



Forest Stewardship Council®



**The FSC National Forest Stewardship
Standard for the Federal Democratic Re-
public of Nepal**



Title	The FSC National Forest Stewardship Standard for the Federal Democratic Republic of Nepal
Document reference code:	FSC-STD-XXX-mm-year V-X
Status:	NFSS Field Tested Draft
Geographical Scope:	National
Forest Scope	Natural, Plantation, and all forest management regimes including SLIMF
Approval body	Policy and Standards Committee
Submission date	30 November 2017
Approval date: [PSU to fill this after approval]	Click here to enter a date.
Effective date: [PSU to fill this after approval]	Click here to enter a date.
Validity Period: [PSU to fill this after approval]	PSU to fill
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1. Preface

1.1. Descriptive statement of the Forest Stewardship Council (FSC)



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

Environmentally appropriate forest management ensures that the production of timber, [non-timber products](#) and [ecosystem services](#) maintains the forest's biodiversity, productivity, and ecological processes. Socially beneficial forest management helps both local people and society at large to enjoy long term benefits and also provides strong incentives to local people to sustain the forest resources and adhere to long-term [management plans](#). Economically viable forest management means that forest operations are structured and managed so as to be sufficiently profitable, without generating financial profit at the expense of the forest resource, the [ecosystem](#), or affected communities. The tension between the need to generate adequate financial returns and the principles of responsible forest operations can be reduced through efforts to market the full range of forest products and services for their best value ([FSC A.C. By-Laws](#), ratified, September 1994; last revision in June 2011).

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

1.2. Descriptive statement of Standard Development Group

The FSC National Forest Stewardship Standard Development Group of Nepal (hereafter referred to as SDG) is an independent chamber-balanced multidisciplinary forum exclusively for the development of FSC National Forest Stewardship Standard for Nepal based on the *FSC Principles and Criteria for Forest Stewardship* (FSC-STD-60-004 V1-0 EN). The SDG is chaired and coordinated by Dr. Bishma P. Subedi



(Executive Director of ANSAB, bhishmasubedi@ansab.org) in close collaboration with Mr. Jörn Struwe (FSC Regional Office Asia Pacific, j.struwe@fsc.org). The SDG members and their contacts by the three chambers are listed in Table 1.

Table 1: SDG Members

Name of the member	Organization	Email address
Social		
Ms. Apsara Chapagain	Federation of Community Forestry Users, Nepal	chapagainapsara@gmail.com
Mr. Bhola Bhattarai	National Forum for Advocacy Nepal	nafannepal8@gmail.com
Mr. Bishnu Hari Poudyal	RECOFTC- The Centre for People and Forests	bishnu.poudyal@recoftc.org
Economic		
Mr. Bishnu P. Sharma	Tribhuvan University	bisunita@gmail.com
Mr. Khilendra Gurung	Himalayan Bio-Trade	khilendragurung@gmail.com
Mr. Kapil P. Adhikari	Federation of Forest Based Industry and Trade (FenFIT)	kapil.adhikari333@gmail.com
Environmental		
Dr.Sindhu P. Dhungana	Nepal Foresters' Association	sindhungana@gmail.com
Mr. Santosh Mani Nepal	WWF Nepal	santosh.nepal@wwfnepal.org
Mr. Shambhu Charmakar	ANSAB	shambhucharmakar@ansab.org

1.3. List of key consultants, experts and advisors who supported the process

The SDG Nepal acknowledges contribution of all the individuals involved during the NFSS development process. The SDG is grateful to Dr. Bishwa Nath Oli, Secretary of Ministry of Population and Environment (MoPE) for his regular advice and invaluable support for creating enabling environment for NFSS development process. Similarly, special thanks go to Dr. Pem N. Kandel, Joint Secretary of Ministry of Forest and Soil Conservation (MFSC), Mr. Resham B. Dangi, Joint Secretary of MFSC, Dr. Maheshwor Dhakal, Joint Secretary of MFSC, Mr. Phadindra P. Pokhrel, Under Secretary of MFSC, Mr. Dharendra Pradhan, Under Secretary of MFSC, Mr. Shekhar Kumar Yadav, Chairperson of Nepal Foresters' Association (NFA), Mr. Ganesh Karki, Chairperson of FECOFUN, Mr. Govinda Gajurel, Member Secretary of



NTNC, and Mr. Puspa L. Ghimire, Programs Director of ANSAB for their advisory support and valuable suggestions before and during the NFSS development process. Consultative forums members provided expert input and feedbacks during the course of NFSS development process.

Similarly, thanks are due to Mr. Sudarshan C. Khanal(ANSAB), Mr. KiranBaram (Nepal Federation of Indigenous Nationalities - NEFIN), Dr.KalyanGauli,Mr. Nabaraj Dahal (FECOFUN), Mr. Ram P. Acharya, Dr. Manish Raj Pandey(NTNC), and Mr. Bishnu P. Acharya (NFA) for their technical input in NFSS development process. The SDG also thanks Mr. Govinda Poudel for drafting the NFSS; Dr. Nabin R. Joshi for his support on drafting NFSS; and Mr. Shambhu Charmakar for his support in facilitation for SDG formulation and NFSS development process.

2. Preamble

2.1. Purpose of the standard

This standard sets out the required elements against which FSC accredited Certification Bodies shall evaluate forest management practices within the scope (see Section 2.2.) of the standard. The [FSC Principles and Criteria](#)(P&C) for Forest Stewardship provides an internationally recognized standard for responsible forest management. However, any international standard for forest management needs to be adapted at the regional or national level in order to reflect the diverse legal, social and geographical conditions of forests in different parts of the world. The [FSC P&C](#) therefore require the addition of indicators that are adapted to regional or national conditions in order to be implemented at the [Forest Management Unit](#) (FMU) level.

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

This has the advantage to:

- Ensure the consistent implementation of the P&C across the globe;
- Improve and strengthen the credibility of the FSC System;
- Improve the consistency and quality of National Forest Stewardship Standards; and



- Support a faster and more efficient approval process of National Forest Stewardship Standards.

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

The development of NFSS follows the requirements set out in [FSC-PRO-60-006 V2-0 EN](#) (*Development and Transfer of National Forest Stewardship Standards to the FSC Principles and Criteria Version 5-1*), [FSC-STD-60-002 \(VI-0\) EN](#) (*Structure and Content of National Forest Stewardship Standards*), and [FSC-STD-60-006 \(VI-2\) EN](#) (*Process requirements for the development and maintenance of National Forest Stewardship Standards*) to improve consistency and transparency in certification decisions between different Certification Bodies in Nepal and in different parts of the world, and thereby to enhance the credibility of the FSC certification scheme as a whole.

2.2. Scope of standard

This standard is applicable to all forest operations seeking FSC certification within Nepal. The standard applies to all forest types including natural and plantation forests, all forest management regimes, and geographic areas (national and sub-national level) of Nepal. Similarly, this standard will cover timber, non-timber forest products and ecosystem services (forest carbon sequestration, biodiversity conservation, hydrological services, soil conservation and recreational services) in its certification scope.

2.3. Standard development process

The NFSS development process in Nepal was facilitated by ANSAB with financial support from the Forest Certification for Ecosystem Services (ForCES) project, Forest Stewardship Council (FSC), and WWF Nepal. The formal NFSS development process began in 2013. It built on the knowledge and experience from the previous FSC certification work of ANSAB since 2002, the interim certification standards developed by the certification body (Rainforest Alliance/Smart Wood), and FSC ad-hoc (interim) national working group formed in 2005. ANSAB developed NFSS development strategy and proposal and registered the process in Forest Stewardship Council (FSC) Policy Standards Unit (PSU) to initiate the process.



Based on the criteria given in FSC-STD-60-006 (V1-2) EN-4.3, a national multi-stakeholders workshop selected SDG of 9 members representing 3 members each from social, economic and environmental chambers on September 13, 2015; SDG formed a consultative forum of 33 stakeholders and selected the SDG chair on November 3, 2015; developed the SDG proposal for NFSS development in Nepal and submitted to FSC PSU on December 2015; and the SDG was formally registered by the FSC Policy and Standards Unit on January 22, 2016.

SDG produced and released the following drafts of the standard on the following dates:

- NFSS draft 1.0 published on April 12, 2016
- NFSS draft 2.0 published on July 18, 2016
- NFSS field tested draft on March 4, 2017
- NFSS pre-approval draft3.0 on November 29, 2017

Several meetings and consultations were made to produce the drafts. SDG members discussed in eight face-to-face SDG meetings (dated on November 3, 2015, December 17, 2015, February 21-22, 2016, July 18, 2016, October 6, 2016, May 22, 2017, May 28-29, 2017, and November 29, 2017) and three face-to-face chamber wise meetings during the preparation of the draft 1.0. Discussions and sharing of draft were also made via emails, telephone meetings and circulations in hardcopies. The first draft was made publicly available for 60 days during April to June of 2016. The NFSS draft 2.0 was prepared compiling inputs and suggestions received during the public consultation period, and were field tested in September 2016 in different forests in two different geographical regions. This included small scale and large scale forests in mountain and large scale forests in plain land (tropical region). Based on the inputs from field testing, the SDG produced NFSS field tested draft and released for 60 day public consultation on March 4, 2017. In addition, two national stakeholders' consultation workshops were organized on July 19, 2016 and May 24, 2017 to receive direct inputs of the stakeholders on first draft and field tested draft respectively.

2.4. Nepal's forestry and relevance of this standard



Forest and other wooded land together represent 44.74% of the total area of Nepal which host a wide diversity of plant and animal species as a result of climatic and topographic variation, and provide a basis for producing a range of products and services including climate regulation, carbon sequestration, recreational services, nutrient cycling, and hydrological services. Based on the land tenure arrangement, forest of Nepal is classified into national forests and private forests. Majority of the forests in Nepal are national forests. The national forests have been categorized into government managed forest, protected area system, and various types of community-managed forests namely, community forest, collaborative forests, leasehold forest, religious forest and buffer zone community forest. The forest area covered under different management regimes are presented in Table 2.

