



Forest Stewardship Council®



# **FSC National Forest Stewardship Standard of the People's Republic of China**



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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.



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## Preface

### Descriptive statement of the Forest Stewardship Council (FSC)

The Forest Stewardship Council A.C. (FSC) was established in 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. 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.

### Descriptive statement of the FSC National Office

The FSC National Office of the People's Republic of China (in the following referred to as FSC National Office) was legally registered on June 8th 2015. The FSC National Office is a legally established and independent FSC partner organization promoting responsible management of the world's forest on behalf of FSC at the national level.

The FSC National Office represents FSC in the People's Republic of China to stakeholders, governmental institutions and communicates important viewpoints of national stakeholders to FSC International. In addition, FSC certification is enhanced and consistent, rigorous, transparent and participative application of the FSC system is assisted. The FSC National Office coordinates the development of and manages the FSC National Forest Stewardship Standard.



Further information can be obtained from <https://cn.fsc.org/cn-cn>.

## Descriptive Statement of Standard Development Group

The Chinese Standard Development Group (SDG) is an independent chamber balanced group, composed of members of the environmental, economic and social chambers. The SDG's objective is to develop and maintain the FSC National Forest Stewardship Standard according to FSC International's standards and procedures. The Standard development Group is coordinated by Mr. Ma Lichao (FSC National Office, [ma.lichao@fsc.org](mailto:ma.lichao@fsc.org)) and Ms. Wang Yanyan (FSC National Office, [wang.yanyan@fsc.org](mailto:wang.yanyan@fsc.org)).

The SDG consists of the following members:

Economic	
Mr.Hu Yuanhui	State Forestry Administration
Ms. Tai Wen	IKEA Trading Service Co., Ltd (China)
Ms. Cui Yajun	China Jilin Forest Industry Group
Mr. Zhong Zhaoquan	Fujian Shunchang Forest Bureau
Environmental	
Mr. Zhang Xiaoquan	The Nature Conservancy
Mr. Chen Junqi	Beijing Forestry Society
Mr. Huang Wenbin	World Wide Fund for Nature
Social	
Mr.Ma Ying	Solidaridad
Mr.Wang Aimin	Global Environmental Institute



## Preamble

### Purpose of the standard

This standard sets out the required elements against which FSC accredited Certification Bodies shall evaluate forest management practices in China within the scope (see 2.2.below) of the standard.

The FSC Principles and Criteria (P&C) for Forest Stewardship provides are an internationally recognized standard for responsible forest management. However, any international standard for forest management needs to be adapted at the regional or national level in order to reflect the diverse legal, social and geographical conditions of forests in different parts of the world. The FSC P&C therefore require the addition of indicators that are adapted to regional or national conditions in order to be implemented at the Forest Management Unit (FMU) level.

With the approval of *FSC-STD-60-004 V1-0 EN* the FSC *International Generic Indicators* (IGI) by the FSC Board of Directors in March 2015, the adaptation of the P&C to regional or national conditions is done using the IGI standard as the starting point. This has the advantage to:

- Ensure the consistent implementation of the P&C across the globe;
- Improve and strengthen the credibility of the FSC System;
- Improve the consistency and quality of National Forest Stewardship Standards;
- Support a faster and more efficient approval process of National Forest Stewardship Standards.

The FSC Principles and Criteria together with a set of national indicators approved by FSC Policy and Standards Committee (PSC) constitute an FSC National Forest Stewardship Standard (NFSS).

The development of NFSS follows the requirements set out in the following FSC normative documents:

- *FSC-PRO-60-006 V2-0 EN Development and Transfer of National Forest Stewardship Standards to the FSC Principles and Criteria Version 5-1;*
- *FSC-STD-60-002 (V1-0) EN Structure and Content of National Forest Stewardship Standards AND*
- *FSC-STD-60-006 (V1-2) EN Process requirements for the development and maintenance of National Forest Stewardship Standards.*

The above documents have been developed by the FSC Performance and Standards Unit (PSU) to improve consistency and transparency in certification decisions between different Certification Bodies in the region/nation and in different parts of the world, and thereby to enhance the credibility of the FSC certification scheme as a whole.



## Scope of the standard

This standard is applicable to all forest operations seeking FSC certification within the People's Republic of China (not including Hong Kong, Taipei and Macao). It applies to all types of forest including natural forest and plantations.

This standard applies at the Forest Management Unit level and is applicable to all scales and intensities of forest management operations.

## Standard development process

The standard development process was registered by the FSC Performance and Standards Unit in December 2013 (Policy and Standards Unit at that time). The process included the development of three subsequent draft standards, while each has been publically consulted for a period of 2 months. The draft standard 1.0 was released on 19th August, 2014, the draft standard 2.0 was released on 28th January, 2015 and the draft standard 3.0 was released on 28th September, 2015.

The Standard Development Group had a total of 4 face-to-face meetings during the standard development process. These meetings were followed up via email, telephone calls and online meetings as necessary. Each public consultation included a physical stakeholder meeting during which key stakeholders received progress updates and were asked to provide their opinions and general feedback. In addition, draft standards were distributed via email and other means to receive specific feedback on draft national indicators.

The draft standard 2.0 was field tested in March 2015 for two different forest management types at different locations. This included a large scale forest management unit in the North of China and a small scale group certification scheme.

The draft standard 3.0 was based on the final version of the International Generic Indicators (IGIs), which became effective on 01. September, 2015, and incorporated the comments received from key stakeholders during public consultations and field testing. The draft standard 3.0 was sent to FSC Int. for approval in April 2016 and was approved on July 7<sup>th</sup>, 2017.

Further information can be obtained from the FSC National Office ([info@cn.fsc.org](mailto:info@cn.fsc.org)).

## Version of the standard

The current version of the FSC National Forest Stewardship Standard for the People's Republic of China is FSC-STD-CHN-01-2016 1-0. This version was formally approved by FSC International on 7 July 2016 and per default remains valid for a period of 5 years after its effective date of 1 October 2018, until 1 October of 2023. Next anticipated revision is going to take place in 2021.





The standard was developed based on consensus of the SDG members that it has undergone sufficient consultation, testing and merits the approval by FSC. The standard meets the aims and objectives of SDG members and is believed to be an important resource for the promotion of responsible forest management in the People's Republic of China.

## Context

This standard was developed by the Standard Development Group China, coordinated by Mr. Ma Lichao (FSC National Office) and Ms. Wang Yanyan (FSC National Office).

The Forest Stewardship Council would like to thank the Standard Development Group for their collaboration based on mutual trust and dialogue. Furthermore, the Forest Stewardship Council is grateful to Dr. Xiao Jianmin and Zhao Jie from the Chinese Academy of Forestry for providing drafting services, Professor Li Tienan and Lu shihua for providing technical supports, while thanking Xu Bin from the Chinese Academy of Forestry, Li Fengri from the Northeast Forestry University and Zheng Xiaoxian from the Beijing Forestry University for providing essential advice during the standard development process.



## References

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

FSC-POL-01-004	Policy for the Association of Organizations with FSC
FSC-POL-20-003	The Excision of Areas from the Scope of Certification
FSC-POL-30-001	FSC Pesticides Policy
FSC-POL-30-401	FSC Certification and the ILO Conventions
FSC-POL-30-602	FSC Interpretation on GMOs (Genetically Modified Organisms)
FSC-STD-01-002	Glossary of Terms
FSC-STD-01-003	SLIMF Eligibility Criteria
FSC-STD-20-007	Forest Management Evaluations
FSC-STD-30-005	FSC Standard for Group Entities in Forest Management Groups
FSC-STD-60-002	Structure and Content of National Forest Stewardship Standards
FSC-STD-60-006	Development of National Forest Stewardship Standards
FSC-PRO-01-001	The Development and Revision of FSC Normative Documents
FSC-PRO-01-005	Processing Appeals
FSC-PRO-01-008	Processing Complaints in the FSC Certification Scheme
FSC-PRO-01-009	Processing Policy for Association Complaints in the FSC Certification Scheme
FSC-DIR-20-007	FSC Directive on Forest Management Evaluations



## Note and verifier on the interpretation of indicators

For each Criterion a number of indicators are listed. The indicator is applicable to all sizes of organizations, intensities of forest management and types of forest including natural forest and plantation.

This standard includes **notes** that **specify aspects of indicators** and as such are *normative*, i.e. they have to be followed by FSC Certificate Holders. These notes apply for all organizations, unless specific thresholds are given that limit their applicability.

Any specification or condition that is given in notes is normative. some notes utilize the word “may”, to define in specific conditions, FSC certificate holders have the option to act differently from what is defined in the parenting indicator or previous notes under that indicator. The intention is to provide flexibility for FSC certificate holders.

### Example box 1

Indicator 2.3.2 Workers have personal protective equipment appropriate to their assigned tasks.

**Note 1:** In this indicator appropriate means personal protective equipment as listed in Annex 2B.

**Explanation:** This note specifies that personal protective equipment as listed in Annex 2B has to be used. This note is *normative*, i.e. workers must have this specific protective equipment. In case of non-compliance auditors have to issue corrective action request(s).

**Note 2:** If the employer provides evidence that other equipment not listed in Annex 2B attains similar protection effects or even better, the organization may use this equipment.

**Explanation:** This note provides flexibility to utilize personal protective equipment that is not listed in Annex 2B, under the premise that this protective equipment is at least as safe and that evidence is provided accordingly. The option ‘may use other equipment’ is linked to the requirement ‘that evidence must be provided’. In case evidence is not provided auditors have to issue corrective action request(s).

This standard also includes **notes for small organizations** that specify aspects of indicators and as such are *normative*, i.e. they have to be followed by FSC Certificate Holders that meet the size threshold specified for small organizations ( $\leq 500$  ha).

In many cases small organizations (e.g. farmers associations, family enterprises, local companies) are exempt from requirements that apply for medium and large organizations (e.g. state owned forest farms, national or multinational companies) due to the low impact these organizations are likely to have on their environment or due to their limited socio-economic



spheres of influence. Additionally, requirements related to documentation or establishment of written procedures impose comparatively high administrative burdens for small organizations and as such might exclude them from the benefits of FSC certification.

Any specification or condition that is given in notes is normative. Some notes utilize the word “may”, to define how small organizations have the option to act differently from what is defined in the parenting indicator or previous notes under that indicator. The intention is to provide flexibility for small organizations.

#### **Example box 2**

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

**Note for Small Organizations:** Small organizations may choose to not document procedures, but demonstrate that the implementation of the management plan is monitored.

**Explanation:** This note provides flexibility for small organisations to reduce administrative burden(s) and related costs, under the premise that the implementation of the management plan is being monitored. The option ‘may choose to not document’ is linked to the requirement ‘that implementation of the management plan must be monitored’. In case monitoring results are not provided auditors have to issue corrective action request(s).

Indicator 8.4.1 A summary of the monitoring\* results consistent with Annex 8, in a format comprehensible to stakeholders including maps and excluding confidential information\* is made publicly available\* at no cost.

**Note for Small organizations:** Small organizations may provide monitoring results upon request.

**Explanation:** This note provides flexibility for small organisations to reduce administrative burden(s) and related costs, in the sense that a summary of monitoring results has to be provided only upon request. However, in case a stakeholder has requested a summary and has not received it, auditors have to issue corrective action request(s).

This standard includes **verifiers** that indicate potential sources of information or evidence that an auditor may find useful in evaluating conformity, such as records, documents, field observations or interviews. Verifiers do not define thresholds for conformity, they may be useful also for the certificate holder for finding means to demonstrate conformity with the indicators. Verifiers are not mandatory.

## Scale, Intensity and Risk (SIR)

At the time of developing this standard, FSC is in the process of developing a guidance document for standard developers (FSC-GUI-60-002) on how to apply the SIR concept at national level. However, as this standard was developed prior to completion of the guidance, there might be a discrepancy between the ways the SIR concept is being applied and content of the final guidance document. Should a discrepancy exist, then it will be addressed as a priority during review and revision of this standard.

The FSC Principles and Criteria V5 introduced 'Scale, Intensity and Risk' as a new concept into the FSC system. It applies all through the standard but is explicitly mentioned in Principles 7 & 8 and in the following Criteria: 1.7, 2.3, 4.3, 4.4, 4.5, 5.1, 5.4, 5.5, 6.1, 6.2, 6.3, 6.4, 6.5, 7.1, 7.2, 7.6, 8.5, 9.1, 9.3, 9.4, and 10.9.

The three factors 'Scale, Intensity and Risk' determine the likelihood that a management activity might have a negative impact on social, environmental or economic values associated with the management unit or the organization.

Thereby, the factors scale and intensity serve as proxies for the factor risk, following the underlying assumption that management activities applied on a small scale and with low intensity have a low risk of causing negative impacts. The following table provides an overview of applicable thresholds for the factors scale and intensity.

Scale	Threshold (area of Management Units)
Small scale	≤ 500 ha
Medium scale	Between 500 ha and 50000 ha
Large scale	≥ 50000 ha
Intensity	Threshold (management activities)
Low intensity	Harvesting rate in the forest management plan period, <20% mean annual increment and annual harvest or average annual harvest < 5,000 m <sup>3</sup> /year
High intensity	Management activities include: Intensive site preparations; Application of chemicals or biological agents; Clear cutting where more than 50% of wood stock in the sub compartment is harvested.



To give an example: Small organizations that do not apply high intensity management activities (e.g. application of pesticides, clear cutting) may reduce assessment frequency of environmental values to every 10 years, because the risk of causing negative environmental impacts is low (Criterion 6.1). Small organizations that do apply high intensity management activities or large organizations have to assess environmental values every 5 years, because the risk of causing negative environmental impact is moderate to high (Criterion 6.1). This is due to applying management activities that are high risk in itself (e.g. application of pesticides, clear cutting) or are being applied at a large scale (e.g. implementation of a road system for transport of round wood).

## Stakeholder engagement methodology

The concept of stakeholder engagement is essential for the application of this standard. It is embedded in the following management activities:

1. Dispute resolution processes (Criterion 1.6, 2.6, 4.6);
2. Definition of Living wages (Criterion 2.4);
3. Identification of rights (Criterion 3.1, 4.1), sites (Criterion 3.5, 4.7) and impacts (Criterion 4.5);
4. Local communities' socio-economic development activities (Criterion 4.4); and
5. High Conservation Value assessment, management and monitoring (Criterion 9.1, 9.2, 9.4).

It is important to conduct stakeholder engagement in a way that it might result in free, prior and informed consent, where this standard requires to comply with specific requirements of this standard. Accordingly, organizations have to develop a method for stakeholder engagement similar to these steps:

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

Last but not least, stakeholder engagement has to be done in a culturally appropriate way to ensure fair and reliable agreements are in place.

**Culturally appropriate:** Considers cultural differences, such as communities' preferences for



direct or indirect negotiation; attitudes toward competition, cooperation, and conflict; the desire to preserve relationships among complainants; authority, social rank, and status; ways of understanding and interpreting the world; concepts of time management; attitudes toward third parties.

## High Conservation Values (HCV)

A national HCV framework is required when applying this standard. Nonetheless, China features large and highly diverse forest areas. Available information on HCV is scattered or deficient at present, and it will take time and resources to collect and/or develop reliable information and to assemble it in a centralized manner.

While the national HCV framework is under development, the “Common Guidance” documents of the HCV Resource Network apply. These are available in Chinese on the FSC China website (<https://cn.fsc.org/download-box.173.htm>). Organizations have to consider these documents when establishing their specific HCV management strategies. Certification Bodies have to use the resources provided by the HCV Resource Network to verify that the organization’s activities are in compliance with the related indicators.

Annex 9A of this standard provides an overview of possible management strategies for maintenance or enhancement of HCVs, while Annex 9B provides Best Available Information\* and general information sources for the identification of HCVs in China. Special provisions apply for small organizations as included in the specific indicators.

The HCV framework will be developed in parallel to the Controlled Wood National risk assessment process. Other institutions such as Global Forest Watch, WWF and Greenpeace may provide additional data. Such information will be integrated into the framework once they have been finalized.

## Bamboo forests and plantations

China features a great diversity of bamboo species and has the largest bamboo forest cover in the world. The 8th national forest resource inventory (2009 – 2013) revealed that bamboo forests cover approx. 6 million hectares, which resembles 2.9% of national forest cover and 27.3% of global bamboo forest cover.

