The FSC National Forest Stewardship Standard of India (DRAFT_v2.0)
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<thead>
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<th><strong>Title</strong></th>
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<tr>
<td><strong>Document reference code:</strong></td>
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<td>Policy and Standards Committee</td>
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<tr>
<td><strong>Country Contact:</strong></td>
<td>FSC International Center - Policy and Standards Unit - Charles-de-Gaulle-Str. 5 53113 Bonn, Germany +49-(0)228-36766-0 +49-(0)228-36766-30 <a href="mailto:policy.standards@fsc.org">policy.standards@fsc.org</a> or Gordian Fanso <a href="mailto:g.fanso@fsc.org">g.fanso@fsc.org</a></td>
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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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1. Preface

1.1. 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.

1.2. Descriptive statement of the National Office / Standard Development Group

NOTE: [Insert here a descriptive statement of the National office or SDG. Please delete this note before submitting the standard]

2. Preamble

2.1. Purpose of the standard

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

The FSC Principles and Criteria (P&C) for Forest Stewardship provides 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 Policy 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.

2.2. Scope of standard
This standard is applicable to all forest operations seeking FSC certification within India. The standard applies to Natural, Plantation and SLIMF.

2.3. Background information on the standard development: [refer to the Standard Developments Groups proposal, terms of reference and work plan as developed to FSC-STD-60-006].

3. Version of the standard
3.1. [Insert here the draft and version number; original date of the preparation and accreditation of the standard; subsequent edition dates; current edition date, and the next anticipated revision as appropriate. Delete this note before submitting the standard].

3.1.2. [Insert here a statement of the responsible parties that oversaw the development of the standard. In this case emphasis is only on the core Standard Development Group members. The consultative forum and technical expert group is presented in the process report sent to]
4. Context
1.1. [Insert here a general description of the geographical area covered by the standard].
1.2. [List of members of the committee that prepared the standard].
1.3. [List of key consultants and advisors who assisted the committee].

5. References
NOTE: [Please add to the following list as relevant to national references used to develop the
NFSS. Delete this note before submitting the standard]
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 amend-
ments) 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
6. SIR

For each Criterion, several indicators are listed. Where indicators are simply numbered, with no additional letter (e.g. Indicator 1.1.1), the indicator is intended to be applicable to all sizes and types of forest and plantation.

In many cases, additional requirements are specified that are applicable only to high intensity operations in Forests. High intensity refers to the site disturbing activities, heavy pesticides and chemical usage, having direct/indirect impacts on environmental, social and economic values. In these cases, the indicator numbers with 'H', defining them as indicators applicable when High risks are associated with Forest management operations.

In other cases, indicators are applicable only to SLIMFs, they are small and low intensity managed forests (e.g., area under farm forestry operations when area is merely 5-10 ha and operations where the rate of harvesting is less than 20% of the mean annual increment (MAI)1 within the total production forest area of the unit). These low intensity managed forests generally have minor impacts on the environmental, social and economic values. In these cases, the indicator numbers with 'L', defining them as indicators applicable when Low risks are associated with Forest Management operations.

<table>
<thead>
<tr>
<th>Scale</th>
<th>Threshold (area of Management Units)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Small scale</td>
<td>≤ 25 ha</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Intensity</th>
<th>Threshold (management activities)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Low intensity</td>
<td>a) the rate of harvesting is less than 20% of the mean annual increment (MAI)² within the total production forest area of the unit, AND</td>
</tr>
<tr>
<td></td>
<td>b) EITHER the annual harvest from the total production forest area is less than 5000 cubic metres,</td>
</tr>
<tr>
<td></td>
<td>c) OR the average annual harvest from the total production forest is less than 5000 m³ / year during the period of validity of the certificate as verified by harvest reports and surveillance audits.</td>
</tr>
<tr>
<td></td>
<td>Also,</td>
</tr>
<tr>
<td></td>
<td>d) In areas (protected forest and conservation forests) where timber harvest is strictly prohibited, the level of impact of management activities is negligible.</td>
</tr>
</tbody>
</table>

1 Where FMU-specific estimates of mean annual increment are unavailable or impractical regional estimates of growth rates for specific forest types may be used.
2 Where FMU-specific estimates of mean annual increment are unavailable or impractical regional estimates of growth rates for specific forest types may be used.
e) Collection of NTFPs by Forest Dewellers, provided there is no or limited involvement of machinery in collection, processing and transport of NTFPs within the forest areas

f) using manure instead of fertilizers

g) no or limited used of perticides

h) No HCV areas etc.,

<table>
<thead>
<tr>
<th>High intensity</th>
<th>Intensive site preparations</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Mechanised harvesting</td>
</tr>
<tr>
<td></td>
<td>Application of chemicals or biological agents;</td>
</tr>
<tr>
<td></td>
<td>Using chemicals and pesticides</td>
</tr>
<tr>
<td></td>
<td>Direct/indirect negative impact on water and soil quality and quantity</td>
</tr>
<tr>
<td></td>
<td>Proximity to MU to HCVs</td>
</tr>
<tr>
<td></td>
<td>Activities disturbing Ecosystem services</td>
</tr>
<tr>
<td></td>
<td>Construction of Roads in ecosystem sensitive zones etc.,</td>
</tr>
</tbody>
</table>

The scale and intensity, when combined, will determine the likelihood and probable consequences involved with FMUs. The likelihood of the negative impacts when combined with the consequences of the negative impacts will define the risk involved at the MU level. In such a scenario, the MU management, as well as the certifying body (auditors), should take the call on the level of risk, and accordingly classify the applicable SIR classification and applicable indicators, for example, a small forest patch of 90 ha, which is near a newly declared wetland conservation site, have a mechanised forest operations and use chemicals and pesticides. In such a scenario, the Risk associated and impacts on biodiversity, soil and water quality, workers safety, HCV is high. Despite having a small size, the likelihood of the negative impacts are very high and thus have high risk associated with its operations. It is possible that the regular indicators are not sufficient or proportionate to judge the management activities against the standard requirements and so the High risk indicators can be used in this scenario.
A reference note has also been developed for defining the thresholds for small managed forests, as per Indian context and FSC-STD-01-003 (Version 1-0) EN SLIMF Eligibility standard. The note also demonstrates how the intensity and risks can be identified based on annual harvest yields & levels, vicinity to HCVs, streams, Protected areas etc.
7. 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. (P1 P&C V4)

<table>
<thead>
<tr>
<th>Criterion 1.1</th>
<th>The Organization shall be a legally defined entity with clear, documented and unchallenged legal registration, with written authorization from the legally competent authority for specific activities. (new)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indicator 1.1.1</td>
<td>Legal registration* to carry out all activities within the scope of the certificate is documented and unchallenged</td>
</tr>
<tr>
<td>Verifier:</td>
<td>Legal registration can mean legal notifications through instruments like Indian Forest Act 1972 for notifying forest area in case of government owned Forests, Societies Registration documents, Cooperative registration document and Company’s registration document in other cases, relevant permits, registrations etc.</td>
</tr>
<tr>
<td>Indicator 1.1.2</td>
<td>Legal registration* is granted by a legally competent* authority per legally prescribed processes.</td>
</tr>
<tr>
<td>Verifier:</td>
<td>Review of evidences mentioned in 1.1.1</td>
</tr>
<tr>
<td>Indicator 1.1.3</td>
<td>The organization has specified, in its establishment documents, its objectives and the specific activities that it shall undertake.</td>
</tr>
<tr>
<td>Verifier:</td>
<td></td>
</tr>
<tr>
<td>Indicator 1.1.4</td>
<td>The organization has in place the required authorization/NoC from the competent authorities to undertake the specified activities.</td>
</tr>
<tr>
<td>Verifier:</td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Criterion 1.2</th>
<th>The Organization shall demonstrate that the legal status of the Management Unit, including tenure and use rights, and its boundaries, are clearly defined. (C2.1 P&amp;C V4)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indicator 1.2.1</td>
<td>Legal* tenure* to manage and use resources within the scope of the certificate is documented.</td>
</tr>
<tr>
<td>Verifier:</td>
<td>Land tenure and use documents</td>
</tr>
<tr>
<td>Indicator 1.2.2</td>
<td>Legal* tenure* is granted by a legally competent* authority according to legally prescribed processes.</td>
</tr>
</tbody>
</table>
Verifier: Land tenure documents

**Indicator 1.2.3** The boundaries of all Management Units* within the scope of the certificate are clearly marked in the field and documented/or clearly shown on maps

Verifier: Land ownership documents and maps,

1.2.4 In case of usufruct agreements, the Organization demonstrates unambiguous land ownership, tenure and documented evidence of legal use rights to the Management Units.

Verifier:

1.2.5 Wherever usufruct agreements exists, the organization demonstrates prior management experience in the similar forest management activities.

Verifier:

**Criterion 1.3.** The Organization shall have legal rights to operate in the Management Unit, which fit the legal status of The Organization and of the Management Unit, and shall comply with the associated legal obligations in applicable national and local laws and regulations and administrative requirements. The legal rights shall provide for harvest of products and/or supply of ecosystem services from within the Management Unit. The Organization shall pay the legally prescribed charges associated with such rights and obligations. (C1.1, 1.2, 1.3 P&C V4)

**Indicator 1.3.1.** All activities undertaken in the Management Unit* are carried out in compliance with:
1) Applicable laws* and regulations and administrative requirements,
2) Legal* and customary rights*;

Verifier: consultation with management representatives and stakeholders; record of activities performed in non-compliance with applicable laws and regulations.

**Indicator 1.3.2.** The Organization maintains a list of all applicable fees, transit permits, royalties, duties, taxes and other legally prescribed charges connected with the management of the forest resource.

Verifier: Registration fee receipts

**Indicator 1.3.3.** Payment is made in a timely manner* of all applicable legally prescribed charges connected with forest* management and no evidence of chronic non-payment exist.
**Indicator 1.3.4.** Activities covered by the management plan* are designed to comply with all applicable laws*.

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

**Indicator 1.4.1.** The Organization identifies the threats that the Management Units are exposed to from unauthorized activities like illegal harvesting, hunting, fishing, trapping, collecting, settlement etc. Measures are developed and implemented to provide protection* from such unauthorized or illegal activities.

**Indicator 1.4.2.** If illegal or unauthorized activities are detected, measures are implemented to address them as per existing legal framework and dealt with by appropriate authorities.

