



Forest Stewardship Council®



# The FSC Interim National Standard of Botswana

***FSC-STD-BW-01-2022 All Forests\_draft\_02***



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From left to right:




Photo 1: Savinja river, Slovenia, ©Milan Reška.

Photo 2: Pile of sawn boards. ©Arturo Escobar.

Photo 3: Worker in a forest operation. ©Arturo Escobar.

**NOTE ON THIS ENGLISH VERSION:**

*This is the official version of the FSC National Forest Stewardship Standard that is approved by FSC International Center, and it is available at [ic.fsc.org](http://ic.fsc.org). Any translation of this version is not an official translation approved by FSC International Center. If there is any conflict or inconsistency between the approved English version and any translated version, the English version shall prevail.*

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<sup>1</sup> The transition period is the timeline in which there is a parallel phase-in of the new version and phase-out of the old version of the standard. Six (6) months after the end of the transition period, certificates issued against the old version are considered invalid.



## Foreword

(Informative section)

### 1 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.

FSC 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 National Forest Stewardship Standards and Interim National 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 conformance with FSC's standards.

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.

### 2 The FSC Principles and Criteria

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

There is no hierarchy between the Principles or between Criteria. They share equal status, validity and authority, and apply jointly and severally at the level of the individual Management Unit.

The FSC Principles and Criteria together with the IGI provide the basis for the development of National Forest Stewardship Standards (NFSS) and Interim National Standards (INS).

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## A Preamble

### A.1 Objective

(Informative section)

The objective of this standard is to provide a set of requirements for:

1. The Organization to implement responsible forest management within their Management Unit and to demonstrate conformance.
2. FSC accredited certification bodies (CBs) to determine conformity against this standard as the basis for awarding or maintaining forest management certification.

### A.2 Scope

(Normative section)

This standard shall be applied in the following scope:

<b>Geographic region</b>	Botswana
<b>Forest types</b>	Natural Forests and Plantations
<b>Ownership types</b>	Private, Public, and Community forests
<b>Scale and intensity categories</b> (according to section 6 of FSC-STD-60-002)	<b>SLIMF</b> - <100 Hectares <b>Medium</b> 100 – 10,000 Hectares; and <b>Large</b> – >10,000 Hectares
<b>Forest products</b> (according to FSC-STD-40-004a)	Biomass and NTFP

### A.3 Responsibility for Conformance

(Normative section)

The requirements in this standard cover all of The Organization's management activities that are related to the Management Unit, whether within the Management Unit or outside; whether directly undertaken or contracted out.

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

National standards are to be used in conjunction with international, national and local laws and regulations.

Where there might be situations of conflict between the requirements in this standard and laws, specific FSC procedures will apply.

Responsibility for ensuring conformity with the requirements in this standard lies with the person(s) or entities that is/are the certification applicant or holder. For the



purpose of FSC certification these person(s) or entities are referred to as 'The Organization'.

The Organization is responsible for decisions, policies and management activities related to the Management Unit.

The Organization is also responsible for demonstrating that other persons or entities that are permitted or contracted by The Organization to operate in, or for the benefit of the Management Unit, conform to the requirements in this standard.

The Organization is required to take corrective actions in the event of such persons or entities not being in conformance with the requirements in this standard.

#### **A.4 Note on the use of indicators, annexes and verifiers**

(Normative section)

Normative elements in the standard are:

Scope, effective date, validity period, glossary of terms, principles, criteria, indicators, tables and annexes, (as well as other addenda which might be produced in association with this standard) unless indicated otherwise).

Not normative elements in the standard that can be used for guidance only, are:

Verifiers, notes, guideline and examples which are attached to some of the indicators (as well as other guidance/applicability notes which might be produced in association with this standard).

Normative elements that have been greyed out are not applicable in the country but are kept in the standard for transparency.

Organizations managing Management Units qualifying as SLIMF (small or low-intensity managed forest(s)) shall conform with all indicators in the standard. Where specific SLIMF indicators exist (marked as e.g. "SLIMF 3.5.1"), these Organizations shall conform with them instead.

SLIMF eligibility criteria	National threshold
Small Management Units	Up to 100 hectares
Low intensity Management Units	The rate of harvesting is less than 20% of the mean annual increment (MAI) within the total production forest area of the unit, AND EITHER the annual harvest from the total production forest area is less than 5000 cubic meters, OR the <i>average</i> annual harvest from the total production forest is less than 5000 m <sup>3</sup> / year during the period of validity of the certificate as verified by harvest reports and surveillance audits.

Organizations including NTFPs in their certification scope shall conform with all indicators in the standard. Where specific NTFP indicators exist (marked as e.g. "NTFP 3.5.1"), these Organizations shall conform with them in addition.

### **Verbal forms for the expression of provisions**

[Adapted from *ISO/IEC Directives Part 2: Rules for the structure and drafting of International Standards*]

“shall”: indicates requirements strictly to be followed in order to conform with the standard; ‘shall not’ indicates a prohibition.

“should”: indicates that among several possibilities one is recommended as particularly suitable, without mentioning or excluding others, or that a certain course of action is preferred but not necessarily required. The Organization can meet these requirements in an equivalent way provided this can be demonstrated and justified.

“may”: indicates a course of action permissible within the limits of the standard; ‘need not’ indicates that a specified course of action is not a requirement.

“can”: is used for statements of possibility and capability, whether material, physical or causal.

In the text of the sections F and G, the terms for which a definition is provided in the annex of Glossary of terms are formatted in italics and marked with an *asterisk*\*

This document is subject to the review and revision cycle as described in FSC-PRO-60-007 EN *Structure, Content and Development of Interim National Standards*.

## **A.5 Interpretations and Disputes**

(Normative section)

Interpretation requests regarding Interim National Standards are submitted directly to FSC for processing and approval. Approved interpretations are published in the international FSC website (see: INT-STD-60-006\_01).

Disputes between stakeholders concerning certification requirements are managed by FSC dispute resolution procedure (see: FSC-PRO-01-008).

## **B Context**

### **B.1 General description of the forestry sector**

(Informative section)

Botswana is endowed with the diversity of both the herbaceous and woody vegetation that provides a wide range of goods and services that satisfies the needs of the nation at large. This includes fuelwood, timber, edible and medicinal plants. In addition, forests perform ecosystem services such as groundwater recharge, wildlife refuge, biodiversity maintenance and carbon sequestration. Forests are classified according to the type of land tenure system in which they are located, hence there are forests in State land / protected areas, which include most Forest Reserves, National Parks, Game Reserves and Wildlife Management Areas], communal/tribal land, and freehold/private land.

Botswana has six gazetted Forest Reserves (FRs), namely Kasane, Kasane Extension, Chobe, Kazuma, Maikaelelo and Sibuyu. These FRs make about 1% of the total land area of the country (Central Statistics Office, 2004); they were created primarily to safeguard valuable timber resources.

The literature (e.g. Environmental Statistics 2000 and 2006, Miller and FAO) shows different sizes for the FRs, but the total estimated size is 4 000 to 4 500 km<sup>2</sup>. Chobe Forest Reserve is the largest (1 740.3 km<sup>2</sup>) followed by Sibuyu FR (1 175 km<sup>2</sup>). Kasane FR is the smallest (131.9 km<sup>2</sup>). The combined size of all the six FRs amounts to 4 372.6 km<sup>2</sup>. Small parts of the Kasane and Kazuma FR have been degazetted to accommodate settlement expansion. In total 42 km<sup>2</sup> has been degazetted or around 1% of the total FR area. Most of these areas have been preserved as high conservation areas with

Forest resources have a direct use value in terms of jobs and income generation to society as well as the provision of goods and services, namely: wood and non-wood products; food and medicinal plants; and opportunities for recreation, education, cultural and spiritual activities. Indirect uses of forests are often forgotten, until these functions are threatened and result in reduced direct uses or have to be taken over by human activities. Valuation studies of the Okavango Delta and Makgadikgadi wetlands have shown that the indirect use values are significant

Botswana forestry sector is governed and guided by national and international policy and legislative instruments, which seek to promote conservation and sustainable utilisation of forest resources. The Botswana Forest Act (1968), provides for the better regulation and protection of forests and forest produce in Botswana and matters incidental there to. The Act is aimed at the protection of areas designated as forest reserves, and calls for the protection of trees declared as 'protected timber trees' that fall within areas designated as state land. Botswana has ratified 10 Multilateral Environmental Agreements (MEAs) dealing with the key issues of climate change, drought and desertification, biological diversity and waste management. Botswana has also adopted three strategic plans: a National Action Plan under the United Nations Convention on Biological Diversity, the Okavango Delta Management Plan and the Makgadikgadi Framework Management Plan. The Okavango Delta is a Ramsar site.

A number of strategies and programmes relevant and also related to the forestry sector have been developed; and these are the Management of Indigenous Vegetation for the Rehabilitation of Degraded Rangelands, Sustainable Land Management, and Capacity Building for Conservation of the Okavango Delta (Botswana Wetland).

## **B.2 Background information on the standard development**

(Informative section)

[ This Interim National Standard (INS) was developed by Technical Working Group (TWG) made up of SGS and FSC Southern Africa. The process also engaged a facilitator who compiled the first and final document which was circulated for wider consultation among stakeholders. Comments were received and included in the final INS. ]

## C References

(Informative section)

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

FSC-POL-20-003	<i>FSC Policy on the Excision of Areas from the Scope of Certification</i>
FSC-POL-30-001	<i>FSC Pesticides Policy</i>
FSC-POL-30-602	<i>FSC Interpretation on GMOs: Genetically Modified Organisms</i>
FSC-STD-20-007	<i>Forest Management Evaluations</i>
FSC-STD-30-005	<i>FSC Standard for Group Entities in Forest Management Groups</i>
FSC-PRO-01-008	<i>Processing Complaints in the FSC Certification Scheme</i>
FSC-PRO-30-006	<i>Ecosystem Services Procedure: Impact Demonstration and Market Tools</i>
FSC-DIR-20-007	<i>FSC Directive on FSC Forest Management Evaluations</i>
FSC-GUI-30-003	<i>FSC Guidelines for the implementation of the right to Free, Prior and Informed Consent (FPIC)</i>
FSC-GUI-60-005	<i>Promoting Gender Equality in National Forest Stewardship Standards</i>

**Note:** When applying this standard, consider relevant interpretations by inquiring with local FSC representatives (e.g. National Offices or representatives, or FSC's Performance and Standards Unit, if no national FSC presence exists), or your certification body. International interpretations are available through the FSC Document Centre (<https://fsc.org/en/document-centre>).

## D List of abbreviations

(Informative section)

BAI	-	Best Available Information
CBD	-	Convention on Biological Diversity
CITES	-	Convention on international trade in endangered species of flora and fauna
DEA	-	Department of Environment Affairs
HCVRN	-	High Conservation Values Resource Network
HVC	-	High Conservation Values
IUCN	-	International Union for Conservation of Nature
ORI-UB	-	Okavango Research Institute of the University of Botswana
OKACOM	-	Okavango River Basin Water Commission
RTE	-	Rate Threatened and Endangered
SLIMF	-	Small and Low Intensity Management Forests
UNEP	-	United Nations Environment Programme
UNESCO	-	United Nations Educational, Scientific and Cultural Organization
UNDP	-	United Nations Development Programme

## **E Version history**

(Informative section)

[ The Interim National Standard (INS), is a new standard with no previous FSC versions. The initial INS is given Version Number as V.1-0. ]

## F **Principles\*, criteria\* and indicators\***

(Normative section)

### **PRINCIPLE\* 1: COMPLIANCE WITH LAWS**

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

**1.1 The Organization\*** shall be a legally defined entity with clear, documented and unchallenged **legal registration\***, with written authorization from the **legally competent\*** authority for specific activities.

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

*Verifiers: National reports and ratification of various conventions and treaties*

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

*Verifiers: Registrations documents those are legally acceptable* |

**1.2 The Organization\*** shall demonstrate that the **legal\*** status of the **Management Unit\***, including **tenure\*** and **use rights\***, and its boundaries, are clearly defined.

1.2.1 *Legal\* tenure\** to manage and use resources within the scope of the certificate is documented.

NTFP 1.2.1 *Legal\* tenure\** to manage and use resources including harvesting and processing of *non-timber forest products\** within the scope of the certificate is documented.

1.2.2 *Legal\* tenure\** is granted by a *legally competent\** authority according to legally prescribed processes.

1.2.3 The boundaries of all *Management Units\** within the scope of the certificate are clearly marked or documented and clearly shown on maps. |

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

1.3.1 All activities undertaken in the *Management Unit\** are carried out in compliance with:

- 1) *Applicable laws\** and regulations and administrative requirements,
- 2) *Legal\** and *customary rights\**; and
- 3) *Obligatory codes of practice\**.



NTPF 1.3.1 All activities including harvesting and processing of *non-timber forest products\** undertaken in the *Management Unit\** are carried out in compliance with:

- 1) *Applicable laws\** and regulations and administrative requirements,
- 2) *Legal\** and *customary rights\**; and
- 3) *Obligatory codes of practice\**.

1.3.2 Payment is made in a *timely manner\** of all applicable legally prescribed charges connected with *forest management\**.

1.3.3 Activities covered by the *management plan\** are designed to comply with all *applicable laws\**.

**1.4 *The Organization\** shall develop and implement measures, and/or shall engage with regulatory agencies, to systematically protect the *Management Unit\** from unauthorized or illegal resource use, settlement and other illegal activities.**

1.4.1 Measures are implemented to provide *protection\** from unauthorized or illegal harvesting, hunting, fishing, trapping, collecting, settlement and other unauthorized activities.

1.4.2 Where *protection\** is the *legal\** responsibility of regulatory bodies, a system is implemented to work with these regulatory bodies to identify, report, control and discourage unauthorized or illegal activities.

**Verifiers:** Regular patrols to minimize unauthorized access to the Management Units; marking/fencing on the ground, visible posting signage posts.

1.4.3 If illegal or unauthorized activities are detected, measures are implemented to address them.

**Verifiers:** Organization reports, Regular patrols, discussion with managers

**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.**

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

**Verifiers:** *National reports and ratification of various conventions and treaties*

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

**Verifiers:** *National reports and ratification of various conventions and treaties*

**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\*.**

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

**Verifiers:** Discussion with stakeholders, discussion with managers

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.

**Verifiers:** Dispute records, Discussion with managers, interviews with affected stakeholders

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

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

**Verifiers:** Interviews with Organization's senior management, Record of disputes including the explanation of reasons/difficulties of unresolved issues,.

1.6.4 Operations cease in areas where disputes\* exist:

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

**Verifiers:** Interviews with Managers, Interviews with affected stakeholders

**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.**

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

**Verifiers:** Review of Organization's Policy, interviews with managers

SLIMF 1.7.1 A written or verbal declaration not to give or receive bribes (money) or to engage in other forms of corruption is communicated to neighbours and customers.

1.7.2 The policy meets or exceeds related legislation.

**Verifiers:** Review of Organization Policy, Interviews with managers

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

**Verifiers:** Evidence of public availability e.g., Public notice, digital platforms meeting minutes and decisions, interviews with Organization's senior management and stakeholders

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

**Verifiers:** Evidence of disciplinary action, audit reports, interviews with senior management, received whistle blowing evidences.

1.7.5 Corrective measures are implemented if corruption does occur.

**Verifiers:** Evidence of disciplinary action, interviews with Organizations' senior management

SLIMF 1.7.5 Corrective measures are implemented if corruption does occur.

**Verifiers:** Records of punishment and corrective measures taken, records of incidences, and various stakeholders.

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.

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.

**Verifiers:** Management plan with commitments in consistence with FSC Principles and Criteria and related Policies and Standards

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

**Verifiers:** Evidence from public notice and digital platforms, Management plan and evidence of its availability to the public

## **PRINCIPLE\* 2: WORKERS\* RIGHTS AND EMPLOYMENT CONDITIONS**

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

**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\*.**

2.1.1 *The Organization\** shall not use *child\** labour.

2.1.1.1 *The Organization\** shall not employ *workers\** below the age of 15, or below the *minimum age\** as stated under national, or local laws or regulations, whichever age is higher, except as specified in 2.1.1.2.

2.1.1.2 In countries where the *national law\** or regulations permit the employment of persons between the ages of 13 to 15 years in *light work\** such employment should not interfere with schooling nor, be harmful to their health or development. Notably, where children are subject to compulsory education laws, they shall work only outside of school hours during normal day-time working hours.

**Note:** *Contracting age in light work should not be below 15 years for children in Botswana*

2.1.1.3 No person under the age of 18 is employed in *hazardous\** or *heavy work\** except for the purpose of training within approved *national laws\** and regulation.

**Note:** *Under the Children Act of Botswana, "child" means a person under the age of 18 years*

2.1.1.4 *The Organization\** shall prohibit *worst forms of child labour\**.

**Verifiers:** *Employment contracts, interviews with workers*

2.1.2 *The Organization\** shall eliminate all forms of forced and *compulsory labour\**.

2.1.2.1 Employment relationships are voluntary and based on mutual consent, without threat of a penalty.

**Verifiers:** *Employment contracts, interviews with workers*

2.1.2.2 There is no evidence of any practices indicative of forced or *compulsory labour\**, including, but not limited to, the following:

- Physical and sexual violence
- Bonded labour
- Withholding of wages /including payment of employment fees and or payment of deposit to commence employment
- Restriction of mobility/movement
- Retention of passport and identity documents

- Threats of denunciation to the authorities.

**Verifiers:** *Employment contracts or agreements, payroll, pay slip, interviews with workers.*

2.1.3 *The Organization\** shall ensure that there is no *discrimination\** in employment and occupation.

2.1.3.1 *Employment and occupation\** practices are non-discriminatory.

**Verifiers:** *Nondiscriminatory Labour Policy in the Organization's documents. For example: Management plan, meeting proceedings and associated decisions, interview with workers, interview with other stakeholders.*

2.1.4 *The Organization\** shall respect freedom of association and the right to *collective bargaining\**.

2.1.4.1 *Workers\** are able to establish or join *worker organizations\** of their own choosing.

