



Forest Stewardship Council®



# The FSC Interim National Standard of THE FEDERAL DEMOCRATIC REPUBLIC OF ETHIOPIA

## *FSC-STD-XXX-VV-YYYY Description LA*



**Photo credit**

From left to right:


Photo 1: Savinja river, Slovenia, by 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 National Forest Stewardship Standard that is approved by FSC International, 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. 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.

and market transformation, shifting the global forest trend toward sustainable use, conservation, restoration, and respect for all.

## Foreword

### 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 conformance 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>	THE FEDERAL DEMOCRATIC REPUBLIC OF ETHIOPIA
<b>Forest types</b>	All forest types, Plantations, Natural forests including Bamboo Forests
<b>Ownership types</b>	All types of ownerships, including public, private and others
<b>Scale and intensity categories</b> (according to section 6 of FSC-STD-60-002)	All categories of Management Units, including small and low intensity managed forests (SLIMFs) <i>(See section C for the applicable SLIMF eligibility criteria for this country)</i>
<b>Forest products</b> (according to FSC-STD-40-004a)	Rough wood NTFPs: (Honey, Wild coffee (Coffee Arabica), Ethiopian long pepper/African long pepper (Piper capense), Ethiopian cardamom/Korarima (Aframomum Corrorima)

### 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 geographical 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 conformance with the requirements in this standard lies with the person(s) or entities that is/are the certificate applicant or holder. For the purpose of FSC certification these person(s) or entities are referred to as 'The Organization'.

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

The Organization is also responsible for demonstrating that other persons or entities that are permitted or contracted by The Organization to operate in, or for the benefit of the Management Unit, conform with 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, except those indicated as "Not applicable for SLIMF". Where specific SLIMF indicators exist (marked as e.g. "SLIMF 3.5.1"), The Organizations above 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"), The Organizations above 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)

With its dramatic geological history, broad latitudinal spread and immense altitudinal range, Ethiopia spans a remarkable number of the world's broad ecological regions. These range from the depressions in the Afar (115 m below sea level) to the spectacular mountaintops of Ras Dashen in the north and the Bale Mountains in the southeast. This variety of habitats also supports a rich variety of different species, which contributes to the overall biological diversity (or "biodiversity") of the country. Ethiopia has some of the world's rarest animals and plants, but these are now in danger of disappearing forever due to overuse and loss of natural habitat. Recent data on the forest resources of Ethiopia, documented in FAO's Forest Resources Assessment (FRA), puts Ethiopia among countries that have forest cover ranging between 10 to 30 percent of their total land area. According to FRA (FAO, 2015), Ethiopia's forest cover is 12.4 million hectares (11.5 percent). Factors that contributed to accelerating the decline of vegetation cover in the country between 1990 and 2010 include the high level of poverty, coupled with the increase in human population, the consequent demand for forest products such as firewood and the subsequent conversion of forests and woodlands into farmlands and settlements. Between 1990 and 2000, the extent of Ethiopia's forests (including both forests and woodland) decreased by 1.4 million hectares. By 2005, the forest cover had further declined and was estimated to cover 13.0 million hectares. In other words, Ethiopia lost over two million hectares of forest, with an annual average loss of 140 000 hectares (FAO, 2015), between 1990 and 2005. Currently, the forested area is estimated to be 12.4 million hectares, which represents 11.4 percent of the total land area. The main reasons for deforestation are clearing of forests and woodlands for agricultural purposes, fuelwood, charcoal production and construction materials. The fact that plantation forestry has been very far from meeting the country's demand for wood indicates the inevitability of deforestation. The underlying causes of deforestation are closely linked with the vicious cycle of mutually reinforcing factors such as poverty, population growth, poor economic growth and the state of the environment. The Government of Ethiopia has devised a strategy to reverse the situation by means of tree-planting activities. The tree-planting campaign has been conducted throughout the country on an annual basis since 2008 and according to government information, forest cover is increasing. Between 2010 and 2015 an increase in forested area has been recorded, with an estimated gain of 40 000 hectares a year (FAO, 2015). To conserve and protect the forest resources of the country, Ethiopia has established protected forest areas, which are about 80 in number and represent a total area of 26 879.15 km<sup>2</sup>. Ethiopia the contribution of forests to local livelihoods and the national economy is significant but is largely unrecorded and hence unrecognized. Forest resources are among several natural resources that have substantial socioeconomic, cultural and ecological importance in Ethiopia. There is a growing awareness of the significance of forest resources and the link between biodiversity, ecosystem services and human well-being (EFS, 2014). Forests are also the source of timber and non-timber forest products (NTFPs). The economic value of Ethiopian forests is not given the proper attention, even if they are sources of ecosystem services, including NTFPs that sustain rural livelihoods. The most important NTFPs that generate substantial income for rural households and foreign currency earnings in Ethiopia are coffee, honey and natural gums and resins. Ethiopia has a National Conservation Strategy (EPA, 1997) and put in place an Environmental Policy in 1997. Regional States have formulated their own 'Regional Conservation Strategies', including Tigray, Afar, Amhara, Oromia, Somali, Southern Nations, Nationalities and Peoples, Gambella and Benshangul-Gumuz Regional States. In Ethiopia, total wood production was estimated to increase from

100 718 to 107 943 thousand m<sup>3</sup> between 2005 and 2010. About 97 percent of the total wood production outflow is characterized by fuelwood and charcoal production, while timber and sawn timber contributed a mere three percent. Forest products in Ethiopia are categorized into different subsectors, each contributing to the national GDP. These subsectors are gums and resins, honey, tree seed and seedlings, forest coffee, spices, bamboo, timber and medicinal plants. Timber is the main source of raw material for construction, household utensils and for charcoal production. The Ethiopian forests and woodlands are depositories and gene pools for several domesticated and/or important wild plants and wild relatives of domesticated plants. For example, Coffee (*Coffea arabica*) is found in the wild in the moist evergreen montane forests of the south and southwest of the country. The forest resources are seriously threatened by deforestation, habitat destruction and subsequent decline in regeneration, forest fire and vegetation clearance for farm/settlement establishment. Absence of policy and law addressing farm forestry (agroforestry) and issues related to land and tree tenure have also contributed to the prevailing genetic erosion of fruits and nuts.

A total of 277 mammalian species of which 29 are endemic are known to occur in Ethiopia including those that require urgent conservation action i.e. Walia Ibex (*Capra walie*), Gelada Baboon (*Theropithecus gelada*), Mountain Nyala (*Tragelaphus buxtoni*), Ethiopian Wolf (*Canis simensis*), Starck's Hare (*Lepus starcki*). Some of these endangered species have very restricted distribution, including Walia Ibex, which is the most endangered mammalian species in the world.

Ethiopia has a rich avifauna, with a total of 861 species (about 40% of Africa's total), of the total 29 are endemic, 16 are exclusively restricted to the geographical boundary of Ethiopia while 13 are shared with Eritrea; there are 14 bird species which are vulnerable to extinction (10% chance of disappearance within a 100 years) including Hartwood's Francolin, Prince Ruspoli's Turaco, Greater Spotted Eagle, Lesser Kestrel, Yellow throated Serin, Nechisar Nightjar, Wattled Crane, Degodi Lark, White-tailed Swallow, Sidamo Long-clawed Lark, Lappet-faced Vulture, Abyssinian Bush Crow, Corncrake and Imperial Eagle. There are 16 species, which are near threatened. Ethiopian freshwater bodies are known to contain over 180 species of fish of which some 37-57 are reportedly endemic (see Annex Table 8) (Golubstov and Mina, 2003). The Rift Valley lakes basin has over 25 fish species and accounts for about 50% of total inland fish production. Also, it has already been indicated that the most important commercial types of fish are tilapia, Nile perch and catfish.

Ethiopia's arthropod fauna, including insects, is poorly known. Many insects are of great use to humankind since they are the primary agents of plant pollination and in most communities, they occupy intermediate positions along the food chain. Some are harmful to humankind as they act as vectors to diseases of humans and domestic animals. Insects are dominant in freshwater systems and occupy all conceivable habitats of the earth. However, insect ecosystems can broadly be classified into three major ecosystems, namely aquatic ecosystem, agro-ecosystem and forest ecosystem. The majority of almost all orders of insect species are associated with forest ecosystems.

Out of 277 mammals 29, out of the 862 birds 16, out of 201 reptiles 10, and out of 63 amphibians 34 are endemic to Ethiopia. Out of the bird species, 31 are globally threatened; among these 5 are critically endangered, 12 endangered and 14 are classified as vulnerable species. Various migratory birds considered endangered at the international level also visit about fifty sites in Ethiopia every year.

The major threats to protected areas emanate from settlement within the parks or adjacent to them, crop cultivation, grazing, deforestation and mineral extraction.

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

(Informative section)

(here to add content)

## 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-01-004	<i>Policy for the Association of Organizations with FSC</i>
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). International interpretations are available through the FSC Document Centre (<https://fsc.org/en/document-centre>).

## **D List of Abbreviations**

(Informative section)

(here to add list – optional)

## **E Version history**

(Informative section)

(New standard with no previous FSC versions)

## 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.**



#### INSTRUCTIONS FOR STANDARD DEVELOPERS:

Standard Developers shall:

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

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

---

#### **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.

NTFP 1.1.1.1 NTFPs activities within the scope of the certificate are documented and unchallenged.

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

Verifiers: Certificate of Registration, Management plan, Certificate from the Federal Cooperative Agency, or an organ established at regional levels to execute the cooperative societies proclamation, lead and regulate the cooperative sector

#### **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 1.2.1.1 The organization provides legal tenure or other related evidence that proves rights of resource management and usage of NTFPs within the scope of the certificate and is not subject to dispute\*

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.

1.2.3a A map is available clearly showing legal\* boundaries of the land where harvesting/collection of NTFPs is taking place.

Verifiers: Lease agreement, Land rent agreement, Land grant agreement, Land holding certificate, Kebele (regional government), Maps and land use plans, 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.**



#### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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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*\*.

NTFP 1.3.1.1 The management and use of NTFPs comply with all applicable laws, mandatory normative requirements and customary rights

1.3.1a When NTFPs are aimed to human consumption, all applicable legal and administrative requirements for hygiene and food safety are complied with.

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*\*.

Verifiers: Federal Democratic Republic of Ethiopia Rural Land, Administration and Land Use Proclamation No. 456/2005; Proclamation No. 1065/2018-Forest Development, Conservation and Utilization Proclamation, Proclamation No. 1065/2018-Forest Development, Conservation and Utilization Proclamation and Federal Democratic Republic of Ethiopia Rural Land Administration and Land Use Proclamation No. 456/2005; Public Health Proclamation No. 200/2000; Forest Development, Conservation and Utilization Proclamation No. 1065/2018

**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.**



#### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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

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

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

NTFP 1.4.1a Measures are implemented to provide *protection\** from unauthorized or illegal NTFPs harvesting, collecting 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.

NTFP 1.4.2a 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 NTFPs activities

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

NTFP 1.4.3a If illegal or unauthorized NTFPs harvesting is detected, measures are implemented to address it.

Verifiers: Proclamation No. 1065/2018-Forest Development, Conservation and Utilization Proclamation; Proclamation No. 456/2005; Federal Democratic Republic of Ethiopia Rural Land Administration and Use Proclamation, Regulation No.151/2012; Oromia Region Rural Land Administration and Use Regulation.

**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.

NTFP 1.5.1.1 NTFPs transportation and trade is compliant with applicable national laws\*, local laws\*, ratified\* international conventions and obligatory codes of practice\* up to the point of first sale is demonstrated.

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

NTFP 1.5.2.1 Harvesting and trade in all NTFP Species demonstrates compliance with CITES provisions, including through possession of CITES permits

Verifiers: Proclamation No. 1065/2018-Forest Development, Conservation and Utilization Proclamation; Proclamation No. 575/2008 A Proclamation To Provide For The Establishment Of The Ethiopian Wildlife Development And Conservation; Proclamation No.541/2007.ON To Provide For The Development, Conservation and Utilization Wildlife; Proclamation No.1223/2020 Development, Management and Utilization of Community Watersheds Proclamation.

**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\**.**



#### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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

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

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

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

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

- 1.6.2 *Disputes\** related to issues of *applicable laws\** or *customary law\** that can be settled out of court are responded to in a *timely manner\**, and are either resolved or are in the *dispute\** resolution process.
- 1.6.3 Up to date records of disputes related to issues of *applicable laws\** or *customary law\**, are held including:
- 1) Steps taken to resolve *disputes\**;
  - 2) Outcomes of all *dispute\** resolution processes; and
  - 3) Unresolved *disputes\**, the reasons they are not resolved, and how they will be resolved.
- 1.6.4 Operations cease in areas where *disputes\** exist:
- 1) Of *substantial magnitude\**; or
  - 2) Of *substantial duration\**; or
  - 3) Involving a *significant\** number of interests.

Verifiers: A Regulation to Implement the Oromia Region Customary Courts, Proclamation No. 240/2021, Regulation No. 10/2021.

**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.**



#### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

Where anti-corruption laws and regulations are ineffective or do not exist, Standard Developers shall include other anti-corruption measures that may include for example, *The Organization\** develops or participates in formal integrity pacts with other organizations in the public and private sectors, such that each participant agrees in well publicized statements not to engage in corruption by offering or receiving bribes, whether in money or in any other forms (*Indicator\** 1.7.4).

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

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- 1.7.1 A policy is implemented that includes a commitment not to offer or receive bribes of any description.
- SLIMF 1.7.1.1 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.
- 1.7.3 The policy is *publicly available\** at no cost.
- 1.7.4 Bribery, coercion and other acts of corruption do not occur.
- 1.7.5 Corrective measures are implemented if corruption does occur.

SLIMF 1.7.5.1 Corrective measures are implemented if corruption does occur.

Verifiers: Proclamation No. 1236/2021 The Revised Proclamation for The Establishment of The Federal Ethics and Anti-Corruption Commission Proclamation.

**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.

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

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

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

**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\*.**



### INSTRUCTIONS FOR STANDARD DEVELOPERS:

Standard Developers shall give *due consideration\** to the rights and obligations established by *national law\**, while at the same time fulfilling the *objectives\** of the *indicators\** and sub-indicators in this *Criterion\**.

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

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



**INSTRUCTIONS FOR STANDARD DEVELOPERS:**

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

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

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

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

- 2.2.3 Work typically carried out by women (nurseries, *silviculture\**, *Non-Timber Forest Product\** harvesting, weighing, packing, etc.) is included in training and health & safety programs to the same extent as work typically carried out by men.
- 2.2.4 Women and men are paid the same wage when they do the same work.
- 2.2.5 Women are paid directly and using mutually agreed methods (e.g. direct bank transfer, direct payments for school fees, etc.) to ensure they safely receive and retain their wages as stated in section 57 of chapter 2 of the Ethiopian Labour Proclamation No. 1156/2019.
- 2.2.6 Maternity leave is no less than 30 consecutive days with pay of pre-natal and a period of 90 consecutive days post natal as articulated in section 88 of chapter 1 of the Ethiopian Labour Proclamation No. 1156/2019.
- 2.2.7 Paternity leave of 3 days with pay is available and an additional five consecutive days in the case of exceptional and serious events without pay.
- 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 as described Ethiopian Labour Proclamation No. 1156/2019.
- 2.2.9 Confidential and effective mechanisms exist for reporting and eliminating cases of sexual harassment and discrimination\* based on gender, marital status, ethnicity, parenthood or sexual orientation as enshrined in the Ethiopian Labour Proclamation No. 1156/2019.

Verifiers: Payment slips, Pay roll; Maternity leave provisions in employment contracts and Human Resource policy of the organisation, Interviews with workers; Paternity leave provisions in employment contracts and Human Resource policy of the organisation, Interviews with workers; Meeting Minutes; Reporting mechanisms in place and records of incidents.

**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.**



**INSTRUCTIONS FOR STANDARD DEVELOPERS:**

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

- 2.3.1 Health and safety practices are developed and implemented that meet or exceed the ILO Code of Practice on Safety and Health in Forestry Work.
  - NTFP 2.3.1.1 Health and safety risks associated with NTFPs management and harvest are identified and evaluated, and the health and safety practices appropriate to the risk are implemented.



NTFP 2.3.1.2 The Organization\* identifies any potential risk associated with food borne diseases and develop appropriate Health & Safety guidelines to mitigate such risk in harvesting and processing of NTFPs.

NTFP 2.3.1.3 There are documented procedures compliant with the Food Quality Control and food standard requirements of the Public health Proclamation NO.200/2000 for harvesting/collection and packaging of all NTFPs meant for human consumption.