Table 2: Forest area managed under various management regimes

Management regimes	Management Units	Area (ha)	Area (%)	Managed by	Sources
Government managed forests	--	3436298	3006298	50.42	DFRS 2015
Forest within protected area	20	1030000	1030000	17.28	DFRS 2015
Community forests	19361	1813478	1813478	30.42	DoF 2017
Leasehold forests	6712	38997	38997	0.65	DoF 2014
Collaborative forests	29	70423	70423	1.18	DoF 2014
Religious forests	--	543	543	0.01	DoF 2014
Private forests	2458	2361	2361	0.04	DoF 2014
Total			5962100	100	

The human induced threats such as over grazing, forest fire, uncontrolled harvesting (over harvesting, inappropriate timing and methods of harvest), illegal logging, poaching, and invasion by alien species and weak governance including enforcement of laws have been adding pressures on biodiversity, other ecosystem services, and dependent livelihoods. The NFSS provides the country specific practical criteria, indicators and verifiers that help to enhance sustainable forest management practices and record keeping system; improve good governance including equitable benefit sharing



mechanism; and increase access to market for ecosystem goods and services at national and international level.

3. Version of the standard

FSC-STD-XXX-mm-year V-X

4. Context

Nepal has over one and half decade of policy discourse and a decade of practice on sustainable forest management certification. A notable effort was initiated in early 2000s with the formation of a private-public alliance for the promotion of certification and sustainable marketing of Nepali non-timber forest products (NTFPs), that gave national recognition of forest certification among the key stakeholders. Supported by the United States Agency for International Development (USAID) and coordinated by ANSAB, the alliance included representation from the Nepali government; Nepali non-governmental organizations (NGOs); national and international level private companies active in the herbal products industry; an FSC forest certification organization - Rainforest Alliance/Smart Wood; community forestry user groups, represented by the Federation of Community Forestry Users, Nepal; and donors, including USAID, Ford Foundation, the Netherlands Development Organization (SNV), and SDC.

Through series of intensive stakeholders' consultation process, Rainforest Alliance/Smart Wood developed the interim FSC sustainable forest management certification standard in 2003 using the generic FSC Principles and Criteria (P&C V4). The initial Nepali FSC certifications were focused on NTFPs, and timber standards were incorporated in 2005 to produce a comprehensive set of certification standards, which then included both timber and NTFPs.

A FSC ad-hoc (interim) national working group in Nepal was formed in 2005 in close collaboration with the alliance to draft national standards on sustainable forest management and forest certification. The Nepal Foresters' Association (NFA) hosted the working group and the national standard development process. The group initiated the standards drafting process, however was not able to produce final document within the timeframe. The interim certification standard developed by the Rainforest Alli-



ance/Smart Wood has remained as the key document for awarding FSC forest management certification in Nepal.

Across the globe, Forest Stewardship Standards now need to be transferred to the FSC Principles and Criteria Version 5 (P&C V5) which were approved in February 2012, using the International Generic Indicators (IGIs) to ensure their consistent application across the globe. The IGI incorporates wide range of ecosystem services which are not adequately covered under the sustainable forest management certification before, and their use will ensure that they meet all the requirements and technical specifications leading to an improved quality of the National Standards.

Thus, based on IGIs and taking the experience and lessons of the previous works in Nepal, ANSAB set up a national standards development group (SDG) in Nepal in September 2015 with balance representation of social, economic and environmental expertise (Table 1) to develop FSC NFSS for Nepal which also includes ecosystem services in its certification scope.

5. References

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

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



FSC-PRO-01-001	The Development and Revision of FSC Normative Documents
FSC-PRO-01-005	Processing Appeals
FSC-PRO-01-008	Processing Complaints in the FSC Certification Scheme
FSC-PRO-01-009	Processing Policy for Association Complaints in the FSC Certification Scheme
FSC-DIR-20-007	FSC Directive on Forest Management Evaluations

3. Note on the interpretation of indicators

The standard has been structured according to the FSC hierarchy of principles, criteria and indicators, and FSC guiding document for developing the national standard and arrangement of the structure, content, and numbering of the hierarchical level of FSC Principles and Criteria. The wording and numbering of each of FSC Principle and Criterion has been used as they occur in the current version of FSC-STD-01-001 FSC Principles and Criteria of Forest Stewardship. Each criterion has number of indicators which are simply numbered (e.g. Indicator 1.1.1).

The SDG has specified means of verification for each of the indicators. Such verifiers have been separated by comma and not numbered individually. Some of the indicators are complemented by note(s) to clarify the intent of the indicator(s) in Nepalese context. This standard has two types of notes i) general notes: these apply for all organization unless specific thresholds are given that limits their applicability, ii) Notes for small organizations: these notes apply whenever an organization is within the size threshold specified for small organizations (≤ 500 ha).

4. Annexes

The standard includes the following annexes:

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

Annex B (1) Training requirements for workers

Annex B (2): Personal protective equipment for workers

Annex C: Additional requirements for Ecosystem Services (ES)

Annex D: Elements of the management plan

Annex E: Monitoring requirements

Annex F: Strategies for maintaining High Conservation Values (HCV)



Annex G: HCV framework

Annex H: List of rare and threatened species in the country or region

At the end of the standard, FSC Glossary of Terms has been adopted. The glossary also includes the definitions of terms such as small-scale, low intensity, community or plantation forest management units. The standard may be translated in Nepali language, however, the English Version shall be considered original and definitive in case of any disputes.

5. Scale, Intensity and Risk (SIR)

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

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

In Nepal, community managed forests, especially community forests, buffer zone community forests, and conservation community forests are low intensity managed forests.

Nepal's community forestry is recognized as one of the eight successful sustainable development examples by Rio+20 and one of the eight success stories at global level listed by UNEP contributing to green economy. This has been equipped with rich policies and guidelines. To date, 19,361 Community Forestry User Groups (CFUGs) are managing 1.81 million ha forest area (DoF 2017). Of which 70% of CFUGs are managing forests of less than 100 ha, 28.17% CFUGs are managing forest of 100 ha to 500 ha, and 1.84% CFUGs are managing the forests of more than 500 ha (DoF, 2016). Likewise, community forest guideline allows CFUGs to harvest forest products up to 40% - 75% of mean annual increment (MAI) depending on forest condition, however most of the community forests have provision and practices of extracting not more than 40% of MAI adopting appropriate silvicultural operation. Moreover, most of



the community forests are natural forests in Nepal and they are collectively managed with essence of fulfilling the basic forest products need of their members.

Likewise, buffer zone community forests and conservation community forests under protected area system are community managed and conservation oriented management models for fulfilling basic forest products needs of their members and deliver valuable ecosystem services, for instance recreational services and biodiversity conservation.

Thus, community managed forests (especially community forests, buffer zone community forests, and conservation community forests) in Nepal have a low likelihood of negative impacts on social, economic and environmental values and considered it as low risk scenarios.

For commercial operation, the concept of scale and intensity applies as given below: The scale and intensity factors serve as proxies for the risk factor, following the underlying assumption that management activities applied on a small scale and with low intensity have a low risk of causing negative impacts.

Scale	Threshold (area of Management Units)
Small scale	≤ 500 ha
Intensity	Threshold (management activities)
Low intensity	<p>Forest management units is classed as SLIMF when</p> <ul style="list-style-type: none"> the rate of harvesting is less than 20% of the mean annual increment (MAI) within the total production forest area of the unit, however in case of community managed forests, harvesting up to 40% is considered as low intensity operation; AND EITHER the annual harvest from the total production forest area is less than 5,000 cubic metres; OR the average annual harvest from the total production forest is less than 5,000 m³ / year during the period of validity of the certificate as verified by harvest reports and surveillance audits.



High intensity	Management activities include: <ul style="list-style-type: none">• Intensive site preparations;• Application of chemicals or biological agents;• Clear cutting where more than 50% of wood stock in the sub compartment is harvested.
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5. Principles, Criteria and National Indicators

PRINCIPLE 1: COMPLIANCE WITH LAWS

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

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

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

Verifiers: Certificate of registration, forest management plan

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

Verifiers: Certificate of registration, approved forestmanagement plan from competent legal authority of Nepal.

Note: Presently provisions for registration are mainly defined in Forest Act 1993 and its amendments and Forest Regulations 1995, National Parks and Wildlife Conservation Act 1973 and Regulations 1974, Buffer-zone Regulation 1996 and Conservation Area Management Rules 1996.

Criterion 1.2. The Organization shall demonstrate that the legal status of the Management Unit, including tenure and use rights, and its boundaries, are clearly defined. (C2.1 P&C V4)

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

Verifiers: Forest management plan, certificate of handover, lease contract.

Note: Document (s) are necessary that clearly include plan for the management of forests, for example operational plan in case of community forestry.

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

Verifiers: Certificate of registration, lease contract, approved forest management plan from competent legal authority of Nepal.

