laws: The whole suite of primary and secondary laws (acts, ordinances, statutes, decrees), which is applicable to a national territory, as well as secondary regulations, and tertiary administrative procedures (rules / requirements) that derive their authority directly and explicitly from these primary and secondary laws (Source: FSC-STD-01-001 V5-0).

Native species: Species, subspecies, or lower taxon, occurring within its natural range (past or present) and dispersal potential (that is, within the range it occupies naturally or could occupy without direct or indirect introduction or care by humans) (Source: Convention on Biological Diversity (CBD). Invasive Alien Species Programme. Glossary of Terms as provided on CBD website).

Natural conditions/native ecosystem: For the purposes of the Principles and Criteria and any applications of restoration techniques, terms such as 'more natural conditions', 'native ecosystem' provide for managing sites to favor or restore native species and associations of native species that are typical of the locality, and for managing these associations and other environmental values so that they form ecosystems typical of the locality. Further guidelines may be provided in FSC Forest Stewardship Standards (Source: FSC-STD-01-001 V5-0).

Natural forest: A forest area with many of the principal characteristics and key elements of native ecosystems, such as complexity, structure and biological diversity, including soil characteristics, flora and fauna, in which all or almost all the trees are native species, not classified as plantations.

'Natural forest' includes the following categories:

- Forest affected by harvesting or other disturbances, in which trees are being or have been regenerated by a combination of natural and artificial regeneration with species typical of natural forests in that site, and where many of the above-ground and below-ground characteristics of the natural forest are still present. In boreal and north temperate forests which are naturally composed of only one or few tree species, a combination of natural and artificial regeneration to regenerate forest of the same native species, with most of the principal characteristics and key elements of native ecosystems of that site, is not by itself considered as conversion to plantations;
- Natural forests which are maintained by traditional silvicultural practices including natural or assisted natural regeneration;
- Well-developed secondary or colonizing forest of native species which has regenerated in non-forest areas;
- The definition of 'natural forest' may include areas described as wooded ecosystems, woodland and savannah.

The description of natural forests and their principal characteristics and key elements may be further defined in FSC Forest Stewardship Standards, with appropriate descriptions or examples.

'Natural forest' does not include land which is not dominated by trees, was previously not forest, and which does not yet contain many of the characteristics and elements of native ecosystems. Young regeneration may be considered as natural forest after some years of ecological progression. FSC Forest Stewardship Standards may indicate when such areas may be excised from the Management Unit, should be restored towards more natural conditions, or may be converted to other land uses.

FSC has not developed quantitative thresholds between different categories of forests in terms of area, density, height, etc. FSC Forest Stewardship Standards may provide such thresholds and other guidelines, with appropriate descriptions or examples. Pending such guidance, areas dominated by trees, mainly of native species, may be considered as natural forest.

Thresholds and guidelines may cover areas such as:

- Other vegetation types and non-forest communities and ecosystems included in the Management Unit, including grassland, bushland, wetlands, and open woodlands;
- Very young pioneer or colonizing regeneration in a primary succession on new open sites or abandoned farmland, which does not yet contain many of the principal characteristics and key elements of native ecosystems.

This may be considered as natural forest through ecological progression after the passage of years;

- Young natural regeneration growing in natural forest areas may be considered as natural forest, even after logging, clear-felling or other disturbances, since many of the principal characteristics and key elements of native ecosystems remain, above-ground and below-ground;
- Areas where deforestation and forest degradation have been so severe that they are no longer 'dominated by trees' may be considered as non-forest, when they have very few of the principal above-ground and below-ground characteristics and key elements of natural forests. Such extreme degradation is typically the result of combinations of repeated and excessively heavy logging, grazing, farming, fuelwood collection, hunting, fire, erosion, mining, settlements, infrastructure, etc. FSC Forest Stewardship Standards may help to decide when such areas should be excised from the Management Unit, should be restored towards more natural conditions, or may be converted to other land uses.

(Source: FSC-STD-01-001 V5-0).

Natural Hazards: disturbances that can present risks to social and *environmental values** in the *Management Unit** but that may also comprise important ecosystem functions; examples include drought, flood, fire, landslide, storm, avalanche, etc.

Non-timber forest products (NTFP): All products other than timber derived from the Management Unit (Source: FSC-STD-01-001 V5-0).

Objective: The basic purpose laid down by *The Organization** for the forest enterprise, including the decision of policy and the choice of means for attaining the purpose (Source: Based on F.C. Osmaston. 1968. *The Management of Forests*. Hafner, New York; and D.R. Johnston, A.J. Grayson and R.T. Bradley. 1967. *Forest Planning*. Faber & Faber, London).