NTFP 2.3.1.4 A hygiene procedure is in place which ensures that equipment used in processing edible NTFPs is clean and free from remnants of previously harvested material.

NTFP 2.3.1.5 A procedure is in place for taking samples of harvested edible NTFP materials at processing sites and for recording and storing them.

NTFP 2.3.1.6 The harvesting manager is familiar with relevant health and safety guidelines related to the harvesting of NTFPs

SLIMF 2.3.1.1 Each worker is informed about the health and safety measures corresponding to his/her activity and these meet or exceed the ILO Code of Practice on Safety and Health in Forestry Work.

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

NTFP 2.3.2.1 Personal protective equipment provided to workers\* harvesting and processing NTFPs are appropriate to their assigned tasks.

2.3.3 Use of relevant personal protective equipment is enforced.

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

SLIMF 2.3.4.1 The use of health and safety measures by workers is checked and known.

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

SLIMF 2.3.5.1 Accident level is low compared to national forest\* industry averages.

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

Verifiers: Up-to-date accident 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\*.**



#### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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

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

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

2.4.2 Wages paid meet or exceed:

- 1) Minimum forest\* industry standards; or
- 2) Other recognized forest\* industry wage agreements; or
- 3) Living wages\* that are higher than legal\* minimum wages prescribed in the Ethiopian labour proclamation No. 1156/2019 chapter 2 Section 55.2.

It will periodically revise minimum wages based on studies which take into account the country's economic development, labour market and other working conditions.

2.4.3 While maintaining confidentiality, pay scales and payslips are available to workers\*

2.4.4 Wages, salaries and contracts are paid on time.

**2.5 *The Organization*\* shall demonstrate that *workers*\* have job-specific training and supervision to safely and effectively implement the *Management Plan*\* and all management activities.**

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.

NTFP 2.5.1.1 Demonstrate that workers have supervision to ensure safety and specific training on the job.

NTFP 2.5.1.2 There is a register of all personnel involved in the collecting/harvesting operations of NTFPs

NTFP 2.5.1.3 The manager of the NTFPs harvesting operation:

- 1) is clearly identified and familiar with the collecting/harvesting area in question;
- 2) ensures that there is co-operation and co-ordination with any other collecting/harvesting activities in the area concerned;
- 3) collaborates and works in conjunction with local community\*/producer groups.

NTFP 2.5.1.4 *Workers*\* harvesting and processing NTFPs or their representatives (e.g. community representative etc.), have a signed contract including an agreement as to what is being harvested and how this is to be carried out

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

Verifiers: Training Records, Training Certificates where applicable; Interview with workers\*

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



INSTRUCTIONS FOR STANDARD DEVELOPERS:

Grievances with workers\* can often be on the grounds of race, gender or sexual orientation. This means Standard Developers shall develop indicators\* to ensure that culturally appropriate\* engagement\* is used to define dispute\* resolution processes following the requirements of Criterion\* 7.6 (Indicator\* 2.6.1).

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

### **PRINCIPLE\* 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.



#### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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

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

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

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

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

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

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

3.1.2 Through *culturally appropriate\* engagement\** with the *Indigenous Peoples\** identified in 3.1.1, the following 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\**.

NTFP 3.1.2.1 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.

Verifiers: A report describing: the *Indigenous Peoples\** identification process and the *Indigenous Peoples\** identified in the *Management Unit\** and in the neighbourhood; evidence of consultation and conversation with the *Indigenous Peoples\**; information on the issues 1-8 as listed in indicators 3.1.2 and NTFP 3.1.2.1

**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\**.**



#### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

Standard Developers shall ensure that *good faith\** is understood as a term used in *ILO Conventions\** and recognized as an auditable element. (*Indicator\* 3.2.5*)

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- 3.2.1 Through *culturally appropriate\* engagement\* Indigenous Peoples\** are informed when, where and how they can comment on and request modification to management activities to the extent necessary to protect their rights, resources, *lands and territories\**.
- 3.2.2 The *legal\* and customary rights\** of Indigenous Peoples\* are not violated by The Organization\*.
- 3.2.3 Where evidence exists that *legal\* and customary rights\** of *Indigenous Peoples\** related to management activities have been violated the situation is corrected, if necessary, through *culturally appropriate\* engagement\** and/or through the *dispute\* resolution process* as required in *Criteria\* 1.6 or 4.6*.
- 3.2.4 *Free, Prior and Informed Consent\** is granted by *Indigenous Peoples\** prior to management activities that affect their identified rights through a process that includes:
- 1) Ensuring *Indigenous Peoples\** know their rights and obligations regarding the resource;
  - 2) Informing the *Indigenous Peoples\** of the value 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*.
- 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: Clearly documented Indigenous Peoples\* rights; A record of awareness creation to the Indigenous People\* on their rights; a clearly documented FPIC process and awareness of the same among the Indigenous People\*.

**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.**



#### INSTRUCTIONS FOR STANDARD DEVELOPERS:

Standard Developers shall develop *indicators\** taking into consideration that *Indigenous Peoples\** may choose to ratify *binding agreements\** in writing or in another format of their choosing according to *culturally appropriate\* engagement\**. *Binding agreements\** reflect cultural requirements and may also be based on oral and honour systems, to be applied in cases where written agreements are not favoured by *Indigenous Peoples\**, either for practical reasons or on principle.



Recognizing that *Indigenous Peoples\** may not want to grant *Free Prior and Informed Consent\** and/or delegate control for their own reasons, the *Indigenous Peoples\** may choose to offer their support for management activities in a different way of their choosing (*Indicator\** 3.3.1 and 3.3.2).

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- 3.3.1 Where control over management activities has been granted through *Free Prior and Informed Consent\** based on *culturally appropriate\* engagement\**, the *binding agreement\** contains the duration, provisions for renegotiation, renewal, termination, economic conditions and other terms and conditions.
  - 3.3.2 Records of *binding agreements\** are maintained.
  - 3.3.3 The *binding agreement\** contains the provision for monitoring by *Indigenous Peoples\** of *The Organization\**'s compliance with its terms and conditions.

Verifiers: FPIC Binding Agreements\* in place

**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)*.**



**INSTRUCTIONS FOR STANDARD DEVELOPERS:**

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

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

Where this *Criterion\** is in conflict with laws, separate FSC procedures apply (see FSC-STD-20-007 Forest Management Evaluations). Such 'conflicts' are defined as situations where it is not possible to comply with the *Principles\** and *Criteria\** and a law at the same time (Source: FSC-STD-01-001 V5-2). In the case of this *Criterion\**, an example would be that one or more articles of the *ILO Convention\* 169* are in conflict with a specific national law (*Indicator\** 3.4.1).

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- 3.4.1 The rights, customs and culture of *Indigenous Peoples\** as defined in UNDRIP and *ILO Convention\* 169* are not violated by *The Organization\**.
  - 3.4.2 Where evidence that rights, customs and culture of *Indigenous Peoples\**, as defined in UNDRIP and *ILO Convention\* 169*, have been violated by *The Organization\**, the situation is documented including steps to *restore\** these rights, customs and culture of *Indigenous Peoples\**, to the satisfaction of the rights holders.

Verifiers: Interview with the Indigenous Peoples\*

**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\**.

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

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

Verifiers: Maps; Sites inspection; Interview with Indigenous Peoples\*.

**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\**.

NTFP 3.6.1.1 Indigenous Peoples\* traditional knowledge\* and intellectual property\* of NTFPs are protected and are only used when the acknowledged owners of that traditional knowledge\* and intellectual property\* have provided their Free, Prior and Informed Consent\* formalized through a binding agreement\*.

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

Verifiers: Clearly documented FPIC Process, Binding agreements\* in place



## **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\****.

### INSTRUCTIONS FOR STANDARD DEVELOPERS:



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

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

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

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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.

NTFP 4.1.2.1 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 NTFPs 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: A record of the community identification process; list of identified communities; a clearly documented engagement\* process showing how to address issues 1-7 as listed in indicator 4.1.2.

**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\*.**



#### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

Standard Developers shall ensure that *good faith\** is understood as a term used in *ILO Conventions\** and recognized as an auditable element. (*Indicator\** 4.2.5)

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- 4.2.1 Through *culturally appropriate\* engagement\* local communities\** are informed of when, where and how they can comment on and request modification to management activities to the extent necessary to protect their rights.
  - 4.2.2 *The legal\* and customary rights\* of local communities\** to maintain control over management activities are not violated by *The Organization\**.
  - 4.2.3 Where evidence exists that *legal\** and *customary rights\** of *local communities\** related to management activities have been violated the situation is corrected, if necessary, through *culturally appropriate\* engagement\** and/or through the *dispute\** resolution process in *Criteria\** 1.6 or 4.6.
  - 4.2.4 *Free, Prior and Informed Consent\** is granted by *local communities\** prior to management activities that affect their identified rights through a process that includes:
    - 1) Ensuring *local communities\** know their rights and obligations regarding the resource;
    - 2) Informing the *local communities\** of the value of the resource, in economic, social and environmental terms;

- 3) Informing the *local communities*\* of their right to withhold or modify consent to the proposed management activities to the extent necessary to protect their rights and resources; and
- 4) Informing the *local communities*\* of the current and future planned *forest*\* management activities.

4.2.5 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: Interview with communities, Disputes\* record; Awareness meetings minutes; a record of the FPIC process; interviews with local communities\*.

**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 4.3.1.1 The organization gives preference in the use of to local people and services

Verifiers: A pro local procurement and employment policy; List of contractors; a record of the communication of opportunities to the communities; interview with workers; training records; List of contractors; a record of the communication of work opportunities to the communities; interview with workers\*.

**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.

SLIMF 4.4.1.1 The organization identifies opportunities for local social and economic development and implement them.

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 The organization gives priority to use of local products and services

Verifiers: Opportunities identification process documented; Social and economic development projects register and number of beneficiaries

**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.**



## INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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

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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.

NTFP 4.5.1.1 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\**.

NTFP 4.5.1.2 The evaluation of the social impact of production and harvesting NTFPs includes an evaluation of the local uses (medicinal usage, food, crafts, etc.) and the type of location (around individual dwellings, in villages or in the bush) where harvesting takes place.

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

SLIMF 4.5.1.2 When requested by neighbours and adjacent land owners these measures are communicated to them.

Verifiers: Periodic Monitoring Reports; Documented mitigation measures; an implementation record of mitigation measures

**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\**.**



## INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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

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

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

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

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

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

Verifiers: A documented dispute resolution procedure in place; An up-to-date record of grievances; Interview with local communities\*

**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\**.

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

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

Verifiers: cultural sites clearly demarcated on maps; Sites physically demarcated in Management Unit\*; engagement process clearly documented; Maps; protection\* measures documented; newly identified sites record

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

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

NTFP 4.8.2.1 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\* on the use of NTFPs.

Verifiers: Binding Agreement\* in place; clearly documented FPIC process; Interview 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.



### INSTRUCTIONS FOR STANDARD DEVELOPERS:

A clarification of the use of the term *management objectives\** in this standard is included under *Criterion\* 7.1 (Indicator\* 5.1.2)*.

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

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

NTFP 5.1.1.1 The Organization identifies NTFPs that could strengthen and diversify the local economy.

SLIMF 5.1.1.1 Managers are aware of the range of resources and ecosystem services that could strengthen and diversify the local economy.

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.

NTFP 5.1.2.1 The Organization promotes NTFPs harvesting (within sustainable limits), processing, product diversification at local level and exploration of new markets for the products consistent with its management objectives.

SLIMF 5.1.2.1a Consistent with management objectives\*, identified benefits and products are produced by *The Organization\**.

SLIMF 5.1.2.1b The benefits and products produced are made available for others to produce, to strengthen and diversify

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

Verifiers: A record of resources and ecosystem services\* available; Management plan\*, Baseline surveys; Management plan\*; a list of resources and ecosystem services\* utilized by local organizations; list of organizations utilizing local resources and NTFPs

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



### INSTRUCTIONS FOR STANDARD DEVELOPERS:

Standard Developers shall provide clear direction to smallholders on how to complete the analysis to calculate the *timber harvesting level\**, where little or

no prior analysis has been completed and/or where data is weak or does not exist (*Indicators*\* 5.2.1 and 5.2.2). In addition, Standard Developers shall determine the appropriate spatial and temporal *scale*\* regarding *forest*\* productivity.

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

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

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

- Up-to-date growth and yield information;
- Up-to-date inventory data;
- Volume and area reductions caused by mortality as well as natural disturbances such as fire, insects and disease; and
- Volume and area reductions to account for adherence to all other requirements in this standard including *Intact Forest Landscapes\* Core Areas*\*.

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

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

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

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



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

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

NTFP 5.2.2.1 NTFPs sustainable harvest levels\* are based on an analysis of current Best Available Information\* on growth and yield.

NTFP 5.2.2.2 Actual annual harvest levels for NTFPs are recorded.

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

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

NTFP 5.2.4.1 For extraction of commercially NTFPs under The Organization's\* control, a sustainable harvest level is calculated based on Best Available Information\* and using a precautionary approach\*.

NTFP 5.2.4.2 Collection/harvesting of NTFPs is carried out at appropriate times of the year so as:

- 1) To maximise the effective use of the plant resource
- 2) To minimise environmental impact
- 3) To ensure the harvestable parts are fully mature

NTFP 5.2.4.3 Collection/harvesting of NTFPs is restricted to selected trees or sections of the Forest, according to the Management Plan\*

NTFP 5.2.4.4 In the absence of reliable information on growth and regeneration for NTFPs there is a programme in place to collect detailed information for future management.

NTFP 5.2.4.5 Maps of all NTFP harvesting areas are available

Verifiers: Up-to-date growth and yield information; Up-to-date inventory data; Volume and area reductions caused by mortality as well as natural disturbances such as fire, insects and disease; and Volume and area reductions to account for adherence to all other requirements in this standard; Record of actual annual harvest; Annual allowable cut.

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



#### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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

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

NTFP 5.3.1.1 Costs related to preventing, mitigating or compensating for negative social and environment impacts of NTFPs management activities are quantified and documented in the management plan\*.

SLIMF 5.3.1.1 Managers are aware of Costs related to preventing, mitigating or compensating for negative social and environment impacts of management activities and documented in the management plan\*.

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

NTFP 5.3.2.1 Benefits related to positive social, and environment impacts of NTFPs management activities are identified and included in the management plan\*

Verifiers: Annual budget; management plan

**5.4 *The Organization*\* shall use local processing, local services, and local value adding to meet the requirements of *The Organization*\* where these are available, proportionate to *scale, intensity and risk*\*. If these are not locally available, *The Organization*\* shall make *reasonable*\* attempts to help establish these services.**



#### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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5.4.1 Whenever possible, priority is given to the use of local goods, services, processing and local value-added facilities.

NTFP 5.4.1.1 Whenever possible, priority is given to processing the NTFPs in local value-added facilities.

SLIMF 5.4.1.1 Preference is given to local goods, services, processing and value-added facilities as long as they are equivalent to nonlocal options interms of cost, quality and capacity.

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

NTFP 5.4.2.1 Reasonable\* attempts are made to establish and encourage capacity where local NTFP-related goods, services, processing and value-added facilities are not available.

SLIMF 5.4.2.1 Make reasonable\* attempts are to establish and encourage capacity where local goods, services, processing and value-added facilities are not available.

Verifiers: A record of local processing and value adding facilities; a record of capacity building activities carried out; names of local people and facilities supported through The Organization's\* capacity building initiative; list of contractors and service providers; training records; employment policy (HR-Policy) and employment records

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



INSTRUCTIONS FOR STANDARD DEVELOPERS:

Expenditures referred to in this *Criterion\** include, for example, costs related to:

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

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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\**.

SLIMF 5.5.1.1 A budget is in place that permits the effective implementation of the management plan\*.

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: Management Plan\*; Annual budget; a record of actual expenditures and investments; organization's audited accounts

## **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.**



### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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

Standard Developers shall explicitly make references to the list of *rare and threatened species\** in the country or region (Annex D) in the text of *indicators\** under *Principle\** 6, where applicable.

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**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.**



### INSTRUCTION FOR STANDARD DEVELOPERS:

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

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

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

- 1) *Representative Sample Areas\** showing *environmental values\** in their natural state.
- 2) Field surveys.

3) Databases relevant to the environmental values\*, for example, local forestry archive and natural reservation strategic information of state or above level;

4) Consultation with local and regional experts.

5) Culturally appropriate\* engagement\* with Indigenous peoples\*, local communities\* and affected stakeholder\* and interested stakeholder\*.

NTFP 6.1.1.1 Best Available Information\* is used to identify environmental values\* within, and, where potentially affected by management activities, outside of the Management Unit\*. Note: Best Available Information\* includes:

1) Representative Sample Areas\* showing environmental values\* in their natural state.