The country has a long history of bamboo management and its production as well as its export statistics are highest in the world. Accordingly, bamboo is an essential natural resource that not only contributes to the development of provincial and rural economies, but also provides an important source of farmers’ income. Major product groups include building materials, charcoal, furniture and bamboo shoots for consumption purposes.

The subfamily Bambusoideae is diverse and bamboo species can be found in a wide range of

climatic conditions and geographic divisions. Growth patterns range from herbaceous and small to woody and tall. Those woody and tall bamboo species, including sympodial and monopodial growth patterns, have **functions and utilities similar to those of tree species**. Therefore, the standard considers this group of bamboo species as being similar to tree species that can be managed in the context of natural forests and plantations.

Under the premises that **all requirements of this standards are applied**, woody and tall bamboo species are eligible for FSC certification in the context of natural forest and plantations, whereas other forms may be certified as non-timber forest products.

The following table provides an overview of common management approaches related to bamboo forests.

Forest type	Natural forest (bamboo species and tree species)	Natural forest (bamboo species)	Plantation (bamboo species)
Management intensity	Low	High	High
Harvest cycle	8 years	8 years	3-6 years
Harvest method	Selective harvest	Selective harvest and clearing of other species	Partial harvest to clear cutting
Fertilizers	No	Yes	Yes
Pesticides	No	Yes	Yes

Management approaches that apply agro-chemicals or clear cutting as defined in the chapter Scale, Intensity and Risk (page 9) are categorized as high intensity management activities. Moreover, forest conversion as defined in Criteria 6.9 and 6.10 is an important aspect to consider also in the context of bamboo forests. This means that forest conversion to bamboo forests and plantations is not eligible for FSC certification.





## Principles, Criteria and National Indicators

### PRINCIPLE 1: COMPLIANCE WITH LAWS

The Organization shall comply with all applicable laws, regulations and nationally-ratified international treaties, conventions and agreements.

**Criterion 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.

**Indicator 1.1.1** Legal registration\* to carry out all activities within the scope of the certificate is documented and unchallenged.

**Note:** If applicable, the organization documents customary rights\* that govern use and access and makes documents publicly available.

**Note for Small Organizations:** Small organizations may have other kinds of evidence of their legal existence (legal person), or may not be legally defined or registered.

**Note for Group Entities:** The forest operation is included in the scope of Business license if the group entities carry out any forest operation activities.

**Indicator 1.1.2** Legal registration\* is granted by a legally competent\* authority according to legally prescribed processes.

**Criterion 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.

**Indicator 1.2.1** The organization provides forest tenure license (issued by government or competent authority) or other related legal evidence that proves rights of resource management and usage within the scope of the certificate.

**Verifiers:** Forest tenure license, lease contract, collective members voting record with signatures

**Indicator 1.2.2** Under forest tenure transfer models, such as subcontract or lease, the organization provides a copy of forest tenure licence (issued by government or competent authority) or other related legal evidence that proves rights of resource management and usage within the scope of the certificate.

**Verifiers:** Copy of forest tenure license, commercial contract, lease contract, copy of collective members voting record with signatures

**Indicator 1.2.3** Legal\* tenure\* is granted by a legally competent\* authority according to legal-



ly prescribed processes.
<b>Indicator 1.2.4</b> The boundaries of all Management Units* within the scope of the certificate are clearly marked or documented and clearly shown on maps.
<b>Criterion 1.3.</b> 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.
<p><b>Indicator 1.3.1</b> All activities undertaken in the Management Unit* are carried out in compliance with:</p> <ol style="list-style-type: none"> <li>1) Applicable laws* and regulations and administrative requirements,</li> <li>2) Legal* and customary rights*; and</li> <li>3) Obligatory codes of practice*.</li> </ol> <p><b>Note:</b> See Annex 1 List of applicable laws*, regulations and nationally-ratified* international treaties, conventions and agreements</p>
Indicator 1.3.2. Complete payment is made in a timely manner* of all applicable legally prescribed charges connected with forest* management.
Indicator 1.3.3. Activities covered by the management plan* are designed to comply with all applicable laws*.
<b>Criterion 1.4.</b> 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.
<b>Indicator 1.4.1</b> Measures are implemented to provide protection* from unauthorized or illegal harvesting, hunting, fishing, trapping, collecting, settlement and other unauthorized activities.
<b>Indicator 1.4.2</b> Where protection* is the legal* responsibility of regulatory bodies, a system is implemented to work with these regulatory bodies to identify, report, control and discourage unauthorized or illegal* activities.
<b>Indicator 1.4.3</b> If illegal* or unauthorized activities are detected, measures are implemented to address them.
<b>Criterion 1.5.</b> 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.



**Indicator 1.5.1** Compliance with applicable national laws\*, local laws\*, ratified\* international conventions and obligatory codes of practice\* relating to the transportation and trade of forest products up to the point of first sale is demonstrated.

**Indicator 1.5.2** The organization provides CITES licenses when harvesting or trading CITES species.

**Criterion 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.

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

**Note for Small Organizations:** Small organizations are not required to establish a dispute resolution process in advance. Disputes may be resolved through local legal aid or mediation.

**Indicator 1.6.2** Disputes cover legal and customary rights\* including but not limited to forest\* ownership, land ownership, and timber ownership.

**Indicator 1.6.3** In addition to Indicator 1.6.2 disputes cover:

- 1) Forest land rental rate adjustments;
- 2) Compensation for damage resulting from forest management activities;
- 3) Non-timber forest products collection;
- 4) Environmental impacts resulting from forest management activities.

**Indicator 1.6.4** Disputes that can be settled out of court are responded to in a timely manner\*, and are either resolved or are in the dispute resolution process\*.

**Indicator 1.6.5** Up to date records of disputes related to issues of applicable laws\* or customary law, are held including:

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

**Indicator 1.6.6** Operations cease in areas where disputes exist:

- 1) Of large scale \*(equal or greater than 500 ha or 10% or more of the forest management unit, whichever is smaller); or
- 2) Of substantial duration\*(6 months or more); or
- 3) Involving a significant\* number of interests (5 families or more); or
- 4) Of substantial magnitude \* (see definition in glossary of terms)



**Criterion 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.

**Indicator 1.7.1** A policy is implemented that includes a commitment not to offer or receive bribes of any description.

**Note for Small Organizations:** Small organizations are not required to establish a policy. However, other means feasible to them demonstrate commitment not to offer or receive bribes of any description.

**Indicator 1.7.2** The organization establishes an internal procedure, which includes information disclosure and procedural transparency, that prevents corruption.

**Note for Small Organizations:** Small organizations are not required to establish a written internal procedure. However, other means feasible to them demonstrate commitment not to offer or receive bribes of any description.

**Indicator 1.7.3** The organization establishes specific control measures for those operations that are especially vulnerable to corruption.

**Note for Small Organizations:** Small organizations are not required to establish specific control measures. However, other means feasible to them demonstrate commitment not to offer or receive bribes of any description.

**Indicator 1.7.4** The policy is publicly available\* at no cost.

**Indicator 1.7.5** Bribery, coercion and other acts of corruption do not occur.

**Indicator 1.7.6** Corrective measures are implemented if corruption does occur.

**Criterion 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.

**Indicator 1.8.1** A written policy, endorsed by an individual from top management with authority to implement the policy, includes a long-term commitment to forest\* management practices consistent with FSC Principles\* and Criteria\* and related Policies and Standards.

**Indicator 1.8.2** The policy is publicly available\* at no cost.



**PRINCIPLE 2: WORKERS' RIGHTS AND EMPLOYMENT CONDITIONS**

The Organization shall maintain or enhance the social and economic wellbeing of workers\*.

**Criterion 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.

**Indicator 2.1.1** Employment practices and conditions for workers\* demonstrate conformity with or uphold the principles and rights of work addressed in the ILO Core Labor Conventions and the Chinese law to protect worker's rights.

**Indicator 2.1.2** The organization is not engaged or involved in the following activities:

- 1) Forced Labour as reflected in Chinese law ("Labour Law" Article 96, "Labour Contract Law" Article 88)
- 2) Restriction of workers to associate and establish workers' organization as reflected in Chinese law ("Constitution" Article 35).
- 3) Restriction of workers to organize and bargain collectively as reflected in Chinese law ("Trade Union Law" Article 3).
- 4). Use of child labour as reflected in Chinese law ("Labour Law" Article 15)
- 5) Force women to engage in heavy physical work or dangerous jobs as reflected in Chinese law ("Labour Law" Article 59)
- 6) Discrimination in respect to employment and occupation as reflected in Chinese law ("Labour Law").
- 7) Overdue wages as reflected in Chinese law ("Labour Law" Article 50, 51, "Labour Contract Law" Article 33).
- 8) Does not pay equal for equal work as reflected in Chinese law ("Labour Law" Article 46)

**Indicator 2.1.3** The organization does not force workers directly or indirectly through measures such as:

- 1) Seizure of identity cards;
- 2) Deposits of any kind;
- 3) Deduction of wages.

**Indicator 2.1.4** Student internships are 16 years of age or more.

**Note:** As reflected in the regulation "Secondary vocational school students practice management approach."

**Indicator 2.1.5** Workers of age 16-18 that have not entered or finished primary or secondary

school are not deprived of their labour rights and may be assigned work without affecting their health and safety.

**Indicator 2.1.6** Employment practises do not involve any of the following activities:

- 1) Household discrimination;
- 2) Gender discrimination;
- 3) Age discrimination;
- 4) Height discrimination;
- 5) Political identity discrimination;
- 6) Qualifications discrimination;
- 7) Curriculum vitae discrimination;
- 8) Surname discrimination,
- 9) Discrimination against Hepatitis B virus carriers.

**Indicator 2.1.7** Workers\* are able to join labour organizations and obey to the rules of the labour organization concerned.

**Indicator 2.1.8** The organization ensures the following:

- 1) Not to interfere with workers to establish their organization;
- 2) Workers, workers' representatives and their organizations can conduct negotiations;
- 3) To recognize agreements and to keep the corresponding records.

**Indicator 2.1.9** Agreements are implemented resulting from collective bargaining with formal and informal workers organizations\*.

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

**Indicator 2.2.1** Systems are implemented that promote gender equality\* and prevent gender discrimination in employment practices, training opportunities, awarding of contracts, processes of engagement\* and management activities.

**Note:** This includes but is not limited to:

- 1) Employment criteria are not modified to discriminate based on gender.
- 2) The organization signs a labor (employment) contract or service agreement with all workers including female workers.
- 3) The contract or service agreement does not contain restrictions about marriage and childbearing.
- 4) All workers including female workers participate in work related meetings and trainings.



- 5) The organization makes efforts to provide employment opportunities to all workers including female workers.
- 6) The opportunities are not only appropriate to employment conditions, but are also compatible with the role of women in family and society.

**Indicator 2.2.2** The organization protects and promotes a safe and healthy work environment for all workers including female workers as reflected in Chinese law ("Provisions on the labor protection of female employees").

**Note:** Special provisions are provided to female workers during pregnancy, perinatal period, and breastfeeding period.

**Indicator 2.2.3** Work typically carried out by women (silviculture, Non Timber Forest Product harvesting, weighing, packing, etc.) is included in training and health & safety programs to the same extent as work typically carried out by men.

**Indicator 2.2.4** Women and men are paid the same wage when they do the same work.

**Indicator 2.2.5** Women are paid directly and using mutually agreed methods (e.g. direct bank transfer, direct payments for school fees, etc.) to ensure they safely receive and retain their wages.

**Indicator 2.2.6** Maternity leave complies with "Regulations on the management of population and family planning" and is no less than a six-week period after childbirth.

**Indicator 2.2.7** Paternity leave complies with "Regulations on the management of population and family planning" and there is no penalty for taking it.

**Indicator 2.2.8** Meetings, management committees and decision-making forums are organized to include women and men, and to facilitate the active participation of both.

**Indicator 2.2.9** Confidential and effective mechanisms exist for reporting and eliminating cases of sexual harassment and discrimination based on gender, marital status, parenthood or sexual orientation.

**Criterion 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.

**Indicator 2.3.1** Health and safety practices are developed and implemented that meet or exceed the ILO Code of Practice on Safety and Health in Forestry Work.

**Note:** Due to production and management needs, the organization may extend the working hours after consultation with workers. Extension does not exceed 36 hours per month.



**Indicator 2.3.2** Workers have personal protective equipment appropriate to their assigned tasks.

**Note 1:** In this indicator appropriate means personal protective equipment as listed in Annex 2B.

**Note 2:** If the employer provides evidence that other equipment not listed in Annex 2B attains similar protection effects or even better, the organization may use this equipment.

**Indicator 2.3.3** Use of personal protective equipment is enforced.

**Indicator 2.3.4** Records are kept on Health and Safety practices including accident rates and lost time to accidents.

**Indicator 2.3.5** The frequency and severity of accidents are consistently low compared to national forest\* industry averages.

**Note:** The organization may utilize the “China forestry statistic annual review” published by the State Forestry Administration for benchmarking industry averages. In case the organization does not want to purchase this review, it may provide other means of verification that frequency and severity of accidents are low and remain low or are decreasing during duration of the certificate.

**Indicator 2.3.6** The health and safety practices are reviewed and revised as required after major incidents or accidents.

**Note 1:** All work related injuries, incidents or accidents are recorded according to Indicator 2.3.4. After major incidents or accidents health and safety practices are reviewed and revised as required.

**Note 2:** Lost work days equal to 105 days or more is a major incident or accident as reflected in the “National accidents classification standard, Annex B”.

**Criterion 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.

**Indicator 2.4.1** Wages paid by The Organization\* in all circumstances meet or exceed legal\* minimum wage rates, where such rates exist.

**Note 1:** Legal minimum wage does not include payment owed on account of:

- 1) Overtime;
- 2) Special allowances paid by reason of a particular work environment or condition (e.g. shift duties, working in mines, working at high altitudes etc.);





- 3) Statutory employee welfare benefits;
- 4) Travel-related expenses; or
- 5) Protective clothing or equipment.

**Note 2:** These types of payment are additional to the legal minimum wage rate that is usually calculated on a per month basis.

**Indicator 2.4.2** Wages paid meet or exceed:

- 1) Minimum forest\* industry standards; or
- 2) Other recognized forest\* industry wage agreements; or
- 3) Living wages\* that are higher than legal\* minimum wages.

**Note:** The organization may pay legal minimum wage rates where these are equal to minimum forest industry standards. Forest industry standards or collective bargaining agreements that exist and are higher than legal minimum wage rates are recognized and implemented.

**Indicator 2.4.3** Wages, salaries and contracts are paid on time.

**Criterion 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.

**Indicator 2.5.1** Workers\* have job specific training consistent with Annex 2A and supervision to safely and effectively contribute to the implementation of the management plan\* and all management activities.

**Indicator 2.5.2** Up to date training records are kept for all relevant workers\*.

**Note for Small Organizations:** Small organizations may provide other means of verification that trainings are provided.

**Verifiers:** Interviews with workers, interviews with stakeholders

**Criterion 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.

**Indicator 2.6.1** A publicly available\* dispute resolution process\* is in place; developed through culturally appropriate\* engagement\* with workers\*.

**Note for Small Organizations:** Small organizations are not required to establish a dispute resolution process in advance. As soon as a dispute arises, a dispute resolution process is established that is agreed by both parties.



**Indicator 2.6.2** Workers\* grievances are identified and responded to and are either resolved or are in the dispute\* resolution process.

**Indicator 2.6.3** Up-to-date records of workers\* grievances related to workers\* loss or damage of property, occupational diseases\* or injuries are maintained including:

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

**Indicator 2.6.4** Fair compensation\* is provided to workers\* for work-related loss or damage of property and occupational disease\* or injuries.

**Note:** Both parties agree over the compensation rate. The compensation rate meets or exceeds national minimum requirements as reflected in Chinese regulation “Injury Management Regulations”, 2011 and as reflected in Chinese law “Law of the People's Republic of China on Prevention and Control of Occupational Diseases”, 2011 .