2.1.4.2 *The Organization\** respects the rights of *workers\** to engage in lawful activities related to forming, joining or assisting a *workers' organization\**, or to refrain from doing the same; and will not discriminate or punish workers for exercising these rights.

2.1.4.3 *The Organization\** negotiates with lawfully established *workers' organizations\** and/ or duly selected representatives in *good faith\** and with the best efforts to reach a *collective bargaining\** agreement.

2.1.4.4 *Collective bargaining\** agreements are implemented where they exist.

**Verifiers:** *Copies of Collective Bargaining Agreement (CBA), Payrolls and Salary Sheet, or any proof of payments, interview with workers*

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

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.

**Verifiers:** *Training reports and attendance register, Reports, Staff roster with gender segregated, interviews with workers*

2.2.2 Job opportunities are open to both women and men under the same conditions, and women are encouraged to participate actively in all levels of employment.

**Verifiers:** *Vacancy notice, organizational policy documents, interviews with stakeholders*

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.

**Verifiers:** *Training plan, training records, interviews with workers*

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

**Verifiers:** *Proof of/receipt of payment/salary payrolls, Interviews with workers,*

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

**Verifiers:** *Proof of payment, Mode of payment/agreement, employment letters, interviews with female workers*

2.2.6 Maternity leave is no less than a six-week period after childbirth.

**Verifiers:** *Provisions in organization's documents, job contracts, leave approval, Proof of payment, interviews with female workers,*

2.2.7 Paternity leave is available and there is no penalty for taking it.

**Verifiers:** *Paternity leave application and approval, pay slip, interviews with workers, provision in the organizations' documents , policy, job contracts*

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

**Verifiers:** *Composition of decision making body (e.g. Senior Management Team or committee), meeting minutes*

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.

**Verifiers:** *Organizational policy, interviews with workers*

**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.**

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

**Verifiers:** *Organization's Health and Safety policy, Records of health and safety trainings, Field observation of health and safety tools (e.g. first aid kits), records of health care services to workers, interviews with workers, risk assessment*

SLIMF 2.3.1 Each worker\* is informed about the health and safety measures corresponding to his/her activity and these meet the national health and safety regulations or exceed the ILO Code of Practice on Safety and Health in Forestry Work..

NTFP 2.3.1 Health and safety practices are developed and implemented for all workers\* including workers\* harvesting and processing of non-timber forest products\* that meet national health and safety regulations or exceed the ILO Code of Practice on Safety and Health in Forestry Work.

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

**Verifiers:** *Field observations of personal protection equipment (PPE), based on silvicultural operations such as forest fires, harvesting (e.g., masks, helmets spectacles, globes or safety boots), interviews with workers*

NTFP 2.3.2 Workers\*, including workers\* harvesting and processing of non-timber forest products\*, have personal protective equipment appropriate to their assigned tasks.

2.3.3 Use of personal protective equipment is enforced.

**Verifiers:** *Management reports on incidences that were due to lack of PPE, Field observations of personal protection equipment (PPE), based on silvicultural operations*

2.3.4 Records are kept on health and safety practices including accident rates and lost time to accidents.

**Verifiers:** *Management reports on incidents that were due to lack of PPE*

SLIMF 2.3.4 The use of health and safety measures by workers\* is checked .

**Verifiers:** *district forest office reports, managers*

2.3.5 The frequency and severity of accidents are consistently low compared to national forest\* industry averages, where is available.

**Verifiers:** *Incidents and Accidents records that compared to the national level*

SLIMF 2.3.5 Accident level is low compared to national industrial averages.

**Verifiers:** *Incidents and Accidents records that compared to the national level*



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

*Verifiers: Record of accidents, meeting minutes and decisions, interviews with workers, interviews with senior management, incident investigation records*

**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\*.**

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

*Verifiers: Wage order from the labor department, contract document, wages payment records, interviews with workers*

- 2.4.2 Wages paid meet or exceed:

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

*Verifiers: Wage payment records, interview with workers and employers*

- 2.4.3 ~~The minimum wage levels exist, wages established through culturally appropriate\* engagement\* with workers\* and/or formal and informal workers organizations\*.~~

*Verifiers: Interviews with workers, meeting minutes and decisions*

- 2.4.4 Wages, salaries and contracts are paid on time.

*Verifiers: Wages payment records, interviews with workers*

**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.**

- 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.

*Verifiers: Training plan, training records, photographs of the organized trainings and copies of certificates, interview with workers, field observation*



NTFP 2.5.1 *Workers\**, including *workers\** harvesting and processing of *non-timber forest products\**, have specific training and supervision to safely and effectively contribute to the implementation of the *management plan\** and all management activities.

**Verifiers:** *Training plan, training records, photographs of the organized trainings and copies of certificates, interview with workers, field observation*

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

**Verifiers:** *Training records, interviews with workers, interviews with senior management and trainers*

**2.6 The Organization\* through engagement\* with workers\* shall have mechanisms for resolving grievances and for providing fair compensation\* to workers\* for loss or damage to property, occupational diseases\*, or occupational injuries\* sustained while working for The Organization\*.**

2.6.1 A dispute\* resolution process is documented and developed through *culturally appropriate\* engagement\** with *workers\**.

**Verifiers:** *Dispute resolution policy and process, service agreement, meeting minutes and decisions, interviews with workers*

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

**Verifiers:** *Records of grievances including management decision, , interview with workers, Interviews with Organization management*

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

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

**Verifiers:** *Records of grievances including management decision, interviews with workers*

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

**Verifiers:** *Meeting minutes and decisions, interviews with workers, nature of compensation or any proof/receipts of compensation*

### **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.

**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.

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

*Verifiers: A specific list of Indigenous Peoples is clearly indicated in the Management plan, interviews with senior Organization management, interviews with identified Indigenous Peoples*

3.1.2 Through culturally appropriate\* engagement\* with the Indigenous Peoples\* identified in 3.1.1, 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 Indigenous Peoples\*, governments and/or others;
- 6) Summary of the means by which the legal\* and customary rights\* and contested rights, are addressed by The Organization\*; and
- 7) The aspirations and goals of Indigenous Peoples\* related to management activities, Intact Forest Landscapes\* and Indigenous cultural landscapes\*.
- 8) Their indigenous association(s) are identified and recognised

*NOTE: SLIMF that practice low intensity forest operation may not necessarily provide documents or maps for the issues mentioned above.*

*Verifiers: Management plan, records and meeting minutes, maps, interviews with IPs*

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

- 1) Their legal\* and customary rights\* of tenure\*;
- 2) Their legal\* and customary\* access to, and use rights\*, of the forest\* resources, non-timber forest products\* 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.
- 8) Their indigenous association(s) are identified and recognised |

**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\*.**

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\*.

**Verifiers:** Meeting minutes obtained from Organization management, Organization's monitoring report, Interviews with IPs

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

**Verifiers:** Interview with IPs, Field observation, grievance records

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

**Verifiers:** Record of grievance and resolution, management decisions, interview with IPs and interested stakeholders

3.2.4 *Free, Prior and Informed Consent\** is granted by *Indigenous Peoples\** prior to management activities that affect their identified rights through a process that includes:

- 1) Ensuring *Indigenous Peoples\** know their rights and obligations regarding the resource;
- 2) Informing the *Indigenous Peoples\** of the value of the resource, in economic, social and environmental terms;
- 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.

**Verifiers:** *FPIC document, records of training and awareness program, interviews with IPs, any meeting minutes that were set between Management of the Organization and IPs*

3.2.5 Where the process of *Free Prior and Informed Consent\** has not yet resulted in an *FPIC\** agreement, *the Organisation\** and the affected *Indigenous Peoples\** are engaged in a mutually agreed *FPIC\** process that is advancing, in *good faith\** and with which the community is satisfied.

**Verifiers:** *FPIC document, interviews with IPs, any meeting minutes that were set between Management of the Organization and IPs*

**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.**

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 as may be guided by the national policies..

**Verifiers:** *Signed Agreements, meeting minutes, interviews with IPs*

3.3.2 Records of *binding agreements\** are maintained by both Indigenous people and the Organization.

**Verifiers:** *Binding agreements, meeting minutes and any records related to these agreements*

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

*Verifiers: Signed Agreements, Organization reports, any associated meeting minutes, Social monitoring report involving indigenous people*

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

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*\*.

*Verifiers: Grievance records, commitments in the Management plan, interviews with IPs*

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

*Verifiers: Interviews with IPs, Grievance records, meeting minutes and decisions*

**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*\*.**

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

*Verifiers: Management plan, maps showing special cultural, ecological, economic, religious or spiritual of the IPs, interviews with IPs, field observation*

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

**Verifiers:** *Field observation, records of measures implemented, interviews with IPs, Annual monitoring program/plan,*

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

**Verifiers:** *Field observation, interview with IPs, Annual Monitoring Reports,*

- 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.

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

**Verifiers:** *FPIC document, Signed Agreement, Documentation including Management plan, record of indigenous knowledge, meeting minutes, interviews with IPs*

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

**Verifiers:** *Interviews with representatives of IPs, interviews with senior Management and their decisions, Proof of compensation and its nature of incentives*



## **PRINCIPLE\* 4: COMMUNITY RELATIONS**

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

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

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

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

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

**Verifiers:** *Management plan, Maps indicating areas where local communities can access their rights, List of rights, any records or meeting minutes, interview with representative of local communities*

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\***.

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

**Verifiers:** *Meeting minutes, report detailing steps taken to address concerns of local communities, interview, monitoring report*

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

**Verifiers:** *Management plan, field observation, grievance records, interviews with local communities*

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

**Verifiers:** *Record of grievance and dispute resolution processes that were undertaken, meeting minutes/records of corrective action*

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

- 1) Ensuring *local communities\** know their rights, obligations and benefits regarding the resource;
- 2) Informing the *local communities\** of the value of the resource, in economic, social and environmental terms;
- 3) Informing the *local communities\** of the benefits and 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.

**Verifiers:** *Detailed report on the process of achieving FPIC, interviews with representatives of local communities, Interviews with senior management of the Organization, Any meeting minutes,,*

4.2.5 Where the process of *Free Prior and Informed Consent\** has not yet resulted in an *FPIC\* agreement, the Organisation\* and the affected local communities \** are engaged in a mutually agreed *FPIC\* process that is advancing, in good faith\* and with which the community is satisfied.*

- **Verifiers:** *FPIC document, Memorandum of Agreement, interviews with local communities and proceedings with engaging local communities or meeting minutes*

4.3 **The Organization\* shall provide reasonable\* opportunities for employment, training and other services to local communities\*,**



**contractors and suppliers proportionate to *scale*\* and *intensity*\* of its management activities.**

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.

SLIMF 4.3.1 Preference is given to local people and services. |

**4.4 *The Organization*\* shall implement additional activities, through *engagement*\* with *local communities*\*, that contribute to their social and economic development, proportionate to the *scale*\*, *intensity*\* and socio-economic impact of its management activities.**

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

*Verifiers: Public notice e.g. job announcement, training records, employment record, interviews with workers, interviews with stakeholders*

SLIMF 4.4.1 Opportunities for local social and economic development are identified and implemented.

*Verifiers: Public notice e.g. job announcement, training records, employment record, interviews with workers, interviews with stakeholders*

*NOTE: SLIMF may not required to document or identify opportunities for local social and economic development*

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

SLIMF 4.4.2 Local products and services are used.

*Verifiers: Interviews with local communities* |

**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.**

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

*Verifiers: documented and reports of measures*

SLIMF 4.5.1.1 Measures are implemented to avoid and mitigate negative social, environmental and economic impacts of management activities on affected communities.

**Verifiers:** Record of mitigation measures and its implementation documented

SLIMF 4.5.1.2 Upon request, these measures are communicated to neighbours and adjacent landowners.

**Verifiers:** Interviews with local communities and affected stakeholders, regular monitoring reports, documented of mitigation measures, social impact assessment report

NTPF 4.5.1 Through *culturally appropriate\* engagement\** with *local communities\**, measures are implemented to identify, avoid and mitigate *significant\** negative social, environmental and economic impacts of management activities including impacts on *non-timber forest products\**.

**Verifiers:** Interviews with local communities and affected stakeholders, regular monitoring reports, documented of mitigation measures, social impact assessment report

**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\***.

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

**Verifiers:** Dispute resolution process publically available, Documented dispute resolution process, management decisions, interviews with stakeholders

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

**Verifiers:** Interviews with representatives of local communities and senior management of the Organization, Management decisions, Records of grievances and resolution

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

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

**Verifiers:** Record of grievances and resolution, interviews with senior management

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

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

*Verifiers: Field observation, interviews with senior management of the Organization, Interviews with local communities, meeting minutes and records of final decision of cessation*

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\**.

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

*Verifiers: Management plan, map showing Sites of special cultural, ecological, economic, religious or spiritual significance, interviews with managers, interviews with local communities field observation,*

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

*Verifiers: Field observations, interviews with managers, Reports or record of monitoring and measures implemented*

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

*Verifiers: Maps indicating new sites, Field observations, interviews with managers, Record of monitoring reports*

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.*

- 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\*.*

**Verifiers:** *Management plan, FPIC document, documented records of local communities' knowledge, interview with managers  
, interview with local communities*

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

**Verifiers:** *Proof of compensations, interviews with local communities*

## **PRINCIPLE\* 5: BENEFITS FROM THE FOREST\***

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

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

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

**Verifiers:** *Record of ecosystem products and services, provisions of in the Management plan, meeting minutes, interviews with Managers*

SLIMF 5.1.1 *The Organization\** has identified the range of resources and **ecosystem services\*** that could strengthen and diversify the local economy.

**Verifiers:** *Record of ecosystem products and services, provisions of in the Management plan, meeting minutes, interviews with Managers*

NTPF 5.1.1 The range of resources, **non-timber forest products\*** and **ecosystem services\*** that could strengthen and diversify the local economy are identified.

**Verifiers:** *Record of ecosystem products and services, provisions of in the Management plan, meeting minutes, interviews with Managers*

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

**Verifiers:** *Management plan, meeting minutes, harvest and distribution/sales records*

5.1.3 When **The Organization\*** uses FSC Ecosystem Services Claims, **The Organization\*** shall comply with applicable requirements in FSC-PRO-30-006.

**Verifiers:** *Ecosystem System as indicated in the Management plan*

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

5.2.1 **Timber harvesting levels\*** (where applicable and authorised) are based on approved management plan on growth and yield; inventory of the forest\*; mortality rates; and maintenance of **ecosystem functions\*\***.

**NOTE:** *Direct uses of the Forest Reserves are minimal since the 1992 suspension of timber logging and only limited use by surrounding communities is permitted for activities such as firewood collection and fruits gathering.*

**Verifiers:** *Management plan, annual plan, records of harvest and sales, interview with workers*

- 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.

**NOTE:** *Total estimated forest size in Botswana is relatively small between 4 000 to 4 500 km<sup>2</sup>. Direct uses of the Forest Reserves are minimal since the 1992 suspension of timber logging and only limited use by surrounding communities is permitted for activities such as firewood collection and fruits gathering*

**Verifiers:** *Management plan, harvest plan, harvesting records, interview with workers*

- 5.2.3 Actual annual harvest levels for timber and NTFP are recorded and the harvest over a defined period does not exceed the allowable cut determined by the *Management plan\** for the same defined period..

**Verifiers:** *Management plan, harvest plan, harvesting records, interview with managers*

- 5.2.4 For extraction of commercially harvested services and *non-timber forest products\** under *The Organization's\**, the maximum allowable annual harvest does not exceed the harvest levels as determined in Indicators 5.2.3 and based on *Best Available Information\**.

**NOTE:** *The maximum allowable cut may exceed growth rates for an Organization with a primary ecological restoration (environmental objective). The Organization has management procedures, records of implementation and monitoring records as per its restoration plan*

**Verifiers:** *Management plan, harvest plan, records, sales records, field observation, interviews with managers, BAI at regional and sub regionals*

- NTFP 5.2.4 For extraction of commercially harvested services and non-timber forest products\* under *The Organization's\** control a sustainable harvest level is calculated and adhered to. Sustainable harvest levels shall be based on approved *Management plan\**

**Verifiers:** *Management plan, harvest plan, records, sales records, field observation, interviews with managers* |

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

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

**Verifiers:** *Management plan, interviews with stakeholders*

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

*Verifiers: Management plan, interviews with stakeholders* |

**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.

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.

*Verifiers: Observation, records, interview with stakeholders, criteria for evaluating, price list of goods and services*

SLIMF 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.

NTPF 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 for NTFPs.

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

*Verifiers: Management plan, interview with stakeholders*

**5.5 The Organization\*** shall demonstrate through its planning and expenditures proportionate to *scale, intensity and risk\**, its commitment

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

*Verifiers: Management plan, financial plan, annual plan of actions*

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

*Verifiers: Management plan, financial plan, annual plan of actions*

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

*Verifiers: Annual financial reports, audit reports, financial records, interview with Organization managers* |





## **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.

**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.

6.1.1 *Best Available Information\** is used to identify *environmental values\** within the *Management Unit\** that are affected by management activities outside of the *Management Unit\**.

**Verifiers:** *Best available information from forest department,*

SLIMF 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:** *Best available information from forest department*

NTFP 6.1.1 *Best Available Information\** is used to identify *environmental values\** within, *Management Unit\** that are potentially affected by NTFP management activities,

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:** *Monitoring reports, interviews with Organizations' managers, interviews with stakeholders*

SLIMF 6.1.2 Assessments of *environmental values\** are conducted with a level of detail and frequency.

NTFP 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:** *Monitoring reports, interviews with Organizations' managers, interviews with stakeholders*

**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\**.**

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:** *Environmental Impact Assessment reports, Management plans*

**NOTE:** *The Landscape level for Botswana is defined in the Glossary of Terms*

SLIMF 6.2.1 Prior to implementing site-disturbing activities an assessment is conducted to identify possible adverse impacts from planned management activities.

NTFP 6.2.1 An *environmental impact assessment\** identifies potential present and future impacts of management activities on *environmental values\** and *non-timber forest products\**, within the *Management Unit\**.