Obligatory code of practice: A manual or handbook or other source of technical instruction which The Organization must implement by law (Source: FSC-STD-01-001 V5-0).

Occupational accident: An occurrence arising out of, or in the course of, work which results in fatal or non-fatal injury (Source: International Labour Organization (ILO). Bureau of Library and Information Services. ILO Thesaurus as provided on ILO website).

Occupational disease: Any disease contracted as a result of an exposure to risk factors arising from work activity (Source: International Labour Organization (ILO). Bureau of Library and Information Services. ILO Thesaurus as provided on ILO website).

Occupational injuries: Any personal injury, disease or death resulting from an occupational accident (Source: International Labour Organization (ILO). Bureau of Library and Information Services. ILO Thesaurus as provided on ILO website).

Organism: Any biological entity capable of replication or of transferring genetic material (Source: Council Directive 90/220/EEC).

The Organization: The person or entity holding or applying for certification and therefore responsible for demonstrating compliance with the requirements upon which FSC certification is based (Source: FSC-STD-01-001 V5-0).

Peatland: Is constituted by flooded and soggy areas, with large accumulations of organic material, covered by a layer of poor vegetation associated with a certain degree of acidity, and which presents a characteristic amber color (Source: Aguilar,

L. 2001. About Fishermen, Fisherwomen, Oceans and tides. IUCN. San Jose (Costa Rica)).

Pesticide: Any substance or preparation prepared or used in protecting plants or wood or other plant products from pests; in controlling pests; or in rendering such pests harmless. This definition includes insecticides, rodenticides, acaricides, molluscicides, larvaecides, fungicides and herbicides (Source: FSC-POL-30-001 FSC Pesticides Policy (2005)).

Plantation: A forest area established by planting or sowing with using either alien or native species, often with one or few species, regular spacing and even ages, and which lacks most of the principal characteristics and key elements of natural forests. The description of plantations may be further defined in FSC Forest Stewardship Standards, with appropriate descriptions or examples, such as:

- Areas which would initially have complied with this definition of 'plantation' but which, after the passage of years, contain many or most of the principal characteristics and key elements of native ecosystems, may be classified as natural forests.
- Plantations managed to restore and enhance biological and habitat diversity, structural complexity and ecosystem functionality may, after the passage of years, be classified as natural forests.
- Boreal and north temperate forests which are naturally composed of only one or few tree species, in which a combination of natural and artificial regeneration is used to regenerate forest of the same native species, with most of the principal characteristics and key elements of native ecosystems of that site, may be considered as natural forest, and this regeneration is not by itself considered as conversion to plantations.

(Source: FSC-STD-01-001 V5-0)

Precautionary approach: An approach requiring that when the available information indicates that management activities pose a threat of severe or irreversible damage to the environment or a threat to human welfare, *The Organization** will take explicit and effective measures to prevent the damage and avoid the risks to welfare, even when the scientific information is incomplete or inconclusive, and when the vulnerability and sensitivity of environmental values are uncertain (Source: Based on Principle 15 of Rio Declaration on Environment and Development, 1992, and Wingspread Statement on the Precautionary Principle of the Wingspread Conference, 23–25 January 1998).

Pre-harvest [condition]: The diversity, composition, and structure of the *forest** or plantation prior to felling timber and appurtenant activities such as road building.

Principle: An essential rule or element; in FSC's case, of forest stewardship (Source: FSC-STD-01-001 V4-0).

Protection: See definition of Conservation.

Protection Area: See definition of Conservation Zone.

Publicly available: In a manner accessible to or observable by people generally (Source: Collins English Dictionary, 2003 Edition).

Rare species: Species that are uncommon or scarce, but not classified as threatened. These species are located in geographically restricted areas or specific habitats, or are scantily scattered on a large scale. They are approximately equivalent to the IUCN (2001) category of Near Threatened (NT), including species that are close to qualifying for, or are likely to qualify for, a threatened category in the near future. They are also approximately equivalent to imperiled species (Source:

Based on IUCN. (2001). IUCN Red List Categories and Criteria: Version 3.1. IUCN Species Survival Commission. IUCN. Gland, Switzerland and Cambridge, UK).

Ratified: The process by which an international law, convention or agreement (including multilateral environmental agreement) is legally approved by a national legislature or equivalent *legal** mechanism, such that the international law, convention or agreement becomes automatically part of national law or sets in motion the development of national law to give the same *legal** effect (Source: FSC-STD-01-001 V5-0).

Reasonable: Judged to be fair or appropriate to the circumstances or purposes, based on general experience (Source: Shorter Oxford English Dictionary).

Reduced impact harvesting: Harvesting (or logging) using techniques to reduce the impact on the residual stand (Source: Based on Guidelines for the Conservation and Sustainable Use of Biodiversity in Tropical Timber Production Forests, IUCN 2006).