2) Field surveys;

3) Databases relevant to the environmental values\*, for example, local forestry archive and natural reservation strategic information of state or above level;

4) Consultation with local and regional experts;

5) Culturally appropriate\* engagement\* with Indigenous peoples\*, local communities\* and affected stakeholder\* and interested stakeholder\*.

SLIMF 6.1.1.1 Best Available Information\* is used to identify environmental values\* within, and, where potentially affected by management activities, outside of the *Management Unit*\*.

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

1) Impacts of management activities on the identified *environmental values*\* can be assessed as per *Criterion*\* 6.2;

2) *Risks*\* to *environmental values*\* can be identified as per *Criterion*\* 6.2;

3) Necessary *conservation*\* measures to protect values can be identified as per *Criterion*\* 6.3; and,

4) Monitoring of impacts or environmental changes can be conducted as per *Principle*\* 8.

NTFP 6.1.2.1 Assessments of environmental values\* related to NTFP management 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.

SLIMF 6.1.2.1 Assessments of *environmental values*\* are conducted with a level of detail and frequency.

Verifiers: Initial environmental evaluation report; Annex I – HCV Framework; Environment Impact assessment\* report and comprehensive mitigation plan approved by the Environment Authorities

**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\**.**



INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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

NTFP 6.2.1.1 An *environmental impact assessment\** identifies potential present and future impacts of management activities on *environmental values\** and *non-timber forest products\**, from the stand level to the landscape level.

NTFP 6.2.1.2 An evaluation of the ecological impacts of NTFP management and harvesting activities completed that includes: The potential impacts on the biodiversity in the sourcing areas, especially on rare or threatened species\* and those species that grow together in a symbiotic relationship or are otherwise dependent on each other, or where similar species are growing in close proximity;

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

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

NTFP 6.2.2.1 Prior to the start of significant NTFPs harvesting activities, the impact of the activities on the environment is assessed.

Verifiers: EIA\* Report; Environmental compliance certificate; Compliance report; Management plan; a record of potential impacts to the environmental values\*; Project Proposal; site specific assessment procedure; a record of potential impacts to the environmental values.

**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.**



INSTRUCTIONS FOR STANDARD DEVELOPERS:

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



environmental circumstances require specific *indicators\** related to this *environmental value\**.

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

NTFP 6.3.1.1 The Organization develops and implements effective actions to prevent or mitigate negative impacts of NTFPs management, harvesting and processing activities in the management unit.

NTFP 6.3.1.2 The biodiversity of organisms\* associated with NTFPs species are monitored to show that it has been maintained or increased.

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

NTFP 6.3.2.1 Management activities of non-timber forest products\* prevent negative impacts to environmental values\*.

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

NTFP 6.3.3.1 Where negative impacts of commercial harvesting of NTFPs to environmental values\* occur, measures are adopted to prevent further damage, and negative impacts are mitigated and/or repaired.

Verifiers: Monitoring reports; Project proposal, initial environmental evaluation report; EIA\* Report; Environmental compliance certificate; Compliance report; site specific assessment procedure; a record of potential impacts to the environmental values\*; Management plan\*

**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\*.**



#### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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

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

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\**.

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.

NTFP 6.4.2.1 Potential impacts of NTFPs management activities on rare and threatened species\* and their conservation\* status and habitats\* are identified and management activities are modified to avoid negative impacts.

SLIMF 6.4.2.1 Management activities are designed or modified to avoid negative impacts to rare and *threatened species\**, and their *habitats\**.

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.

SLIMF 6.4.3.1 The rare and *threatened species\** and their *habitats\** are protected, including through the provision of *conservation zones\**, *protection areas\**, *connectivity\**, and other direct means for their survival and viability, such as species' recovery programs.

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

NTFP 6.4.4.1 NTFPs on either local and/or international endangered or threatened species lists (e.g., CITES Appendix 1, "critically endangered" IUCN list, critically endangered (CR) and endangered (EN) species listed on the IUCN biodiversity Red List) as well as NTFPs within the habitats of rare and endangered species are not harvested.

SLIMF 6.4.4.1 A system is in place to prevent hunting, fishing, trapping and collection of rare or *threatened species\**.

Verifiers: Annex I HCV Framework; A list of rare and threatened species\* and their habitats\*; species present in the Management Unit\*; Field survey reports; protected\* areas; migratory corridors clearly demarcated and mapped; policies and guidelines in place to prevent hunting, fishing, trapping and collection of rare threatened species\*.

**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.**



#### INSTRUCTIONS FOR STANDARD DEVELOPERS:

Standard Developers shall identify the methods for identifying *Representative Sample Areas\**.

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

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

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

The *Conservation Area Network\** shall be large enough to allow natural processes to take place in the absence of any direct human interference. Where *Intact Forest Landscapes\** occur, they should contribute to the *Conservation Area Network\**. Since 2011, the FSC Policy and Standards Committee, on behalf of the FSC Board of Directors, have consistently applied a minimum threshold of 10% of the *Management Unit\** to all FSC National Standards through the national standards approval process. This threshold is written in FSC Forest Stewardship Standards: structure, content and suggested *indicators\** FSC-GUI-60-004 V1-0 at *Criterion\** 6.2. This document has been the key reference for Standard Development Groups since it was approved in 2011.

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

SLIMF 6.5.1.1 *Best Available Information\** is used to identify native ecosystems\* that exist, or would exist under *natural conditions\**, within the *Management Unit\**.

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

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

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

SLIMF 6.5.4.1 The size of the *Representative Sample Areas\** and/or *restoration\** areas is proportionate to the *conservation\** status and value of the *ecosystems\** at the *landscape\** level, the size of the *Management Unit\** and the *intensity\** of *forest\** management.

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

Verifiers: Native ecosystems\* clearly demarcated and mapped out; Annex I HCV Framework; Protective measures in place; newly restored\* native ecosystems\* clearly demarcated and mapped out.; Management plan\*.

**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.**



#### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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

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

NTFP 6.6.1.1 NTFPs harvesting and management takes into account the ecological role and requirements of the target NTFPs and other associated species, e.g. food for birds and mammals, animal dispersal of seeds, maintenance of specific ecological interdependencies, etc

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

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

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

NTFP 6.6.4.1 Effective measures are taken to manage and control NTFPs harvesting/collection activities to ensure that naturally occurring native species\*, their diversity within species and their natural distribution are maintained.

6.6.4a 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;

6.6.4b An internal regulation banning and punishing the transportation of and trade in bush meat and firearms in the facilities and vehicles of The Organization\*;

6.6.4c A system of regular and punctual controls to ensure hunting policies are respected is implemented;

6.6.4d Effective mitigation measures are in place to ensure that workers\* do not increase hunting trapping or collecting of bush meat or wild fish.

Verifiers: Fire management Plan; Invasive Weed Control Plan; Grazing Control Plan; Management plan\*; habitat\* restoration\* plans; Reports of illegal activities taking place in Management Unit\*; map clearly showing distribution of native ecosystems\*.



#### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

6.6.X Mechanisms for wildlife *protection*\* are in place: Applicable national and/or international regulations on *protection*\*, hunting and trade in animal species or parts (trophies) shall be known and complied with;

- 6.6.X An internal regulation banning and punishing the transportation of and trade in bush meat and firearms in the facilities and vehicles of *The Organization\**;
- 6.6.X A system of regular and punctual controls to ensure hunting policies are respected is implemented;
- 6.6.X Effective mitigation measures are in place to ensure that *workers\** do not increase hunting trapping or collecting of bush meat or wild fish.

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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.**



#### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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

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- 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.
  - 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.
  - 6.7.3 Where natural *watercourses*, *water bodies\**, *riparian zones\** and their *connectivity\**, water quantity or water quality have been damaged by past

activities on land and water by *The Organization*\*, **restoration\*** activities are implemented.

- 6.7.4 Where continued degradation exists to *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\*; Procedures for protecting watercourses\*; Land use Plan; Erosion control Plan; Restoration plans; Water quality and quantity monitoring reports; watercourses clearly mapped with their buffer zones clearly demarcated

**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\**.

- 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\*; Harvesting records; restoration plans

**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\**.**



**INSTRUCTIONS FOR STANDARD DEVELOPERS:**

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

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

- 1) *Affects a very limited portion\** of the *Management Unit\**, and

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

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

**Clear and sufficient evidence is provided that *The Organization*\* was not directly or indirectly responsible for the conversion, or**

**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.

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.



### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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

NTFP 7.1.1.1 Policies (vision and values related to NTFPs) that contribute to meeting the requirements of this standard are defined.

SLIMF 7.1.1.2 Policies (vision and values) that contribute to meeting the requirements of this standard are defined

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

NTFP 7.1.2.1 Specific, operational *management objectives\** for NTFPs that address the requirements of this standard are defined.

SLIMF 7.1.2.2 Specific, operational management objectives\* that address the requirements of this standard are defined

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

NTFP 7.1.3.1 Summaries of the defined policies and *management objectives\** for the NTFPs are included in the *management plan\** and publicized.

Verifiers: Management plan\*; Harvesting procedures; operational plans; Harvesting plan

**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.**



#### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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

NTFP 7.2.1.1 The management plan\* includes management of NTFPs actions, procedures, strategies and measures to achieve the management objectives\*.

SLIMF 7.2.1.1 The *management plan\** includes management actions, procedures, strategies and measures to achieve the *management objectives\**.

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

NTFP 7.2.2.1 *The management plan\** of NTFPs addresses the elements listed in Annex E, and is implemented.

SLIMF 7.2.2.1 *The management plan\** addresses the elements listed in Annex E, and is implemented.

Verifiers: Management plan\*; Procedures

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

#### INSTRUCTIONS FOR STANDARD DEVELOPERS:



Examples of *verifiable targets\** to be established include:

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

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

NTFP 7.3.1.1 *Verifiable targets\**, and the frequency that they are assessed, are established for monitoring the progress towards each management objective\* related to NTFPs

Verifiers: Management plan\*

**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.**



#### INSTRUCTIONS FOR STANDARD DEVELOPERS:

Under the FSC definition, the *management plan\** is a collection of documents, reports, records and maps that describe, justify and regulate management activities. As such the frequency of revision to these varied documents and maps depends on the source of information as listed in 7.4.1 as well as the type of planning document as summarized in Annex F. Annex F is intended to explain the scope of the planning framework and is not meant to be prescriptive. In general, information received from stakeholder *engagement\**, new scientific and technical information and changing environmental, social, or economic circumstances should result in more frequent revisions to the relevant management planning document or map.

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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.

NTFP 7.4.1.1 The NTFPs management plan\* is revised and updated periodically to incorporate:

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

Verifiers: Management plan\*; monitoring reports; stakeholder\* consultation reports; Scientific reports; harvesting plans and publications

**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.**



## INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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

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

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

Verifiers: A summary of the management plan\* excluding confidential information\*

**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.**



## INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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

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

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

SLIMF 7.6.1.1 *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) Definition of *Living wages\** (*Criterion\** 2.4);
- 3) Identification of rights (*Criterion\** 3.1, *Criterion\** 4.1), sites (*Criterion\** 3.5, *Criterion\** 4.7) and impacts (*Criterion\** 4.5);
- 4) *Local communities’\** socio-economic development activities (*Criterion\** 4.4); and
- 5) *High Conservation Values\** assessment, management and monitoring (*Criterion\** 9.1, *Criterion\** 9.2, *Criterion\** 9.4)

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

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

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

NTFP 7.6.3.1 *Affected rights holders\* and affected stakeholders\** are provided with an opportunity for *culturally appropriate\* engagement\** in monitoring and planning processes of NTFPs management activities that affect their interests

SLIMF 7.6.3.1 *Culturally appropriate\* engagement\** is completed with *affected stakeholders\** and *Indigenous Peoples\** to ensure that their concerns are

addressed in the development and implementation of management and monitoring activities.

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.

NTFP 7.6.4.1 On request, interested stakeholders\* are provided with an opportunity for engagement\* in monitoring\* and planning processes of NTFPs management activities that affect their interests.

Verifiers: A record of the consulted stakeholders\*; Stakeholder\* consultation report

## **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\*.

NTFP 8.1.1.1 Procedures are documented and executed for monitoring\* the implementation of the NTFPs management plan\* including its policies and management objectives\* and achievement of verifiable targets.

Verifiers: Documented monitoring procedures

**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.**



### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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

NTFP 8.2.1.1 The social and environmental impacts of NTFP management activities are monitored consistent with Annex G.

SLIMF 8.2.1.1 The social and environmental impacts of management activities are monitored consistent with Annex G.

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

SLIMF 8.2.2.1 Changes in environmental conditions are monitored consistent with Annex G.

Verifiers: Monitoring reports; socio-economic survey reports; Monitoring procedures and reports

**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\*.

NTFP 8.3.1.1 Adaptive management\* procedures for NTFPs are implemented so that monitoring\* results feed into periodic updates to the planning process and the resulting NTFPs 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: Monitoring reports; analysed monitoring data; revised (updated) management plan\*

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



#### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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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: A summarized monitoring report

**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.

NTFP 8.5.1.1 A system is implemented to track and trace all NTFPs products that are sold as FSC certified.

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

- 1) Common and scientific species name;
- 2) Product name or description;
- 3) Volume (or quantity) of product;
- 4) Information to trace the material to the source of origin logging block;



- 5) Logging date;
- 6) If basic processing activities take place in the forest, the date and volume produced; and
- 7) Whether or not the material was sold as FSC certified.

NTFP 8.5.2.1 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.

NTFP 8.5.2.2 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 (and/or all other bee collection products and exudates) can be sold with FSC claim: FSC 100%.

SLIMF 8.5.2.3 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.

NTFP 8.5.2.4 Information about all NTFPs 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 harvesting/colletion block;
- 5) Collecting date;
- 6) If basic processing activities take place in the forest, the date and volume produced; and
- 7) Whether or not the NTFP(s) was sold as FSC certified. If yes, record the CoC certificate No. and contact information of the customer.

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.

NTFP 8.5.3.1 Sales invoices or similar documentation are kept for a minimum of five years for all NTFPs 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 type;
- 5) The volume (or quantity) sold;
- 6) Forest Management / Chain of Custody certificate code; and
- 7) The FSC Claim “FSC 100%” identifying products sold as FSC certified

SLIMF 8.5.3.1 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: A traceability procedure; All transactions data (invoices, purchase orders, delivery notes, waybills, receipts).

## **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\**.



### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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

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

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

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

Standard Developers shall explicitly make references to the national *High Conservation Values\** framework (Annex J) in the text of *indicators\** under *Principle\* 9*, where applicable.

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\**.



#### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

- *High Conservation Values\** surveys and *Intact Forest Landscapes\** assessments of the *Management Unit\**;
- Relevant databases and maps;
- Global Forest Watch *Intact Forest Landscapes\** maps (2015) [www.globalforestwatch.org](http://www.globalforestwatch.org), or other maps based on a more recent and accurate *Intact Forest Landscapes\** inventory using a refined methodology;
- *Culturally appropriate\* engagement\** with *affected rights holders\**, *affected\** and interested *stakeholders\**, and relevant local and regional experts;
- FSC Guidance on *Free Prior and Informed Consent\** (2017);
- FSC *Scale\**, *Intensity\** and *Risk\** Guidelines for Standards Developers (2016);

- Other available sources; and
- Review of the results by knowledgeable expert(s) independent of *The Organization*\*.

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

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

SLIMF 9.1.1.1 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.

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

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

SLIMF 9.1.3.1 The assessment uses results from culturally appropriate\* engagement\* with *affected*\* and *interested stakeholders*\* with an interest in the *conservation*\* of the *High Conservation Values*\*.

Verifiers: HCV\* framework; HCV\* Assessment report; Method of stakeholder\* engagement\*; Record of engaged stakeholders\* and their concerns; Results of the stakeholder\* engagement\*; HCV's\* are clearly mapped."

**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.**



#### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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

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

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

- 9.2.4 Management strategies are developed to *protect\* core areas\**.
- 9.2.5 The vast *majority\** of each *Intact Forest Landscape\** is designated as *core area\**.
- 9.2.6 The strategies developed are effective to maintain and/or enhance the *High Conservation Values\**.
- 9.2.7 Management strategies allow limited *industrial activity\** within *core areas\** only if all effects of *industrial activity\** including *fragmentation\**:
  - 1) Are restricted to a very limited portion of the *core area\**;
  - 2) Do not reduce the *core area\** below 50,000 ha, and
  - 3) Will produce clear, substantial, additional, *long-term\* conservation\** and social benefits.

Verifiers: Management Plan\*; Annex I -HCV\* Framework; Stakeholder\* consultation reports; HCV\* monitoring records.