### 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.

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

**Indicator 3.1.1** Indigenous peoples\* that may be affected by management activities are identified.

**Note 1:** Indigenous peoples\* include those who have affirmed their rights to land, forests\* and other resources based on long established use, and also those who have not yet done so (due for example, to a lack of awareness or empowerment).

**Note 2:** In this standard, "indigenous people" refers to:

- 1) officially recognized or self-identified as group different from the Han; and
- 2) The earliest settlements and migrating before 1949.

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

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

**Note for Small Organizations that practise low intensity forest operations:** Small organizations or organizations that practise low intensity forest operations may choose to not provide documents and/or maps.



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

**Indicator 3.2.1** Through culturally appropriate\* engagement\* Indigenous Peoples\* are informed when, where and how they can comment on and request modification to management activities to the extent necessary to protect their rights, resources and lands.

**Indicator 3.2.2** The legal\* and customary rights\* of Indigenous Peoples\* are not violated by The Organization\*.

**Indicator 3.2.3** Where evidence exists that legal\* and customary rights\* of Indigenous Peoples\* related to management activities have been violated the situation is corrected, if necessary, through culturally appropriate\* engagement\* and/or through the dispute\* resolution process as required in Criteria\* 1.6 or 4.6.

**Indicator 3.2.4** Free, prior and informed consent\* is granted by indigenous peoples\* prior to management activities that affect their identified rights through a process that includes:

- 1) Ensuring indigenous peoples\* know their rights and obligations regarding the resource;
- 2) Informing the indigenous peoples\* of the value, in economic, social and environmental terms, of the resource over which they are considering delegation of control;
- 3) Informing the indigenous peoples\* of their right to withhold or modify consent to the proposed management activities to the extent necessary to protect rights, resources and lands; and
- 4) Informing the indigenous peoples\* of the current and future planned forest\* management activities.

**Note:** this process includes:

- 1) Defining the decision making process to be used by the community and the Organization;
- 2) Defining the fair negotiation of consent agreements including fair compensation for the use of the resource, in a culturally acceptable way for the local communities\*, and if needed with the assistance of neutral advisors;
- 3) Ensuring any agreement reached is documented and formally acknowledged;
- 4) Monitoring that the agreement is being upheld by all parties;
- 5) Periodically re-negotiating the terms of the consent agreement to take into account changing conditions and grievances; and

6) Traditional knowledge and intellectual property\* is identified, recognized and documented if feasible, while respecting the confidentiality of that knowledge and the protection\* of intellectual property\* rights.

**Criterion 3.3.** In the event of delegation of control over management activities, a binding agreement between The Organization and the Indigenous Peoples shall be concluded through Free, Prior and Informed Consent. The agreement shall define its duration, provisions for renegotiation, renewal, termination, economic conditions and other terms and conditions. The agreement shall make provision for monitoring by Indigenous Peoples of The Organization's compliance with its terms and conditions.

**Indicator 3.3.1** Where control over management activities has been granted through Free Prior and Informed Consent\* based on culturally appropriate\* engagement\*, the binding agreement\* contains the duration, provisions for renegotiation, renewal, termination, economic conditions and other terms and conditions.

**Note:** Binding agreements are not limited to written agreements. They may be based on oral and honour systems, to be applied in cases where written agreements are not favoured by Indigenous Peoples\*, either for practical reasons or in principle.

**Indicator 3.3.2** Records of binding agreements are maintained.

**Indicator 3.3.3** The binding agreement\* contains the provision for monitoring\* by indigenous peoples\* of The Organization\*'s compliance with its terms and conditions.

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

**Indicator 3.4.1** The rights, customs and culture of indigenous peoples\* as defined in UNDRIP and ILO Convention 169 are not violated by The Organization\*.

**Indicator 3.4.2** Where evidence that rights, customs and culture of indigenous peoples\* as defined in UNDRIP and ILO Convention 169, have been violated by the Organization the situation is documented including steps to restore\* these rights, customs and culture of indigenous peoples\*, to the satisfaction of the rights holders.

**Criterion 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.

**Indicator 3.5.1** Sites of special cultural, ecological, economic, religious or spiritual signifi-



cance for which *indigenous peoples\** hold *legal\** or *customary rights\** and measures to protect them are identified through culturally appropriate *engagement\**.

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

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

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

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

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



#### PRINCIPLE 4: COMMUNITY RELATIONS

The Organization shall contribute to maintaining or enhancing the social and economic well-being of local communities.

**Criterion 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.

**Indicator 4.1.1** Local communities\* that exist in the Management Unit\* and those that may be affected by management activities are identified and claims related to the management unit are recorded.

**Note 1 :** Local communities are those with a fair and legitimate claim to be allowed access to benefits, goods or ecosystem services\* from the Management Unit\*. This includes communities that have affirmed their rights to land, forests\* and other resources based on long established use, as well as those that have not yet done so (due for example, to a lack of awareness or empowerment).

**Note 2:** Local communities\* affected by management activities include those neighboring the Management Unit\*, and those that are more distant that may experience negative impacts as a result of activities within the Management Unit\*. These communities are affected stakeholders\* according to Criterion\* 7.6.

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

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

**Note for Small Organizations or organizations that practice low intensity forest operations:** Small organizations or organizations that practice low intensity forest operations may



choose to not provide documents and/or maps.

**Criterion 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.

**Indicator 4.2.1** Through culturally appropriate\* engagement\* local communities\* are informed of when, where and how they can comment on and request modification to management activities to the extent necessary to protect their rights.

**Indicator 4.2.2** The legal\* and customary rights\* of local communities\* to maintain control over management activities are not violated by The Organization\*.

**Indicator 4.2.3** Where evidence exists that legal\* and customary rights\* of local communities\* related to management activities have been violated the situation is corrected, if necessary, through culturally appropriate\* engagement\* and/or through the dispute resolution process\* in Criteria\* 1.6 or 4.6

**Indicator 4.2.4** Free, prior and informed consent\* is granted by local communities\* prior to management activities that affect their identified rights through a process that includes:

- 1) Ensuring local communities\* know their rights and obligations regarding the resource;
- 2) Informing the local communities\* of the value, in economic, social and environmental terms, of the resource over which they are considering delegation of control;
- 3) Informing the local communities\* of their right to withhold consent to the proposed management activities to the extent necessary to protect rights and resources; and
- 4) Informing the local communities\* of the current and future planned forest\* management activities.

**Note:** this process includes:

- 1) Defining the decision making process to be used by the community and the Organization;
- 2) Defining the fair negotiation of consent agreements including fair compensation for the use of the resource, in a culturally acceptable way for the local communities\*, and if needed with the assistance of neutral advisors;
- 3) Ensuring any agreement reached is documented and formally acknowledged;
- 4) Monitoring that the agreement is being upheld by all parties;
- 5) Periodically re-negotiating the terms of the consent agreement to take into account changing conditions and grievances; and
- 6) Traditional knowledge and intellectual property\* is identified, recognized and document-





ed if feasible, while respecting the confidentiality of that knowledge and the protection* of intellectual property* rights.
<b>Criterion 4.3.</b> 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.
<p><b>Indicator 4.3.1</b> Reasonable* opportunities are communicated and provided to local communities*, local contractors and local suppliers for:</p> <ol style="list-style-type: none"> <li>1) Employment,</li> <li>2) Training, and</li> <li>3) Other services</li> </ol>
<b>Criterion 4.4.</b> 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.
<p><b>Indicator 4.4.1</b> Opportunities for local social and economic development are identified through culturally appropriate * engagement* with local communities* and other relevant organizations.</p> <p><b>Note for Small Organizations:</b> Small organizations engage in community services as to meet this indicator.</p>
<p><b>Indicator 4.4.2</b> Projects and additional activities are implemented and / or supported that contribute to local social and economic benefit and are proportionate to the socio-economic impact of management activities.</p> <p><b>Note:</b> Projects and additional activities include the following aspects:</p> <ol style="list-style-type: none"> <li>1) Requested by free and collective decisions of the local communities*;</li> <li>2) Priorities for the communities;</li> <li>3) Sustainable in the long term;</li> <li>4) Beneficial to the local communities* as a whole;</li> <li>5) Relevant to the poverty status of the local communities*;</li> <li>6) Distributed equitably within the local communities*</li> </ol> <p><b>Note for Small Organizations:</b> Small organizations engage in community services as to meet this indicator.</p>
<b>Criterion 4.5.</b> 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.

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

**Note for Small Organizations:** Small organizations may implement measures according to FSC technical materials for small, low intensity and community forests:

- 1) Briefing Note 2: Assessment of Environmental Impacts;
- 2) Briefing Note 3 "Evaluating and Monitoring Social Impacts".

See Annex 11 for details.

**Criterion 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.

**Indicator 4.6.1** A publically available dispute resolution process is in place, developed through engagement\* with local communities\*.

**Note for Small Organizations:** Small organizations are not required to establish a dispute resolution process in advance. As soon as a dispute arises, a dispute resolution process is established that is agreed by both parties.

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

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

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

**Indicator 4.6.4** Operations cease in areas where disputes exist:

- 1) Of large scale \*(equal or greater than 500 ha or 10% or more of the forest management unit, whichever is smaller); or
- 2) Of substantial duration\*(6 months or more); or
- 3) Involving a significant\* number of interests (5 families or more); or
- 4) Of substantial magnitude \* (see definition in glossary of terms).



**Criterion 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.

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

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

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

**Criterion 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.

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

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



## PRINCIPLE 5: BENEFITS FROM THE FOREST

The Organization shall efficiently manage the range of multiple products and services of the Management Unit to maintain or enhance long-term economic viability and the range of social and environmental benefits.

**Criterion 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.

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

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

**Note:** The Organization\* is not required to engage in the commercial use of products and benefits of the Management Unit\* if such use would have negative impacts on the primary objectives\* of conservation or protection. This includes but is not limited to:

- 1) Activities that lead to NTFP over-exploitation
- 2) Activities that may have a serious negative impact on the environment;
- 3) Activities that may have a serious negative impact on local communities.

**Note for Small Organizations:** Small organizations are exempt.

**Indicator 5.1.3** When The Organization\* makes FSC promotional claims regarding the maintenance and/or enhancement of ecosystem services\*, Annex 5 is followed regarding additional requirements.

**Criterion 5.2.** The Organization shall normally harvest products and services from the Management Unit at or below a level which can be permanently sustained.

**Indicator 5.2.1** Timber harvesting levels\* are based on an analysis of current Best Available Information\* on growth and yield; inventory of the forest\*; mortality rates; and maintenance of ecosystem functions\*.

**Indicator 5.2.2** Based on the harvesting levels analysis, a maximum allowable annual cut for timber is determined that does not exceed the harvest level that can be permanently sustained including by ensuring that harvest rates do not exceed growth.



**Indicator 5.2.3** The organization ensures that the rate of harvest for large, regionally dispersed FMUs does not allow concentrating the annual harvest in one sub-unit.

**Indicator 5.2.4** The organization ensures that the rate of harvest for large, regionally dispersed FMUs does not allow concentrating on any one species in a way that compromises the Organization's ability to meet all other aspects of the standard.

**Indicator 5.2.5** Actual annual harvest level for timber products or commercial service are recorded and the harvest over a defined period does not exceed the allowable cut determined in 5.2.2 for the same defined period.

**Note:** In a defined management period (5 or 10 years), special circumstances in a given year may allow for the harvest rate to exceed the annual growth rate, providing that all other requirements of this standard are met and that the following conditions are met:

- 1) The organization provides a clear rationale;
- 2) The organization develops a harvesting plan for the management period (5 or 10 years) which ensures that the average harvest rate does not exceed annual growth rate;
- 3) The harvest rate does not exceed annual growth rate in two consecutive years.

**Indicator 5.2.6** For extraction of commercially harvested services and non-timber forest products\* under The Organization's\* control a sustainable harvest level is calculated and adhered to. Sustainable harvest levels are based on Best Available Information\*.

**Indicator 5.2.7** The organization identifies the types of NTFP, and analyzes optimal control measures. Calculation of sustainable harvest level is based on best available information, production data and on and off year of the NTFP.

**Note:** The organization shall note that controlling and managing hunting, fishing and collecting are addressed in Criterion\* 6.6.

**Criterion 5.3.** The Organization shall demonstrate that the positive and negative externalities of operations are included in the management plan.

**Indicator 5.3.1** Costs related to preventing, mitigating or compensating for negative social and environment impacts of management activities are quantified and documented in the management plan\*.

**Note for Small Organizations:** Small organizations may choose to not record related cost.

**Indicator 5.3.2** Benefits related to positive social and environment impacts of management activities are identified and included in the management plan\*.

**Criterion 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.

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

**Note:** "local" has different meanings in this indicator depending on the size of the organization.

- 1) For large scale organizations, local covers the range within the province including the provincial capital.
- 2) For small scale organizations "local" covers the range within the county.
- 3) For medium sized organizations, "local" covers the range within the county as well as neighboring counties. Prefecture -level cities are included for every county.

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

**Note for Small Organizations:** Small organizations are exempt.

**Criterion 5.5.** The Organization shall demonstrate through its planning and expenditures proportionate to scale, intensity and risk, its commitment to long-term economic viability.

**Indicator 5.5.1** Sufficient funds are allocated to implement the Management Plan\* in order to meet this standard and to ensure long-term economic viability\*.

**Indicator 5.5.2** Expenditures and investments are made to implement the Management Plan\* in order to meet this standard and to ensure long-term economic viability\*.

**Note for Small Organizations:** Expenditures and investments may be documented by other means than accounting or balance sheets. This may include sales invoices and transfer or cash receipts.

## 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.

**Criterion 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.

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

**Note:** Best Available Information\* includes:

- 1) Representative Sample Areas\* showing environmental values\* in their natural state.
- 2) Field surveys;
- 3) Databases relevant to the environmental values\*, for example, local forestry archive and natural reservation strategic information of municipal or above level;
- 4) Consultation with local and regional experts;
- 5) Culturally appropriate\* engagement\* with indigenous peoples\*, local communities\* and affected stakeholder\* and interested stakeholder\*

**Note for Small Organizations:** For group certification schemes this requirement applies at the level of the group entity. Small scale members are exempt from assessment requirements.

**Indicator 6.1.2** Environmental values are assessed at stand level and at landscape level.

**Note 1:** Assessment at stand level includes the following attributes:

- 1) Plant species diversity;
- 2) Provenance and mother tree;
- 3) Stand density including standing trees, snags and fallen logs (mainly for natural forests);
- 4) Canopy density;
- 5) Existence of invasive species.

**Note 2:** Assessment at landscape level includes the following attributes:

- 1) Successional stages of forest communities;
- 2) Rare ecological communities;
- 3) Animal species and their habitats;



- 4) Watersheds and riparian areas.

**Note for Small Organizations:** For group certification schemes this requirement applies at the level of the group entity. Small scale members are exempt from assessment requirements.

**Indicator 6.1.3** Assessments of environmental values\* are conducted with a level of detail and within a period of 5 years, so that:

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

**Note for Small Organizations:** Small organizations that do not apply high intensity management activities may decrease assessment frequency to 10 years.

**Indicator 6.1.4** Organizations that apply high intensity management activities, use quantitative methods to assess environmental values. The applied methods are based on scientific sampling designs and statistical analysis.

**Note:** The organization provides a clear rationale, if a quantitative method cannot be applied.

**Criterion 6.2.** Prior to the start of site-disturbing activities, The Organization shall identify and assess the scale, intensity and risk of potential impacts of management activities on the identified environmental values.

**Indicator 6.2.1** An environmental impact assessment\* identifies potential present and future impacts of management activities on environmental values\*.

**Note:** Organizations that apply high intensity management activities use quantitative methods to assess environmental impacts and illustrate scientific basis of utilized methods.

**Note for Small Organizations:** Small organizations that do not apply high intensity management activities may implement measures according to FSC technical materials for small, low intensity and community forests:

- 1) Briefing Note 2: Assessment of Environmental Impacts

See Annex 11 for details.

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





**Criterion 6.3.** The Organization shall identify and implement effective actions to prevent negative impacts of management activities on the environmental values, and to mitigate and repair those that occur, proportionate to the scale, intensity and risk of these impacts.