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

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

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

**Verifiers:** *Management plan, annual implementation report, environmental checklist, interview with stakeholders, field observation*

NTFP 6.3.1 Management activities are planned and implemented to prevent negative impacts and to protect *environmental values\** and *non-timber forest products\**.

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

**Verifiers:** *Environmental performance checklist, Annual report, field observation, interview with stakeholders, field observation*

NTFP 6.3.2 Management activities prevent negative impacts to *environmental values\** and *non-timber forest products\**.

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.

**Verifiers:** *Annual implementation report, Environmental performance checklist, interviews with managers, interview with stakeholders, field observation*

NTFP 6.3.3 Where negative impacts to *environmental values\** and *non-timber forest products\** occur, measures are adopted to prevent further damage, and negative impacts are mitigated and/or repaired.

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

6.4.1 *Best Available Information\** is used to identify *rare and threatened species\**, and their *habitats\**, including CITES and IUCN Red listed species and those listed on national, regional and local lists of *rare and threatened species\** that are present or likely to be present within and adjacent to the *Management Unit\**.

**Verifiers:** *Management plan, List of rare, threatened and endangered species, monitoring and researchers' reports, interview with stakeholders and managers*

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

**Verifiers:** *Management plan, List of rare, threatened and endangered species, monitoring and researchers' reports, interview with stakeholders and managers*

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

**Verifiers:** *Management plan, maps, annual plan, field observation, monitoring report*

SLIMF 6.4.2 Management activities are designed or modified to avoid negative impacts to *rare and threatened species\**, and their *habitats\**.

**Verifiers:** *Management plan, maps, annual plan, field observation, monitoring report*

6.4.3 The rare and threatened species\* and their habitats\* are protected, including through the provision of conservation zones\*, protection areas\*, connectivity\*, for their survival and viability.

**Verifiers:** *Management plan, HCV maps, management decisions, Field observation, interviews with managers, environmental performance checklist*

SLIMF 6.4.3 The rare and *threatened species\** and their *habitats\** are protected, including through the provision of *conservation zones\**, *protection areas\**, *connectivity\**, and other direct means for their survival and viability, such as species' recovery programs.

**Verifiers:** *Management plan, HCV maps, management decisions, Field observation, interviews with managers, environmental performance checklist*

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

SLIMF 6.4.4 A system is in place to prevent hunting, fishing, trapping and collection of rare or *threatened species\**.

NTFP 6.4.4 Hunting, fishing, trapping and collection of rare or *threatened species\** including *non-timber forest products\** is prevented. |

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

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

**Verifiers:** *Research documents, Management plan, maps, Research and monitoring report, interviews with managers*

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

**Verifiers:** *Research documents, Management plan, maps, Research and monitoring report, interviews with managers*

- 6.5.2 *Representative Sample Areas\** of *native ecosystems\** are protected, where they exist.

**Verifiers:** *Maps, Management plan and field observation*

- 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\**.

**Verifiers:** *Maps, Management plan, Annual plan, field observation, interviews with managers*

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

**Verifiers:** *Management plan, maps, annual plan, field observation, interviews with managers*

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

**Verifiers:** *Management plan, maps, annual plan, field observation, interviews with managers*

- 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:** *Management plan, Annual plan, maps, field observation, interviews with Managers*

- 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.**

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

**Verifiers:** *Management plan, annual plan, management decisions, interview with managers, field observation*

- 6.6.2 Where past management has eliminated plant communities or *habitat features\**, management activities shall restore such *habitats\** as per management objectives.

**NOTE:** if objectives are related to bush thinning then restoration will be guided by the Management plan

**Verifiers:** Management plan, annual plan, interview with managers, field observation

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

**Verifiers:** Management plan, annual plan, interview with managers, field observation, biodiversity monitoring report

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

**Verifiers:** Management plan, annual plan, interview with managers, field observation, biodiversity monitoring report

- NTPF 6.6.4 Effective measures are taken to manage and control hunting, fishing, trapping and collecting activities to ensure that naturally occurring *native species\** including non-timber *forest products\**, their diversity within species and their natural distribution and maintained.

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

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**6.7 *The Organization\** shall *protect\** or *restore\** natural water courses, 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.**

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

**Verifiers:** *Protection of Water sources in the Management plan, Map showing water resources, interviews with Managers and field observation*



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

**Verifiers:** *Protection of Water sources in the Management plan, Map showing water resources, interviews with Managers and field observation*

6.7.3 Where natural *water courses*, *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:** *Record of damaged water sources by past activities, annual plan of operations, monitoring report, interviews with managers, field observation*

6.7.4 Where continued degradation exists to *water courses\**, *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:** *Management plan, annual plan, monitoring report, interviews with managers, field observation* |

**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\**.**

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

**Verifiers:** *Management plan, field observation, interviews with managers*

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\**.

**Verifiers:** *Management plan, annual plan of operations, biodiversity monitoring report, field observation,* |

**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\**.**

6.9.1 There is no conversion of *natural forest\** to *plantations\**, nor conversion of *natural forests\** to non-forest\* land use, nor

conversion of *plantations\** on sites directly converted from natural forest\* to non-forest\* land use, except when the conversion:

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

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

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

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

**Verifiers:** *Maps, Management plan, records of areas converted, interviews with senior management of the Organization*

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

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



## **PRINCIPLE\* 7: MANAGEMENT PLANNING**

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

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

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

**Verifiers:** *Vision, mission and objectives in management plan, and Organization's policy guideline*

SLIMF 7.1.1 Documentation that contribute to meeting the requirements of this standard are defined as indicated in 1.8.1 and 1.8.2.

**Verifiers:** *Vision, mission and objectives in management plan, group manager's policy guideline*

NTFP 7.1.1 Documentation related to NTFPs that contribute to meeting the requirements of this standard are defined as indicated in 1.8.1 and 1.8.2..

**Verifiers:** *Vision, mission and objectives in management plan, group manager's policy guideline*

7.1.2 Specific, operational management objectives\*, regulations and standard operation procedures that address the requirements of this standard are defined.

**Verifiers:** *Vision, mission and objectives in Management plan*

SLIMF 7.1.2 Specific, operational management objectives\*, regulations and standard operation procedure that address the requirements of this standard are defined.

**Verifiers:** *Vision, mission and objectives in Management plan*

NTFP 7.1.2 Specific, operational *management objectives\**, regulations and Standard Operation Procedures for NTFPs that address the requirements of this standard are defined.

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

**Verifiers:** *Management plan, Organization's standard operating procedures (SOP)*

NTFP 7.1.3 Summaries of the defined policies and *management objectives\**, regulations and Standard Operation Procedures for the NTFPs are included in the *management plan\** and publicized.

*Verifiers: Management plan, Organization's standard operating procedures (SOP)*

**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.**

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

*Verifiers: Management plan, Guidelines, Standard Operating Procedures*

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

*Verifiers: Management plan, Guidelines, Standard Operating Procedures*

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

*Verifiers: Management plan, Guidelines, Standard Operating Procedures*

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

*Verifiers: Management plan, Implementation reports as per Annex E*

SLIMF 7.2.2 The *management plan\** addresses the elements listed in Annex E, and is implemented.

*Verifiers: Management plan, Implementation reports as per Annex E*

NTFP 7.2.2 The *management plan\** of NTFPs addresses the elements listed in Annex E, and is implemented.

*Verifiers: Management plan, Implementation reports as per Annex E*

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

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

*Verifiers: Management plan, annual plan of operations. Interviews with managers*

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

*Verifiers: Management plan, annual plan of operations. Interviews with managers*

**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.**

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: Updated Management Plan*

**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.**

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

*Verifiers: Extract of the Management plan, notices or provisions in management plans, interviews with organization senior management*

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

*Verifiers: Interviews with affected stakeholders, Abstract of the Management plan*

**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.**

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

**Verifiers:** *Management plan, meeting minutes, record of engagement, interviews with stakeholders*

SLIMF 7.6.1 *Culturally appropriate\* engagement\** is used to ensure that *affected stakeholders\** are able to provide input into development of elements detailed in 1) to 5):

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

**Verifiers:** *Management plan, meeting minutes, record of engagement, interviews with stakeholders*

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

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

**Verifiers:** *Management decisions, interview with managers, interviews with stakeholders*

7.6.3 *Affected rights holders\* and affected stakeholders\** are provided with an opportunity for *culturally appropriate\* engagement\** in

monitoring and planning processes of management activities that affect their interests.

**Verifiers:** *Management decisions, interview with managers, interviews with affected rights holders and affected stakeholders*

SLIMF 7.6.3 *Culturally appropriate\* engagement\** is completed with *interested stakeholders\**, *affected stakeholders\** and *Indigenous Peoples\** to ensure that their concerns are addressed in the development and implementation of management and monitoring activities.

**Verifiers:** *Monitoring and evaluation arrangements in management plan, meeting minutes and list of attendees, interview with affected stakeholders*

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

**Verifiers:** *Request letter, meeting minutes, list of attendees, summary of decisions, and record of monitoring* |

## **PRINCIPLE\* 8: MONITORING AND ASSESSMENT**

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

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

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: Management plan, records of monitoring activities, interviews with managers |

**8.2 The Organization\*** shall monitor and evaluate the environmental and social impacts of the activities carried out in the *Management Unit\**, and changes in its environmental condition.

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

**Verifiers:** SEIA reports , interviews with managers, interviews with stakeholders

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

**Verifiers:** Management plan, interviews with managers, field observation, monitoring report proxy with indicators

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

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

**Verifiers:** Monitoring Report in accordance with Annex G, inventory summary in Management plan, monitoring reports, interviews with managers

**Note:** SLIMF may follow FSC Briefing Note 5 on simple monitoring tools for simple monitoring

**Verifiers:** inventory report/summary in management plan, monitoring reports, interviews with managers |

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

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

**Verifiers:** *Monitoring arrangements in management plan, meeting minutes, revised forest management plan*

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

**Verifiers:** *Management decisions, revised management plan, monitoring reports, interviews with stakeholders*

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

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

**Verifiers:** *Record of monitoring, interviews with stakeholders, evidences of dissemination of monitoring results on request*

**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.**

- 8.5.1 A system is implemented to track and trace all products that are marketed as FSC certified. As part of that:

- 1) *Transaction verification\** is supported by providing *FSC transaction\** data, as requested by the certification body;
- 2) *Fibre testing\** is supported by surrendering samples and specimens of materials and information about species composition for verification, as requested by the certification body.

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

NTFP 8.5.1.1 A system is implemented to track and trace all products that are marketed as FSC certified, and it is demonstrated based on best available information or pollen analysis that at least 50% of the collected pollen originates from within the FSC certified MU before the honey can be sold with FSC claim: FSC 100

NTFP 8.5.1.2 For legal hunting of wildlife, it is demonstrated based on best available information or other means (e.g. telemetric data) that the target species spent at least 50% of its lifespan within the FSC certified MU before the products can be sold with FSC claim: FSC 100%

- 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:** *Sales and purchase records, interviews with organization managers, field observation*

SLIMF 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:** *Sales and purchase records, interviews with organization managers, field observation*

NTPF 8.5.2 Information about all NTFP 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 the origin of the NTFP;
- 5) Sourcing date of the NTFP;
- 6) If basic processing activities take place in the forest, the date and volume produced; and
- 7) Whether or not the material was sold as FSC certified.

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

- 1) Name and address of purchaser;
- 2) The date of sale;



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

**Verifiers:** *Filing and storage of sale and purchase records, invoices*

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

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

**Verifiers:** *Filing and storage of sale and purchase records, invoices*

#### **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\***.

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

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

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

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

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

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

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

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

**Verifiers:** *HCV assessment framework, Management plan, Resource map showing HCV area, interview with organization managers, field observation*

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

**Note** SLIMF may use FSC guidance and technical materials to assess the HCV:

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

**Verifiers:** *HCV assessment framework, Management plan, Resource map showing HCV area, interview with organization managers, field observation*

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

**NOTE: not applicable in Botswana**

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

**Verifiers:** *HCV assessment framework, Management plan, Resource map showing HCV area, interview with organization managers, field observation*

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

9.2 **The Organization\* shall develop effective strategies that maintain and/or enhance the identified High Conservation Values\*, through engagement\* with affected stakeholders\*, interested stakeholders\* and experts.**

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

**Verifiers:** *Consultation with stakeholders, experts and stakeholders, Field observations, database or study reports, if available, at government archives*

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

**Verifiers:** *Management plan, HCV management strategies*

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

**Verifiers:** *Meeting minutes, record of attendance of affected and interested stakeholders, interviews with organization executives, interviews with affected stakeholders*

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

**Verifiers:** *Management plan,, HCV management strategies*

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

**NOTE:** *There are no IFLs in Botswana and therefore no core areas*

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

**Verifiers:** *Implementation of the management plan and HCV management strategies, actual observations and interviews with affected stakeholders*

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

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

**NOTE: the indicator 9.1.2 and 9.2.5 are redundant and hence 9.2.7 does not apply** ]

**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.

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

**Verifiers:** *records of implemented activities, interviews with managers, monitoring report, field observation*

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

**Verifiers:** *records of implemented activities, interviews with managers, monitoring report, field observation*

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:** *Management plan indicating high risk intensity, HCV strategies and measures implemented, , interviews with managers, field observation*

SLIMF 9.3.2 The strategies and actions prevent damage and avoid risks to *High Conservation Values\**, and when the vulnerability and sensitivity of *High Conservation Values\** are uncertain.

**Verifiers:** *Management plan indicating high risk intensity, HCV strategies and measures implemented, , interviews with managers, field observation*

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

**NOTE:** *not applicable*

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

**NOTE:** *not applicable*

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

**Verifiers:** *Management annual plan, monitoring report, interview with stakeholders, field observation. - HCV restoration action plan*

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

**Verifiers:** *Management annual plan, monitoring report, interview with stakeholders, field observation. - HCV restoration action plan*

**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.

9.4.1 A program of periodic monitoring assesses:

- 4) Implementation of strategies;
- 5) The status of *High Conservation Values*\*, including *High Conservation Value Areas*\* on which they depend; and
- 6) The effectiveness of the management strategies and actions for the *protection*\* of *High Conservation Values*\*, to fully maintain and/or enhance the *High Conservation Values*\*.

**Verifiers:** *Management plan, interviews with managers, high conservation value monitoring report, field observation*

SLIMF 9.4.1 A program of periodic monitoring assesses:

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

**Note** SLIMF may not have a separate implementation strategies.

**Verifiers:** *Documented diary. Monitoring information and reports*

9.4.2 The monitoring program includes *engagement*\* with *affected*\* rights holders, affected and *interested stakeholders*\* and experts.

**Verifiers:** *Composition of monitoring team, records of meeting and attendance, interviews with stakeholders, field observation*

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

**Verifiers:** *Composition of monitoring team, records of meeting and attendance, interviews with stakeholders, field observation*

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:** *Management Plan and field observations*

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

**Verifiers:** *Updated/revised Management plan, interviews with managers*

|

## **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.

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\**.

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

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

**Verifiers:** *Management plan, annual work plan with budget, monitoring and evaluation report, records of regeneration and plantation, interview with managers, field observation*

**NOTE:** *not all natural forest need to be regenerated to pre harvest levels (i.e. bush encroachment thinning)*

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:** *Revised forest management plan, records of silvicultural activities, interview with managers, field observation*

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.

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

**Note:** *In case the scope changes from natural forests to plantation establishments*

**Verifiers:** *Revised forest management plan, records of plantation, monitoring/evaluation reports, interview with experts, interviews with managers*

NTPF 10.2.1 *Species\** chosen for regeneration, including *non-timber forest products\**, are ecologically well adapted to the site, are *native*



*species\** and are of local provenance, unless clear and convincing justification is provided for using non-local *genotypes\** or non-*native species\**.

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

**Verifiers:** *Objectives in management plan, monitoring/evaluation reports, field observation* |

**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.**

- 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:** *Management plan, monitoring reports, specialized study reports, field observation, list of species chosen*

NTPF 10.3.1 *Alien species\**, including *non-timber forest products\**, are used only when direct experience and/or the results of scientific research demonstrate that invasive impacts can be controlled.

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

**Verifiers:** *Management decisions on measures and strategies, monitoring /evaluation report, annual plan, field observation*

- 10.3.3 The spread of *invasive species\** introduced by *The Organization\** is controlled.

**Verifiers:** *Inventory reports, monitoring reports, record of control measures implemented, field observation*

- 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:** *Management plan, monitoring records, records of control measures implemented, correspondence between the organization and regulatory bodies, e.g. any form of written communications such as letters, emails, etc.* |

**10.4 *The Organization\** shall not use *genetically modified organisms\** in the *Management Unit\**.**

- 10.4.1 *Genetically modified organisms\** are not used.

**Verifiers:** *Management plan, field observation, interviews with managers*

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



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

*Verifiers: Management plan, records of silvicultural activities, interviews with managers and interested stakeholders, field observation*

**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.**

10.6.1 The use of *fertilizers\** is minimized or avoided.

*Verifiers: Management plan, monitoring records, fertilizer use records, interview with managers, field observation*

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: Analysis monitoring and evaluation reports, records of ecological/economic benefits, interview with stakeholders*

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

*Verifiers: Management plan, fertilizer use records, monitoring reports*

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

*Verifiers: Annual monitoring reports, records of measures implemented for protection of environmental values, environmental impact assessment report, look for the permits*

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

*Verifiers: Management plan, Environmental Impact Assessment (EIA) reports*

**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.**

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: Management plan, management decisions related to integrated pest management, monitoring and evaluation reports, interview with managers and government regulating authorities, field observation*

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:** *Pesticide storage records, interviews with organization senior management, derogation document of FSC in case chemical pesticides are used, inspection on Material Safety Data Sheet (MSDS) and storage places*

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:** *Records of purchasing and Material Safety Data Sheet (MSDS)*

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 clean-up following accidental spillages.