**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.

SLIMF 9.3.1.1 The *High Conservation Values\** and the *High Conservation Value Areas\** on which they depend are maintained and/or enhanced, including by implementing the strategies developed.

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

SLIMF 9.3.2.1 The strategies and actions prevent damage and avoid risks to *High Conservation Values\**, even when the scientific information is incomplete or inconclusive, and when the vulnerability and sensitivity of *High Conservation Values\** are uncertain.

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

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

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

SLIMF 9.3.5.1 Activities that harm *High Conservation Values\** cease immediately and actions are taken to *restore\** and protect the *High Conservation Values\**.

Verifiers: Monitoring reports; stakeholder\* interviews; site visits

**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:



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

SLIMF 9.4.1.1 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\**.

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

SLIMF 9.4.2.1 The monitoring program includes *engagement\** with *affected\** and *interested stakeholders\** and experts.

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

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

Verifiers: Management plan\*; Monitoring procedures; Monitoring reports; Stakeholder\* engagement\* reports; Site visits, Stakeholder\* interviews; A record of the stakeholders\* engaged.



## **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\**.



### INSTRUCTIONS FOR STANDARD DEVELOPERS:

The *pre-harvest\** condition can be either *plantation\** or *natural forest\**. Standard Developers shall consider the following when developing *indicators\**:

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

measured at the *Management Unit*\* level, or damage to other *environmental values*\*.

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

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

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

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

NTFP 10.1.2.1 Measures are taken to maintain the natural composition and structure of NTFPs populations (e.g. management of natural regeneration, enrichment planting, selection and protection of seed trees).

Verifiers: A record of regenerated areas and species used; environmental values\* present; site visits.

**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.**



INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

This rationale may include:

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

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

NTFP 10.2.1.1 NTFP *species*\* chosen for regeneration are ecologically well adapted to the site, are *native species*\* and are of local provenance, unless clear and convincing justification is provided for using non-local *genotypes*\* or non-*native species*\*.

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

Verifiers: Rationale for choosing species, a record of the species used, Management Plan\* and site visits.

**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.

NTFP 10.3.1.1 When the NTFPs are *alien species*\*, they 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.

NTFP 10.3.2.1 When the NTFPs are *alien species*\*, they are used only when effective mitigation measures are in place to control their spread outside the area in which they are established

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

NTFP 10.3.3.1 The spread of *Alien invasive NTFPs species*\* introduced by *The Organization*\* is controlled.

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

NTFP 10.3.4.1 Management activities are implemented, preferably in cooperation with separate regulatory bodies where these exist, with an aim to control the invasive impacts of *alien NTFP species*\* that were not introduced by *The Organization*\*

Verifiers: Research reports; import permits; phytosanitary certificates; Mitigation measures; Species record; justification for the choice; interviews with stakeholders\*; site visits; Management plan,\* Mitigation measures for control of *alien species*\* spread in place.

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

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

NTFP 10.4.1.1 Genetically modified NTFP organisms\* are not used.

Verifiers: A record of species used; management plan\*

**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\**.

NTFP 10.5.1.1 Silvicultural practices are implemented that are ecologically appropriate for the vegetation, species, sites and NTFP management objectives\*.

Verifiers: Management Plan\*; site visits

**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.**



INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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

NTFP 10.6.1.1 The use of *fertilizers\** for the production of NTFPs is minimized or avoided.

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

NTFP 10.6.2.1 When *fertilizers\** are used for the production of NTFPs, their ecological and economic benefits are equal to or higher than those of *silvicultural\** systems that do not require *fertilizers\**

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

NTFP 10.6.3.1 When *fertilizers\** are used for the production of NTFPs, their types, rates, frequencies and site of application are documented

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

NTFP 10.6.4.1 When *fertilizers\** are used for the production of NTFPs, *environmental values\** are protected, including through implementation of measures to prevent damage.

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

NTFP 10.6.5.1 Damage to *environmental values\** resulting from *fertilizer\** used for the production of NTFPs is mitigated or repaired.

Verifiers: Rationale for use of *fertilizers\**; Management Plan\*; Records of *fertilizer\** usage and frequency; Record of negative impacts and mitigation measures taken;

**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.**



#### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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

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

NTFP 10.7.1.1 When producing NTFPs, Integrated pest management including selection of silviculture\* systems, is used to avoid, or aim to eliminate, the frequency, extent and amount of chemical pesticide\* applications, and result in non-use or overall reductions in applications.

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

NTFP 10.7.2.1 Sickness of the bees is treated physically such as with steam or fire to disinfect the beehives. For treatment of varroa mites, the following substances are used:

- formic acid, lactic acid, acetic acid and oxalic acid.
- menthol, eucalyptol and camphor

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.

NTFP 10.7.3.1 When producing NTFPs records of pesticide\* usage are maintained, including trade name, active ingredient, quantity of active ingredient used, period of use, location and area of use and reason for use.

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

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

NTFP 10.7.5.1 When pesticides\* are used in producing NTFPs, application methods minimize quantities used, while achieving effective results, and provide effective protection\* to surrounding landscapes\*

NTFP 10.7.5.2 When producing NTFPs, use of pesticides\* complies with the ILO document “Safety in the use of chemicals at work” regarding requirements for the transport, storage, handling, application and emergency procedures for cleanup following accidental spillages.

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

NTFP 10.7.6.1 When producing NTFPs ensure that damage to environmental values\* and human health from pesticide\* use is prevented and mitigated or repaired where damage occurs.

10.7.7 When *pesticides\** are used:

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

NTFP 10.7.7.1 If pesticides\* are used for production of NTFPs:

- 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: Integrated pest Management systems used; Types of active ingredients of chemical pesticides\* used; Pesticides\* usage records; Site visits, Interviews with employees and stakeholder\*s; Safety methods used; mitigation measures for negative effects of pesticides\*; chemical use procedures; chemical use records; Rationale for choosing pesticide\*

**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\**.**



#### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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

NTFP 10.8.1.1 When producing NTFPs the use of biological control agents\* is minimized, monitored\* and controlled.

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



NTFP 10.8.2.1 Use of biological control agents\* in producing NTFPs complies with internationally accepted scientific protocols\*.

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

NTFP 10.8.3.1 Use of biological control agents\* in production of NTFPs is recorded including type, quantity, period, location and reason for use.

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

NTFP 10.8.4.1 Damage to environmental values\* caused by the use of biological control agents\* in production of NTFPs is prevented and mitigated or repaired where damage occurs.

Verifiers: Site visits, Management Plan\*; Interviews with workers\*; Interviews with stakeholders\*; Usage records; Prevention and mitigation measures.

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



INSTRUCTIONS FOR STANDARD DEVELOPERS:

Standard Developers should identify the frequency, distribution and severity of *natural hazards\** that occur regionally and nationally (*Indicator\** 10.9.1).

In addition, Standard Developers should identify both those *risks\** that can be increased by management activities (*Indicator\** 10.9.3) and potential means to mitigate the increased *risk\** (*Indicator\** 10.9.4).

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

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

SLIMF 10.9.1.1 Potential negative impacts of *natural hazards\** on *infrastructure\**, *forest\** resources and communities in the *Management Unit\** are assessed.

10.9.2 Management activities mitigate these impacts.

NTFP 10.9.2.1 Management activities mitigate the negative impacts of natural hazards\* on NTFPs

SLIMF 10.9.2.1 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.

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.

SLIMF 10.9.3.1 The *risk\** for management activities to increase the frequency, distribution or severity of *natural hazards\** is identified for those *hazards\** that may be influenced by management.

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

SLIMF 10.9.4.1 Management activities are modified and/or measures are developed and implemented that reduce the identified *risks*\*.

Verifiers: Natural Hazard\* assessment reports; Management Plan\*; A record of Natural hazards\* occurring; interviews with workers\* and stakeholders\*; Mitigation measures to minimize risk\*, Communication records of managers with government or relevant organizations about mitigation of Natural hazards\*,

**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.

NTFP 10.10.1.1 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.

NTFP 10.10.2.1 NTFP-related *silviculture*\* activities are managed to ensure protection of the *environmental values*\* identified in *Criterion*\* 6.1.

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

NTFP 10.10.3.1 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 NTFP management activities modified to prevent further damage.

Verifiers: Management Plan\*; Procedures for *infrastructure*\* development and maintenance; *Silvicultural*\* management prescription.

**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.**



**INSTRUCTIONS FOR STANDARD DEVELOPERS:**

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

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

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

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

NTFP 10.11.1.1 Harvesting and extraction practices for NTFPs are implemented in a manner that conserves *environmental values\** as identified in *Criterion\** 6.1 and *High Conservation Values\** identified in *Criteria\** 9.1 and 9.2.

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

NTFP 10.11.2.1 Harvesting practices optimize the use of NTFPs and merchantable materials.

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

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

NTFP 10.11.4.1 NTFPs harvesting practices avoid damage to standing residual trees, residual woody debris on the ground and other *environmental values\**.

Verifiers: Management Plan; harvesting procedures; site visits; Interview with workers\*; harvesting records.

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



**INSTRUCTIONS FOR STANDARD DEVELOPERS:**

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

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

NTFP 10.12.1.1 Ensure that collection, clean up, transportation and disposal of all *waste materials\** during *non-timber forest products\** is done in an environmentally appropriate way that conserves *environmental values\** as identified in *Criterion* 6.1.

Verifiers: Waste collection records; Waste management procedure; site visit; interviews with workers\* and stakeholders\*

## G Annexes

(Normative section)



### INSTRUCTIONS FOR STANDARD DEVELOPERS:

In FSC-STD-60-004 International Generic *Indicators*\*, Section 5, contains instructions on the nine Annexes for the Standard Developers to assist them with meeting specific requirements of the standard.

Their compulsory nature is reflected at the beginning of each Annex and summarized in the following table, expressed according to ISO ‘verbal forms for the expression of provisions’ as ‘shall’, ‘should’, etc. (adapted from FSC-STD-60-004 V2-0 EN):

Annex in template	Title	Application for Standard Developers
Annex A	Minimum list of <i>applicable laws</i> *, regulations and nationally ratified international treaties, conventions and agreements (Principle 1)	Standard Developers shall complete a list of all <i>applicable laws</i> *, obligatory codes of practice and legal and <i>customary rights</i> * at the national and, where applicable, sub-national level as outlined in Annex A. This list shall be included in the National Standard or the Interim National Standard.
Annex B	Training requirements for <i>workers</i> * (Principle 2)	Standard Developers shall ensure that training requirements are included in National Standards and Interim National Standards, proportionate to <i>scale, intensity and risk</i> * and consistent with existing national and sub-national training requirements. Standard Developers may also incorporate the relevant elements of this Annex into the <i>indicators</i> * of the National Standards or the Interim National Standards.
Annex C	<i>Conservation Area Network</i> * conceptual diagram (Principle 6)	Standard Developers shall use this diagram to inform the development of appropriate guidance at the national and regional level for the creation of <i>Conservation Area Networks</i> *.
Annex D	List of <i>rare and threatened species</i> * in the country or region (Principle 6)	Standard Developers shall list the sources where the updated list of <i>rare and threatened species</i> * in the country or region can be consulted by the general public.
Annex E	Elements of the <i>management plan</i> * (Principle 7)	Standard Developers shall ensure that the relevant elements of this Annex are included in the requirements for the content of <i>management plan</i> *s, subject to <i>scale, intensity and risk</i> * and consistent with national and regional management planning frameworks.

Annex in template	Title	Application for Standard Developers
Annex F	Conceptual framework for planning and monitoring (Principle 7)	Standard Developers may use this diagram to inform the periodicity for revision of the various management planning and monitoring documents.
Annex G	Monitoring requirements (Principle 8)	Standard Developers shall ensure that the relevant elements of this Annex are included in the requirements for the content of monitoring plans, consistent with existing national and sub-national monitoring approaches and subject to <i>scale intensity and risk</i> .
Annex H	Instructions for Standards Developers to develop <i>indicators* for Intact Forest Landscape* core areas*</i> (Principle 9)	For countries with <i>Intact Forest Landscapes*</i> Standards Developers shall use the instructions in this annex for establishing:  A. The threshold for <i>vast majority* of Intact Forest Landscapes* as core areas*</i> ; and  B. <i>Indicators*</i> for assessing and protecting <i>Intact Forest Landscapes*</i>
Annex I	Strategies for maintaining <i>High Conservation Values*</i> (Principle 9)	Standard Developers shall consider this Annex to inform the development of management strategies to maintain <i>High Conservation Values*</i> .
Annex J	<i>High Conservation Values*</i> framework (Principle 9)	Standard Developers shall use the “Guidance for Standard Development Groups: Developing National High Conservation Value Frameworks” (FSC-GUI-60-009 V1-0 EN) and the “Template for National High Conservation Value Frameworks” (FSC-GUI-60-009a V1-0 EN) as the basis for the national <i>High conservation Values*</i> framework.
Annex K	Glossary of terms	Standard Developers are to make sure that all the terms in the glossary are consistent in wording and are consistently marked with italics and asterisks throughout the standard sections covering the <i>indicators*</i> and the annexes.  Also when adapting the IGIs to the national conditions, Standard Developers are to consider the terms in the glossary, either to adopt the terms or to replace them with new glossary terms.

**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. *Legal\** rights to harvest**



<p>1.1 Land <i>tenure</i>* and management rights</p>	<p>Constitution of the Federal Democratic Republic of Ethiopia 1994,  PROCLAMATION NO. 1223/2020: Development, Management and Utilization of Community Watersheds  Proclamation No. 85 /2010: Benishangul Gumuz Regional State Rural Land Administration and Use  PROCLAMATION NO.541/2007:TO PROVIDE FOR THE DEVELOPMENT CONSERVATION AND UTILIZATION OF WILDLIFE.  PROCLAMATION No. 1065/2018: FOREST DEVELOPMENT, CONSERVATION AND UTILIZATION  Council of Ministers Regulations No. 135.12007: COUNCIL OF MINISTERS REGULATIONS ON THE PAYMENT OF COMPENSATION FOR PROPERTY: SITUATED ON LANDHOLDINGS EXPROPRIATED FOR PUBLIC PURPOSES.  PROCLAMATION NO. 197/2000 ETHIOPIAN WATER RESOURCES MANAGEMENT PROCLAMATION.  PROCLAMATION NO.1161/2019:TO DETERMINE EXPROPRIATION OF LANDHOLDINGS FOR PUBLIC PURPOSE, PAYMENTS OF COMPENSATION AND RESETTLEMENT.  A Regulation to Implement the Oromia Region Customary Courts, Proclamation No. 240/2021, Regulation No. 10/2021.  PROCLAMATION NO. 89/11997: RURAL LAND ADMINISTRATION OF THE FEDERAL GOVERNMENT OF ETHIOPIA.  PROCLAMATION No. 769/2012: A PROCLAMATION on INVESTMENT.  PROCLAMATION No. 839/2014:TO PROVIDE FOR THE CLASSIFICATION OF CULTURAL HERITAGES INTO NATIONAL AND REGIONAL CULTURAL HERITAGES.  PROCLAMATION NO. 575/2008:TO PROVIDE FOR THE ESTABLISHMENT OF THE ETHIOPIAN WILDLIFE DEVELOPMENT AND CONSERVATION AUTHORITY.  PROCLAMATION No. 192 OF 1980:TO PROVIDE FOR THE CONSERVATION AND DEVELOPMENT OF FOREST AND WILDLIFE RESOURCES.  Proclamation No. 66/2000, Dec. 24/2007: The Southern Nations, Nationalities and Peoples Regional State, Rural Land Administration and Use Regulation.  PROCLAMATION No. 1236/2021: THE REVISED PROCLAMATION FOR THE ESTABLISHMENT OF THE FEDERAL ETHICS AND ANTI-CORRUPTION COMMISSION PROCLAMATION.  Regulation No.151/2012: Oromia Region Rural Land Administration and Use Regulation.  Proclamation No.133/2006: A proclamation issued to provide for the Revised Rural Land Administration and Use of the Amhara National Regional State.</p>
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	<p>Proclamation No 147/2012: The Southern Nations, Nationalities and Peoples Regional State Forest Development, Conservation and Utilization.</p> <p>Proclamation No. 456/2005: Federal Democratic Republic of Ethiopia Rural Land Administration and Use Proclamation.</p> <p>Proclamation No. 1065/2018 Forest Development Conservation and Utilization</p> <p>PROCLAMATION NO. 545 /2007: TO PROVIDE FOR THE RATIFICATION OF THE AFRICAN UNION CONVENTION ON PREVENTING AND COMBATING CORRUPTION</p> <p>Proclamation No. 8911997 Rural land administration.</p>
1.2 Concession licenses	<p>Proclamation No. 1065/2018 Forest Development Conservation and Utilization,</p> <p>PROCLAMATION NO.541/2007:TO PROVIDE FOR THE DEVELOPMENT CONSERVATION AND UTILIZATION OF WILDLIFE</p> <p>Proclamation No. 8911997 Rural land administration</p> <p>Proclamation No. 456/2005: Federal Democratic Republic of Ethiopia Rural Land Administration and Use Proclamation.</p>
1.3 Management and harvesting planning	<p>Proclamation No. 1065/2018 Forest Development Conservation and Utilization,</p> <p>PROCLAMATION NO.541/2007:TO PROVIDE FOR THE DEVELOPMENT CONSERVATION AND UTILIZATION OF WILDLIFE</p> <p>Proclamation No. 8911997 Rural land administration</p> <p>Proclamation No. 456/2005: Federal Democratic Republic of Ethiopia Rural Land Administration and Use Proclamation.</p>
1.4 Harvesting permits	<p>Proclamation No. 1065/2018 Forest Development Conservation and Utilization,</p> <p>PROCLAMATION NO.541/2007:TO PROVIDE FOR THE DEVELOPMENT CONSERVATION AND UTILIZATION OF WILDLIFE</p> <p>.</p>
<b>2. Taxes and fees</b>	
2.1 Payment of royalties and harvesting fees	<p>Proclamation No. 1065/2018 Forest Development Conservation and Utilization,</p> <p>PROCLAMATION NO.541/2007:TO PROVIDE FOR THE DEVELOPMENT CONSERVATION AND UTILIZATION OF WILDLIFE</p> <p>.</p>

2.2 Value added taxes and other sales taxes	PROCLAMATION NO. 1180/2020: INVESTMENT PROCLAMATION. Proclamation No. 1156/2019: LABOUR PROCLAMATION. ).
2.3 Income and profit taxes	PROCLAMATION NO. 1180/2020: INVESTMENT PROCLAMATION. Proclamation No. 1156/2019: LABOUR PROCLAMATION. .
<b>3. Timber harvesting activities</b>	
3.1 Timber harvesting regulations	Proclamation No. 1065/2018 Forest Development Conservation and Utilization.
3.2 Protected sites and species	Proclamation No.993/2017:TO RATIFY THE UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE CHANGE PARIS AGREEMENT  PROCLAMATION NO. 634/2009: TO RATIFY THE CONVENTION ON MIGRATORY SPECIES OF WILD ANIMALS.