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

**Indicator 6.3.2** Management activities prevent or mitigate negative impacts to environmental values\*.

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

**Criterion 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.

**Indicator 6.4.1** Best Available Information is used to identify rare and threatened species\* and their habitats\*, including CITES species (where applicable), and critically endangered (CR) and endangered (EN) species listed on the China biodiversity Red List.

**Note 1:** Best Available Information\* includes:

- 1) CITES list and China Biodiversity Red List. and, if applicable,
- 2) Field surveys;
- 3) Databases relevant to the environmental values\*, for example, local forestry archive and natural reservation strategic information of municipal or above level;
- 4) Consultation with local and regional experts;
- 5) Culturally appropriate\* engagement\* with indigenous peoples\*, local communities\* and affected stakeholder\* and interested stakeholder\*.

**Note 2:** See Annex 6 China Biodiversity Red List.

**Indicator 6.4.2** Potential impacts of management activities on rare and threatened species\* and their conservation\* status and habitats\* are identified and management activities are modified to avoid negative impacts.

**Indicator 6.4.3** The rare and threatened species\* and their habitats\* are protected, including



through the provision of conservation zones\*, protection areas\*, connectivity\*, and other direct means for their survival and viability, such as the species' recovery programs.

**Indicator 6.4.4** Hunting, fishing, trapping and collection of rare or threatened species\*is prevented.

**Note:** The organization implements the following measures:

- 1) Establishes written rules to prohibit workers, local communities and others from hunting, fishing, trapping, collecting and selling rare or endangered species \*. The rules are based on applicable legislation.
- 2) Establishes education and patrolling programs for the protection of rare and threatened species.
- 3) Cooperates with local forestry administration and reports incidences of hunting, fishing, trapping or gathering of rare or threatened species. In case the organization has legal authority, it may take legal action based on applicable legislation.
- 4) Maintains records about incidences of hunting fishing, trapping or gathering of rare or threatened species.
- 5) Increases education and patrolling efforts or establishes other relevant measures when incidences of hunting, fishing, trapping or gathering of rare or threatened species \* increase.

**Note for Small Organizations:** Small organizations may choose to not implement measures 1 - 5, but ensure that:

- 1) There is no fishing, trapping or collection of rare or threatened species with their direct involvement;
- 2) Communicate with the people in their surroundings not to fish, trap or collect rare or threatened species.

**Criterion 6.5** The Organization shall identify and protect representative sample areas of native ecosystems and/or restore them to more natural conditions. Where representative sample areas do not exist or are insufficient, The Organization shall restore a proportion of the Management Unit to more natural conditions. The size of the areas and the measures taken for their protection or restoration, including within plantations, shall be proportionate to the conservation status and value of the ecosystems at the landscape level, and the scale, intensity and risk of management activities.

**NOTE:**

- 1) Representative sample areas representing the native ecosystem in local context, and thus serve as a reference for ecosystem that exists or could be present in the management unit, for the purpose of 6.1.1.



- 2) Informing forest\* management, including regeneration, within the Management Unit\* in order to maintain or enhance environmental values\*.
- 3) Forming part of the Conservation Areas Network\* within the Management Unit\*. In order to protect and conserve environmental values\*, it may be necessary to designate and restore\* Representative Sample Areas\* within the Management Unit\*. Protection Areas\*, Conservation zones\*, Representative Sample Areas\* and High Conservation Value Areas\*, may overlap spatially where they meet the same criteria to form the Conservation Area Network\*.

**Indicator 6.5.1** Best Available Information\* is used to identify native ecosystems\* that exist, or would exist under natural conditions\* within the Management Unit\*.

**Note:** Best Available Information includes:

- 1) Field surveys;
- 2) Databases relevant to the environmental values\*, for example, local forestry archive and natural reservation strategic information of municipal or above level;
- 3) Consultation with local and regional experts;
- 4) Culturally appropriate\* engagement\* with indigenous peoples\*, local communities\* and affected stakeholder\* and interested stakeholder\*.

**Indicator 6.5.2** Representative sample areas\* of native ecosystems\* are protected, where they exist.

**Indicator 6.5.3** Where Representative Sample Areas\* do not exist, or where existing areas inadequately represent native ecosystem\*, or are otherwise insufficient, a proportion of the Management Unit\* is restored\* to more natural conditions\*.

**Note:** if there are insufficient or no representative samples areas within the MU, and under the following conditions, the organization could set-aside requirements outside the Management Unit (MU), the conditions as below:

- The MU is smaller than 50 ha;
- The Organization shall identify rare and threatened species and their habitats in the MU. When they exist although are insufficient in size, measures for their survival and viability shall be identified and put in place.
- The outside area is in the same forest landscape. For auditing purposes landscape is defined as the quaternary water catchment area.
- Sites to be conserved outside of the MU are representative samples of existing ecosystems.
- The outside area is not commercially harvested and is under a legal protection status, OR

there is a binding contract between the Organization and the owner of the outside area to:

- o Protect the area in its natural stage;
- o Mark the boundaries of the area in the field and on maps;
- o Allow certification bodies to access area for inspection.
- Financial assistance alone does not constitute compliance with the requirements of criterion 6.5.5. Some conservation efforts have to be demonstrated within the MU. Other examples of conservation efforts may be presented to PSU for evaluation on a case by case basis.

**Indicator 6.5.4** The size of the Representative Sample Areas\* and/or restoration\* areas is proportionate to the conservation\* status and value of the ecosystems\* at the landscape\* level, the size of the Management Unit\* and the intensity\* of forest\* management.

**Note:**

- 1) Every Representative Sample Area is 1ha or more.
- 2) The organization considers the ecosystem value at landscape level, considers establishment of wildlife corridors between Representative Sample Areas, and avoids occurring fragmentation.

**Indicator 6.5.5** Representative Sample Areas\* in combination with other components of the conservation areas network\* comprise a minimum 10% area of the Management Unit\*.

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

**Criterion 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.

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

**Indicator 6.6.2** Where past management has eliminated plant communities or habitat features\*, management activities aimed at re-establishing such habitats\* are implemented.

**Note 1:** For natural forest, the organization applies artificial regeneration methods or manually accelerates natural regeneration. This may include: Supplemental seeding, replanting, par-

tial soil preparation, cutting, irrigation or mowing.

**Note 2:** For plantations, the organization applies regeneration measures along waterbodies, roads and/or establishes other relevant buffer zones.

**Indicator 6.6.3** Management activities maintain, enhance, or restore\* habitat features\* associated with native ecosystems\*, to support the diversity of naturally occurring species and their genetic diversity.

**Note:** This includes the following measures:

- 1) Timber harvest and silvicultural methods maintain and restore\* natural forest\* diversity, composition, and structure;
- 2) Thresholds and guidelines for retention of trees throughout harvest areas as individual trees or in patches or groups of live trees and snags, including trees representative of the naturally dominant species for the site;
- 3) Thresholds and guidelines for retention of woody debris, and other vegetation representative of the natural stand;
- 4) Thresholds and guidelines for establishment and management of the rotation and harvesting area, in order to maintain the diversity of forest age, keep the nature state of forest stand, avoid the fragmentation occurring and accumulative impact to catchment.
- 5) Configuration of harvesting to ensure connectivity\*.

**Indicator 6.6.4** The organization maintains or restores complexity of forest communities.

**Note:** Complexity refers to the following attributes:

- 1) Old-growth or mature commercial and non-commercial trees;
- 2) Trees with special ecological value;
- 3) Vertical and horizontal stand structure;
- 4) Forest canopy.

**Indicator 6.6.5** The organization retains following special habitats:

- 1) Standing dead trees and fallen trees;
- 2) Small wetlands, bogs, fens;
- 3) Small non-forest\* open areas;
- 4) Animal hibernation sites.

**Indicator 6.6.6** Effective measures are taken to manage and control hunting, fishing, trapping and collecting activities to ensure that naturally occurring native species\*, their diversity within species and their natural distribution are maintained.

**Indicator 6.6.7** The organization shall identify the species for which hunting, fishing, trapping



and collecting are allowed, and the species for which these are forbidden, according to related national laws and international conventions.

**Indicator 6.6.8** If the organization is allowed to hunt, fish, trap and collect, the organization demonstrates that a written procedure is developed and implemented according to applicable laws.

**Indicator 6.6.9** The organization possesses, manufactures, sells, transports, rents, lends and uses firearms in line with the „People’s Republic of China Firearms Law" (1996).

**Indicator 6.6.10** The organization develops and implements written procedures to prohibit and punish using company’s vehicle to transport, trade and use of protected wildlife and firearms.

**Indicator 6.6.11** The organization establishes effective mechanisms to prohibit workers \* to hunt, trap or capture wild animals or wild fish.

**Criterion 6.7.** The Organization shall protect or restore natural watercourses, water bodies, riparian zones and their connectivity. The Organization shall avoid negative impacts on water quality and quantity and mitigate and remedy those that occur.

**Indicator 6.7.1** Protection\* measures are implemented to protect natural watercourses\*, water bodies\*, riparian zones\* and their connectivity\*, including water quantity and water quality.

**Note 1:** This includes that the organization marks watercourses and water bodies in their harvesting design maps, except for watercourses with a stream bed width less than 2 meters.

**Note 2:** Stream bed width is the distance between vegetation zones on both sides of the river.

Note 3: The requirements of Indicator 6.7.1 are based on the Code of Forest Harvesting (LY/T 1646-2005), Page 19, item 7.2.

**Indicator 6.7.2** The organization sets up buffer zones along watercourses and water bodies.

**Note 1:**

- 1) If stream bed width is greater than 50 meters, unilateral minimum width of the buffer zone is 30 meters or more;
- 2) If stream bed width is between 20 and 50 meters, unilateral minimum width of the buffer zone is 20 meters or more;
- 3) If stream bed width is between 10 and 20 meters, unilateral minimum width of the buffer zone is 15 meters or more;
- 4) If stream bed width is shorter than 10 meters, unilateral minimum width of the buffer

zone is 8 meters or more.

**Note 2:** If species, habitats or ecosystems exist that require protection, the organization enhances the width of buffer zones accordingly.

**Note 3:** Stream bed width is the distance between vegetation zones on both sides of the river.

Note 4: The requirements of Indicator 6.7.2 are based on the Code of Forest Harvesting (LY/T 1646-2005), Page 19, item 7.2.1.

**Indicator 6.7.3** The organization manages buffer zones for protection purposes.

**Note 1:** This involves the following management activities:

- 1) Protection of natural vegetation;
- 2) No tree cutting without a license;
- 3) Prevent construction or other machinery to enter buffer zones, except for construction of bridges and/or culverts;
- 4) Implement environmental impact assessments and mitigation measures prior to construction of bridges and/or culverts;
- 5) No dumping of logging residues, other debris and rubbish;
- 6) No use of pesticides and fertilizers in buffer zones.

**Note 2:** The organization does not plant trees in nature river courses.

**Indicator 6.7.4** Where implemented protection\* measures do not protect watercourses\*, water bodies\*, riparian zones\* and their connectivity, water quantity and water quality from impacts of forest\* management, restoration activities are implemented.

**Indicator 6.7.5** Where natural watercourses, water bodies\*, riparian zones\* and their connectivity, or water quantity and water quality have been damaged by past activities on land and water by The Organization\*, restoration activities\* are implemented.

**Indicator 6.7.6** Where continued degradation exists to watercourses\*, water bodies\*, water quantity and water quality caused by previous managers and the activities of third parties, measures are implemented that prevent or mitigate this degradation.

**Criterion 6.8.** The Organization shall manage the landscape in the Management Unit to maintain and/or restore a varying mosaic of species, sizes, ages, spatial scales and regeneration cycles appropriate for the landscape values in that region, and for enhancing environmental and economic resilience.

**Indicator 6.8.1** A varying mosaic of species, sizes, ages, spatial scales\*, and regeneration cycles is maintained appropriate to the landscape\*.



**Note 1:** Landscape features include those shaped by natural processes and and/or modified by human activities.

**Note 2:** Appropriate to the landscape means that management aims at maintaining the continuity of natural characteristics of the FMU and the surrounding area, and maintaining the traditional culture and activities which contribute to such continuity.

**Indicator 6.8.2** The mosaic of species, sizes, ages, spatial scales\*, and regeneration cycles is restored\* where it has not been maintained appropriate to the landscape\*.

**Criterion 6.9.** The Organization shall not convert natural forest to plantations, nor natural forests or plantations on sites directly converted from natural forest to non-forest land use, except when the conversion:

- a) Affects a very limited portion of the area of the Management Unit, and
- b) Will produce clear, substantial, additional, secure long-term conservation benefits in the Management Unit, and
- c) Does not damage or threaten High Conservation Values, nor any sites or resources necessary to maintain or enhance those High Conservation Values.

**Indicator 6.9.1** There is no conversion of natural forest\* to plantations\*, nor conversion of natural forests\* to non-forest\* land use, nor conversion of plantations\* on sites directly converted from natural forest\* to non-forest\* land use, except when the conversion::

- 1) Affects no more than 0.5% of the area of the Management Unit\* in any one year, nor or a total of more than 5% of the area of the Management Unit\* , and
- 2) The conversion will produce clear, substantial, additional, secure, long-term conservation\* benefits in the Management Unit\*; and
- 3) Does not damage or threaten High Conservation Values\*, nor any sites or resources necessary to maintain or enhance those High Conservation Values\*.

**Note 1:** In the case conversion is not driven by the organization and is not done for plantation development, forest areas may be excised from the scope of certification.

**Note 2:** The organization informs the responsible authorities prior to the event including an evaluation of environmental and social impacts.

**Note 3:** The organization informs the Certification Body and FSC prior to the actual conversion including information about size, usage, high conservation values of the forest area. This information is made publicly available.

**Note 4:** Forests that originate from plantations are defined as natural forest for the purposes of FSC certification, if they have below characteristics:

- 1) High intensity management activities are not applied;





- 2) Dominant species are native species;
- 3) Are uneven-aged or multi-storied.

Uneven-aged forests are forests that feature an age class of more than 1 according to the “Technical specification for forest resources planning and design (GB/T26424-2010)”.

Multi-storied forests are forests that are composed of two or more distinct tree or canopy layers.

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

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

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

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

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

**Note:** Please refer to Note 4 of 6.9.1 for a definition of natural forest that originated from plantations.



## 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.

**Criterion 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.

**Indicator 7.1.1** Policies (vision and values) that contribute to meeting the requirements of this standard are defined.

**Indicator 7.1.2** Specific, operational management objectives\* that address the requirements of this standard are defined.

**Indicator 7.1.3** Summaries of the defined policies and management objectives\* are included in the management plan\* and publicized.

**Note for small organizations:** Small organization may choose to not publicize but communicate the policies and management objectives.

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

**Indicator 7.2.1** The management plan\* includes management actions, procedures, strategies and measures to achieve the management objectives\*.

**Indicator 7.2.2** The management plan\* addresses the elements listed in Annex 7A, and is implemented.

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

**Indicator 7.3.1** Verifiable targets, and the frequency that they are assessed, are established

for monitoring the progress towards each management objective\*.

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

**Indicator 7.4.1** The management plan\* is revised and updated periodically to incorporate:

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

**Note:** The template provided in Annex 7B is an example and may be used when adapted to the specific circumstances of the organization.

**Criterion 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.

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

**Note:** The organization may choose to provide the entire management plan.

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

**Criterion 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.

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

- 1) Dispute resolution processes\* (Criterion\* 1.6, Criterion\* 2.6, Criterion\* 4.6);
- 2) Definition of Living wages\* (Criterion\* 2.4);
- 3) Identification of rights (Criterion\* 3.1, Criterion\* 4.1), sites (Criterion\* 3.5, Criterion\* 4.7)



- and impacts (Criterion\* 4.5);
- 4) Local communities\* socio-economic development activities (Criterion\* 4.4); and
  - 5) High Conservation Value\* assessment, management and monitoring (Criterion\* 9.1, Criterion\* 9.2, Criterion\* 9.4).

**Note for small organizations:** For small organizations, affected stakeholders refers to local communities and local authorities.

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

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

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

**Note for Small Organizations:** For small organizations affected stakeholders refers to local communities and local authorities.

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

## PRINCIPLE 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.

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

**Indicator 8.1.1** Procedures are documented and executed for monitoring\* the implementation



of the Management Plan\* including its policies and management objectives\* and achievement of verifiable targets\*.

