

FSC INTERNATIONAL STANDARD®

FSC International Generic Indicators

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Contact: FSC International Center

E-mail for enquiries : r.galan@fsc.org

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FSC INTERNATIONAL GENERIC INDICATORS

FSC-STD-01-004 D1-0 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.

Note on use of this standard

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

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A Standard effective date

Estimated Standard approval date: May 2014.

B References

The following referenced documents are indispensable 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 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 Approval of FSC Social and Environmental International Standards</i>
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<i>FSC-STD-01-002</i>	<i>Glossary of Terms</i>
<i>FSC-STD-01-003</i>	<i>SLIMF Eligibility Criteria</i>
<i>FSC-STD-01-005</i>	<i>FSC Dispute Resolution System</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>Development of National Forest Stewardship Standards</i>

C Note on this version

This First Draft of International Generic Indicators will be submitted for a public consultation period of minimum 60 days.

A Second Draft will be then developed and submitted for a second round of 60 days public consultation. The timeline and outline of the process can be viewed on the [IGI Website](http://www.igi.fsc.org) (www.igi.fsc.org).

The Final Draft of the IGIs will be approved by the FSC Board of Directors.

D Preamble to the Principles and Criteria

The Preamble contains the following sections:

1. The Forest Stewardship Council (FSC)
2. The Principles and Criteria
3. Scope
4. Scale, Intensity and Risk
5. Responsibility for Compliance
6. Basis for Certification
7. Interpretations and Disputes

A set of Explanatory Notes supplements this version of the FSC Principles and Criteria, to clarify their meaning and desired outcomes. They also provide background information on the context of particular Principles and Criteria, including reference to the applicable FSC and other documents, where needed.

The Explanatory Notes are not mandatory. However, they are intended to be one of the bases for the development of FSC Forest Stewardship Standards including FSC international generic indicators, and reduce differences in the interpretation of FSC requirements.

Terms for which a definition is provided in the Glossary of Terms are in italics and marked with an *asterisk** at first mention in the Preamble, and at first mention in each Principle and Criterion.

1. The Forest Stewardship Council (FSC)

The Forest Stewardship Council A.C. (FSC) was established 1993, as a follow-up to the United Nations Conference on Environment and Development (the Earth Summit at Rio de Janeiro, 1992) with the mission to promote environmentally appropriate, socially beneficial, and economically viable management of the world's *forests**.

Environmentally appropriate forest management ensures that the production of timber, *non-timber products** and *ecosystem services** maintains the forest's biodiversity, productivity, and ecological processes.

Socially beneficial forest management helps both local people and society at large to enjoy long term benefits and also provides strong incentives to local people to sustain the forest resources and adhere to long-term *management plans**.

Economically viable forest management means that forest operations are structured and managed so as to be sufficiently profitable, without generating financial profit at the expense of the forest resource, the *ecosystem**, or affected communities. The tension between the need to generate adequate financial returns and the principles of responsible forest operations can be reduced through efforts to market the full range of forest products and services for their best value (FSC A.C. By-Laws, ratified, September 1994; last revision in June 2011).

FSC is an international organization that provides a system for voluntary accreditation and independent third-party certification. This system allows certificate holders to market their products and services as the result of environmentally appropriate, socially beneficial and economically viable forest management. The FSC also sets standards for the development and approval of FSC Stewardship Standards which are based on the FSC Principles and Criteria. In addition, FSC sets standards for the accreditation of conformity assessment bodies (also known as certification bodies) that certify compliance with FSC's standards.

Based on these standards, FSC provides a system for certification for organizations seeking to market their products as FSC certified.

2. The FSC Principles and Criteria

The FSC first published the FSC Principles and Criteria in November 1994 as a performance-based, outcome orientated, worldwide standard. The Principles and Criteria focus on field performance of forest management rather than on the management systems for delivering that field performance.

The FSC Principles are the essential rules or elements of environmentally appropriate, socially beneficial and economically viable forest management, and the Criteria provide the means of judging whether or not a Principle has been fulfilled. They are the foundation of the FSC certification scheme and, together with the Preamble and Glossary of Terms, constitute the core of a comprehensive standards package. There is no hierarchy between the Principles or between Criteria. They share equal status, validity and authority, and apply jointly and severally at the level of the individual *Management Unit**.

The FSC Principles and Criteria sit at the centre of the FSC standards framework and need to be applied together with other interlinked FSC documents including the following.

- Guidance, directives and other documents issued or approved by FSC.
- FSC Forest Stewardship Standards.
- Standards for particular vegetation types, products and services.
- Standards for particular types of management units, such as small and low intensity managed forests or large scale high intensity *plantations** and *conservation zones** and *protection areas**, as approved by FSC.

This standards framework constitutes the comprehensive FSC system for voluntary, independent, third-party certification of the quality of forest management. Through adherence to the robust social, economic and environmental standards within the FSC Principles and Criteria, certified forest management enhances the wellbeing of local people, economic viability of the certificate holder (*The Organization**) and environmental appropriateness of forest management.

3. Scope

The Principles and Criteria cover all of The Organization's management activities that are related to the Management Unit, whether within the Management Unit or outside; whether directly undertaken or contracted out.

In terms of geographical space, the FSC Principles and Criteria apply generally to the entire geographic space inside the boundary of the Management Unit which is being submitted for (re)certification. However, some of the Principles and Criteria apply beyond the boundary of the Management Unit. This would include those infrastructural facilities that are part of the Management Unit, as defined by the FSC Principles and Criteria.

In terms of vegetation, the Principles and Criteria are globally applicable to all types and scales of forest including *natural forests**, plantations and other (i.e. non-forest) vegetation types. The concept of 'other vegetation types' should be limited to those land-uses involving the growing of trees, but includes, in principle, 'non-forest' land-uses as they contribute to the mission of FSC.

The decision on whether or not a certain vegetation type can be certified should be judged on a case by case basis. The decision should include consideration of the species involved and the production system in relation the *ecosystem functions** and *environmental values** required by the Principles and Criteria. To aid the decision, definitions of forest, natural forests and plantations are provided in the Glossary of Terms.

Areas within the geographic boundary of the Management Unit which are in agricultural production systems are not subject to the Principles and Criteria, unless they are covered by prescriptions in the management plan.

In terms of products and services, the FSC Principles and Criteria cover the production of wood and non-timber forest products, *conservation**, *protection**, ecosystem services and other uses. Ecosystem services include the sequestration and storage of carbon which contributes to the mitigation of climate change.

In terms of the law, FSC intends to complement, not supplant, other initiatives that support responsible forest management worldwide. The FSC Principles and Criteria are to be used in conjunction with international, national and local laws and regulations, though they may contain provisions that are more stringent or demanding than these laws and regulations.

*Traditional peoples** whose rights are not acknowledged in national law as equivalent to those of *indigenous peoples** in the context of the Management Unit, are treated as local communities for the purpose of the FSC Principles and Criteria. Traditional peoples whose rights are acknowledged in national law to be the equivalent of those of indigenous peoples in the context of the Management Unit, are treated as equal to indigenous peoples for the purpose of the FSC Principles and Criteria.

Where there might be situations of conflict between the FSC Principles and Criteria and laws, specific FSC procedures will apply.

4. Scale, Intensity and Risk

The FSC Principles and Criteria are generally independent of spatial scale and intensity of management activities. All certified Management Units must comply with all Principles and Criteria and this Preamble. Also, the FSC Principles and Criteria recognize that ways of achieving compliance with the Principles and Criteria may differ depending on the scale and intensity of management activities, and on the risk of negative impacts related to The Organization, the Management Unit or management activities.

Depending on *scale, intensity and risk**, the actions required to comply with the Principles and Criteria may vary from one Organization to another. The concept of scale, intensity and risk applies to almost all Criteria. Explicit reference is included in specific Criteria where it is known from experience that a level of flexibility arising from scale, intensity and risk is required to achieve compliance across the range of potentially certifiable vegetation types, land uses and related management systems. However, there are also requirements, for example, those requiring compliance with laws that are not liable to adjustments to scale, intensity and risk. Further details concerning the interpretation of scale, intensity and risk, including the types and limits of flexibility, are provided in indicators in FSC Forest Stewardship Standards.

5. Responsibility for Compliance

As a performance based standard, the FSC Principles and Criteria are explicit about defining where responsibility lies.

Responsibility for ensuring compliance with the FSC Principles and Criteria lies with the person(s) or entities that is/are the certificate applicant or holder. For the purpose of FSC certification these person(s) or entities are referred to as 'The Organization'. The Organization is responsible for decisions, policies and management activities related to the Management Unit. The Organization is also responsible for demonstrating that other persons or entities that are permitted or contracted by The Organization to operate in, or for the benefit of the Management Unit, comply with the requirements of the FSC Principles and Criteria. Accordingly, The Organization is required to take corrective actions in the event of such persons or entities not being in compliance with the Principles and Criteria.

6. Basis for certification

FSC does not insist on perfection in satisfying the FSC Principles and Criteria. Unforeseen changes in cultural, ecological, economic and social environments may cause occasional failures in performance. As the Principles and Criteria are main components of a performance based standard, certification decisions are guided by the following:

- The extent to which management activities satisfy each FSC Criterion.
- The importance and/or consequences of failing to satisfy each FSC Criterion.

7. Interpretations and Disputes

Questions of interpretation of the Principles and Criteria are addressed through procedures devised by FSC. When disputes arise between stakeholders concerning compliance or the interpretation of the Principles and Criteria and FSC Forest Stewardship Standards, then the relevant FSC procedures for dispute resolution and interpretation shall apply.

E Introduction to the IGIs

1. International Generic Indicators - Draft 1-0

The IGI Working Group began drafting the IGIs in July 2012. Now, following 6 months of intensive work, the First Draft of the IGIs is being released for the first period of public consultation. It is important to emphasize that this is the first draft and that there are a number of issues on which the IGI Working Group could not reach consensus in the allotted time. This means there are a limited number of outstanding issues that need further deliberation. The IGI Working Group will continue to work on the resolution of these issues, both during the consultation period and also after it.

In order to guarantee stakeholder input to these discussions, the following measures have been included in this First Draft, with the aim of receiving feedback and also possible solutions to these not-yet resolved issues:

- a) More than one option for the indicator.
In some cases, one indicator has two different options for its wording. Stakeholders are asked to provide feedback and choose which option they prefer.
- b) Question in the indicator.
In some cases, there is a question next to the indicator, to ask for specific feedback from stakeholders.

Information on the issues will be posted on the [IGI Website](http://www.igi.fsc.org) (www.igi.fsc.org) and questions will be posted regularly to gather stakeholders' feedback to contribute to these discussions.

We encourage you to participate in National consultations, focused on the transfer of existing National Standards. This enables national and regional consultation responses to be considered in the development of the IGIs.

An online survey will also be available, on the [IGI Website](http://www.igi.fsc.org), primarily for those who wish to contribute to the international level consultation rather than through National processes.

2. Briefing Paper

A Briefing Paper on the IGI Process and the Transfer of National Standards to the Principles and Criteria Version 5 is published on the [IGI Website](http://www.igi.fsc.org).

This document offers an introduction to both processes and explains the methodology being followed.

3. Drafting Rules

These rules have been used to complete Draft 1.0 of the February 2013 IGIs for the first round of consultation. It is important to be familiar with these rules before reading and commenting on the IGIs:

1. Each Element identified below the criterion is addressed by one or more indicators. This prevents redundancy and ensures indicators are within the scope of the criterion. These are process indicators. Any additional indicators are there to require a certain level of performance. These are performance indicators;
2. Each indicator aims to address one action, so that only one activity is evaluated with each indicator;
3. Each indicator applies to The Organization, as stated in the Principle and Criteria. As a result, the indicator will not state, "The Organization shall ...";
4. Each indicator is stated in the present tense, meaning that it expresses what is meant to be in place at the time of audit and not at some future date. As the Principles and Criteria are written as 'shall' statements, this is not repeated in the indicators;
5. Each indicator applies throughout the Management Unit. As a result, the indicator will not state '... within the Management Unit...'. The only exception for this is when Criterion also includes activities outside, adjacent to / surrounding the Management Unit. In these cases the geographic scope of the requirement will be clarified by including '... within the Management Unit...';
6. For this draft, reference to Scale, Intensity and Risk (SIR) is indicated after the list of Elements for each criterion that includes SIR. No further language has been used in the indicators to differentiate SIR requirements at this stage in the process. Further guidance on how to apply SIR will be provided at a later date and so we do not expect comments on the application of this concept at this stage;
7. A limited number of outstanding issues that have not yet been resolved by the Working Group are framed as explicit 'options' or questions for the consultation;
8. In some indicators a list has been provided. Where reasonably sufficient, the points in these lists may be addressed through existing text in approved National Standards, such as annexes, references to best practice, guidance, etc.

9. In order to avoid duplication, identical requirements that fall within more than one criteria (such as training and monitoring) are put in a single indicator in one criterion. Generally, training requirements are under Criterion 2.5. Generally, monitoring requirements are within Criteria 8.1 or 8.2. The exception to this rule is when monitoring is explicitly mentioned in the Criteria, such as 9.4;
10. 'Assessments' to be carried out by The Organization are addressed within P1 through P6 and P9;
11. 'Planning and documenting' are addressed within P7;
12. Generally, 'operations and implementation' are addressed within P10;
13. Adaptive Management is planned and monitored through P7 and P8 and applied through P10;
14. Indicators flow both within a criterion and across the principles to elaborate a process, hence there is no cross referencing numerically but rather through consistent terminology. An assessment is followed by planning, implementing and then monitoring and adaptive management;
15. The Precautionary Approach has been applied throughout the standard and expressed in the performance indicators.
16. For Principle 9 and therefore for High Conservation Values and the areas they rely on, all activities may pose a severe or irreversible threat and so explicit and effective measures shall always be assessed, planned, implemented, monitored and adapted for their maintenance and/or enhancement. This is reflected in the performance indicators for Principle 9 and therefore the term Precautionary Approach is not used in the indicators themselves, as it is already expressed in the Principle and relevant Criteria.

F The FSC International Generic Indicators

Principle 1: Compliance with Laws

NOTE: Every National Standard has a list of applicable laws and regulations. This is a requirement of FSC-STD-20-002 Structure, content and local adaptation of generic Forest Stewardship Standards and FSC-STD- 60-002 Structure and content of National Forest Stewardship Standards. Annex A in this Principle provides examples of Applicable laws, regulations and nationally-ratified international treaties, conventions and agreements. Standards Development Groups and Certification Bodies will need to check their lists against these examples.

Principle 1: Compliance with Laws

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

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. (C1.1 V4)

INTENT: *The Organization** is *legal** with regards to statutory or *customary laws** in terms of administrative requirements.

ELEMENTS:

- 1) Documentary evidence that *The Organization** is a *legal** entity (including in statutory and *customary law**);
- 2) Legal registration is unchallenged;
- 3) Legally defined scope from a competent statutory or customary authority.

GUIDANCE: "written" means written unless where documented by another means acceptable in *customary law**.

- | | |
|-------|---|
| 1.1.1 | <p>a. <i>Legal registration*</i> to carry out all activities within the scope of the certificate is documented and made available to the certification Body.</p> <p>b. In situations where customary rights govern use and access, these rights are clearly identifiable and allow activities required by this Standard and contained in the <i>Management Plan*</i>.</p> |
| 1.1.2 | <i>Legal registration*</i> is granted by a <i>legally competent*</i> entity according to legally prescribed processes. |
| 1.1.3 | In situations where <i>customary laws*</i> govern use and access, this use and access, is identified and documented. |
| 1.1.4 | Customary authorization is granted by a competent entity according to prescribed processes. |
| 1.1.5 | There are no unresolved, substantiated challenges to the <i>legal*</i> and customary <i>legal*</i> status. |

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 V4)**

INTENT: The *Management Unit** is *legal** in terms of statutory or *customary laws**.

ELEMENTS: 1) <i>Legal*</i> (either statutory or customary) status of <i>tenure*</i> and <i>use rights*</i> , 2) Boundaries clearly defined.	
1.2.1	Ownership of all <i>Management Units*</i> or the <i>legal* tenures*</i> to manage and use resources within the scope of the certificate is documented.
1.2.2	Two Options for Consultation: 1. The boundaries of all <i>Management Units*</i> within the scope of the certificate are clearly marked or documented; and clearly shown on maps. Or; 2. The boundaries of the <i>Management Unit* shall*</i> be clearly identified and if appropriate marked and maintained on the ground, for example by a cut line, clear natural features, and/or by clear signage.
1.2.3	Legal and customary <i>tenure*</i> and <i>use rights*</i> applicable to the <i>Management Unit*</i> , including local and indigenous communities with <i>legal*</i> or customary <i>tenure*</i> or <i>use rights*</i> , are identified and documented.
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 V4)	
INTENT: <i>The Organization*</i> operates legally, including within statutory and <i>customary law*</i> . ELEMENTS: 1) <i>Legal*</i> right (including statutory and customary) to operate in the <i>Management Unit*</i> , including harvesting and/or provision of <i>ecosystem services*</i> ; 2) Use rights need to match with registered scope (C1.1) and the <i>legal*</i> status (including statutory and customary) of the <i>Management Unit *(C1.2)</i> ; 3) Compliance with all <i>applicable laws*</i> and regulations (including statutory and customary); 4) Payment of legally (including statutory and customary) prescribed charges. *as defined in the glossary.	
1.3.1	Managers have an up to date working knowledge of all <i>applicable international laws*, national laws*</i> , sub national laws, obligatory codes of practice, and <i>legal*</i> and customary rights, including but not limited to those identified in <i>Annex A list of applicable laws*</i> .
1.3.2	All activities, including those carried out by other organizations, are carried out in compliance with <i>applicable*</i> international, national, sub national and <i>customary laws*</i> and administrative requirements, including but not limited to those identified in <i>Annex A list of applicable laws*</i> . Guidance: <i>Applicable laws*</i> include but are not limited to environmental and resource <i>protection*</i> laws, <i>forest*</i> management laws, labor laws....”
1.3.3	Records are maintained to confirm the calculation and timely payment of all applicable fees, royalties, import and export duties, taxes, penalties and other charges associated with <i>legal*</i> and customary rights and obligations.
1.3.4	Contractors and others managing the <i>forests*</i> on the property pay their legally prescribed fees, royalties, taxes and other charges related to their contract with <i>The Organization*</i> .