**Indicator 1.4.3.** The organization dedicates sufficient resources (human, financial, infrastructural) to detect and control illegal activities and actively work for their prevention.

**Indicator 1.4.4.** The Organization explores the opportunities to work with regulatory bodies or/and non-state agencies like NGOs, VFCs, JFMCs, gram panchayats etc., to identify, report, control and discourage unauthorized or illegal activities.

**Criteria 1.5.** The Organization shall comply with the applicable national laws, local laws, ratified international conventions and obligatory codes of practice, relating to the transportation and trade of forest products within and from the Management Unit, and/or up to the point of first sale. (C1.3 P&C V4)
**Indicator 1.5.1.** Organization maintains an up-to-date list of national, state and local laws as well as administrative/regulatory requirements applicable to it.

**Verifier: Compendium of applicable laws and regulations in the offices or camps.**

**Indicator 1.5.2.** Compliance with applicable national laws*, local laws*, ratified* international conventions and government orders (GOs) relating to the production, harvest, transportation and trade of forest products up to the point of first sale is demonstrated.

**Verifier: Compendium of above laws, regulation and orders that summarizes how the FME respects these.**

Indicator 1.5.3. Compliance with CITES provisions is demonstrated, including through possession of certificates for harvest and trade in any CITES species.

**Verifier: CITES certificate, LPC etc issued from CITES Management Authority**

**Indicator 1.5.4.** The frequency and nature of any regulatory violations shall not be indicative of widespread and systemic non-compliance. Any case of non-compliance is resolved with the appropriate authorities.

**Verifier:**

---

**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. (C2.3 P&C V4)

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

**Verifier: Dispute resolution process**

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

**Indicator 1.6.3.** Up to date records of disputes related to issues of applicable laws* traditional 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.

**Verifier:**

**Indicator 1.6.4.** Certification shall not be undertaken in areas where disputes* exist:
1) Of substantial magnitude*; or
2) Of substantial duration*; or
3) Involving a significant* number of interests.

(Require comments from Stakeholders on adapting the IGI; whether to use “Certification” or “Operations”)

Verifier:

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. (new)

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

Verifier: Compliance with anti-corruption legislations; Organization’s anti-corruption policy

Indicator 1.7.2. The policy meets or exceeds related legislation.

Verifier:

Indicator 1.7.3. The policy is publicly available* at no cost.

Verifier:

Indicator 1.7.4. Bribery, coercion and other acts of corruption do not occur.

Verifier: complain register, consultation with stakeholders, staff and workers

Indicator 1.7.5 Where corruption occurs, the organization implements corrective measures including reporting matter to appropriate authorities and actions against corruption activities.

H 1.7.5 Procedures to undertake internal enquiries whenever any incidents of corruption are reported or suspected are established and implemented.

Verifier: Review of procedures and records of incidents of corruption reported or suspected

Indicator 1.7.6. Any organizations, contractors or suppliers of the organization, if found to be engaged in corrupt or fraudulent activities, or aiding and abetting corruption, is disassociated and records for the same are maintained.

Verifier: complain & corruption cases registers; consultation with stakeholders, staff and workers

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. (C1.6 P&C V4)

<table>
<thead>
<tr>
<th>Indicator 1.8.1. A written policy, endorsed by an individual with authority to implement the policy, includes a long-term commitment to forest management practices consistent with FSC Principles and Criteria and related Policies and Standards.</th>
<th>Verifier:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Indicator 1.8.2. The policy is publicly available at no cost.</th>
<th>Verifier:</th>
</tr>
</thead>
</table>

**Indicator 1.8.3** The Organization staff have access to written/electronic copies of the FSC Principles and Criteria or demonstrate a general level of awareness of the standard, consistent with the level of their responsibilities.
Verifier:

Go to Annex A.
**PRINCIPLE 2: WORKERS’ RIGHTS AND EMPLOYMENT CONDITIONS**

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

**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. (C4.3 P&C V4)

Indicator 2.1.1. Employment practices and conditions for workers* demonstrate conformity with or uphold* the principles and rights of work addressed in the eight ILO Core Labour Conventions as defined in the ILO Declaration on Fundamental Principles and Rights at Work (1998).

Indicator 2.1.2. Workers* are able to establish or join labour organizations of their own choosing subject only to the rules of the labour organization concerned.

Indicator 2.1.3 Agreements are implemented resulting from collective bargaining with formal and informal workers’ organizations*.

**Indicator 2.1.4** The organization does not discriminate workers on the basis on caste, creed, religion, gender, age, region or sexual orientation.

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

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.

Verifier:

Indicator 2.2.2. Women are encouraged to participate actively in all levels of employment.

Verifier:

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

Verifier:

**Indicator 2.2.4. All genders 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, etc.) to ensure they safely receive and retain their wages.
Verifier:

Indicator 2.2.6. Maternity Leave and benefits as per the provisions of the Maternity Benefits Act, 1961
Verifier:

Indicator 2.2.7. Organization does not penalise its employee for taking Paternal leave.
*(Response from Stakeholders for not adopting indicator)*
Verifier:

Indicator 2.2.8. Active participation of all genders is encouraged and facilitated in meetings as well as decision making forums.
Verifier:

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.
Verifier:

**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. *(C4.2 P&C V4)*

Indicator 2.3.1. The organization meets and exceeds all applicable laws, regulations, ratified conventions covering health and safety of workers and their families.
*(Need inputs from Stakeholders on this indicator; may refer justification for not adopting IG)*
Verifier:

Indicator 2.3.2. The organization maintains publicly available guidelines and policies covering all aspects of workplace health and safety.
Verifier:

L 2.3.2 The workers are made aware of the health and safety guidelines and work precautions applicable to their activity.
Verifier:
**Indicator 2.3.3.** Engagement with workers and their representative organizations to improve working conditions.  
**Verifier:**

Indicator 2.3.4. Workers* have personal protective equipment appropriate to their assigned tasks.  
Verifier:

Indicator 2.3.5. Use of personal protective equipment is enforced.  
Verifier:

Indicator 2.3.6. Records are kept on health and safety practices including accident rates and lost time to accidents.  
Verifier:

**Indicator 2.3.7.** The frequency and severity of accidents are consistently low compared to the size, nature and spread of forestry operations. Records of such incidents are also maintained.  
**Verifier:** Records of the accidents and the periodic review of the incidents taken place

**Indicator 2.3.8.** The health and safety practices are reviewed and revised as required after major incidents or accidents.  
**Verifier:**

L 2.3.8. The health and safety practices are reviewed annually, or as and when any major change of activity occurs.  
**Verifier:**

**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. (new)

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

**Indicator 2.4.2.** Wages paid meet or exceed the highest of the following:  
1) Minimum wages as designated by the Minimum Wages Act, 1948  
2) State specific Daily Minimum Wage Rates  
3) MGNREGA state specific daily wage rates  
4) Industry recognized wage agreements in consultation with workers’ representatives including payment for extra working hours  
Verifier:
### Indicator 2.4.3.
Wages, salaries and contracts are paid on time. When no minimum wage levels exist, wages are established through culturally appropriate* engagement* with workers* and / or formal and informal workers organizations*.

**Verifier:**

### 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. (C7.3 P&C V4)

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

**Verifier:**

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

**Verifier:**

**Indicator 2.5.3.** The organization shall, in consultation with workers, their representatives and local communities, identify and provide workers with opportunities for training and upskilling to provide avenues for improving their economic wellbeing.

**Verifier:**

### 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

**Indicator 2.6.1.** A dispute resolution mechanism is established through culturally appropriate engagement with workers and their representatives which includes, *inter alia*,

- a) a mechanism for receipt of complaints, both formal as well as informal, including anonymous complaints
- b) Acknowledgement of receipt of formal complaints
- c) process of investigation of complaints received

**Verifier:**

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

**Verifier:**

**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 re-
**Indicator 2.6.4.** For losses arising out of work related damage to property or livelihood (other than due to occupational diseases or injuries), the organization, in conjunction with workers’ representatives, shall devise appropriate compensation mechanisms.

Verifier:

**Indicator 2.6.5** The organization deputes an officer of sufficient rank and seniority, to investigate objectively the grievances raised by the workers, in respect to the provisions of this Principle.

Verifier:

Go to Annex B.
**PRINCIPLE 3: INDIGENOUS PEOPLES’ RIGHTS**

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

*Note: Indigenous People and other forest dwellers in India are recognized by means of the following 3 legal statutes:*

a) **Scheduled Tribes**, as per the provisions of The Constitution (Scheduled Tribes) Order, 1950

b) Other forest dwellers, as recognized under provisions of The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006.

National Forest Stewardship Standard India recognizes above three statutes as indigenous people.

Please refer the list of Scheduled Tribe - [https://tribal.nic.in/ST/LatestListofScheduledTribe.pdf](https://tribal.nic.in/ST/LatestListofScheduledTribe.pdf)

**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. (new)

**Indicator 3.1.1.** Indigenous Peoples* that may be affected by management activities are identified and documented, as per legal procedures, as –

a) Scheduled Tribes

b) Scheduled Castes

c) Other Forest Dwellers

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

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

2) Their legal* and customary* access to, and use rights*, of the forest* resources and ecosystem services*;

3) Their legal* and customary rights* and obligations that apply;

4) The evidence supporting these rights and obligations;

5) Areas where rights are contested between Indigenous Peoples*, governments and/or others;

6) Summary of the means by which the legal* and customary rights* and contested rights, are addressed by The Organization*;

7) The aspirations and goals of Indigenous Peoples* related to management activities.
**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**. (C3.1 and 3.2 P&C V4)

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

*Note: FME/organization can decide ‘when, where and how and define the applicability of the words 'Reasonable' and 'Appropriate'.*

**Indicator 3.2.2.** The Organization have a written commitment, signed by the top management, and publicly available, that it shall recognize and respect all the legal and customary rights of the local communities and forest dwellers.