<p>3.3 Environmental requirements</p>	<p>PROCLAMATION NO. 482/2006:TO PROVIDE FOR ACCESS TO GENETIC RESOURCES AND COMMUNITY KNOWLEDGE AND COMMUNITY RIGHT.</p> <p>PROCLAMATION NO. 575/2008:TO PROVIDE FOR THE ESTABLISHMENT OF THE ETHIOPIAN WILDLIFE DEVELOPMENT AND CONSERVATION AUTHORITY</p> <p>PROCLAMATION No. 192 OF 1980:TO PROVIDE FOR THE CONSERVATION AND DEVELOPMENT OF FOREST AND WILDLIFE RESOURCES</p> <p>PROCLAMATION No.1065/2018: FOREST DEVELOPMENT,CONSERVATION AND UTILIZATION</p> <p>PROCLAMATION NO. 197/2000 ETHIOPIAN WATER RESOURCES MANAGEMENT</p> <p>PROCLAMATION NO.1090/2018:TO PROVIDE FOR HAZARDOUS WASTE MANAGEMENT AND DISPOSAL CONTROL</p> <p>COUNCIL OF MINISTERS REGULATION No. 327/2014: COUNCIL, OF MINISTERS REGULATION TO PROVIDE FOR THE ESTABLISHMENT OF THE ETHIOPIAN ENVIRONMENT AND FOREST RESEARCH INSTITITUE.</p> <p>PROCLAMATION NO.300/2002: ENVIRONMENTAL POLLUTION CONTROL</p> <p>PROCLAMATION NO. 674/2010:TO PROVIDE FOR THE REGISTRATION AND CONTROL OF PESTICIDE.</p> <p>Federal Democratic Republic of Ethiopia Radiation Protection Proclamation No. 79/1993</p> <p>Federal Democratic Republic of Ethiopia Environmental Impact Assessment Proclamation 299/2002</p> <p>Federal Democratic Republic of Ethiopia Environmental Policy, 1997</p> <p>PROCLAMATION NO. 299/2002 ENVIRONMENTAL IMPACT ASSESSMENT.</p>
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3.4 Health and safety	<p>PROCLAMATION NO. 690/2010: TO PROVIDE FOR SOCIAL HEALTH INSURANCE</p> <p>Proclamation NO.200/2000 Food Quality standards Control, Proclamation No.1156/2019: LABOUR</p> <p>Proclamation No.377/2003: LABOUR</p> <p>Proclamation No. 513/2007: Solid Waste Management</p> <p>Proclamation No. 661/2009: Food, Medicine and Health Care Administration and Control</p> <p>Public Health Proclamation no. 200/2000.</p>
3.5 <i>Legal</i> * employment	<p>Proclamation No.1156/2019: LABOUR</p> <p>Proclamation No.377/2003: LABOUR</p> <p>PROCLAMATION NO.1237/2021:TO PROVIDE FOR ARBITRATION AND CONCILIATION WORKING PROCEDURE</p> <p>PROCLAMATION NO. 515/2006: THE FEDERAL CIVIL SERVANTS</p> <p>PROCLAMATION NO.1113/2019: ORGANIZATIONS OF CIVIL SOCIEITIES.</p> <p>Proclamation No. 715/2011: To Provide for Private Organization Employees Pension</p> <p>Ethiopian Revenues and Customs Authority Establishment Proclamation No. 587-2008</p>
<b>4. Third parties' rights</b>	
4.1 <i>Customary rights</i> *	<p>Regional customary laws and Courts of Ethiopia,</p> <p>Proclamation No. 85 /2010: Benishangul Gumuz Regional State Rural Land Administration and Use</p> <p>A Regulation to Implement the Oromia Region Customary Courts, Proclamation No. 240/2021, Regulation No. 10/2021</p> <p>Proclamation No. 66/2000, Dec. 24/2007: The Southern Nations, Nationalities and Peoples Regional State, Rural Land Administration and Use Regulation</p> <p>Regulation No.151/2012: Oromia Region Rural Land Administration and Use Regulation.</p> <p>Proclamation No.133/2006: A proclamation issued to provide for the Revised Rural Land Administration and Use of the Amhara National Regional State</p> <p>Proclamation No 147/2012: The Southern Nations, Nationalities and Peoples Regional State Forest Development, Conservation and Utilization.</p>

<p>4.2 <i>Free Prior and Informed Consent*</i></p>	<p>Regional customary laws and Courts of Ethiopia, Proclamation No. 85 /2010: Benishangul Gumuz Regional State Rural Land Administration and Use A Regulation to Implement the Oromia Region Customary Courts, Proclamation No. 240/2021, Regulation No. 10/2021</p> <p>Proclamation No. 66/2000, Dec. 24/2007: The Southern Nations, Nationalities and Peoples Regional State, Rural Land Administration and Use Regulation</p> <p>Regulation No.151/2012: Oromia Region Rural Land Administration and Use Regulation.</p> <p>Proclamation No.133/2006: A proclamation issued to provide for the Revised Rural Land Administration and Use of the Amhara National Regional State</p> <p>Proclamation No 147/2012: The Southern Nations, Nationalities and Peoples Regional State Forest Development, Conservation and Utilization</p> <p>PROCLAMATION NO.541/2007:TO PROVIDE FOR THE DEVELOPMENT CONSERVATION AND UTILIZATION OF WILDLIFE.</p>
<p>4.3 <i>Indigenous Peoples**</i> rights</p>	<p>Regional customary laws and Courts of Ethiopia, Proclamation No. 85 /2010: Benishangul Gumuz Regional State Rural Land Administration and Use A Regulation to Implement the Oromia Region Customary Courts, Proclamation No. 240/2021, Regulation No. 10/2021</p> <p>Proclamation No. 66/2000, Dec. 24/2007: The Southern Nations, Nationalities and Peoples Regional State, Rural Land Administration and Use Regulation</p> <p>Regulation No.151/2012: Oromia Region Rural Land Administration and Use Regulation.</p> <p>Proclamation No.133/2006: A proclamation issued to provide for the Revised Rural Land Administration and Use of the Amhara National Regional State</p> <p>Proclamation No 147/2012: The Southern Nations, Nationalities and Peoples Regional State Forest Development, Conservation and Utilization</p> <p>PROCLAMATION NO.541/2007:TO PROVIDE FOR THE DEVELOPMENT CONSERVATION AND UTILIZATION OF WILDLIFE</p> <p>A Regulation to Implement the Oromia Region Customary Courts, Proclamation No. 240/2021, Regulation No. 10/2021</p> <p>PROCLAMATION NO. 482/2006: A PROCLAMATION TO PROVIDE FOR ACCESS TO GENETIC RESOURCES AND COMMUNITY KNOWLEDGE AND COMMUNITY RIGHT.</p>



<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>PROCLAMATION No. 769/2012: A PROCLAMATION INVESTMENT.</p> <p>PROCLAMATION No. 1065/2018: FOREST DEVELOPMENT, CONSERVATION AND UTILIZATION.</p>
5.2 Trade and transport	<p>PROCLAMATION No. 769/2012: A PROCLAMATION INVESTMENT.</p> <p>PROCLAMATION No. 1065/2018: FOREST DEVELOPMENT, CONSERVATION AND UTILIZATION</p> <p>Ethiopian Revenues and Customs Authority Establishment Proclamation No. 587-2008.</p>
5.3 Offshore trading and transfer pricing	<p>PROCLAMATION No. 1236/2021: THE REVISED PROCLAMATION FOR THE ESTABLISHMENT OF THE FEDERAL ETHICS AND ANTI-CORRUPTION COMMISSION PROCLAMATION</p> <p>PROCLAMATION NO. 545 /2007: A PROCLAMATION TO PROVIDE FOR THE RATIFICATION OF THE AFRICAN UNION CONVENTION ON PREVENTING AND COMBATING CORRUPTION.</p>
5.4 Custom regulations	<p>Ethiopian Customs proclamation No.859-2014</p> <p>Ethiopian Revenues and Customs Authority Establishment Proclamation No. 587-2008.</p>
5.5 CITES	<p>PROCLAMATION NO. 575/2008:TO PROVIDE FOR THE ESTABLISHMENT OF THE ETHIOPIAN WILDLIFE DEVELOPMENT AND CONSERVATION AUTHORITY.</p> <p>PROCLAMATION No. 192 OF 1980:TO PROVIDE FOR THE CONSERVATION AND DEVELOPMENT OF FOREST AND WILDLIFE RESOURCES.</p> <p>PROCLAMATION NO.541/2007: TO PROVIDE FOR THE DEVELOPMENT CONSERVATION AND UTILIZATION OF WILDLIFE.</p>
<b>6. Due diligence / due care</b>	

6.1 Due diligence / due care procedures	<p>Ethiopian Customs proclamation No.859-2014  Ethiopian Revenues and Customs Authority Establishment Proclamation No. 587-2008,  PROCLAMATION NO.541/2007: A PROCLAMATION TO PROVIDE FOR THE DEVELOPMENT CONSERVATION AND UTILIZATION OF WILDLIFE.</p> <p>PROCLAMATION No. 1065/2018: FOREST DEVELOPMENT, CONSERVATION AND UTILIZATION</p>
<b>7. Ecosystem Services</b>	
	<p>PROCLAMATION No. 1065/2018: FOREST DEVELOPMENT, CONSERVATION AND UTILIZATION</p> <p>PROCLAMATION NO. 197/2000 ETHIOPIAN WATER RESOURCES MANAGEMENT PROCLAMATION.</p> <p>PROCLAMATION No. 192 OF 1980: A PROCLAMATION TO PROVIDE FOR THE CONSERVATION AND DEVELOPMENT OF FOREST AND WILDLIFE RESOURCES.</p> <p>PROCLAMATION NO.300/2002: ENVIRONMENTAL POLLUTION CONTROL PROCLAMATION.</p> <p>Proclamation No. 513/2007: Solid Waste Management</p> <p>PROCLAMATION NO.541/2007: A PROCLAMATION TO PROVIDE FOR THE DEVELOPMENT CONSERVATION AND UTILIZATION OF WILDLIFE.</p>

## Annex B Training requirements for *workers\** (*Principle\* 2*)



### INSTRUCTIONS FOR STANDARD DEVELOPERS:

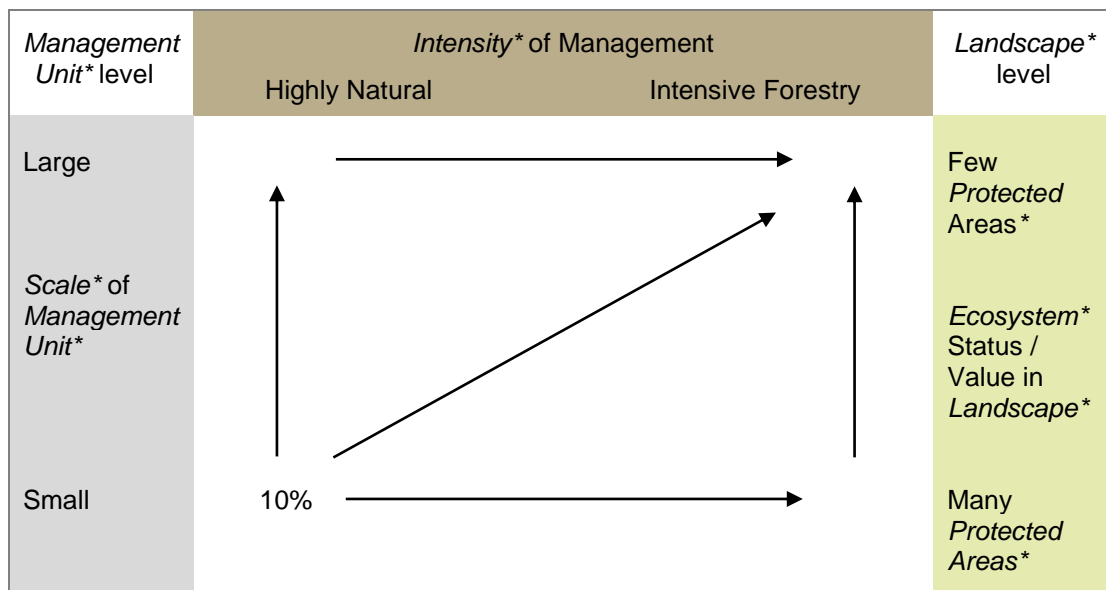
The list of training requirements in this Annex is intended for those *workers\** with specific job responsibilities related to the implementation of the National Standard or Interim National Standard.

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*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 the country or region (Principle 6)**



**INSTRUCTIONS FOR STANDARD DEVELOPERS:**

Standard Developers shall consider this Annex when developing indicators for *Principle\* 8*, *Principle\* 9* and *Principle\* 10* besides *Principle\* 6*.