	QUESTION FOR CONSULTATION: The Criterion requires that '<i>The Organization* shall* pay the legally prescribed charges associated with such rights and obligations</i>'. According to the Scope of the P&C, '<i>The Principles and Criteria cover all of The Organization's management activities that are related to the Management Unit, whether within the Management Unit or outside; whether directly undertaken or contracted out</i>'. How best then to ensure that others contracted to manage the forests on the property pay their legally prescribed fees, royalties, taxes and other charges related to their contract with The Organization?
1.3.5	Activities covered by the <i>Management Plan*</i> and operational plans are designed to comply with all <i>applicable laws*</i> .
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 V4)	
INTENT: Systematic <i>protection*</i> of the <i>Management Unit*</i> from illegal or unauthorized activities (including statutory and customary). ELEMENTS: 1) Develop <i>protection*</i> measures; 2) Implement <i>protection*</i> measures; 3) Engage with regulatory agencies if no measure implemented.	
1.4.1	Procedures are developed and implemented to systematically provide <i>protection*</i> from illegal harvesting, hunting, fishing, trapping, collecting, settlement and other unauthorized activities, which may included, but are not restricted to: • Forest roads have gates and/or have controlled access to areas of high <i>risk*</i>; • Temporary roads are physically closed off after harvesting; • Forest roads are patrolled to detect and prevent <i>illegal*</i> access to the <i>forest*</i>; • Personnel and resources have been assigned to detect and control illegal activities promptly, within their <i>legal*</i> right. Note: "The implementation of these measures does not limit the rights of <i>local communities*</i> and <i>indigenous peoples*</i> consistent with P3 and P4".
1.4.2	Where <i>protection*</i> of land and resources is not legally possible, a system is implemented to work with regulatory bodies to identify, report, control and discourage unauthorized or illegal activities.
1.4.3	<i>The Organization*</i> monitors for evidence of illegal or unauthorized activities and takes appropriate action when illegal activities are detected.
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. (C1.1, 1.3)	
INTENT: <i>Legal*</i> compliance in trade and transport (including statutory and customary). ELEMENTS: 1) Compliance with all <i>applicable laws*</i> and regulations on transport and trade (including statutory and customary) ; 2) From the point of origin to the point of sale (= internal COC).	
1.5.1	Managers have an up to date working knowledge of all applicable <i>national laws*</i> , sub national laws,

	<i>ratified*</i> international conventions and obligatory codes of practice, relating to the transportation and trade of <i>forest*</i> products within and from the <i>Management Unit*</i> .
1.5.2	Procedures are documented and implemented for the control of <i>legal*</i> trade and transport of <i>forest*</i> products with <i>legal*</i> compliance verified from the point of origin to the transfer of ownership.
1.5.3	Where CITES has been <i>ratified*</i> nationally, compliance with CITES provisions is demonstrated including possession of permits 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 V4)	
INTENT: Avoid and manage disputes through <i>engagement*</i> .	
ELEMENTS: 1) <i>engagement*</i> with <i>affected stakeholders*</i> to: a. identify disputes that can be resolved out of court; b. prevent disputes that can be resolved out of court; c. resolve disputes that can be resolved out of court.	
1.6.1	No on-going disputes of substantial magnitude or duration involving a <i>significant*</i> number of interests exist. Guidance: Factors that may be considered to evaluate the magnitude and seriousness of a dispute, including: • whether the dispute involves local rights holders, local <i>forest* workers*</i> or local residents; • whether the dispute involves the <i>legal*</i> or <i>customary rights*</i> of First Nations; • the range of issues and/or interests involved; • whether the potential impacts on the disputants are irreversible or cannot be mitigated; • whether the dispute involves vexatious grievors or disputants; and/or • whether the dispute involves issues related to meeting the applicable FSC national standard.
1.6.2	An up-to-date record is kept of all disputes relating to statutory or <i>customary law*</i> , including evidence relating to the dispute and an up-to-date description of any steps taken to resolve the dispute out of court.
1.6.3	Regular contacts are maintained with <i>affected stakeholders*</i> to identify discuss and attempt to prevent or resolve any disputes related to statutory or <i>customary law*</i> in their early stages, using locally-accepted mechanisms and/or institutions.
1.6.4	A mutually agreed to dispute resolution process is developed.
1.6.5	The mutually agreed to dispute resolution process is implemented for disputes relating to statutory or <i>customary law*</i> .
1.6.6	Operations cease in areas where disputes over <i>legal*</i> or customary rights arise.
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)	
INTENT: Actively prevent corruption.	
ELEMENTS: 1) Public organizational anti-corruption commitment not to receive bribes or other form of corruption; 2) Compliance with anti-corruption legislation;	

3) Implementation of additional anti-corruption measures by the organization proportionate to the <i>risk</i> * of corruption.	
1.7.1	An anti-corruption policy that meets or exceeds existing anti-corruption legislation is developed and implemented, including a commitment not to offer or receive bribes in money or any other form of corruption.
1.7.2	The publicly available anti-corruption policy is endorsed by senior management and is publically available at no cost.
1.7.3	Where anti-corruption legislation does not exist, measures are developed and implemented demonstrating a commitment not to offer or receive bribes in money or any other form of corruption.
1.7.4	No bribes are offered or received in money or any other form of corruption.
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)	
INTENT: long-term commitment to the FSC <i>Principles</i> * and <i>Criteria</i> * and related FSC Policies and Standards. ELEMENTS: 1) Documented long-term commitment to the FSC <i>Principles</i> * and <i>Criteria</i> * and related FSC Policies and Standards; 2) The commitment is made public & freely available; 3) The commitment is demonstrated.	
1.8.1	There is a freely and publicly available policy that makes a long term commitment to <i>forest</i> * management practices consistent with the FSC <i>Principles</i> * and <i>Criteria</i> * and their related Policies and Standards.
1.8.2	The policy is endorsed by the top management.
1.8.3	<i>The Organization</i> * is not directly or indirectly engaged in any of the unacceptable activities identified in the Policy for the Associations of Organizations with FSC (FSC-POL-01-004).

Principle 1. Annex A: Examples 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 customary rights 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 <i>legal</i> * required licenses.
1.2 Concession licenses	Legislation regulating procedures for the issuing of <i>forest</i> * concession licenses, including use of <i>legal</i> * methods to obtain concession license. Especially bribery, corruption and nepotism are well-known issues in connection 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 competent authorities.
1.4 Harvesting permits	National and sub-national laws and regulations regulating the issuing of harvesting permits, licenses or other <i>legal</i> * document required for specific

	harvesting operations. It includes the use of <i>legal</i> * methods to obtain the permit. Corruption is a well-known issue in connection 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. It also includes payments of the fees based on correct classification of quantities, qualities and species. Incorrect classification of <i>forest</i> * products is a well-known issue 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 selling material as growing <i>forest</i> * (standing stock sales).
2.3 Income and profit taxes	Legislation covering income and profit taxes related to the profit derived from 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 or 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 felling site and seasonal limitations etc. Typically this includes regulations on the size of felling areas, minimum age and/or diameter for felling activities and elements that <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 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 level for soil damage, establishment of buffer zones (e.g. along water courses, open areas, breeding sites), maintenance of retention trees on felling site, seasonal limitation of harvesting time, 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 infrastructure, mineral exploration and extraction, etc..
3.4 Health and safety	Legally required personal <i>protection</i> * equipment for persons involved in harvesting activities, use of safe felling and transport practice, establishment of <i>protection</i> * zones around harvesting sites, and safety requirements to machinery used. Legally required safety requirements in relation to chemical usage. The health and safety requirements that <i>shall</i> * be considered relate to operations in the <i>forest</i> * (not office work, or other activities less related to actual <i>forest</i> * operations).
3.5 Legal employment	Legal requirements for employment of personnel involved in harvesting activities including requirement for contracts and working permits, requirements for obligatory insurances, requirements for competence certificates and other training requirements, and payment of social and income taxes withhold by employer. Furthermore, the points cover observance of minimum working age and minimum age for personal involved in hazardous work, legislation against forced and compulsory labor, and discrimination and freedom of association.
4. Third parties' rights	

4.1 Customary rights	Legislation covering customary rights relevant to <i>forest*</i> harvesting activities including requirements covering sharing of benefits and indigenous rights.
4.2 Free prior and informed consent	Legislation covering “free prior and informed consent” in connection with transfer of <i>forest*</i> management rights and customary rights to the organization in charge of the harvesting operation.
4.3 Indigenous peoples rights	Legislation that regulates the rights of <i>indigenous people*</i> as far as it’s related to forestry activities. Possible aspects to consider are land <i>tenure*</i> , right to use certain <i>forest*</i> related resources or 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/avoid payment of legality prescribed taxes and fees.
5.2 Trade and transport	All required trading permits <i>shall*</i> exist as well as legally required transport document which accompany transport of wood from <i>forest*</i> operation.
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 considered as an important generator of funds that can be used for payment of bribery and black money to the <i>forest*</i> operation and personal 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, 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).

Principle 2: Workers' rights and employment conditions.

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 V4)

INTENT: Uphold* the 8 ILO Core Labour conventions.

ELEMENTS:

- 1) Know & acknowledge the ILO Core Labour Conventions by the organization and the *workers**;
- 2) Respect, sustain and support the ILO Core Labour Conventions.

2.1.1	Copies of the eight ILO Core Labour Conventions are maintained. Guidance for 2.1: • Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87) • Right to Organise and Collective Bargaining Convention, 1949 (No. 98) • Forced Labour Convention, 1930 (No. 29) • Abolition of Forced Labour Convention, 1957 (No. 105) • Minimum Age Convention, 1973 (No. 138) • Worst Forms of Child Labour Convention, 1999 (No. 182) Guidance for 2.2: • Discrimination (Employment and Occupation) Convention, 1958 (No. 111) Guidance for 2.4: • Equal Remuneration Convention, 1951 (No. 100)
2.1.2	Employment practices and conditions for <i>workers*</i> and contractors demonstrate conformity with the ILO Core Labour Conventions.
2.1.3	Employees and contractors have the right to establish and, subject only to the rules of the labor organization concerned, to join labor organizations of their own choosing without previous authorization.
2.1.4	Labour organizations are accepted as participants in decision-making.
2.1.5	Two Options for Consultation: 1. Where organized labor or informal trade organizations exist, agreements are in place resulting from collective bargaining with representatives of trade unions or informal organizations. Or; 2. Agreements resulting from collective bargaining with representatives of trade unions or informal organizations demonstrably representing a <i>significant*</i> (about 40% or more) of the <i>workers*</i> show a fair balance between the interests of <i>The Organization*</i> and those of the <i>workers*</i> and both parties are generally satisfied with the outcomes.

2.1.6	Agreements reached with employees are documented and implemented.
2.1.7	There is no forced or compulsory labor, within the <i>Management Unit</i> * nor in any other operation under the control of <i>The Organization</i> *.
2.1.8	Persons below the age of compulsory schooling and in any case persons below the age of 15 are not normally used for work. Persons 13 to 15 years of age may be used on light work that is not likely to be harmful to their health or development nor to prejudice their attendance at school, their participation in vocational orientation or training programmes approved by the competent authority or their capacity to benefit from the instruction received. QUESTION FOR CONSULTATION: The <i>criterion</i>* requires <i>The Organization</i>* to <i>uphold</i>* the <i>principles</i>* 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. ILO Conventions 138 prohibits organizations and contractors to employ any persons below the age of completion of compulsory schooling. How best then to ensure that child labor is not used while still permitting children to work for their family owned business, students to be involved in local forestry operations, etc?
2.2 The Organization* shall* promote gender equality* in employment practices, training opportunities, awarding of contracts, processes of engagement* and management activities. (New, per Motion 12 at GA 2002)	
INTENT: Ensure <i>gender equality</i>*. ELEMENTS: Promote <i>gender equality</i>* in: 1) employment practices; 2) training opportunities; 3) awarding of contracts; 4) processes of <i>engagement</i>*; 5) management activities.	
2.2.1	A commitment to <i>gender equality</i>* is demonstrated through the implementation of a policy and procedures, endorsed by senior management, with clear targets including but not limited to: a. Recruitment; b. Hiring; c. Contracting; d. Training; e. Processes of <i>engagement</i>*; f. Procurement of services; g. Management activities; and h. Wages and benefits.
2.2.2	Targets are based on <i>engagement</i> * with <i>local communities</i> *, <i>workers</i> * and contractors.
2.2.3	Records are kept and made available to <i>workers</i> * and contractors on the implementation of the policy and procedures on <i>gender equality</i> *.
2.2.4	A commitment, endorsed by senior management, is made to eliminate sexual harassment and gender discrimination for <i>workers</i> * and contractors.
2.2.5	There is no sexual harassment and gender discrimination.
2.2.6	A system is in place to allow <i>workers</i> * and contractors to confidentially and without retaliation report on sexual harassment and gender discrimination.

2.2.7	There are no unresolved complaints regarding direct or indirect gender discrimination or sexual harassment.
2.2.8	Records are kept of complaints related to sexual harassment and gender discrimination, including how each case has been addressed.
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 V4, revised to comply with ILO and FSC-POL-30-401)	
INTENT: Ensure occupational health & safety.	
ELEMENTS: 1) Implementation of occupational health & safety practices; 2) H&S practices meet or exceed the ILO Code of Practice on Safety and Health in Forestry Work.	
SIR	
2.3.1	A health and safety (H&S) program is developed and implemented that meets <i>legal*</i> requirements and includes at a minimum: a) an effective first aid program; b) provision for the safe transport of <i>workers*</i> to and from their place of work, and within the <i>forest* Management Unit*</i>; c) provisions to ensure that where <i>workers*</i> stay in camps, conditions for accommodation and nutrition comply at least with those specified in the ILO Code of Practice on Safety and Health in Forestry; d) a plan for timely evacuation of <i>workers*</i> to an adequately equipped medical facility in case of serious injury; e) a mechanism to maintain accurate and up-to-date health and safety records (including <i>risk*</i> evaluations and accident records); f) a scheme to cover all costs associated with the <i>workers*</i> recuperation and damage to their health and provide compensation and/or ongoing support in the event of accidents.
2.3.2	A qualified individual is appointed within <i>The Organization*</i> to have overall responsibility for Health and Safety.
2.3.3	Records demonstrate that loss of working time due to accidents is decreasing over time and is at all times better than industry average.
2.3.4	Health and Safety plan is periodically reviewed and updated to incorporate learning from the Health and Safety records; this review happens in any case after each major incident or accident.
2.3.5	<i>Workers*</i> are provided with personal protective equipment appropriate to their assigned tasks and <i>The Organization*</i> enforces the use of this equipment.
2.3.6	The workplace, equipment and machinery used in forestry operations by employees and contractors are safe, maintained in good working order and can be used without <i>risk*</i> to health.
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)	
INTENT: Provision of decent wages.	
ELEMENTS: 1) The higher of the Legal minimum wages or industry standards is met or exceeded; 2) Engagement with <i>workers*</i> for determining <i>living wages*</i> if no <i>legal*</i> minimum wage or industry standard exists.	

2.4.1	Wages, salaries and contract fees meet or exceed minimum national <i>forest*</i> industry standards or the minimum wage, whichever is higher. Guidance: • The elements to be taken into consideration in determining the level of minimum wages <i>shall*</i>, so far as possible and appropriate in relation to national practice and conditions, include: a) the needs of <i>workers*</i> and their families, taking into account the general level of wages in the country, the cost of living, social security benefits, and the relative living standards of other social groups; b) economic factors, including the requirements of economic development, levels of productivity and the desirability of attaining and maintaining a high level of employment.
2.4.2	Where <i>legal*</i> minimum wage or industry standards do not exist, <i>living wage*</i> is determined through <i>engagement*</i> with <i>workers*</i> and contractors.
2.4.3	While maintaining confidentiality, pay <i>scales*</i> and salary sheets are available to <i>workers*</i> .
2.4.4	Wages, salaries and contracts are paid on time.
2.4.5	<i>Workers*</i> are provided with assistance in negotiating wage levels both collectively and individually.
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 V4) INTENT: Safe and effective implementation of the <i>Management Plan*</i> by skilled <i>workers*</i>. ELEMENTS: 1) <i>Workers*</i> have and/or receive job-specific training related to H&S; 2) All management activities are implemented safely; 3) Safety of <i>forest*</i> work is adequately supervised; 4) <i>Workers</i> have and/or receive job-specific training related to their responsibilities and activities in the <i>Management Plan*</i>; 5) All management activities are implemented effectively, in accordance with the <i>Management Plan*</i>.	

2.5.1	A documented, up to date training program is in place to ensure that all employees and contractors are safely and effectively contributing to the implementation of the <i>Management Plan</i>* including at a minimum: a. Effective procedures are developed and implemented to ensure all staff including <i>workers</i>* and contractors responsible for implementing <i>forest</i>* activities comply with applicable <i>legal</i>* requirements. (1.5); b. Managers, employees and contractors have training about the content and meaning of the eight ILO Core Labour Conventions (2.1); c. Training is provided to manager, security staff and supervisors to recognize and report on instances of sexual harassment and gender discrimination. (2.2); d. Personnel are identified and trained with responsibility for health and safety and delivery of first aid. (2.3); e. Workers and contractors that use hazardous substances are given adequate instruction in their safe use and disposal to ensure that use does not pose health <i>risks</i>*. (2.3); f. For particularly dangerous jobs or jobs entailing a special responsibility, <i>workers</i>* receive specialized training ensuring that they are equipped to carry out their responsibilities. (2.5). Guidance: This can include dangerous jobs (chainsaw) and specialty jobs (chemicals and fertilizers); g. <i>Workers</i>* are fully aware of where <i>indigenous peoples</i>* have <i>legal</i>* and customary rights related to management activities (3.2); h. All relevant <i>workers</i>* are trained to identify and implement applicable elements of UNDRIP and ILO Convention 169 (3.4); i. All relevant <i>workers</i>* are trained to identify sites of special cultural, ecological, economic, religious or spiritual significance to <i>indigenous peoples</i>* and implement the necessary measures to protect them before the start of <i>forest</i>* management activities to avoid negative impacts (3.5, 4.7); j. <i>Workers</i>* are fully aware of where <i>local communities</i>* have <i>legal</i>* and customary rights related to management activities (4.2); k. <i>Workers</i>* and contractors are trained to carry out social, environmental and economic impact assessment and develop appropriate mitigation measures. (4.5); l. If <i>pesticides</i>* are used, all <i>workers</i>* involved in their use have up-to-date training in handling, application and storage procedures. (10.7); m. <i>Workers</i>* are appropriately trained and able to effectively implement procedures for cleaning up spills of waste products. (10.12).
2.5.2	Training and education records are maintained for all employees and made available by contractors.
2.5.3	Workers and contractors receive supervision to a level that is adequate for assuring safe work performance, consistent with the <i>Management Plan</i>*.
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 to address gap in P&C V4)	
INTENT: Good and fair relations with <i>workers</i>*.	
ELEMENTS: 1) <i>engagement</i>* with <i>workers</i>* to a. define mechanisms for resolving grievances; b. implement mechanisms; c. provide fair compensation.	
2.6.1	A mutually agreed to dispute resolution process is in place through which <i>workers</i>* can have grievances regarding compensation and working conditions heard and resolved.
2.6.2	The dispute resolution process is known by <i>workers</i>*.

2.6.3	Up-to-date and complete records are maintained of all grievances related to worker's loss or damage of property and <i>occupational disease</i>* or injuries, including a summary of the: a. Steps taken to resolve grievances; b. Outcomes of all grievances resolution processes including fair compensation; and c. Unresolved grievances and the reasons why they were not resolved.
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Principle 3: Indigenous Peoples' Rights.