**Indicator 3.2.3.** The legal* and customary rights* of Indigenous Peoples* are not violated by The Organization*.

**Indicator 3.2.4.** 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 3.2.5.** The organization undertakes the legally mandated processes for obtaining Free, prior and informed consent* from the Indigenous Peoples* prior to management activities that affect their identified rights through a process that includes:

1) Ensuring Indigenous Peoples* know their rights and obligations regarding the resource;

2) Informing the Indigenous Peoples* of the value, in economic, social and environmental terms, of the resource over which they are considering delegation of control;

3) Informing the Indigenous Peoples* of their right to withhold or modify consent to the proposed management activities to the extent necessary to protect their rights, resources, lands and territories*; and

4) Informing the Indigenous Peoples* of the current and future planned forest* management activities.

**Indicator 3.2.6.** Where the customary and traditional use rights have been settled legally, the Organization shall have in its possession the legal notifications for rights settlement and the orders from competent authorities in this regard shall be
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. (new)

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. Verifiers:

Indicator 3.3.2. Records of binding agreements are maintained. Verifiers:

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, provisions for joint monitoring in case of any discrepancies noted, and mechanisms for dispute resolution. Verifiers:


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, subject to the applicable provisions of the Indian legal code. Verifiers:

Indicator 3.4.2. Where evidence that rights, customs and culture of Indigenous Peoples, as defined in UNDRIP and ILO Convention 169, and as granted within the Indian legal code, 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. Until that stage the Organization shall not be certifiable. Verifiers:

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. (C3.3P&C V4)

**Indicator 3.5.1.** The Organization, with the participation of indigenous people, identify sites of special cultural, social, economic, religious or spiritual significance to them.

Verifiers:

**Indicator 3.5.2.** Measures to protect such sites are agreed, documented and implemented through culturally appropriate* engagement* with Indigenous Peoples*.

Verifiers:

**Indicator 3.5.3.** Such sites are demarcated on maps, and, where possible, in the field as well and documented in the management plan or any other appropriate document.

Verifiers

**Indicator 3.5.4.** Forest managers and workers are trained in procedures (as per 3.5.2) for protection of such sites of special significance.

Verifiers

**Indicator 3.5.5.** Wherever sites of special cultural, ecological, economic, religious or spiritual significance are newly observed or identified, 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*.

Verifiers

**Indicator 3.5.6.** Identification of special sites of archaeological importance are communicated to the appropriate authorities and the Organization abides by any restrictions or terms of use as imposed by the said authorities for such sites.

Verifiers

**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. (C3.4 P&C V4)

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

**Verifiers:**

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

**Verifiers**

**Indicator 3.6.3.** The Organization shall establish and implement procedures for Access and Benefit Sharing (ABS) with the forest dwellers and forest dependent communities, if its management activities come under the provisions of the Biological Diversity Act, 2002.

**Verifiers:**
**PRINCIPLE 4: COMMUNITY RELATIONS**

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

**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. (new)

**Indicator 4.1.1.** Local communities (other than those identified previously in Principle 3) that exist in the management unit and/or are affected by management activities (either upstream or downstream) are identified.

**Verifiers**

**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 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.  

**Verifiers:**

**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**. (C2.2 P&C V4)

**Indicator 4.2.1.** Through a process of culturally appropriate engagement, local communities are provided with **reasonable and appropriate opportunities** to comment on and request modification to management activities to the extent necessary to protect their rights and resources.

**Verifier:** Note: FME/organization can decide ‘when, where and how and define the applicability of the words ‘Reasonable’ and ‘Appropriate’.

**Indicator 4.2.2.** Wherever exists, The legal* and customary rights* of local com-
ties* to maintain control over management activities are not violated by The Organiza-
tion*.
Verifier:

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
as required in Criteria* 1.6 or 4.6.
Verifier

Indicator 4.2.4. Legally mandated processes for obtaining Free, prior and informed
consent* from the local communities prior to management activities affect their identi-
\nified rights through a process that includes:
1) Ensuring local communities* know their rights and obligations regarding the re-
source;
2) Informing the local communities* of the value, in economic, social and environmen-
tal terms, of the resource over which they are considering delegation of control;
3) Informing the local communities* of their right to withhold or modify consent to the
proposed management activities to the extent necessary to protect their rights and
resources; and
4) Informing the local communities* of the current and future planned
forest* management activities.
Verifier:

Criterion 4.3. The Organization shall provide reasonable opportunities for employ-
ment, training and other services to local communities, contractors and suppliers pro-
portionate to scale and intensity of its management activities. (C4.1 P&C V4)

Indicator 4.3.1 Reasonable* opportunities are communicated and provided to
local communities*, local contractors and local suppliers for:
1) Employment,
2) Training, and
3) Other services.

L 4.3.1. Qualified people in the local communities are given preferential opportu-
nities in employment & contracting.

Note: FME/organization can decide 'when, where and how and define the applicability of the
words ‘Reasonable’ and ‘Appropriate’.

L4.3.2 The Organization gives preference to local vendors of equipment's and
services, subject to cost Business considerations.
**Criterion 4.4.** The Organization shall implement additional activities, through engagement with local communities that contribute to their social and economic development, proportionate to the scale, intensity and socio-economic impact of its management activities. (C4.4 P&C V4)

Indicator 4.4.1 Opportunities for local social and economic development are identified through culturally appropriate engagement with local communities and other relevant organizations.

Verifier:

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

Verifier:

**L 4.4.2** The Organization supports activities that contribute to the social and economic development of the area.

Verifier:

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

Indicator 4.5.1 The Organization undertakes an assessment to identify the environmental and social impacts of its management activities and measures are implemented to mitigate negative impacts.

*(Need inputs from Stakeholders on retaining present 4.5.1, 4.5.2 & 4.5.3 OR adopting IGI 4.5.1)*

**L 4.5.1** The organization identifies potential social and environmental impacts of its management activities and implement measures to avoid and mitigate significant negative impacts.

Indicator 4.5.2 The organizations conduct such at least once during the lifetime of the management plan, or sooner if there is any significant change in management or scope and scale of operations.

Indicator 4.5.3 The Organization undertakes a due process of stakeholder engagement during the social and environmental assessments, and maintain records.
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. (C4.5 P&CV4)

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

Indicator 4.6.2. The dispute resolution process has, at the minimum, the following components:

a) Process for complaint receipt - including formal, informal or anonymous complaints
b) Acknowledgement of complaints
c) Time period for attending to the complaint
d) Setting up an ombudsman authority to investigate any complaints or disputes
e) Further steps available to the aggrieved parties in case the matter is not resolved to satisfaction.
Verifier:

Indicator 4.6.3. Grievances related to the impacts of management activities are responded to in a timely manner* (as defined in 4.6.2), and are either resolved or are in the dispute resolution process.
Verifier:

Indicator 4.6.4 An up to date record of grievances related to the impacts of management activities is held including:

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

Note: Compensation is important, but it is more remedial than restitutive — the act of the Organization that is affecting has affected the local communities also must be required to be discontinued/modified to cease the negative effect.
Verifier:

4.6.5. Certification cease in areas while disputes* exist of:

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

(Comments are invited from stakeholders whether “Certification ceases” or “Operations
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. (new)

Indicator 4.7.1 Sites of special cultural, ecological, economic, religious or spiritual significance for are identified in participation with local communities and are recognized by The Organization*.

Verifier:

Indicator 4.7.2 Measures to protect such sites are agreed, documented and implemented through culturally appropriate* engagement* with the local communities.

Verifier:

Indicator 4.7.3 Such sites are demarcated on maps, and, where possible, in the field as well and documented in the management plan or any other appropriate document.

Verifier:

Indicator 4.7.4 Forest managers and workers are trained in procedures for identification and protection of such sites of special significance.

(This is a new indicator, comments are invited from the stakeholders if this indicator can be retained)

Verifier:

Indicator 4.7.5 Wherever sites of special cultural, ecological, economic, religious or spiritual significance are newly observed or identified, 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*.

Verifier:

Indicator 4.7.6 Discovery of special sites of archeological importance are communicated to the appropriate authorities and the Organization abides by any restrictions or terms of use as imposed by the said authorities for such sites.

Verifier:

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.

(new)

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

Indicator 4.8.2 Local Communities are compensated per the binding agreement* reached through Free, Prior and Informed Consent* for the use of traditional knowledge* and intellectual property*.
Verifier

**Indicator 4.8.3.** The Organization shall establish and implement procedures for Access and Benefit Sharing (ABS) with the forest dwellers and forest dependent communities, if its management activities come under the provisions of the Biological Diversity Act, 2002
Verifier
**PRINCIPLE 5: BENEFITS FROM THE FOREST**

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

**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. (C5.2 and 5.4 P&C V4).

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

**Verifier:**

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

**Verifier:**

**L 5.1.2** The Organization engages with local communities to identify and facilitate the utilization of forest resources, consistent with management objectives, to strengthen and diversify the local economy.

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

**Verifier:**

**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. (C5.6 P&C V4)

**Indicator 5.2.1.** Timber harvesting levels* are based on an approved forest management plan (for state forests) and an analysis of total quantum of extractable forest produce, based on independent assessment methodologies or a combination of empirical data and published literature on growth and yield; inventory of the forest*; mortality rates; and maintenance of ecosystem functions*.

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

**Indicator 5.2.3.** Actual annual harvest levels for timber are recorded and the harvest over a defined period does not exceed the allowable cut determined in 5.2.2 for the same defined period.

Verifier:

**Indicator 5.2.4.** Actual annual harvest levels are determined at sustainable levels, and the timber resource inventory is at an upward trajectory, or, maintained at present levels if optimum stocking has been achieved.

Verifier:

**Indicator 5.2.5.** Forest operations minimize wastage as well as damage to standing stock.

Verifier:

**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*, including -

- Independent assessment methodologies
- Combination of empirical data and published literature
- Conservative growth and yield estimates.

Verifier:

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

**Indicator 5.3.1.** A long term financial model includes income and environmental, social and operational costs. The costs include all costs related to prevention, management as well as mitigation of any environmental or social impacts of forest management operations.

*(Need inputs from stakeholders especially from economic chamber of the indicator; whether to adopt IGI, please refer Justification for adoption in the Excel format)*

**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. (C5.2 P&C V4)

**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.
Verifier:

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, subject to operational, costs and quality considerations.

Verifier:

**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**. (C5.1 P&C V4)

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

*(Comments are invited from stakeholders on placement of this indicator under Principle 7.*

Verifier:

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

Verifier:

**L 5.5.2** The Organization demonstrates the long term economic viability of its management operations.

**H 5.5.2.** The Organization undertakes a periodic review of the economics of the operations, including present income generation activities, present and proposed investments, cash flow and adherence to management objectives, to ensure that the economic viability of the Organization is maintained in the long term.