Refugia: An isolated area where extensive changes, typically due to changing climate or by disturbances such as those caused by humans, have not occurred and where plants and animals typical of a region may survive (Source: Glen Canyon Dam, Adaptive Management Program Glossary as provided on website of Glen Canyon Dam website).

Representative Sample Areas: Portions of the *Management Unit** delineated for the purpose of conserving or restoring viable examples of an ecosystem that would naturally occur in that geographical region.

Resilience: The ability of a system to maintain key functions and processes in the face of stresses or pressures by either resisting or adapting to change. Resilience can be applied to both ecological systems and social systems (Source: IUCN World Commission on Protected Areas (IUCN-WCPA). 2008. Establishing Marine Protected Area Networks – Making it Happen. Washington D.C.: IUCN-WCPA National Oceanic and Atmospheric Administration and The Nature Conservancy.).

Restore / Restoration: These words are used in different senses according to the context and in everyday speech. In some cases 'restore' means to repair the damage done to environmental values that resulted from management activities or other causes. In other cases 'restore' means the formation of more natural conditions in sites which have been heavily degraded or converted to other land uses. In the Principles and Criteria, the word 'restore' is not used to imply the recreation of any particular previous, pre-historic, pre-industrial or other pre-existing ecosystem (Source: FSC-STD-01-001 V5-0).

*The Organization** is not necessarily obliged to restore those environmental values that have been affected by factors beyond the control of The Organization, for example by natural disasters, by climate change, or by the legally authorized activities of third parties, such as public infrastructure, mining, hunting or settlement. FSC-POL-20-003 The Excision of Areas from the Scope of Certification describes the processes by which such areas may be excised from the area certified, when appropriate.

The Organization is also not obliged to restore environmental values that may have existed at some time in the historic or pre-historic past, or that have been negatively affected by previous owners or organizations. However, The Organization is expected to take reasonable measures to mitigate, control and prevent environmental degradation which is continuing in the Management Unit as a result of such previous impacts.

Riparian zone: Interface between land and a water body, and the vegetation associated with it.

Risk: The probability of an unacceptable negative impact arising from any activity in the Management Unit combined with its seriousness in terms of consequences (Source: FSC-STD-01-001 V5-0).

Scale: A measure of the extent to which a management activity or event affects an environmental value or a management unit, in time or space. An activity with a small or low spatial scale affects only a small proportion of the forest each year, an activity with a small or low temporal scale occurs only at long intervals (Source: FSC-STD-01-001 V5-0).

Scale, intensity and risk: See individual definitions of the terms 'scale', 'intensity', and 'risk'.

Significant: For the purposes of Principle 9, HCVs 1, 2 and 6 there are three main forms of recognizing significance.

- A designation, classification or recognized conservation status, assigned by an international agency such as IUCN or Birdlife International;
- A designation by national or regional authorities, or by a responsible national conservation organization, on the basis of its concentration of biodiversity;
- A voluntary recognition by the manager, owner or Organization, on the basis of available information, or of the known or suspected presence of a significant biodiversity concentration, even when not officially designated by other agencies.

Any one of these forms will justify designation as HCVs 1, 2 and 6. Many regions of the world have received recognition for their biodiversity importance, measured in many different ways. Existing maps and classifications of priority areas for biodiversity conservation play an essential role in identifying the potential presence of HCVs 1, 2 and 6 (Source: FSC-STD-01-001 V5-0).

Silviculture: The art and science of controlling the establishment, growth, composition, health and quality of forests and woodlands to meet the targeted diverse needs and values of landowners and society on a sustainable basis (Source: Nieuwenhuis, M. 2000. Terminology of Forest Management. IUFRO World Series Vol. 9. IUFRO 4.04.07 SilvaPlan and SilvaVoc).

Stakeholder: See definitions for 'affected stakeholder' and 'interested stakeholder'.

Statutory law or statute law: The body of law contained in Acts of Parliament (national legislature) (Source: Oxford Dictionary of Law).

Tenure: Socially defined agreements held by individuals or groups, recognized by *legal** statutes or customary practice, regarding the 'bundle of rights and duties' of ownership, holding, access and/or usage of a particular land unit or the associated resources there within (such as individual trees, plant species, water, minerals, etc.) (Source: World Conservation Union (IUCN). Glossary definitions provided on IUCN website).

Threat: An indication or warning of impending or likely damage or negative impacts (Source: Based on Oxford English Dictionary).