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**Plants**

Hagenia abyssinica - African Redwood  
Juniperus procera - African Pencil Cedar  
Acacia bricchettiana  
Acacia prasinata  
Podocarpus falcatus  
Taverniera abyssinica  
Cordeauxia edulis

**Mammals**

Capra walie - Walia Ibex  
Tragelaphus buxtoni - Mountain Nyala  
Tragelaphus scriptus - meneliki Menelik's bushbuck  
Alcelaphus buselaphus swaynei - Swayne's Hartebeest  
Canis simensis - Ethiopian Wolf  
Chlorocebus djamdjensis - Bale monkey  
Cercopithecus mitis boutourlinii Boutourlini's - Blue Monkey  
Graphiurus sp. "B"  
Lophuromys brevicaudus - Short-tailed Brush-furred Rat  
Lophuromys brunneus Thomas's - Ethiopian Brush furred Rat  
Lophuromys chercherensis - Mount Chercher Brush-furred Rat  
Lophuromys chrysopus - Ethiopian Forest Brush furred Rat  
Lophuromys flavopunctatus - Ethiopian yellow-spotted Brush-furred Rat  
Lophuromys melanonyx - Black-clawed Brush-furred Rat  
Lophuromys menageshae - North Western Rift Brush-furred Rat  
Lophuromys simeinsis  
Lophuromys pseudosikapusi - Sheko Forest Brush-furred Rat  
Mylomys rex - Ethiopian Mylomys  
Mastomys awashensis - Awash Mastomys  
Mus imberbis - Striped-back Mouse  
Mus proconodon  
Mus Mahomet - Mahomet Mouse  
Mus sp. "Harena"  
Mus sp.1 (M. cf. triton)  
Nilopegamys plumbeus - Ethiopian Water Mouse  
Otomys typus - Ethiopian Vlei Rat  
Otomys fortiori - Ethiopian Vlei Rat  
Otomys helleri - Ethiopian Vlei Rat  
Otomys yalden - Ethiopian Vlei Rat  
Otomys cheesmani - Ethiopian Vlei Rat  
Otomys simiensis - Ethiopian Vlei Rat  
Stenocephalemys sp. A  
Crocidura thalia - Thalia's Shrew  
Crocidura afeworkbekelei - Sanetti Shrew

*Crocidura yaldeni* - Beletta Shrew  
 Rodentia Nesomyidae  
*Dendromus lovati* Lovat's - Climbing Mouse  
*Megadendromus nikolausi* - Nikolaus's Mouse  
*Dendromus mystacalis* - Chestnut Climbing Mouse  
*Arvicanthis abyssinicus* - Abyssinian Grass Rat  
*Arvicanthis blicki* - Blick's Grass Rat  
*Arvicanthis saturatus*  
*Desmomys harringtoni* - Harrington's Desmomys  
*Dasymys griseifrons* - Grayish brown shaggy rat  
*Desmomys yaldeni* - Yalden's Desmomys  
*Theropithecus gelada* - Gelada  
*Colobus guereza gallarum* - Neumann's black-and-white colobus  
 Eulipotyphla Soricidae  
*Crocidura baileyi* - Bailey's Shrew  
*Crocidura bottegoides* - Bale Shrew  
*Crocidura glassi* - Glass's Shrew  
*Crocidura harena* - Harena Shrew  
*Crocidura Lucina* - Lucina's Shrew  
*Crocidura macmillani* - Macmillan's Shrew  
*Crocidura phaeura* - Guramba Shrew  
*Stenocephalemys albipes* - White-footed Stenocephalemys  
*Stenocephalemys albocaudata* - Ethiopian Narrow-headed Rat  
*Stenocephalemys griseicauda* - Gray-tailed Narrow-headed Rat  
*Stenocephalemys "pseudogriseicauda"*  
*Stenocephalemys ruppi* - Rupp's Stenocephalemys  
 Spalacidae  
*Tachyoryctes macrocephalus* - Big-headed Mole Rat  
 Chiroptera Vespertilionidae  
*Myotis scotti* - Scott's Mouse-eared Bat  
*Plecotus balensis* - Ethiopian Big-eared Bat  
*Scotophilus ejetai* - Ejetas's house mouse  
 Lagomorpha Leporidae  
*Lepus starcki* - Ethiopian Highland Hare

### Birds

*Harwood's Francolin* - *Pternistis harwoodi*  
*Moorland Francolin* - *Scleroptila psilolaema*  
*Blue-winged Goose* - *Cyanochen cyanoptera*  
*Nechisar Nightjar* - *Caprimulgus solala*  
*Brown-faced Go-away-bird* - *Corythaixoides personatus*  
*Ruspoli's Turaco* - *Tauraco ruspolii*  
*Spot-breasted Lapwing* - *Vanellus melanocephalus*  
*Yellow-fronted Parrot* - *Poicephalus flavifrons*  
*Ethiopian Bushcrow* - *Zavattariornis stresemanni*  
*White-tailed Swallow* - *Hirundo megaensis*  
*Abyssinian Catbird* - *Parophasma galinieri*  
*Red-billed Pytilia* - *Pytilia lineata*  
*Abyssinian Longclaw* - *Macronyx flavicollis*  
*Yellow-throated Seedeater* - *Crithagra flavigula*  
*Salvadori's Seedeater* - *Crithagra xantholaema*  
*Ankober Serin* - *Crithagra ankoberensis*  
*Ethiopian Siskin* - *Serinus nigriceps*  
*Abyssinian Woodpecker* - *Dendropicos abyssinicus*  
*Sidamo Lark* - *Heteromira fra sidamoensis*



(here to add the content)

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



### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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

- 
- 1) The results of assessments, including:
    - i. Natural resources and *environmental values\**, as identified in *Principle*\* 6 and *Principle*\* 9;
      - a. Social, economic and cultural resources and condition, as identified in *Principle*\* 6, *Principle*\* 2 to *Principle*\* 5 and *Principle*\* 9;
      - b. Intact Forest Landscapes\* and core areas\*, as identified in *Principle*\* 9;
      - c. *Indigenous cultural landscapes\**, as identified with *affected rights holders\** in *Principle*\* 3 & *Principle*\* 9;
      - d. Major social and environmental risks in the area, as identified in *Principle* 6, *Principle*\* 2 to *Principle*\* 5 and *Principle*\* 9; and
      - e. 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;
      - a. *Indigenous Peoples\**, community relations, local economic and social development, as identified in *Principle*\* 3, *Principle*\* 4 and *Principle*\* 5;
      - b. *Stakeholder engagement\** and the resolution of disputes\* and grievances, as identified in *Principle*\* 1, *Principle*\* 2 and *Principle*\* 7;
      - c. Planned management activities and timelines, *silvicultural\** systems used, typical harvesting methods and equipment, as identified in *Principle*\* 10;
      - d. 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\**;
      - a. *Water bodies\** and *riparian zones\**;
      - b. *Landscape\* connectivity\**, including wildlife corridors;
      - c. *Ecosystem services\** when FSC ecosystem services claims are used as identified in *Criterion*\* 5.1;
      - d. *Representative Sample Areas\**, as identified in *Principle*\* 6; and
      - e. *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*;
    - a. *Environmental values\**, as identified in *Principle\* 6*;
    - b. Operational impacts, as identified in *Principle\* 10*;
    - c. *High Conservation Values\**, as identified in *Principle\* 9*;
    - d. Monitoring systems based on stakeholder *engagement\** planned or in place, as identified in *Principle\* 2 to Principle\* 5* and *Principle\* 7*;
    - e. Maps describing the natural resources and land use zoning on the *Management Unit\**;
    - f. 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\**;
    - g. 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
    - h. 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*)



### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

Sample Management Plan* Document  (Note: These will vary with SIR and jurisdiction)	Management Plan* Revision Periodicity	Element Being Monitored  (Partial List)	Monitoring Periodicity	Who Monitors This Element?  (Note: These will vary with SIR and jurisdiction)	FSC Principle* / Criterion*
Site Plan (Harvest Plan)	Annual	Creek crossings	When in the field and annually	Operational staff	P10
		Roads	When in the field and annually	Operational staff	P10
		Retention patches	Annually sample	Operational staff	P6, P10
		Rare Threatened and Endangered species	Annually	Consulting Biologist	P6
		Annual harvest levels	Annually	Woodlands Manager	C5.2
		Insect disease outbreaks	Annually, sample	Consulting Biologist / Ministry of Forests	
Budgeting	Annual	Expenditures	Annually	Chief Financial Officer	P5
		Contribution to local economy	Quarterly	General Manager	P5
<i>Engagement* Plan</i>	Annual	Employment statistics	Annually	General Manager	P3, P4
		Social Agreements	Annually, or as agreed in <i>Engagement* Plan</i>	Social Coordinator	P3, P4
		Grievances	Ongoing	Human Resources Manager	P2, P3, P4

Sample Management Plan* Document  (Note: These will vary with SIR and jurisdiction)	Management Plan* Revision Periodicity	Element Being Monitored  (Partial List)	Monitoring Periodicity	Who Monitors This Element?  (Note: These will vary with SIR and jurisdiction)	FSC Principle* / Criterion*
5-Year management plan*	5 years	Wildlife populations	To be determined	Ministry of Environment	P6
		Coarse Woody Debris	Annually	Ministry of Forests	P10
		Free growing / regeneration	Annually, sample		
Sustainable Forestry management plan*	10 years	Age class distribution Size class distribution	Ten years	Ministry of Environment	P6
		10 year Allowable Annual Cut	Annually, ten years	Ministry of Forests / Woodlands manager	C5.2
Ecosystem Services* Certification Document	5 years	Prior to validation and verification	Prior to validation and verification	General Manager	FSC-PRO-30-006

(here to insert content if needed)

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



### INSTRUCTIONS FOR STANDARD DEVELOPERS:

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

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

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

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

- 
- 1) Monitoring in 8.2.1 is sufficient to identify and describe the environmental impacts of management activities, including where applicable:
    - i. The results of regeneration activities (*Criterion\* 10.1*);
      - a. The use of ecologically well adapted species for regeneration (*Criterion\* 10.2*);
      - b. Invasiveness or other adverse impacts associated with any *alien species\** within and outside the *Management Unit\** (*Criterion\* 10.3*);
      - c. The use of *genetically modified organisms\** to confirm that they are not being used (*Criterion\* 10.4*);
      - d. The results of *silvicultural\** activities (*Criterion\* 10.5*);
      - e. Adverse impacts to *environmental values\** from *fertilizers\** (*Criterion\* 10.6*);
      - f. Adverse impacts from the use of *pesticides\** (*Criterion\* 10.7*);
      - g. Adverse impacts from the use of *biological control agents\** (*Criterion\* 10.8*);
      - h. The impacts from *natural hazards\** (*Criterion\* 10.9*);
      - i. The impacts of infrastructural development, transport activities and *silviculture\** to *rare and threatened species\**, *habitats\**, *ecosystems\**, *landscape values\**, water and soils (*Criterion\* 10.10*);
      - j. 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

- k. 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);
    - a. Compliance with *applicable laws\**, *local laws\**, *ratified\** international conventions and obligatory *codes of practice\** (*Criterion\** 1.5);
    - b. Resolution of *disputes\** and grievances (*Criterion\** 1.6, *Criterion\** 2.6, *Criterion\** 4.6);
    - c. Programs and activities regarding *workers\** rights (*Criterion\** 2.1);
    - d. *Gender equality\**, sexual harassment and gender *discrimination\** (*Criterion\** 2.2);
    - e. Programs and activities regarding occupational health and safety (*Criterion\** 2.3);
    - f. Payment of wages (*Criterion\** 2.4);
    - g. *Workers\** training (*Criterion\** 2.5);
    - h. Where *pesticides\** are used, the health of *workers\** exposed to *pesticides\** (*Criterion\** 2.5 and *Criterion\** 10.7);
    - i. The identification of *Indigenous Peoples\** and *local communities\** and their *legal\** and *customary rights\** (*Criterion\** 3.1 and *Criterion\** 4.1);
    - j. Full implementation of the terms in *binding agreements\** (*Criterion\** 3.2 and *Criterion\** 4.2);
    - k. *Indigenous Peoples\** and community relations (*Criterion\** 3.2, *Criterion\** 3.3 and *Criterion\** 4.2);
    - l. *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);
    - m. The persistence of *Indigenous cultural landscapes\** and associated values of significance to *Indigenous Peoples\** (*Criterion\** 3.1, *Criterion\** 3.5);
    - n. The use of *traditional knowledge\** and *intellectual property\** (*Criterion\** 3.6 and *Criterion\** 4.8);
    - o. Local economic and social development (*Criterion\** 4.2, *Criterion\** 4.3, *Criterion\** 4.4, *Criterion\** 4.5);
    - p. The production of diversified benefits and/or products (*Criterion\** 5.1);
    - q. The maintenance and/or enhancement of *ecosystem services\** (*Criterion\** 5.1);
    - r. Activities to maintain or enhance *ecosystem services\** (*Criterion\** 5.1);
    - s. Actual compared to projected annual harvests of timber and *non-timber forest products\** (*Criterion\** 5.2);
    - t. The use of local processing, local services and local value added manufacturing (*Criterion\** 5.4);



- u. *Long term\* economic viability\** (*Criterion\** 5.5); and
  - v. *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);
    - a. *Rare and threatened species\**, and the effectiveness of actions implemented to protect them and their *habitats\**(*Criterion\** 6.4);
    - b. *Representative Sample Areas\** and the effectiveness of actions implemented to *conserve\** and/or *restore\** them (*Criterion\** 6.5);
    - c. Naturally occurring *native species\** and *biological diversity\** and the effectiveness of actions implemented to *conserve\** and/or *restore\** them (*Criterion\** 6.6);
    - d. *Water courses\**, *water bodies\**, water quantity and water quality and the effectiveness of actions implemented to *conserve\** and/or *restore\** them (*Criterion\** 6.7);
    - e. *Landscape values\** and the effectiveness of actions implemented to maintain and/or *restore\** them (*Criterion\** 6.8);
    - f. Conversion of *natural forest\** to *plantations\** or conversion to non-forest\* (*Criterion\** 6.9);
    - g. The status of *plantations\** established after 1994 (*Criterion\** 6.10); and
    - h. *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)

### (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.

Best Available Information* for Identifying and Assessing National or Regional HCV Interpretations		SLIMF
All HCV Categories, All Elements	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
HCV 2, Element 1, IFLs	Global Forest Watch Intact Forest Landscapes* maps (2017) <a href="http://www.globalforestwatch.org">www.globalforestwatch.org</a> , or other maps based on a more recent and accurate Intact Forest Landscapes* inventory using a refined methodology.	X
HCV 5, Element 1, and HCV 6, Element 2, Values fundamental to local communities	Culturally appropriate engagement with local communities is the primary BAI for these elements.	X
HCV 5, Element 2, and HCV 6, Element 3, Values fundamental to Indigenous Peoples	Culturally appropriate engagement with Indigenous Peoples is the primary BAI for these elements.	X

Best Available Information* for Developing Management Strategies for National or Regional HCV Interpretations		SLIMF
All HCV Categories, All Elements	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	X

	reasonable* effort and 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.	
HCV 5, Element 1, and HCV 6, Element 2, Values fundamental to local communities	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
HCV 5, Element 2, and HCV 6, Element 3, Values fundamental to Indigenous Peoples	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

Best Available Information* for Monitoring National or Regional HCV Interpretations		SLIM F
All HCV Categories, All Elements	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:	Best Available Information* for identifying occurrences of the Interpretations:	BAI for >SLIM F	BAI SLIM F
Element 1: Concentrations of biological diversity* that are significant* at global, regional, or national levels:			
Protected areas, including: National Parks, National Forest Priority Areas, Regional Forest Priority Areas, Wildlife Sanctuaries, Wildlife Reserves, Controlled Hunting Areas, Community	For lists and maps, see Protected Areas (see References) and UNESCO Biosphere Reserves (see	X	X



<p>Conservation Areas, UNESCO Biosphere Reserves. (Per: EBI; MEFCC, 2018; others.)</p> <p>The Bale Mountains massif, including both upper and lower elevations, the Mena-Angetu forest, the Harena forest, and other areas outside the National Park. (Per: Kimbrough, 2021; Siegel, 2018; WWF, 2004; WWF, 2000.) Kafa, Sheka and Yayu Biosphere reserves</p> <p>“Church forests” (aka sacred groves), including in the central and Northern highlands. (Per: Aerts et al, 2016)</p> <p>Other isolated, relict forest fragments, including dry Afromontane forests. (Per: Aynekulu et al, 2016)</p> <p>Migratory staging areas, breeding areas, hibernation areas, and other significant seasonal concentrations of species.</p> <p>Per the precautionary approach, other areas that should be considered HCV 1, pending further assessment: Natural forests and other native ecosystems within Key Biodiversity Areas.</p>	<p>References). See also: the Ethiopian Biodiversity Institute, National Biodiversity strategy and action plan, the Ministry of Culture and Tourism, and the applicable Regional State Government.</p> <p>X</p> <p>Key Biodiversity Areas X (see References).</p>
<p>Element 2: Concentrations of endemic species that are significant* at global, regional, or national levels:</p>	
<p>Protected areas, the Bale Mountains massif, and church forests (see Element 1), and AZE sites and Ethiopian wolf areas (see Element 3). (Per: Kimbrough, 2021; Siegel, 2018; Foquet et al, 2019)</p> <p>Other 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.</p>	<p>See the BAI for these X X Interpretations, at Elements 1 and 3.</p> <p>For lists of endemic animal species, see IUCN Red List (see References) and applicable national species lists, including: Vivero et al (2005) and wildlife species lists at the EBI, Animal Biodiversity</p>