Go to Annex C.
**PRINCIPLE 6: ENVIRONMENTAL VALUES\* AND IMPACTS**

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

**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. (new)

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

**Verifiers:**

| L 6.1.1 | The Organization engages with local stakeholders and the MU neighbors to identify the environment values within and outside the management unit that are, or may be, affected by management activities. |

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

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

**Verifiers:**

| L 6.1.2 | The Organization is aware of the negative impacts of its management activities on the environmental values and the necessary mitigation/conservation measures. |

**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. (C6.1 P&C V4)

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

**Verifiers:**
<table>
<thead>
<tr>
<th>Indicator 6.2.2.</th>
<th>The environmental impact assessment identifies and assesses the impacts of the management activities prior to the start of site-disturbing activities.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Verifiers:</td>
<td></td>
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</table>

| 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. (C6.1 P&C V4) |

| Indicator 6.3.1. | Management activities are planned and implemented to prevent negative impacts and to protect environmental values, as mentioned in criteria 6.1. |
| Verifiers:      |                                                                                                                                 |

| Indicator 6.3.2. | Management activities prevent negative impacts to environmental values. Management activities are designed and, where needed, modified, based upon the results of the environmental impact assessments. |
| Verifiers:      |                                                                                                                                 |

| 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, as per the recommendations of the Environmental Impact Assessment report. |
| Verifiers:      |                                                                                                                                 |

| Criterion 6.4. | The Organization shall protect rare species and threatened species and their habitats in the Management Unit through conservation zones, protection areas, |

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** Indicator 6.4.1.** Best Available Information* is used to identify rare and threatened species*, and their habitats*, including CITES species (where applicable) and those listed on national, regional and local lists of rare, endangered and threatened species* that are present or likely to be present within and adjacent to the Management Unit*. Verifiers:

** Indicator 6.4.2.** Rare, threatened and endangered species and their habitats or distribution areas within the FMU are identified and marked on maps. Verifiers:

** Indicator 6.4.3.** 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. Verifiers

** Indicator 6.4.4.** The rare, endangered and threatened species* and their habitats* are protected, including through the provision of conservation zones*, protection areas*, connectivity*, and other direct means for their survival and viability, such as species’ recovery programs. Verifiers

** Indicator 6.4.5.** Hunting, fishing, trapping and collection of rare or threatened species* is prohibited under section 9 of the Wildlife (Protection) Act, 1972 and is strictly implemented. Verifiers:

** Indicator 6.4.6.** Workers are aware of endangered, endemic, rare and threatened species of flora and fauna found in the Management Unit and are trained in their protection and conservation. Verifiers:

**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. (C6.4 and 10.5 P&C V4 and Motion 2014#7)

**NOTE:** By default, riparian zones do not qualify to be included in the Conservation Area Network. Riparian zones may however be included, if those areas fully meet the definitions of representative sample areas, conservation zones, protection areas, connectivity as exemplified by wildlife corridors, providing the riparian zones are not disproportionately represented in the Conservation Area Network. Riparian zones "created" or planted for purely functional roles, e.g. erosion control should be excluded.

<table>
<thead>
<tr>
<th>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 *, or in areas adjacent to the Management Unit.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Verifiers:</strong></td>
</tr>
<tr>
<td>H 6.5.1. The Organization undertakes a third-party assessment to identify native ecosystems* that exist, or would exist under natural conditions* within the Management Unit *, or in areas adjacent to the Management Unit.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Indicator 6.5.2. Representative Sample Areas* of native ecosystems* are protected, where they exist.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Verifiers:</strong></td>
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</table>

<table>
<thead>
<tr>
<th>Indicator 6.5.3. Where Representative Sample Areas* do not exist, or where existing sample areas inadequately represent native ecosystems*, or are otherwise insufficient, a proportion of the Management Unit* is restored* to more natural conditions*.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Verifiers:</strong></td>
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</table>

<table>
<thead>
<tr>
<th>Indicator 6.5.4. The size of the Representative Sample Areas* and/or restoration* areas are 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.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Verifiers:</strong></td>
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</table>

<table>
<thead>
<tr>
<th>L.6.5.4 Where it is not possible to conserve a portion of the management unit as a Representative Sample Area, the Organization shall endeavor to support in the conservation of a similar area outside the management unit.</th>
</tr>
</thead>
</table>

| 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*.

Verifiers:

**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. (C6.2 and C6.3 P&C V4)

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

Verifiers

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

Verifiers:

Indicator 6.6.3. Management maintains, enhances, or restores* habitat features* associated with native ecosystems*, to support the diversity of naturally occurring species and their genetic diversity.

Verifiers:

Indicator 6.6.4. Effective measures are taken to prevent hunting, fishing, trapping and collecting activities, to ensure that naturally occurring native species*, their diversity within species and their natural distribution are maintained, unless otherwise mentioned in laws/legal/customary rights.

Verifiers:

**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. (C6.5 and 10.2 P&C V4)

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. These include, at a minimum:

a. Establishing buffer zones to conserve water and soil at the banks of rivers and streams or around water bodies; these buffer zones are marked on the FMU maps.
b. Avoiding severe damage to catchments within the forests
c. Control of any soil disturbing activities in areas with slope greater than 30%
d. Ensuring adequate vegetation cover using native vegetation or cover crops on clear felled or recently cleared areas etc.

Verifiers:

Indicator 6.7.2. Where implemented protection* measures do not protect watercourses*, water bodies*, riparian zones* and their connectivity*, water quantity or water quality from impacts of forest* management, restoration activities are implemented.
Verifiers:

Indicator 6.7.3 Where natural watercourses, water bodies*, riparian zones* and their connectivity*, water quantity or water quality have been damaged by past activities on land and water by The Organization*, restoration activities* are implemented.
Verifiers:

Indicator 6.7.4. Where continued degradation exists to watercourses*, water bodies*, water quantity and water quality caused by previous managers and the activities of third parties, measures are implemented that prevent or mitigate this degradation.
Verifiers:

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. (C10.2 and 10.3 P&C V4)

Indicator 6.8.1. Written guidelines for the maintenance, conservation and enhancement of biological diversity (ecosystem/landscape/species/genetic diversity) are developed and implemented.
Verifiers:

Indicator 6.8.2. A varying mosaic of species, sizes, ages, spatial scales*, and regeneration cycles is maintained appropriate to the landscape*.
Verifiers:

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*, the organization incorporates the conservation of native biological diversity, including species, wildlife habitats and ecological community types at stand and landscape levels.
Verifiers:

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. (C6.10 P&C V4 and Motion 2014#7)

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

Verifiers:

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. (C10.9 P&C V4)

Indicator 6.10.1. The Organization collects information and data on all conversions that have happened in the Management unit, both prior to and post 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*.
Go to Annex D.

**PRINCIPLE 7: MANAGEMENT PLANNING**

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

**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. (C7.1a P&C V4)

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

*Verifiers:*

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

*Verifiers:*

**Indicator 7.1.3.** Sufficient resources in plan development and implementation are invested, to ensure the development of a functional, effective and implementable management plan, containing all elements of Annex E.

**Indicator 7.1.4.** The long term strategic objectives, medium term goals as well as the near term tactical direction are included in the management plan

*Verifiers:*

**L. 7.1.4.** Summaries of the defined policies and management objectives* are included in the management plan*.
**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. (C7.1 P&C V4)

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

Verifiers:

7.2.1 L. The Organization has defined the actions, procedures, strategies and measures to achieve the management objectives.

7.2.2. In addition to the elements listed in Annexe E, the management plan also addresses the following elements:

i) Land ownership details and use rights

ii) Site specific plans for nurseries and plantations

iii) responsibility matrix

Verifiers:

Indicator 7.2.3. Appropriate to the scale and intensity of forest operations, the management, staff as well as contractors are trained in their roles in implementation of the management plan.

Verifiers:

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

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

Verifiers

**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. (C7.2 P&C V4)

Indicator 7.4.1. The management plan* is revised and updated periodically consistent with Annex F to incorporate:
1) Monitoring* results, including results of certification audits;
2) Evaluation results;
3) Stakeholder engagement* results;
4) New scientific and technical information, and
5) Changing environmental, social, or economic circumstances.

Verifiers:

**Indicator 7.5.2. H** - While revising and updating the management plan, the Organization refers to the previous management plans w.r.t. outputs of management cycles, previous direction of management, major deviations from past plans as well as the results of previous plan implementation.

Verifiers:

**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. (C7.4 P&C V4)

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

**Verifiers:**

**L 7.5.1.** A summary of the management is made available to stakeholders

**Indicator 7.5.2.** The public summary of the management plan is updated periodically, at a frequency appropriate to the scale and intensity of operations and as defined by the organization in 7.4.1.

**Verifiers:**

**Indicator 7.5.3.** Relevant components of the management plan*, excluding confidential information*, are available to affected stakeholders* on request at the actual costs of reproduction and handling.

**Verifiers:**

**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. (C4.4 P&C V4)

**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

*(Need inputs from stakeholders for engaging affected stakeholders in culturally appropriate engagement process.)*

Verifiers:

<table>
<thead>
<tr>
<th>7.6.2 Culturally appropriate* engagement* is used to:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Determine appropriate representatives and contact points (including where appropriate, local institutions, organizations and authorities);</td>
</tr>
<tr>
<td>2) Determine mutually agreed communication channels allowing for information to flow in both directions;</td>
</tr>
<tr>
<td>3) Ensure all actors (women, youth, elderly, minorities) are represented and engaged equitably;</td>
</tr>
<tr>
<td>4) Ensure all meetings, all points discussed and all agreements reached are recorded;</td>
</tr>
<tr>
<td>5) Ensure the content of meeting records is approved; and</td>
</tr>
<tr>
<td>6) Ensure the results of all culturally appropriate* engagement* activities are shared with those involved.</td>
</tr>
</tbody>
</table>

Verifiers:

**L. 7.6.2.** The Organization engages neighboring communities and adjacent landowners to ensure the elements of 7.6.1 1)-5) are incorporated in the planning and management strategies.

**H. 7.6.2** The Organization undertakes a process of stakeholder mapping to identify the universe of affected stakeholders. Culturally appropriate* engagement* is used to:

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

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.