**Verifiers:** *Safety procedure (developed by the organization), records of pesticide purchase, storage and use*

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

**Verifiers:***Pesticide Guideline, records of pesticide use, interview with workers and other stakeholders,*

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

**Verifiers:** *Records of mitigation measures implemented monitoring reports, interviews with managers, interviews with local communities*

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

**Verifiers:** *Records of mitigation measures implemented monitoring reports, interviews with managers, interviews with local communities*

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: Records of pesticide use, monitoring reports, interview with workers, interviews with managers*

**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\*.**

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

*Verifiers: Management plan, protocol of using biological control agents, records of monitoring and control measures*

- 10.8.2 Use of *biological control agents\** complies with both nationally and internationally accepted scientific protocols\*..

**Note:** *The organization should take permission from concerned authority prior to use the biological control agents. Internationally accepted scientific protocols may include:*

1) *FSC Guide To integrated pest, disease and weed management in FSC certified forests and plantations (2009);*

2) *FAO Code of Conduct for the Import and Release of Exotic Biological Control.*

*Verifiers: Management plan, records of control measures, permission to use biological control agents, interview with workers, interviews with organization executives*

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

*Verifiers: Management decisions, records of the control agents, records of usage of control agents, interviews with organization managers*

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

**Note:** *Organization should have a mitigation plan if the biological control agents are used.*

*Verifiers: Management plan, annual plan of operation, field observation, monitoring reports*

**10.9 The Organization\* shall assess risks\* and implement activities that reduce potential negative impacts from Natural Hazards\* proportionate to scale, intensity, and risk\*.**

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

**Verifiers:** *Management plan, records of potential natural hazards, hazards' risk assessment report, checklist of potential negative impacts, interview with stakeholders, field observation*

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

**Note:** *Discussions and recording of potential hazards and their negative impacts may fulfill the requirement.*

**Verifiers:** *Management plan, records of potential natural hazards, hazards' risk assessment report, checklist of potential negative impacts, interview with stakeholders, field observation*

10.9.2 Management activities mitigate these impacts.

**Verifiers:** *Management plan, monitoring reports, interviews with managers, and observation*

SLIMF 10.9.2 Where capacity and resources allow, management activities mitigate potential unacceptable negative impacts of natural hazards. If capacity or resources do not allow, *The Organization\** or manager communicates with government or relevant local organizations about mitigation capacity and possibilities.

**Verifiers:** *Management plan, monitoring reports, interviews with managers, and observation*

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:** *Management plan, meeting minutes, risk assessment reports, interview with stakeholders*

SLIMF 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:** *Management plan, meeting minutes, risk assessment reports, interview with stakeholders*

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

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

**Verifiers:** *Annual plan, strategy for risk management, monitoring report*

**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.**

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: Management plan, annual working plan, monitoring reports, field observation.*

NTPF 10.10.1 Development, maintenance and use of *infrastructure\**, as well as transport activities, are managed to protect *environmental values\** and *non-timber forest products\** identified in *Criterion\** 6.1.

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

*Verifiers: Management plan, annual working plan, monitoring reports, field observation*

NTPF 10.10.2 *Silviculture\** activities are managed to ensure *protection\** of the *environmental values\** and *non-timber forest products\** identified in *Criterion\** 6.1.

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

*Verifiers: Monitoring reports, interviews with managers , field observation*

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

**10.11 The Organization\* shall manage activities associated with harvesting and extraction of timber and non-timber forest products\* so that environmental values\* are conserved, merchantable waste is reduced, and damage to other products and services is avoided.**

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

*Verifiers: Management plan, harvesting plan, monitoring reports, observation*

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

**Verifiers:** *Management plan, field observation, interviews with managers, monitoring reports*

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

**Verifiers:** *Interviews with managers, field observation, monitoring reports*

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

**Verifiers:** *Interviews with managers, field observation, monitoring reports*

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

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

**Note:** *Waste products may include among many others: Empty containers; Motor and other fuels and oils; Rubbish including metals, plastics and paper; machinery and equipment, Domestic waste, etc.*

**Verifiers:** *Management plan, records of collection and cleaning up the waste materials, field observation, interviews with managers and any affected stakeholders*

NTPF 10.12.1 Collection, clean up, transportation and disposal of bio, solid and chemical *waste materials\** is done in an environmentally appropriate way that conserves *environmental values\** and *non-timber forest products\** as identified in *Criterion\** 6.1.

**Verifiers:** *Management plan, records of collection and cleaning up the waste materials, field observation, interviews with managers and any affected stakeholders*

## G Annexes

(Normative section)

### Annex A Minimum list of *applicable laws\**, regulations and nationally *ratified\** international treaties, conventions and agreements (*Principle\* 1*)

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\**).

**Note:** This is not intended to be an exhaustive list of applicable legislation. If any additional legislation applies, CHs shall also comply with it.

1. <i>Legal*</i> rights to harvest	
1.1 Land <i>tenure*</i> and management rights	<p>Legislation covering land <i>tenure*</i> rights, including <i>customary rights*</i> as well as management rights, that includes the use of <i>legal*</i> methods to obtain <i>tenure*</i> rights and management rights. It also covers <i>legal*</i> business registration and tax registration, including relevant legally required licenses.</p> <ul style="list-style-type: none"> <li>• Land Control Act (amendment)- 1986</li> <li>• Tribal Territories Act – 1933 amended in 2003</li> <li>• Land Tribunal Act, 2014</li> <li>• Forest (Declaration of Forest Reserves) Order (1968) - Regulation</li> <li>• Forest (Exemption of Certain Villages from Prohibited Acts in Forest Reserves) Order (1968) – Regulation</li> <li>• National Policy on Land Tenure (1985)</li> <li>• Revised National Policy for Rural Development of 2002</li> <li>• Tribal Land (amendment) of 1994</li> <li>• Botswana Land Policy 2015</li> </ul>
1.2 Concession licenses	<p>Legislation regulating procedures for issuing <i>forest*</i> concession licenses, including the use of <i>legal*</i> methods to obtain concession licenses. Bribery, corruption and nepotism are particularly well-known issues that are connected with concession licenses.</p> <ul style="list-style-type: none"> <li>• Tati Concessions Land Act – 1911 amended in 1970</li> <li>• Forest (Exemption of Certain Villages from Prohibited Acts in Forest Reserves) Order (1968) – Regulation</li> <li>• Wildlife Conservation and National Parks (Cap. 38:01)</li> <li>• Declaration of Controlled Hunting Areas. Order (section 11 of 1968)</li> </ul>



1.3 Management and harvesting planning	<p>Any national or sub-national <i>legal</i>* requirements for Management Planning, including conducting <i>forest</i>* inventories, having a <i>forest</i>* management plan* and related planning and monitoring, impact assessments, consultation with other entities, as well as approval of these by <i>legally competent</i>* authorities. ]</p> <ul style="list-style-type: none"> <li>• Forest Act (1968).</li> <li>• Forest Policy of 2011</li> <li>• Agricultural Resources Conservation Act of 1974</li> <li>• Herbage Preservation (Fire Prevention) Act of 1977</li> <li>• Tropical Forest Conservation Order</li> <li>• . National Development Plan 10 years</li> <li>• Natural Resources Protection (Model) By-laws (section 40) of 1992</li> </ul>
1.4 Harvesting permits	<p>National or sub-national laws and regulations regulating procedures for issuing harvesting permits, licenses or other <i>legal</i>* documents required for specific harvesting operations. This includes the use of <i>legal</i>* methods to obtain the permits. Corruption is a well-known issue that is connected with the issuing of harvesting permits.</p> <ul style="list-style-type: none"> <li>• Agricultural Resources Conservation Utilization of Veld products Regulations (Published on 1st December, 2006)</li> <li>• Agricultural resources Act 1974 and associated Regulation of 2006]</li> </ul>
<b>2. Taxes and fees</b>	
2.1 Payment of royalties and harvesting fees	<p>Legislation covering payment of all legally required <i>forest</i>* harvesting specific fees such as royalties, stumpage fees and other volume-based fees. This includes payments of the fees based on the correct classification of quantities, qualities and species. Incorrect classification of <i>forest</i>* products is a well-known issue that is often combined with bribery of officials in charge of controlling the classification.</p> <ul style="list-style-type: none"> <li>• Agricultural resources Act 1974 and associated Regulation of 2004 ]</li> <li>• Conservation Trust Fund Order (Section 25*) of 1999</li> <li>• Controlled Hunting Areas (Fees) Order (under section 16(4)) of 1995</li> </ul>
2.2 Value added taxes and other sales taxes	<p>Legislation covering different types of sales taxes which apply to the material being sold, including the sale of material as growing <i>forest</i>* (standing stock sales). ]</p> <ul style="list-style-type: none"> <li>• Value Added Tax Act - 2002</li> </ul>
2.3 Income and profit taxes	<p>Legislation covering income and profit taxes related to profit derived from the sale of <i>forest</i>* products and harvesting activities. This category is also related to income from the sale of timber and does not include other taxes generally applicable for companies and is not related to salary payments.]</p> <ul style="list-style-type: none"> <li>• Income Tax Act - 1995</li> <li>• Corruption and Economic Crime Act - 1994</li> </ul>



3. Timber harvesting activities	
3.1 Timber harvesting regulations	<p>Any <i>legal</i>* requirements for harvesting techniques and technology including selective cutting, shelter wood regenerations, clear felling, transport of timber from the felling site, seasonal limitations, etc. Typically, this includes regulations on the size of felling areas, minimum age and/or diameter for felling activities, and elements that shall be preserved during felling, etc. Establishment of skidding or hauling trails, road construction, drainage systems and bridges, etc., shall also be considered as well as the planning and monitoring of harvesting activities. Any legally binding codes for harvesting practices shall be considered.</p> <ul style="list-style-type: none"> <li>• Forest Regulations on harvesting forest products</li> <li>• Agricultural Resources Act 1974, associated regulations 2006</li> <li>• Access and Benefit Sharing Act of 2022</li> </ul>
3.2 Protected sites and species	<p>International, national, and sub national treaties, laws, and regulations related to protected areas, allowable <i>forest</i>* uses and activities, and/or rare, threatened, or endangered species, including their <i>habitats</i>* and potential <i>habitats</i>*.</p> <ul style="list-style-type: none"> <li>• Protected Places and Areas Act – 1965</li> <li>• Monument and Relics Act of 2001</li> <li>• Forest (Declaration of Protected Trees) Order, 1981 (Chapter 38:03).</li> <li>• Revised National Biodiversity Strategy and Action Plan 2007</li> <li>• Department of Wildlife and National Park Act of 1992</li> <li>• Forest Act of 1968</li> <li>• Convention Concerning the Protection of World Cultural and Natural Heritage (World Heritage Convention)</li> </ul>
3.3 Environmental requirements	<p>National and sub national laws and regulations related to the identification and/or <i>protection</i>* of <i>environmental values</i>* including but not limited to those relating to or affected by harvesting, acceptable levels for soil damage, establishment of buffer zones (e.g., along <i>water courses</i>*, open areas and breeding sites), maintenance of retention trees on the felling site, seasonal limitations of harvesting time, environmental requirements for <i>forest</i>* machineries, use of <i>pesticides</i>* and other chemicals, biodiversity <i>conservation</i>*, air quality, <i>protection</i>* and <i>restoration</i>* of water quality, operation of recreational equipment, development of non-forestry <i>infrastructure</i>*, mineral exploration and extraction, etc.</p> <ul style="list-style-type: none"> <li>• Environmental Assessment Act Cap 65:07 of 2021</li> <li>• Environmental Assessment Regulation of 2012</li> </ul>

3.4 Health and safety	<p>Legally required personal <i>protection</i>* equipment for persons involved in harvesting activities, implementation of safe felling and transport practices, establishment of <i>protection</i>* zones around harvesting sites, safety requirements for machinery used, and legally required safety requirements in relation to chemical usage. The health and safety requirements that shall be considered relevant to operations in the <i>forest</i>* (not office work, or other activities less related to actual <i>forest</i>* operations). ]</p> <ul style="list-style-type: none"> <li>• Employment Act – 1984</li> <li>• Mines, Quarries and Machinery Act 1978 Cap 42</li> <li>• Mines and Minerals Act Cap 65</li> </ul>
3.5 <i>Legal</i> * employment	<p><i>Legal</i>* requirements for employment of personnel involved in harvesting activities including requirements for contracts and working permits, requirements for obligatory insurance, requirements for competence certificates and other training requirements, and payment of social and income taxes withheld by the employer. Also covered are the observance of minimum working age and minimum age for personnel involved in <i>hazardous work</i>*, legislation against forced and compulsory labor, and <i>discrimination</i>* and freedom of association. ]</p> <ul style="list-style-type: none"> <li>• Employment Act. 1982 as amended in 1984</li> <li>• Children's Act – 2009</li> <li>• Trade Unions and Employers' Organisations Act –1984</li> </ul>
<b>4. Third parties' rights</b>	
4.1 <i>Customary rights</i> *	<p>Legislation covering <i>customary rights</i>* relevant to <i>forest</i>* harvesting activities, including requirements covering the sharing of benefits and indigenous rights. ]</p> <ul style="list-style-type: none"> <li>• Customary Law Act – 1969</li> <li>• Customary Courts Act. – 1969, amended in 1986</li> </ul>
4.2 <i>Free Prior and Informed Consent</i> *	<p>Legislation covering “free prior and informed consent” in connection with the transfer of <i>forest</i>* management rights and <i>customary rights</i>* to <i>The Organization</i>* in charge of the harvesting operation. ]</p> <ul style="list-style-type: none"> <li>• Tribal Grazing Land Policy 1975</li> <li>• Tribal Land Act</li> <li>• Tourism Policy 2021</li> </ul>
4.3 <i>Indigenous Peoples</i> ** rights	<p>Legislation that regulates the rights of <i>Indigenous Peoples</i>* as far as it is related to forestry activities. Possible aspects to consider are land <i>tenure</i>*, and rights to use certain <i>forest</i>* related resources and practice traditional activities, which may involve <i>forest</i>* lands. ]</p> <ul style="list-style-type: none"> <li>• Customary Law Act – 1969</li> <li>• Customary Courts Act. – 1969, amended in 1986</li> </ul>
<b>5. Trade and transport</b> <b>NOTE:</b> This section covers requirements for <i>forest</i> * management operations as well as processing and trade.	

5.1 Classification of species, quantities, qualities	<p>Legislation regulating how harvested material is classified in terms of species, volumes and qualities in connection with trade and transport. Incorrect classification of harvested material is a well-known method to reduce or avoid payment of legally prescribed taxes and fees.</p> <ul style="list-style-type: none"> <li>• Transport Act</li> <li>• Weighbridges (transport act),</li> <li>• Forestry International Trade in Wild Flora Regulations (Sections 19A (2) and 19B) of 2009)</li> </ul>
5.2 Trade and transport	<p>All required trading and transport permits shall exist as well as legally required transport documents which accompany the transport of wood from <i>forest*</i> operations. ]</p> <ul style="list-style-type: none"> <li>• Trade Act - 2020</li> <li>• Road Transport (Permits) Act - 1973</li> </ul>
5.3 Offshore trading and transfer pricing	<p>Legislation regulating offshore trading. Offshore trading with related companies placed in tax havens, combined with artificial transfer prices is a well-known way to avoid payment of legally prescribed taxes and fees to the country of harvest and is considered to be an important source of funds that can be used for payment of bribery to the <i>forest*</i> 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.</p> <ul style="list-style-type: none"> <li>• Convention on International Trade in Endangered Species</li> <li>• Gaborone Declaration on Commitment to Implement all Conventions that Promote Sustainable Development] </li></ul>
5.4 Custom regulations	<p>Custom legislation covering areas such as export/import licenses and product classification (codes, quantities, qualities and species). ]</p> <ul style="list-style-type: none"> <li>• Customs Act - 2018</li> </ul>
5.5 CITES	<p>CITES permits (the Convention on International Trade in Endangered Species of Wild Fauna and Flora, also known as the Washington Convention). ]</p> <ul style="list-style-type: none"> <li>• Forestry (International Trade In Wild Flora) Regulations – 2009</li> <li>• SADC Protocol on Forestry 2002</li> <li>• Convention on International Trade in Endangered Species</li> </ul>
<b>6. Due diligence / due care</b>	
6.1 Due diligence / due care procedures	<p>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.</p> <ul style="list-style-type: none"> <li>• Phytosanitary Certificate (Agricultural Resources Act 1974, associated regulations 2006)]</li> </ul>
<b>7. Ecosystem Services</b>	

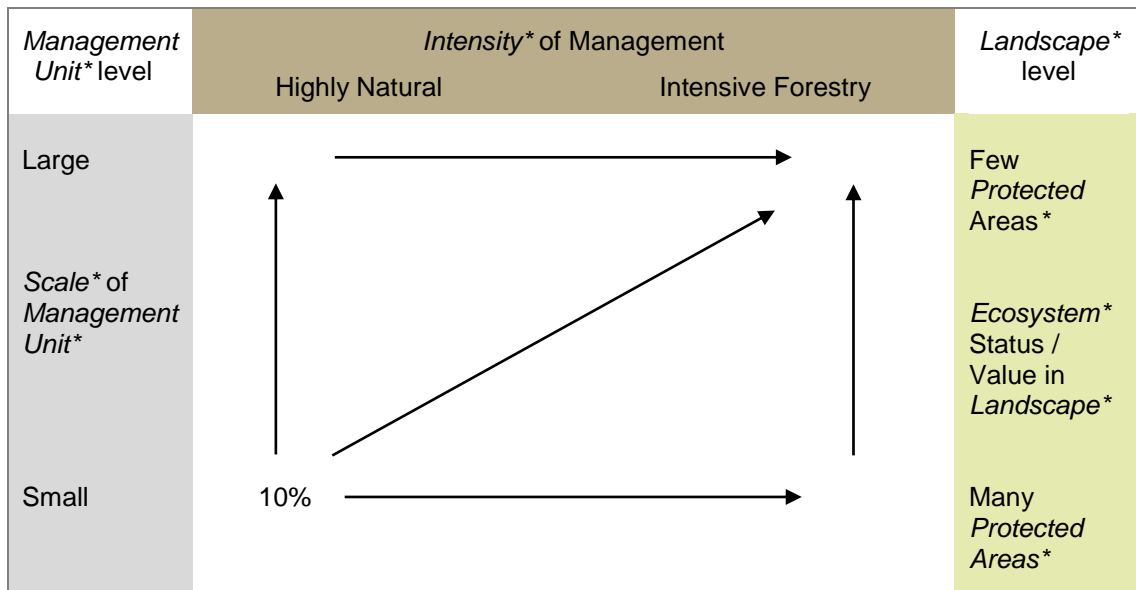
	<p>Legislation covering <i>ecosystem services*</i> rights, including <i>customary rights*</i> as well as management rights that include the use of <i>legal*</i> methods to make claims and obtain benefits and management rights related to <i>ecosystem services*</i>. National and subnational laws and regulations related to the identification, <i>protection*</i> and payment for <i>ecosystem services*</i>. Also includes <i>legal*</i> business registration and tax registration, including relevant <i>legal*</i> required licenses for the exploitation, payment, and claims related to <i>ecosystem services*</i> (including tourism). ]</p> <ul style="list-style-type: none"> <li>• Botswana Climate Change Policy 2021</li> <li>• National Biodiversity Strategy and action Plan 2016</li> <li>• Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)</li> <li>• 2012 Gaborone Declaration on Sustainability in Africa</li> <li>• United Nations Convention on Biological Diversity (UNCBD)</li> <li>• Ramsar Convention on Wetlands of International Importance</li> <li>• United Nations Convention on Combating Desertification (UNCCD)</li> <li>• United Nations Framework for Convention on Climate Change (UNFCCC)</li> <li>• Environmental Assessment Act – 2021</li> <li>• Agreement on the Establishment of a Permanent Commission on the Okavango River Basin (OKACOM)</li> </ul>
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## Annex B Training requirements for workers\* (*Principle\* 2*)