Note: Legally competent authority is defined in Forest Act 1993 and Forest Regulation, 1993, National Park and Wildlife Conservation Act 1973, National Park and



Wildlife Conservation Regulation 1974.
<p>Indicator 1.2.3. The boundaries of all <i>Management Units</i>* within the scope of the certificate are clearly marked or documented and clearly shown on maps.</p> <p>Verifiers: Certificate of registration, forest management plan, forest boundary map, interview with organization executives, onsite observation.</p> <p>Note: Maps can be a part of management plan or presented separately.</p>
<p>Criterion 1.3. <u>The Organization</u> shall have <u>legal</u> rights to operate in the <u>Management Unit</u>, which fit the legal status of <u>The Organization</u> and of the <u>Management Unit</u>, and shall comply with the associated legal obligations in applicable national and <u>local laws</u> and regulations and administrative requirements. The legal rights shall provide for harvest of products and/or supply of <u>ecosystem services</u> from within the Management Unit. The Organization shall pay the legally prescribed charges associated with such rights and obligations. (C1.1, 1.2, 1.3 P&C V4)</p>
<p>Indicator 1.3.1. All activities undertaken in the <i>Management Unit</i>* are carried out in compliance with:</p> <ol style="list-style-type: none">1) <i>Applicable laws</i>* and regulations and administrative requirements,2) <i>Legal</i>* and <i>customary rights</i>*; and3) <i>Obligatory codes of practice</i>*. <p>Verifiers: Forest management plan, interview with organization executives, onsite observation.</p> <p>Note: See Annex A for list of applicable laws *, regulations and nationally-ratified* international treaties, conventions and agreements.</p>
<p>Indicator 1.3.2. Payment is made in a <i>timely manner</i>* of all applicable legally prescribed charges connected with <i>forest</i>* management.</p> <p>Verifiers: Record of payment of royalties, taxes and fees.</p>
<p>Indicator 1.3.3. Activities covered by the <i>management plan</i>* are designed to comply with all <i>applicable laws</i>*.</p> <p>Verifiers: Forest management plan (compliant with existing laws and approved by competent authority), interview with stakeholders, onsite observation.</p>
<p>Criterion 1.4. <u>The Organization</u> shall develop and implement measures, and/or shall engage with regulatory agencies, to systematically protect the Management Unit from unauthorized or illegal resource use, settlement and other illegal activities. (C1.5 P&C</p>



V4)
<p>Indicator 1.4.1. Measures are implemented to provide <i>protection*</i> from unauthorized or illegal harvesting, hunting, fishing, trapping, collecting, settlement and other unauthorized activities.</p> <p>Verifiers: Forest management plan, meeting minutes, records of measures implemented, onsite observation, interviews with organization's executives.</p>
<p>Indicator 1.4.2. Where <i>protection*</i> is the <i>legal*</i> responsibility of regulatory bodies, a system is implemented to work with these regulatory bodies to identify, report, control and discourage unauthorized or illegal activities.</p> <p>Verifiers: Forest management plan, meeting minutes, interviews with organization's executives, records of collaborative activities.</p>
<p>Indicator 1.4.3. If illegal or unauthorized activities are detected, measures are implemented to address them.</p> <p>Verifiers: Meeting minutes, records of implemented measures, interview with stakeholders.</p>
<p>Criterion 1.5. <u>The Organization</u> shall comply with the applicable <u>national laws</u>, local laws, <u>ratified</u> international conventions and obligatory codes of practice, relating to the transportation and trade of forest products within and from the <u>Management Unit</u>, and/or up to the point of first sale. (C1.3 P&C V4)</p>
<p>Indicator 1.5.1. Compliance with <i>applicable national laws*</i>, <i>local laws*</i>, <i>ratified*</i> international conventions and <i>obligatory codes of practice*</i> relating to the transportation and trade of forest products up to the point of first sale is demonstrated.</p> <p>Verifiers: Annual allowable harvest amount in management plan, harvesting and sales permits, release order, receipts of payment of taxes and royalties where applicable, sales transaction record, interviews with stakeholders.</p>
<p>Indicator 1.5.2. Compliance with CITES provisions is demonstrated, including through possession of certificates for harvest and trade in any CITES species.</p> <p>Verifiers: Provisions related to CITES listed species in management plan, interviews with stakeholders, trade and export permits for CITES species from scientific authority (Department of Plant Resources, Natural History Museum) and management authority (Department of Forests, Department of National Parks and Wildlife Conservation), receipts of payment of taxes and royalties.</p>



Note: The organization shall obtain harvesting permits for CITES species from Department of Forests and export permit from Department of Plant Resource and Natural History Museum.

Criterion 1.6. The Organization shall identify, prevent and resolve disputes over issues of statutory or customary law, which can be settled out of court in a timely manner, through engagement with affected stakeholders. (C2.3 P&C V4)

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

Verifiers: Constitution, forest management plan, meeting minutes and decisions, public notice, interview with affected individuals if applicable.

Note for small organizations: Small organizations may follow the locally accepted practices including oral and customary norms to resolve the disputes.

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

Verifiers: Records (registration and dispatch of letters), meeting minutes and decisions, agreement paper made between the organization and affected individuals, interview with stakeholders.

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

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

Verifiers: Record of disputes including the explanation of reasons/difficulties of unresolved issues, interview with organization executives.

Indicator 1.6.4. Operations cease in areas where *disputes** exist:

- 1) *substantial magnitude** (equal or greater than 100 ha or 10% of the forest management unit, whichever is smaller); or
- 2) *Substantial duration** (6 months or more); or
- 3) Involving a *significant** number of interests (5% of members, or three or more interest groups).



<p>Verifiers: Record of complains, record of disputes, meeting minutes and decisions, interview with affected individuals if applicable</p>
<p>Criterion 1.7. The Organization shall publicize a commitment not to offer or receive bribes in money or any other form of corruption, and shall comply with anti-corruption legislation where this exists. In the absence of anti-corruption legislation, The Organization shall implement other anti-corruption measures proportionate to the scale and intensity of management activities and the risk of corruption. (new)</p>
<p>Indicator 1.7.1. A policy is implemented that includes a commitment not to offer or receive bribes of any description.</p> <p>Verifiers: Anti-corruption policy provisions in an organization’s approved documents, meeting minutes and decisions, record of public hearing, interview with workers, interview with stakeholders.</p> <p>Note: The organization’s approved document can be constitution, forest management plan, or separate stand-alone anti-corruption policy document</p>
<p>Indicator 1.7.2.The policy meets or exceeds related legislation.</p> <p>Verifiers: Organization’s approved document, interview with organization’s executives.</p> <p>Note: The anti-corruption policies of Nepal include the Prevention of Corruption Act 2002, Commission for the Investigation of Abuse of Authority (CIAA)Act 2002, Anti-corruption Strategy and Work Plan2008 etc.</p>
<p>Indicator 1.7.3. The policy is <i>publicly available</i>* at no cost.</p> <p>Verifiers: Evidence of public availability e.g., public notice, meeting minutes and decisions, interview with organization’s executives, interview with stakeholders.</p>
<p>Indicator 1.7.4.Bribery, coercion and other acts of corruption do not occur.</p> <p>Verifiers: Decisions of punishment or rewards, monitoring report, interview with organization’s executives</p>
<p>Indicator 1.7.5.Corrective measures are implemented if corruption does occur.</p> <p>Verifiers: Record of punishment, record of awards, interview with stakeholders.</p>
<p>Criterion 1.8.The Organization shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria in the Management Unit, and to related FSC Policies and Standards. A statement of this commitment shall be contained in a publicly</p>



[available](#) document made freely available. (C1.6 P&C V4)

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

Verifiers: Constitution, forest management plan.

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

Verifiers: Forest management plan citizen charter

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DRAFT



PRINCIPLE 2: WORKERS' RIGHTS AND EMPLOYMENT CONDITIONS

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

Criterion 2.1. The Organization shall uphold the principles and rights at work as defined in the ILO Declaration on Fundamental Principles and Rights at Work (1998) based on the eight ILO Core Labor Conventions. (C4.3 P&C V4)

Indicator 2.1.1. Employment practices and conditions for *workers** demonstrate conformity with or *uphold** the principles and rights of work addressed in the eight ILO Core Labor Conventions and Labor Act of Nepal (2017) and its amendments to protect worker's rights.

Verifiers: Employment contract, meeting minutes, interview with workers.

Note: Children, on their will, can choose to engage into collection and sale of forest products (such as non-timber forest products) to support their family livelihoods or for themselves to cover their educational and associated costs. However, involving children as workers for commercial operation including involvement in business entity (firms, industries etc) shall be considered as forced child labor and treated as a serious offence.

Indicator 2.1.2. *Workers** are able to establish or join Labor organizations of their own choosing subject only to the rules of the Labor organization concerned as provided by Nepal's Labor Act (2017) and Trade Union Act (1992) and their amendments.

Verifiers: Forest management plan, membership of labor organization, , interview with workers, interview with workers' union.

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

Verifiers: Agreement, salary sheet, payment receipts, interview with workers.

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

Indicator 2.2.1. Systems are implemented that promote *gender equality** and non discrimination based on gender, religion, caste, class, political identity or ethnicity in employment practices, training opportunities, awarding of contracts, processes of *engagement** and management activities.



<p>Verifiers: Non-discriminatory policy provisions in organizational documents e.g. constitution and/or forest management plan, meeting minutes and decisions, interview with workers, interview with stakeholders.</p> <p>Note: Special provisions are provided to female workers during pregnancy, perinatal period, and breast feeding period.</p>
<p>Indicator 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.</p> <p>Verifiers: Vacancy notice, organizational policy documents, interview with stakeholders</p>
<p>Indicator 2.2.3 Work typically carried out by women (nurseries, silviculture, Non Timber Forest Product harvesting, weighing, packing, etc.) is included in training and health & safety programs to the same extent as work typically carried out by men.</p> <p>Verifiers: Training plan, training records, interview with workers</p>
<p>Indicator 2.2.4 Women and men are paid the same wage when they do the same work.</p> <p>Verifiers: Interview with workers, receipt of payment/salary sheets</p>
<p>Indicator 2.2.5 Women are paid directly and using mutually agreed methods (e.g. direct bank transfer, direct payments for school fees, etc.) to ensure they safely receive and retain their wages.</p> <p>Verifiers: Appointment letter, agreement, receipt of payment, interview with workers</p>
<p>Indicator 2.2.6 Maternity leave complies with Civil Servant Act, 1993 and its amendments and is no less than a six-week period which may start before the child-birth.</p> <p>Verifiers: Provisions in organization's policy documents, job contracts, leave approval, receipt of payment, interview with workers, interview with organization's executives</p>
<p>Indicator 2.2.7 Paternity leave complies with Civil Servant Act, 1993 and its amendments and there is no penalty for taking it</p> <p>Verifiers: Provisions in organization's documents, leave approval, receipt of payment, interview with workers</p> <p>Note: Paternity leave provisions of 15 days in Civil Servant Act, 1993 and its amendments comply with FSC requirements which may start before the child birth.</p>



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

Verifiers: Composition of decision making body (e.g. executive committee), meeting minutes

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

Verifiers: Organizational policy document, meeting minutes and decisions, interviews with workers

Note 1: Small organizations may include a commitment against sexual harassment in the management plan and establish a focal point to deal with such cases in confidential way and get contact with the justice committee of rural/municipality. .