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 V4)

3.1 *The Organization** shall identify the *indigenous peoples** that exist within the *Management Unit** or 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)

INTENT: Knowledge of the rights of *indigenous peoples** who live within the *Management Unit** or are affected by management activities.

ELEMENTS:

- 1) Identify the *Indigenous Peoples** that are within the *Management Unit** or affected by management activities;
- 2) Identify rights (as listed in *criterion**) through *engagement**;
- 3) Identify areas where these rights are contested and by whom through *engagement**;
- 4) Engagement.

Applicability: Consider developing a note on how to handle situations where *The Organization** IS the Indigenous People.

3.1.1	The geographic area upon which management activities have a direct or indirect impact is identified.
3.1.2	A systematic process is used to identify all <i>indigenous peoples</i> * within the <i>Management Unit</i> * and all <i>indigenous peoples</i> * directly and indirectly affected by activities, and the results periodically revised consistent with the <i>adaptive management</i> * approach.
3.1.3	A Community Engagement Strategy is developed and implemented that includes: a. determining the representatives & contact points (in each <i>indigenous peoples</i>* community) for the various activities in which their <i>engagement</i>* is required, including where appropriate, local institutions, organizations and authorities; b. establishing a mutually agreed, culturally appropriate communication channel with each <i>indigenous peoples</i>*, allowing for information to flow in both directions; c. ensuring that all groups are equally represented and included; d. using the agreed channels to communicate all related information; e. recording all meetings, all points discussed and all agreements reached; f. approving the content of meeting records; and g. sharing the results of all <i>engagement</i>* activities with the <i>indigenous peoples</i>* to gain their formal approval of the content and intended use before proceeding.
3.1.4	Through <i>engagement</i> * with the <i>indigenous peoples</i> *, the following are identified, documented and/or mapped: a. their customary and <i>legal</i>* rights of <i>tenure</i>*; b. their customary and <i>legal</i>* access to, and <i>use rights</i>* of the <i>forest</i>* resources and <i>ecosystem services</i>*; c. their customary and <i>legal</i>* rights and obligations that apply within the <i>Management Unit</i>*; d. the evidence supporting these rights and obligations; e. the holders of these rights and obligations.

3.1.5	Culturally acceptable ways for identifying, agreeing to and documenting the rights and obligations of <i>indigenous peoples*</i> are used where there is no written text or records to support these claims to rights.
3.1.6	Areas where rights are contested within the <i>Management Unit*</i> between <i>indigenous peoples*</i> , governments and/or others are identified through <i>engagement*</i> with <i>indigenous peoples*</i> , the effects on management activities known and accounted for in Management Planning.
3.1.7	The results of all <i>engagement*</i> activities are documented.
3.2 The <i>Organization*</i> shall recognize and uphold* the legal* and customary rights* of indigenous peoples* to maintain control over management activities within or related to the <i>Management Unit*</i> 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 <i>Free, Prior and Informed Consent*</i>. (C3.1 and 3.2 V4)	
INTENT: Uphold <i>legal*</i> and customary rights of <i>indigenous peoples*</i> within the <i>Management Unit *</i> or related to management activities. ELEMENTS: 1) Recognition of the rights; 2) Uphold – support the <i>indigenous peoples*</i> to realize their rights; 3) Help <i>restore*</i> the rights if these are eroded to a point where <i>indigenous people*</i> cannot anymore protect their rights, resources and territories; 4) Delegation based on FPIC; 5) FPIC implementation.	
3.2.1	<i>Workers*</i> are fully aware of where <i>indigenous peoples*</i> have <i>legal*</i> and customary rights related to management activities.
3.2.2	Indigenous peoples are informed in culturally appropriate ways when, where and how they can comment on and modify <i>The Organization*</i> 's management activities to the extent necessary to protect their rights, resources, <i>lands and territories*</i> .
3.2.3	Necessary changes to management activities arising from <i>indigenous peoples*</i> comments are made to protect <i>indigenous peoples*</i> rights, resources, <i>lands and territories*</i> .
3.2.4	There is no infringement on the <i>legal*</i> and customary rights of <i>indigenous peoples*</i> related to management activities.
3.2.5	Indigenous peoples are permitted to access and/or transit through the <i>Management Unit*</i> where this does not cause non-compliance with this standard and the management <i>objectives*</i> .
3.2.6	Delegation of control by <i>indigenous peoples*</i> over management activities occurs only with their <i>Free, Prior and Informed Consent*</i> .
3.2.7	In addition to the Community Engagement Strategy the methodology for achieving free prior and informed consent includes: a. ensuring Indigenous Peoples know their rights and obligations regarding the resource; b. defining the decision making processes to be used by the <i>indigenous peoples*</i> and the Organisation; c. informing the <i>indigenous peoples*</i> of the current and future planned <i>forest*</i> management activities; d. informing the <i>indigenous peoples*</i> of the value, in economic, social and environmental terms, of the resource they are considering delegating control of; e. informing the <i>indigenous peoples*</i> of their right to withhold consent to the proposed management activities to the extent necessary to protect their rights, resources and <i>lands and territories*</i>;

	f. defining the fair negotiation of consent agreements including fair compensation for the use of the resource, in a culturally acceptable way for the <i>indigenous peoples*</i>, and if needed with the assistance of neutral advisors; g. ensuring any agreement reached is documented and formally acknowledged; h. monitoring that the agreement is being upheld by all parties; and i. periodically re-negotiating the terms of the consent agreement to take into account changing conditions and grievances.
3.3 In the event of delegation of control over management activities, a binding agreement between <i>The Organization*</i> and the <i>indigenous peoples*</i> shall* be concluded through <i>Free, Prior and Informed Consent*</i>. 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 <i>indigenous peoples*</i> of <i>The Organization*</i>'s compliance with its terms and conditions. (New)	
INTENT: Delegation through a binding agreement made through <i>Free, Prior and Informed Consent*</i> (FPIC). ELEMENTS: 1) Binding agreement through FPIC including a. duration, b. provisions for renegotiation, c. renewal, d. termination, e. economic conditions f. other terms and conditions 2) FPIC implementation.	
3.3.1	In the event of delegation of control over management activities, the binding agreement includes: a. duration; b. provisions for renegotiation, renewal and termination; c. economic conditions including but not limited to costs and benefit sharing; d. provisions for monitoring by <i>indigenous peoples*</i> to ensure compliance with the terms and conditions of the agreement; and e. other terms and conditions agreed to by all parties.
3.3.2	Records of binding agreements are maintained.
3.3.3	The implementation of <i>The Organization*</i> 's compliance with the binding agreement's terms and conditions is monitored and reported by <i>indigenous peoples*</i> .
3.4 <i>The Organization*</i> shall* recognize and uphold* the rights, customs and culture of <i>indigenous peoples*</i> as defined in the United Nations Declaration on the Rights of Indigenous Peoples (2007) and ILO Convention 169 (1989) (C3.2 V4, revised to comply with FSC-POL-30-401, ILO 169 and UNDRIP)	
INTENT: Recognition and support of rights, customs and culture of <i>indigenous peoples*</i>. ELEMENTS: 1) recognition of rights, customs and culture; 2) <i>uphold*</i> – support ILO 169 and UNDRIP Guidance: 'Uphold' does not imply an unlimited responsibility of The Organization, and this responsibility should be further defined in national/regional standards.	

3.4.1	<i>Indigenous peoples*</i> are informed of their rights, customs and culture of as defined in UNDRIP and ILO Convention 169.
3.4.2	Copies of UNDRIP and ILO Convention 169 are available to all relevant <i>workers*</i> and <i>indigenous peoples*</i> .
3.4.3	All relevant <i>workers*</i> are trained to identify and implement applicable elements of UNDRIP and ILO Convention 169.
3.4.4	There is no infringement of UNDRIP and ILO Convention 169.
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*. (C3.3 V4, revised to POL 30-401)	
INTENT: Protection of sites with special significance for <i>indigenous peoples*</i>. ELEMENTS: 1) reference to 3.1; 2) <i>engagement*</i> with <i>indigenous peoples*</i> a. identification of sites b. management of sites c. <i>protection*</i> of sites 3) recognition of sites.	
3.5.1	Sites of special cultural, ecological, economic, religious or spiritual significance to the <i>indigenous peoples*</i> are identified through culturally appropriate <i>engagement*</i> .
3.5.2	Measures to protect sites of special cultural, ecological, economic, religious or spiritual significance to <i>indigenous peoples*</i> are identified through culturally appropriate <i>engagement*</i> with <i>indigenous peoples*</i> and include an agreed definition of the conditions of use of such sites.
3.5.3	Measures to protect sites of special cultural, ecological, economic, religious or spiritual significance to <i>indigenous peoples*</i> are implemented and included in <i>The Organization*'s Management Plan*</i> .
3.5.4	Measures to protect sites of special cultural, ecological, economic, religious or spiritual significance to <i>indigenous peoples*</i> are implemented and periodically revised consistent with the <i>adaptive management*</i> approach.
3.5.5	Sites of special cultural, ecological, economic, religious or spiritual significance to <i>indigenous peoples*</i> are delineated on operational maps and/or marked in the field as appropriate. If <i>indigenous peoples*</i> determine that physical identification of these sites would threaten their value or <i>protection*</i> of the sites, then other means <i>shall*</i> be used.
3.5.6	All relevant <i>workers*</i> are trained to identify these sites and implement the necessary measures to protect them before the start of <i>forest*</i> management activities to avoid negative impacts.
3.5.7	Wherever and whenever cultural or archaeological evidence is newly observed or discovered, management activities cease immediately in the vicinity until protective measures have been agreed with the <i>indigenous peoples*</i> , and as indicated by local and <i>national laws*</i> .
3.6 The Organization* shall* uphold* the right of indigenous peoples* to protect and utilize their traditional knowledge and shall* compensate indigenous peoples* 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 V4, with 'intellectual property' replacing 'traditional knowledge')

INTENT: Protection of *indigenous peoples** traditional knowledge and *intellectual property**, and compensation for their use.

ELEMENTS:

- 1) identification of traditional knowledge and *intellectual property**;
- 2) *uphold** – support the right of *indigenous peoples** to protect their traditional knowledge and *intellectual property**;
- 3) compensation for use of traditional knowledge and *intellectual property** through FPIC;
- 4) Demonstrate FPIC implementation and *protection** of *intellectual property** rights.

3.6.1	Traditional knowledge and <i>intellectual property</i> * is only used by <i>The Organization</i> * together with Indigenous Peoples and when the holders of that traditional knowledge have provided their <i>Free, Prior and Informed Consent</i> *.
3.6.2	The benefits accruing from the use of <i>indigenous peoples</i> * traditional knowledge and <i>intellectual property</i> * are shared equitably with <i>indigenous peoples</i> *, consistent with the <i>Nagoya Protocol</i> .
3.6.3	Based on the values and procedures of the community, a binding endogenous Community Protocol is agreed between the <i>indigenous peoples</i> * and <i>The Organization</i> * describing the terms of the use and benefit sharing from communities' traditional knowledge and <i>intellectual property</i> *.

Principle 4: Community Relations.

Principle 4 Community Relations

The Organization* shall* contribute to maintaining or enhancing the social and economic wellbeing of local communities*.

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)

INTENT: Knowledge of the rights of *local communities** affected by management activities.

ELEMENTS:

- 1) Identify *local communities** that are within the *Management Unit** or affected by management activities;
- 2) Identify their rights (as listed in *criterion**) through *engagement**;
- 3) Identify areas where these rights are contested and by whom through *engagement**;
- 4) Engagement.

4.1.1	The geographic area upon which management activities have a direct or indirect impact is identified.
4.1.2	A systematic process is used to identify all <i>local communities*</i> within the <i>Management Unit*</i> and all communities directly and indirectly affected by activities within the <i>Management Unit*</i> , and the results periodically revised consistent with the <i>adaptive management*</i> approach.
4.1.3	A Community Engagement Strategy is developed and implemented that includes: a. determining the representatives & contact points (in each local community) for the various activities in which their <i>engagement*</i> is required, including where appropriate, local institutions, organizations and authorities; b. establishing a mutually agreed, culturally appropriate communication channel with each local community, allowing for information to flow in both directions; c. ensuring that all groups are equally represented and included; d. using the agreed channels to communicate all related information; e. recording all meetings, all points discussed and all agreements reached; f. approving the content of meeting records; g. sharing the results of all <i>engagement*</i> activities with the community to gain their formal approval of the content and intended use before proceeding.
4.1.4	Through <i>engagement*</i> with the affected <i>local communities*</i> , the following are identified, documented and/or mapped: a. their customary and <i>legal*</i> rights of <i>tenure*</i>; b. their customary and <i>legal*</i> access to, and <i>use rights*</i> of the <i>forest*</i> resources and <i>ecosystem services*</i>; c. their customary and <i>legal*</i> rights and obligations that apply within the <i>Management Unit*</i>; d. the evidence supporting these rights and obligations; e. the holders of these rights and obligations.
4.1.5	Culturally acceptable ways for identifying, agreeing to and documenting the rights and obligations of <i>local communities*</i> are used where there is no written text or records to support these claims to rights.
4.1.6	Areas where rights are contested within the <i>Management Unit*</i> between <i>local communities*</i> , governments and/or others are identified through <i>engagement*</i> with communities, the effects on

	management activities known and accounted for in Management Planning.
4.1.7	The results of all <i>engagement*</i> activities are documented.
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 V4)	
INTENT: Uphold* legal* and customary rights of <i>local communities*</i> affected by management activities. ELEMENTS: 1) Recognition of the rights to maintain control over management activities; 2) Uphold – support the <i>local communities*</i> to protect their rights to maintain control over management activities; 3) Help <i>restore*</i> the rights to maintain control over management activities if these are eroded to a point where <i>local communities*</i> cannot anymore protect their rights, resources and territories; 4) Delegation of rights to maintain control over management activities based on FPIC; 5) FPIC implementation.	
4.2.1	<i>Workers*</i> are fully aware of where <i>local communities*</i> have legal* and customary rights related to management activities.
4.2.2	<i>Local communities*</i> are informed when, where and how in culturally appropriate ways they can comment on and modify <i>The Organization*</i> 's management activities to the extent necessary to protect their rights, resources, <i>lands and territories*</i> .
4.2.3	Necessary changes to management activities arising from <i>local communities*</i> ' comments are made to protect <i>local communities*</i> ' rights, resources, <i>lands and territories*</i> .
4.2.4	There is no infringement on the legal* and customary rights of <i>local communities*</i> related to management activities.
4.2.5	Local communities are permitted to access and/or transit through the <i>Management Unit*</i> where this does not cause non-compliance with this standard and the management <i>objectives*</i> .
4.2.6	Delegation of control by <i>local communities*</i> over management activities occurs only with the <i>local communities*</i> Free, Prior and Informed Consent*.
4.2.7	In addition to the Community Engagement Strategy the methodology for achieving free prior and informed consent includes: a. ensuring <i>local communities*</i> know their rights and obligations regarding the resource; b. informing the <i>local communities*</i> of the value, in economic, social and environmental terms, of the resource they are considering delegating control of; c. informing the <i>local communities*</i> of their right to withhold consent to the proposed management activities to the extent necessary to protect rights, resources, <i>lands and territories*</i>; d. informing the <i>local communities*</i> of the current and future planned <i>forest*</i> management activities; e. defining the decision making processes to be used by the community and the Organisation; f. defining the fair negotiation of consent agreements including fair compensation for the use of the resource, in a culturally acceptable way for the <i>local communities*</i>, and if needed with the assistance of neutral advisors; g. ensuring any agreement reached is documented and formally acknowledged; h. monitoring that the agreement is being upheld by all parties; and i. periodically re-negotiating the terms of the consent agreement to take into account changing

	conditions and grievances.
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 V4)	
INTENT: Contribution to improvement of human capital in <i>local communities*</i>. ELEMENTS: 1) Reasonable provision to a. Local communities b. Contractors c. Suppliers 2) of a. Employment b. Training c. Other services SIR	
4.3.1	Opportunities for employment, training and other services to enable participation in <i>The Organization*</i> 's activities are identified based on the results of a needs assessment.
4.3.2	Opportunities for employment related to management activities are communicated in culturally appropriate ways and provided to <i>local communities*</i> , contractors and suppliers.
4.3.3	Opportunities for training related to management activities are communicated in culturally appropriate ways and provided to <i>local communities*</i> , contractors and suppliers.
4.3.4	Opportunities for other services related to management activities are identified, communicated in culturally appropriate ways and provided to <i>local communities*</i> , contractors and suppliers.
4.3.5	Activities are coordinated with other local entities to create and improve recruitment opportunities, training and other local 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 v4)	
INTENT: Contribute to social and economic development of <i>local communities*</i>. ELEMENTS: 1) <i>engagement*</i> with <i>local communities*</i> for a. identification of activities to contribute to social and economic development of <i>local communities*</i>; b. implementation of these activities. SIR	
4.4.1	Opportunities for local social and economic development are identified through <i>engagement*</i> with <i>local communities*</i> and other relevant organizations. Guidance: Relevant organizations include: e.g. Government, other FSC certified Organisations, local organizations & NGOs etc.
4.4.2	Local Development Plans and associated budgets are developed and implemented from the identified opportunities for local social and economic development taking into account the and related activities

	promoted by relevant organizations. Guidance: Relevant organizations include: e.g. Government, other FSC certified Organisations, local organizations & NGOs etc. Guidance: activities in the Local Development Plan <i>should*</i> be: a. desired by free and collective decision of the <i>local communities*</i>; b. priorities for the communities; c. sustainable in the long term; d. beneficial to the <i>local communities*</i> as a whole; e. relevant to the poverty status of the <i>local communities*</i>; f. the benefits of the support from <i>The Organization*</i> <i>should*</i> be distributed equitably within the <i>local communities*</i>.
4.4.3	The Local Development Plans are implemented jointly where the community has the capacity to participate.
4.4.4	Development opportunities, Local Development Plans and activities implemented for local social and economic development are documented.
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 V4)	
INTENT: Avoidance of <i>significant*</i> negative impact of management activities on <i>local communities*</i>. ELEMENTS: 1) <i>engagement*</i> with <i>local communities*</i> to a. identification of <i>significant*</i> negative impacts; b. identification of actions to avoid/mitigate impacts (SIR); c. implementation of actions. 2) through <i>engagement*</i>, avoidance of impacts; 3) through <i>engagement*</i>, mitigation of impacts. SIR	
4.5.1	Existing and potential social, environmental and economic impacts from management activities on affected communities are identified and their significance ranked through <i>engagement*</i> with <i>local communities*</i> .
4.5.2	Effective measures are developed through <i>engagement*</i> with affected communities to avoid and mitigate the <i>significant*</i> social, environmental and economic impacts of management activities.
4.5.3	The measures to avoid and mitigate <i>significant*</i> social, environmental and economic impacts of management activities on affected communities are implemented and prove to be effective.
4.5.4	Workers and contractors are trained to carry out impact assessment and develop appropriate mitigation measures.
4.5.5	Impact assessments and the mitigation measures are communicated to communities prior to implementation, documented, incorporated in Management Planning and periodically revised consistent with the <i>adaptive management*</i> approach.
4.5.6	Impact assessments and the documented mitigation measures are freely available to <i>local communities*</i>

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 V4)	
INTENT: Good and fair relation with <i>local communities*</i>. ELEMENTS: 1) <i>engagement*</i> with <i>local communities*</i> to - identify mechanisms for resolving grievances; - implement mechanisms; - provide fair compensation.	
4.6.1	A mutually agreed dispute resolution process is in place, developed through <i>engagement*</i> with <i>local communities*</i> .
4.6.2	A mutually agreed process for voicing grievances without fear of reprisals is in place, developed through <i>engagement*</i> with <i>local communities*</i> .
4.6.3	All <i>local communities*</i> are informed about the dispute resolution process and the process for voicing grievances.
4.6.4	Where grievances are raised they are responded to promptly and fairly.
4.6.5	Fair compensation is provided to <i>local communities*</i> and individuals for damage caused by impacts of management activities.
4.6.6	Records of all grievances are maintained, including: whether they have been resolved; actions taken to resolve them; and if unresolved, reasons for the lack of resolution, predicted implications of non-resolution for the <i>Management Unit*</i> , and proposed monitoring of the situation.
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)	
INTENT: Protection of sites with special significance for <i>local communities*</i>. ELEMENTS: 1) <i>engagement*</i> with <i>local communities*</i> for the - identification of sites - management of sites <i>protection*</i> of sites 2) recognition of sites.	
4.7.1	Sites of special cultural, ecological, economic, religious or spiritual significance to <i>local communities*</i> are identified through culturally appropriate <i>engagement*</i> .
4.7.2	Measures to protect sites of special cultural, ecological, economic, religious or spiritual significance to <i>local communities*</i> are identified through culturally appropriate <i>engagement*</i> with <i>local communities*</i> and include an agreed definition of the conditions of use of such sites.
4.7.3	Measures to protect sites of special cultural, ecological, economic, religious or spiritual significance to <i>local communities*</i> are implemented and included in <i>The Organization*'s Management Plan*</i> .