<p>Per the precautionary approach, other areas that should be considered HCV 1, pending further assessment: Natural forests and other native ecosystems within Endemic Bird Areas.</p>	<p>Directorate, National Biodiversity strategy and action plan, (see References). Endemic Bird Areas X (see References).</p>
<p>Element 3: Concentrations of rare,* threatened,* or endangered species that are significant* at global, regional, or national levels:</p>	
<p>Alliance for Zero Extinction (AZE) sites: Simien Mountains National Park (for <i>Capra walie</i>), Little Abbai River (for <i>Nilopegamys plumbeus</i>), and Bale Mountains National Park (for <i>Crocidura harena</i>, <i>Tachyoryctes macrocephalus</i>, <i>Altiphrynoides malcolmi</i>, <i>Balebreviceps hillmani</i> and <i>Ericabatrachus baleensis</i>). Areas important to Ethiopian wolves: Simien Mountain, North Wollo, South Wollo, Guassa-Menz, Arsi Mtns, Bale Mountains. (Per: IUCN, 2011.) The Gura-Ferda administrative woreda and Kafa, Sheka highland Afromontane forests in Southwest Ethiopia. (Per: Foquet et al, 2019) Other significant occurrences of terrestrial and freshwater plant or animal species listed by the IUCN Red List 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. Sites with CITES listed animal or plant species.</p>	<p>For a map of the sites, see Alliance for Zero Extinction (see References). X X</p> <p>For lists of rare, threatened, and endangered species, see the IUCN Red List (see References), and applicable national species lists, including: Vivero (2005) and wildlife species lists at the EBI, Animal Biodiversity Directorate (see References). X</p> <p>CITES (see References) X X</p>

B. Assessments for HCV 1

National or Regional methodologies for assessing occurrences of the HCV 1 Interpretations:	Best Information*	Available for assessing occurrences:	BAI >SLIM F	BAI SLIM F
For protected areas: Confirm whether policies and practices effectively protect the area and its HCVs. (Per: EBI, 2022b; others) For additional 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 Information*	Available for management strategies:	BAI >SLIM F	BAI SLIM F
For all HCV 1 Interpretations: 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. For all HCV 1 Interpretations: Where enhancement is identified as the objective*, measures to develop, expand, and/or restore* habitats* for such species. For protected areas: Develop and implement management and enforcement plans; establish clear boundary demarcations; educate local communities about the areas' status; where appropriate, use community-based planning and management; prevent unauthorized hunting and tree cutting; limit community fuelwood harvest to sustainable levels; address threats from squatting, grazing, illegal clearing for agriculture. (Per: Siegel, 2018; others) For protected areas: Develop and implement management and				

enforcement plans; establish clear boundary demarcations; educate local communities about the areas' status; where appropriate, use community-based planning and management; prevent unauthorized hunting and tree cutting; limit community fuelwood harvest to sustainable levels; address threats from squatting, grazing, illegal clearing for agriculture. (Per: Siegel, 2018; others)

For church forests: Demarcate boundaries and prevent encroachment. Control tree cutting. Support regeneration, including by controlling grazing. Also consider: planting missing species; establishing buffers to reduce edge effects and increase forests' size and resilience; establishing agro-forestry connectivity corridors between forests. (Per: Aerts et al, 2016; AFR100)

For the Gura-Ferda administrative woreda and areas within State-owned, communally managed lands: Ensure proper implementation of the 2018 Forest Proclamation granting ownership/tenure rights to communal entities. (Per: Atmadja et al, 2019; Foquet et al, 2019)

For endemic and rare, threatened, or endangered species: Implement no hunting policies, except for sustainable levels of traditional harvest by local communities and Indigenous Peoples. Develop and implement species protection plans. Where bushmeat harvest is a threat, use culturally appropriate local education. (Per: Atmadja et al, 2019; Foquet et al, 2019)

For areas important to Ethiopian wolves: Control grazing and domestic dogs; work with livestock managers to prevent poisoning; address threats from roads and agricultural conversion. (Per: IUCN, 2011; Siegel, 2018)

For endemic, rare, threatened, or endangered tree species: Protect trees from unauthorized harvest, and manage the area to support the species' survival and recovery.

Where deforestation or forest degradation is a threat.

For examples of connectivity initiatives and support, see AFR100 (see References) and the Plant-for-Ethiopia project.

Consider the strategies X in IUCN (2011).

Consider the strategies in MEF (2015). Consider the restocking

For additional guidance, consider: FSC (2020a) and HCVRN (2018) (e.g., Part 2).	criteria in Table 3 of MEFCC (2018).
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D. Monitoring for HCV 1

National or Regional methodologies for monitoring occurrences of the HCV 1 Interpretations:	Best Information* monitoring occurrences:	Available for	BAI >SLIM F	BAI SLIM F
For monitoring of potential impacts and of potential illegal or unauthorized activities in the forest, 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:	Best Information* identifying occurrences of the Interpretations:	Available for	BAI >SLIM F	BAI SLIM F
<b>Element 1: Intact forest landscapes*:</b>				
Intact Forest Landscapes* (IFLs).	IFL maps for 2017; see Global Forest Watch IFL (see References).		X	X
<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>				
The Hareenna Forest on the Northwest and Southeastern slopes of the Bale Mountains massif. (Per: WWF, 2004) Other relatively intact forest* areas of 12,500 ha or larger. (Per: FSC, 2018a) Significant wetlands. Pending further assessment, consider as HCV 2:				

<p>Flood plains in Tekeze Valley (Tigray), Baro-Akobo (Gambella), Omo-Gibe (South); Awash Valley and swamps of Fogera, Dembia, Beles and Borkena in Amhara region; Dabus River swamps in Beni-Shangul Gumz; highland swamps in Illubabor, Keffa and Wollega Zones and central Shewa highlands; Qumbi swamp, alpine lakes, and crater lakes of Bale Mountains, Ziquala, and Debre-Zeit; swamps of Dubti, Afambo, Gemari and Lake Abe in Afar Region. (Per: EBI, 2022a)</p> <p>Other wetlands that may be significant.</p>	<p>Consider wetlands X listed in EWNHS &amp; WI (2018).</p>
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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:

<p>Per the precautionary approach, consider as HCV 2, pending further assessment: The Bale Mountains massif, the Gura-Ferda Forest, and other natural forests in Southwestern Ethiopia encompassing a range of elevations and forest and non-forest ecosystems. Also the Sheka Forest Biosphere Reserve and Majang Forest Biosphere Reserves. (Per: Foquet et al, 2019; NABU, 2022)</p> <p>Areas especially important as biological connectivity corridors, e.g., riverine forests, and areas between forest areas across degraded or converted landscapes.</p> <p>Other forest ecosystems forming a significant landscape-level mosaic with other vegetation types used by a diversity of most native species.</p>	<p>For the Sheka and Majang Forest Biosphere Reserves, see UNESCO Biosphere Reserves (see References).</p> <p>Consult with the African Forest Landscape Restoration Initiative (see AFR100 in References).</p>
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B. Assessments for HCV 2

<p>National or Regional methodologies for assessing occurrences of the HCV 2 Interpretations:</p>	<p>Best Available Information* for assessing occurrences: BAI &gt;SLIM F BAI SLIM F</p>
<p>For Intact Forest Landscapes*.</p>	<p>IFL maps for 2017; see Global Forest Watch (see References). See X X</p>

<p>For guidance in assessing Intact Forest Landscapes*, consider: Annex H of FSC (2018) and FSC (2020b). For additional 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).</p>	<p>also Annex H of FSC (2018).</p>
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C. Strategies for Maintaining and Enhancing HCV 2

National or Regional strategies for maintaining and/or enhancing the HCV 2 Interpretations:	Best Information* management strategies:	Available for	BAI >SLIM F	BAI SLIM F
<p>For all HCV 2 Interpretations: 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. For all HCV 2 Interpretations: 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. For IFLs: The core area* of each Intact Forest Landscape* within the Management Unit* is protected, comprising at least 80% of the Intact Forest Landscapes within the Management Unit; see Indicators 9.2.5 and 9.2.7 for more detail. When designating and protecting core</p>		Consider FSC (2020b).	X	X



<p>areas*, also follow Figures 7 and 8 of FSC (2020b)</p> <p>For significant wetlands.</p> <p>For guidance and support in restoring and maintaining connectivity corridors.</p> <p>For additional guidance, consider: FSC (2020a) and HCVRN (2018) (e.g., Part 2).</p>	<p>Consider the X conservation and restoration recommendations in EWNHS &amp; WI (2018).</p> <p>Consult with the African Forest Landscape Restoration Initiative (see AFR100 in References).</p>
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D. Monitoring for HCV 2

National or Regional methodologies for monitoring occurrences of the HCV 2 Interpretations:	Best Information* for monitoring occurrences:	Available for	BAI >SLIM F	BAI SLIM F
<p>For Intact Forest Landscapes* (IFLs). For guidance in monitoring IFLs, consider: FSC (2020b).</p> <p>For additional guidance, consider: FSC (2020a) and HCVRN (2018) (e.g., Part 3).</p>	See: FSC (2020b).		X	X

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:	Best Information* for identifying occurrences of the Interpretations:	Available for	BAI >SLIM F	BAI SLIM F
Element 1: Rare*, threatened*, or endangered ecosystems*:				
Church forests (see HCV 1) and other remaining Afromontane forests in Northern Ethiopia and in the Central and Northern Highlands. (Per: Aerts				

<p>et al, 2008; Aerts et al, 2016; Cardelus et al, 2013)  Lowland forests in the Bench-Sheko Zone of Southwest Ethiopia. (Per: NABU, 2022)  Acacia-Commiphora Woodland Ecosystem. Outside of protected areas, Sub-Afroalpine Ecosystems, Erica-Hypericum Woodlands, Dry Evergreen Montane Forests, Lowland Forest in Eastern Gambella Region. Also, Montane Moist Forest Ecosystems where threatened by conversion to agriculture, coffee and tea plantations, and ineffective Natural/National Forest Priority Area designations. (Per: EBI, 2022b)  Per the precautionary approach, consider as HCV 3, pending further assessment and ground truthing: Primary forests and other remaining natural forests and woodlands. (Per: Lett, 2019; others)  Ecosystems on the IUCN Red List, if any are listed (an assessment is underway). (Per: IUCNRLE, 2022.)</p>	<p>For a 2001 map of X primary forests, see Global Forest Watch – Primary (see References).  IUCN Red List of Ecosystems (see References).</p>
<p>Element 2: Rare*, threatened*, or endangered habitats*:</p>	
<p>Per the precautionary approach, RTE ecosystems listed at Element 1 above, and wetlands listed at HCV 2, should be considered RTE habitats, pending further assessment.  Other habitats and habitat features that are very limited in extent, vulnerable, threatened, and/or important to HCV 1 biodiversity or species.</p>	
<p>Element 3: Refugia*:</p>	
<p>Isolated areas that have not experienced extensive human disturbance and that are important to the survival of native plants and animals.  Some HCV 1 and HCV 2 Interpretations may function as refugia, e.g., church forests, wetlands, areas important to Ethiopian wolves, portions of some protected areas.</p>	

## B. Assessments for HCV 3

National or Regional methodologies for assessing occurrences of the HCV 3 Interpretations:	Best Information* for assessing occurrences:	Available for	BAI >SLIM F	BAI SLIM F
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 Information* for management strategies:	Available for	BAI >SLIM F	BAI SLIM F
For all HCV 3 Interpretations: Strategies that fully maintain the extent and integrity of rare or threatened ecosystems*, habitats*, or refugia*. For all HCV 3 Interpretations: Where enhancement is identified as the objective*, measures to restore* and/or develop rare or threatened ecosystems*, habitats*, or refugia* are in place. For remaining natural forest ecosystems: Prevent conversion to grazing, agriculture, and coffee and tea plantations. Limit tree removals and other utilization to sustainable levels. Where appropriate, implement Participatory Forest Management (PFM) and the 2018 Forest Proclamation granting ownership/tenure rights to communal entities. (Per: Hesselden, 2016; EBI 2022b; others) 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 Information* for monitoring occurrences:	Available for	BAI >SLIM F	BAI SLIM F
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For monitoring guidance, consider: FSC (2020a) and HCVRN (2018) (e.g., Part 3).	
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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:	Best Information* identifying occurrences of the Interpretations:	Available for >SLIM F	BAI >SLIM F	BAI SLIM F
<b>Element 1: Water catchments in critical* situations:</b>				
<p>“Church forests” (see HCV 1) and other Afromontane forests. (Per: Aerts et al, 2016; Ferede, 2017; Cardelus, 2013)</p> <p>Dry forests, including in Afar, Somali, Tigray, Amhara, and Beishangul-Gomuz Regions, for their function in attracting precipitation and preventing flooding. (Per: Atmadja et al, 2019)</p> <p>Bale Mountains National Park and massif, and other forested mountains and watershed that function as “water towers.” (Per: Siegel, 2018; WWF, 2004; Lett, 2019; Hesselden, 2016)</p> <p>Other watersheds, water bodies, and water sources relied upon by local communities or Indigenous Peoples drinking water, irrigation, or other daily uses, or that are otherwise a priority for water provisioning. (See HCV 5.)</p>	See the BAI for HCV 5.	X	X	
<b>Element 2: Control of erosion of vulnerable soils and slopes in critical* situations:</b>				
<p>Afromontane forests. (Per: Solomon et al, 2019)</p> <p>Erosion prone areas, e.g., forest areas on slopes of 15% or greater, and/or forest soils of unstable type. (Per: FSC, 2018a)</p> <p>Forest and woodlands that protect riverbanks. (Per: FSC, 2018a)</p>	Soil maps, maps of erodible soils.			

Element 3: Other ecosystem services* in critical* situations:				
Carbon storage and sequestration, including in Afromontane forests and woodlands. (Per: FSC, 2018a and 2018b) “Church forests” (see HCV 1) and other Afromontane forests, for temperature and climate regulation, pollinator habitats, fuelwood, livestock feed, etc. (Per: Aerts et al, 2016; Ferede, 2017; Cardelus, 2013) “Coffee forests,” i.e., relatively natural forests that are a repository of biodiverse wild coffee species. (Per: Hesselden, 2016; Aerts et al, 2016) Other forests that local communities or Indigenous Peoples rely upon for food and shelter. (See HCV 5) Other ecosystem services* in critical* situations	See the BAI for HCV 5.	X		X

#### B. Assessments for HCV 4

National or Regional methodologies for assessing occurrences of the HCV 4 Interpretations:	Best Information* for assessing occurrences:	Available for	BAI >SLIM F	BAI SLIM F
For water sources and other areas relied upon by local communities or Indigenous Peoples. 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.	See the BAI for HCV 5.		X	X

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

National or Regional strategies for maintaining and/or enhancing the HCV 4 Interpretations:	Best Information* for management strategies:	Available for	BAI >SLIM F	BAI SLIM F
For water catchments of importance to local communities* located within or downstream of the Management Unit*,	For additional considerations, see: FSC (2020a) and		X	X

<p>and areas within the unit that are particularly unstable or susceptible to erosion: 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.</p> <p>For climate regulation: Strategies to maintain or enhance carbon sequestration and storage are in place.</p> <p>For church forests: See the strategies for HCV 1.</p> <p>For other Afromontane forests and for dry forests: Prevent conversion to non-forest land uses. (Per: Solomon et al, 2019)</p> <p>For “water towers” and other forested watersheds: Maintain and restore natural forest cover (not eucalyptus), including to maintain and restore groundwater recharge and seasonal water storage functions, and to limit sediment discharge. (Per: Lett, 2019; FSC, 2018a and 2018b)</p> <p>For coffee forests: See the strategies for HCV 3, and support traditional coffee harvest that maintains canopy cover. (Per: Hesselden, 2016; Aerts et al, 2016)</p> <p>For additional guidance, consider: FSC (2020a) and HCVRN (2018) (e.g., Part 2).</p>	<p>HCVRN (2018) (e.g., Part 2, including section 2.3.4).</p>
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D. Monitoring for HCV 4

<p>National or Regional methodologies for monitoring occurrences of the HCV 4 Interpretations:</p>	<table border="1"> <tr> <td>Best Information* monitoring occurrences:</td> <td>Available for</td> <td>BAI &gt;SLIM F</td> <td>BAI SLIM F</td> </tr> </table>	Best Information* monitoring occurrences:	Available for	BAI >SLIM F	BAI SLIM F
Best Information* monitoring occurrences:	Available for	BAI >SLIM F	BAI SLIM F		
<p>For 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.</p>					

HCV 5 – Community needs. Sites and resources fundamental for satisfying the 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 Ethiopia include: Anuak; Majang (Majengir); Afar; Oromo; Hamar, Dassanech(Dassanach), Nygagaton, Erboore, Nuer), Amhara; Banna; Basketo; Berto; Burji; Gedeo; Gumuz; Karo; Maale; Mursi; Shinasha; Sidama; Somalis; Suri Baale; Suri Chai; Suri Timaga; Welayta;Tsemai,Hadiya,Gurage,Gamo,Tigray and Yem. (Per: IWGI, 2022; MRG, 2022; and Wiki, 2022.)