Note 2: The organization conducts training or range of awareness sessions to inform staffs about existence of legal policy (e.g., juvenile court, closed hearing, policies relating to sexual harassment in workplace) and the provisions therein.

Criterion 2.3. [The Organization](#) shall implement health and safety practices to protect [workers](#) from occupational safety and health hazards. These practices shall, proportionate to [scale, intensity and risk](#) of management activities, meet or exceed the recommendations of the ILO Code of Practice on Safety and Health in Forestry Work. (C4.2 P&C V4)

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

Verifiers: Health and safety provision in organization's policy documents, onsite observation onsite observation of health and safety equipments, records of health and safety training, records of health care services to workers, interview with workers

Note for small organization: In absence of the organizational policy document, the health and safety requirements for the forest work and practices are known to the workers and commensurate with the nature of the job.

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

Verifiers: Meeting minutes and decisions, inventory of safety equipment such as



<p>masks, helmets, spectacles, globes or safety boots, bills or receipts of purchasing safety equipment, interview with workers</p> <p>Note: In case of forest management for subsistence purpose, the equipments given in Annex B-2 can be substituted by appropriate locally available materials which fulfill the specific safety requirement.</p>
<p>Indicator 2.3.3 Use of personal protective equipment is enforced.</p> <p>Verifiers: Meeting minutes and decisions, onsite observation, records of occupational health and safety training, interview with workers</p>
<p>Indicator 2.3.4 Records are kept on health and safety practices including accident rates and lost time to accidents.</p> <p>Verifiers: Record of accidents, leave records meeting minutes, interview with workers</p>
<p>Indicator: 2.3.5 The frequency and severity of accidents are reduced or kept consistently low compared to national <i>forest*</i> industry averages.</p> <p>Verifiers: Records of accidents, interview with stakeholders</p> <p>Note: Currently, there is no official statistics on sector-wise frequency and severity of accidents, including the forest industry sector in Nepal.</p>
<p>Indicator 2.3.6 The health and safety practices are reviewed and revised as required after major incidents or accidents.</p> <p>Verifiers: Records of accidents, inventory of safety equipment, meeting minutes and decisions, interview with workers, interview with organization executives</p>
<p>Criterion 2.4. <u>The Organization</u> shall pay wages that meet or exceed minimum <u>forest</u> industry standards or other recognized forest industry wage agreements or <u>living wages</u>, where these are higher than the <u>legal</u> minimum wages. When none of these exist, The Organization shall through engagement with workers develop mechanisms for determining living wages. (new)</p>
<p>Indicator 2.4.1 Wages paid by <i>The Organization*</i> in all circumstances meet or exceed minimum legal wage as determined by government.</p> <p>Verifiers: Government wage rate, contract document, wages payment records, interview with workers</p> <p>Note: At the beginning of each fiscal year, multi-stakeholder forum coordinated by local government authority reviews the previous minimum wage rate and sets a new wage rate for the next fiscal year which becomes an authentic minimum wage rate for</p>



<p>the particular district. The minimum legal wage rate is not applicable to non-commercial operation or voluntary labor contribution in community based forest management system.</p>
<p>Indicator 2.4.2 Wages paid meet or exceed:</p> <ol style="list-style-type: none"> 1) Minimum <i>forest*</i> industry standards; or 2) Other recognized <i>forest*</i> industry wage agreements; or 3) <i>Living wages*</i> that are higher than <i>legal*</i> minimum wages. <p>Verifiers: Government wage rate, wages payment records, financial statements, interview with workers, interview with organization’s executives</p> <p>Note: The minimum living wage and the legal minimum wage of 2.4.2 are currently the same in Nepal.</p>
<p>Indicator 2.4.3 When no minimum wage levels exist, wages are established through <i>culturally appropriate* engagement* with workers* and/or formal and informal workers organizations*</i>.</p> <p>Verifiers: Interview with workers, meeting minutes and decisions</p>
<p>Indicator 2.4.4 Wages, salaries and contracts are paid on time.</p> <p>Verifiers: Contract, wages payment records, interview with workers</p>
<p>Criterion 2.5 The Organization shall demonstrate that workers have job-specific training and supervision to safely and effectively implement the Management Plan and all management activities. (C7.3 P&C V4)</p>
<p>Indicator 2.5.1. <i>Workers*</i> have job specific training consistent with Annex B and supervision to safely and effectively contribute to the implementation of the <i>management plan*</i> and all management activities.</p> <p>Verifiers: Training plan, training records, photographs, interview with organization’s executives, interview with workers, onsite observation</p>
<p>Indicator 2.5.2 Up to date training records are kept for all relevant <i>workers*</i>.</p> <p>Verifiers: Training records, interview with workers</p>
<p>Indicator 2.5.3 Trained workers get preferences in employment and receive additional benefits compared to untrained workers.</p> <p>Verifiers: records of trained workers, meeting minutes and decisions, personnel policy</p>
<p>Criterion 2.6 The Organization through engagement with workers shall have mecha-</p>



<p>nisms for resolving grievances and for providing fair compensation to workers for loss or damage to property, occupational</p>
<p>Indicator 2.6.1 A publicly available <i>dispute*</i> resolution process is in place, developed through <i>culturally appropriate* engagement* with workers*</i>.</p> <p>Verifiers: Constitution, procedural documents, forest management plan, meeting minutes and decisions, interview with workers</p> <p>Note 1: In Nepal, ‘culturally appropriate’ is very diverse and location specific. The organization needs to document specific approaches.</p> <p>Note 2: Small organizations can use customary dispute resolution practices which may not be available in written form.</p>
<p>Indicator 2.6.2 <i>Workers* grievances</i> are identified and responded to and are either resolved or are in the <i>dispute*</i> resolution process.</p> <p>Verifiers: Records of grievances, management decisions, interview with workers, interview with organization’s executives</p>
<p>Indicator 2.6.3 Up-to-date records of <i>workers* grievances</i> related to <i>workers* loss or damage of property, occupational diseases* or injuries</i> are maintained including:</p> <ol style="list-style-type: none">1) Steps taken to resolve grievances;2) Outcomes of all <i>dispute*</i> resolution processes including <i>fair compensation*</i>; and3) Unresolved <i>disputes*</i>, the reasons they are not resolved, and how they will be resolved. <p>Verifiers: Records of disputes and grievances, record of compensation, management decisions, interview with workers, interview with stakeholders</p>
<p>Indicator 2.6.4 <i>Fair compensation*</i> is provided to <i>workers*</i> for work-related loss or damage of property and occupational <i>disease*</i> or injuries.</p> <p>Verifiers: Meeting minutes and decisions, interview with workers, receipts of compensation</p> <p>Note: The compensation rate can be determined based on the scale of operation and capacity of the organization that is acceptable to both parties.</p>

[Go to Annex B.](#)



PRINCIPLE 3: INDIGENOUS PEOPLES' RIGHTS

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

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

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

Verifiers: Constitution, procedural documents, forest management plan, interview with organization's executives, interview with Indigenous People (IPs)

Note: The organization may refer to *Adibasi Janajati Uthan Rastriya Pratisthan Ain 2058 BS*, Central Bureau of Statistics and any other government decisions related to Indigenous Peoples and their identification.

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

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

Verifiers: Constitution, procedural documents, forest management plan, meeting min-



utes, maps, interview with IPs
<p>Criterion 3.2. <u>The Organization</u> shall recognize and <u>uphold</u> the legal and <u>customary rights</u> of <u>Indigenous Peoples</u> to maintain control over management activities within or related to the <u>Management Unit</u> 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 <u>Free, Prior and Informed Consent</u>. (C3.1 and 3.2 P&C V4)</p>
<p>Indicator 3.2.1 Through <i>culturally appropriate* engagement* Indigenous Peoples*</i> 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, <i>lands and territories*</i>.</p> <p>Verifiers: Constitution, procedural documents, forest management plan, meeting minutes, monitoring report, public notices, interview with organization's executives, interview with IPs</p>
<p>Indicator 3.2.2 The <i>legal* and customary rights* of Indigenous Peoples*</i> are not violated by <i>The Organization*</i>.</p> <p>Verifiers: Interview with IPs, grievance records</p>
<p>Indicator 3.2.3 Where evidence exists that <i>legal* and customary rights* of Indigenous Peoples*</i> related to management activities have been violated the situation is corrected, if necessary, through <i>culturally appropriate* engagement*</i> and/or through the <i>dispute*</i> resolution process as required in <i>Criteria* 1.6 or 4.6</i>.</p> <p>Verifiers: Record of grievance and resolution, meeting minutes and decisions, interview with stakeholders, interview with IPs.</p>
<p>Indicator 3.2.4 <i>Free, prior and informed consent*</i> is granted by <i>Indigenous Peoples*</i> prior to management activities that affect their identified rights through a process that includes:</p> <ol style="list-style-type: none">1) Ensuring <i>Indigenous Peoples*</i> know their rights and obligations regarding the resource;2) Informing the <i>Indigenous Peoples*</i> of the value, in economic, social and environmental terms, of the resource over which they are considering delegation of control;3) Informing the <i>Indigenous Peoples*</i> of their right to withhold or modify consent to the proposed management activities to the extent necessary to protect their rights,



resources, *lands and territories**; and

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

Verifiers: FPIC letter, records of training and awareness program, interview with IPs, meeting minutes

Note 1: The organization may take FPIC at community level including indigenous people within the area; an additional FPIC may be taken from indigenous people if the area has one or more settlement of IPs having unique relationship with forests.