Verifiers:

Go to Annex E.

Go to Annex F.

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**PRINCIPLE 8: MONITORING AND ASSESSMENT**

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

**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. (new)

**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*.

Verifiers:

L. 8.1.1. Written records of the results of the monitoring against pre-defined indicators are maintained, for a time appropriate to the scale and intensity of management operations.

Verifiers:

8.1.2 Monitoring protocols and procedures are designed to be consistent with management objectives and replicable over time.

(Stakeholders may suggest dropping or retaining this indicator)

Verifiers:

8.1.3 Written records of the results of the monitoring against pre-defined indicators shall be maintained, for a time period appropriate to the scale and intensity of forest management operations.

(Stakeholders may suggest dropping or retaining this indicator)

Verifiers:
<table>
<thead>
<tr>
<th><strong>Criterion 8.2.</strong> The Organization shall monitor and evaluate the environmental and social impacts of the activities carried out in the Management Unit, and changes in its environmental condition. (C8.2 P&amp;C V4)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Indicator 8.2.1.</strong> The social and environmental impacts of management activities are monitored* consistent with Annex G.</td>
</tr>
<tr>
<td>Verifiers:</td>
</tr>
<tr>
<td>L. 8.2.1. The Organization is aware of the social and environmental impacts of its management activities.</td>
</tr>
<tr>
<td>Verifiers:</td>
</tr>
<tr>
<td><strong>Indicator 8.2.2.</strong> Changes in environmental conditions are monitored* consistent with Annex G.</td>
</tr>
<tr>
<td>Verifiers:</td>
</tr>
<tr>
<td><strong>Criterion 8.3</strong> The Organization shall analyse the results of monitoring and evaluation and feed the outcomes of this analysis back into the planning process. (C8.4 P&amp;C V4)</td>
</tr>
<tr>
<td><strong>Indicator 8.3.1.</strong> Adaptive management* procedures are implemented so that monitoring* results feed into periodic updates to the planning process and the resulting management plan*.</td>
</tr>
<tr>
<td>Verifiers:</td>
</tr>
<tr>
<td><strong>Indicator 8.3.2.</strong> The Organization institutes a system of periodic management review of monitoring indicators in achieving the objectives of forest management.</td>
</tr>
<tr>
<td>Verifiers:</td>
</tr>
<tr>
<td>8.3.3. If monitoring* results show non-conformities with the FSC Standard then management objectives*, verifiable targets* and / or management activities are revised.</td>
</tr>
<tr>
<td>Verifiers:</td>
</tr>
<tr>
<td><strong>Criterion 8.4.</strong> The Organization shall make publicly available a summary of the results of monitoring free of charge, excluding confidential information*. (C8.5 P&amp;C V4)</td>
</tr>
<tr>
<td><strong>Indicator 8.4.1.</strong> A summary of the monitoring* results consistent with Annex G, in a format comprehensible to stakeholders including maps and excluding confidential information* is made publicly available* at no cost for the duration of the certificate</td>
</tr>
<tr>
<td>Verifiers:</td>
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<tr>
<td>8.4.1 L. The Organization, upon request, makes available the results of its moni-</td>
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</table>
Verifiers:

**Indicator 8.4.2.** Appropriate to the scale and intensity of operations, The Organization specifies a time frame for the periodic update of the public summary of monitoring results.

Verifiers:

**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. (C8.3 P&C V4)

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

Verifiers:

**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 produced; and
7) Whether or not the material was sold as FSC certified.

Verifiers:

**Indicator H. 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) Sale date
7) Balance summary (logged, sold, unsold inventory, balance in coupe due for felling that season etc.)
8) If basic processing activities take place in the forest, the date and volume produced; and
9) Whether or not the material was sold as FSC certified.

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

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

8) Name and address of the Organization

Verifiers:

**Indicator L. 8.5.3.** Sales invoices or similar documentation and transport documents 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) Product description;
4) The volume (or quantity) sold;
5) Certificate code; and
6) The FSC Claim “FSC 100%” identifying products sold as FSC certified.

*Go to Annex G.*
**PRINCIPLE 9: HIGH CONSERVATION VALUES**

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

<table>
<thead>
<tr>
<th>Criterion 9.1.</th>
<th><strong>The Organization</strong>, 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:</th>
</tr>
</thead>
<tbody>
<tr>
<td>HCV 1</td>
<td>Species diversity. Concentrations of biological diversity including endemic species, and rare, threatened or endangered species, that are significant at global, regional or national levels.</td>
</tr>
<tr>
<td>HCV 2</td>
<td>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.</td>
</tr>
<tr>
<td>HCV 3</td>
<td>Ecosystems and habitats. Rare, threatened, or endangered ecosystems, habitats or refugia.</td>
</tr>
<tr>
<td>HCV 4</td>
<td>Critical ecosystem services. Basic ecosystem services in critical situations, including protection of water catchments and control of erosion of vulnerable soils and slopes.</td>
</tr>
<tr>
<td>HCV 5</td>
<td>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.</td>
</tr>
<tr>
<td>HCV 6</td>
<td>Cultural values. Sites, resources, habitats and landscapes of global or national cultural, archaeological or historical significance, and/or of critical cultural, ecological, economic or religious/sacred importance for the traditional cultures of local communities or Indigenous Peoples, identified through engagement with these local communities or Indigenous Peoples. (C9.1 P&amp;C V4 and Motion 2014#7)</td>
</tr>
</tbody>
</table>

**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 (Annex I), and their condition.

**Verifiers:**

**Indicator L 9.1.1.** The Organization consults with environmental stakeholders and researchers as well as use the information available with the MU managers to identify and demarcate HCV areas.
**Indicator H.9.1.1.** The Organization shall consult with stakeholders, researchers and government officials to identify and record the location and status of HCVs. Further, in addition to the above, the Organization shall also utilize the following:

i) the WWF-Proforest HCVF assessment toolkit,

ii) provisions in Schedule 1-6 of the Wildlife (protection) Act, 1972.

iii) Forest Inventory data and FSI reports

iv) National Conservation databases

v) State Biodiversity Document and Biodiversity Register according to Biodiversity Act, 2002

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**Indicator 9.1.2.** The assessment uses results from culturally appropriate* engagement* (Annex I) 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. (C9.2 P&C V4)

**Indicator 9.2.1.** Threats to High Conservation Values* are identified using Best Available Information* (Annex I).

Verifiers:

**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* (Annex I) prior to implementing potentially harmful management activities.

Verifiers:

**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*, by verifiable process.

Verifiers:

**Indicator 9.2.4.** The strategies developed are effective to maintain and/or enhance the High Conservation Values*.

Verifiers:

---

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

**Indicator 9.3.1.** The High Conservation Values* and the High Conservation Value Are-
as on which they depend are maintained and/or enhanced, including by implementing the strategies developed (Annex I).

Verifiers:

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

Verifiers:

**Indicator L.9.3.2.** The Organization ensures that its management activities do not damage or disturb the High Conservation Values.

Verifiers:

Indicator 9.3.3. Activities that harm High Conservation Values* cease immediately and actions are taken to restore* and protect the High Conservation Values*.

Verifiers

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

Indicator 9.4.1. A program of periodic monitoring* (Annex I) assesses:

1) Implementation of strategies;
2) The status of High Conservation Values* including High Conservation Value Areas* on which they depend; and
3) The effectiveness of the management strategies and actions for the protection* of High Conservation Value* to fully maintain and/or enhance the High Conservation Values*.

Verifiers:

Indicator 9.4.2. The monitoring* program includes engagement* with affected* and interested stakeholders* and experts.

Verifiers:

Indicator 9.4.3. The monitoring* program has sufficient scope, detail and frequency to detect changes in High Conservation Values*, relative to the initial assessment and status identified for each High Conservation Value*.

Verifiers:

**Indicator H.9.4.4.** Measurable effectiveness indicators in monitoring program
records the changes in the HCV attributes because of management activities, both positive and negative. The effectiveness of conservation actions is measured based on the progress on these indicators.

**Verifiers:**

**Indicator 9.4.5** Management strategies and actions are adapted when monitoring* or other new information shows that these strategies and actions are insufficient to ensure the maintenance and/or enhancement of High Conservation Values*.

**Verifiers:**

**Indicator 9.4.6.** The summary of the results of monitoring and the progress on management of the HCV attributes is made publicly available.

**Verifiers:**

**Indicator L. 9.4.6.** The Organization, on request, make available the results of its HCV management and monitoring results to affected and interested stakeholders.

*Go to Annex H.*
**PRINCIPLE 10: IMPLEMENTATION OF MANAGEMENT ACTIVITIES**

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

**(new)**

**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. (new)

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.

Verifiers:

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* using ecologically well-adapted species;
2) For harvest of natural forests*, regenerate to pre-harvest* or to more natural conditions*; or
3) For harvest of degraded natural forests*, regenerate to more natural conditions*.

Verifiers:

**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. (C10.4 and C10.8 P&C V4)

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*.

Verifiers:

**Indicator 10.2.2.** Where native species of local provenance are not found suitable, the Organization introduces non-native species and/or provenances only after documented field trials or empirical evidence demonstrates their suitability to the site as well as fulfillment of management objectives.

**Indicator 10.2.3.** Species chosen for regeneration are consistent with the regeneration objectives* and with the management objectives*.

Verifiers:

**Indicator 10.2.4.** Information about the seed stock and/or provenance details are recorded and
**Criterion 10.3.** The Organization shall only use alien species when knowledge and/or experience have shown that any invasive impacts can be controlled, and effective mitigation measures are in place. (C6.9 and C10.8 P&C V4)

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

Verifiers:

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

Verifiers:

**Indicator 10.3.3.** Species which are known to be invasive in the ecological conditions of the management unit are not introduced.

Verifiers:

Indicator 10.3.4. Management activities are implemented, preferably in cooperation with separate regulatory bodies where these exist, with an aim to control the invasive impacts of alien species* that were not introduced by The Organization*.

Verifiers:

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

Indicator 10.4.1. Genetically modified organisms* are not used.

Verifiers

**Criterion 10.5** The Organization shall use silvicultural practices that are ecologically appropriate for the vegetation, species, sites and management objectives. (new)

Indicator 10.5.1. Silvicultural practices are implemented that are ecologically appropriate for the vegetation, species, sites and management objectives*.