Workers\* shall be able to:

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

**Annex C Conservation Area Network\* conceptual diagram (Principle\* 6)**



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 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 '*Scale\* 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 D List of rare and threatened species\* in Botswana**

**(Principle\* 6)**

<b>Botanical name</b>	<b>Vernacular name</b>
<i>Afzelia quanzensis</i> Welw	Pod mahogany, mwande, ikonkamukota
<i>Baikia plurijuga</i> Harms	Rhodesian teak, mukusi
<i>Brachystegia</i> spp	Mowombo
<i>Guibourtia coleosperma</i> (Benth) J. Leon	Rhodesian copal wood, tsaudi, isibi
<i>Pterocarpus angolensis</i> D.C	Blood wood, muninga, mukwa, ilombe
<i>Entandrophragma caudatum</i> Sprague	Brown mahogany, mopomena
<i>Spirostachys africana</i>	Morukuru, tamboti
<i>Adansonia digitata</i> L.	Baobab, moana, ibozu, mubuyu
<i>Berchemia discolor</i> (Klotzsch) Mensley	Motsintila, Mozinzila, inzi
<i>Diospyros mespiliformis</i> Hochst ex A.D.C	African ebony, Mochenje, isuma, mokochoong

[Source: Forest Act, 1968]



## Annex E Elements of the *management plan*\* (*Principle*\* 7)

- 1) The results of assessments, including:
  - i. Natural resources and *environmental values*\*, as identified in *Principle*\* 6 and *Principle*\* 9;
  - ii. Social, economic and cultural resources and condition, as identified in *Principle*\* 6, *Principle*\* 2 to *Principle*\* 5 and *Principle*\* 9;
  - iii. Intact Forest Landscapes\* and core areas\*, as identified in *Principle*\* 9;
  - iv. *Indigenous cultural landscapes*\*, as identified with *affected rights holders*\* in *Principle*\* 3 & *Principle*\* 9;
  - v. Major social and environmental risks in the area, as identified in *Principle*\* 6, *Principle*\* 2 to *Principle*\* 5 and *Principle*\* 9; and
  - vi. The maintenance and/or enhancement of *ecosystem services*\* for which promotional claims are made as identified in *Criterion*\* 5.1.
- 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. *Ecosystem services*\* when FSC ecosystem services claims are used as identified in *Criterion*\* 5.1;
  - 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. *Ecosystem services*\* when FSC ecosystem services claims are used as identified in *Criterion*\* 5.1;
  - iii. Social Values and *Indigenous cultural landscapes*\*, as identified in *Principle*\* 2 to *Principle*\* 5 and *Principle*\* 9; and

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

## Annex F Conceptual framework for planning and monitoring (*Principle\* 7*)

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

Sample Management Plan* Document	Management Plan* Revision Periodicity	Element Being Monitored (Partial List)	Monitoring Periodicity	Who Monitors This Element?  (Note: These will vary with SIR and jurisdiction)	FSC Principle* / Criterion*
		distribution Size class distribution		Environment	
		10 year Allowable Annual Cut	Annually, ten years	Ministry of Forests / Woodlands manager	C5.2
Ecosystem Services* Certification Document	5 years	Prior to validation and verification	Prior to validation and verification	General Manager	FSC-PRO-30-006

## Annex G Monitoring requirements (*Principle\* 8*)

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

- x. The identification of *Indigenous Peoples\** and *local communities\** and their *legal\** and *customary rights\** (Criterion\* 3.1 and Criterion\* 4.1);
  - xi. Full implementation of the terms in *binding agreements\** (Criterion\* 3.2 and Criterion\* 4.2);
  - xii. *Indigenous Peoples\** and community relations (Criterion\* 3.2, Criterion\* 3.3 and Criterion\* 4.2);
  - xiii. *Protection\** of sites of special cultural, ecological, economic, religious or spiritual significance to *Indigenous Peoples\** and *local communities\** (Criterion\* 3.5 and Criterion\* 4.7);
  - xiv. The persistence of *Indigenous cultural landscapes\** and associated values of significance to *Indigenous Peoples\** (Criterion\* 3.1, Criterion\* 3.5);
  - xv. The use of *traditional knowledge\** and *intellectual property\** (Criterion\* 3.6 and Criterion\* 4.8);
  - xvi. Local economic and social development (Criterion\* 4.2, Criterion\* 4.3, Criterion\* 4.4, Criterion\* 4.5);
  - xvii. The production of diversified benefits and/or products (Criterion\* 5.1);
  - xviii. The maintenance and/or enhancement of *ecosystem services\** (Criterion\* 5.1);
  - xix. Activities to maintain or enhance *ecosystem services\** (Criterion\* 5.1);
  - xx. Actual compared to projected annual harvests of timber and *non-timber forest products\** (Criterion\* 5.2);
  - xxi. The use of local processing, local services and local value added manufacturing (Criterion\* 5.4);
  - xxii. *Long term\* economic viability\** (Criterion\* 5.5); and
  - xxiii. *High Conservation Values\** 5 and 6 identified in Criterion\* 9.1.
- 3) Monitoring procedures in 8.2.2 are sufficient to identify and describe changes in environmental conditions including where applicable:
- i. The maintenance and/or enhancement of *ecosystem services\** (Criterion\* 5.2) (when *The Organization\** uses FSC ecosystem services claims);
  - ii. *Environmental values\** and *ecosystem functions\** including carbon sequestration and storage (Criterion\* 6.1); including the effectiveness of actions identified and implemented to prevent, mitigate and repair negative impacts to *environmental values\** (Criterion\* 6.3);
  - iii. *Rare and threatened species\**, and the effectiveness of actions implemented to protect them and their *habitats\** (Criterion\* 6.4);
  - iv. *Representative Sample Areas\** and the effectiveness of actions implemented to *conserve\** and/or *restore\** them (Criterion\* 6.5);
  - v. Naturally occurring *native species\** and *biological diversity\** and the effectiveness of actions implemented to *conserve\** and/or *restore\** them (Criterion\* 6.6);

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



## Annex H Instructions for Standards Developers to develop *indicators\** for *Intact Forest Landscape\* core areas\* (Principle\* 9)*

### A. Threshold for *vast majority\**

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

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

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

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

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

- h. The outcomes of *culturally appropriate\* engagement\** with *affected rights holders\* affected\** and *interested stakeholders\**;

## B. Developing *Indicators\** for Assessing and Protecting *Intact Forest Landscapes\**

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

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

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

1. The *Indicators\** developed for the identification and designation of *core areas\** shall:
  - a. Respect the right to *Free Prior and Informed Consent\** of *affected rights holders\** (*Criterion\** 3.1 and 4.1);
  - b. Ensure the *legal\** and *customary rights\** of *affected rights holders\** to use the *core areas\** are *upheld\**;
  - c. Ensure that *core areas\** contain the most ecologically valuable, contiguous, and intact portions of the *Intact Forest Landscapes\**;
  - d. Ensure the shape of *core areas\** is designed to maximize their interior habitats.
  - e. Ensure that *core areas\** contain habitat for *rare, threatened and endangered\** species and other wildlife that depend on large contiguous areas of unaltered *forest\**;
  - f. Ensure that *core areas\** maintain or restore *connectivity\** between *core areas\** both within and adjacent to the *Management Unit\**; and
  - g. Ensure that *core areas\** are not smaller than 50,000 ha.
2. The *Indicators\** developed for the *protection\** of *core areas\** shall ensure:
  - a. The *legal\** and *customary rights\** of *affected rights holders\** to use the *core areas\** are *upheld\**;
  - b. *Indigenous Peoples\**, traditional peoples and forest dependent communities are given priority to design and implement alternative management and *conservation\** activities compatible with *protection\** of *core areas\**;
  - c. Prevention of illegal logging, windthrow, degradation, and other edge effect impacts within *core areas\**;
  - d. Management of road construction and the *intensity\** of other activities adjacent to *core areas\** to prevent illegal logging, windthrow, degradation, and other edge effect impacts within *core areas\**; and
  - e. Identification of appropriate buffer zone widths adjacent to *core areas\** where road construction and other activities are managed to prevent edge effect impacts within the *core areas\**.
3. The *Indicators\** developed for the *protection\** of *core areas\** shall ensure intactness of *core areas\**,—considering activities that impact intactness, including commercial logging, mining, and the construction of roads, dams, and other *infrastructure\**. Examples of management that *protects\** the intactness of *core areas\** include *conservation zones\** as well as areas that

may or not have *legal\* protection\** such as set asides, reserves, deferrals, community reserves, and Indigenous protected areas.

4. The *Indicators\** developed for *Intact Forest Landscapes\** shall clarify that the portions of *Intact Forest Landscapes\** not designated as *Core Areas\** shall be managed to protect and/or maintain *High Conservation Values\** Category 2.

## Annex I Strategies for maintaining *High Conservation Values*\* (*Principle*\* 9)

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

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

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

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

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

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

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

**Annex J      *High Conservation Values\** framework (*Principle\* 9*)**

**Principle 9, Annex J: HCV Framework.**

## Overarching Best Available Information

The following tables show the types of overarching Best Available Information (BAI) that is applicable for assessments, strategies, and monitoring for all HCVs or specific categories of HCVs. The BAI applies to all Organizations that are not SLIMF. For SLIMFs, the BAI applies where indicated. The purpose of listing overarching BAI here is to avoid having to list it repetitively in the following sections. BAI that is more specific to individual HCV Interpretations is included in the following sections.

<b>Best Available Information* for Identifying and Assessing National or Regional HCV Interpretations</b>		<b>SLIMF</b>
<b>All HCV Categories, All Elements</b>	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*. High Conservation Value* surveys of the Management Unit*; relevant databases and maps; culturally appropriate* engagement*with Indigenous Peoples, affected rights holders*, affected* and interested stakeholders*, and relevant local and regional experts; FSC Guidelines for the Implementation of Free, Prior and Informed Consent (2021); review of the results by knowledgeable expert(s) independent of The Organization*.	X
<b>HCV 2, Element 1, IFLs</b>	<i>Not Applicable.</i>	
<b>HCV 5, Element 1, and HCV 6, Element 2, Values fundamental to local communities</b>	Culturally appropriate engagement with local communities is the primary BAI for these elements.	X
<b>HCV 5, Element 2, and HCV 6, Element 3, Values fundamental to Indigenous Peoples</b>	Culturally appropriate engagement with Indigenous Peoples is the primary BAI for these elements.	X

<b>Best Available Information* for Developing Management Strategies for National or Regional HCV Interpretations</b>		<b>SLIMF</b>
<b>All HCV Categories, All Elements</b>	Identification of threats, using: 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	X

	cost, subject to the scale* and intensity* of the management activities and the Precautionary Approach*. Engagement*with Indigenous Peoples, affected rights holders*, affected* and interested stakeholders*, and experts.	
<b>HCV 5, Element 1, and HCV 6, Element 2, Values fundamental to local communities</b>	Culturally appropriate engagement with local communities is the primary BAI for these elements. The “fundamentality” and “critical... importance” of the resources should also be determined through engagement.	X
<b>HCV 5, Element 2, and HCV 6, Element 3, Values fundamental to Indigenous Peoples</b>	Culturally appropriate engagement with Indigenous Peoples is the primary BAI for these elements. The “fundamentality” and “critical... importance” of the resources should also be determined through engagement.	X
<b>Best Available Information* for Monitoring National or Regional HCV Interpretations</b>		<b>SLIMF</b>
<b>All HCV Categories, All Elements</b>	BAI includes: Engagement with rights-holders, consistent with Criteria 3.5, 4.5 and 4.7; culturally appropriate engagement with Indigenous Peoples and affected and interested stakeholders; information on engaging with representatives of the Indigenous Peoples and/or local communities; monitoring conducted by the Indigenous Peoples and/or local communities; and engagement with experts.	X

**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.**

All information in the following sections applies to all Organizations. The exception is BAI that is not shown as applicable to SLIMFs or other Organizations (>SLIMF); however, the Interpretations, Strategies, and Assessment and Monitoring methods still apply. See also the Overarching BAI listed above.



**A. National or Regional Interpretations of HCV 1, for HCV Identification**

National or Regional Interpretations of HCV 1:	<i>Best Available Information*</i> for identifying occurrences of the Interpretations:	BAI >SLIMF	BAI SLIMF
<b>Element 1: Concentrations of <i>biological diversity*</i> that are <i>significant*</i> at global, regional, or national levels:</b>			
Protected areas, including: National Parks, Transfrontier Parks (i.e., Kgalagadi), Forest Reserves, Game Reserves, National Monuments, Bird Sanctuaries, Game Sanctuaries, Wildlife Management Areas, World Heritage sites (Okavango Delta). (Per: <i>FAO, 2021; USDA FS, undated</i> )	For partial lists of protected areas and maps, see Protected Areas (see <i>References</i> ). See also the References for UNESCO World Heritage sites.	X	X
Per the precautionary approach and pending further assessment, portions of the following that are not within protected areas: Kavango-Zambezi Transfrontier Conservation Area (TCA); Okavango Delta; Chobe River; Lake Xau; Zambezian flooded grasslands; Zambezian woodlands; Mopane woodlands; Zambezian Baikiaea woodlands; proposed World Heritage sites (Makgadikgadi Pans Landscape, Chobe Linyanti System, and Gcwihaba Caves); and KBAs/IBAs (Makgadikgadi Pans, Southeast Botswana, and Tswapong Hills). (Per: <i>FSC, 2019b; USDA FS, undated; CBD, undated; Ramberg et al, 2006; Francis et al, 2021; DEA, 2016</i> )	For proposed World Heritage sites, see UNESCO World Heritage (see <i>References</i> ). For KBAs/IBAs, see Key Biodiversity Areas and Important Bird Areas (see <i>References</i> ).	X	
<b>Element 2: Concentrations of endemic species that are <i>significant*</i> at global, regional, or national levels:</b>			
Significant concentrations of endemic plant or animal species, e.g., populations of an endemic species that is Vulnerable, Endangered, Critically Endangered, or Near Threatened, and/or populations of multiple endemic species.	For lists of endemic animal species, see the IUCN Red List (see <i>References</i> ), and national species lists (see <i>References</i> ).	X	X
<b>Element 3: Concentrations of <i>rare,* threatened,*</i> or endangered species that are <i>significant*</i> at global, regional, or national levels:</b>			
Lake Xau. (Per: <i>UNDP, 2012</i> )			

Other significant occurrences of terrestrial and freshwater plant or animal species listed by the IUCN Red List, CITES, or national species lists as Vulnerable, Endangered, Critically Endangered, or Near Threatened. Including occurrences of: any Critically Endangered species, more than 1% of a listed species' population, several or more listed species, and/or listed species in special ecological niches, e.g., wide-ranging carnivores, keystone species, umbrella species, species with very small populations or ranges, and other conservation priority species.	For lists of rare, threatened, and endangered species, see the IUCN Red List ( <i>see References</i> ), and national species lists ( <i>see References</i> ). Consider also DEA (2016).	X	X
Sites with CITES listed animal or plant species.	CITES ( <i>see References</i> ).	X	X
<i>Alliance for Zero Extinction sites, if any are listed in the future (none are currently listed).</i>	<i>See Alliance for Zero Extinction (see References).</i>		

## B. Assessments for HCV 1

National or Regional methodologies for assessing occurrences of the HCV 1 Interpretations:	Best Available Information* for assessing occurrences:	BAI >SLIMF	BAI SLIMF
For protected areas: Confirm whether policies and practices effectively protect the area and its HCVs.			
For the Okavango Delta.	Consider information available from the Okavango Research Institute of the University of Botswana (ORI-UB).	X	
For RTE species.	Consider information that may be available from IUCN Southern Africa.		
For guidance in identifying and assessing other examples of HCV 1 that may exist in the management unit, consider: FSC (2020a) and HCVRN (2017) (e.g., Chapter 2, Best Practice Considerations for HCV Assessments, and Chapter 3.1, Identification of HCV 1)			

## C. Strategies for Maintaining and Enhancing HCV 1

National or Regional strategies for maintaining and/or enhancing the HCV 1 Interpretations:	Best Available Information* for management strategies:	BAI >SLIMF	BAI SLIMF
For all HCV 1 Interpretations: Protection zones, harvest prescriptions, and/or other strategies to protect threatened, endangered, endemic species, or other concentrations of <i>biological diversity</i> * and the ecological communities and <i>habitats</i> * upon which they depend, sufficient to prevent reductions in the extent, integrity, quality, and viability of the <i>habitats</i> * and species occurrences.			
For all HCV 1 Interpretations: Where enhancement is identified as the <i>objective</i> *, measures to develop, expand, and/or <i>restore</i> * <i>habitats</i> * for such species.			
For protected areas: Maintain areas' gazetted status; prevent poaching, unsustainable bushmeat harvest, and wildlife trafficking; prevent unauthorized grazing, agricultural incursion, and fires; prevent unauthorized/unsustainable mining and tree and fuelwood harvest; in areas with significant tourism, adopt measures to prevent overuse and harm to bird breeding sites, other biodiversity values, and ecosystems; consider opportunities for cooperative management with local communities and Indigenous Peoples. (Per: USDA FS, undated; CBD, undated; DEA, 2016)			
For the Okavango Delta: Exclude intensive development including oil extraction. Work to prevent harmful water removals ("abstraction"), dam construction, and changes in the timing of water flows. Work with local communities to prevent introduction of invasive fish species, and consider measures to prevent in-migration of invasives. Work with Namibia and Angola to address threats to upstream areas and water flows. (Per: Francis et al, 2021; DEA, 2016; Louw, 2022.)			
For the Okavango Delta.	Consider: The Okavango Delta Management Plan (ODMP); information available from ORI-UB; and information	X	

	from the Okavango River Basin Water Commission. (OKACOM)		
For Lake Xau: Use cooperative management with registered community trusts. Limit fishing, hunting, and grazing to levels that are sustainable and protect breeding birds. (Per: UNDP, 2012)			
For wildlife: Allow for migration and travel where possible. Allow access to watering holes. Avoid the use of fences where possible, while protecting communities and farms. Minimize new road construction and development in migration zones. (Per: Osofsky, 2019; Augustin, 2019; FAO, 2020; CBD, undated)			
For areas threatened by unsustainable fuelwood and charcoal harvest: Work with local communities to establish backyard forest nurseries and other alternative sources. (Per: UNEP, 2019.)			
For additional guidance, consider: FSC (2020a) and HCVRN (2018) (e.g., Part 2).			