Note 2: Community based forest management organizations including community forestry user groups, collaborative forest management groups, leasehold forest user groups and buffer-zone community forestry user groups develop their forest management plan in consensus of their members including indigenous people. It is an established practice in Nepal which will fulfil FPIC requirement.

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

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

Verifiers: Agreements, meeting minutes, interview with IPs interview with stakeholders

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

Verifiers: Agreements, interview with IPs, meeting minutes

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

Verifiers: Agreement



Criterion 3.4 [The Organization](#) shall recognize and [uphold](#) the rights, customs and culture of [Indigenous Peoples](#) as defined in the United Nations Declaration on the Rights of Indigenous Peoples (2007) and ILO Convention 169 (1989). (C3.2P&C V4)

Indicator 3.4.1 The rights, customs and culture of *Indigenous Peoples** as defined in UNDRIP, ILO Convention 169, and CBD are not violated by *The Organization**.

Verifiers: Grievance records, forest management plan, interview with organization's executives, interview with IPs

Indicator 3.4.2 Where evidence that rights, customs and culture of *Indigenous Peoples**, as defined in UNDRIP, ILO Convention 169, and CBD 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: Grievance records, meeting minutes, interviews with IPs,

Criterion 3.5. [The Organization](#), through [engagement](#) with [Indigenous Peoples](#), shall identify sites which are of special cultural, ecological, economic, religious or spiritual significance and for which these Indigenous Peoples hold [legal](#) or [customary rights](#). These sites shall be recognized by The Organization and their management, and/or [protection](#) shall be agreed through engagement with these Indigenous Peoples. (C3.3P&C V4)

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

Verifiers: Forest management plan, meeting minutes, maps showing HCV areas, interview with organization executives, onsite observation

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

Verifiers: onsite observation records of measures implemented, interview with IPs, interview with organization's executives

Indicator 3.5.3 Wherever sites of special cultural, ecological, economic, religious or



spiritual significance are newly observed or discovered, management activities cease immediately in the vicinity until protective measures have been agreed to with the *Indigenous Peoples**, and as directed by local and *national laws**.

Verifiers: Meeting minutes, onsite observation, records of new discoveries, interview with stakeholders, interview with IPs

Criterion 3.6. The Organization shall uphold the right of Indigenous Peoples to protect and utilize their traditional knowledge and shall compensate indigenous communities for the utilization of such knowledge and their intellectual property. A binding agreement as per Criterion 3.3 shall be concluded between The Organization and the Indigenous Peoples for such utilization through Free, Prior and Informed Consent before utilization takes place, and shall be consistent with the protection of intellectual property rights. (C3.4 P&C V4)

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

Verifiers: FPIC letter, forest management plan, record of indigenous knowledge, meeting minutes, agreements, interview with stakeholders, interview with IPs

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

Verifiers: Meeting minutes and decisions, interview with representatives of IPs, interview with organization's executives, record of compensation

PRINCIPLE 4: COMMUNITY RELATIONS

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

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



the Management Unit. (new)

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

Verifiers: Household list in the constitution/management plan, maps, meeting minutes, list of secondary users, list of affected groups, interview with representative of local communities

Note: Local communities, living within and outside the management units, will be identified and listed if management activities affect the critical services (e.g., drinking water, soil erosion and loss, irrigation, transhumance grazing).

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

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

Verifiers: Forest management plan, maps, records of rights and system of engagement, meeting minutes, interview with representative of local communities

Note for small organization: Small organizations that practice low intensity forest operations may not provide documents and/or maps.

Criterion 4.2. The Organization shall recognize and uphold the legal and customary rights of local communities to maintain control over management activities within or related to the Management Unit to the extent necessary to protect their rights, resources, lands and territories. Delegation by local communities of control over management activities to third parties requires Free, Prior and Informed Consent. (C2.2 P&C V4)

Indicator 4.2.1 Through *culturally appropriate* engagement* local communities** are



informed of when, where and how they can comment on and request modification to management activities to the extent necessary to protect their rights.

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

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

Verifiers: Constitution, procedural documents, forest management plan, observation, grievance records, interview with local communities

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

Verifiers: Record of grievance and dispute resolution, meeting minutes, records of corrective action

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

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

Verifiers: FPIC letter, forest management plan, records of training and awareness program, interview with organization's executives, interview with representative of local communities, meeting minutes,

Note 1: For mixed community i.e., indigenous people and other local communities living together, a scoping study identify the relationship of IPs and local communities with the resources. The organization shall obtain one common FPIC from IPs and lo-



cal communities after a full understanding of management activities and their effect. When the management plan is developed after full and active participation and consent from IPs and other communities, that plan can serve as FPIC.

Note 2: Community based forest management organizations including community forestry user groups, collaborative forest management groups, leasehold forest user group and buffer-zone community forestry user groups develop their forest management plan in consensus of their members including indigenous people. It is an established practice in Nepal which will fulfil FPIC requirement.

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

Indicator 4.3.1 *Reasonable** opportunities are communicated and provided to *local communities**, local contractors and local suppliers for:

- 1) Employment,
- 2) Training, and
- 3) Other services, such as harvesting, transportation, fire line construction, etc.

Verifiers: Public notice e.g. job announcement, service contract records, training records, employment records, interview with workers, interview with stakeholders

Indicator 4.3.2 Special emphasis is given to the marginal communities such as forest dependent poor and Dalits regarding employment, training and other services opportunities

Verifiers: Constitution, procedural documents, forest management plan, public notice e.g. job announcement, service contract records, training records, employment records, interview with workers, interview with stakeholders

Criterion 4.4. The Organization shall implement additional activities, through engagement with local communities that contribute to their social and economic development, proportionate to the scale, intensity and socio-economic impact of its management activities. (C4.4 P&C V4)

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

Verifiers: Forest management plan, meeting minutes and decisions, interview with



stakeholders
<p>Indicators 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.</p> <p>Verifiers: Forest management plan, annual report, audit report, record of projects and activities, onsite observation, interview with stakeholders</p>
<p>Criterion 4.5. <u>The Organization</u>, through <u>engagement</u> with <u>local communities</u>, shall take action to identify, avoid and mitigate <u>significant</u> negative social, environmental and economic impacts of its management activities on affected communities. The action taken shall be proportionate to the <u>scale, intensity and risk</u> of those activities and negative impacts. (C4.4 P&C V4)</p>
<p>Indicator 4.5.1 Through culturally appropriate* engagement* with local communities* including <u>Dalits</u>, measures are implemented to identify, avoid and mitigate significant* negative social, environmental and economic impacts of management activities.</p> <p>Verifiers: Forest management plan, observation, interview with local communities, , monitoring report, document of mitigation measures, social impact assessment report</p> <p>Note for small organization: The potential negative impacts of management activities are discussed and mitigation measures are implemented if the impacts are found significant. Refer FSC technical material for small, low intensity forests (Briefing note 2: Assessment of Environmental impacts and Briefing Note 3: Evaluating and Monitoring Social Impacts)</p>
<p>4.5.2 Forest based occupational practices (eg., of <u>Dalits</u>) are not violated by the organization*</p> <p>Verifiers: Forest management plan, interviews with Dalits, meeting minutes</p>
<p>Criterion 4.6. <u>The Organization</u>, through <u>engagement</u> with <u>local communities</u>, shall have mechanisms for resolving grievances and providing <u>fair compensation</u> to local communities and individuals with regard to the impacts of management activities of The Organization. (C4.5 P&CV4)</p>
<p>Indicator 4.6.1 A <i>publicly available*</i> <i>dispute*</i> resolution process is in place, developed through <i>culturally appropriate*</i> <i>engagement*</i> with local <i>communities*</i>.</p> <p>Verifiers: Constitution, procedural documents, forest management plan, meeting</p>



minutes and decisions, interviews with local communities

Note 1: In Nepal, ‘culturally appropriate’ is very diverse and location specific. The organization should document specific approaches.

Note 2: Small organizations can use customary dispute resolution practices which may not be in written form.

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

Verifiers: Interview with representative of local communities, meeting minutes and decisions, records of grievances and resolution

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

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

Verifiers: Record of grievances and resolution, interview with organization’s executives

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

- 1) *Substantial magnitude** (equal or greater than 100 ha or 10% of the forest management unit, whichever is smaller); or
- 2) *Substantial duration** (6 months or more); or
- 3) Involving a *significant** number of interests (5% of members, or three or more interest groups).

Verifiers: Onsite observation, interview with organization’s executives, meeting minutes, records of disputes

Criterion 4.7 The Organization, through engagement with local communities, shall identify sites which are of special cultural, ecological, economic, religious or spiritual significance, and for which these local communities hold legal or customary rights. These sites shall be recognized by The Organization, and their management and/or protection shall be agreed through engagement with these local communities. (new)



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

Verifiers: Forest management plan, map showing high conservation value (HCV) area, interview with organization's executives, onsite observation, meeting minutes

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

Verifiers: Forest management plan, observations, interview with organization's executives, record of monitoring and measures implemented,

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

Verifiers: Forest management plan, observation, interview with representative of local communities, interview with organization's executives, record of ceased operations

Criterion 4.8 The Organization shall uphold the right of local communities to protect and utilize their traditional knowledge and shall compensate local communities for the utilization of such knowledge and their intellectual property. A binding agreement as per Criterion 3.3 shall be concluded between The Organization and the local communities for such utilization through Free, Prior and Informed Consent before utilization takes place, and shall be consistent with the protection of intellectual property rights. (new)

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

Verifiers: FPIC letter, forest management plan, meeting minutes, record of of indige-



nous knowledge, interview with workers, interview with local communities

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

Verifiers: Meeting minutes, interview with local communities, record of compensation

PRINCIPLE 5: BENEFITS FROM THE FOREST

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

Criterion 5.1. The Organization shall identify, produce, or enable the production of, diversified benefits and/or products, based on the range of resources and ecosystem services existing in the Management Unit in order to strengthen and diversify the local economy proportionate to the scale and intensity of management activities. (C5.2 and 5.4 P&C V4).