**Note for Small Organizations:** Small organizations may choose to not document procedures, but demonstrate that the implementation of the management plan is monitored.

**Criterion 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.

**Indicator 8.2.1** The social and environmental impacts of management activities are monitored\* consistent with Annex 8.

**Indicator 8.2.2** Changes in environmental conditions are monitored\* consistent with Annex 8.

**Criterion 8.3** The Organization shall analyze the results of monitoring and evaluation and feed the outcomes of this analysis back into the planning process.

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

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

**Criterion 8.4.** The Organization shall make publicly available a summary of the results of monitoring free of charge, excluding confidential information.

**Indicator 8.4.1** A summary of the monitoring\* results consistent with Annex 8, in a format comprehensible to stakeholders including maps and excluding confidential information\* is made publicly available\* at no cost.

**Note for Small organizations:** Small organizations may provide monitoring results upon request.

**Criterion 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.

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

**Note for Large organizations:** Large organizations implement a system sufficient to control and inventory all harvested materials from the cut block or coupe to the first point of sale.



**Note for Small organizations:** Small organizations keep sales invoices and compatible logging records as described in 8.5.2.

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

- 1) Common and scientific species name;
- 2) Product name or description;
- 3) Volume (or quantity) of product;
- 4) Information to trace the material to the source of origin logging block;
- 5) Logging date;
- 6) If basic processing activities take place in the forest, the date and volume (or quantity) produced; and
- 7) Whether or not the material was sold as FSC certified. If yes, record the CoC certificate No. and contact information of the customer.

**Note:** Items 4 and 5 are not applicable for branches and twigs.

**Note for Small Organizations:** Small organizations are exempt from items 4 and 5.

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

- 1) Name and address of purchaser
- 2) The date of sale;
- 3) Species;
- 4) Product type;
- 5) The volume (or quantity) sold;
- 6) Forest Management / Chain of Custody certificate code; and
- 7) FSC claim Product Group.
- 8)** The FSC Claim "FSC 100%" identifying products sold as FSC certified.



## 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.

**Note:** The national High Conservation Value (HCV) framework for China is under development. In the absence of this national interpretation the “Common Guidance” documents of the HCV Resource Network apply. These include the following:

1. Common Guidance for HCV Identification;
2. Common Guidance for HCV Management and Monitoring.

The Annex 9A provides an overview of possible management strategies for maintenance or enhancement of HCVs, while the Annex 9B provides Best Available Information\* and general information sources for the identification of HCVs in China. Special provisions apply for small organizations as included in the specific indicators.

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

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

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

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

**HCV 6 – Cultural values.** Sites, resources, habitats and landscapes of global or national cul-



tural, 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.

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

**Note for large organizations:** Large organizations implement on site HCV assessments.

**Note for Small Organizations:** Small organizations may use FSC guidance and technical materials for small, low intensity and community forests to do the HCV assessment:

- 1) Briefing Note 4: High Conservation Values;
- 2) Briefing Note 5: Simple monitoring methods;
- 3) FSC step-by-step guide.

See Annex 11 for details.

**Indicator 9.1.2** The assessment uses results from culturally appropriate\* engagement\* with affected\* and interested stakeholders\* with an interest in the conservation\* of the High Conservation Values\*.'

**Criterion 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.

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

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

**Note for Small Organizations:** Small organizations may use FSC guidance and technical materials for small, low intensity and community forests to develop strategies:

- 1) Briefing Note 4: High Conservation Values;
- 2) Briefing Note 5: Simple monitoring methods;
- 3) FSC step-by-step guide.

See Annex 11 for details.

**Indicator 9.2.3** Affected\* and interested stakeholders\* and experts are engaged in the development of management strategies and actions to maintain and/or enhance the identified High





Conservation Values*.
<b>Indicator 9.2.4</b> The strategies developed are effective to maintain and/or enhance the High Conservation Values*.
<b>Criterion 9.3.</b> 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.
<b>Indicator 9.3.1</b> The High Conservation Values* and the High Conservation Value* Areas* on which they depend are maintained and/or enhanced, including by implementing the strategies developed.
<p><b>Indicator 9.3.2</b> The strategies and actions prevent damage and avoid risks to High Conservation Values*, even when the scientific information is incomplete or inconclusive, and when the vulnerability and sensitivity of High Conservation Values* are uncertain.</p> <p><b>Note:</b> Strategies and actions include cancelation of planned activities and stop of ongoing activities.</p>
<b>Indicator 9.3.3</b> Activities that harm High Conservation Values* cease immediately and actions are taken to restore* and protect the High Conservation Values*.
<b>Criterion 9.4.</b> 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.
<p><b>Indicator 9.4.1</b> A program of periodic monitoring* assesses:</p> <ol style="list-style-type: none"> <li>1) Implementation of strategies;</li> <li>2) The status of High Conservation Values* including High Conservation Value* Areas* on which they depend; and</li> <li>3) The effectiveness of the management strategies and actions for the protection* of High Conservation Value* to fully maintain and/or enhance the High Conservation Values*.</li> </ol> <p><b>Note for Small Organizations:</b> Small organizations may use FSC guidance and technical materials for small, low intensity and community forests to design monitoring programs:</p> <ol style="list-style-type: none"> <li>1) Briefing Note 4: High Conservation Values;</li> <li>2) Briefing Note 5: Simple monitoring methods;</li> </ol>



<p>3) FSC step-by-step guide.</p> <p>See Annex 11 for details.</p>
<p><b>Indicator 9.4.2</b> The monitoring* program includes engagement* with affected* and interested stakeholders* and experts.</p> <p><b>Note for Small Organizations:</b> Engagement with experts is not mandatory for small organizations.</p>
<p><b>Indicator 9.4.3</b> The monitoring* program has sufficient scope, detail and frequency to detect changes in High Conservation Values*, relative to the initial assessment and status identified for each High Conservation Value*.</p> <p><b>Note:</b> Large organizations design and implement monitoring programs that measure the effectiveness of all of their management activities including those that require data collection.</p> <p><b>Note for Small Organizations:</b> Small organizations may use FSC guidance and technical materials for small, low intensity and community forests to design monitoring programs:</p> <ol style="list-style-type: none"> <li>1) Briefing Note 4: High Conservation Values;</li> <li>2) Briefing Note 5: Simple monitoring methods;</li> <li>3) FSC step-by-step guide.</li> </ol> <p>See Annex 11 for details.</p>
<p><b>Indicator 9.4.4</b> Management strategies and actions are adapted when monitoring* or other new information shows that these strategies and actions are ineffective to ensure the maintenance and/or enhancement of High Conservation Values*.</p>

## 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.

**Criterion 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.

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

- 1) Protects affected environmental values\*; and
- 2) Is suitable to recover overall pre-harvest\* or natural forest\* composition and structure.

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

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

**Criterion 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.

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

**Note:** Rationales for the use of non-local genotypes\* or non-native species\* may include:

- 1) Growth rates not meeting management objectives;
- 2) Yields not being viable for the local species;
- 3) Native species and / or local genotypes becoming extinct;
- 4) Native species and / or local genotypes being resistant to disease and pests;
- 5) Site stresses such as water;
- 6) Climate change adaptation; or
- 7) Capacity to stock carbon.
- 8) Afforestation of degraded agriculture and range lands



<b>Indicator 10.2.2</b> Species chosen for regeneration are consistent with the regeneration objectives and with the management objectives*.
<b>Criterion 10.3.</b> 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.
<b>Indicator 10.3.1</b> Alien species* are used only when direct experience and / or the results of scientific research demonstrate that invasive impacts can be controlled.
<b>Indicator 10.3.2</b> Alien species* are used only when effective mitigation measures are in place to control their spread outside the area in which they are established.
<b>Indicator 10.3.3</b> The spread of invasive species* introduced by The Organization* is controlled.
<b>Indicator 10.3.4</b> Management activities are implemented, preferably in cooperation with separate regulatory bodies where these exist, with an aim to control the invasive impacts of alien species* that were not introduced by the Organization*.
<b>Criterion 10.4</b> The Organization shall not use genetically modified organisms in the Management Unit.
<b>Indicator 10.4.1</b> Genetically modified organisms* are not used.  <b>Note:</b> Two varieties of genetically modified trees are officially approved for purposes of commercial planting. These are <i>Populus nigra</i> (poplar-12) and <i>Populus alba tomentosa</i> cv.741 (poplar-741) for insect resistance. The organization does not use any of these two varieties.
<b>Criterion 10.5</b> The Organization shall use silvicultural practices that are ecologically appropriate for the vegetation, species, sites and management objectives.
<b>Indicator 10.5.1</b> Silvicultural practices are implemented that are ecologically appropriate for the vegetation, species, sites and management objectives*.
<b>Criterion 10.6.</b> The Organization shall minimize or avoid the use of fertilizers. When fertilizers are used, The Organization shall demonstrate that use is equally or more ecologically and economically beneficial than use of silvicultural systems that do not require fertilizers, and prevent, mitigate, and/or repair damage to environmental values, including soils.
<b>Indicator 10.6.1</b> The use of fertilizers* is minimized or avoided.
<b>Indicator 10.6.2</b> When fertilizers* are used, their ecological and economic benefits are equal to or higher than those of silvicultural systems that do not require fertilizers*.
<b>Indicator 10.6.3</b> When fertilizers* are used, their types; rates, and frequencies; and site of application are documented.



<b>Indicator 10.6.4</b> When fertilizers* are used, environmental values* are protected, including through implementation of measures to prevent damage.
<b>Indicator 10.6.5</b> Forbid to use fertilizers at the buffer zones of the rare plant communities, riparian zones watercourses* and water bodies*.
<b>Indicator 10.6.6</b> Damage to environmental values* resulting from fertilizer* use is mitigated or repaired.
<b>Criterion 10.7</b> 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.
<b>Indicator 10.7.1</b> Integrated pest management, including selection of silviculture* systems, is used to avoid, or aim to eliminate the frequency, extent, and amount of chemical pesticide* applications, and result in non-use or overall reductions in applications.
<b>Indicator 10.7.2</b> Chemical pesticides* prohibited by FSC's Pesticide Policy are not used or stored in the Management Unit unless FSC has granted derogation.
<b>Indicator 10.7.3</b> Records of pesticide* usage are maintained, including trade name, active ingredient, quantity of active ingredient used, period of use, location and area of use, and reason for use.
<b>Indicator 10.7.4</b> The use of pesticides* complies with the ILO document "Safety in the use of chemicals at work" regarding requirements for the transport, storage, handling, application and emergency procedures for cleanup following accidental spillages.
<b>Indicator 10.7.5</b> If pesticides* are used, application methods minimize quantities used, while achieving effective results, and provide effective protection* to surrounding landscapes*.
<b>Indicator 10.7.6</b> Damage to environmental values* or human health from pesticide* use is prevented and mitigated or repaired where damage occurs.
<b>Indicator 10.7.7</b> When pesticides* are used: <ol style="list-style-type: none"> <li>1) The selected pesticide*, application method, timing and pattern of use offers the least risk to humans and non-target species; and</li> <li>2) Objective evidence demonstrates that the pesticide* is the only effective, practical and cost effective way to control the pest.</li> </ol>
<b>Criterion 10.8.</b> The Organization shall minimize, monitor and strictly control the use of biological control agents in accordance with internationally accepted scientific protocols. When bio-



logical control agents are used, The Organization shall prevent, mitigate, and/or repair damage to environmental values.
<b>Indicator 10.8.1</b> The use of biological control agents* is minimized, monitored* and controlled.
<p><b>Indicator 10.8.2</b> Use of biological control agents* complies with internationally accepted scientific protocols*.</p> <p><b>Note:</b> Internationally accepted scientific protocols include but are not limited to:</p> <ol style="list-style-type: none"> <li>1) FSC Guide To integrated pest, disease and weed management in FSC certified forests and plantations (2009);</li> <li>2) FAO Code of Conduct for the Import and Release of Exotic Biological Control.</li> </ol>
<b>Indicator 10.8.3</b> The use of biological control agents* is recorded including type, quantity used, period of use, location of use, and reason for use.
<b>Indicator 10.8.4</b> Damage to environmental values* caused by the use of biological control agents* is prevented and mitigated* or repaired* where damage occurs.
<p><b>Criterion 10.9</b> The Organization shall assess risks and implement activities that reduce potential negative impacts from natural hazards proportionate to scale, intensity, and risk.</p> <p><b>Note:</b> Natural hazards common in China include flooding, landslides, storms, fire, pest diseases, etc.</p>
<p><b>Indicator 10.9.1</b> Potential negative impacts of natural hazards* on infrastructure*, forest* resources and communities in the Management Unit*are assessed.</p> <p><b>Note for Small organizations:</b> Small organizations implement all requirements of this standard. Applicable regulations about slope harvesting are implemented, and the FSC definition about intensive management activities is applied if “clear cut” is not defined in the applicable regulation. Additional activities as per Criterion 10.9 are not required.</p>
<p><b>Indicator 10.9.2</b> Management activities mitigate these impacts.</p> <p><b>Note for Small organizations:</b> Small organizations implement all requirements of this standard. Applicable regulations about slope harvesting are implemented, and the FSC definition about intensive management activities is applied if “clear cut” is not defined in the applicable regulation. Additional activities as per Criterion 10.9 are not required.</p>
<b>Indicator 10.9.3</b> The risk* for management activities to increase the frequency, distribution or severity of natural hazards* is identified for those hazards* that may be influenced by management.



**Note for Small organizations:** Small organizations implement all requirements of this standard. Applicable regulations about slope harvesting are implemented, and the FSC definition about intensive management activities is applied if “clear cut” is not defined in the applicable regulation. Additional activities as per Criterion 10.9 are not required.

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

**Note for Small organizations:** Small organizations implement all requirements of this standard. Applicable regulations about slope harvesting are implemented, and the FSC definition about intensive management activities is applied if “clear cut” is not defined in the applicable regulation. Additional activities as per Criterion 10.9 are not required.

**Criterion 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.

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

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

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

**Criterion 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.

**Indicator 10.11.1** Harvesting and extraction practices for timber and non-timber forest products\* are implemented in a manner that conserves environmental values\* as identified in Criterion\* 6.1.

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

**Indicator 10.11.3** Amounts of dead and decaying biomass and forest\* structure are retained



to conserve environmental values\*.

**Indicator 10.11.4** Harvesting practices avoid damage to standing residual trees, residual woody debris on the ground and other environmental values\*. Forbid high-grading.

**Indicator 10.11.5** High-grading harvesting of forest resources does not take place.

**Note:** High grading is a selective type of timber harvesting that removes the highest grade of timber (i.e. the most merchantable stems) in a particular forest area.

**Criterion 10.12.** The Organization shall dispose of waste materials in an environmentally appropriate manner.

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

**Note:** Waste products include:

- 1) Hazardous waste, including Chemical waste and batteries;
- 2) Containers;
- 3) Motor and other fuels and oils;
- 4) Rubbish including metals, plastics and paper; and
- 5) Abandoned buildings, machinery and equipment.
- 6) Domestic waste





## Annex 1 List of applicable laws, regulations and nationally-ratified international treaties, conventions and agreements

**Note:** For the laws, regulations and nationally-ratified treaties, conventions and agreements without a version number or invalid, the latest edition of the referenced document (including any amendments) applies.