Verifiers

**Indicator 10.5.2** Prescriptions for the establishment, tending, maintenance and harvest of forest areas is designed and implemented with considerations for soil health and productivity.

*(Need comments from stakeholders on retaining this or merging with 10.5.1)*

Verifiers:

**Criterion 10.6.** The Organization shall minimize or avoid the use of fertilizers. When
Fertilizers are used, The Organization shall demonstrate that use is equally or more ecologically and economically beneficial than use of silvicultural systems that do not require fertilizers, and prevent, mitigate, and/or repair damage to environmental values, including soils. (C10.7 P&C V4 and Motion 2014#7)

**Indicator 10.6.1. The use of chemical fertilizers* is minimized or avoided.**

Verifiers:

Indicator 10.6.2. When fertilizers* are used, their ecological and economic benefits are equal to or higher than those of silvicultural systems that do not require fertilizers*.

Verifiers:

Indicator 10.6.3. When fertilizers* are used, their types, rates, frequencies and site of application are documented.

Verifiers:

Indicator 10.6.4. When fertilizers* are used, environmental values* are protected, including through implementation of measures to prevent damage.

Verifiers:

Indicator 10.6.5. Damage to environmental values* resulting from fertilizer* use is mitigated or repaired.

Verifiers:

**Criterion 10.7** The Organization shall use integrated pest management and silviculture systems which avoid, or aim at eliminating, the use of chemical pesticides. The Organization shall not use any chemical pesticides prohibited by FSC policy. When pesticides are used, The Organization shall prevent, mitigate, and/or repair damage to environmental values and human health. (C6.6 and C10.7 P&C V4)

Indicator 10.7.1. Integrated pest management, including selection of silviculture* systems, is used to avoid, or aim to eliminate, the frequency, extent and amount of chemical pesticide* applications, and result in non-use or overall reductions in applications.

Verifiers

Indicator 10.7.2. Chemical pesticides* prohibited by FSC’s Pesticide Policy are not used or stored in the Management Unit* unless FSC has granted derogation.

Verifiers

Indicator 10.7.3. Records of pesticide* usage are maintained, including trade name, active ingredient, quantity of active ingredient used, period of use, location and area of use and reason for use.

Verifiers:

Indicator 10.7.4. The use of pesticides* complies with the ILO document “Safety in the
use of chemicals at work” regarding requirements for the transport, storage, handling, application and emergency procedures for cleanup following accidental spillages.

**Verifiers:**

**Indicator 10.7.5.** If pesticides* are used, application methods minimize quantities used, while achieving effective results, and provide effective protection* to surrounding landscapes*.

**Verifiers:**

**Indicator 10.7.6.** Damage to environmental values* and human health from pesticide* use is prevented and mitigated or repaired where damage occurs.

**Verifiers:**

**Indicator 10.7.7.** When pesticides* are used:
1) The selected pesticide*, application method, timing and pattern of use offers the least risk to humans and non-target species; and
2) Objective evidence demonstrates that the pesticide* is the only effective, practical and cost effective way to control the pest.

**Verifiers:**

**Indicator 10.7.8.** The Organization provides adequate supervision and training to all personnel and contractors in the transport, storage, manipulation and application of chemical pesticides.

**Verifiers:**

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

**Indicator 10.8.1** The use of biological control agents* is minimized, monitored* and controlled.

**Verifiers**

**Indicator 10.8.2** Use of biological control agents* complies with internationally accepted scientific protocols*.

**Verifiers**

**Indicator 10.8.3** The use of biological control agents* is recorded including type, quantity, period, location and reason for use.

**Verifiers**

**Indicator 10.8.4** Damage to environmental values* caused using biological control agents* is prevented and mitigated or repaired where damage occurs.

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

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

Verifiers:

**Indicator 10.9.2.** Management activities mitigate these impacts

Verifiers:

**Indicator L10.9.2.** Management activities attempt to, mitigate these impacts, or if not possible, undertake measures to reduce the intensity of impacts.

Verifiers:

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

Verifiers:

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

Verifiers:

**Indicator L.10.9.4.** The Organization undertakes measures to reduce the impacts from identified risks, either by itself, or in alignment with activities undertaken by local government agencies or existing mechanisms.

Verifiers:

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**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. (C6.5 P&C V4)

Indicators 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.

Verifiers:

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

Verifiers:

Indicators 10.10.3. Disturbance or damages to water courses*, water bodies*, soils, rare and threatened species*, habitats*, ecosystems* and landscape values* are prevented, mitigated and repaired in a timely manner*, and management activities modi-
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. (C5.3 and C6.5 P&C V4)

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.

Verifiers:

Indicator 10.11.2. **Harvesting practices minimize wastage, optimize the use of forest* products and merchantable materials.**

Verifiers:

Indicator 10.11.3. Log landings and on-site processing (if any) are kept to the smallest practical size and number, while avoiding loss to the ecology as well as loss of productive forest area.

Verifiers:

Indicator 10.11.4. The Organization establishes field guidelines for **in situ** retention of biomass left on site (including lops and tops, leaves, stumps, small branches etc.), consistent with the nature of the species and the terrain. The guidelines shall recognize the ecological value of the biomass and its role in recycling of nutrients.

Verifiers:

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

Verifiers:

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

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

Verifiers:

**Indicators 10.12.2 Contingency procedures are established for prevention and control and further cleanup following spills or accidents involving chemical pesticides, oils, fuels and other chemicals.**
Verifiers:
8. Annexes to a Forest Stewardship Standard

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

The following is the minimum list of applicable laws, regulations and nationally-ratified international treaties, conventions and agreements, in FSC-STD-60-004(International Generic Indicators).

<table>
<thead>
<tr>
<th>1. Legal* rights to harvest</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 Land tenure* and management rights</td>
</tr>
<tr>
<td>1.2 Concession licenses</td>
</tr>
<tr>
<td>1.3 Management and harvesting planning</td>
</tr>
<tr>
<td>1.4 Harvesting permits</td>
</tr>
</tbody>
</table>

2. Taxes and fees

<p>| 2.1 Payment of royalties and harvesting fees | Legislation covering payment of all legally required forest* harvesting specific fees such as royalties, stumpage fees and other volume-based fees. This includes payments of the fees based on the correct classification of quantities, qualities and species. Incorrect classification of forest* products is a well-known issue that is often combined |</p>
<table>
<thead>
<tr>
<th>2.2 Value added taxes and other sales taxes</th>
<th>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).</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.3 Income and profit taxes</td>
<td>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.</td>
</tr>
<tr>
<td>3. Timber harvesting activities</td>
<td>Any legally required personal protection* equipment for persons involved in harvesting activities, implementation of safe felling and transport</td>
</tr>
<tr>
<td>3.1 Timber harvesting regulations</td>
<td>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.</td>
</tr>
<tr>
<td>3.2 Protected sites and species</td>
<td>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*.</td>
</tr>
<tr>
<td>3.3 Environmental requirements</td>
<td>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.</td>
</tr>
<tr>
<td>3.4 Health and safety</td>
<td>Legally required personal protection* equipment for persons involved in harvesting activities, implementation of safe felling and transport</td>
</tr>
</tbody>
</table>
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).

| 3.5 Legal* employment | 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. |

4. Third parties' rights

| 4.1 Customary rights* | Legislation covering customary rights* relevant to forest* harvesting activities, including requirements covering the sharing of benefits and indigenous rights. |
| 4.2 Free Prior and Informed Consent* | 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. |
| 4.3 Indigenous Peoples’ rights | 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. |

5. Trade and transport

NOTE: This section covers requirements for forest* management operations as well as processing and trade.

| 5.1 Classification of species, quantities, qualities | Legislation regulating how harvested material is classified in terms of species, volumes and qualities in connection with trade and transport. Incorrect classification of harvested material is a well-known method to reduce or avoid payment of legally prescribed taxes and fees. |
| 5.2 Trade and transport | All required trading and transport permits shall* exist as well as legally required transport documents which accompany the transport of wood from forest* operations. |
| 5.3 Offshore trading and transfer pricing | Legislation regulating offshore trading. Offshore trading with related companies placed in tax havens, combined with artificial transfer prices is a well-known way to avoid payment of legally prescribed taxes |
and fees to the country of harvest and is considered to be an important source of funds that can be used for payment of bribery to the forest operations and personnel involved in the harvesting operation. 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.

5.4 Custom regulations

Custom legislation covering areas such as export/import licenses and product classification (codes, quantities, qualities and species).

5.5 CITES

CITES permits (the Convention on International Trade in Endangered Species of Wild Fauna and Flora, also known as the Washington Convention).

6. Due diligence / due care

6.1 Due diligence / due care procedures

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

7. Ecosystem Services

Legislation covering 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).

Annex B

Training requirements for workers.

Workers shall be able to:

- Implement forest activities to comply with applicable legal requirements (Criterion 1.5);
- Understand the content, meaning and applicability of the eight ILO Core Labour Conventions (Criterion 2.1);
- Recognize and report on instances of sexual harassment and gender discrimination (Criterion 2.2);
- Safely handle and dispose of hazardous substances to ensure that use does not pose health risks (Criterion 2.3);
- Carry out their responsibilities for particularly dangerous jobs or jobs entailing a special responsibility (Criterion 2.5);
Identify where Indigenous Peoples have legal and customary rights related to management activities (Criterion 3.2);

Identify and implement applicable elements of UNDRIP and ILO Convention 169 (Criterion* 3.4);

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);

Identify where local communities have legal and customary rights related to management activities (Criterion 4.2);

Carry out social, economic and environmental impact assessments* and develop appropriate mitigation measures (Criterion* 4.5);

Implement activities related to the maintenance and/or enhancement of declared ecosystem services* (Criterion* 5.1);

Handle, apply and store pesticides* (Criterion* 10.7); and

Implement procedures for cleaning up spills of waste materials* (Criterion* 10.12).

Annex C (Optional annex)

Note that this annex is needed only when National Forest Stewardship Standards allows for certificate holders to make promotional claims on maintaining ecosystem services. SDGs are required to adapt, adopt or drop this annex as needed.

Additional Requirements for Ecosystem Services.