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

Verifiers: Record of products and services, forest management plan, meeting minutes, interviews with organization executives

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

Verifiers: Forest management plan, meeting minutes, harvesting records, sales and distribution records, financial records

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

Verifiers: Forest management plan, Ecosystem Service Certification Documents (ESCD), interviews with organization executives, onsite observation

Criterion 5.2. The Organization shall normally harvest products and services from the Management Unit at or below a level which can be permanently sustained. (C5.6



P&C V4)
<p>Indicator 5.2.1 <i>Timber harvesting levels*</i> are based on an analysis of current <i>Best Available Information*</i> on growth and yield; inventory of the <i>forest*</i>; mortality rates; and maintenance of <i>ecosystem functions*</i>.</p> <p>Verifiers: Forest management plan, harvesting plan</p> <p>Note: Best available information for this indicator 5.2.1 is the forest inventory guideline (2005), scientific forest management guideline (2015), thinning guideline for pine plantations (2006).</p>
<p>Indicator 5.2.2 Based on the <i>timber harvesting level*</i> 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 or appropriate silvicultural principles</p> <p>Verifiers: Forest management plan, harvesting plan, harvesting records</p>
<p>Indicator 5.2.3 Actual annual harvest levels for timber products or commercial services 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.</p> <p>Verifiers: Forest management plan, harvesting plan, harvesting records, sales and distribution records, meeting minutes, onsite observation</p> <p>Note: In a defined management period (5 or 10 years), in cases of special circumstances (such as natural disasters), the organization may be allowed for the harvest rate exceeding the annual growth rate, provided that all other requirements of this standard are met and that the following conditions are met:</p> <ol style="list-style-type: none">1) The organization provides a clear rationale;2) The organization ensures that the actual harvest does not exceed total prescribed growth amount over the period based on appropriate silvicultural principle
<p>Indicator 5.2.4 For extraction of commercially harvested services and <i>non-timber forest products*</i> under <i>The Organization's*</i> control a sustainable harvest level is calculated and adhered to. Sustainable harvest levels are based on <i>Best Available Information*</i>.</p> <p>Verifiers: Forest management plan, harvesting plan, harvesting records, sales and distribution records, onsite observation, interview with experts</p>



<p>Criterion 5.3. The Organization shall demonstrate that the positive and negative externalities of operations are included in the management plan. (C5.1 P&C V4)</p>
<p>Indicator 5.3.1 Costs related to preventing, mitigating or compensating for negative social and environment impacts of management activities are quantified and documented in the <i>management plan</i>*.</p> <p>Verifiers: Forest management plan, IEE/EIA reports, meeting minutes, interview with organization executives, interview with local stakeholders</p> <p>Note 1: Management plan or IEE/EIA reports may serve the basis of quantifying the costs of impacts.</p> <p>Note 2: Small organizations may identify the activities for mitigating the impacts and incorporate them in management plan.</p>
<p>Indicator 5.3.2 Benefits related to positive social and environment impacts of management activities are identified and included in the <i>management plan</i>*.</p> <p>Verifiers: Forest management plan, IEE/EIA reports, meeting minutes, interviews with organization executives</p>
<p>Criterion 5.4. The Organization shall use local processing, local services, and local value adding to meet the requirements of The Organization where these are available, proportionate to scale, intensity and risk. If these are not locally available, The Organization shall make reasonable attempts to help establish these services. (C5.2 P&C V4)</p>
<p>Indicator 5.4.1 Where cost, quality and capacity of non-local and local options are at least equivalent, local goods, services, processing and value-added facilities are used.</p> <p>Verifiers: Constitution, procedural documents, meeting minutes, contract records, business plan, interview with local stakeholders</p>
<p>Indicator 5.4.2 <i>Reasonable</i>* attempts are made to establish and encourage capacity where local goods, services, processing and value-added facilities are not available.</p> <p>Verifiers: Forest management plan, constitution, procedural documents, public notice, training records, interview with workers</p>
<p>Criterion 5.5. The Organization shall demonstrate through its planning and expenditures proportionate to scale, intensity and risk, its commitment to long-term economic viability. (C5.1 P&C V4)</p>
<p>Indicator 5.5.1 Sufficient funds are allocated to implement the <i>management plan</i>* in</p>



order to meet this standard and to ensure *long-term* economic viability**.

Verifiers: Forest management plan, financial records, annual plan, meeting minutes

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

Verifiers: Meeting minutes, annual report, financial reports, interview with organization's executives

[Go to Annex C.](#)

PRINCIPLE 6: ENVIRONMENTAL VALUES* AND IMPACTS

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

Criterion 6.1. [The Organization](#) shall assess [environmental values](#) in the [Management Unit](#) and those values outside the Management Unit potentially affected by management activities. This assessment shall be undertaken with a level of detail, scale and frequency that is proportionate to the [scale, intensity and risk](#) of management activities, and is sufficient for the purpose of deciding the necessary [conservation](#) measures, and for detecting and monitoring possible negative impacts of those activities. (new)

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

Verifiers: Forest management plan, IEE/EIA report

Note: Best available information includes but not limited to:

- Publication by Department of national parks and wildlife conservation, Ministry of forest and soil conservation, District forest offices, and forest management groups.
- Information provided by others third parties, for instance non-governmentor research organizations, individual researchers and experts etc.

Note for small organization: Small organizations can identify environmental values through field visits (e.g., transect forest walks) and consultation with local communities, indigenous communities and experts.



Indicator 6.1.2 Assessments of *environmental values** are conducted with a level of detail and within a period of 5 years so that:

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

Verifiers: Forest management plan, participatory assessment report of environmental values, IEE/EIA report, monitoring report, environmental performance checklist

Note for small organization: Small organizations may carry out the assessment of environmental values in every ten years and they can review the status in every five years through participatory approach.

Criterion 6.2. Prior to the start of site-disturbing activities, [The Organization](#) shall identify and assess the [scale, intensity and risk](#) of potential impacts of management activities on the identified [environmental values](#). (C6.1 P&C V4)

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

Verifiers: IEE/EIA report, forest management plan participatory assessment report of environmental values, interview with stakeholders, onsite observation

Note for small organization: Small organizations may refer FSC Briefing Note 2: Assessment of environmental impacts for identifying potential impacts of management activities on environmental values prior to implementation of management activities.

Indicator 6.2.2 The *environmental impact assessment** or *management plan* identify and assess the impacts of the management activities prior to the start of site-disturbing activities.

Verifiers: Forest management plan, IEE/EIA report, environmental performance checklist

Note: The latest provisions of forests and environmental laws define the threshold for conducting IEE and EIA.



Criterion 6.3. [The Organization](#) shall identify and implement effective actions to prevent negative impacts of management activities on the [environmental values](#), and to mitigate and repair those that occur, proportionate to the [scale, intensity and risk](#) of these impacts. (C6.1 P&C V4)

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

Verifiers: Forest management plan, IEE/EIA report, meeting minutes and decisions, annual report, environmental checklist, interview with stakeholders, onsite observation

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

Verifiers: Annual report, observation, photographs (e.g. photo point monitoring), environmental performance checklist, interview with stakeholders, onsite observation

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

Verifiers: Meeting minute and decisions, monitoring report, annual report, onsite observation, environmental performance checklist, interview with organization executives, interview with stakeholders

Criterion 6.4. [The Organization](#) shall protect [rare species](#) and [threatened species](#) and their [habitats](#) in [the Management Unit](#) through [conservation zones](#), protection areas, [connectivity](#) and/or (where necessary) other direct measures for their survival and viability. These measures shall be proportionate to the [scale, intensity and risk](#) of management activities and to the [conservation](#) status and ecological requirements of the rare and [threatened species](#). The Organization shall take into account the geographic range and ecological requirements of rare and threatened species beyond the boundary of the Management Unit, when determining the measures to be taken inside the Management Unit. (C6.2 P&C V4)

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



Verifiers: Forest management plan, biodiversity register, study reports, monitoring reports, interview with stakeholders

Note 1: Best Available Information* includes but not limited to:

- 1) IUCN Red list, CITES list, and protected species by the Government of Nepal;
- 2) Field surveys;
- 3) Book on major wild flora and fauna of Nepal that are illegally harvested and traded published by Department of National Park and Wildlife Conservation;
- 4) Databases relevant to rare, threatened and endangered species, such as maintained by district forests office, relevant offices in protected areas, district development committee;
- 5) Consultation with representatives of local communities and experts.

Note 2: See Annex G Rare and threatened species list in Nepal and the region

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

Verifiers: Forest management plan, maps, annual plan, onsite observation, study reports, monitoring report

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

Verifiers: Forest management plan, maps of high conservation values area, meeting minutes and decisions, onsite observation, interview with organization's executives, and environmental performance checklist

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

Verifiers: Constitution, procedural documents, forest management plan, interview with organization's executives, interview with stakeholders, meeting minutes, monitoring report.