4.7.4	Measures to protect sites of special cultural, ecological, economic, religious or spiritual significance to <i>local communities*</i> are implemented and periodically revised consistent with the <i>adaptive management*</i> approach.
4.7.5	Sites of special cultural, ecological, economic, religious or spiritual significance to <i>local communities*</i> are delineated on operational maps and/or marked in the field as appropriate. If <i>local communities*</i> determine that physical identification of sites would threaten the value or <i>protection*</i> of the sites, then other means will be used.
4.7.6	All relevant <i>workers*</i> are trained to identify these sites and implement the necessary measures to protect them before the start of <i>forest*</i> management activities to avoid negative impacts.
4.7.7	Wherever and whenever cultural or archaeological evidence is newly observed or discovered, management activities cease immediately in the vicinity until protective measures have been agreed with the <i>local communities*</i> , and as indicated by local and <i>national laws*</i> .
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)	
INTENT: Protection of <i>local communities*</i> traditional knowledge and <i>intellectual property*</i>, and compensation for their use. ELEMENTS: 1) identification of traditional knowledge and <i>intellectual property*</i>; 2) <i>uphold*</i> – support the right of <i>local communities*</i> to protect their traditional knowledge and <i>intellectual property*</i>; 3) compensation for use of traditional knowledge and <i>intellectual property*</i> through FPIC; 4) FPIC implementation and <i>protection*</i> of <i>intellectual property*</i> rights.	
4.8.1	<i>Local communities*</i> traditional knowledge and <i>intellectual property*</i> is identified, recognized and documented if feasible, while respecting the confidentiality of that knowledge and the <i>protection*</i> of <i>intellectual property*</i> rights.
4.8.2	Traditional knowledge and <i>intellectual property*</i> is only used by <i>The Organization*</i> together with the local community and when the holders of that traditional knowledge have provided their <i>Free, Prior and Informed Consent*</i> .
4.8.3	The benefits accruing from the use of <i>local communities*</i> traditional knowledge and <i>intellectual property*</i> are shared equitably with <i>local communities*</i> , consistent with the <i>Nagoya Protocol</i> .
4.8.4	Based on the values and procedures of the community, a binding endogenous Community Protocol is agreed between the <i>local communities*</i> and <i>The Organization*</i> describing the terms of the use and benefit sharing from communities' traditional knowledge and <i>intellectual property*</i> .

Principle 5: Benefits from the Forest.

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.

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 V4)*

INTENT: Diversity of products and services from the *Management Unit** to strengthen and diversify the local economy.

ELEMENTS:

- 1) Identify existing resources and services in the *Management Unit**;
- 2) Identify and produce, or enable production of, diversified benefits and products;
- 3) Benefits and products strengthen and diversify the local economy.

SIR

5.1.1	The range of products, resources and <i>ecosystem services*</i> and their possible benefits for the local economy are identified, assisted through <i>engagement*</i> with <i>legal*</i> rights holders, customary rights holders, <i>affected stakeholders*</i> and <i>interested stakeholders*</i> .
5.1.2	The identified benefits and products are produced and/or made available for others to produce, for the benefit of the local economy.
5.1.3	The products, resources and <i>ecosystem services*</i> identified strengthen and diversify the local economy to the extent possible. QUESTION FOR CONSULTATION: The Criterion requires <i>The Organization*</i> to strengthen and diversify the local economy. At issue is how best to define 'local' and how to ensure that products, resources and <i>ecosystem services*</i> strengthen and diversify the local economy. How then to measure the degree to which products, resources and <i>ecosystem services*</i> strengthen and diversify the local economy?

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 V4)*

INTENT: Harvest at or below a level that can be permanently sustained.

ELEMENTS:

- 1) Harvest rates set at or below a level which can be permanently sustained for all products and services;
- 2) Determined rates define the maximum threshold for 'normal' harvesting;
- 3) Harvest above permanently sustained levels is only on a temporary basis for non routine circumstances.*

***Note:** Circumstances where permanently sustained levels can be exceeded need to be narrowly and explicitly defined at the IGI level, and then Regional/National level, subject to international policy advice on

the parameters for such exceptional circumstances.	
5.2.1	Harvest rates for timber are based on an analysis that includes at a minimum: a. A <i>precautionary approach</i>* that reflects the quality of information used; b. Up-to-date growth and yield information; c. Up-to-date inventory; d. Areas available for harvest; e. Volume reductions caused by mortality and decay as well as natural disturbances such as fire, insects and disease; f. Sensitivity analyses of the factors that apply to harvest rate calculations, with specific attention to input estimations and assumptions where data are weak; g. Volume and area reductions to account for <i>protection</i>* of social, spiritual, cultural and other values identified in P3 and P4; h. Volume and area reductions to account for <i>protection</i>* of <i>environmental values</i>* identified in P6; i. Management <i>objectives</i>* identified in P7; j. Measures to fully maintain and / or enhance <i>High Conservation Values</i>* identified in P9; k. Volume and area reductions to account for <i>protection</i>* of values identified in P10. QUESTION FOR CONSULTATION: Is this list a suitable basis to assess potential rates of timber harvest?
5.2.2	Based on the harvest rates analysis, a maximum allowable annual cut for timber is determined: a. At the species group level; b. At the appropriate <i>scale</i>*; c. That does not exceed those that can be permanently sustained including by ensuring that rates do not exceed growth over successive harvests.
5.2.3	Actual annual harvest rates for timber throughout the <i>Management Unit</i>* and within subunits of large <i>Management Units</i>* do not exceed 150% of the allowable annual cut in any one year. QUESTION FOR CONSULTATION: The Criterion requires <i>The Organization</i>* to normally harvest products and services at or below a level that can be permanently sustained. However, market conditions, among other factors, result in conditions where <i>The Organization</i>* would be operating at a loss if the requirement were to harvest an equal amount each year. At issue is how to build flexibility into the annual rate of harvest to adjust for market fluctuations and operational considerations. Is this percentage acceptable when coupled with the ten-year period in the indicator below?
5.2.4	Actual annual harvest rates for timber throughout the <i>Management Unit</i>* and within subunits over a ten-year period do not exceed the projected cumulative allowable cut in 5.2.2 for the same ten-year period.
5.2.5	Annual harvest projections for timber throughout the <i>Management Unit</i>* and within subunits of large <i>Management Units</i>*, averaged over the next ten years, do not exceed the cumulative annual allowable cut for the ten-year period. QUESTION FOR CONSULTATION: A ten-year period over to which to calculate the AAC permits managers to harvest according to economic and operational constraints and opportunities. Is ten years the right period over which to calculate the harvesting rate?

5.2.6	On a temporary and non-routine basis, actual annual harvest rates may exceed the annual allowable cut to respond to unforeseen events such as catastrophic windthrow, catastrophic fire damage and catastrophic epidemic insect or disease attacks or where accelerated harvest is required to meet <i>restoration* objectives*</i>. Norm: To be explicitly defined in National Standards. QUESTION FOR CONSULTATION: 'Unforeseen events' from catastrophic windthrow, fire damage and epidemic insect and disease attacks can occur globally. This indicator specifically directs national initiatives to define the conditions under which harvest rates may be exceeded to address unforeseen events. How then to address this in regions where there are no national standards? Does this indicator cover all situations where the annual harvest may temporarily exceed the AAC to address unforeseen events?
5.2.7	Projected harvest rates for non-timber products and <i>ecosystem services*</i> are based on the best available inventory and productivity data and are adjusted when monitoring of actual harvest rates indicates over-harvesting in order to ensure that actual harvest rates do not exceed those that can be permanently sustained.
5.2.8	The harvesting of non-timber products and <i>ecosystem services*</i> does not exceed estimated replenishment rates over the long term.
5.2.9	The harvesting of non timber products does not deplete the biodiversity over the long term in and/or around the <i>Management Unit*</i>.
5.2.10	Two Options for Consultation: 1. Actual harvest rates of non-timber products and <i>ecosystem services*</i> are documented. Or; 2. Actual harvest rates of non-timber products and <i>ecosystem services*</i> are estimated.
5.3 The Organization* shall* demonstrate that the positive and negative externalities* of operation are included in the Management Plan*. (C5.1 V4)	
INTENT: Identify <i>externalities*</i> and include them in the <i>Management Plan*</i>. ELEMENTS: 1) Identify <i>externalities*</i> of operation; 2) Classify them as positive and negative; 3) Include them in the <i>Management Plan*</i> to minimize negatives and maximize positives.	
5.3.1	The positive and negative <i>externalities*</i> that result from management activities are identified, including through <i>engagement*</i>.
5.3.2	Strategies to reduce the negative <i>externalities*</i> and increase the positive <i>externalities*</i> that result from management activities are identified and included in the <i>Management Plan*</i>.
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 V4)	
INTENT: support local economy. ELEMENTS: 1) Use local processing, services & value adding where available; 2) Support establishment of local services where these are not locally available. SIR	
5.4.1	Local goods, services, processing and value-added facilities are identified.
5.4.2	Two Options for Consultation: 1. Local goods, services, processing and value-added facilities are used where rates are competitive and quality is equivalent. Or; 2. Local goods, services, processing and value-added facilities are used by the organization unless they are inadequate.
5.4.3	Where local services, processing and value-added facilities are not available, <i>reasonable*</i> attempts are made to establish these services.
5.4.4	The rationale for not using local goods, services, processing and value-added facilities is documented.
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 V4)	
INTENT: <i>economic viability*</i>. ELEMENTS: 1) Identify all expenditures; 2) consider economic factors in the planning process; 3) Demonstrate long-term <i>economic viability*</i>. SIR	
5.5.1	A Business Plan is prepared to consider all necessary opportunities for <i>economic viability*</i> including at a minimum: a. Roles and responsibilities; b. Organizational structure; c. Market analysis for <i>forest*</i> products being produced; d. Marketing strategy; and e. Financial analysis tools to that provide an indication of profitability and economic feasibility.
5.5.2	Business plan is implemented.
5.5.3	Expenditures required to meet core management activities are identified, including: a. Those required to meet these Principles and Criteria; and b. Future liabilities resulting from <i>forest*</i> management activities.
5.5.4	Expenditures are spent to meet core management activities.

5.5.5	Expenditures in management activities such as planning, <i>silviculture*</i> , training and infrastructure demonstrate a commitment to long-term <i>economic viability*</i> .
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Principle 6: Environmental Values and Impacts

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 V4)*

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.

INTENT: Sufficient assessment of *environmental values** in the *Management Unit** and outside the *Management Unit** potentially affected by activities. These activities are not restricted to those of *The Organization**. Assess *risk**.

ELEMENTS:

- 1) Assessment of *environmental values** in the *Management Unit** and outside the *Management Unit** that could be affected;
- 2) Assessment proportionate to the SIR of management activities;
- 3) Assessment sufficient to decide the necessary *conservation** measures;
- 4) Assessment sufficient to detect and monitor potential negative impacts of the activities.

SIR

6.1.1	The <i>environmental values*</i> within and outside the <i>Management Unit*</i> are assessed, including: a) <i>Ecosystem functions*</i> (including carbon sequestration and storage); b) <i>Biological diversity*</i>; c) Water resources; d) Soils; e) Atmosphere; and f) <i>Landscape values*</i> (including cultural and spiritual values).
6.1.2	Assessments of <i>environmental values*</i> use the best available information and include, at a minimum: a) Information from field surveys; b) Information from databases relevant to the <i>environmental values*</i>; c) Information obtained through consultation with local and regional experts; d) Information obtained through <i>engagement*</i> with <i>indigenous peoples*</i>, <i>local communities*</i> and <i>affected and interested stakeholders*</i>.
6.1.3	Assessments are conducted at appropriate scales so that, at a minimum: a) Impacts of management activities are credibly assessed; b) <i>Risks*</i> to <i>environmental values*</i> are identified; c) Necessary <i>conservation*</i> measures to protect values are identified; and, d) Monitoring of impacts or environmental changes can be conducted.
6.1.4	Assessment of <i>ecosystem functions*</i> identifies natural processes including decomposition, production, nutrient cycling, fluxes of nutrients and energy, carbon sequestration and storage.
6.1.5	Assessment of <i>biological diversity*</i> identifies the historic natural <i>forest*</i> conditions, including, at a

	minimum: a) A description of historic natural <i>forest*</i> types and their extent; b) A description of historic non-forested areas and their extent; c) A description of the dominant historical natural disturbance types including scale and frequency of disturbance; d) A description of the definitions, methods, data, assumptions, relevant local research and any models used to describe natural historic <i>forest*</i> conditions and disturbance regimes; e) Historic natural wildlife <i>habitats*</i>; f) For each of the historic natural <i>forest*</i> types, an assessment of the following: • The distribution and spatial extent of the <i>forest*</i> types, including patch size, age class or seral stage distribution, and the amount of old <i>forest*</i>; • The historical frequency distribution of undisturbed residuals within disturbance events.
6.1.6	Assessment of <i>biological diversity*</i> identifies the current <i>forest*</i> conditions including, at a minimum: a) A description of current <i>forest*</i> types and their extent; b) A description of current non-forested areas and their extent; c) A description of the dominant historical natural disturbance types including scale and frequency of disturbance; d) A description of the definitions, methods, data, assumptions, relevant local research and any models used to describe current <i>forest*</i> conditions and disturbance regimes; e) For each of the current <i>forest*</i> types, an assessment of the following: • The distribution and spatial extent of the <i>forest*</i> types, including patch size, age class or seral stage distribution, and the amount of old <i>forest*</i>; • The current frequency distribution of undisturbed residuals.
6.1.7	Assessment of water resource values identifies, at a minimum: a) Physical and biological characteristics of watercourses and waterbodies, including water quality, temperature, sedimentation, seasonality of stream flows, hydrologic patterns and fish, invertebrates and other aquatic indicator species; b) Current condition of aquatic <i>habitats*</i> and riparian areas; c) Areas where watercourses and waterbodies are sensitive to <i>forest*</i> management activities; and, d) Areas where watercourses and waterbodies have been degraded by past <i>forest*</i> management activities.
6.1.8	Assessment of soil resource values identifies, at a minimum: a) Soil types; b) Key soil biota; c) Areas where soil types are sensitive to <i>forest*</i> management activities; and, d) Areas where soils have been degraded by past <i>forest*</i> management activities.
6.1.9	Assessment of atmosphere values identifies, at a minimum, the role of the <i>forest*</i> in regulating climatic conditions and air quality.
6.1.10	Assessment of <i>landscape values*</i> identifies, at a minimum, recreational, cultural and other non-material benefits.
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 <i>environmental values*</i>. (C6.1 V4)	
INTENT: Assessment of potential impacts on identified <i>environmental values*</i>.	