Threatened species: Species that meet the IUCN (2001) criteria for Vulnerable (VU), Endangered (EN) or Critically Endangered (CR), and are facing a high, very high or extremely high risk of extinction in the wild. These categories may be re-interpreted for FSC purposes according to official national classifications (which have *legal** significance) and to local conditions and population densities (which should affect decisions about appropriate conservation measures) (Source: Based on IUCN. (2001). IUCN Red List Categories and Criteria: Version 3.1. IUCN Species Survival Commission. IUCN. Gland, Switzerland and Cambridge, UK.).

Timber harvesting level: The actual harvest quantity executed on *the Management Unit**, tracked by either volume (e.g. cubic meters or board feet) or area (e.g. hectares or acres) metrics for the purpose of comparison with calculated (maximum) allowable harvest levels.

Timely manner: As promptly as circumstances reasonably allow; not intentionally postponed by *The Organization**; in compliance with applicable laws, contracts, licenses or invoices.

Traditional Knowledge: Information, know-how, skills and practices that are developed, sustained and passed on from generation to generation within a community, often forming part of its cultural or spiritual identity (Source: based on the definition by the World Intellectual Property Organization (WIPO). Glossary definition as provided under Policy / Traditional Knowledge on the WIPO website).

Traditional peoples: Traditional peoples are social groups or peoples who do not self-identify as indigenous and who affirm rights to their lands, forests and other resources based on long established custom or traditional occupation and use (Source: Forest Peoples Programme (Marcus Colchester, 7 October 2009)).

Uphold: To acknowledge, respect, sustain and support (Source: FSC-STD-01-001 V5-0).

Use rights: Rights for the use of resources of the Management Unit that can be defined by local custom, mutual agreements, or prescribed by other entities holding access rights. These rights may restrict the use of particular resources to specific levels of consumption or particular harvesting techniques (Source: FSC-STD-01-001 V5-0).

Vast majority: 80% of the total area of *Intact Forest Landscapes** within the *Management Unit** as of January 1, 2017. The *vast majority** also meets or exceeds the minimum definition of *Intact Forest Landscape**.

Verifiable targets: Specific goals, such as desired future forest conditions, established to measure progress towards the achievement of each of the *management objectives**. These goals are expressed as clear outcomes, such that their attainment can be verified and it is possible to determine whether they have been accomplished or not.

Very Limited portion: The area affected *shall** not exceed 0.5% of the area of the *Management Unit** in any one year, nor affect a total of more than 5% of the area of the *Management Unit** (Source: based on FSC-STD-01-002 V1-0 FSC Glossary of Terms (2009)).

Very limited portion of core area: The area affected *shall** not exceed 0.5% of the area of the *core area** in any one year, nor affect a total of more than 5% of the area of the *core area**.

Waste materials: unusable or unwanted substances or by-products, such as:

- Hazardous waste, including chemical waste and batteries;
- Containers;
- Motor and other fuels and oils;
- Rubbish including metals, plastics and paper; and
- Abandoned buildings, machinery and equipment.

Water bodies (including water courses): Seasonal, temporary, and permanent brooks, creeks, streams, rivers, ponds, and lakes. Water bodies include riparian or wetland systems, lakes, swamps, bogs and springs.

Water scarcity: A water supply that limits food production, human health, and economic development. Severe scarcity is taken to be equivalent to 1,000 cubic

meters per year per person or greater than 40% use relative to supply (Source: Millennium Ecosystem Assessment. 2005. Ecosystems and Human Well-Being: Policy Responses. Findings of the Responses Working Group. Washington DC: Island Press, Pages 599-605).

Water stress: Occurs when the demand for water exceeds the available amount during a certain period or when poor quality restricts its use. Water stress causes deterioration of freshwater resources in terms of quantity (aquifer over-exploitation, dry rivers, etc.) and quality (eutrophication, organic matter pollution, saline intrusion, etc.) (Source: UNEP, 2003, cited in Gold Standard Foundation. 2014. Water Benefits Standard).

Wetlands: Transitional areas between terrestrial and aquatic systems in which the water table is usually at or near the surface or the land is covered by shallow water (Source: Cowardin, L.M., Carter, V., Golet, F.C., Laroe, E.T. 1979. Classification of Wetlands and Deepwater Habitats of the United States. DC US Department: Washington).

Under the Ramsar Convention, wetlands can include tidal mudflats, natural ponds, marshes, potholes, wet meadows, bogs, peatlands, freshwater swamps, mangroves, lakes, rivers and even some coral reefs (Source: IUCN, No Date, IUCN Definitions – English).

Workers: All employed persons including public employees as well as 'self-employed' persons. This includes part-time and seasonal employees, of all ranks and categories, including laborers, administrators, supervisors, executives, contractor employees as well as self-employed contractors and sub-contractors (Source: ILO Convention C155 Occupational Safety and Health Convention, 1981).



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