Criterion 6.5 [The Organization](#) shall identify and protect representative sample areas



of [native ecosystems](#) and/or [restore](#) them to more [natural conditions](#). Where [representative sample areas](#) do not exist or are insufficient, The Organization shall [restore](#) a proportion of the [Management Unit](#) to more [natural conditions](#). The size of the areas and the measures taken for their protection or restoration, including within plantations, shall be proportionate to the [conservation](#) status and value of the [ecosystems](#) at the [landscape](#) level, and the [scale, intensity and risk](#) of management activities. (C6.4 and 10.5 P&C V4 and Motion 2014#7)

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

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

Verifiers: Forest management plan, map of HCV areas, study report, monitoring report, interview with organization's executives

Note: If applicable, Best Available Information includes:

1. Field surveys;
2. Databases relevant to the environmental values*, for example, database maintained by district forests office, relevant offices in protected areas, district development committee or above level;
3. Consultation with local and regional experts;
4. Culturally appropriate* engagement* with indigenous peoples*, local communities* and affected stakeholder* and interested stakeholder*.

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

Verifiers: Forest management plan, map of HCV areas, onsite observation

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



<p>Verifiers: Forest management plan, meeting minutes, annual plan, maps, onsite observation, interview with stakeholders</p>
<p>6.5.4 Representative Sample Areas* in combination with other important areas from conservation point of view * comprise a minimum 10% area of the Management Unit*.</p> <p>Verifiers: Forest management plan, maps, interview with organization's executives, onsite observation</p> <p>Note for small organization: Small organizations having up to 500 ha forest area can collectively fulfil the conservation requirement of 10% under group certification scheme</p>
<p>Criterion 6.6. <u>The Organization</u> shall effectively maintain the continued existence of naturally occurring <u>native species</u> and <u>genotypes</u>, and prevent losses of <u>biological diversity</u>, especially through <u>habitat</u> management in the <u>Management Unit</u>. The Organization shall demonstrate that effective measures are in place to manage and control hunting, fishing, trapping and collecting. (C6.2 and C6.3 P&C V4)</p> <p>Note: Management activities as referenced in indicators 6.6.1-6.6.4 include activities to prevent forest fire and control over grazing.</p>
<p>Indicator 6.6.1 Management activities maintain the plant communities and <i>habitat features</i>* found within <i>native ecosystems</i>* in which the <i>Management Unit</i>* is located.</p> <p>Verifiers: Forest management plan, maps, interview with stakeholders, onsite observation</p>
<p>Indicator 6.6.2 Where past management has eliminated plant communities or <i>habitat features</i>*, management activities aimed at re-establishing such <i>habitats</i>* are implemented.</p> <p>Verifiers: Forest management plan, annual plan, meeting minutes and decisions, interview with stakeholders, onsite observation</p>
<p>Indicator 6.6.3 Management activities maintain, enhance, or <i>restore</i>* <i>habitat features</i>* associated with <i>native ecosystems</i>*, to support the diversity of naturally occurring species and their genetic diversity.</p> <p>Verifiers: Forest management plan, annual plan, meeting minutes and decisions, interview with stakeholders, onsite observation, monitoring report</p>
<p>Indicator 6.6.4 Effective measures are taken to manage and control hunting, fishing,</p>



<p>trapping and collecting activities to ensure that naturally occurring <i>native species*</i>, their diversity within species and their natural distribution are maintained.</p> <p>Verifiers: Forest management plan, monitoring report, interviews with organization's executives, meeting minutes and decisions, onsite observation</p>
<p>Criterion 6.7. The Organization shall protect or restore natural watercourses, water bodies, riparian zones and their connectivity. The Organization shall avoid negative impacts on water quality and quantity and mitigate and remedy those that occur.</p> <p>(C6.5 and 10.2 P&C V4)</p>
<p>Indicator 6.7.1 <i>Protection*</i> measures are implemented to protect natural <i>water-courses*</i>, <i>water bodies*</i>, <i>riparian zones*</i> and their <i>connectivity*</i>, including water quantity and water quality.</p> <p>Verifiers: Water sources protection provisions in the forest management plan, map showing water resources, record of protection measures implemented, annual plan, interviews with organization's executives, onsite observation</p>
<p>Indicator 6.7.2 Where implemented <i>protection*</i> measures do not protect <i>water-courses*</i>, <i>water bodies*</i>, <i>riparian zones*</i> and their <i>connectivity*</i>, water quantity or water quality from impacts of <i>forest*</i> management, restoration activities are implemented.</p> <p>Verifiers: Forest management plan, annual plan, meeting minutes and decisions, monitoring report, interview with organization's executives, onsite observation</p>
<p>Indicator 6.7.3 Where natural <i>watercourses</i>, <i>water bodies*</i>, <i>riparian zones*</i> and their <i>connectivity*</i>, water quantity or water quality have been damaged by past activities on land and water <i>restoration activities*</i> are implemented.</p> <p>Verifiers: Forest management plan, record of damaged water sources by past activities, annual plan, meeting minutes and decisions, monitoring report, interview with stakeholders, onsite observation</p>
<p>Indicator 6.7.4 Where continued degradation exists to <i>watercourses*</i>, <i>water bodies*</i>, water quantity and water quality caused by previous managers and the activities of third parties, measures are implemented that prevent or mitigate this degradation.</p> <p>Verifiers: Forest management plan, annual plan, meeting minutes and decisions, monitoring report, interview with organization's executives, onsite observation</p>
<p>Criterion 6.8. The Organization shall manage the landscape in the Management Unit</p>



to maintain and/or [restore](#) a varying mosaic of species, sizes, ages, spatial [scales](#) and regeneration cycles appropriate for the [landscape values](#) in that region, and for enhancing environmental and economic [resilience](#). (C10.2 and 10.3 P&C V4)

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

Verifiers: Forest management plan, onsite observation, interview with organization's executives

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

Verifiers: Management plan, annual plan, onsite observation, monitoring report

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

- a) Affects a [very limited portion](#) of the area of the [Management Unit](#), and
- b) Will produce clear, substantial, additional, secure long-term [conservation](#) benefits in the [Management Unit](#), and
- c) Does not damage or threaten [High Conservation Values](#), nor any sites or resources necessary to maintain or enhance those High Conservation Values. (C6.10 P&C V4 and Motion 2014#7)

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

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

Verifiers: Forest management plan, map of HCV area, onsite observation, interview with organization's executives, interview with stakeholders

Criterion 6.10. [Management Units](#) containing [plantations](#) that were established on areas converted from [natural forest](#) after November 1994 shall not qualify for certifi-



cation, except where:

- a) Clear and sufficient evidence is provided that [The Organization](#) was not directly or indirectly responsible for the conversion, or
- b) The conversion affected a [very limited portion](#) of the area of the Management Unit and is producing clear, substantial, additional, secure long-term [conservation](#) benefits in the Management Unit. (C10.9 P&C V4)

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

Verifiers: Forest management plan, maps, records of areas converted

Note: Best available information may include-

1. Forest conversion records;
2. Information collected from key informants;
3. Information collected through onsite observation/survey etc.

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

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

Verifiers: Forest management plan, maps, records of area converted, onsite observation.

[Go to Annex D.](#)

PRINCIPLE 7: MANAGEMENT PLANNING

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



<p>Criterion 7.1. The Organization shall, proportionate to scale, intensity and risk of its management activities, set policies (visions and values) and objectives for management, which are environmentally sound, socially beneficial and economically viable. Summaries of these policies and objectives shall be incorporated into the management plan, and publicized. (C7.1a P&C V4)</p>
<p>Indicator 7.1.1 Policies (vision and values) that contribute to meeting the requirements of this standard are defined.</p> <p>Verifiers: Constitution, procedural documents, forest management plan, group manager's policy guideline</p>
<p>Indicator 7.1.2 Specific, operational <i>management objectives</i>* that address the requirements of this standard are defined.</p> <p>Verifiers: Forest management plan, meeting minutes</p>
<p>Indicator 7.1.3 Summaries of the defined policies and <i>management objectives</i>* are included in the <i>management plan</i>* and publicized.</p> <p>Verifiers: Forest management plan, notices, meeting minutes brochure</p>
<p>Criterion 7.2. The Organization shall have and implement a management plan for the Management Unit which is fully consistent with the policies and management objectives as established according to Criterion 7.1. The management plan shall describe the natural resources that exist in the Management Unit and explain how the plan will meet the FSC certification requirements. The management plan shall cover forest management planning and social management planning proportionate to scale, intensity and risk of the planned activities. (C7.1 P&C V4)</p>
<p>Indicator 7.2.1 The <i>management plan</i>* includes management actions, procedures, strategies and measures to achieve the <i>management objectives</i>*.</p> <p>Verifiers: Forest management plan</p>
<p>Indicator 7.2.2 <i>The management plan</i>* addresses the elements listed in Annex D, and is implemented.</p> <p>Verifiers: Constitution, procedural documents, forest management plan, meeting minutes, annual report</p>
<p>Criterion 7.3. The management plan shall include verifiable targets by which progress towards each of the prescribed management objectives can be assessed. (new)</p>
<p>Indicator 7.3.1 <i>Verifiable targets</i>*, and the frequency that they are assessed, are estab-</p>