ELEMENTS:	
1) Identify potential impacts according to SIR, prior to start of activities; 2) Assess potential impacts according to SIR; 3) Impacts are linked to identified <i>environmental values</i> *.	
6.2.1	Potential impacts of all management activities on identified <i>environmental values</i> * within and outside the <i>Management Unit</i> *, are identified and assessed during management planning and prior to site-disturbing activities. Management activities include all significant forestry and/or non-forestry operations conducted or authorized by <i>The Organization</i> * or its contractors in the <i>Management Unit</i> *.
6.2.2.	The assessment of potential impacts is at a level of detail and at a scale that is sufficient to identify and describe impacts so that, at a minimum: a) Necessary impact prevention and mitigation measures can be identified and implemented; b) Monitoring to detect and mitigate possible negative impacts can be identified; and, c) Both site-specific and larger-scale impacts can be identified and addressed.
6.2.3	The potential cumulative impacts of multiple management activities over time and space on identified <i>environmental values</i> * are identified and assessed.
6.2.4	The assessment of potential impacts identifies future <i>forest</i> * conditions based on proposed management activities and compares projected future conditions to current <i>forest</i> * conditions and to historic <i>natural conditions</i> *. The assessment of <i>forest</i> * conditions includes, at a minimum: a) The distribution of <i>forest</i> * types; b) Seral stages or age classes; c) The amount of old <i>forest</i> *; and, d) Patch sizes.
6.3 The Organization* shall* identify and implement effective actions to prevent negative impacts of management activities on the <i>environmental values</i>*, and to mitigate and repair those that occur, proportionate to the scale, intensity and risk* of these impacts. (C6.1 V4)	
INTENT: Negative impacts on <i>environmental values</i> * are prevented. If not prevented they are mitigated and repaired.	
ELEMENTS: 1) Actions identified and implemented to effectively prevent and avoid the impact; and 2) Actions identified and implemented effectively to mitigate and repair those impacts that do occur.	
6.3.1	Specific prescribed management activities, procedures and actions are identified, and documented to prevent negative impacts and to protect <i>environmental values</i> *. Prescribed activities, procedures and actions include, at a minimum, prescriptions to minimize: a) Loss of productive land; b) Soil disturbance and compaction; c) Nutrient loss on sensitive sites; d) Impacts on hydrologic regimes; e) Soil erosion; and, f) Damage to special sites.
6.3.2	Specific prescribed management activities, procedures and actions to maintain <i>biological diversity</i> * are identified and developed including, at a minimum:

	a) Current <i>forest*</i> conditions; b) Wildlife <i>habitats*</i>; and, c) <i>Ecosystem function*</i>.
6.3.3	Negative impacts to <i>environmental values*</i> are prevented, including through implementation of prescribed management activities, procedures and actions.
6.3.4	Specific prescribed management activities, procedures and actions are identified to repair and mitigate actual negative environmental impacts.
6.3.5	Where impact prevention is unsuccessful, negative impacts to <i>environmental values*</i> are mitigated and repaired, including through implementation of prescribed management activities, procedures and actions.
6.3.6	Emergency measures are in place and implemented that minimize negative impacts where avoidance and prevention measures have not proven effective to protect <i>environmental values*</i> .
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 V4)	
INTENT: <i>Protection*</i> of RT species and their <i>habitat*</i>, for their survival and viability, and through <i>conservation*</i> zones, <i>protection areas*</i>, <i>connectivity*</i> and other direct measures. Take account of range and ecological requirements and <i>conservation*</i> status. ELEMENTS: 1) Identify and protect <i>rare and threatened species*</i> and their <i>habitats*</i>; 2) identify <i>protection*</i> needs of identified <i>rare and threatened species*</i> and <i>habitats*</i>; 3) Define protective measures, through <i>conservation zones*</i>, <i>protection areas*</i> <i>connectivity*</i> and/or other direct measures, for the survival and viability of the species; 4) Implement measures within the <i>Management Unit*</i>.	
6.4.1	The best available information is used to identify <i>rare and threatened species*</i>, including but not limited to all CITES species and those listed on national, regional and local lists of <i>rare and threatened species*</i> and their <i>habitats*</i> that are present or likely to be present within the <i>Management Unit*</i> and adjacent to the <i>Management Unit*</i>. Guidance: <i>Habitats*</i> for <i>rare and threatened species*</i> include areas for procreation, feeding and shelter, including seasonal cycles of breeding, migration, hibernation, etc.
6.4.2	Potential impacts of management activities on <i>rare and threatened species*</i> and their <i>habitats*</i> are identified.
6.4.3	Specific management activities and <i>protection*</i> measures (and/or restrictions), are identified to maintain or protect <i>rare and threatened species*</i> and their <i>habitats*</i>. Measures include <i>conservation zones*</i>, <i>protection areas*</i>, <i>connectivity*</i> and/or (where necessary) other direct measures for their survival and viability. Guidance:

	<i>Conservation zones*</i> and <i>protection areas*</i> are areas of land and <i>ecosystems*</i> actively managed, to provide a credible assurance of achieving any one or more of the following objectives: - To achieve the long-term maintenance of viable populations of species resident in the <i>Management Unit*</i> (Criterion 6.6), with special reference to <i>rare and threatened species*</i> and their <i>habitats*</i> (Criterion 6.4); - To achieve the long-term maintenance of samples of <i>native ecosystems*</i> found in, or typical of, the <i>Management Unit*</i>. This includes their characteristic age and size distributions and soil characteristics, with special reference to rare and threatened <i>ecosystems*</i> and <i>habitats*</i>, and those that are vulnerable to disturbances, sufficient to serve as baseline reference points for detecting and monitoring environmental changes in other parts of the <i>Management Unit*</i> (Criterion 6.5); - To establish and maintain <i>native ecosystems*</i>, adapted to the site (Criterion 6.5), as a contribution to the <i>conservation*</i> of flora and fauna in the region (Criterion 6.6), and to their <i>resilience*</i> and adaptability to climate change. <i>Conservation zone *</i>and <i>protection areas*</i> are managed in ways that provide credible assurances these or other objectives are achieved, to be determined case by case. These may require interventions, and may not necessarily exclude other practices such as <i>reduced impact harvesting*</i>. QUESTION FOR CONSULTATION: Is an additional indicator needed to first identify <i>protection*</i> needs of identified <i>rare and threatened species*</i> and <i>habitats*</i>, in order to then identify the specific management activities and <i>protection*</i> measures as required here?
6.4.4	The <i>rare and threatened species*</i> and their <i>habitats*</i> are protected in the <i>Management Unit*</i> , including through <i>conservation zones*</i> , <i>protection areas*</i> , <i>connectivity*</i> , and/or other direct measures, including through implementation of the prescribed management activities and <i>protection*</i> measures (and/or restrictions).
6.4.5	Hunting, fishing, trapping and collection of <i>rare or threatened species*</i> are controlled and do not negatively impact <i>rare and threatened species*</i> or threaten the success of maintenance or enhancement measures put in place to protect the species.
6.5 The Organization* shall* identify and protect representative sample areas of <i>native ecosystems*</i> and/or restore them to more <i>natural conditions*</i>. Where representative sample areas do not exist, The Organization shall* restore a proportion of the <i>Management Unit*</i> to more <i>natural conditions*</i>. The size of the areas and the measures taken for their protection or restoration shall* be proportionate to the <i>conservation*</i> status and value of the <i>ecosystems*</i> at the <i>landscape*</i> level, and the <i>scale, intensity and risk*</i> of management activities. (C6.4 and 10.5 V4)	
INTENT: To ensure existence of RSAs of <i>native ecosystems*</i>. RSAs are protected. If not present then RSAs are established through <i>restoration*</i>. ELEMENTS: 1) Identify existing natural <i>native ecosystems*</i>; 2) Identify existing RSAs of <i>native ecosystems*</i>; 3) If not enough RSAs of <i>native ecosystems*</i>, identify and <i>restore*</i> sufficient to be representative; 4) <i>Restore*</i> existing RSAs to more naturalness; 5) Create RSAs of <i>native ecosystems*</i> where they don't exist; 6) The size of the RSAs of <i>native ecosystems*</i> (existing, restored and created) has to be proportionate to the <i>conservation*</i> status and value, and the <i>scale and intensity*</i> of management activities; 7) Protect these RSAs of <i>native ecosystems*</i>.	
6.5.1	<i>Native ecosystems*</i> that exist, or would exist under historic <i>natural conditions*</i> are identified.

6.5.2	Existing representatives of natural <i>native ecosystems*</i> that are protected within the <i>Management Unit*</i> and the surrounding <i>landscapes*</i>, and that are of sufficient size and condition to function as natural <i>ecosystems*</i>, are identified and mapped. Guidance: Only areas that are protected, and that are sufficiently large to function as a natural <i>ecosystem*</i>, and that are sufficiently intact (not degraded) to function as a natural <i>ecosystem*</i> can be included as contributing to the “representative sample areas”. Very small areas and areas that are degraded so that they can no longer function as natural <i>ecosystems*</i> are not included in the identification of the “existing representatives”.
6.5.3	An analysis is completed to assess the adequacy of the existing protected sample areas of natural <i>native ecosystems*</i> in the <i>Management Unit*</i> to represent the full suite of <i>native ecosystems*</i> that exist or would naturally exist in the <i>Management Unit*</i>, proportionate to the <i>conservation*</i> status and value of the <i>ecosystems*</i> at the <i>landscape*</i> level, and the size of the <i>Management Unit*</i> and the <i>intensity*</i> of <i>forest*</i> management. Guidance: Once the total area that can be included as contributing to the representative sample areas are identified in 6.5.2, then it is required to assess the adequacy of those sample areas to fully represent the existing suite of natural <i>ecosystems*</i>. Adequacy is determined proportionate to the <i>conservation*</i> status and value of the <i>ecosystems*</i> at the <i>landscape*</i> level, and the <i>scale, intensity and risk*</i> of management activities. If this representation analysis, is positive – i.e. protected samples are “adequate” relative to the value of status and value of the <i>ecosystems*</i>, then no further obligation exists. If not adequate, then Indicators 6.5.5 and 6.5.6 and 6.5.7 address the scenarios that can arise.
6.5.4	The analysis identifies any <i>native ecosystems*</i> that are not adequately represented in protected sample areas in the <i>Management Unit*</i>. Guidance: See explanation of “adequate” representation above. Adequate is proportionate to the <i>conservation*</i> status and value of the <i>ecosystems*</i> at the <i>landscape*</i> level, and the <i>scale, intensity and risk*</i> of management activities.
6.5.5	The analysis of representation is conducted using a scientifically rigorous methodology and is reviewed by an expert independent of <i>The Organization*</i>. QUESTION FOR CONSULTATION: The Criterion does not explicitly require that <i>The Organization* shall*</i> assess and record the presence and status of representative sample areas, through <i>engagement*</i> with <i>affected stakeholders*</i>, <i>interested stakeholders*</i> and other means and sources. Equally, the Criterion does not explicitly require <i>The Organization*</i> to engage independent experts. There are clear potential benefits and costs to engaging independent experts to review the results of the assessment. Is it consistent with the criterion then to require independent expert review of assessments as expressed in this indicator?”
6.5.6	Where the analysis identifies gaps in representation of the natural <i>native ecosystems*</i> in protected representative sample areas, opportunities to protect additional representative samples of natural <i>native ecosystems*</i> within the <i>Management Unit*</i> are identified.
6.5.7	Representative sample areas are designated and protected in the <i>Management Unit*</i>, proportionate

	to <i>conservation*</i> status and value of the natural <i>native ecosystems*</i> found on the <i>Management Unit*</i> and proportionate to the size of the <i>Management Unit*</i> and the <i>intensity*</i> of <i>forest*</i> management, including through the designation and <i>protection*</i> of additional areas when the analysis identifies gaps in the adequacy of the representation of natural <i>native ecosystems*</i>. Note: Guidelines for the appropriate management of <i>conservation zones and protection areas*</i>, and for their size, design and <i>connectivity*</i>, should be included in generic, regional or national FSC Forest Stewardship Standards according to circumstances and priorities.
6.5.8	Where representative sample areas of <i>native ecosystems*</i> do not exist, a proportion of the <i>Management Unit*</i> is restored to more <i>natural conditions*</i> , proportionate to the <i>conservation*</i> status and value of the <i>ecosystems*</i> at the <i>landscape*</i> level, and proportionate to the size of the <i>Management Unit*</i> and the <i>intensity*</i> of <i>forest*</i> management.
6.5.9	The total area under <i>protection*</i> as representative sample areas is greater than 10% of the total area of the <i>Management Unit*</i> and each area is large enough to represent the identified natural <i>native ecosystems*</i> and is situated adjacent to associated natural <i>native ecosystems*</i> where possible. QUESTION FOR CONSULTATION: The IGI WG has been discussing the percentage of representative sample areas to be included in the IGIs. It is suggested that this percentage should include the <i>conservation*</i> areas. Should there be a minimum percentage of the area given over to representative sample areas and <i>conservation zones*</i>, and if so, what should it be? Any justification, either scientific or regulatory would be useful.
6.5.10	Specific management activities and <i>protection*</i> measures are defined and implemented that protect and/or <i>restore*</i> the protected representative sample areas of natural <i>native ecosystems*</i> .
6.5.11	Specific management measures are implemented that <i>restore*</i> protected sample areas of natural <i>native ecosystems*</i> that are degraded to more <i>natural conditions*</i> to improve the viability of the representative sample areas.

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 V4)**

INTENT: Maintain native species and *genotypes**; and *biological diversity**. Effective measures to manage and control hunting etc.

ELEMENTS:

- 1) Identify native species and *genotypes**
- 2) Maintain native species and *genotypes** within the *Management Unit**.
- 3) *Habitat** management within the *Management Unit**.
- 4) Prevent *biological diversity** loss within the *Management Unit**.
- 5) Effective measures to manage and control hunting, etc within the *Management Unit**

- | | |
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| 6.6.1 | <p>The range of naturally occurring species and their distribution are identified. Naturally occurring species include, at a minimum:</p> <p>a) Fish;</p> |
|-------|---|

	b) Mammals; c) Amphibians and reptiles; d) Birds; e) Flora, including rare plant communities; f) Fungi; and g) Insects. Guidance: The intent with this indicator is to give particular consideration to species and biodiversity not covered under 6.4, including species or species guilds with populations that are influenced by <i>forest*</i> management. They may include: <i>forest*</i> interior specialists; early successional <i>forest*</i> specialists; mature <i>forest*</i> specialists; <i>forest*</i> understory species; species with large territories or home ranges whose populations may be dependent on specific <i>habitat*</i> conditions; species at <i>risk*</i> from <i>habitat*</i> fragmentation; and, species with very restricted ranges limited by specific <i>habitat*</i> conditions.
6.6.2	Experts knowledgeable about the local biodiversity are engaged, and relevant sources are consulted in identifying naturally occurring species and <i>genotypes*</i> and their natural distribution. QUESTION FOR CONSULTATION: The Criterion does not explicitly require that <i>The Organization* shall*</i> assess and record the presence and status of biodiversity, through <i>engagement*</i> with <i>affected stakeholders*</i>, <i>interested stakeholders*</i> and other means and sources. Equally, the Criterion does not explicitly require <i>The Organization*</i> to engage independent experts. There are clear potential benefits and costs to engaging independent experts to assess and record the presence and status of biodiversity. Is it consistent with the criterion then to require independent expert assess and record the presence and status of biodiversity in this indicator?"
6.6.3	The impact of current and planned management practices on the abundance and distribution of naturally occurring species and <i>genotypes*</i> is assessed.
6.6.4	Where assessment shows that current practices are insufficient or detrimental to maintain the existence distribution of naturally occurring species and <i>genotypes*</i>, measures are implemented that maintain the continued existence and natural distribution of naturally occurring species and <i>genotypes*</i>.
6.6.5	<i>Habitat*</i> attributes and structures sufficient to maintain and <i>restore*</i> biodiversity at the stand level are protected or recruited by the prescribed practices and activities. The <i>habitat*</i> attributes and structures protected and recruited include, at a minimum: a) Old commercial and non-commercial trees whose age noticeably exceeds the average age of the main canopy; b) Trees with special ecological value; c) Vertical and horizontal complexity; d) Standing dead trees; e) Dead fallen wood; f) Understory plants; g) Resting sites; h) Small wetlands, bogs, fens; i) Ponds; and j) Small non-<i>forest*</i> open areas
6.6.6	<i>Habitat*</i> conditions for the continued existence of populations of the full range and distribution of naturally occurring species are maintained and restored by practices across the <i>landscape*</i>. Practices include, at a minimum:

	a) Timber harvest and silvicultural methods that maintain and <i>restore* natural forest*</i> diversity, composition, and structure; b) 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; c) Retention of woody debris, and other vegetation representative of the historic natural stand; d) Opening sizes and rotation lengths for even-aged operations are regulated to ensure a range of stand ages that maintain all natural <i>habitat*</i> types and prevent fragmentation, and to prevent cumulative watershed impacts; and, e) Configuration of harvesting to ensure <i>connectivity*</i>.
6.6.7	Up-to-date information is maintained about hunting, fishing, trapping or collecting activities, including harvest levels are authorized or permitted to take place.
6.6.8	Effective measures are in place to limit hunting, fishing, trapping or collecting activities so that naturally occurring native species and <i>genotypes*</i> and their natural distribution are maintained. Measures include, at a minimum: a) Measures to control or limit access where illegal activities occur; b) Patrols to detect and prevent illegal access to the <i>forest*</i>; and, c) Sufficient personnel to detect and control illegal activities promptly. Note: In regions where hunting is essential for subsistence and where the bush meat trade is threatening species diversity consider the following indicators: a) There is a clear policy on hunting and collection activities within the FMU; b) The policy is effectively communicated to employees, contractors and local residents; c) The policy is implemented to ensure the law is respected and the rights of local people are clarified and respected; d) Mechanisms for wildlife <i>protection*</i> are in place: Applicable national and/or international regulations on <i>protection*</i>, hunting and trade in animal species or parts (trophies) <i>shall*</i> be known and complied with; e) An internal regulation banning and punishing the transportation of and trade in bush meat and firearms in logging company vehicles; Illegal hunting <i>shall*</i> be forbidden; f) A system of regular and punctual controls to ensure hunting policies are respected is implemented.
6.7 The Organization* <i>shall*</i> protect or restore natural water courses, water bodies, riparian zones and their <i>connectivity*</i>. The Organization <i>shall*</i> avoid negative impacts on water quality and quantity and mitigate and remedy those that occur. (C6.5 V4)	
INTENT: Maintain natural water courses. ELEMENTS: 1) Identify and map water bodies 2) Protect or <i>restore*</i> natural water courses, water bodies, riparian zones and their <i>connectivity*</i>. 3) Avoid negative impacts on water quality and quantity. 4) Mitigate/remedy negative impacts caused by management activities.	
6.7.1	Natural water courses and water bodies are identified and mapped. Guidance: • Water courses include seasonal, temporary and permanent brooks, creeks, streams and rivers, including their riparian or edge vegetation. • Water bodies include, for example, riparian or wetland systems, lakes, swamps, bogs, springs and

	their associated seasonal zones and vegetation.
6.7.2	Measures and practices are implemented that protect natural water courses, and water bodies, and water quality. Measures include, at a minimum, a) Measures to protect native vegetation in riparian zones of water courses and water bodies; b) Measures to prevent impacts from road location, construction, maintenance and use; c) Measures to prevent negative changes in water quantity and quality; d) Measures to prevent soil erosion from harvesting, roads, and other activities; and e) Measures to prevent impacts from chemicals or fertilizers.
6.7.3	Measures and practices are implemented around natural water bodies and water courses that are sufficient to maintain and protect at a minimum: a) Natural water courses, water bodies and their <i>connectivity</i>*; b) <i>Habitat</i>* for aquatic species that breed in surrounding uplands; c) <i>Habitat</i>* for predominantly terrestrial species that breed in adjacent aquatic <i>habitats</i>*; d) <i>Habitat</i>* for species that use riparian areas for feeding, cover, and travel; e) <i>Habitat</i>* for plant species associated with riparian areas; f) Stream shading and inputs of wood and leaf litter into the adjacent aquatic areas; g) Instream <i>habitat</i>*; and h) Water quality and water quantity.
6.7.4	Where management measures and practices implemented did not protect watercourses and water bodies from impacts of <i>forest</i>* harvesting activities, measures are implemented that <i>restore</i>*, at a minimum: a) Natural water courses, water bodies and their <i>connectivity</i>*; b) <i>Habitat</i>* for aquatic species that breed in surrounding uplands; c) <i>Habitat</i>* for predominantly terrestrial species that breed in adjacent aquatic <i>habitats</i>*; d) <i>Habitat</i>* for species that use riparian areas for feeding, cover, and travel; e) <i>Habitat</i>* for plant species associated with riparian areas; f) Stream shading and inputs of wood and leaf litter into the adjacent aquatic areas; g) Instream <i>habitat</i>*; and h) Water quality and water quantity.
6.7.5	<i>Invasive species</i> * are removed from riparian zones.
6.7.6	Natural water courses and water bodies, and water quality that have been damaged by past land or water use by <i>The Organization</i> *, are restored. Where there is continued environmental degradation caused by previous managers and the activities of third parties, measures are implemented that prevent or mitigate continued environmental degradation.
6.7.7	Stream flows and fish passages are not blocked by roads, dams, or bars across watercourses and existing blockages are removed or remedied.
6.8 The Organization* shall* manage the <i>landscape</i>* in the <i>Management Unit</i>* to maintain and/or restore a varying mosaic of species, sizes, ages, spatial scales and regeneration cycles appropriate for the <i>landscape values</i>* in that region, and for enhancing environmental and economic resilience*. (C10.2 V4)	
INTENT: Provide a diverse forested <i>landscape</i>* within the <i>Management Unit</i>*, enhancing environmental and economic <i>resilience</i>*.	
ELEMENTS: 1) Identify the <i>landscape</i>* level norms of structural diversity in terms of mosaics of species, sizes, ages, and	