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 for >SLIM F BAI SLIM F
Element 1: Sites and resources fundamental for satisfying the basic necessities of local communities* (for livelihoods, health, nutrition, water, etc.):	
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
Fuelwood, “coffee forests,” dry forests used for harvest of gums and resins (e.g., frankincense, myrrh, gum Arabic), beekeeping trees, and sources of wild fruits and medicinal plants, used for subsistence and subsistence incomes in local communities (not inclusive of unsustainable harvest levels, illegal harvest, poaching, or harvest that harms RTEs or other HCVs). (Per: Lett, 2019; Siegel, 2018; Tadese, 2016; Aerts et al, 2016; Atmadja et al, 2019; Ferede, 2017)	Culturally appropriate engagement with the local communities. X X
Pending further assessment, UNESCO Biosphere Reserves that may be HCV 5: Kafa, Yau, Sheka Forest, Lake Tana, and Majang Forest. (Per: References, UNESCO Biosphere Reserves)	
Other sites and resources from which local communities satisfy basic needs.	Culturally appropriate engagement with the local communities. X X
For all HCV Interpretations.	Supplemental BAI may include databases, maps, and community



	development organizations and professionals.		
Element 2: Sites and resources fundamental for satisfying the basic necessities of Indigenous Peoples* (for livelihoods, health, nutrition, water, etc.):			
See the HCV Interpretations for Element 1; some Indigenous Peoples likely rely on the same types of sites and resources.	Culturally appropriate engagement with the Indigenous Peoples.	X	X
Other sites and resources relied upon by Indigenous Peoples.	Culturally appropriate engagement with the Indigenous Peoples.	X	X
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 >SLIM	BAI SLIM
For all HCV 5 Interpretations: Use culturally appropriate engagement, per the Overarching BAI. Also consider participatory mapping with the local communities or Indigenous Peoples.	Culturally appropriate participatory mapping with local communities and Indigenous Peoples. In the case of community operations internal mapping process approved by community assembly.	X	X
Consider whether specific levels and practices of fuelwood harvest, gum and resin harvest, and other forest utilization are sustaining the resource, and also avoiding harm to biodiversity and other HCVs. 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 Information* for management strategies:	Available for	BAI >SLIM F	BAI SLIM F
<p>For all HCV 5 Interpretations: 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*.</p> <p>For sites and resources related to Indigenous Peoples: Strategies should not assume existing laws recognize or protect Indigenous Peoples' rights. (Per: IWGI, 2022)</p> <p>For coffee forests: See also the strategies at HCV 3 and 4.</p> <p>For dry forests used for gum and resin production: Limit tapping and tree removals to sustainable levels, and ensure sufficient regeneration. (Per: Atmadja et al, 2019)</p> <p>For additional guidance, consider: FSC (2020a) and HCVRN (2018) (e.g., Part 2).</p>	The local communities and Indigenous People.	X	X	X

### D. Monitoring for HCV 5

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

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 Ethiopia include: Anuak; Majang (Majengir); Afar; Oromo; Hamar, Dassanech(Dassanach), Nygagaton, Erbare, Nuer), Amhara; Banna; Basketo; Berto; Burji; Gedeo; Gumuz; Karo; Maale; Mursi; Shinasha; Sidama; Somalis; Suri Baale; Suri Chai; Suri Timaga; Welayta;Tsemai,Hadiya,Gurage,Gamo,Tigray and Yem. (Per: IWGI, 2022; MRG, 2022; and Wiki, 2022.)

#### 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 for >SLIM F	BAI SLIM F
<b>Element 1: Sites, resources, habitats* and landscapes* of global or national cultural, archaeological or historical significance:</b>			
<p>World Heritage sites designated for cultural, archaeological, or historical values.</p> <p>Pending further assessment, sites proposed for World Heritage status for cultural, archaeological, or historical values. Also Lake Tana Biosphere Reserve,Sheka Forest Biosphere Reserve, Kafa Biosphere reserve, Majang Forest Biosphere reserve, Yayu coffee Biosphere Reserve.</p> <p>Other recognized internationally or nationally important cultural, archaeological, or historical sites, resources, habitats, or landscapes</p> <p>Other internationally or nationally important archaeological sites, not yet recognized. (Per: Walker, 2018; Katz, 2019)</p>	<p>UNESCO World Heritage Sites (see References).</p> <p>UNESCO World Heritage Sites (see References) and UNESCO Biosphere Reserves (see References).</p> <p>Databases and expert organizations (see Stakeholders and Experts List).</p>	<p>X</p> <p>X</p> <p>X</p>	<p>X</p> <p>X</p> <p>X</p>
<b>Element 2: Sites, resources, habitats* and landscapes* of critical* cultural, ecological, economic or religious/sacred importance for the traditional cultures of local communities*:</b>			
<p>Sites, resources, habitats, or landscapes of cultural, ecological, economic, or religious/sacred importance to local communities.</p> <p>For all Interpretations.</p>	<p>Culturally appropriate engagement with the local communities.</p> <p>Supplemental BAI may include databases, maps, and experts, e.g., community</p>	<p>X</p>	<p>X</p>

	development organizations.
Element 3: Sites, resources, habitats* and landscapes* of critical* cultural, ecological, economic or religious/sacred importance for the traditional cultures of Indigenous Peoples:	
Sites, resources, habitats, or landscapes of cultural, ecological, economic, or religious/sacred importance to Indigenous Peoples. For all Interpretations.	Culturally appropriate engagement with the Indigenous Peoples.  Supplemental BAI may include databases, organizations that represent or provide services for Indigenous Peoples, and archaeologists and anthropologists.

B. Assessments for HCV 6

National or Regional methodologies for assessing occurrences of the HCV 6 Interpretations:	Best Information* Available for assessing occurrences:	BAI >SLIM F	BAI SLIM F
For Interpretations for Elements 2 and 3, HCVs important to local communities and Indigenous Peoples.  For Interpretations for Elements 2 and 3, HCVs important to local communities and Indigenous Peoples: Consider interactive mapping with the local communities and the Indigenous Peoples For archaeological sites not yet recognized: Field surveys by local experts, local elders, and/or experts with field experience. (Per: Walker, 2018)	The local communities and Indigenous Peoples.	X	X

C. Strategies for Maintaining and Enhancing HCV 6

National or Regional strategies for maintaining and/or enhancing the HCV 6 Interpretations:	Best Information* Available for management strategies:	BAI >SLIM F	BAI SLIM F
For HCV occurrences related to Indigenous Peoples and/or local communities: Strategies to protect the	The local communities and Indigenous Peoples.	X	X

<p>cultural values are developed in cooperation with representatives and members of the local communities* and the Indigenous Peoples*.</p> <p>For HCV occurrences related to Indigenous Peoples: Strategies should not assume existing laws recognize or protect Indigenous Peoples' rights. (Per: IWGI, 2022)</p> <p>For other HCV occurrences (i.e., those identified primarily due to global or national significance), strategies are based on Best Available Information, and considered effective for maintaining and/or enhancing the HCV.</p> <p>For additional guidance, consider: FSC (2020a) and HCVRN (2018) (e.g., Part 2).</p>	
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D. Monitoring for HCV 6

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

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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:  
 Ethiopian Wildlife and Natural History Society (EWNHS)  
 Forests of the World, East Africa Office

Greenpeace Africa  
Wildlife Conservation Society  
WWF Kenya/ROA Africa

Social Stakeholders and Community Development Organizations:

Ethio Wetlands and Natural Resources Association (EWNRA)  
Ethiopian Coffee Forest Forum (ECFF)  
Forest Development Cooperatives  
Forest Farmers' Unions  
Konso Development Association (KDA)  
Inter-Church Aid Commission (EOC-DICAC)  
International Development Enterprises, Ethiopia  
Nature and Biodiversity Conservation Union (NABU)

Other Expert Organizations – Environmental:

Ethiopian Wolf Conservation Programme  
Gullele Botanic Garden (re. native biological diversity)  
IUCN Eastern and Southern Africa Regional Office (ESARO)  
University of Nairobi, Kenya  
Wondo Genet College of Forestry and Natural Resources

Other Expert Organizations – Social:

Other Expert Organizations – Archeological:

Agency for Research and Conservation of the Cultural Heritage  
Department of Archaeology and Heritage Management, University of Addis Ababa  
Department of History and Archaeology, University of Nairobi, Kenya  
Institute of Ethiopian Studies, University of Addis Ababa  
Program for Archaeology and Heritage, Aksum University

Government Agencies:

Environment, Forest and Climate Change Commission (EFCCC)  
Ethiopian Biodiversity Institute (EBI)  
Ethiopian Environment and Forest Research Institute (EEFR)  
Ethiopian Geospatial Information Agency  
Federal Environmental Protection Authority  
Ethiopian Wildlife Conservation Authority (EWCA), Ministry of Culture and Tourism  
Authority for Conservation of Cultural Heritage, Ministry of Culture and Tourism  
Regional State agencies

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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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## 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: based on World Conservation Union (IUCN). Glossary definitions as provided on IUCN website).

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

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

(Source: FSC-STD-01-001 V5-2).

**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.

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

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

of statutory law (Parliamentary-approved) and case law (court interpretations), subsidiary regulations, associated administrative procedures, and the national constitution (if present) which invariably takes *legal\** precedence over all other *legal\** instruments (Source: FSC-STD-01-001 V5-2).

**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\**.

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

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

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

**Child:** any person under the age of 18 (Source: 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: 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.

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

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

**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*\*.

**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.

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

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

**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: 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: based on the definition provided on the website of the European Environment Agency).

**Eco-regional:** Large unit of land or water containing a geographically distinct assemblage of species, natural communities, and environmental conditions (Source: WWF Global 200. [http://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: 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: based on R. Hassan, R. Scholes and N. Ash. 2005. Ecosystems and Human Well-being: Synthesis. The Millennium Ecosystem Assessment Series. Island Press, Washington DC; and R.F. Noss. 1990. Indicators for monitoring biodiversity: a hierarchical approach. Conservation Biology 4(4):355–364).

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

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

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

**Employment and Occupation:** includes access to vocational training, access to employment and to particular occupations, and terms and conditions of employment (Source: 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: based on Environmental impact assessment, guidelines for FAO field projects. Food and agriculture organization of the United Nations (FAO). Rome, FSC-STD-01-001 V5-2).

**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.

**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.

**Fibre Testing:** a suite of wood identification technologies used to identify the family, genus, species and origin of solid wood and fibre based products.

**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: 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, ADVICE-20-007-01).

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

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

**Free, Prior, and Informed Consent (FPIC):** A *legal\** condition whereby a person or community can be said to have given consent to an action prior to its commencement, based upon a clear appreciation and understanding of the facts, implications and future consequences of that action, and the possession of all relevant facts at the time when consent is given. *Free, prior and Informed Consent\** includes the right to grant, modify, withhold or withdraw approval (Source: based on the Preliminary working paper on the principle of Free, Prior and Informed Consent of Indigenous Peoples (...)) (E/CN.4/Sub.2/AC.4/2004/4 8 July 2004) of the 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: ADV-40-004-14).

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

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

**Genotype:** The genetic constitution of an organism (Source: FSC-STD-01-001 V5-2).

**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: adapted from Motion 40:2017).

**Habitat:** The place or type of site where an organism or population occurs (Source: 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.

**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: 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 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\**.

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

**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 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 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-01-002 V1-0 FSC Glossary of Terms (2009)).

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

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

- The key characteristic or *Criterion*\* is self-identification as *Indigenous Peoples*\* at the individual level and acceptance by the community as their member;
- Historical continuity with pre-colonial and/or pre-settler societies;
- Strong link to territories and surrounding natural resources;
- Distinct social, economic or political systems;
- Distinct language, culture and beliefs;
- Form non-dominant groups of society;
- Resolve to maintain and reproduce their ancestral environments and systems as distinctive peoples and communities.

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

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

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

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

the territory) (Source: Intact Forests / Global Forest Watch. Glossary definition as provided on Intact Forest website. 2006-2014).

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

**Intensity:** A measure of the force, severity or strength of a management activity or other occurrence affecting the nature of the activity's impacts (Source: FSC-STD-01-001 V5-2).

**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*<sup>\*</sup>. The following are examples of interested stakeholders.

- *Conservation*<sup>\*</sup> 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*<sup>\*</sup>.
- (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*<sup>\*</sup> or *local communities*<sup>\*</sup> have traditionally owned, or customarily used or occupied, and where access to natural resources is vital to the sustainability of their cultures and livelihoods (Source: based on World Bank safeguard OP 4.10 *Indigenous Peoples*<sup>\*</sup>, section 16 (a). July 2005.).

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

**Landscape values:** Landscape values can be visualized as layers of human perceptions overlaid on the physical *landscape*<sup>\*</sup>. Some landscape values, like economic, recreation, subsistence value or visual quality are closely related to physical *landscape*<sup>\*</sup> attributes. Other *landscape*<sup>\*</sup> 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*<sup>\*</sup> attributes (Source: based on website of the Landscape Value Institute).

**Legal:** In accordance with primary legislation (national or local laws) or secondary legislation (subsidiary regulations, decrees, orders, etc.). 'Legal' also includes rule-based decisions made by legally competent agencies where such decisions flow directly and logically from the laws and regulations. Decisions made by legally competent agencies may not be legal if they do not flow directly and logically from the laws and regulations and if they are not rule-based but use administrative discretion (Source: FSC-STD-01-001 V5-2).



**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 (International Labour Organization (ILO) Convention 138, Article 7).

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

**Local communities:** Communities of any size that are in or adjacent to the *Management Unit*\*, and also those that are close enough to have a *significant*\* impact on the economy or the environmental values of the *Management Unit*\* or to have their economies, rights or environments *significantly*\* affected by the management activities or the biophysical aspects of the *Management Unit*\* (Source: FSC-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 FSC Glossary of Terms (2009)).

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

**Management plan:** The collection of documents, reports, records and maps that describe, justify and regulate the activities carried out by any manager, staff or organization within or in relation to the *Management Unit*\*, including statements of objectives and policies (Source: FSC-STD-01-001 V5-2).

**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: 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.

**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: 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: International Labour Organization (ILO). Bureau of Library and Information Services. ILO Thesaurus as provided on ILO website).

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

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

**The Organization:** The person or entity holding or applying for certification and therefore responsible for demonstrating compliance with the requirements upon which FSC certification is based (Source: FSC-STD-01-001 V5-2).

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

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

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

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

(Source: FSC-STD-01-001 V5-2).

**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: based on Principle 15 of Rio Declaration on Environment and Development, 1992, and Wingspread Statement on the Precautionary Principle of the Wingspread Conference, 23–25 January 1998).

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

**Principle**: An essential rule or element; in FSC's case, of forest stewardship (Source: FSC-STD-01-001 V5-2).

**Protection**: See definition of *Conservation*\*.

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

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

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

**Ratified**: The process by which an international law, convention or agreement (including multilateral environmental agreement) is legally approved by a national legislature or equivalent *legal*\* mechanism, such that the international law, convention or agreement becomes automatically part of national law or sets in motion the development of national law to give the same *legal*\* effect (Source: FSC-STD-01-001 V5-2).

**Reasonable**: Judged to be fair or appropriate to the circumstances or purposes, based on general experience (Source: 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: Glen Canyon Dam, Adaptive Management Program Glossary as provided on website of Glen Canyon Dam website).

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

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

**Restore / Restoration**: These words are used in different senses according to the context and in everyday speech. In some cases 'restore' means to repair the damage



done to environmental values that resulted from management activities or other causes. In other cases 'restore' means the formation of more *natural conditions*\* in sites which have been heavily degraded or converted to other land uses. In the Principles and Criteria, the word 'restore\*' is not used to imply the recreation of any particular previous, pre-historic, pre-industrial or other pre-existing *ecosystem*\* (Source: FSC-STD-01-001 V5-2).

*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.

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

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

**Risk:** The probability of an unacceptable negative impact arising from any activity in the *Management Unit*\* combined with its seriousness in terms of consequences (Source: FSC-STD-01-001 V5-2).

**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'.

**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: 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’.

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

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

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

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

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

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

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

**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\**.

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

**Very Limited portion:** The area affected shall not exceed 0.5% of the area of the *Management Unit\** in any one year, nor affect a total of more than 5% of the area of the *Management Unit\** (Source: 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.

**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.

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

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

**Workers:** All employed persons including public employees as well as ‘self-employed’ persons. This includes part-time and seasonal employees, of all ranks and categories, including laborers, administrators, supervisors, executives, contractor employees as well as self-employed contractors and sub-contractors (Source: ILO Convention 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 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: International Labour Organization (ILO) Convention 182, Article 3).



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