#### D. Monitoring for HCV 1

National or Regional methodologies for monitoring occurrences of the HCV 1 Interpretations:	Best Available Information* for monitoring occurrences:	BAI >SLIMF	BAI SLIMF
For the Okavango Delta.	Consider data maintained by the ORI-UB.		
For monitoring of potential impacts and of potential illegal or unauthorized activities, consider collaborative monitoring with local communities and Indigenous Peoples.			
For additional guidance, consider: FSC (2020a) and HCVRN (2018) (e.g., Part 3).			

**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.**

All information in the following sections applies to all Organizations. The exception is BAI that is not shown as applicable to SLIMFs or other Organizations (>SLIMF); however, the Interpretations, Strategies, and Assessment and Monitoring methods still apply. See also the Overarching BAI listed above.

**A. National or Regional Interpretations of HCV 2, for HCV Identification**

National or Regional Interpretations of HCV 2:	<i>Best Available Information*</i> for identifying occurrences of the Interpretations:	BAI >SLIMF	BAI SLIMF
<b>Element 1: Intact forest landscapes*:</b>			
<i>Not applicable. Intact Forest Landscapes* as defined in the FSC International Generic Indicators and by Global Forest Watch are not present in Botswana.</i>			
<b>Element 2: Large landscape*-level ecosystems* 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:</b>			
Important wetlands, including RAMSAR sites. Examples include: Okavango Delta System (RAMSAR); Linyanti wetlands; Makgadikgadi Pans Wetlands System, including sites outside of protected areas, e.g., Lake Xau. (Per: UNDP, 2012)	For information on Okavango as a RAMSAR site, see: RSIS (2021).		
<b>Element 3: 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:</b>			
Per the precautionary approach and pending further assessment: Wildlife migration and connectivity corridors proposed between and across protected areas, including areas in neighboring countries. Examples in the KAZA TCA include: Zambezi-Chobe Floodplain;	For corridors proposed in the Kavango Zambezi Trans-frontier Conservation Area (KAZA TCA), see: PPF (2022) and WildCRU (2022). For areas adjacent to	X	

Hwange-Kazuma-Chobe; Kwando; Zambezi-Mosi Oa Tunya; Hwange-Makgadikgadi-Nxai; and Khaudum-Ngamiland. Areas have also been proposed along the borders of Central Kalahari NP. (Per: PPF, 2022; Augustin, 2019; CBD, undated; Bartlam-Brooks, 2011)	Central Kalahari NP, see WildCRU (2022).		
Forest ecosystems forming a significant landscape-level mosaic with other vegetation types used by a diversity of most native species. Examples may include: Some of the areas listed at HCV 1, Element 1.			

## B. Assessments for HCV 2

National or Regional methodologies for assessing occurrences of the HCV 2 Interpretations:	Best Available Information* for assessing occurrences:	BAI >SLIMF	BAI SLIMF
For migration routes and corridors: Note that some species are able to re-establish currently unused migration routes, when enabled. Note that establishing corridors may also benefit communities by reducing wildlife conflicts. (Per: Bartlam-Brooks, 2011; Augustin, 2019)			
For guidance in identifying and assessing other examples of HCV 2 that may exist in the management unit, consider: FSC (2020a) and HCVRN (2017) (e.g., Chapter 2, Best Practice Considerations for HCV Assessments, and Chapter 3.2, Identification of HCV 2).			

## C. Strategies for Maintaining and Enhancing HCV 2

National or Regional strategies for maintaining and/or enhancing the HCV 2 Interpretations:	Best Available Information* for management strategies:	BAI >SLIMF	BAI SLIMF
For all HCV 2 Interpretations: Strategies that fully maintain the			

extent and intactness of the <i>forest* ecosystems*</i> and the viability of their biodiversity concentrations, including plant and animal indicator species, keystone species, and/or guilds associated with large intact <i>natural forest* ecosystems*</i> . Examples include <i>protection*</i> zones and set-aside areas, with any commercial activity in areas that are not set-aside being limited to low- <i>intensity*</i> operations that fully maintain <i>forest*</i> structure, composition, regeneration, and disturbance patterns at all times.			
For all HCV 2 Interpretations: Where enhancement is identified as the <i>objective*</i> , measures to <i>restore*</i> and reconnect <i>forest* ecosystems*</i> , their intactness, and <i>habitats*</i> that support natural <i>biological diversity*</i> are in place.			
For migration routes and connectivity corridors: Undertake cooperative planning and management with local communities; remove and avoid use of fences that are migration barriers; maintain and expand woodlands and other natural vegetation; adopt measures to prevent the areas from becoming focal points for poaching. See the other strategies for wildlife at HCV 1. Also consider the corridor specific recommendations at PPF (2022) and WildCRU (2022). ( <i>Per: FSC, 2019b</i> )			
For additional guidance, consider: FSC (2020a) and HCVRN (2018) (e.g., Part 2).			

#### D. Monitoring for HCV 2

National or Regional methodologies for monitoring occurrences of the HCV 2 Interpretations:	Best Available Information* for monitoring occurrences:	BAI >SLIMF	BAI SLIMF
See the monitoring guidance at HCV 1.			



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

All information in the following sections applies to all Organizations. The exception is BAI that is not shown as applicable to SLIMFs or other Organizations (>SLIMF); however, the Interpretations, Strategies, and Assessment and Monitoring methods still apply. See also the Overarching BAI listed above.

**A. National or Regional Interpretations of HCV 3, for HCV Identification**

National or Regional Interpretations of HCV 3:	<i>Best Available Information*</i> for identifying occurrences of the Interpretations:	BAI >SLIMF	BAI SLIMF
<b>Element 1: Rare*, threatened*, or endangered ecosystems*:</b>			
Mopane-Miombo Woodlands; Zambebian Baikiaea Woodlands; South African Bushveld; and Zambebian Halophytics. (Per: FAO, 2020; CBD, undated; UNEP, 2019; DEA, 2016)			
Per the precautionary approach and pending further assessment: Zambebian woodlands; Mopane woodlands; Kalahari Acacia-Baikiaea savanna; Zambebian flooded grasslands. (Per: UNEP, 2019)			
Per the precautionary approach and pending further assessment: unprotected natural forest, woodlands, and other natural ecosystems in WWF Global 200 Ecoregions, i.e.: Central and Eastern Miombo Woodlands. (Per: CBD, undated.)	For maps, see: WWF Global 200 Ecoregions (see References). For a description of the Central and Eastern Miombo Woodlands Ecoregion, see: Byers (2001).	X	
<i>Ecosystems in the IUCN Red List, if any are designated in the future. (None are currently designated).</i>	<i>IUCN Red List of Ecosystems (see References).</i>		
<b>Element 2: Rare*, threatened*, or endangered habitats*:</b>			
See the Interpretations for Element 1, RTE ecosystems. Note the			

Interpretations for HCV 1, Element 1, are also likely to include RTE habitats.			
Other rare, threatened, or endangered habitats.			
<b>Element 3: Refugia*:</b>			
Wetlands and other areas important for migratory species. For examples, see the Interpretations for HCV 1, Element 1, and HCV 2, Element 2.			
Note that protected areas listed at HCV 1, Element 1, may also be refugia.			
Isolated areas 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.			

### B. Assessments for HCV 3

<b>National or Regional methodologies for assessing occurrences of the HCV 3 Interpretations:</b>	<b><i>Best Available Information*</i> for assessing occurrences:</b>	<b>BAI &gt;SLIMF</b>	<b>BAI SLIMF</b>
For guidance in identifying and assessing other examples of HCV 3 that may exist in the management unit, consider: FSC (2020a) and HCVRN (2017) (e.g., Chapter 2, Best Practice Considerations for HCV Assessments, and Chapter 3.3, Identification of HCV 3).			

### C. Strategies for Maintaining and Enhancing HCV 3

National or Regional strategies for maintaining and/or enhancing the HCV 3 Interpretations:	Best Available Information* for management strategies:	BAI >SLIMF	BAI SLIMF
For all HCV 3 Interpretations: Strategies that fully maintain the extent and integrity of rare or threatened <i>ecosystems*</i> , <i>habitats*</i> , or <i>refugia*</i> .			
For all HCV 3 Interpretations: Where enhancement is identified as the <i>objective*</i> , measures to <i>restore*</i> and/or develop rare or threatened <i>ecosystems*</i> , <i>habitats*</i> , or <i>refugia*</i> are in place.			
Where woodlands are threatened by grazing: Work with pastoralists and local communities to adopt less intensive grazing practices. (CBD, undated; FAO, 2020)			
Where woodlands and other ecosystems are threatened by fires: Manage for fire regimes of natural intensity. Reduce and prevent more intensive fires, including by addressing grazing and agricultural pressures. (Per: DEA, 2016)			
Where bush encroachment (“thickening”) is a threat to ecosystems: Address causes, and consider removals of excess bush for charcoal production. (Per: FSC, 2019b)			
Where excessive damage from elephant is a concern: See the strategies at HCV 2 and 1 regarding migration corridors.			
For additional guidance, consider: FSC (2020a) and HCVRN (2018) (e.g., Part 2).			

### D. Monitoring for HCV 3

National or Regional methodologies for monitoring occurrences of the HCV 3 Interpretations:	Best Available Information* for monitoring occurrences:	BAI >SLIMF	BAI SLIMF
See the monitoring guidance at HCV 1.			

**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.**

All information in the following sections applies to all Organizations. The exception is BAI that is not shown as applicable to SLIMFs or other Organizations (>SLIMF); however, the Interpretations, Strategies, and Assessment and Monitoring methods still apply. See also the Overarching BAI listed above.

**A. National or Regional Interpretations of HCV 4, for HCV Identification**

National or Regional Interpretations of HCV 4:	<i>Best Available Information*</i> for identifying occurrences of the Interpretations:	BAI >SLIMF	BAI SLIMF
<b>Element 1: Water catchments in <i>critical*</i> situations:</b>			
Watersheds, streams, rivers, and other water sources relied upon by Indigenous Peoples and other communities for drinking water, irrigation, or other daily uses, or that are otherwise a priority for water provisioning. (See HCV 5.)	See the BAI for HCV 5.	X	X
For examples of important wetlands, other water bodies, and pans, see HCV 2, Element 2, and HCV 1, Element 1.			
Per the precautionary approach and pending further assessment, watershed management functions of Forest Reserves, and the Mopane-Miombo ecosystem. (Per: USDA FS, undated)			
<b>Element 2: Control of erosion of vulnerable soils and slopes in <i>critical*</i> situations:</b>			
Vulnerable soils and slopes in <i>critical*</i> situations.			

<b>Element 3: Other ecosystem services* in critical* situations:</b>			
Provision of food and shelter to local communities and Indigenous Peoples. (See HCV 5)	See the BAI for HCV 5.	X	X
Wildlife tourism that is financially supportive of local communities and Indigenous Peoples. (Per: IWGIA, 2020; CS, 2017)			
Affordable recreational opportunities for local communities.			
Woodlands important for bees, other pollinators, or seed dispersers. (Per: FSC, 2019b)			
Carbon storage in the Okavango Basin. (Per: CI, 2022)			
Per the precautionary approach and pending further assessment, carbon storage in Forest Reserves, and in the Mopane-Miombo ecosystem. (Per: USDA FS, undated; FAO, 2020)			

## B. Assessments for HCV 4

<b>National or Regional methodologies for assessing occurrences of the HCV 4 Interpretations:</b>	<b>Best Available Information* for assessing occurrences:</b>	<b>BAI &gt;SLIMF</b>	<b>BAI SLIMF</b>
For water catchments critical to local communities or Indigenous Peoples.	See the BAI for HCV 5.	X	X
For provision of food and shelter to local communities and Indigenous Peoples.	See the BAI for HCV 5.	X	X
For ecosystem services generally.	Consider the experts with the Ecosystem Services Research Team, Univ. of Botswana.		
For soils and climate change.	Consider data maintained by the South African Science Service Center for		

	Climate Change and Adaptive Management (SASSCCC).		
For guidance in identifying and assessing other examples of HCV 4 that may exist in the management unit, consider: FSC (2020a) and HCVRN (2017) (e.g., Chapter 2, Best Practice Considerations for HCV Assessments, and Chapter 3.4, Identification of HCV 4).			
The FSC Ecosystem Services Procedure (FSC, 2019 and 2021b) may also provide helpful guidance.			

### C. Strategies for Maintaining and Enhancing HCV 4

National or Regional strategies for maintaining and/or enhancing the HCV 4 Interpretations:	Best Available Information* for management strategies:	BAI >SLIMF	BAI SLIMF
For water catchments of importance to <i>local communities</i> * located within or downstream of the <i>Management Unit</i> *, and areas within the unit that are particularly unstable or susceptible to erosion: <i>Protection</i> * zones, harvest prescriptions, chemical use restrictions, and/or prescriptions for road construction and maintenance, to protect water catchments and upstream and upslope areas. Where enhancement is identified as the <i>objective</i> *, measures to <i>restore</i> * water quality and quantity are in place.			
For climate regulation: Strategies to maintain or enhance carbon sequestration and storage are in place.			
For additional guidance, consider: FSC (2020a) and HCVRN (2018) (e.g., Part 2).			

#### D. Monitoring for HCV 4

National or Regional methodologies for monitoring occurrences of the HCV 4 Interpretations:	Best Available Information* for monitoring occurrences:	BAI >SLIMF	BAI SLIMF
For soils and climate change.	Consider data maintained by SASSCCC.		
For additional guidance, consider: FSC (2020a) and HCVRN (2018) (e.g., Part 3).			
The FSC Ecosystem Services Procedure (FSC, 2019 and 2021b) may also provide helpful guidance.			

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

All information in the following sections applies to all Organizations. The exception is BAI that is not shown as applicable to SLIMFs or other Organizations (>SLIMF); however, the Interpretations, Strategies, and Assessment and Monitoring methods still apply. See also the Overarching BAI listed above.

*Note: Indigenous Peoples in Botswana include the San (Basarwa), Balala, and Nama Peoples. (Per: IWGIA, 2020)*

#### A. National or Regional Interpretations of HCV 5, for HCV Identification

National or Regional Interpretations of HCV 5:	Best Available Information* for identifying occurrences of the Interpretations:	BAI >SLIMF	BAI SLIMF
<b>Element 1: Sites and resources fundamental for satisfying the basic necessities of <i>local communities*</i> (for livelihoods, health, nutrition, water, etc.):</b>			

Watersheds, rivers, streams, and other water sources relied upon for drinking, other daily use, or irrigation.	Culturally appropriate engagement with the local communities.	X	X
Hunting grounds, fisheries, fuelwood, plants, growing areas, and other sites and resources used for subsistence or to satisfy basic needs <i>(not inclusive of poaching, illegal harvest, wildlife hunting for non-local trade, unsustainable harvest levels, or harvest that harms RTEs or other HCVs).</i>	Culturally appropriate engagement with the local communities.	X	X
Per the precautionary approach and pending further assessment: Forest Reserves, Zambezi woodlands, Mopane woodlands, wetlands (e.g., the Okavango), rivers (e.g., the Zambezi), and other areas that are important sources of fuelwood, poles, canoe trees, thatching grass, clay, medicinal plants, game, fish, mopane worms, honey, wild fruits, bulbs, lilies, mushrooms, livestock fodder, and other “veld products” and resources. <i>(Per: Garekae et al, 2016; FAO, 2020; CBD, undated; DEA, 2016; DeCauwer, 2018; DeCauwer, 2018).</i>			
For all HCV Interpretations.	Supplemental BAI may include databases, maps, and community development organizations and professionals.		
<b>Element 2: Sites and resources fundamental for satisfying the basic necessities of <i>Indigenous Peoples</i>* (for livelihoods, health, nutrition, water, etc.):</b>			
Watersheds, rivers, streams, and other water sources relied upon for drinking, other daily use, or irrigation.	Culturally appropriate engagement with the Indigenous Peoples.	X	X
Hunting grounds, fisheries, fuelwood, plants, grazing areas, growing areas, and other sites and resources used for subsistence or to satisfy basic needs <i>(not inclusive of poaching, illegal harvest, wildlife hunting for non-local trade, unsustainable harvest levels, or harvest that harms RTEs or other HCVs).</i>	Culturally appropriate engagement with the Indigenous Peoples.	X	X
See also the Interpretations for Element 1.			