regeneration cycles. 2) Plan and implement management activities to maintain and/or <i>restore</i> * this diversity.	
6.8.1	The <i>landscape</i> * is managed to maintain and/or <i>restore</i> * a varying mosaic of species, sizes, ages, spatial scales and regeneration cycles appropriate for the visual <i>landscape values</i> *.
6.8.2	Where the current mosaic of species, sizes, ages, spatial scales and regeneration cycles is significantly different than the historic <i>natural forest</i> * condition, management activities and measures are implemented that enhance environmental and economic <i>resilience</i> *.
6.8.3	Where the current structure of the <i>forest</i> * lacks natural levels of diversity, management activities are implemented that <i>restore</i> * diversity.
6.9 The Organization* shall* not convert <i>natural forest</i>* to plantations*, nor <i>natural forests</i>* or plantations to any other land use, except when the conversion: a) affects a very limited portion of the area of the <i>Management Unit</i>*, and b) will produce clear, substantial, additional, secure long-term <i>conservation</i>* benefits in the <i>Management Unit</i>*, and c) does not damage or threaten <i>High Conservation Values</i>*, nor any sites or resources necessary to maintain or enhance those <i>High Conservation Values</i>*. (C6.10 V4) INTENT: Protect <i>forest</i>* resources from conversion and to limit the scope for conversion: No conversion except when affects very limited portion. No conversion except when produces <i>conservation</i>* benefit in the <i>Management Unit</i>*. No conversion except when does not threaten HCVs or sites necessary to maintain/enhance HCVs. ELEMENTS: 1) The international threshold (very limited portion) cannot be exceeded when converting. 2) Identify HCVs and HCV Areas and make sure they're not being harmed. 3) Confirm the conversion is creating <i>conservation</i>* benefits in the <i>Management Unit</i>*, which are clear, substantial, additional, and secure long-term.	
6.9.1	Any <i>forest</i> * areas that are being converted (either from <i>plantation</i> * to non- <i>forest</i> * use or from <i>natural forest</i> * to <i>plantation</i> * or non- <i>forest</i> * use) and / or are scheduled for conversion over the next five year period are identified.
6.9.2	No conversion to <i>plantations</i>* or non-<i>forest</i>* lands occurs, except in circumstances where the conversion: a) Affects no more than 0.5% of the total area of the <i>Management Unit</i>* in the current or any future year and does not result in a cumulative total area converted in excess of 5% of the <i>Management Unit</i>* since November 1994; b) Does not damage or threaten <i>High Conservation Values</i>*, nor any sites or resources necessary to maintain or enhance those <i>High Conservation Values</i>*; and, c) Will produce clear, substantial, additional, secure long-term <i>conservation</i>* benefits in the <i>Management Unit</i>*.
6.10 <i>Management Units</i>* containing plantations* that were established on areas converted from <i>natural forest</i>* 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 <i>Management Unit</i>* and is producing clear, substantial, additional, secure long term <i>conservation</i>* benefits in the <i>Management</i>	

Unit*. (C10.9 V4)

INTENT: No post 94 conversion of *natural forest** to *plantation**: *Plantations** established on areas converted from *natural forests** after 1994 are not eligible for certification except where *The Organization** was not directly/indirectly involved. Converted area complies with C6.9.

ELEMENTS:

Identify areas converted from *natural forest** to *plantations**, date of conversion, who was responsible for the conversion, size of the areas converted, size of the *Management Unit**, and any associated *conservation** benefits.

Exclude from certification any *management units** containing *plantations** on sites where *natural forests** were converted after 1994, unless:

- There is clear and sufficient evidence *The Organization** was not directly or indirectly responsible for the conversion, *or*
- The conversion occurred on a very limited portion* of the *Management Unit** and is producing clear, substantial, additional, secure long-term *conservation** benefits in the unit.

6.10.1	All areas of <i>plantations*</i> , their original establishment dates, and the prior status of the areas are identified.
6.10.2	No areas have been converted from <i>natural forest*</i> to <i>plantation*</i> since November 1994 except where: a) The <i>Organization*</i> provides clear and sufficient evidence that it was not directly or indirectly responsible for the conversion; <u>or</u> b) The total area of <i>plantation*</i> on sites converted from <i>natural forest*</i> since November 1994 is less than 5% of the total area of the <i>Management Unit*</i>; <u>and</u> c) The conversion is producing clear, substantial, additional, secure long-term <i>conservation*</i> benefits in the <i>Management Unit*</i>.

Principle 7: Management Planning

Guidance: Conceptual Framework for Planning / Monitoring.

MANAGEMENT PLANNING DOCUMENT (FOR EXAMPLE, WILL VARY WITH SIR AND JURISDICTION)	PLAN REVISION PERIODICITY	ELEMENT BEING MONITORED (PARTIAL LIST)	MONITORING PERIODICITY	WHO MONITORS THIS ELEMENT (FOR EXAMPLE, WILL VARY WITH SIR AND JURISDICTION)	FSC PRINCIPLE OR CRITERION
Site 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
		RTE species	Annually	Consulting Biologist	P6
		AAC	Annually	Woodlands manager	C5.2
		Insect disease outbreaks	Annually, sample	Consulting Biologist / Ministry of Forests	
Business Plans	Annual	Expenditures	Annually	COO	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 Engagement Plan	Social Coordinator	P3, P4
		Grievances	Ongoing	HR Manager	P2, P3, P4
		Sexual discrimination	Ongoing	HR Manager	
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	Ten years	Ministry of Environment	P6
		10 year AAC	Annually, ten years	Ministry of Forests / Woodlands manager	C5.2

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.*

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. (C7.1 V4)**

INTENT: responsible *forest** management.

ELEMENTS:

- 1) Set Policies (vision and values) and *objectives** for environmentally sound, socially beneficial and economically viable management;
- 2) Incorporate a summary of these in the *management plan**;
- 3) Publicize this summary within *The Organization** and to contractors/suppliers.

SIR

7.1.1	<i>The Organization</i> *'s policies (vision and values) contributing to environmentally sound, socially beneficial, and economically viable <i>forest</i> * management are described in a <i>management plan</i> *.
7.1.2	Specific, measurable management <i>objectives</i> * are established that, at a minimum, operationalize the social, environmental and economic requirements of this standard.
7.1.3	A summary of <i>The Organization</i> *'s policies (vision and values) and management <i>objectives</i> * is included in the <i>management plan</i> *.
7.1.4	The summary of <i>The Organization</i> *'s policies (visions and values) and management <i>objectives</i> * is publicized.

7.2 *The Organization shall* have and implement a *management plan** for the *Management Unit** which is fully consistent with the policies and *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 V4)**

INTENT: Have and implement a *management plan** that covers *forest** management planning and social management planning.

ELEMENTS:

- 1) Have a *management plan** for the *Management Unit** consistent with the policies and *objectives**;
- 2) *Management plan** includes a description of natural resources;
- 3) Explain mechanisms and activities of the plan to meet FSC requirements;
- 4) *Management plan** covers *forest** management planning;
- 5) *Management plan** covers social management planning;
- 6) *Management plan** is implemented.

7.2.1	The <i>management plan</i> * details management actions, procedures, strategies and other measures to achieve the policies and <i>objectives</i> * established in the <i>management plan</i> *, and all relevant indicators within this standard.
7.2.2	Written descriptions and maps in the <i>management plan</i> * describe the natural resources found in, and adjacent to, the <i>Management Unit</i> *, that could be affected by management activities, including those identified through assessments required in Criterion 6.1 and 9.1 or by stakeholders through <i>engagement</i> *.
7.2.3	Written descriptions and maps describe the social, economic and cultural resources found in, and adjacent to, the <i>Management Unit</i> *, that could be affected by management activities, including those

	identified through assessments required in Criterion 6.1 or 9.1 or by stakeholders through <i>engagement*</i> .
7.2.4	The <i>management plan*</i> addresses elements of <i>forest*</i> management planning, including: a. A summary of the existing natural resources and <i>environmental values*</i>; b. A summary of the results of assessments; c. A description of the existing and planned management practices and systems; d. The rationale and justification for the selection of the resources and services to be utilized; e. The rationale and justification for planned harvesting of natural resources, including volumes and rates; f. Plans for monitoring growth and estimating and allocating yields of natural resources; g. Environmental and biological monitoring systems planned or in place; h. A description of the monitoring information to be collected and how and when this information can be accessed; i. Safeguards and measures to identify, assess, analyze, prevent, avoid, repair and mitigate actual and potential negative impacts on <i>environmental values*</i>; j. Strategies, safeguards and measures for the identification and protection of endemic, <i>rare and threatened species*</i> and <i>habitats*</i>, and <i>High Conservation Values*</i>; k. Safeguards and measures to identify, protect, and/or <i>restore*</i> representative sample areas of <i>native ecosystems*</i>; l. Safeguards and measures to maintain or enhance or <i>restore*</i> <i>ecosystem functions*</i> and <i>environmental values*</i>; m. Safeguards and measures to conserve or enhance water courses, riparian zones, <i>landscape* connectivity*</i> including wildlife corridors, and the variety and <i>scales*</i> of stands in the <i>Management Unit*</i>; n. Maps and plans for land use zoning, <i>conservation zones*</i> and <i>protection areas*</i>, harvesting, planting, infrastructure or other elements of planning; o. Technical descriptions of any high impact activities, such as mechanical harvesting or processing, within the <i>Management Unit*</i>; p. Data sufficient to show the overall <i>economic viability*</i> of the <i>Management Unit*</i> in the short, medium, and long term; q. Measures for the diversification of products and services; r. Investments made or planned to maintain <i>economic viability*</i> and <i>ecosystem*</i> productivity; s. Clear references to other documents used to support the <i>management plan*</i>; t. Linkages between planned activities and the stated management <i>objectives*</i>; u. An assessment of the carbon stocks and flows required, to be part of the <i>management plan*</i>.
7.2.5	The <i>management plan*</i> addresses elements of social management planning, including: a. An overview of the local socio-economic situation; b. An overview and brief description of major stakeholder groups that are affected or potentially affected by <i>The Organization*</i>; c. An overview of local government and development institutions and programs; d. An analysis of the major social and environmental issues and conflicts in the area that may be impacted by activities in the <i>Management Unit*</i>; e. Safeguards and measures to identify, assess, analyze, prevent, avoid, mitigate and remedy actual and potential negative social impacts; f. Programs and activities regarding <i>workers*</i> rights, occupational health and safety, <i>gender equality*</i>, <i>indigenous peoples*</i>, community relations, local economic and social development, land acquisition (if applicable), stakeholder <i>engagement*</i> and resolution of grievances, in line with <i>The Organization*</i>'s policies and <i>objectives*</i> for socially beneficial management; g. Social monitoring systems planned or in place; h. References to existing documents used to support the <i>management plan*</i>, so as to avoid unnecessary duplication in documentation; i. Descriptions of how social <i>objectives*</i> will be achieved.

7.2.6	For harvest of existing <i>plantations*</i>, the <i>management plan*</i> identifies regeneration <i>objectives*</i> and explains how vegetation cover will be regenerated to the cover that existed prior to the harvest or to more <i>natural conditions*</i> using ecologically well-adapted species. Guidance: “Cover that existed prior to harvest” means prior to the most recent harvest. As per Explanatory Note 1, page 120, “pre-harvest” can be either: - <i>Plantation*</i>; or - <i>Natural forest*</i>, either: a. purely natural, meaning the same as the historic natural condition; or b. a degraded natural stand, degraded by previous harvest or natural events. The requirements are different for each of these 3 pre-harvest situations. Indicator 7.2.6 addresses <i>Plantation*</i>; 7.2.7 addresses the 2 types of <i>natural forest*</i>.
7.2.7	For harvest of purely <i>natural forests*</i> , the <i>management plan*</i> identifies regeneration <i>objectives*</i> and explains how vegetation cover will be regenerated to historic <i>natural conditions*</i> that existed prior to the harvest.
7.2.8	For harvest of degraded natural stands, the <i>management plan*</i> identifies regeneration <i>objectives*</i> and explains how vegetation cover will be regenerated to more <i>natural conditions*</i> .
7.2.9	The management actions, procedures, strategies or other measures used to achieve the <i>objectives*</i> established in the <i>management plan*</i> and the indicators of this standard are communicated and implemented through operational and site level plans including harvesting, road, silvicultural and other plans.
7.2.10	Where the <i>management plan*</i> is not a single document, a framework demonstrates how individual documents and reports collectively provide a <i>management plan*</i> .
7.3 The <i>management plan*</i> shall* include verifiable targets by which progress towards each of the prescribed management <i>objectives*</i> can be assessed. (New)	
INTENT: Progress towards achievement of management <i>objectives*</i> is monitored and evaluated. ELEMENTS: 1) Define verifiable targets for each management <i>objective*</i>; 2) Include the targets in the <i>Management plan*</i>; 3) Use target to measure progress towards the <i>objectives*</i>.	
7.3.1	Measurable targets are established in the <i>management plan*</i> for each management <i>objective*</i> , action, procedure, strategy or other measure.
7.3.2	The targets are included in the <i>Management plan*</i> and serve as the basis for monitoring.
7.3.3	Management outcomes are measured to evaluate progress towards the achievement of targets, and <i>objectives*</i> established in the <i>management plan*</i> , and the results are used for <i>adaptive management*</i> .
7.4 The <i>Organization*</i> shall* update and revise periodically the management planning and procedural documentation to incorporate the results of monitoring and evaluation, stakeholder <i>engagement*</i> or new scientific and technical information, as well as to respond to changing environmental, social and economic circumstances. (C7.2 V4)	

INTENT: Updating and revision of the <i>management plan</i>* and procedures, and <i>adaptive management</i>* within the <i>Management Unit</i>*. ELEMENTS: 1) The planning and procedural documents are periodically updated and revised; 2) the updates incorporate: a. monitoring results, including results of certification audits; b. evaluation results; c. stakeholder <i>engagement</i>* results; d. new scientific and technical information; 3) Respond to changing environmental, social and economic circumstances.	
7.4.1	Updates and revisions to the relevant documents, reports, plans or procedures occur in a timely way in response to the sensitivity of the environmental, social and economic circumstances, the results of monitoring, evaluation and related operational procedures, consistent with an <i>adaptive management</i> * approach.
7.4.2	The results of monitoring, evaluation, stakeholder <i>engagement</i> *, certification audits and changes in the implementation of the <i>management plan</i> * are assessed and the relevant documents, reports, plans or procedures updated or revised as needed and in a timely way in response to the sensitivity of the environmental, social and economic circumstances, to effectively achieve the <i>objectives</i> * and indicators of this standard.
7.4.3	New scientific and technical information that is relevant to management in the <i>Management Unit</i> * is identified and incorporated in a timely way in response to the sensitivity of the environmental, social and economic circumstances in updated or revised documents, reports, plans or procedures.
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 V4)	
INTENT: Transparency in management planning. ELEMENTS: 1) A summary of the <i>Management plan</i>* is available free of charge; 2) Other <i>Management plan</i>* components must be given to <i>affected stakeholders</i>* on request; 3) Confidential information can be excluded; 4) No more than the cost of reproduction and handling can be charged.	
7.5.1	A summary of the <i>management plan</i> * is <i>publicly available</i> * at no cost.
7.5.2	The complete <i>management plan</i>*, excluding confidential information, is available to <i>affected stakeholders</i>* on request, and at cost of reproduction and handling if requested by <i>The Organization</i>*. Guidance: confidential information may include information : a. related to investment decisions; b. about <i>intellectual property</i>* rights; c. which is client confidential; d. which is by law confidential; e. whose provision could put at <i>risk</i>* the protection of wildlife species and <i>habitats</i>*; f. about sites which are of special cultural, ecological, economic, religious or spiritual significance to <i>indigenous peoples</i>* or <i>local communities</i>* (see Criteria 3.5 and 4.7) as requested by these groups.

	QUESTION FOR CONSULTATION: Is this list with examples of confidential information needed here? If so, should it be positive or negative? What should the list include?
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 V4)	
INTENT: Proactive and transparent <i>engagement*</i> with stakeholders in management planning and monitoring. ELEMENTS: 1) Identify <i>affected stakeholders*</i>; 2) Engage them in planning and monitoring processes; 3) <i>Engagement*</i> happens transparent and proactive; 4) Engage <i>interested stakeholders*</i> on request. SIR	
7.6.1	All stakeholders affected by, or interested in management activities are identified and their up-to-date and accurate contact information is maintained.
7.6.2	<i>Affected stakeholders*</i> are notified in advance of any operations that are likely to have negative impact on them, and provided with an opportunity for <i>engagement*</i> in order to identify ways to avoid or reduce any expected impacts.
7.6.3	<i>Interested stakeholders*</i> are notified in advance of any operations likely to have an impact on their interests, and are engaged if a request for <i>engagement*</i> is received.
7.6.4	The results of stakeholder <i>engagement*</i> are documented and incorporated in management planning.
7.6.5	Employees and contractors (or their representatives) are informed of management issues that will affect them and are provided with an opportunity to engage and to suggest ways to mitigate any expected negative impacts.

Principle 8: Monitoring and Assessment

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*.

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

INTENT: Monitoring the implementation of the *Management Plan** and its outcomes.

ELEMENTS:

- 1) *Management Plan** implementation is monitored;
- 2) Policies and *objectives** are monitored;
- 3) Progress with planned activities is monitored;
- 4) Achievement of targets is evaluated.

8.1.1 A monitoring plan describes a regular, comprehensive, and replicable program that monitors the implementation of the *Management Plan** and achievement of the measurable targets established for each management *objective** in the *Management Plan**.

The monitoring plan establishes the monitoring activities and timelines to monitor, at a minimum:

- a) Site productivity, yield of all products harvested;
- b) Growth rates, regeneration and condition of the vegetation;
- c) Composition and observed changes in the flora and fauna;
- d) Water quality and quantity;
- e) Soil erosion, compaction, fertility and carbon content;
- f) Wildlife populations, biodiversity and status of *High Conservation Values**;
- g) Sensitive cultural and environmental resources;
- h) Stakeholder satisfaction with *engagement**;
- i) Benefits of management operations provided to *local communities**;
- j) Number of *occupational accidents**;
- k) Overall *economic viability** of the *Management Unit**.

QUESTION FOR CONSULTATION

This question applies to indicators 8.1.1, 8.1.3, 8.3.2 and 8.3.3:

A timeframe hasn't been set yet in the standard.

Where sensitive resources are involved, monitoring occurs during and after operations, and also adaptive management.