<b>1. Legal* rights to harvest</b>	
<b>1.1 Land tenure* and management rights</b>	<p>Legislation covering land tenure* rights, including customary rights* as well as management rights, that includes the use of legal* methods to obtain tenure* rights and management rights. It also covers legal* business registration and tax registration, including relevant legally required licenses.</p> <p>Forest Law of the People's Republic of China (2009)</p> <p>Land Management Law of P. R. China (2004)</p> <p>Company Law of the People's Republic of China (2013)</p> <p>Enterprise Income Tax Law of People's Republic of China (2007)</p> <p>Rural Land Contract Law of the People's Republic of China (2002)</p> <p>Regulation on the Implementation of the Forestry Law of the People's Republic of China (2000)</p> <p>Regulation on the Implementation of the Land Management Law of the Peoples Republic of China (1996)</p> <p>Processing Measures for the Disputes of Forest Trees and Forest Land Tenure and Ownership (1996)</p> <p>Administration Measures for Forest and Forestland Tenure Registration (2000)</p> <p>Property Law of the People's Republic of China (2007)</p> <p>Regulations Governing Examination and Approval of Occupation and Requisition of Forest Land (2001)</p>
<b>1.2 Concession licenses</b>	<p>Legislation regulating procedures for issuing forest* concession licenses, including the use of legal* methods to obtain concession licenses. Bribery, corruption and nepotism are particularly well known issues that are connected with concession licenses.</p>



<p>Forest Law of the People's Republic of China (2009)</p> <p>Regulation on the Implementation of the Forestry Law of the People's Republic of China (2000)</p> <p>Processing Measures for the Disputes of Forest Trees and Forest Land Tenure and Ownership (1996)</p> <p>Administration Measures for Forest and Forestland Tenure Registration (2000)</p> <p>Law of the People's Republic of China on the Mediation and Arbitration of Rural Land Contract Disputes (2010)</p>	
<p><b>1.3 Management and harvesting planning</b></p>	<p>Any national or sub-national legal* requirements for Management Planning, including conducting forest* inventories, having a forest* management plan* and related planning and monitoring, impact assessments, consultation with other entities, as well as approval of these by legally competent* authorities.</p>
<p>Forest Law of the People's Republic of China (2009)</p> <p>Regulation on the Implementation of the Forestry Law of the People's Republic of China (2000)</p> <p>Management Rules of Felling and Regeneration of Forest (1987)</p>	
<p><b>1.4 Harvesting permits</b></p>	<p>National or sub-national laws and regulations regulating procedures for issuing harvesting permits, licenses or other legal* documents required for specific harvesting operations. This includes the use of legal* methods to obtain the permits. Corruption is a well-known issue that is connected with the issuing of harvesting permits.</p>
<p>Forest Law of the People's Republic of China (2009)</p> <p>Regulation on the Implementation of the Forestry Law of the People's Republic of China (2000)</p> <p>Management Rules of Felling and Regeneration of Forest</p> <p>Convention on International Timber Agreement</p>	
<p><b>2. Taxes and fees</b></p>	
<p><b>2.1 Payment of royalties</b></p>	<p>Legislation covering payment of all legally required forest* har-</p>



<b>and harvesting fees</b>	vesting specific fees such as royalties, stumpage fees and other volume based fees. This includes payments of the fees based on the correct classification of quantities, qualities and species. In-correct classification of forest* products is a well-known issue that is often combined with bribery of officials in charge of controlling the classification.
<p>Forest Law of the People's Republic of China (2009)</p> <p>Regulation on the Implementation of the Forestry Law of the People's Republic of China (2000)</p> <p>Management Rules of Felling and Regeneration of Forest</p> <p>Enterprise Income Tax Law of People's Republic of China (2007)</p> <p>Measures for Collection, Use and Management of Silviculture Fund</p>	
<b>2.2 Value added taxes and other sales taxes</b>	Legislation covering different types of sales taxes which apply to the material being sold, including the sale of material as growing forest* (standing stock sales).
Enterprise Income Tax Law of People's Republic of China (2007)	
<b>2.3 Income and profit taxes</b>	Legislation covering income and profit taxes related to profit derived from the sale of forest* products and harvesting activities. This category is also related to income from the sale of timber and does not include other taxes generally applicable for companies and is not related to salary payments.
Enterprise Income Tax Law of People's Republic of China (2007)	
<b>3. Timber harvesting activities</b>	
<b>3.1 Timber harvesting regulations</b>	Any legal* requirements for harvesting techniques and technology including selective cutting, shelter wood regenerations, clear felling, transport of timber from the felling site, seasonal limitations, etc. Typically this includes regulations on the size of felling areas, minimum age and/or diameter for felling activities, and elements that shall* be preserved during felling, etc. Establishment of skidding or hauling trails, road construction, drainage systems and bridges, etc.,



	shall* also be considered as well as the planning and monitoring of harvesting activities. Any legally binding codes for harvesting practices shall* be considered.
<p>Forest Law of the People's Republic of China (2009)</p> <p>Regulation on the Implementation of the Forestry Law of the People's Republic of China (2000)</p> <p>Interim Provisions of Annual Forest Cutting Quota (1985)</p>	
<b>3.2 Protected sites and species</b>	International, national, and sub national treaties, laws, and regulations related to protected areas, allowable forest* uses and activities, and/or rare, threatened, or endangered species, including their habitats* and potential habitats*.
<p>Convention on Biological Diversity</p> <p>United Nations Framework Convention on Climate Change</p> <p>Convention on Wetlands of International Importance</p> <p>International Convention for the Protection of new Varieties of Plants</p> <p>United Nations Convention on the Prevention and Control of Desertification in the Countries with Severe Drought and / or Desertification</p> <p>Forest Law of the People's Republic of China (2009)</p> <p>Law of the People's Republic of China on the Protection of Wildlife (2004)</p> <p>Lists of Wildlife under Special State Protection (1988)</p> <p>China's Red List of Biodiversity - Higher Plant Volume (2013)</p> <p>China's Red List of Biodiversity - Vertebrate Volume (2015)</p> <p>Chinese Rare and Endangered Animal List</p> <p>Regulations of the People's Republic of China for the Implementation of the Protection of Terrestrial Wildlife (1992)</p> <p>Regulations of the People's Republic of China on the Protection of Wild Plants (1996)</p> <p>Regulations of the People's Republic of China on Natural Reserves (1994)</p> <p>Environmental Protection Law of the People's Republic of China (2014)</p> <p>Law of the People's Republic of China on Environmental Impact Assessment (2002)</p> <p>Regulation on the Implementation of the Forestry Law of the People's Republic of China</p>	



<p>(2000)</p> <p>Measures for the Administration of the Nature Reserves of Forest and Wild Animal Types (1985)</p> <p>Measures for the Administration of Natural Forest Resources Protection Project (2001)</p> <p>Measures for the Division of the National Public Welfare Forest (2009)</p>	
<p><b>3.3 Environmental requirements</b></p>	<p>National and sub national laws and regulations related to the identification and/or protection* of environmental values* including but not limited to those relating to or affected by harvesting, acceptable levels for soil damage, establishment of buffer zones (e.g., along water courses, open areas and breeding sites), maintenance of retention trees on the felling site, seasonal limitations of harvesting time, environmental requirements for forest* machineries, use of pesticides* and other chemicals, biodiversity conservation*, air quality, protection* and restoration* of water quality, operation of recreational equipment, development of non-forestry infrastructure*, mineral exploration and extraction, etc.</p>
<p>Environmental Protection Law of the People's Republic of China</p> <p>Law of the People's Republic of China on Combating Desertification (2001)</p> <p>Law of the People's Republic of China on Water and Soil Conservation (2010)</p> <p>Water Law of the People's Republic of China (2002)</p> <p>Law of the People's Republic of China on the Prevention and Control of Water Pollution (2008)</p> <p>National defense Flood Law of the people's Republic of China (1997)</p> <p>Regulations of the People's Republic of China on Flood Prevention and Control (1998)</p> <p>Law of the People's Republic of China on the Prevention and Control of Atmospheric Pollution (1995)</p> <p>Law of the People's Republic of China on the Prevention and Control of Solid Waste Pollution (1996)</p> <p>Law of the people's Republic of China on Environmental Impact Assessment (2002)</p> <p>State Regulations for Environmental Monitoring (1983)</p> <p>Measures for the Administration of Environmental Impact Assessment of Construction Projects (1989)</p>	



<p>Regulations of the People's Republic of China on Natural Reserves (1994)</p> <p>Regulations of the People's Republic of China on the Prevention and Control of Forest Diseases and Insect Pests (1989)</p> <p>Rules for the Implementation of the Law of the People's Republic of China on Water and Soil Conservation (1993)</p> <p>Regulations of the People's Republic of China on the Protection of New Varieties of Plants (1997)</p> <p>The Detailed Rules for the Implementation of the People's Republic of China on the Protection of New Varieties of Plants (Forestry part) (1999)</p> <p>Regulations for Returning Farmland to Forests (2002)</p> <p>Pesticide Management Regulations (2001)</p> <p>Regulations on the Safety Administration of Hazardous Chemicals (2011)</p> <p>Standard for Pollution Control on the Landfill Site for Domestic Waste (GB16889-2008)</p> <p>Measures for the Administration of the Nature Reserves of Forest and Wild Animal Types (1985)</p> <p>Measures for the Division of the National Public Welfare Forest (2009)</p> <p>Measures for the Administration of Natural Forest Resources Protection Project (2001)</p> <p>Ecological Forest Construction Guide (2001)</p> <p>Vienna Convention for the Protection of the Ozone Layer</p>	
<p><b>3.4 Health and safety</b></p>	<p>Legally required personal protection* equipment for persons involved in harvesting activities, implementation of safe felling and transport practices, establishment of protection* zones around harvesting sites, safety requirements for machinery used, and legally required safety requirements in relation to chemical usage. The health and safety requirements that shall* be considered relevant to operations in the forest* (not office work, or other activities less related to actual forest* operations).</p>
<p>China Ratified ILO conventions (C11, C14, C16, C19, C22, C23, C26, C27, C32, C45, C80, C100, C111, C122, C138, C144, C150, C155, C159, C167, C172 and C182)</p> <p>Labor Law of the People's Republic of China (1994)</p> <p>Law of the People's Republic of China on Trade Unions (2009)</p>	



<p>Law of the People's Republic of China on Safe Production (2002)</p> <p>Forest Fire Prevention Act (2008)</p> <p>Pesticide Management Regulation (2001)</p> <p>Regulation on the Safety Administration of Hazardous Chemicals (2011)</p> <p>Health and safety in ILO Forest Work (1998)</p> <p>Law of the People's Republic of China on the Prevention and Treatment of Occupational Diseases (2012)</p>	
<p><b>3.5 Legal* employment</b></p>	<p>Legal* requirements for employment of personnel involved in harvesting activities including requirements for contracts and working permits, requirements for obligatory insurance, requirements for competence certificates and other training requirements, and payment of social and income taxes withheld by the employer. Also covered are the observance of minimum working age and minimum age for personnel involved in hazardous work, legislation against forced and compulsory labor, and discrimination and freedom of association.</p>
<p>China Ratified ILO conventions (C11, C14, C16, C19, C22, C23, C26, C27, C32, C45, C80, C100, C111, C122, C138, C144, C150, C155, C159, C167, C172 and C182)</p> <p>Labor Law of the People's Republic of China (1994)</p> <p>Insurance Law of the People's Republic of China (2002)</p> <p>Law of the People's Republic of China on Trade Unions (2009)</p> <p>Provisions on Labor Management of Foreign Invested Enterprises (1995)</p> <p>Notice of the Ministry of Labor on the Implementation of the Minimum Wage Guarantee System (1994)</p> <p>Law of the People's Republic of China on the Protection of Women and Children's Rights and Interests (2005)</p> <p>Law of the People's Republic of China on the Guarantee of the Rights and Interests of Women (2005)</p> <p>Special Provisions on the Labor Protection of Female Employees (2012)</p>	
<p><b>4. The rights of third parties</b></p>	
<p><b>4.1 Customary</b></p>	<p>Legislation covering customary rights* relevant to forest* harvesting</p>



<b>rights*</b>	activities, including requirements covering the sharing of benefits and indigenous rights.
<p>Law of the People's Republic of China on Regional National Autonomy (2001)</p> <p>Rural Land Contract Law of the People's Republic of China (2002)</p> <p>Law of the People's Republic of China on the Mediation and Arbitration of Rural Land Contract Disputes (2010)</p> <p>Regulations of the People's Republic of China on the Implementation of the Land Administration Law (1998)</p> <p>Processing Measures for the Disputes of Forest Trees and Forest Land Tenure and Ownership (1996)</p> <p>Administration Measures for Forest and Forestland Tenure Registration (2000)</p>	
<b>4.2 Free Prior and Informed Consent*</b>	Legislation covering “free prior and informed consent” in connection with the transfer of forest* management rights and customary rights* to The Organization* in charge of the harvesting operation.
<p>Law of the People's Republic of China on Regional National Autonomy (2001)</p> <p>Rural Land Contract Law of the People's Republic of China (2002)</p> <p>Law of the People's Republic of China on the Mediation and Arbitration of Rural Land Contract Disputes (2010)</p> <p>Regulations Governing Examination and Approval of Occupation and Requisition of Forest Land (2001)</p> <p>Processing Measures for the Disputes of Forest Trees and Forest Land Tenure and Ownership (1996)</p> <p>Administration Measures for Forest and Forestland Tenure Registration (2000)</p> <p>Villager Committee Organization Law of P.R. China 1998 (revised in 2010)</p>	
<b>4.3 Indigenous Peoples’* rights</b>	Legislation that regulates the rights of Indigenous Peoples* as far as it is related to forestry activities. Possible aspects to consider are land tenure*, and rights to use certain forest* related resources and practice traditional activities, which may involve forest* lands.
<p>Law of the People's Republic of China on Regional National Autonomy (2001)</p> <p>Rural Land Contract Law of the People's Republic of China (2002)</p>	



<p>Regulations for the Implementation of the Land Management Law of the People's Republic of China</p> <p>Processing Measures for the Disputes of Forest Trees and Forest Land Tenure and Ownership (1996)</p> <p>Administration Measures for Forest and Forestland Tenure Registration (2000)</p>	
<p><b>5. Trade and transport</b></p> <p><b>NOTE: This section covers requirements for forest* management operations as well as processing and trade.</b></p>	
<p><b>5.1 Classification of species, quantities, qualities</b></p>	<p>Legislation regulating how harvested material is classified in terms of species, volumes and qualities in connection with trade and transport. Incorrect classification of harvested material is a well known method to reduce or avoid payment of legally prescribed taxes and fees.</p>
<p>Measures for the Management of Forest Seed Quality (2007)</p> <p>Measures for the Management of Forest Seed Packaging and Labelling (2002)</p>	
<p><b>5.2 Trade and transport</b></p>	<p>All required trading and transport permits shall* exist as well as legally required transport documents which accompany the transport of wood from forest* operations.</p>
<p>Forest Law of the People's Republic of China (2009)</p> <p>Regulation on the Implementation of the Forestry Law of the People's Republic of China (2000)</p> <p>Measures for the Management of Forest Seed Production and Operation License (2002)</p> <p>Provisions on Annual Inspection System of Forest Seed Production and Operation License (2003)</p>	
<p><b>5.3 Offshore trading and transfer pricing</b></p>	<p>Legislation regulating offshore trading. Offshore trading with related companies placed in tax havens, combined with artificial transfer prices is a well-known way to avoid payment of legally prescribed taxes and fees to the country of harvest and is considered to be an important source of funds that can be used for payment of bribery to the forest* operations and personnel involved in the harvesting op-</p>



	eration. Many countries have established legislation covering transfer pricing and offshore trading. It should* be noted that only transfer pricing and offshore trading, as far as it is legally prohibited in the country, can be included here.
<p>Customs Law (2000)</p> <p>Foreign Trade Act (2004)</p> <p>Measures for the Administration of Export License of Goods (2008)</p> <p>Law on Import and Export Commodity Inspection (1989)</p> <p>Regulations on the Administration of Import and Export of Goods (2001)</p> <p>Entry and Exit Animal and Plant Inspection and Quarantine Law (1991)</p> <p>Regulations on the Administration of Import and Export of Endangered Species of Wild Animals and Plants (2006)</p>	
<b>5.4 Custom regulations</b>	Custom legislation covering areas such as export/import licenses and product classification (codes, quantities, qualities and species).
<p>Law of the People's Republic of China on Quarantine Inspection of Animals and Plants Entering and Leaving the Country (1991)</p> <p>Regulations of the People's Republic of China on the Implementation of the Entry and Exit Animal and Plant Quarantine Law (1996)</p> <p>Provisions on Quarantine Examination and Approval and Supervision of the Introduction of Forest Seeds, Seedlings and Other Propagating Materials (2003)</p>	
<b>5.5 CITES</b>	CITES permits (the Convention on International Trade in Endangered Species of Wild Fauna and Flora, also known as the Washington Convention).
<p>Convention on International Trade in Endangered Species of Wild Fauna and Flora</p> <p>Law of the People's Republic of China on the Protection of Wildlife (2004)</p> <p>Regulations of the People's Republic of China for the Implementation of the Protection of Terrestrial Wildlife (1992)</p> <p>Regulations of the People's Republic of China on the Protection of Wild Plants (1996)</p> <p>Measures for the Administration of the Nature Reserves of Forest and Wild animal Types (1985)</p>	



China Biodiversity Red List - Higher Plant Volume (2013)

China Biodiversity Red List - Vertebrate Volume (2015)

Chinese Rare and Endangered Animal List

## 6. Due diligence / due care

### 6.1 Due diligence / due care procedures

Legislation requiring due diligence/due care procedures, including, e.g., due diligence/due care systems, declaration obligations, and/or the keeping of trade related documents, etc.