Standard   Development Groups should adopt Annex C

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

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

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

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

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

I. General Indicators

1) A publicly available Ecosystem Services Certification Document is developed and includes:
   I. A declaration of the ecosystem services for which a promotional claim is being or will be made;
   II. A description of the current condition of the declared ecosystem services;
   III. Legal tenure to manage, use and/or receive payments for declared ecosystem services;
   IV. Management objectives related to maintenance and/or enhancement of declared ecosystem services;
   V. Verifiable targets related to maintenance and/or enhancement of declared ecosystem services;
   VI. Management activities and strategies related to declared ecosystem services;
   VII. Areas within and outside of the Management Unit that contribute to the declared ecosystem services;
   VIII. Threats to the declared ecosystem services within and outside of the Management Unit;
   IX. A description of management activities to reduce the threats to declared ecosystem services within and outside of the Management Unit;
   X. A description of the methodology used to evaluate the impacts of management activities on the declared ecosystem services within and outside of the Management Unit, based on the FSC Procedure for Demonstrating the Impact of Forest Stewardship on Ecosystem Services;
   XI. A description of monitoring results related to the implementation of management activities and strategies related to the maintenance and/or enhancement of declared ecosystem services;
   XII. A description of results of the evaluation of impacts of activities and threats on the declared ecosystem services;
   XIII. A list of communities and other organizations involved in activities related to the declared ecosystem services; and
   XIV. A summary of culturally appropriate engagement with Indigenous Peoples and local communities, related to the declared ecosystem services including ecosystem services access and use, and benefit sharing, consistent with Principle 3 and Principle 4.

2) The results of the evaluation of impacts demonstrate that verifiable targets for the mainte-
nance 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

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

a) All services

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

b) Carbon Sequestration and Storage

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

   I. Forests are identified to be protected due to their carbon stocks, according to the FSC Guidance for Maintaining and Enhancing Ecosystem Services.
   II. Management activities maintain, enhance or restore carbon storage in the forest; including through forest protection and reduced impact logging practices for carbon, as described in the FSC Guidance for Maintaining and Enhancing Ecosystem Services.

c) Biological Diversity Conservation

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

i. Management activities maintain, enhance or restore:
   a. Rare and threatened species and their habitats, including through the provision of conservation zones, protection areas, connectivity, and other direct means for their survival and viability; and
   b. Natural landscape-level characteristics, including forest diversity, composition and structure.

ii. The conservation area network, and conservation areas outside the Management Unit:
   a. Represents the full range of environmental values in the Management Unit;
   b. Has sufficient size or functional connectivity, to support natural processes;
   c. Contains the full range of habitats present for focal species and rare and threatened species; and
   d. Has sufficient size or functional connectivity with other suitable habitat to support viable populations of focal species including rare and threatened species in the region.

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

d) Watershed Services

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

i. An assessment identifies:
   a. Hydrological features and connections, including permanent and temporary water bodies, watercourses, and aquifers;
   b. Domestic water needs for Indigenous Peoples and local communities within and outside of the Management Unit that may be impacted by management activities;
   c. Areas of water stress and water scarcity; and
   d. Consumption of water by The Organization and other users.

2) Measures are implemented to maintain, enhance or restore permanent and temporary water bodies, watercourses, and aquifers;

3) Chemicals, waste and sediment are not discharged into water bodies, watercourses or aquifers; and
4) Management activities and strategies respect universal access to water, as defined in the UN resolution on the human right to water and sanitation

e) Soil Conservation
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:

- Vulnerable or high risk soils are identified, including thin soils, soils with poor drainage and subject to water logging, and soils prone to compaction, erosion, instability and run-off;
- Measures are implemented to reduce compaction, erosion and landslides;
- Management activities maintain, enhance or restore soil fertility and stability; and
- Chemicals and waste are not discharged into soil.

f) Recreational Services
Standards developers are instructed as follows: Standard Developers shall develop indicators to ensure that goods and services used by The Organizations seeking to make claims for recreational services prioritize locally sourced cultural goods and services. This means, for example, that artisanal crafts and locally grown food are preferred over more generic options that may also be available.

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

1) In addition to measures to assess, prevent, and mitigate negative impacts of management activities on social values identified in Principle 2 to Principle 5 and Principle 9, where promotional claims are made regarding recreational services, the following are demonstrated:

i. Measures are implemented to maintain, enhance or restore:
   a) Areas of importance for recreation and tourism including site attractions, archaeological sites, trails, areas of high visual quality and areas of cultural or historical interest; and
   b) Populations of species that are a tourist attraction.

ii. The rights, customs and culture of Indigenous Peoples and local communities are not violated by tourism activities;

iii. In addition to health and safety practices in Criterion 2.3, practices are implemented to protect the health and safety of tourism customers;

iv. Health and safety plans and accident rates are publicly available in recreational areas and areas of interest to the tourism sector; and

v. A summary is provided of activities that demonstrate prevention of discrimination based on gender, age, ethnicity, religion, sexual orientation or disability.

Annex D (Optional annex)
Conservation Area Network Conceptual Diagram.
<table>
<thead>
<tr>
<th>Management Unit level</th>
<th>Intensity of Management</th>
<th>Landscape level</th>
</tr>
</thead>
<tbody>
<tr>
<td>Large</td>
<td>Highly Natural</td>
<td>Few Protection Areas</td>
</tr>
<tr>
<td>Scale of Management Unit</td>
<td>Intensive Forestry</td>
<td>Ecosystem Status / Value in Landscape</td>
</tr>
<tr>
<td>Small</td>
<td>10%</td>
<td>Many Protected Areas</td>
</tr>
</tbody>
</table>

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

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

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

**Annex E: Elements of the Management Plan.**

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 F: Conceptual Framework for Planning and Monitoring. (Optional annex)

<table>
<thead>
<tr>
<th>Sample Management Plan*</th>
<th>Management Plan* Revision Periodicity</th>
<th>Element Being Monitored (Partial List)</th>
<th>Monitoring Periodicity</th>
<th>Who Monitors This Element? (Note: These will vary with SIR and jurisdiction)</th>
<th>FSC Principle* / Criterion*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Site Plan (Harvest Plan)</td>
<td>Annual</td>
<td>Creek crossings</td>
<td>When in the field and annually</td>
<td>Operational staff</td>
<td>P10</td>
</tr>
<tr>
<td>Sample Management Plan* Document Note: These will vary with SIR and jurisdiction</td>
<td>Management Plan* Revision Periodicity</td>
<td>Element Being Monitored (Partial List)</td>
<td>Monitoring Periodicity</td>
<td>Who Monitors This Element? (Note: These will vary with SIR and jurisdiction)</td>
<td>FSC Principle* / Criterion*</td>
</tr>
<tr>
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</tr>
<tr>
<td>Roads</td>
<td>When in the field and annually</td>
<td>Operational staff</td>
<td>P10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Retention patches</td>
<td>Annually sample</td>
<td>Operational staff</td>
<td>P6, P10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Rare Threatened and Endangered species</td>
<td>Annually</td>
<td>Consulting Biologist</td>
<td>P6</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Annual harvest levels</td>
<td>Annually</td>
<td>Woodlands Manager</td>
<td>C5.2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Insect disease outbreaks</td>
<td>Annually, sample</td>
<td>Consulting Biologist / Ministry of Forests</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Budgeting</td>
<td>Annual</td>
<td>Expenditures</td>
<td>Annually</td>
<td>Chief Financial Officer</td>
<td>P5</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>General Manager</td>
<td>P5</td>
</tr>
<tr>
<td>Engagement* Plan</td>
<td>Annual</td>
<td>Employment statistics</td>
<td>Annually</td>
<td>General Manager</td>
<td>P3, P4</td>
</tr>
<tr>
<td>Social Agreements</td>
<td>Annually, or as agreed in Engagement* Plan</td>
<td>Social Coordinator</td>
<td>P3, P4</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grievances</td>
<td>Ongoing</td>
<td>Human Resources Manager</td>
<td>P2, P3, P4</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5-Year management plan*</td>
<td>5 years</td>
<td>Wildlife populations</td>
<td>To be determined</td>
<td>Ministry of Environment</td>
<td>P6</td>
</tr>
<tr>
<td>Coarse Woody Debris</td>
<td>Annually</td>
<td>Ministry of Forests</td>
<td>P10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Free growing / regeneration</td>
<td>Annually, sample</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sustainable Forestry management plan*</td>
<td>10 years</td>
<td>Age class distribution</td>
<td>Ten years</td>
<td>Ministry of Environment</td>
<td>P6</td>
</tr>
</tbody>
</table>
Annex G: Monitoring Requirements

1. Monitoring in 8.2.1 is sufficient to identify and describe the environmental impacts of management activities, including where applicable:

- The results of regeneration activities (Criterion 10.1);
- The use of ecologically well adapted species for regeneration (Criterion 10.2);
- Invasiveness or other adverse impacts associated with any alien species within and outside the Management Unit (Criterion 10.3);
- The use of genetically modified organisms to confirm that they are not being used (Criterion 10.4);
- The results of silvicultural activities (Criterion 10.5);
- Adverse impacts to environmental values from fertilizers (Criterion 10.6);
- Adverse impacts from the use of pesticides (Criterion 10.7);
- Adverse impacts from the use of biological control agents (Criterion 10.8);
- The impacts from natural hazards (Criterion 10.9);
- The impacts of infrastructural development, transport activities and silviculture to rare and threatened species, habitats, ecosystems, landscape values, water and soils (Criterion 10.10);
- 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
- 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:

- Evidence of illegal or unauthorized activities (Criterion 1.4);
- Compliance with applicable laws, local laws, ratified international conventions and obligatory codes of practice (Criterion 1.5);
- Resolution of disputes and grievances (Criterion 1.6, Criterion 2.6, Criterion 4.6);
- Programs and activities regarding workers’ rights (Criterion 2.1);
- Gender equality, sexual harassment and gender discrimination (Criterion 2.2);
- Programs and activities regarding occupational health and safety (Criterion 2.3);
• Payment of wages (Criterion 2.4);
• **Workers**’ training (Criterion 2.5);
• Where *pesticides* are used, the health of **workers** exposed to pesticides (Criterion 2.5 and Criterion 10.7);
• The identification of **Indigenous Peoples** and **local communities** and their **legal** and **customary rights** (Criterion 3.1 and Criterion 4.1);
• Full implementation of the terms in **binding agreements** (Criterion 3.2 and Criterion 4.2);
• **Indigenous Peoples** and community relations (Criterion 3.2, Criterion 3.3 and Criterion 4.2);
• **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);
• The use of **traditional knowledge** and **intellectual property** (Criterion 3.6 and Criterion 4.8);
• Local economic and social development (Criterion 4.2, Criterion 4.3, Criterion 4.4, Criterion 4.5);
• The production of diversified benefits and/or products (Criterion 5.1);
• The maintenance and/or enhancement of **ecosystem services** (Criterion 5.1);
• Activities to maintain or enhance ecosystem services (Criterion 5.1);
• Actual compared to projected annual harvests of timber and **non-timber forest products** (Criterion 5.2);
• The use of local processing, local services and local value added manufacturing (Criterion 5.4);
• **Long term economic viability** (Criterion 5.5); and
• **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
Annex H: Strategies for maintaining High Conservation Values. *(Refer HCV Framework in document package)*