8.1.2 The monitoring plan is implemented and provides up-to-date information about implementation of the policies and *objectives**.

8.1.3 Achievement of any verifiable targets identified in the *Management Plan** is monitored consistent with the monitoring plan and *adaptive management** applied where monitoring shows a failure in planned activities to meet the *Management Plan** or where targets are not being met.

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 V4)**

INTENT: Monitoring & evaluation of social and environmental impacts and conditions.

ELEMENTS:

- 1) Environmental impacts of activities in the *Management Unit** are monitored and evaluated;
- 2) Social impacts of activities in the *Management Unit** are monitored and evaluated;
- 3) Changes in environmental condition of the *Management Unit** are monitored and evaluated.

8.2.1	Monitoring includes evaluation of the social impacts of management activities. Monitoring is sufficient to identify and describe social impacts including, at a minimum: a) evidence of illegal or unauthorized activities; b) programs and activities regarding <i>workers</i>*' rights, occupational health and safety; c) <i>gender equality</i>*; d) where <i>pesticide</i>*s are used, the health of <i>workers</i>* exposed to <i>pesticides</i>*; e) <i>indigenous peoples</i>* and community relations; f) local economic and social development; g) <i>stakeholder engagement</i>*; h) <i>protection</i>* of sites of special cultural, ecological, economic, religious or spiritual significance to <i>indigenous peoples</i>*; i) full implementation of the terms agreed in FPIC agreements and Community Protocols regarding the use of traditional knowledge and <i>intellectual property</i>*; j) resolution of grievances; k) Sexual harassment and gender discrimination.
8.2.2	Monitoring includes evaluation of the environmental impacts of management activities. Monitoring is sufficient to identify and describe environmental impacts, including, at a minimum: a) composition of flora and fauna; b) wildlife populations and <i>habitats</i>*; c) soils; d) water resources; e) biomass; f) <i>rare and threatened species</i>*; g) invasiveness or other adverse impacts associated with any <i>alien species</i>* within and outside the <i>Management Unit</i>*; h) adverse impacts to soils, rare plant communities, wildlife <i>habitats</i>*, aquatic <i>ecosystems</i>*, and water quality from fertilizer or chemical applications; i) mortality, disease, insect outbreaks or adverse ecological impacts related to the regeneration of <i>alien species</i>*; j) other impacts associated with <i>forest</i>* management activities.
8.2.3	Monitoring includes evaluation of environmental changes. Monitoring is sufficient to identify and describe changes including, at a minimum: a) changes in <i>forest</i>* composition unrelated to <i>forest</i>* management activities; b) changes in wildlife abundance (examples only).

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 V4)**

INTENT: Feed monitor results into the planning process to implement <i>adaptive management</i>*. ELEMENTS: 1) Analysis of monitoring and evaluation results; 2) Feed results into the planning process to implement <i>adaptive management</i>*.	
8.3.1	Monitoring results are made available to those involved in Management Planning.
8.3.2	Monitoring results are analyzed and <i>Management Plans</i> * and activities are adapted in a timely way to reflect the results of monitoring and to ensure <i>objectives</i> * and targets in the <i>Management Plan</i> * and requirements of this standard are met.
8.3.3	The analysis of the monitoring results is incorporated in the periodic revision of the <i>Management Plan</i> *.
8.3.4	Where <i>critical</i> * issues are identified at the level of the <i>Management Plan</i> *, policy statements are issued in a timely way in order to correct these issues during the planning cycle.
8.4 The Organization* shall* make publicly available a summary of the results of monitoring free of charge, excluding confidential information. (C8.5 V4)	
INTENT: Transparency in monitoring. ELEMENTS: 1) A summary of the monitoring results is available free of charge; 2) Other results of monitoring must be given to <i>affected stakeholders</i>* on request; 3) Confidential information can be excluded; 4) No more than the cost of reproduction and handling can be charged.	
8.4.1	A summary of the monitoring results is publicly available at no cost. Guidance: The summary could include a table of the monitoring undertaken, the management <i>objectives</i>* and targets being monitored, the frequency of the monitoring program and the results.
8.4.2	The monitoring results, excluding confidential information, are available to <i>affected stakeholders</i>* on request, and at cost of reproduction and handling if requested by <i>The Organization</i>*. Excluded confidential information includes, at a minimum, information: a. related to investment decisions; b. about <i>intellectual property</i>* rights; c. which is client confidential; d. which is by law confidential; e. whose provision could put at <i>risk</i>* the <i>protection</i>* of wildlife species and <i>habitats</i>*; f. about sites which are of special cultural, ecological, economic, religious or spiritual significance to <i>indigenous peoples</i>* or <i>local communities</i>* (see Criteria 3.5 and 4.7) as requested by these groups. QUESTION FOR CONSULTATION: The requirement in the Criterion is to make publically available a summary of the results of monitoring. There is no requirement for any additional reporting about monitoring, as there is for the full <i>Management Plan</i>* in P7. While it is unlikely that the results of monitoring could be considered to be confidential, there are potentially considerable costs associated in compiling and transmitting the complete results of monitoring. How then to best frame the requirements for provision of monitoring results beyond a summary report. There are three options proposed for consideration by the Working Group:

	Option A: Keep the indicator as it is. Option B: Delete the indicator. Option C: Require disclosure specifically for public <i>forest</i>*s.
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 V4)	
INTENT: Allow full traceability of certified <i>forest</i>* products (internal COC) ELEMENTS: 1) Have and implement a tracking and tracing system for certified products; 2) source and volume for each year are documented; 3) Volume is presented in proportion to projected output. SIR	
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 that leave the <i>forest</i>* is compiled and documented, including, at a minimum, the following information: a) species; b) Product type; c) volume (or quantity) of product; d) <i>Management Unit</i>*; e) logging/production date; f) other information as required by law or regulations.
8.5.3	The volumes of all products that leave the <i>forest</i> * are compared to projected annual harvest rates.
8.5.4	Sales invoices are kept for a minimum of five years for all products sold with an FSC claim, which identify at a minimum, the following information: a) name and address of purchaser; b) the date of sale; c) species; d) product type; e) the volume (or quantity) sold.

Principle 9: High Conservation Values

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*.*

Criterion 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. 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 V4)

INTENT: Assessment of HCVs.

ELEMENTS:

- 1) Identify presence and status of HCVs in the *Management Unit**, through *stakeholders engagement** and other means and sources;
- 2) Assess it, through *stakeholders engagement** and other means and sources;
- 3) Record it, through *stakeholder* engagement** and other means and sources;
- 4) *Stakeholders engagement**.

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| 9.1.1 | <p>An assessment is completed that identifies and records the likely presence, within the <i>Management Unit*</i> and adjacent to the <i>Management Unit*</i>, of:</p> <p>HCV 1 – Species diversity. Concentrations of <i>biological diversity*</i> including endemic species, and <i>rare*</i>, <i>threatened*</i> or <i>endangered species*</i>, that are <i>significant*</i> at global, regional or national levels.</p> <p>HCV 2 – Landscape-level <i>ecosystems*</i> and mosaics. Large landscape-level ecosystems and ecosystem* mosaics that are <i>significant*</i> 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.</p> <p>HCV 3 – Ecosystems and <i>habitats*</i>. Rare, threatened, or endangered <i>ecosystems*</i>, <i>habitats*</i> or <i>refugia*</i>.</p> |
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	HCV 4 – Critical <i>ecosystem services</i>*. Basic <i>ecosystem services</i>* in <i>critical</i>* situations, including <i>protection</i>* 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 <i>local communities</i>* or <i>indigenous peoples</i>* (for livelihoods, health, nutrition, water, etc.), identified through <i>engagement</i>* with these communities or <i>indigenous peoples</i>*. HCV 6 – Cultural values. Sites, resources, <i>habitats</i>* and <i>landscapes</i>* of global or national cultural, archaeological or historical significance, and/or of <i>critical</i>* cultural, ecological, economic or religious/sacred importance for the traditional cultures of <i>local communities</i>* or <i>indigenous peoples</i>*, identified through <i>engagement</i>* with these <i>local communities</i>* or <i>indigenous peoples</i>*. Assessment includes the identification of HCV Areas that the HCV is likely to be reliant on, along with the status of the HCV. National Norms: FSC Approved National HCV Framework. Verifiers: Expert Reviewed HCV Assessment; field assessment.
9.1.2	The assessment uses any FSC approved national HCV Framework where present, or HCV international framework; HCV surveys of the <i>Management Unit</i>*; consultation with relevant databases and maps; consultation with relevant local and regional experts; and other available sources. National Norms: FSC Approved National HCV Framework. Verifiers: Expert Reviewed HCV Assessment; field assessment.
9.1.3	The assessment includes <i>engagement</i>* with a broad range of affected and <i>interested stakeholders</i>*. National Norms: FSC Approved National HCV Framework. Verifiers: Expert Reviewed HCV Assessment; field assessment.
9.1.4	HCVs and the HCV Areas that support them are mapped and documented. National Norms: FSC Approved National HCV Framework Verifiers: Expert Reviewed HCV Assessment; field assessment.
9.1.5	Results of the assessment are reviewed by expert(s) independent of the organization with knowledge of the potentially present <i>High Conservation Values</i>* and the area in which the <i>Management Unit</i>* is located. Performance indicator National Norms: FSC Approved National HCV Framework. Verifiers: Expert Reviewed HCV Assessment; field assessment. QUESTION FOR CONSULTATION: The Criterion requires that The Organization, through engagement with affected stakeholders, interested stakeholders and other means and sources, shall assess and record the presence and status of High Conservation Values. The Criterion does not explicitly require The Organization to engage independent experts. There are clear benefits and costs to engaging independent experts to review the results of the HCV assessment.

	Is it consistent with the criterion then to require independent expert review of HCV assessments?"
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 V4)	
INTENT: Develop effective strategies for the maintenance and/or enhancement of HCVs. ELEMENTS: 1) Develop effective strategies that maintain and/or enhance the HCVs through <i>stakeholders*</i> and experts <i>engagement*</i>; 2) Stakeholders <i>engagement*</i>; 3) Experts <i>engagement*</i>.	
9.2.1	The <i>conservation*</i> needs of the HCVs and the various types of threats to the HCVs are identified, including threats other than posed by forestry operations. National Norms: FSC Approved National HCV Framework. Verifiers: Expert Reviewed HCV Strategy; field assessment.
9.2.2	Management strategies and actions are developed to fully maintain and/or enhance the identified HCVs and associated areas prior to implementing any management activities that could potentially negatively affect the HCVs within the <i>Management Unit*</i>. Performance Indicator Reference: FSC International HCV Framework. National Norms: FSC Approved National HCV Framework. Verifiers: Expert Reviewed HCV Strategy; field assessment. Guidance: Strategies and actions required to meet this indicator could include some or all of the following: HCV 1: • Protection zones, harvest prescriptions, and/or other strategies to protect threatened, endangered, endemic species, or other concentrations of <i>biological diversity*</i> and the ecological communities and <i>habitats*</i> upon which they depend, sufficient to prevent reductions in the extent, integrity, quality, and viability of the <i>habitats*</i> and species occurrences; • Where enhancement is identified as the <i>objective*</i>, measures to develop, expand, and/or <i>restore* habitats*</i> for such species. HCV 2: • Strategies that fully maintain the extent and intactness of the <i>forest* ecosystems*</i> and the viability of their biodiversity concentrations, including plant and animal indicator species, keystone species, and/or guilds associated with large intact <i>natural forest* ecosystems*</i>. Examples include <i>protection*</i> zones and set-aside areas, with any commercial activity in areas that are not set-aside being limited to low-<i>intensity*</i> operations that fully maintain <i>forest*</i> structure, composition, regeneration, and disturbance patterns at all times; • Where enhancement is identified as the <i>objective*</i>, measures to <i>restore*</i> and reconnect <i>forest* ecosystems*</i>, their intactness, and <i>habitats*</i> that support natural <i>biological diversity*</i>. HCV 3: • Strategies that fully maintain the extent and integrity of rare or threatened <i>ecosystems*</i>,

	<i>habitats*</i>, or <i>refugia*</i>; - Where enhancement is identified as the <i>objective*</i>, measures to <i>restore*</i> and/or develop rare or threatened <i>ecosystems*</i>, <i>habitats*</i>, or <i>refugia*</i>. HCV 4: - Strategies to protect any water catchments of importance to <i>local communities*</i> located within or downstream of the <i>Management Unit*</i>, and upstream and upslope areas within the unit that are particularly unstable or susceptible to erosion. Examples may include <i>protection*</i> 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 <i>objective*</i>, measures to <i>restore*</i> water quality and quantity; - Strategies to fully maintain carbon stocks within 15% of the median of natural range of variation at the <i>landscape* scale*</i>. Where enhancement is identified as the <i>objective*</i>, measures to <i>restore*</i> carbon stocks to this range of variation. HCV 5: - Strategies to protect the community's and/or <i>indigenous peoples*</i> needs in relation to the <i>forest* Management Unit*</i> developed in cooperation with representatives and members of <i>local communities*</i> and <i>indigenous peoples*</i>. HCV 6: - Strategies to protect the cultural values developed in cooperation with representatives and members of <i>local communities*</i> and <i>indigenous peoples*</i>. QUESTION FOR CONSULTATION Should this list be included in the Standard as indicator wording or be included as guidance? What additional language might be needed to address other specific types of HCVs?
9.2.3	Affected and <i>interested stakeholders*</i> and local and regional experts are engaged in the identification and development of management strategies and actions to fully maintain and/or enhance the identified <i>High Conservation Values*</i>.
9.2.4	An independent expert(s) review is completed to ensure that the strategies adopted are explicit and sufficient to fully maintain and/or enhance the <i>High Conservation Values*</i>, regardless of any uncertain or incomplete information. Performance Indicator National Norms: FSC Approved National HCV Framework. Verifiers: Expert Reviewed HCV Strategy; field assessment. QUESTION FOR CONSULTATION The Criterion requires that The Organization, through engagement with affected stakeholders, interested stakeholders and experts, develop effective strategies that maintain and/or enhance the identified High Conservation Values. Should independent expert review of HCV strategies be required?
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 V4)	
INTENT: Implementation of strategies, subject to the <i>precautionary approach*</i>, that maintain and/or enhance the identified HCVs. ELEMENTS: 1) Implement strategies and actions that maintain and/or enhance identified HCVs; 2) Implement <i>precautionary approach*</i>. SIR	
9.3.1	The HCVs and the areas on which they depend are fully maintained and/or enhanced, including by implementing the strategies developed. National Norms: FSC Approved National HCV Framework. Verifiers: Field assessment of implementation.
9.3.2	The strategies and actions for each HCV are implemented. National Norms: FSC Approved National HCV Framework. Verifiers: Field assessment of implementation.
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 V4)	
INTENT: Monitoring and adaptation of the strategies developed and implemented to ensure HCVs effective <i>protection*</i>. ELEMENTS: 1) Demonstrate periodic monitoring, to ensure HCVs effective <i>protection*</i>; 2) Assessment against baseline; 3) Adapt management strategies, to ensure HCVs effective <i>protection*</i>; 4) Demonstrate <i>stakeholders*</i> and experts <i>engagement*</i>. SIR	
9.4.1	A program of periodic monitoring assesses: a) implementation of strategies; b) the status of <i>High Conservation Values*</i> including areas on which they depend; and c) the effectiveness of the management strategies and actions to fully maintain and/or enhance the HCVs. National Norms: FSC Approved National HCV Framework. Verifiers: Expert Reviewed HCV Monitoring Program; field assessment of implementation.
9.4.2	The monitoring program includes <i>engagement*</i> with affected and <i>interested stakeholders*</i> and experts. National Norms: FSC Approved National HCV Framework.

	Verifiers: Expert Reviewed HCV Monitoring Program; field assessment of implementation.
9.4.3	The monitoring program has sufficient scope, <i>scale*</i>, detail and frequency to detect changes in <i>High Conservation Values*</i>, relative to the initial baseline assessment and status identified for each HCV. Performance Indicator National Norms: FSC Approved National HCV Framework. Verifiers: Expert Reviewed HCV Monitoring Program; field assessment of implementation.
9.4.4	Any activities in HCV Areas that fail to protect the <i>High Conservation Values*</i>, as indicated through monitoring, are stopped immediately. Performance Indicator National Norms: FSC Approved National HCV Framework. Verifiers: Expert Reviewed HCV Monitoring Program; field assessment of implementation.
9.4.5	Management strategies and actions are adapted to address the results of monitoring and ensure the maintenance and/or enhancement of <i>High Conservation Values*</i>. National Norms: FSC Approved National HCV Framework. Verifiers: Expert Reviewed HCV Monitoring Program; field assessment of implementation.
9.4.6	Where monitoring identifies that strategies are ineffective and damage or harm has been done to HCVs or the area they depend upon, actions are taken to <i>restore*</i> values or repair damage or harm and ensure the maintenance and/or enhancement of <i>High Conservation Values*</i>.

Principle 10: Implementation of Management Activities

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)

INTENT: Prompt regeneration following harvest, to pre-harvesting or more *natural conditions**.

ELEMENTS:

- 1) Regeneration;
- 2) Timely fashion;
- 3) To pre-harvest or more *natural conditions**.

10.1.1	Management activities are planned and implemented that ensure that all harvested sites are regenerated, consistent with regeneration objectives established in the <i>Management plan*</i> that determine if pre-harvest or more <i>natural conditions*</i> are required. Guidance: Pre-harvest means the stand that existed immediately prior to the most recent harvest. As per EN 1, page 120, "pre-harvest" can be either - Plantation; or - <i>Natural forest*</i>, either a. purely natural, meaning the same as the historic natural condition; or b. a degraded natural stand, degraded by previous harvest or natural events.
10.1.2	Regeneration activities are implemented in a manner consistent with the regeneration objectives established in the <i>Management plan*</i>, natural vegetation characteristics of the site determined in the environmental assessment, and the annual allowable cut determination.
10.1.3	All harvested sites are regenerated in a timely fashion, including through implementation of management activities consistent with the regeneration objectives established in the <i>Management plan*</i>. Guidance: 'Timely fashion' means that <i>The Organization*</i> cannot unduly postpone regeneration. This means that regeneration after harvesting takes place within a timeframe that: • protects affected <i>environmental values*</i>, for example, exposed soils where these are at <i>risk*</i> of erosion; and • is suitable to recover overall <i>natural forest*</i> composition, structure, productivity, full stocking, and optimum growth rates of the managed species in order to maintain or enhance overall production from the <i>Management Unit*</i>.

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 C4)

INTENT: *Native species** and local *genotypes** are normally selected for regeneration.

ELEMENTS:

- 1) Ecologically well adapted species are selected for regeneration (which comply with the rest of the P&C);
- 2) They have to suit management *objectives**;
- 3) Normally *native species** and local *genotypes** are used;
- 4) When not using local species and *genotypes**, clear and convincing justification has to be provided.