Specific legislation covering due diligence requirements does not exist. Please refer to section 5 'Trade and Transport' for trade related obligations.

## 7. Ecosystem Services

Legislation covering *ecosystem services*\* rights, including *customary rights*\* as well as management rights that include the use of *legal*\* methods to make claims and obtain benefits and management rights related to *ecosystem services*\*. National and subnational laws and regulations related to the identification, protection and payment for *ecosystem services*\*. Also includes *legal*\* business registration and tax registration, including relevant *legal*\* required licenses for the exploitation, payment, and claims related to *ecosystem services*\* (including tourism).

Specific legislation covering ecosystem services and associated rights does not exist.



## Annex 2A Training requirements for workers

This list of training requirements is intended for those workers\* with specific job responsibilities related to the implementation of this standard.

Workers\* are able to:

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

## Annex 2B Personal protective equipment for workers

(Source: ILO Safety and health in forestry work, page 37)

### Work clothing and protective equipment

**Table 1. Personal protective equipment (PPE) appropriate for forestry operations**

Parts of the body to be protected:	Feet	Legs	Trunk, arms, legs	Hands	Head	Eyes	Eyes/face	Hearing
PPE normally appropriate:	Safety boots or shoes <sup>1</sup>	Safety trousers <sup>2</sup>	Close-fitting clothing	Gloves	Safety helmet	Goggles	Visor (mesh)	Ear muffs <sup>3</sup>
<b>Operation</b>								
<i>Planting<sup>4</sup></i>								
Manual	✓			✓ <sup>5</sup>				
Mechanized	✓		✓					✓ <sup>6</sup>
<i>Weeding/cleaning</i>								
Smooth-edged tools	✓			✓		✓		
Handsaw	✓			✓				
Chain-saw	✓ <sup>7</sup>	✓	✓	✓ <sup>8</sup>	✓	✓	✓	✓
Brush saw								
- with metal blade	✓	✓	✓	✓	✓	✓	✓	✓
- with nylon filament	✓	✓		✓		✓		✓
Rotating knife/flail	✓		✓	✓				✓ <sup>6</sup>
<i>Pesticide application</i>	To comply with those specified for the particular substance and application technique							
<i>Pruning<sup>*</sup></i>								
Hand tools	✓ <sup>9</sup>			✓	✓ <sup>10</sup>	✓		
<i>Felling<sup>11</sup></i>								
Hand tools	✓		✓	✓ <sup>12</sup>	✓			
Chain-saw	✓ <sup>7</sup>	✓	✓	✓ <sup>8</sup>	✓		✓	✓
Mechanized	✓		✓		✓			✓
<i>Debarking</i>								
Manual	✓			✓				
Mechanized	✓		✓	✓		✓		✓ <sup>6</sup>
<i>Splitting</i>								
Manual	✓			✓		✓		
Mechanized	✓		✓	✓		✓		✓
<i>Extraction</i>								
Manual	✓			✓	✓ <sup>13</sup>			
Chute	✓			✓	✓ <sup>13</sup>			
Animal	✓			✓	✓ <sup>13</sup>			
Mechanized								
- skidder	✓		✓	✓ <sup>14</sup>	✓			✓ <sup>6</sup>
- forwarder	✓		✓	✓	✓			✓ <sup>6</sup>
- cable crane	✓		✓	✓ <sup>14</sup>	✓			✓ <sup>6</sup>
- helicopter	✓		✓ <sup>15</sup>	✓ <sup>14</sup>	✓ <sup>16</sup>	✓		✓
<i>Stacking/loading</i>	✓		✓	✓	✓			✓ <sup>6</sup>
<i>Chipping</i>	✓		✓	✓	✓		✓	✓ <sup>6</sup>
<i>Tree climbing<sup>17</sup></i>								
Using a chain-saw	✓ <sup>7</sup>	✓	✓	✓ <sup>8</sup>	✓ <sup>18</sup>	✓		✓
Not using a chain-saw	✓				✓			

Notes: \* If pruning involves tree climbing above 3 m, a fall restricting device should be used. <sup>1</sup>With integrated steel toe for medium or heavy loads. <sup>2</sup>Safety trousers incorporating clogging material, in hot climates/weather chain-saw leggings or chaps may be used. Safety trousers and chap contain fibres that are inflammable and melt, and should

✓ means required to wear



## Annex 5 Claims for Ecosystem Services

Applicable for those organizations who make FSC promotional claims regarding the maintenance and/or enhancement of ecosystem services\*

### I. General indicators

1) A publicly available\* Ecosystem Services Certification Document is developed and includes:

i. A declaration of the ecosystem services\* for which a promotional claim is being or will be made;

ii. A description of the current condition of the declared ecosystem services\*;

iii. Legal\* tenure\* to manage, use and/or receive payments for declared ecosystem services\*;

iv. Management objectives\* related to maintenance and/or enhancement of declared ecosystem services\*;

v. Verifiable targets\* related to maintenance and/or enhancement of declared ecosystem services\*;

vi. Management activities and strategies related to declared ecosystem services\*;

vii. Areas within and outside of the Management Unit\* that contribute to the declared ecosystem services\*;

viii. Threats to the declared ecosystem services\* within and outside of the Management Unit\*;

ix. A description of management activities to reduce the threats to declared ecosystem services\* within and outside of the Management Unit; and

x. A description of the methodology used to evaluate the impacts of management activities on the declared ecosystem services\* within and outside of the Management Unit\*, based on the FSC Procedure for Demonstrating the Impact of Forest Stewardship on Ecosystem Services

xi. A description of monitoring results related to the implementation of management activities and strategies related to the maintenance and/or enhancement of declared ecosystem services\*.

xii. A description of results of the evaluation of impacts of activities and threats on the declared ecosystem services;

xiii. A list of communities and other organizations involved in activities related to the declared ecosystem services\*; and

xiv. A summary of culturally appropriate\* engagement\* with indigenous peoples\* and local communities\*, related to the declared ecosystem services\* including ecosystem service\* access and use, and benefit sharing, consistent with Principle\* 3 and Principle\* 4.



- 2) The results of the evaluation of impacts demonstrate that verifiable targets\* for the maintenance and/or enhancement of the declared ecosystem services\*, are met or exceeded; and
- 3) The results of the evaluation of impacts demonstrate no negative impacts from management activities on the declared ecosystem services\* within or outside of the Management Unit\*.

## **II. Management Indicators**

INSTRUCTIONS FOR STANDARDS DEVELOPERS: For each specific declared ecosystem service\*, the following Management Indicators shall be used as the basis for developing indicators at the national or regional level. Standards Developers shall\* ensure that the FSC Guidance on Maintaining and Enhancing Ecosystem Services guides the development of suitable indicators at the national or regional level.

### **A. All Services**

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



## **B. Carbon Sequestration and Storage**

1) In addition to requirements to maintain environmental values in Principle\* 6, and Principle 9\* when promotional claims are made regarding carbon sequestration and storage, the following are demonstrated:

Forests\* are identified to be protected due to their carbon stocks, according to the FSC Guidance for Maintaining and Enhancing Ecosystem Services.

Management activities maintain, enhance or restore\* carbon storage in the forest\*; including through forest\* protection\* and reduced impact logging practices for carbon, as described in the FSC Guidance for Maintaining and Enhancing Ecosystem Services.

## **C. Biological Diversity\* Conservation\***

1) In addition to provisions to protect biological diversity in Principle\* 6 and Principle\* 9, when promotional claims are made regarding biological diversity\* conservation\*, the following are demonstrated:

i. Management activities maintain, enhance or restore\*:

a) Rare and threatened species\* and their habitats\*, including through the provision of conservation zones\*, protection areas\*, connectivity\*, and other direct means for their survival and viability; and

b) Natural landscape-level characteristics, including forest\* diversity, composition and structure.

ii. The conservation area network\*, and conservation areas outside the Management Unit\*:

a) Represents the full range of environmental values\* in the Management Unit\*;

b) Has sufficient size or functional connectivity, to support natural processes;

c) Contains the full range of habitats present for focal species\* and rare and threatened species\*; and

d) Has sufficient size or functional connectivity with other suitable habitat to support viable populations of focal species\* including rare and threatened species\* in the region.

iii. Knowledgeable experts independent of The Organization\* confirm the sufficiency of the conservation area network\*.

## **D. Watershed Services**

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

i. An assessment identifies:





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

#### **E. Soil Conservation**

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

#### **F. Recreational Services**

- 1) In addition to measures to assess, prevent, and mitigate negative impacts of management activities on social values identified in Principle\* 2 to Principle\* 5 and Principle\* 9, where promotional claims are made regarding recreational services, the following are demonstrated:
  - i. Measures are implemented to maintain, enhance or restore\*:
    - a) Areas of importance for recreation and tourism including site attractions, archaeological sites, trails, areas of high visual quality and areas of cultural or historical interest; and
    - b) Populations of species that are a tourist attraction.
  - ii. The rights, customs and culture of Indigenous Peoples\* and local communities\* are not violated by tourism activities;:
  - iii. In addition to health and safety practices in Criterion\* 2.3, practices are implemented to protect the health and safety of tourism customers;



- iv. Health and safety plans and accident rates are publicly available in recreational areas and areas of interest to the tourism sector; and
- v. A summary is provided of activities that demonstrate prevention of discrimination based on gender, age, ethnicity, religion, sexual orientation or disability.

## Annex 6 The China Biodiversity Red List

The organization shall refer to the China Biodiversity Red List issued by Ministry of Environmental Protection.

China Biodiversity Red List - higher plant volume:

<http://www.mep.gov.cn/gkml/hbb/bgg/201309/W020130917614244055331.pdf>

China Biodiversity Red List – vertebrate volume:

<http://www.mep.gov.cn/gkml/hbb/bgg/201505/W020150526581939212392.pdf>

## Annex 7A Elements of the Management Plan.

The annex lists all possible elements of the management plan. Different management units with different scale, intensity and risk shall determine the applicability according to the requirements in the corresponding indicators.

1. The results of assessments, including:
  - i. Natural resources and [environmental values](#), as identified in Principle 6 and Principle 9;
  - ii. Social, economic and cultural resources and condition, as identified in Principle 6, Principle 2 to Principle 5 and Principle 9;
  - iii. Major social and environmental risks in the area, as identified in Principle 6, Principle 2 to Principle 5 and Principle 9; and
  - iv. The maintenance and/or enhancement of [ecosystem services](#) for which promotional claims are made as identified in Criterion 5.1 and Annex C.
2. Programs and activities regarding:
  - i. [Workers'](#) rights, occupational health and safety, [gender equality](#), as identified in Principle 2;
  - ii. [Indigenous Peoples](#), community relations, local economic and social development, as identified in Principle 3, Principle 4 and Principle 5;



- iii. Stakeholder [engagement](#) and the resolution of [disputes](#) and grievances, as identified in Principle 1, Principle 2 and Principle 7;
  - iv. Planned management activities and timelines, silvicultural systems used, typical harvesting methods and equipment, as identified in Principle 10;
  - v. The rationale for harvesting rates of timber and other natural resources, as identified in Principle 5.
3. Measures to [conserve](#) and/or [restore](#):
- i. [Rare and threatened species](#) and [habitats](#);
  - ii. [Water bodies](#) and [riparian zones](#);
  - iii. [Landscape connectivity](#), including wildlife corridors;
  - iv. Declared [ecosystem services](#) as identified in Criterion 5.1, and Annex C;
  - v. [Representative Sample Areas](#), as identified in Principle 6; and
  - vi. [High Conservation Values](#), as identified in Principle 9.
4. Measures to assess, prevent, and mitigate negative impacts of management activities on:
- i. [Environmental values](#), as identified in Principle 6 and Principle 9;
  - ii. Declared [Ecosystem services](#) as identified in Criterion 5.1 and Annex C;
  - iii. Social Values, as identified in Principle 2 to Principle 5 and Principle 9.
5. A description of the monitoring program, as identified in Principle 8, including:
- i. Growth and yield, as identified in Principle 5;
  - ii. Declared [Ecosystem services](#) as identified in Criterion 5.1 and Annex C;
  - iii. [Environmental values](#), as identified in Principle 6
  - iv. Operational impacts, as identified in Principle 10;
  - v. [High Conservation Values](#), as identified in Principle 9;
  - vi. Monitoring systems based on stakeholder [engagement](#) planned or in place, as identified in Principle 2 to Principle 5 and Principle 7;
  - vii. Maps describing the natural resources and land use zoning on the [Management Unit](#).



## Annex 7B Framework for Planning and Monitoring (example)

The annex lists possible documents and monitoring elements. Different management units with different scale, intensity and risk shall determine the applicability according to the requirements in the corresponding indicators.

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



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



## Annex 8 Monitoring Requirements

The annex lists all possible monitoring elements. Different management units with different scale, intensity and risk shall determine the applicability according to the requirements in the corresponding indicators.

1. Monitoring in 8.2.1 is sufficient to identify and describe the environmental impacts of management activities, including where applicable:
  - i. The results of regeneration activities (Criterion 10.1);
  - ii. The use of ecologically well adapted species for regeneration (Criterion 10.2);
  - iii. Invasiveness or other adverse impacts associated with any alien species within and outside the Management Unit (Criterion 10.3);
  - iv. The use of genetically modified organisms to confirm that they are not being used (Criterion 10.4);
  - v. The results of silvicultural activities (Criterion 10.5);
  - vi. Adverse impacts to environmental values from fertilizers (Criterion 10.6);
  - vii. Adverse impacts from the use of pesticides (Criterion 10.7);
  - viii. Adverse impacts from the use of biological control agents (Criterion 10.8);
  - ix. The impacts from natural hazards (Criterion 10.9);
  - x. The impacts of infrastructural development, transport activities and silviculture to rare and threatened species, habitats, ecosystems, landscape values, water and soils (Criterion 10.10);
  - xi. The impacts of harvesting and extraction of timber on non-timber forest products, environmental values, merchantable wood waste and other products and services (Criterion 10.11); and
  - xii. Environmentally appropriate disposal of waste materials (Criterion\* 10.12).
2. Monitoring in 8.2.1 is sufficient to identify and describe social impacts of management activities, including where applicable:
  - i. Evidence of illegal or unauthorized activities (Criterion 1.4);
  - ii. Compliance with applicable laws, local laws, ratified international conventions and obligatory codes of practice (Criterion 1.5);
  - iii. Resolution of disputes and grievances (Criterion 1.6, Criterion 2.6, Criterion 4.6);
  - iv. Programs and activities regarding workers' rights (Criterion 2.1);
  - v. Gender equality, sexual harassment and gender discrimination (Criterion 2.2);
  - vi. Programs and activities regarding occupational health and safety (Criterion 2.3);
  - vii. Payment of wages (Criterion 2.4);
  - viii. Workers' training (Criterion 2.5);
  - ix. Where pesticides are used, the health of workers exposed to pesticides (Criterion 2.5 and Criterion 10.7);



- x. The identification of Indigenous Peoples and local communities and their legal and customary rights (Criterion 3.1 and Criterion 4.1);
- xi. Full implementation of the terms in binding agreements (Criterion 3.2 and Criterion 4.2);
- xii. Indigenous Peoples and community relations (Criterion 3.2, Criterion 3.3 and Criterion 4.2);
- xiii. Protection of sites of special cultural, ecological, economic, religious or spiritual significance to Indigenous Peoples and local communities (Criterion 3.5 and Criterion 4.7);
- xiv. The use of traditional knowledge and intellectual property (Criterion 3.6 and Criterion 4.8);
- xv. Local economic and social development (Criterion 4.2, Criterion 4.3, Criterion 4.4, Criterion 4.5);
- xvi. The production of diversified benefits and/or products (Criterion 5.1);
- xvii. The maintenance and/or enhancement of ecosystem services (Criterion 5.1);
- xviii. Activities to maintain or enhance ecosystem services (Criterion 5.1);
- xix. Actual compared to projected annual harvests of timber and non-timber forest products (Criterion 5.2);
- xx. The use of local processing, local services and local value added manufacturing (Criterion 5.4);
- xxi. Long term economic viability (Criterion 5.5); and
- xxii. High Conservation Values 5 and 6 identified in Criterion 9.1.