For all HCV Interpretations.	Supplemental BAI may include databases, maps, and organizations that represent or provide services for Indigenous Peoples.		

### B. Assessments for HCV 5

National or Regional methodologies for assessing occurrences of the HCV 5 Interpretations:	Best Available Information* for assessing occurrences:	BAI >SLIMF	BAI SLIMF
For all HCV 5 Interpretations: Use culturally appropriate engagement, per the Overarching BAI. Also consider participatory mapping with the communities or Indigenous Peoples.	The local communities and Indigenous Peoples.	X	X
Consider whether specific levels and practices of hunting, fishing, fuelwood harvest, and other woodland utilization are sustaining the resource, and also avoiding harm to biodiversity and other HCVs.			
For sites and resources related to Indigenous Peoples, assessments should not assume that existing laws or practices recognize or respect Indigenous Peoples or their rights. (Per: IWGIA, 2020; CS, 2017; Sarkin et al, 2009)			
For additional guidance on assessing HCV 5, consider: FSC (2020a) and HCVRN (2017) (e.g., Chapter 2, Best Practice Considerations for HCV Assessments, and Chapter 3.5, Identification of HCV 5).			

### C. Strategies for Maintaining and Enhancing HCV 5

National or Regional strategies for maintaining and/or enhancing the HCV 5 Interpretations:	Best Available Information* for management strategies:	BAI >SLIMF	BAI SLIMF

For all HCV 5 Interpretations: Strategies to protect the community's and/or <i>Indigenous Peoples</i> ** needs in relation to the <i>Management Unit</i> * are developed in cooperation with representatives and members of <i>local communities</i> * and <i>Indigenous Peoples</i> *.	The local communities and Indigenous People.	X	X
For water sources relied upon by local communities and/or Indigenous Peoples: Recognize and respect any applicable customary water management systems. (Per: Gondo et al, 2019)			
Where Indigenous Peoples rely on hunting, or need to rely on it: Issue subsistence hunting licenses (hunting “for the pot”). (Per: IWGIA, 2020; CS, 2017)			
<i>Note that strategies should not include utilization that does not sustain the resource, or that harms other HCVs.</i>			
<i>Note that strategies should not assume existing laws protect Indigenous Peoples’ rights and access to resources. (Per: IWGIA, 2020; CS, 2017; Sarkin et al, 2009)</i>			
For additional guidance, consider: FSC (2020a) and HCVRN (2018) (e.g., Part 2).			

#### D. Monitoring for HCV 5

National or Regional methodologies for monitoring occurrences of the HCV 5 Interpretations:	Best Available Information* for monitoring occurrences:	BAI >SLIMF	BAI SLIMF
Monitoring conducted by the local communities or Indigenous Peoples, or using methods developed in cooperation with them through culturally appropriate engagement.			
For additional guidance, consider: FSC (2020) and HCVRN (2018) (e.g., Part 3).			

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**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.**

All information in the following sections applies to all Organizations. The exception is BAI that is not shown as applicable to SLIMFs or other Organizations (>SLIMF); however, the Interpretations, Strategies, and Assessment and Monitoring methods still apply. See also the Overarching BAI listed above.

*Note: Indigenous Peoples in Botswana include the San (Basarwa), Balala, and Nama Peoples. (Per: IWGIA, 2020)*

**A. National or Regional Interpretations of HCV 6, for HCV Identification**

National or Regional Interpretations of HCV 6:	Best Available Information* for identifying occurrences of the Interpretations:	BAI >SLIMF	BAI SLIMF
<b>Element 1: Sites, resources, <i>habitats</i>* and <i>landscapes</i>* of global or national cultural, archaeological or historical significance:</b>			
All national heritage sites, World Heritage sites, i.e., Tsodilo.	UNESCO World Heritage sites (see <i>References</i> ).	X	X
Per the precautionary approach and pending further assessment: Proposed World Heritage sites, i.e, Makgadikgadi Pans Landscape, Gcwihaba Caves, Mapungubwe Cultural Landscape, Toutswemogala Hill Iron Age Settlement, Tswapong Hills Cultural Landscape.	UNESCO World Heritage sites (see <i>References</i> ).	X	
Other internationally or nationally important cultural, archaeological, or historical sites, resources, habitats, or landscapes	Department of National Museum & Monuments, MENT. Other expert organizations.	X	

<b>Element 2: Sites, resources, <i>habitats</i>* and <i>landscapes</i>* of <i>critical</i>* cultural, ecological, economic or religious/sacred importance for the traditional cultures of <i>local communities</i>*:</b>			
Sites, resources, habitats, or landscapes of cultural, ecological, economic, or religious/sacred importance to local communities	Culturally appropriate engagement with the local communities.	X	X
For all Interpretations.	Supplemental BAI may include databases, maps, and experts, e.g., community development organizations.		
<b>Element 3: Sites, resources, <i>habitats</i>* and <i>landscapes</i>* of <i>critical</i>* cultural, ecological, economic or religious/sacred importance for the traditional cultures of Indigenous Peoples:</b>			
Sites, resources, habitats, or landscapes of cultural, ecological, economic, or religious/sacred importance to Indigenous Peoples, including but not limited to: plants, animals, and sites used for traditional ceremonies	Culturally appropriate engagement with the Indigenous Peoples.	X	X
For all Interpretations.	Supplemental BAI may include databases, organizations that represent or provide services for Indigenous Peoples, and archaeologists and anthropologists.		

## B. Assessments for HCV 6

<b>National or Regional methodologies for assessing occurrences of the HCV 6 Interpretations:</b>	<b><i>Best Available Information</i>* for assessing occurrences:</b>	<b>BAI &gt;SLIMF</b>	<b>BAI SLIMF</b>
For Interpretations for Elements 2 and 3, HCVs important to local communities and Indigenous Peoples: Use culturally appropriate engagement, per the Overarching BAI. Also consider interactive mapping with the communities and Indigenous Peoples	The local communities and Indigenous Peoples.	X	X

For sites and resources related to Indigenous Peoples, assessments should not assume that existing laws or practices recognize or respect Indigenous Peoples or their rights. (Per: IWGIA, 2020; CS, 2017; Sarkin et al, 2009)			

### C. Strategies for Maintaining and Enhancing HCV 6

<b>National or Regional strategies for maintaining and/or enhancing the HCV 6 Interpretations:</b>	<b>Best Available Information* for management strategies:</b>	<b>BAI &gt;SLIMF</b>	<b>BAI SLIMF</b>
For HCV occurrences related to Indigenous Peoples and/or local communities: Strategies to protect the cultural values are developed in cooperation with representatives and members of the <i>local communities*</i> and the <i>Indigenous Peoples*</i> .	The local communities and Indigenous Peoples.	X	X
For other HCV occurrences identified primarily due to historical or archaeological significance: Strategies are based on Best Available Information, and considered effective for maintaining and/or enhancing the HCV.			
For Tsodilo: Protect from intensive development, including oil extraction. (Per: Louw, 2022)			
<i>Note that strategies should not assume existing laws protect Indigenous Peoples' rights and resources. (Per: IWGIA, 2020; CS, 2017; Sarkin et al, 2009)</i>			
For additional guidance, consider: FSC (2020a) and HCVRN (2018) (e.g., Part 2).			

#### D. Monitoring for HCV 6

National or Regional methodologies for monitoring occurrences of the HCV 6 Interpretations:	<i>Best Available Information*</i> for monitoring occurrences:	BAI >SLIMF	BAI SLIMF
For HCV occurrences related to local communities or Indigenous Peoples: Monitoring conducted by local communities or Indigenous Peoples, or using methods developed in cooperation with them through culturally appropriate engagement.			
For additional guidance, consider: FSC (2020a) and HCVRN (2018) (e.g., Part 3)			

## Examples of Relevant Stakeholders and Experts

*(This is a list of stakeholder and expert organizations likely to be relevant to HCV assessments, strategies, and/or monitoring, either in general, or for particular HCV categories or elements. The list is not exhaustive, may need to change over time, and can be updated by standards developers. Where additional stakeholders and experts are relevant to specific management units, they should also be identified and considered by managers.)*

### **Environmental Stakeholders:**

- Birdlife Botswana
- Botswana Predator Conservation Trust
- Elephants for Africa
- Kalahari Conservation Society
- Kalahari Wildlands Trust (KWT)
- Peace Parks Foundation

### **Social Stakeholders and Community Development Organizations:**

- CARACAL
- Peace Parks Foundation

### **Indigenous Peoples' Organizations:**

- Botswana Khwedom Council (BKC)
- Kalahari Peoples Fund
- Kalahari Wildlands Trust (KWT)
- Kuru Family of Organizations (KFO)
- Working Group of Indigenous Minorities in Southern Africa (WIMSA)

### **Other Expert Organizations:**

- Botswana International University of Science and Technology
- Botswana University of Agriculture and Natural Resources (BUAN)
- Chobe Research Institute
- Department of Environmental Science, University of Botswana
- Okavango Research Institute, University of Botswana (ORI-UB)
- Southern African Science Service Center for Climate Change and Adaptive Management (SASSCCC)

### **Government Agencies:**

- Archaeology and Heritage Management, Department of National Museum and Monuments, Ministry of Environment, Natural Resources Conservation and Tourism (MENT)
- Department of Environmental Affairs (DEA), MENT
- Department of Forestry and Rangeland Resources (DFRR), MENT
- Department of Water Affairs
- Department of Wildlife and National Parks (DWNP), MENT
- Forest Conservation Botswana (FWB)
- Okavango River Basin Water Commission (OKACOM)
- Research Division, DWNP, MENT

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*(Relevant references may include weblinks or full references for BAI listed above, as well as supporting references for HCV Interpretations.)*

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<http://www.datazone.birdlife.org/country/botswana/ibas>. For a list of IBAs with more information on each, see:  
<http://www.datazone.birdlife.org/site/results?cty=28&fam=0&gen=0>. For IBAs that may not be covered by protected areas, see Key Biodiversity Areas below.

IUCN Red List. See: <https://www.iucnredlist.org/search?searchType=species>

IUCN Red List of Ecosystems. See <http://iucnrle.org/assessments/>; and <http://iucnrle.org/resources/published-assessments/>

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- Makgadikgadi Pans (areas beyond National Park). <https://www.keybiodiversityareas.org/site/factsheet/6049>
- Southeast Botswana. <https://www.keybiodiversityareas.org/site/factsheet/6055>
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- Birdlife Botswana. Threatened birds of Botswana. <http://www.birdlifebotswana.org.bw/threatened-bird-database>.
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Protected Areas:

- UNEP-WCMC. 2022. Protected Area Profile for Botswana from the World Database of Protected Areas. Information accessed May, 2022. Note the following information may not cover all protected areas.

- Overview map showing protected areas:  
<https://www.protectedplanet.net/country/BWA>
- List of areas with links to more information:  
[https://www.protectedplanet.net/en/search-areas?filters%5Blocation%5D%5Btype%5D=country&filters%5Bdb\\_type%5D%5B%5D=wdpa&filters%5Blocation%5D%5Boptions%5D%5B%5D=Botswana](https://www.protectedplanet.net/en/search-areas?filters%5Blocation%5D%5Btype%5D=country&filters%5Bdb_type%5D%5B%5D=wdpa&filters%5Blocation%5D%5Boptions%5D%5B%5D=Botswana)

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<https://whc.unesco.org/en/list/1432>. For the Tsodilo site, see:

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<https://whc.unesco.org/en/tentativelists/5555/>; Chobe Linyanti System,

<https://whc.unesco.org/en/tentativelists/5556/>; Makgadikgadi Pans Landscape.

<https://whc.unesco.org/en/tentativelists/5559/>; Gcwihaba Caves,

<https://whc.unesco.org/en/tentativelists/5558/>. Sites proposed for cultural or

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<https://whc.unesco.org/en/tentativelists/5559/>; Gcwihaba Caves,

<https://whc.unesco.org/en/tentativelists/5558/>; Mapungubwe Cultural Landscape

(Trans-boundary Listing), <https://whc.unesco.org/en/tentativelists/5557/>;

Toutswemogala Hill Iron Age Settlement,

<https://whc.unesco.org/en/tentativelists/1340/>; Tswapong Hills Cultural Landscape,

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<https://databasin.org/maps/new#datasets=a5b34649cc69417ba52ac8e2dce34c3b>

## Annex K Glossary of terms

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

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

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

**Adaptive management:** A systematic process of continually improving management policies and practices by learning from the outcomes of existing measures (Source: FSC-STD-01-001 V5-2, based on International Union for Conservation of Nature (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 V5-2).

**Affected Rights Holder:** Persons and groups, including *Indigenous Peoples\**, *traditional peoples\** and *local communities\** with legal or *customary rights\** whose *Free, Prior and Informed Consent\** is required to determine management decisions (Source: (Source: FSC-STD-60-004 V2-0).

**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: FSC-STD-01-001 V5-2, based on 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 V5-2).

**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*\* (Source: FSC-STD-60-004 V2-0).

**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 (Source: FSC-STD-60-004 V2-0).

**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: FSC-STD-60-004 V2-0, based on Convention on Biological Diversity (CBD) 1992, Article 2).

**Biological control agents:** Organisms used to eliminate or regulate the population of other organisms (Source: FSC-STD-60-004 V2-0, based on International Union for Conservation of Nature (IUCN). Glossary definitions as provided on IUCN website).

**Child:** any person under the age of 18 (Source: FSC-STD-60-004 V2-0, based on International Labour Organization (ILO) Convention 182, Article 2).

**Collective bargaining:** a voluntary negotiation process between employers or employers' organization and *workers' organization*\*, with a view to the regulation of terms and conditions of employment by means of collective agreements (Source: FSC-STD-60-004 V2-0, based on International Labour Organization (ILO) Convention 98, Article 4).

**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 (Source: FSC-STD-60-004 V2-0).

**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 (Source: FSC-STD-60-004 V2-0, based on R.T.T. Forman. 1995. Land Mosaics. The Ecology of Landscapes and Regions. Cambridge University Press, 632pp). Aquatic connectivity deals with the accessibility and transport of materials and organisms, through groundwater and surface water, between different patches of aquatic ecosystems of all kinds (Source: FSC-STD-60-004 V2-0).

**Conservation/Protection:** These words are used interchangeably when referring to management activities designed to maintain the identified environmental or cultural values in existence *long-term*\*. Management activities may range from zero or minimal interventions to a specified range of appropriate interventions and activities



designed to maintain, or compatible with maintaining, these identified values (Source: FSC-STD-01-001 V5-2).

**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*\* (Source: FSC-STD-60-004 V2-0).

**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 V5-2).

**Core area:** The portion of each *Intact Forest Landscape*\* designated to contain the most important cultural and ecological values. *Core areas*\* are managed to exclude *industrial activity*\*. *Core Areas*\* meet or exceed the definition of *Intact Forest Landscape*\* (Source: FSC-STD-60-004 V2-0).

**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 V5-2).

**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 (Source: FSC-STD-60-004 V2-0).

**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: FSC-STD-01-001 V5-2, 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 V5-2).

**Discrimination:** includes- a) any distinction, exclusion or preference made on the basis of race, colour, sex, religion, political opinion, national extraction, social origin, sexual orientation, which has the effect of nullifying or impairing equality of opportunity or treatment in employment or occupation; b) such other distinction, exclusion or preference which has the effect of nullifying or impairing equality of opportunity or treatment in employment or occupation as may be determined by the Member concerned after consultation with representative employers' and *workers' organization*\* where such exist, and with other appropriate bodies (Source: FSC-STD-60-004 V2-0, adapted from International Labour Organization (ILO) Convention 111, Article1). 'Sexual orientation' was added to the definition provided in Convention 111, as it has been identified as an additional type of discrimination which may occur.

**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: FSC-STD-01-001 V5-2, based on FSC-PRO-01-005 V3-0 Processing Appeals).

**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*\* (Source: FSC-STD-60-004 V2-0).

**Due consideration:** To give such weight or significance to a particular factor as under the circumstances it seems to merit, and this involves discretion (Source: FSC-STD-60-004 V2-0, based on Black's Law Dictionary, 1979).

**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: FSC-STD-01-001 V5-2, based on the definition provided on the website of the European Environment Agency).

**Eco-regional:** Large unit of land or water containing a geographically distinct assemblage of species, natural communities, and environmental conditions (Source: FSC-STD-60-004 V2-0, based on WWF Global 200. [http://wwf.panda.org/about\\_our\\_earth/ecoregions/about/what\\_is\\_an\\_ecoregion/](http://wwf.panda.org/about_our_earth/ecoregions/about/what_is_an_ecoregion/)).

**Ecosystem:** A dynamic complex of plant, animal and micro-organism communities and their non-living environment interacting as a functional unit (Source: FSC-STD-01-001 V5-2, based on Convention on Biological Diversity (CBD) 1992, Article 2).

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

primary productivity, food chain, biogeochemical cycles). *Ecosystem functions\** include such processes as decomposition, production, nutrient cycling, and fluxes of nutrients and energy. For FSC purposes, this definition includes ecological and evolutionary processes such as gene flow and disturbance regimes, regeneration cycles and ecological seral development (succession) stages. (Source: FSC-STD-01-001 V5-2, based on R. Hassan, R. Scholes and N. Ash. 2005. Ecosystems and Human Well-being: Synthesis. The Millennium Ecosystem Assessment Series. Island Press, Washington DC; and R.F. Noss. 1990. Indicators for monitoring biodiversity: a hierarchical approach. Conservation Biology 4(4):355–364).

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

- provisioning services such as food, *forest\** products and water;
- regulating services such as regulation of floods, drought, land degradation, air quality, climate and disease;
- supporting services such as soil formation and nutrient cycling; and
- cultural services and cultural values such as recreational, spiritual, religious and other non-material benefits (Source: FSC-STD-01-001 V5-2, 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).

**Employment and Occupation:** Includes access to vocational training, access to employment and to particular occupations, and terms and conditions of employment (Source: FSC-STD-60-004 V2-0, based on International Labour Organization (ILO) Convention 111, Article1.3).