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

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

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

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

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

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 I: HCV Framework

<table>
<thead>
<tr>
<th>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.</th>
</tr>
</thead>
<tbody>
<tr>
<td>IDENTIFICATION OF HCV 1</td>
</tr>
<tr>
<td>1. Description of Best Available Information in the country for identifying HCV1:</td>
</tr>
<tr>
<td>2. Description of interested and affected stakeholders:</td>
</tr>
<tr>
<td>3. Description of culturally appropriate engagement for identifying HCVs:</td>
</tr>
<tr>
<td>4. Examples of rare/threatened / endangered species in the country</td>
</tr>
<tr>
<td>5. Geographic areas where HCV1 is likely present:</td>
</tr>
<tr>
<td>6. Maps of HCV1 areas in the country:</td>
</tr>
<tr>
<td>7. Threats to HCV1 areas in the country:</td>
</tr>
</tbody>
</table>

| STRATEGIES FOR MAINTAINING HCV1 |
| 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. |
| 2) Where enhancement is identified as the objective*, measures to develop, expand, and/or restore* habitats* for such species are in place. |

| MONITORING HCV1 |
| 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. |
**IDENTIFICATION OF HCV 2**

1. Description of Best Available Information in the country for identifying HCV2:

2. Description of interested and affected stakeholders:

3. Examples of HCV2 areas in the country:

4. Geographic areas where IFLs or other types of HCV2 is likely present:

IFLs are present in Angola, Argentina, Australia, Belize, Bhutan, Bolivia, Brazil, Brunei, Cambodia, Cameroon, Canada, Central African Republic, Chile, China, Colombia, Congo DRC, Costa Rica, Cote d'Ivoire, Dominican Rep, Ecuador, Equatorial Guinea, Ethiopia, Finland, French Guiana, Gabon, Georgia, Guatemala, Guyana, Honduras, India, Indonesia, Japan, Kazakhstan, Laos, Liberia, Madagascar, Malaysia, Mexico, Mongolia, Myanmar, New Zealand, Nicaragua, Nigeria, Norway, Panama, Papua N Guinea, Paraguay, Peru, Philippines, Repl. Congo, Russia, Solomon Islands, Suriname, Sweden, Tanzania, Thailand, Uganda, United States, Venezuela and Vietnam.

See IFL shape files: https://www.dropbox.com/s/o4icmu9uujn3nvw/IFL_final_data_UMD_20150121.zip?dl=0

In the absence of a robust process, reliable science and consensus orientated outcome connected to the implementation of Motion 65 (GA2014), the default IFL protection threshold shall be 80% of the of the *Intact Forest Landscapes* within the *Management Unit*

5. Maps of HCV2 areas in the country:

6. Threats to HCV2 areas in the country:

**STRATEGIES FOR MAINTAINING HCV2**

1) 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*.

2) 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.

3) 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.

4) The core area of each Intact Forest Landscape* within the Management Unit* is protected, comprising at least 80% of the Intact Forest Landscapes within the Management Unit (Motion 65, GA2014).

**MONITORING HCV2**
<table>
<thead>
<tr>
<th>HCV4 – Critical ecosystem services. Basic ecosystem services in critical situations, including protection of water catchments and control of erosion of vulnerable soils and slopes.</th>
</tr>
</thead>
<tbody>
<tr>
<td>IDENTIFICATION OF HCV4</td>
</tr>
<tr>
<td>1. Description of Best Available Information in the country for identifying HCV4:</td>
</tr>
<tr>
<td>STRATEGIES FOR MAINTAINING HCV4</td>
</tr>
<tr>
<td>3) 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 part of critical ecosystems.</td>
</tr>
<tr>
<td>MONITORING HCV4</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>HCV3 – Ecosystems and habitats. Rare, threatened, or endangered ecosystems, habitats, or refugia.</th>
</tr>
</thead>
<tbody>
<tr>
<td>IDENTIFICATION OF HCV3</td>
</tr>
<tr>
<td>1. Description of Best Available Information in the country for identifying HCV3:</td>
</tr>
<tr>
<td>2. Description of Interested and affected stakeholders:</td>
</tr>
<tr>
<td>3. Examples of HCV3 ecosystems and habitats in the country:</td>
</tr>
<tr>
<td>4. Geographic areas where HCV3 is likely present:</td>
</tr>
<tr>
<td>5. Maps of HCV3 areas in the country:</td>
</tr>
<tr>
<td>6. Threats to HCV3 areas in the country:</td>
</tr>
<tr>
<td>STRATEGIES FOR MAINTAINING HCV3</td>
</tr>
<tr>
<td>1) Strategies that fully maintain the extent and integrity of rare or threatened ecosystems, habitats, or refugia.</td>
</tr>
<tr>
<td>2) Where enhancement is identified as the objective, measures to restore and/or develop rare or threatened ecosystems, habitats, or refugia are in place.</td>
</tr>
<tr>
<td>MONITORING HCV3</td>
</tr>
</tbody>
</table>

| HCV5 – 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. |
### IDENTIFICATION OF HCV5

1. Description of Best Available Information in the country for identifying HCV5:
2. Description of Interested and affected stakeholders:
3. Examples of HCV5 sites and resources fundamental for local communities in the country:
4. Geographic areas where HCV5 is likely present:
5. Maps of HCV5 areas in the country:
6. Threats to HCV5 areas in the country:

### STRATEGIES FOR MAINTAINING HCV5

1) 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*.

### MONITORING HCV5

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.

### IDENTIFICATION OF HCV6

1. Description of Best Available Information in the country for identifying HCV6:
2. Description of Interested and affected stakeholders:
3. Examples of HCV6 significant cultural values in the country:
4. Geographic areas where HCV6 is likely present:
5. Maps of HCV6 areas in the country:
6. Threats to HCV6 areas in the country:

### STRATEGIES FOR MAINTAINING HCV6

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

### MONITORING HCV6
Annex J: List of rare and threatened species in the country or region

9. 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 identi-
fied 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 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.


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, imple-mentation and updating of the management plan* (Source: FSC-STD-01-001 V5-0).

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

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

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

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

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

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

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

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

**Forest:** Forest in Indian context and for the implementation of FSC NFSS can be any of the following:


- Forest area means, the area recorded as “Forest” in government records in India

- The word forest must be understood according to its dictionary meaning “a large area of land covered with trees and plants, usually larger than a wood, or the trees and plants themselves” (Source – Cambridge Dictionary)
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)).


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
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.


For implementation of this standard the Indigenous people will defined separately as India has not adopted the UN definition for Indigenous People. Indigenous People and other forest dwellers in India are recognized by means of the following 3 legal statutes:

a) Scheduled Tribes, as per the provisions of The Constitution (Scheduled Tribes) Order, 1950
b) Other forest dwellers, as recognized under provisions of The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Thresholds and guidelines may cover areas such as:

- Other vegetation types and non-forest communities and ecosystems included in the Management Unit, including grassland, bushland, wetlands, and open woodlands;
- Very young pioneer or colonizing regeneration in a primary succession on new open sites or abandoned farmland, which does not yet contain many of the principal characteristics and key elements of native ecosystems. This may be considered as natural forest through ecological progression after the passage of years;
- Young natural regeneration growing in natural forest areas may be considered as natural forest, even after logging, clear-felling or other disturbances, since many of the principal characteristics and key elements of native ecosystems remain, above-ground and below-ground;
- Areas where deforestation and forest degradation have been so severe that they are no
longer ‘dominated by trees’ may be considered as non-forest, when they have very few of the principal above-ground and below-ground characteristics and key elements of natural forests. Such extreme degradation is typically the result of combinations of repeated and excessively heavy logging, grazing, farming, fuelwood collection, hunting, fire, erosion, mining, settlements, infrastructure, etc. FSC Forest Stewardship Standards may help to decide when such areas should be excised from the Management Unit, should be restored towards more natural conditions, or may be converted to other land uses.

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

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

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


**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).


**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**: Any 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)
- Any Tree outside forest area (TOF), areas under agroforestry, farm forestry, social forestry, bund plantations, Linear plantations and bamboo plantations will be considered as plantation for the implementation of this National Forest Stewardship Standard.

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

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

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

**Protection**: See definition of Conservation.

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

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

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

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

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

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

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

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

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

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

The Organization* is not necessarily obliged to restore those environmental values that have been affected by factors beyond the control of The Organization, for example by natural disasters, by climate change, or by the legally authorized activities of third parties, such as public infrastructure, mining, hunting or settlement. FSC-POL-20-003 The Excision of Areas from the Scope of Certification describes the processes by which such areas may be excised from the area certified, when
appropriate.
The Organization is also not obliged to restore environmental values that may have existed at some time in the historic or pre-historic past, or that have been negatively affected by previous owners or organizations. However, The Organization is expected to take reasonable measures to mitigate, control and prevent environmental degradation which is continuing in the Management Unit as a result of such previous impacts.

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

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

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

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

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

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

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

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

**Stakeholder**: See definitions for ‘affected stakeholder’ and ‘interested stakeholder’.

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

**Tenure**: Socially defined agreements held by individuals or groups, recognized by legal* statutes or customary practice, regarding the ‘bundle of rights and duties’ of ownership, holding, access and/or usage of a particular land unit or the associated resources there within (such as individual trees, plant species, water, minerals, etc.) (Source: World Conservation Union (IUCN). Glossary defini-
tions 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 table is usually at or near the surface or the land is covered by shallow water (Source: Cowarding, 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).