**3. Monitoring procedures in 8.2.2 are sufficient to identify and describe changes in environmental conditions including where applicable:**

- i. The maintenance and/or enhancement of ecosystem services (Criterion 5.2) (when The Organization makes FSC promotional claims regarding the provision of ecosystem services, or receives payment for the provision of ecosystem services);
- ii. Environmental values and ecosystem functions including carbon sequestration and storage (Criterion\* 6.1); including the effectiveness of actions identified and implemented to prevent, mitigate and repair negative impacts to environmental values (Criterion 6.3);
- iii. Rare and threatened species, and the effectiveness of actions implemented to protect them and their habitats (Criterion 6.4);
- iv. Representative sample areas and the effectiveness of actions implemented to conserve and/or restore them (Criterion 6.5);
- v. Naturally occurring native species and biological diversity and the effectiveness of actions implemented to conserve and/or restore them (Criterion 6.6);



- vi. Water courses, water bodies, water quantity and water quality and the effectiveness of actions implemented to conserve and/or restore them (Criterion 6.7);
- vii. Landscape values and the effectiveness of actions implemented to maintain and/or restore them (Criterion 6.8);
- viii. Conversion of natural forest to plantations or conversion to non-forest (Criterion 6.9);
- ix. The status of plantations established after 1994 (Criterion 6.10); and
- x. High Conservation Values 1 to 4 identified in Criterion 9.1 and the effectiveness of actions implemented to maintain and/or enhance them.

## Annex 9A Strategies for maintenance of HCVs

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

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

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

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





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

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



## Annex 9B Sources of information for identification of HCVs

### I. Best available information:

National and provincial level conservation areas provide up-to-date information regarding status and composition of ecosystems. This information is supported by academic institutions and research that involves, for example, the large scale permanent plot and research network.

The organization that conducts a HCV assessment, involving identification and/or status assessment of HCVs, has to consider available information about species, habitats and ecosystems of conservation areas nearby. The following information sources have to be consulted:

- a) Provincial natural conservation area list:

<http://sts.mep.gov.cn/zrbhq/zrbhq/>

- b) National natural conservation area list:

<http://www.forestry.gov.cn/>

Additionally, the organization has to consider the China Biodiversity Red List issued by the Ministry of Environmental Protection. All species listed as CR (Critically endangered) and EN (Endangered) have to be recognized as HCV 1 species. Currently the list covers 1880 advanced plant species and 473 vertebrate species.

- c) China Biodiversity Red List - higher plant volume:

<http://www.mep.gov.cn/gkml/hbb/bgg/201309/W020130917614244055331.pdf>

- d) China Biodiversity Red List – vertebrate volume:

<http://www.mep.gov.cn/gkml/hbb/bgg/201505/W020150526581939212392.pdf>

### II. General information sources:

Biodiversity:

[www.biodiversitya-z.org](http://www.biodiversitya-z.org)

Biodiversity Hotspots:

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

Centers of Plant Diversity (IUCN, WCMC):

[www.unep-wcmc.org/species/sca/GSPC.htm](http://www.unep-wcmc.org/species/sca/GSPC.htm)

Convention on Wetlands of International Importance (RAMSAR):

~1900 RAMSAR sites

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

Global Biodiversity Decision Support Platform:



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

Important Bird Areas (IBAs):

~12,000 sites worldwide, many quite small (e.g. 314 in Australia): Birdlife International. These do one or more of the following: (1) They hold a significant number of one or more globally threatened species; (2) They are one of a set of sites that together hold a suite of restricted-range species or biome-restricted species; and (3) They have exceptionally large numbers of migratory or congregatory species. Cf. also Endemic Bird Areas, EBAs, and covering over 7 million km<sup>2</sup>.

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

Intact Forest Landscapes:

These areas are very likely to have HCV 2 and likely to contain HCV 1.

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

[www.wri.org/publication/last-frontier-forests-ecosystems-and-economies-edge](http://www.wri.org/publication/last-frontier-forests-ecosystems-and-economies-edge)

IUCN Red List of Threatened Species:

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

UNESCO + IUCN World Heritage Sites:

(207 natural + mixed sites):

[whc.unesco.org](http://whc.unesco.org)

WWF Global 200 Ecoregions:

Ecoregions are “defined as relatively large units of land or water containing a distinct assemblage of natural communities sharing a large majority of species, dynamics, and environmental conditions”. Ecoregions represent the original distribution of distinct assemblages of species and communities. This concept may be helpful for resolving issues of scale, and for ensuring a full coverage of conservation sites.

[www.worldwildlife.org/science/ecoregions/g200.cfm](http://www.worldwildlife.org/science/ecoregions/g200.cfm)



## Annex 11 Guidance documents for small organizations

[FSC Briefing Note1: Group Certification](#)

<https://cn.fsc.org/download-box.148.htm>

[FSC Briefing Note 2: Assessment of Environmental Impacts](#)

<https://cn.fsc.org/download-box.150.htm>

[FSC Briefing Note 3: Evaluating and Monitoring Social Impacts](#)

<https://cn.fsc.org/download-box.147.htm>

[FSC Briefing Note 4: High Conservation Values](#)

<https://cn.fsc.org/download-box.143.htm>

[FSC Briefing Note 5: Simply monitoring](#)

<https://cn.fsc.org/download-box.149.htm>

[FSC step-by-step guide: Good practice guide to meeting FSC certification requirements for biodiversity and High Conservation Value Forests in Small and Low Intensity Managed Forests \(SLIMFs\)](#)

<https://cn.fsc.org/download-box.144.htm>



## FSC Glossary of Terms

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

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

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

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

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

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

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

**Alien species:** A species, subspecies or lower taxon, introduced outside its natural past or present distribution; includes any part, gametes, seeds, eggs, or propagules of such species



that might survive and subsequently reproduce (Source: Convention on Biological Diversity (CBD), Invasive Alien Species Programme. Glossary of Terms as provided on CBD website).

**Applicable law:** Means applicable to *The Organization\** as a *legal\** person or business enterprise in or for the benefit of the Management Unit and those laws which affect the implementation of the FSC Principles and Criteria. This includes any combination of statutory law (Parliamentary-approved) and case law (court interpretations), subsidiary regulations, associated administrative procedures, and the national constitution (if present) which invariably takes *legal\** precedence over all other *legal\** instruments (Source: FSC-STD-01-001 V5-0).

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

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

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

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

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

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

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

**Connectivity:** A measure of how connected or spatially continuous a corridor, network, or matrix is. The fewer gaps, the higher the connectivity. Related to the structural connectivity concept; functional or behavioral connectivity refers to how connected an area is for a process, such as an animal moving through different types of landscape elements. Aquatic connectivity deals with the accessibility and transport of materials and organisms, through



groundwater and surface water, between different patches of aquatic ecosystems of all kinds. (Source: Based on R.T.T. Forman. 1995. Land Mosaics. The Ecology of Landscapes and Regions. Cambridge University Press, 632pp).

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

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

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

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

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

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

**Customary law:** Interrelated sets of customary rights may be recognized as customary law. In some jurisdictions, customary law is equivalent to statutory law, within its defined area of



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

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

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

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

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

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

This list should be adapted or expanded by Standard Developers.

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

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

**Ecosystem function:** An intrinsic ecosystem characteristic related to the set of conditions and processes whereby an ecosystem maintains its integrity (such as primary productivity,





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

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

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

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

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

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

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

- ecosystem functions (including carbon sequestration and storage);
- biological diversity;
- water resources;
- soils;
- atmosphere;



- landscape values (including cultural and spiritual values).

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

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

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

**Fertilizer:** Mineral or organic substances, most commonly N, P<sub>2</sub>O<sub>5</sub> and K<sub>2</sub>O, which are applied to soil for the purpose of enhancing plant growth.

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

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

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

**Free, Prior, and Informed Consent (FPIC):** A *legal\** condition whereby a person or community can be said to have given consent to an action prior to its commencement, based upon a clear appreciation and understanding of the facts, implications and future consequences of that action, and the possession of all relevant facts at the time when consent is given. Free, prior and informed consent includes the right to grant, modify, withhold or withdraw approval (Source: Based on the Preliminary working paper on the principle of Free, Prior and Informed Consent of Indigenous Peoples (...) (E/CN.4/Sub.2/AC.4/2004/4 8 July 2004) of the 22nd Session of the United Nations Commission on Human Rights, Sub-commission on the Promotion and Protection of Human Rights, Working Group on Indigenous Populations, 19–23 July 2004).

**Gender equality:** Gender equality or gender equity means that women and men have equal conditions for realizing their full human rights and for contributing to, and benefiting from, economic, social, cultural and political development (Source: Adapted from FAO, IFAD and



ILO workshop on 'Gaps, trends and current research in gender dimensions of agricultural and rural employment: differentiated pathways out of poverty', Rome, 31 March to 2 April 2009.).

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

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

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

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

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

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

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

HCV1: Species Diversity. Concentrations of *biological diversity\** including endemic species, and rare, *threatened or endangered\** species, that are significant at global, regional or national levels.

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

HCV 3: Ecosystems and habitats. Rare, threatened, or endangered ecosystems, *habitats\** or



*refugia*\*.

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

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

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

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

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

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

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

**Indigenous 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).

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

**Intact Forest Landscape:** a territory within today's global extent of forest cover which contains forest and non-forest ecosystems minimally influenced by human economic activity, with an area of at least 500 km<sup>2</sup> (50,000 ha) and a minimal width of 10 km (measured as the diameter of a circle that is entirely inscribed within the boundaries of the territory) (Source: Intact Forests / Global Forest Watch. Glossary definition as provided on Intact Forest website. 2006-2014).

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

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

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

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

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

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

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



definitions as provided on IUCN website).

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

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

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

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

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

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

**Legal status:** The way in which the Management Unit is classified according to law. In terms of tenure, it means the category of tenure, such as communal land or leasehold or freehold or State land or government land, etc. If the Management Unit is being converted from one category to another (for example, from State land to communal indigenous land) the status includes the current position in the transition process. In terms of administration, legal status



could mean that the land is owned by the nation as a whole, is administered on behalf of the nation by a government department, and is leased by a government Ministry to a private sector operator through a concession (Source: FSC-STD-01-001 V5-0).

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

**Local communities:** Communities of any size that are in or adjacent to the Management Unit, and also those that are close enough to have a significant impact on the economy or the environmental values of the Management Unit or to have their economies, rights or environments significantly affected by the management activities or the biophysical aspects of the Management Unit (Source: FSC-STD-01-001 V5-0).

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

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

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

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

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

**Management Unit:** A spatial area or areas submitted for FSC certification with clearly defined boundaries managed to a set of explicit long term management objectives which are ex-





pressed in a *management plan*\*. This area or areas include(s):

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

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

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

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

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

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

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

'Natural forest' includes the following categories:

- Forest affected by harvesting or other disturbances, in which trees are being or have been regenerated by a combination of natural and artificial regeneration with species typical of natural forests in that site, and where many of the above-ground and below-ground characteristics of the natural forest are still present. In boreal and north temperate forests which are naturally composed of only one or few tree species, a combination





of natural and artificial regeneration to regenerate forest of the same native species, with most of the principal characteristics and key elements of native ecosystems of that site, is not by itself considered as conversion to plantations;

- Natural forests which are maintained by traditional silvicultural practices including natural or assisted natural regeneration;
- Well-developed secondary or colonizing forest of native species which has regenerated in non-forest areas;
- The definition of 'natural forest' may include areas described as wooded ecosystems, woodland and savannah.

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

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

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

Thresholds and guidelines may cover areas such as:

- Other vegetation types and non-forest communities and ecosystems included in the Management Unit, including grassland, bushland, wetlands, and open woodlands;
- Very young pioneer or colonizing regeneration in a primary succession on new open sites or abandoned farmland, which does not yet contain many of the principal characteristics and key elements of native ecosystems. This may be considered as natural forest through ecological progression after the passage of years;
- Young natural regeneration growing in natural forest areas may be considered as natural forest, even after logging, clear-felling or other disturbances, since many of the principal characteristics and key elements of native ecosystems remain, above-ground and below-ground;
- Areas where deforestation and forest degradation have been so severe that they are no longer 'dominated by trees' may be considered as non-forest, when they have very few of the principal above-ground and below-ground characteristics and key elements of natural



forests. Such extreme degradation is typically the result of combinations of repeated and excessively heavy logging, grazing, farming, fuelwood collection, hunting, fire, erosion, mining, settlements, infrastructure, etc. FSC Forest Stewardship Standards may help to decide when such areas should be excised from the Management Unit, should be restored towards more natural conditions, or may be converted to other land uses.

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

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

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

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

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

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

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

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

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

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

**Peatland:** Is constituted by flooded and soggy areas, with large accumulations of organic material, covered by a layer of poor vegetation associated with a certain degree of acidity, and which presents a characteristic amber color (Source: Aguilar, L. 2001. *About Fishermen, Fisherwomen, Oceans and tides*. IUCN. San Jose (Costa Rica)).



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

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

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

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

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

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

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

**Protection:** See definition of Conservation.

**Protection Area:** See definition of Conservation Zone.

**Publicly available:** In a manner accessible to or observable by people generally (Source:



Collins English Dictionary, 2003 Edition).

**Rare species:** Species that are uncommon or scarce, but not classified as threatened. These species are located in geographically restricted areas or specific habitats, or are scantily scattered on a large scale. They are approximately equivalent to the IUCN (2001) category of Near Threatened (NT), including species that are close to qualifying for, or are likely to qualify for, a threatened category in the near future. They are also approximately equivalent to imperiled species (Source: Based on IUCN. (2001). IUCN Red List Categories and Criteria: Version 3.1. IUCN Species Survival Commission. IUCN. Gland, Switzerland and Cambridge, UK).

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

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

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

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

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

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

**Restore / Restoration:** These words are used in different senses according to the context and in everyday speech. In some cases 'restore' means to repair the damage done to environmental values that resulted from management activities or other causes. In other cases 'restore' means the formation of more natural conditions in sites which have been heavily



degraded or converted to other land uses. In the Principles and Criteria, the word 'restore' is not used to imply the recreation of any particular previous, pre-historic, pre-industrial or other pre-existing ecosystem (Source: FSC-STD-01-001 V5-0).

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

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

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

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

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

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

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

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

Any one of these forms will justify designation as HCVs 1, 2 and 6. Many regions of the world have received recognition for their biodiversity importance, measured in many different ways.



Existing maps and classifications of priority areas for biodiversity conservation play an essential role in identifying the potential presence of HCVs 1, 2 and 6 (Source: FSC-STD-01-001 V5-0).

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

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

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

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

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

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

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

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

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

**Traditional peoples:** Traditional peoples are social groups or peoples who do not self-identify



as indigenous and who affirm rights to their lands, forests and other resources based on long established custom or traditional occupation and use (Source: Forest Peoples Programme (Marcus Colchester, 7 October 2009)).

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

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

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

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

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

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

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

**Water scarcity:** A water supply that limits food production, human health, and economic development. Severe scarcity is taken to be equivalent to 1,000 cubic meters per year per person or greater than 40% use relative to supply (Source: Millennium Ecosystem Assessment. 2005. Ecosystems and Human Well-Being: Policy Responses. Findings of the Responses Working Group. Washington DC: Island Press, Pages 599-605).

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

**Wetlands:** Transitional areas between terrestrial and aquatic systems in which the water ta-



ble is usually at or near the surface or the land is covered by shallow water (Source: Coward-ing, L.M., Carter, V., Golet, F.C., Laroe, E.T. 1979. Classification of Wetlands and Deepwater Habitats of the United States. DC US Department: Washington).

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

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