**Engaging / engagement:** The process by which *The Organization\** communicates, consults and/or provides for the participation of interested and/or *affected stakeholders\** ensuring that their concerns, desires, expectations, needs, rights and opportunities are considered in the establishment, implementation and updating of the *management plan\** (Source: FSC-STD-01-001 V5-2).

**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: FSC-STD-01-001 V5-2, based on Environmental impact assessment, guidelines for FAO field projects. Food and agriculture organization of the United Nations (FAO). Rome).

**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 V5-2).

**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 V5-2).



**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 (Source: FSC-STD-60-004 V2-0).

**Fertilizer:** Mineral or organic substances, most commonly N, P<sub>2</sub>O<sub>5</sub> and K<sub>2</sub>O, which are applied to soil for the purpose of enhancing plant growth (Source: FSC-STD-60-004 V2-0).

**Fibre Testing:** a suite of wood identification technologies used to identify the family, genus, species and origin of solid wood and fibre based products (Source: FSC-STD-60-004 V2-0).

**Forced or compulsory labour:** work or service exacted from any person under the menace of any penalty and for which the said person has not offered himself/ herself voluntarily (Source: FSC-STD-60-004 V2-0, based on International Labour Organization (ILO) Convention 29, Article 2.1).

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

**Formal and informal workers organization:** association or union of *workers\**, whether recognized by law or by *The Organization\** or neither, which have the aim of promoting *workers\** rights and to represent *workers\** in dealings with *The Organization\** particularly regarding working conditions and compensation (Source: FSC-STD-60-004 V2-0).

**Fragmentation:** The process of dividing *habitats\** into smaller patches, which results in the loss of original *habitat\**, loss in *connectivity\**, reduction in patch size, and increasing isolation of patches. *Fragmentation\** is considered to be one of the single most important factors leading to loss of native species, especially in forested *landscapes\**, and one of the primary causes of the present extinction crisis. In reference to *Intact Forest Landscapes\**, the *fragmentation\** of concern is understood to be that caused by human industrial activities. (Source: FSC-STD-60-004 V2-0, adapted from Gerald E. Heilman, Jr. James R. Strittholt Nicholas C. Slosser Dominick A. Dellasala, *BioScience* (2002) 52 (5): 411-422.)

**Free, Prior, and Informed Consent (FPIC):** A *legal\** condition whereby a person or community can be said to have given consent to an action prior to its commencement, based upon a clear appreciation and understanding of the facts, implications and future consequences of that action, and the possession of all relevant facts at the time when consent is given. *Free, prior and Informed Consent\** includes the right to grant, modify, withhold or withdraw approval (Source: FSC-STD-60-004 V2-0, 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 22<sup>nd</sup> 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).

**FSC Transaction:** Purchase or sale of products with FSC claims on sales documents (Source: FSC-STD-60-004 V2-0).

**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: FSC-STD-60-004 V2-0, 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: FSC-STD-60-004 V2-0, based on FSC-POL-30-602 FSC Interpretation on GMO (Genetically Modified Organisms)).

**Genotype:** The genetic constitution of an organism (Source: FSC-STD-01-001 V5-2).

**Good faith:** A process of engagement where the parties make every effort to reach an agreement, conduct genuine and constructive negotiations, avoid delays in negotiations, respect agreements concluded and under development, and give sufficient time to discuss and settle *disputes\** (Source: FSC-STD-60-004 V2-0, adapted from Motion 40:2017).

**Habitat:** The place or type of site where an organism or population occurs (Source: FSC-STD-60-004 V2-0, based on the Convention on Biological Diversity (CBD), 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 (Source: FSC-STD-60-004 V2-0).

**Hazardous work (in the context of child labour):** Any work which is likely to jeopardize children's physical, mental or moral health, should not be undertaken by anyone under the age of 18 years. Hazardous *child\** labour is work in dangerous, or unhealthy conditions that could result in a *child\** being killed or injured/maimed (often permanently) and/or made ill (often permanently) as a consequence of poor safety and health standards and working arrangements. In determining the type of hazard *child\** labour referred to under (Article 3(d) of the Convention No 182, and in identifying where they exist, consideration should be given, inter alia, to

- Work which exposes children to physical, psychological or sexual abuse;
- Work underground, under water at dangerous heights or in confined spaces;
- Work with dangerous machinery, equipment and tools, or which involves the manual handling or transport of heavy loads;
- Work in unhealthy environment which may, for examples, expose children to hazardous substances, agents or processes, or to temperatures, noise levels, or vibrations damaging to their health;

- Work under particularly difficult conditions such as work for long hours or during the night or work where the *child*\* is unreasonably confined to the premises of the employer (Source: FSC-STD-60-004 V2-0, based on International Labour Organization (ILO), 2011: IPEC Mainstreaming Child labour concerns in education sector plans and Programmes, Geneva, 2011& ILO Handbook on Hazardous child labour, 2011).

**Heavy work (in the context of child labour):** refers to work that is likely to be harmful or dangerous to children’s health (Source: FSC-STD-60-004 V2-0, based on FSC report on generic criteria and indicators based on International Labour Organization (ILO) Core Conventions principles, 2017).

**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 V5-2).

**High Conservation Value Areas:** Zones and physical spaces which possess and/or are needed for the existence and maintenance of identified *High Conservation Values*\* (Source: FSC-STD-60-004 V2-0).

**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: FSC-STD-60-004 V2-0, based on Glossary of Forest Management Terms. North Carolina Division of Forest Resources. March 2009).

**ILO Core (Fundamental) Conventions:** these are labour standards that cover fundamental principles and rights at work: freedom of association and the effective recognition of the right to *collective bargaining*\*; the elimination of all forms of *forced or compulsory labour*\*; the effective abolition of *child*\* labour; and the elimination of *discrimination*\* in respect of *employment and occupation*\*. The eight Fundamental Conventions are:

- Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87)
- Right to Organise and Collective Bargaining Convention, 1949 (No. 98)
- Forced Labour Convention, 1930 (No. 29)
- Abolition of Forced Labour Convention, 1957 (No. 105)
- Minimum Age Convention, 1973 (No. 138)
- Worst Forms of Child Labour Convention, 1999 (No. 182)
- Equal Remuneration Convention, 1951 (No. 100)
- *Discrimination\** (Employment and Occupation) Convention, 1958 (No. 111) (Source: FSC-STD-60-004 V2-0, based on FSC report on generic criteria and indicators based on International Labour Organization (ILO) Core Conventions principles, 2017).

**ILO Declaration on Fundamental Principles and Rights at Work and its Followup, adopted by the International Labour conference at its Eighty-sixth Session, Geneva, 18th June 1998 (Annex revised 15 June 2010):** is a resolute reaffirmation of ILO principles (art 2) which declares that all Members, even if they have not ratified the Conventions in question, have an obligation, arising from the very fact of membership in the organization, to respect, to promote and to realize, in *good faith* \* and in accordance with the Constitution, the principles concerning the fundamental rights which are the subject of those Conventions, namely:

- Freedom of association and the effective recognition of the right to *collective bargaining\**;
- The elimination of all forms of *forced or compulsory labour\**;
- The effective abolition of *child\** labour; and
- The elimination of *discrimination\** in respect of *employment and occupation\** (Source: FSC-STD-60-004 V2-0, based on FSC report on generic criteria and indicators based on International Labour Organization (ILO) Core Conventions principles, 2017).

**Indicator:** A quantitative or qualitative variable which can be measured or described, and which provides a means of judging whether a *Management Unit\** complies with the requirements of an *FSC Criterion\**. *Indicators\** and the associated thresholds thereby define the requirements for responsible *forest\** management at the level of the *Management Unit\** and are the primary basis of forest evaluation (Source: FSC-STD-60-004 V2-0).

**Indigenous cultural landscapes:** *Indigenous cultural landscapes\** are living landscapes to which *Indigenous Peoples\** attribute environmental, social, cultural and economic value because of their enduring relationship with the land, water, fauna, flora and spirits and their present and future importance to their cultural identity. An *Indigenous cultural landscape\** is characterized by features that have been maintained through *long-term\** interactions based on land-care knowledge, and adaptive livelihood practices. They are landscapes over which *Indigenous Peoples\** exercise responsibility for stewardship (Source: FSC-STD-60-004 V2-0).

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

- The key characteristic or *Criterion\** is self-identification as *Indigenous Peoples\** at the individual level and acceptance by the community as their member;
- Historical continuity with pre-colonial and/or pre-settler societies;
- Strong link to territories and surrounding natural resources;
- Distinct social, economic or political systems;
- Distinct language, culture and beliefs;

- Form non-dominant groups of society;
- Resolve to maintain and reproduce their ancestral environments and systems as distinctive peoples and communities (Source: FSC-STD-01-001 V5-2, adapted from United Nations Permanent Forum on Indigenous, Factsheet 'Who are Indigenous Peoples' October 2007; United Nations Development Group, 'Guidelines on Indigenous Peoples' Issues' United Nations 2009, United Nations Declaration on the Rights of Indigenous Peoples, 13 September 2007).

**Industrial activity:** Industrial forest and resource management activities such as road building, mining, dams, urban development and timber harvesting (Source: FSC-STD-60-004 V2-0).

**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\** (Source: FSC-STD-60-004 V2-0).

**Intact Forest Landscape:** A territory within today's global extent of *forest\** cover which contains forest and non-forest ecosystems minimally influenced by human economic activity, with an area of at least 500 km<sup>2</sup> (50,000 ha) and a minimal width of 10 km (measured as the diameter of a circle that is entirely inscribed within the boundaries of the territory) (Source: FSC-STD-60-004 V2-0, based on 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: FSC-STD-01-001 V5-2, based on the Convention on Biological Diversity (CBD), 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 V5-2).

**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 V5-2).

**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 V5-2).

**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: FSC-STD-60-004 V2-0, 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: FSC-STD-60-004 V2-0, based on International Union for Conservation of Nature (IUCN). Glossary definitions as provided on IUCN website). The quality of the landscape may be met by the management unit itself

**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: FSC-STD-60-004 V2-0, 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 V5-2).

**Legally competent:** Mandated in law to perform a certain function (Source: FSC-STD-01-001 V5-2).

**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 V5-2).

**Light work:** *National laws\** or regulations may permit the employment or work of persons 13 to 15 years of age on light work which is- a) not likely to be harmful to their health or development; and b) not such as to prejudice their attendance at school, their participation in vocational orientation or training programmes approved by the competent authority or their capacity to benefit from the instruction received (Source: FSC-STD-60-004 V2-0, based on International Labour Organization (ILO) Convention138, Article7).

**Living wage:** The level of wages sufficient to meet the basic living needs of an average-sized family in a particular economy (Source: FSC-STD-60-004 V2-0, based on International Labour Organization (ILO). Bureau of Library and Information Services. ILO Thesaurus as provided on ILO website).

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

management activities or the biophysical aspects of the *Management Unit*\* (Source: FSC-STD-01-001 V5-2).

**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 V5-2).

**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).

**Management objective:** Specific management goals, practices, outcomes, and approaches established to achieve the requirements of this standard (Source: FSC-STD-60-004 V2-0).

**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 V5-2).

**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 V5-2).

**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 V5-2).

**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: FSC-STD-01-001 V5-2, based on 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 V5-2).

**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 V5-2).

**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 (Source: FSC-STD-60-004 V2-0).

**Non-timber forest products (NTFP):** All products other than timber derived from the *Management Unit\** (Source: FSC-STD-01-001 V5-2).

**Objective:** The basic purpose laid down by *The Organization\** for the *forest\** enterprise, including the decision of policy and the choice of means for attaining the purpose (Source: FSC-STD-60-004 V2-0, based on F.C. Osmaston. 1968. The Management of Forests. Hafner, New York; and D.R. Johnston, A.J. Grayson and R.T. Bradley. 1967. Forest Planning. Faber & Faber, London).

**Obligatory code of practice:** A manual or handbook or other source of technical instruction which *The Organization\** must implement by law (Source: FSC-STD-01-001 V5-2).

**Occupational accident:** An occurrence arising out of, or in the course of, work which results in fatal or non-fatal injury (Source: FSC-STD-01-001 V5-2, based on 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: FSC-STD-01-001 V5-2, based on 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: FSC-STD-01-001 V5-2, based on 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 V5-2).

**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: FSC-STD-60-004 V2-0, based on 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, larvacides, fungicides and herbicides (Source: FSC-STD-01-001 V5-2).

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

- Areas which would initially have complied with this definition of ‘plantation’ but which, after the passage of years, contain many or most of the principal characteristics and key elements of *native ecosystems\**, may be classified as *natural forests\**.
- Plantations managed to *restore\** and enhance biological and *habitat\** diversity, structural complexity and *ecosystem functionality\** may, after the passage of years, be classified as natural forests.
- Boreal and north temperate *forests\** which are naturally composed of only one or few tree species, in which a combination of natural and artificial regeneration is used to regenerate *forest\** of the same *native species\**, with most of the principal characteristics and key elements of *native ecosystems\** of that site, may be considered as *natural forest\**, and this regeneration is not by itself considered as conversion to *plantations\** (Source: FSC-STD-01-001 V5-2).

**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: FSC-STD-01-001 V5-2, 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 (Source: FSC-STD-60-004 V2-0).

**Principle:** An essential rule or element; in FSC’s case, of forest stewardship (Source: FSC-STD-01-001 V5-2).

**Protection:** See definition of *Conservation\** (Source: FSC-STD-60-004 V2-0).

**Protection Area:** See definition of Conservation Zone (Source: FSC-STD-60-004 V2-0).

**Publicly available:** In a manner accessible to or observable by people generally (Source: FSC-STD-60-004 V2-0, based on 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: FSC-STD-60-004 V2-0, based on International Union for Conservation of Nature (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 V5-2).

**Reasonable:** Judged to be fair or appropriate to the circumstances or purposes, based on general experience (Source: FSC-STD-60-004 V2-0, based on Shorter Oxford English Dictionary).

**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: FSC-STD-60-004 V2-0, based on 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 (Source: FSC-STD-60-004 V2-0).

**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: FSC-STD-60-004 V2-0, based on International Union for Conservation of Nature (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 V5-2).

*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 (Source: FSC-STD-01-001 V5-2).

*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 (Source: FSC-STD-01-001 V5-2).

**Riparian zone:** Interface between land and a *water body*\*, and the vegetation associated with it (Source: FSC-STD-60-004 V2-0).

**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 V5-2).

**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 V5-2).

**Scale, intensity and risk:** See individual definitions of the terms 'scale', 'intensity', and 'risk' (Source: FSC-STD-60-004 V2-0).

**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 *The 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 V5-2).

**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: FSC-STD-01-001 V5-2, based on 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' (Source: FSC-STD-01-001 V5-2).

**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: FSC-STD-01-001 V5-2, based on International Union for Conservation of Nature (IUCN). Glossary definitions provided on IUCN website).

**Threat:** An indication or warning of impending or likely damage or negative impacts (Source: FSC-STD-60-004 V2-0, 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: FSC-STD-60-004 V2-0, based on International Union for Conservation of Nature (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 (Source: FSC-STD-60-004 V2-0).

**Timely manner:** As promptly as circumstances reasonably allow; not intentionally postponed by *The Organization*\*; in compliance with *applicable laws*\*, contracts, licenses or invoices (Source: FSC-STD-60-004 V2-0).

**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: FSC-STD-60-004 V2-0, 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: FSC-STD-60-004 V2-0, Forest Peoples Programme (Marcus Colchester, 7 October 2009).

**Transaction verification:** Verification by certification bodies and/or Accreditation Services International (ASI) that FSC output claims made by certificate holders are accurate and match with the FSC input claims of their trading partners (Source: FSC-STD-40-004 V3-0).

**Uphold:** To acknowledge, respect, sustain and support (Source: FSC-STD-01-001 V5-2).

**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 V5-2).

**Vast majority:** 80% of the total area of *Intact Forest Landscapes*\* within the *Management Unit*\* as of January 1, 2017. The *vast majority*\* also meets or exceeds the minimum definition of *Intact Forest Landscape*\* (Source: FSC-STD-60-004 V2-0).

**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 (Source: FSC-STD-60-004 V2-0).



**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: FSC-STD-01-002).

**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 (Source: FSC-STD-60-004 V2-0).

**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 (Source: FSC-STD-60-004 V2-0).

**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: FSC-STD-60-004 V2-0, based on Cowardin, L.M., Carter, V., Golet, F.C., Laroe, E.T. 1979. Classification of Wetlands and Deepwater Habitats of the United States. DC US Department: Washington).

Under the Ramsar Convention, wetlands can include tidal mudflats, natural ponds, marshes, potholes, wet meadows, bogs, *peatlands*\*, freshwater swamps, mangroves, lakes, rivers and even some coral reefs (Source: FSC-STD-60-004 V2-0, based on International Union for Conservation of Nature (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: FSC-STD-60-004 V2-0, based on International Labor Organization (ILO) Convention 155, Occupational Safety and Health Convention, 1981).

**Workers’ organization:** any organization of *workers*\*\_for furthering and defending the interest of *workers*\*\_(adapted from ILO Convention 87, Article 10). It is important to note that rules and guidance on composition of workers’ organization vary from country to country, especially in relation to those who are considered as rank and file members, as well those who are deemed to have power to “hire and fire”. Workers’ organizations tend to separate association between those who can “hire and fire” and those who cannot (Source: FSC-STD-60-004 V2-0, based on report on generic criteria and indicators based on International Labour Organization (ILO) Core Conventions principles, 2017).

**Worst forms of child labour:** comprises a) all forms of slavery or practices similar to slavery, such as the sale and trafficking of children, debt bondage and serfdom and forced labour, including forced or compulsory recruitment of children for use in armed conflict; b) the use, procuring or offering of a *child*\* for prostitution, for the production of pornography or for pornographic performance; c) the use, procuring or offering of a *child*\* for illicit activities, in particular for production and trafficking of drugs as defined in the relevant international treaties; d) work which, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morals of children (Source: FSC-STD-60-004 V2-0, based on International Labour Organization (ILO) Convention 182, Article 3).



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