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| 10.2.1 | The species and <i>genotypes*</i> chosen for regeneration are ecologically well-adapted to the site. |
| 10.2.2 | Species identified for regeneration achieve or will achieve the regeneration objectives established in the <i>Management plan*</i> . |

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| 10.2.3 | Local <i>genotypes*</i> of <i>native species*</i> are used for regeneration unless clear and convincing justification is provided for using non- <i>native species*</i> or non-local <i>genotypes*</i> of <i>native species*</i> . |
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QUESTION FOR CONSULTATION:

Which information/situations would justify the use of non-native species?

Which information/situations would justify the use of non-local genotypes?

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 V4)

INTENT: Only use *alien species** when it can be shown that the impacts are controlled and mitigation is in place.

ELEMENTS:

- 1) *Alien species** can only be used when experience has shown that invasive impacts:
 - a. can be controlled AND
 - b. can effectively be mitigated
- 2) *The Organization** applies the mitigation measures.

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| 10.3.1 | <i>Alien species*</i> are only used when direct experience and / or the results of scientific research demonstrate that effective measures are in place to control invasiveness and to mitigate any adverse impacts. |
| 10.3.2 | In all cases where <i>alien species*</i> are used, regular monitoring is conducted within and outside the <i>Management Unit*</i> to identify any invasiveness or other adverse impacts. |
| 10.3.3 | Measures are implemented to control any invasiveness stemming from use of <i>alien species*</i> in the <i>Management Unit*</i> . Any negative impacts from invasiveness are mitigated. |
| 10.3.4 | If systems and measures to control invasiveness are ineffective, programs to eliminate the <i>alien species*</i> are devised and implemented. |

10.4 The Organization* shall* not use genetically modified organisms* in the Management Unit*. (C6.8 V4)

INTENT: No GMOs

ELEMENTS:

1) No <i>genetically modified organisms</i> * are used in the <i>Management Unit</i> *.	
10.4.1	<i>Genetically Modified Organisms</i>* (GMOs) are not used. Guidance: Reference GMO policy.
10.5 The Organization* shall* use silvicultural practices that are ecologically appropriate for the vegetation, species, sites and management objectives*. (New)	
INTENT: Silvicultural practices are ecologically appropriate and compatible with management objectives. ELEMENTS: 1) Ecologically appropriate silvicultural practices are selected (which comply with the rest of the P&C); 2) They have to suit management objectives.	
10.5.1	Silvicultural practices are implemented and consistent with community and <i>indigenous peoples</i> * engagement* and assessments of <i>environmental values</i> * and in keeping with plans and prescriptions to achieve regeneration objectives established in the <i>Management plan</i> *.
10.5.2	If selection logging is used, it does not result in high-grading or diminished presence of any native tree species below the natural range of variation. QUESTION FOR CONSULTATION: Are 10.5.2 and 10.5.3 International Generic Indicators, or should they be considered as examples of Regional or National Indicators? If they cannot be considered as IGIs, how can they be written to be globally applicable?
10.5.3	Use of even-aged <i>silviculture</i> * is not used extensively outside of plantations, except where the dominant <i>natural forest</i> * type for the site is even aged or requires larger openings for regeneration.
10.6 The Organization* shall* avoid, or aim at eliminating, the use of fertilizers. When fertilizers are used, The Organization* shall* prevent, mitigate, and/or repair damage to environmental values*. (C10.7 V4)	
INTENT: Don't use fertilizers. If used, prevent, mitigate, and/or repair their negative effect; and aim to eliminate them. ELEMENTS: 1) Avoid or aim to eliminate the use of fertilizers; 2) Prevention, mitigation and/or repair of damage to <i>environmental values</i>* as a result of the use of fertilizers.	
10.6.1	The use of fertilizers is avoided, or is being reduced with the aim of eliminating including by the use of silvicultural practices that avoid or reduce the need for fertilizers.
10.6.2	When fertilizers are used, direct experience and/or scientific research is provided to demonstrate that they are the only effective way to meet management objectives.
10.6.3	When fertilizers are used, a baseline level of use is established and fertilizer use is reduced with the

	aim of eliminating over time.
10.6.4	When fertilizers are used, measures are implemented that prevent damage to <i>environmental values*</i> including at a minimum no-application buffer zones around: a. rare plant communities; b. riparian zones; and c. streams and other water bodies. Guidance: Measures to prevent damage could include, but are not limited to: fertilizer types used, application methods, application rates, buffer zones etc.
10.6.5	When aerial application of fertilizer is used, measures are used that prevent drift.
10.6.6	Any damage to <i>environmental values*</i> 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. and C10.7 V4)	
INTENT: Use integrated pest management and <i>silviculture*</i> systems which avoid, or aim at eliminating, the use of chemical <i>pesticides*</i>. If chemical <i>pesticides*</i> are used, prevent, mitigate, and/or repair their negative effect; and aim to eliminate them. Never use chemical <i>pesticides*</i> prohibited by FSC policy. ELEMENTS: 1) Use of integrated pest management and <i>silviculture*</i> systems which avoid, or aim at eliminating, the use of chemical <i>pesticides*</i>. 2) Prevention, mitigation and/or repair of damage to <i>environmental values*</i> and human health as a result of the use of <i>pesticides*</i>. 3) Never use chemical <i>pesticides*</i> prohibited by FSC policy (unless derogated).	
10.7.1	Integrated pest management and <i>silviculture*</i> systems are used to avoid and aim to eliminate the use of chemical <i>pesticides*</i>. Norm: FSC Integrated Pest Management Guide (2009).
10.7.2	Integrated pest management and <i>silviculture*</i> systems result in non-use of chemical <i>pesticides*</i> or continuous reductions in the frequency, extent, and amount of <i>pesticide*</i> applications.
10.7.3	An integrated pest management strategy is implemented that minimizes occurrence and facilitates control of pests in the <i>Management Unit*</i>, and in nurseries owned by <i>The Organization*</i> within or adjacent to the <i>Management Unit*</i>, through non-chemical methods. An integrated pest management strategy includes, at a minimum: a) recording of all specific problems for which <i>pesticide*</i> use is being considered; b) identifying and documenting potentially effective non-<i>pesticide*</i> methods of control; c) a clear preference for non-<i>pesticide*</i> methods of control when this would be effective, even if it is not the cheapest approach in the short term; d) objective evidence to demonstrate that when <i>pesticides*</i> are used they are the only effective way to meet management objectives. Norm:

	FSC Integrated Pest Management Guide (2009).
10.7.4	Chemical <i>pesticides</i> * prohibited by FSC policy are not used in the <i>Management Unit</i> * or in <i>The Organization</i> *'s nurseries, unless derogation has been granted by FSC.
10.7.5	Complete and up-to-date records of all <i>pesticide</i> * usage are maintained, including trade name, active ingredient, quantity of active ingredient used, date of use, location of use, reason for use.
10.7.6	Policy and procedures for the use of <i>pesticides</i>* are documented and comply, at a minimum, with the requirements for the transport, storage, handling, application and emergency procedures for clean-up following accidental spillages as specified in ILO publications, national publications and national and <i>local laws</i>*. Reference: ILO publications include: Safety & Health in the Use of Agrochemicals: A Guide'; and, Safety in the Use of Chemicals at Work.
10.7.7	If <i>pesticides</i>* are used, application methods are implemented that minimize quantities used and provide effective <i>protection</i>* to surrounding <i>landscapes</i>* including, at a minimum: a. non-use of <i>pesticides</i>* known to harm aquatic species and other wildlife; b. restrictions on applications during unfavorable (e.g., windy) conditions c. avoidance of chemicals whose initial or break-down components are toxic to plants and animals; and d. no-application buffer zones around: • <i>Rare and threatened species</i>* <i>habitat</i>*; • Rare plant communities; • riparian zones; and • streams and other water bodies.
10.7.8	If <i>pesticides</i>* are used and two <i>pesticides</i>* are equally effective, the least hazardous <i>pesticide</i>* is used. Norm: FSC Integrated Pest Management Guide (2009).
10.7.9	Damage to <i>environmental values</i> * or human health is mitigated, including when identified through monitoring or brought to the attention of <i>The Organization</i> *.

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 V4)

INTENT: Minimize use of *biological control agents**. If used, its impacts are prevented and repaired.

ELEMENTS:

- 1) Minimize, monitor and control the use of *biological control agents**;
- 2) Identify and comply with relevant, *internationally accepted scientific protocols**;
- 3) If used, prevent, mitigate and/or repair damage to *environmental values**.

10.8.1	Any use of <i>biological control agents</i>* is in strict compliance with <i>national laws</i>* and <i>internationally accepted scientific protocols</i>*. Norm: FSC Integrated Pest Management Guide (2009) Reference: <i>Internationally accepted scientific protocols</i>*.
10.8.2	<i>Environmental values</i>* are protected from any impacts that could be caused by the use of <i>biological control agents</i>*, including through the implementation of management and operational plans that include prescriptions to protect those values, including at a minimum: a) HCVs; b) biodiversity; c) soils; d) native plants; e) <i>rare and threatened species</i>*; and, f) water resources and water quality.
10.8.3	Any use of <i>biological control agents</i> * is recorded.
10.8.4	Any use of <i>biological control agents</i> * is monitored to identify potential impacts to social and <i>environmental values</i> *.
10.8.5	Any damages to <i>environmental values</i> * that were caused by <i>The Organization</i> *'s use of <i>biological control agents</i> * are identified and repaired. Where there is continued environmental degradation caused by previous managers and the activities of third parties, measures are implemented that prevent or mitigate continued environmental degradation.
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)	
INTENT: Minimize potential negative impact of natural hazards. ELEMENTS: 1) Identify natural hazards in the area; 2) Assess <i>risk</i>* and implement activities to reduce negative impacts. SIR	
10.9.1	Natural hazards are identified including, at a minimum: a) droughts; b) floods; c) fires; d) landslides; e) storms; f) avalanches; g) earthquakes; h) volcanic activity; and i) tsunamis.
10.9.2	<i>Risks</i> * of negative impacts associated with identified natural hazards are assessed.
10.9.3	The potential to accelerate or exacerbate identified natural hazards by <i>forest</i> * management

	activities is assessed. The <i>forest*</i> management activities include, at a minimum: a) Road construction and maintenance; b) <i>Forest*</i> harvesting; c) Silvicultural activities.
10.9.4	<i>Forest*</i> management activities are modified and/or measures implemented that reduce or eliminate accelerated or exacerbated <i>risks*</i> of natural hazards.
10.9.5	In cases where <i>forest*</i> management activities create a high likelihood of accelerated or exacerbated <i>risks*</i> of natural hazards and a high <i>risk*</i> of impacts on <i>environmental values*</i>, activities are stopped or are not undertaken. QUESTION FOR CONSULTATION: Is the impact of management activities on natural hazards covered under C 6.3 in a sufficient manner to cover the concerns raised in 10.9.3 through to 10.9.5?
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 V4)	
INTENT: Prevent and repair the environmental impact of infrastructures, transport activities and <i>silviculture*</i>. ELEMENTS: 1) Infrastructural developments, transport activities and <i>silviculture*</i> are managed to protect water resources and soils; 2) Action is taken to prevent, mitigate and/or repair damages produced to species, <i>habitats*</i>, <i>ecosystems*</i> and <i>landscape values*</i> by activities in element 1.	
10.10.1	Management activities are prescribed for existing infrastructure and infrastructure development, transportation, and <i>silviculture*</i> activities that at a minimum include: a) erosion control; b) prevention of disturbance of and damage to <i>rare and threatened species*</i>, <i>habitats*</i>, <i>ecosystems*</i> and <i>landscape values*</i>; c) <i>protection*</i> of water quality and quantity within and outside the <i>Management Unit*</i> affected by management activities; d) <i>protection*</i> of streams, wetlands and water bodies within and outside the <i>Management Unit*</i>; e) <i>protection*</i> of soils; f) minimizing stream crossings; g) ensuring free flow of water and aquatic species.
10.10.2	Measures prescribed are implemented in existing infrastructure and infrastructure development, transport and <i>silviculture*</i> activities.
10.10.3	Existing infrastructure, infrastructure development, transportation, and silvicultural activities do not cause flooding, erosion, compaction, sedimentation and interruption of natural drainage patterns.
10.10.4	Existing infrastructures, infrastructure development, transportation, and silvicultural activities do not negatively impact water bodies and water courses, water quality, other water resources, soils and soil quality (structure and fertility), or disturb or damage <i>rare and threatened species*</i> , <i>habitats*</i> , <i>ecosystems*</i> , or <i>landscape values*</i> .

10.10.4	Disturbance or damages to the resources covered in 10.10.1 and 10.10.3 is repaired and restored in a timely manner, and management activities modified to prevent further damage.
10.10.5	Impacts on water resources are assessed including, at a minimum: a) estimates or measures of water flows and quality (including maximum, minimum and seasonal variations) within the <i>Management Unit*</i> and downstream from the <i>Management Unit*</i> prior to plantation establishment; b) comparable measures or predictions of water flow and quality within the <i>Management Unit*</i> and downstream from the <i>Management Unit*</i> subsequent to plantation establishment, and covering at least one rotation period; and c) an evaluation of the ecological and social impacts of any changes in water flow and/or quality resulting from the plantation establishment. Applicability: This indicator only pertains to plantation management and other extensively or intensively managed forests*.
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 V4)	
INTENT: Minimize negative economic and environmental impacts of harvesting and extraction of NTFP (MIM) ELEMENTS: 1) <i>Conservation*</i> of <i>environmental values*</i> during activities associated with harvesting and extraction of timber and non-timber products; 2) Activities associated with harvesting and extraction of timber and non-timber products reduce merchantable waste; 3) Damage to other products and services is avoided.	
10.11.1	Harvesting and extraction of timber and non-timber products is implemented consistent with the <i>Management plan*</i> .
10.11.2	Harvesting practices for timber and <i>non-timber forest products*</i> are implemented that conserve <i>environmental values*</i> as identified in C6.1. Guidance: e.g. FAO Model Code of Forest Harvesting Practice; RIL Logging Documents.
10.11.3	Harvesting practices optimize utilization of <i>forest*</i> products and prevent waste of merchantable materials while ensuring sufficient amounts of dead and decaying biomass and <i>forest*</i> structure are retained on-site to conserve <i>environmental values*</i> .
10.11.4	Harvested and processed products on-site are transported from the <i>forest*</i> before any deterioration occurs.
10.11.5	Retention of sufficient coarse and fine woody debris and removal of biomass is consistent with environmental assessments and as reflected in the <i>Management plan*</i> .
10.11.6	Waste, utilization and damage to residual trees is assessed following completion of harvesting.
10.11.7	Harvesting practices avoid damage to standing residual trees and residual woody debris on the ground.

10.11.8	Harvesting practices avoid damage to non-timber products and <i>ecosystem services</i> *.
10.12 The Organization* shall* dispose of waste materials in an environmentally appropriate manner. (C6.7 V4)	
INTENT: Environmentally appropriate disposal of waste. ELEMENTS: 1) Identify all the forms of waste; 2) Assess, plan and implement activities for their disposal, 3) Develop and implement environmentally appropriate measures for the disposal of wastes.	
10.12.1	All sources and types of waste products from <i>forest</i> * management activities are identified and classified. Waste products include, at a minimum: a) Chemical wastes; b) Containers; c) Motor and other fuels and oils; d) Human waste; e) rubbish including metals, plastics and paper products; and f) abandoned buildings, machinery and equipment.
10.12.2	Collection, transportation and disposal of all identified waste are implemented in an environmentally appropriate way.
10.12.3	Contamination by dust, waste, rubbish, and exhaust fumes is controlled in an environmentally appropriate way.
10.12.4	Procedures exist and are implemented for controlling and cleaning up spills of waste products.

G Glossary of Terms

This glossary includes internationally accepted definitions from a limited number of sources whenever possible. These sources include the Convention on Biological Diversity (1992), the Millenium Ecosystem Assessment (2005) as well as definitions from online glossaries as provided on the websites of the World Conservation Union (IUCN), the International Labour Organisation (ILO) and the Invasive Alien Species Programme of the Convention on Biological Diversity. When other sources have been used they are referenced accordingly.

Definitions developed in the course of the Principles and Criteria Review are referenced as FSC 2011. Definitions derived from Version 4-0 of the Principles and Criteria as originally published in November 1994 are referenced as FSC 1994.

The term 'based on' means that a definition was adapted from an existing definition as provided for example in Version 4-0 of the Principles and Criteria or other international source.

Words used in this version of the Principles and Criteria, if not defined in this Glossary of Terms or other normative FSC documents, are used as defined in most standard English language dictionaries.

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).

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).

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 2011).

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 2011).

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 1994 and World Conservation Union (IUCN). Glossary definitions as provided on IUCN website).

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 2011).

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 (Source: Based on R.T.T. Forman. 1995. Land Mosaics. The Ecology of Landscapes and Regions. Cambridge University Press, 632pp). 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.

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 2011).

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 2011).

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 2011).

Criterion (pl. Criteria): A means of judging whether or not a Principle (of forest stewardship) has been fulfilled (Source: FSC 1994).

Customary law: Interrelated sets of customary rights maybe 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 1994).

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 WEBSTeA as provided on the website of the European Environment Agency).

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 or 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 2011).

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

- a. ecosystem functions (including carbon sequestration and storage)
- b. biological diversity
- c. water resources
- d. soils
- e. atmosphere
- f. landscape values (including cultural and spiritual values).

The actual worth attributed to these elements depends on human and societal perceptions (Source: FSC 2011).

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 2011).

Forest: A tract of land dominated by trees (Source: FSC 2011. 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).

Free, Prior, and Informed Consent: 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 2011).

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

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. 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: FSC 2011).

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).

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). No Date.).

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 2011).

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 2011)

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 2011).

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 2011).

Legally competent: Mandated in law to perform a certain function (Source: FSC 2011).

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 2011).

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 2011).

Living wage: The level of wages sufficient to meet the basic living needs of an average-sized family in a particular economy (Source: International Labour Organization (ILO). Bureau of Library and Information Services. ILO Thesaurus as provided on ILO website).

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 2011).

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 2011).

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 2011).

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 2011).

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 2011).

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 2011).

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 2011).

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 savanna.

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, clearfelling 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 2011).

Non-timber forest products (NTFP): All products other than timber derived from the Management Unit (Source: FSC 2011).

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 2011).

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 2011).

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 2011)

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).

Principle: An essential rule or element; in FSC's case, of forest stewardship (Source: FSC 1994).

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, covenant or agreement (including multilateral environmental agreement) is legally approved by a national legislature or equivalent legal mechanism, such that the international law, covenant 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 2011).

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 (including 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).

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 2011)

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.

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 2011).

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 2011).

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

Shall: Indicates a requirement of the standard.

Shall not: Indicates a prohibition.

Should/ and should not: Indicate a recommendation.

(Source: Based on ISO Guide 2, General Vocabulary section 7.1; and ISO/IEC Directives Part 2, Fifth edition. 2004. Annex H, Verbal forms for the expression of provisions).

Significant: For the purposes of Principal 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 2011).

Silviculture: The art and science of controlling the establishment, growth, composition, health and quality of forests and woodlands to meet the targetted 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 as 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.).

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 2011).

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 2011).

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).