<p>lished for monitoring the progress towards each <i>management objective</i>*.</p> <p>Verifiers: Forest management plan, monitoring report, meeting minutes, annual plan</p>
<p>Criterion 7.4. The Organization shall update and revise periodically the management planning and procedural documentation to incorporate the results of monitoring and evaluation, stakeholder engagement or new scientific and technical information, as well as to respond to changing environmental, social and economic circumstances. (C7.2 P&C V4)</p>
<p>Indicator 7.4.1 <i>The management plan</i>* is revised and updated periodically consistent with Annex D to incorporate:</p> <ol style="list-style-type: none"> 1) Monitoring results, including results of certification audits; 2) Evaluation results; 3) Stakeholder <i>engagement</i>* results; 4) New scientific and technical information, and 5) Changing environmental, social, or economic circumstances. <p>Verifiers: Constitution, procedural documents, forest management plans (revised), meeting minutes, interview with organization’s executives</p>
<p>Criterion 7.5. The Organization shall make publicly available a summary of the management plan free of charge. Excluding confidential information, other relevant components of the management plan shall be made available to affected stakeholders on request, and at cost of reproduction and handling. (C7.4 P&C V4)</p>
<p>Indicator 7.5.1 A summary of the <i>management plan</i>* in a format comprehensible to stakeholders including maps and excluding <i>confidential information</i>* is made <i>publicly available</i>* at no cost.</p> <p>Verifiers: Meeting minutes, forest management plan, interview with organization’s executives, interview with stakeholders, citizen charter, brochure</p>
<p>Indicator 7.5.2 Relevant components of the <i>management plan</i>*, excluding <i>confidential information</i>*, are available to <i>affected stakeholders</i>* on request at the actual costs of reproduction and handling.</p> <p>Verifiers: Meeting minutes, forest management plan, interview with organization’s executives, interview with stakeholders, citizen charter, brochure</p>
<p>Criterion 7.6. The Organization shall, proportionate to scale, intensity and risk of management activities, proactively and transparently engage affected stakeholders in</p>



its management planning and monitoring processes, and shall engage [interested stakeholders](#) on request. (C4.4 P&C V4)

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

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

Verifiers: Constitutional, procedural document, forest management plan, meeting minutes, annual reports, interviews with stakeholders

Note: Scoping assessment provides a detailed mapping of affected stakeholders-both within and outside of management unit. Methods, mechanism or the intensity of engagement may vary case by case. Whatever the case, the organization requires engagement with the stakeholders affected by the management intervention(s).

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

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

Verifiers: Meeting minutes, minutes of hamlets and interest group discussions, interview with organization's executives, interview with stakeholders

Indicator 7.6.3 *Affected stakeholders** are provided with an opportunity for *culturally appropriate* engagement** in monitoring and planning processes of management



activities that affect their interests.

Verifiers: Forest management plan, meeting minutes, monitoring report, record of attendance, interview with affected stakeholders

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

Verifiers: Request letter, meeting minutes, record of attendance

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PRINCIPLE 8: MONITORING AND ASSESSMENT

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

Criterion 8.1. [The Organization](#) shall monitor the implementation of its [Management Plan](#), including its policies and [management objectives](#), its progress with the activities planned, and the achievement of its [verifiable targets](#). (new)

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

Verifiers: Constitution, procedural documents, forest management plan, meeting minutes

Criterion 8.2. [The Organization](#) shall monitor and evaluate the environmental and social impacts of the activities carried out in the [Management Unit](#), and changes in its environmental condition. (C8.2 P&C V4)

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

Verifiers: Forest management plan, meeting minutes, annual report, monitoring report, interview with organization's executives, onsite observation

Note for small organization: Small organizations may design monitoring methods in line with FSC Briefing Note 5: Tools for simple monitoring.

Indicator 8.2.2 Changes in environmental conditions are monitored* consistent with



Annex E.

Verifiers: Forest management plan, participatory assessment reports of environmental values, monitoring reports, annual report, interview with organization's executives

Note for small organization: Small organizations may follow monitoring methods designed in line with FSC Briefing Note 5: Tools for simple monitoring.

Criterion 8.3 [The Organization](#) shall analyze the results of monitoring and evaluation and feed the outcomes of this analysis back into the planning process. (C8.4 P&C V4)

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

Verifiers: Forest management plan, meeting minutes, annual plans, annual report

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

Verifiers: Meeting minutes, forest management plan, monitoring reports, interview with stakeholders

Criterion 8.4. [The Organization](#) shall make [publicly available](#) a summary of the results of monitoring free of charge, excluding [confidential information](#). (C8.5 P&C V4)

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

Verifiers: Meeting minutes, citizen charter, interview with stakeholders

Criterion 8.5. [The Organization](#) shall have and implement a tracking and tracing system proportionate to [scale, intensity and risk](#) of its management activities, for demonstrating the source and volume in proportion to projected output for each year, of all products from the [Management Unit](#) that are marketed as FSC certified. (C8.3 P&C V4)

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

Verifiers: Financial record, sales and distribution records, transportation permit, harvesting records, meeting minutes, interview with organization's executives



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

- 1) Common and scientific species name;
- 2) Product name or description;
- 3) Volume (or quantity) of product;
- 4) Information to trace the material to the source of origin harvesting block;
- 5) Harvesting date;
- 6) If basic processing activities take place in the forest, the date and volume produced; and
- 7) Whether or not the material was sold as FSC certified.

Verifiers: Sales and distribution records, enterprise records, financial records, meeting minutes, interviews with organization executives, onsite observation

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

Note for small organization: Small organizations may choose for not to maintain items 4 and 5.

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

- 1) Name and address of purchaser;
- 2) The date of sale;
- 3) 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: Financial records, sale and distribution record

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PRINCIPLE 9: HIGH CONSERVATION VALUES

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

Note: In the absence of this national interpretation, the “Common Guidance” documents of the HCV Resource Network will be applied. These include the following:



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

The Annex 9A provides an overview of possible management strategies for maintenance or enhancement of HCVs, while the Annex 9B provides Best Available Information* and general information sources for the identification of HCVs in Nepal.

Criterion 9.1. [The Organization](#), through [engagement](#) with [affected stakeholders](#), [interested stakeholders](#) and other means and sources, shall assess and record the presence and status of the following [High Conservation Values](#) in the [Management Unit](#), proportionate to the [scale, intensity and risk](#) of impacts of management activities, and likelihood of the occurrence of the High Conservation Values:

HCV 1 – Species diversity. Concentrations of [biological diversity](#) including endemic species, and [rare, threatened](#) or endangered species, that are [significant](#) at global, regional or national levels.

HCV 2 – [Landscape](#)-level [ecosystems](#) and mosaics. [Intact forest landscapes](#) and large landscape-level ecosystems and ecosystem mosaics that are significant at global, regional or national levels, and that contain viable populations of the great majority of the naturally occurring species in natural patterns of distribution and abundance.

HCV 3 – Ecosystems and [habitats](#). [Rare, threatened](#), or endangered ecosystems, habitats or refugia.

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

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

HCV 6 – Cultural values. Sites, resources, [habitats](#) and [landscapes](#) of global or national cultural, archaeological or historical significance, and/or of [critical](#) cultural, ecological, economic or religious/sacred importance for the traditional cultures of [local communities](#) or Indigenous Peoples, identified through engagement with these local communities or Indigenous Peoples. (C9.1 P&C V4 and Motion 2014#7)



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

Verifiers: Forest management plan, map of HCV areas, interview with organization's executives, onsite observation

Note for small organization: The Small organizations may use the following FSC guidance and technical materials to assess the HCV:

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

See Annex H for details.

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

Verifiers: Meeting minutes, forest management plan, interview with stakeholders

Criterion 9.2. The Organization shall develop effective strategies that maintain and/or enhance the identified High Conservation Values, through engagement with affected stakeholders, interested stakeholders and experts. (C9.2 P&C V4)

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

Verifiers: Forest management plan, Map of HCV areas,

Note: Best available information includes but not limited to:

1. Documents (drivers of deforestation and forest degradation) published by REDD-IC and other organizations and illegally traded flora and fauna by DNPWC
2. Information collected from consultation with local communities, experts and stakeholders
3. Field survey report
4. Database or study reports, if available, at government forests offices at various level
5. Accessible databases and study reports from research and non-profit organizations

Indicator 9.2.2 Management strategies and actions are developed to maintain and/or enhance the identified *High Conservation Values** and to maintain associated *High*



*Conservation Value Areas** prior to implementing potentially harmful management activities.

Verifiers: Forest management plan, meeting minutes

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

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

See Annex H for details.

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

Verifiers: Meeting minutes, record of attendance, interview with organization's executives, interview with affected stakeholders

Note: Experts include but not limited to the professionals and practitioners at community level having knowledge in forestry, environment and social sciences.

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

Verifiers: Monitoring report, forest management plan, interview with stakeholders, onsite observation

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

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

Verifiers: Annual plan, meeting minutes, annual report, interview with organization's executives, monitoring report, onsite observation

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



<p>Verifiers: Forest management plan, interview with organization’s executives, annual report, onsite observation</p>
<p>Indicator 9.3.3 Activities that harm <i>High Conservation Values</i>* cease immediately and actions are taken to <i>restore</i>* and protect the <i>High Conservation Values</i>*.</p> <p>Verifiers: Meeting minutes, annual plan, annual report, monitoring report, photographs (e.g., taken for point monitoring), interview with stakeholders, onsite observation.</p>
<p>Criterion 9.4. <u>The Organization</u> shall demonstrate that periodic monitoring is carried out to assess changes in the status of <u>High Conservation Values</u>, and shall adapt its management strategies to ensure their effective <u>protection</u>. The monitoring shall be proportionate to the <u>scale, intensity and risk</u> of management activities, and shall include <u>engagement</u> with <u>affected stakeholders</u>, <u>interested stakeholders</u> and experts. (C9.4 P&C V4)</p>
<p>Indicator 9.4.1 A program of periodic monitoring assesses:</p> <ol style="list-style-type: none"> 1) Implementation of strategies; 2) The status of <i>High Conservation Values</i>*, including <i>High Conservation Value Areas</i>* on which they depend; and 3) The effectiveness of the management strategies and actions for the <i>protection</i>* of <i>High Conservation Values</i>*, to fully maintain and/or enhance the <i>High Conservation Values</i>*. <p>Verifiers: Forest management plan, meeting minutes, interview with organization’s executives, monitoring report, onsite observation</p> <p>Note for small organization: Small organizations can use FSC guidance and technical materials for small, low intensity and community forests to design monitoring programs-</p> <ol style="list-style-type: none"> 1. Briefing note 4: High conservation values 2. Briefing note 5: Simple monitoring methods 3. FSC step by step guide
<p>Indicator 9.4.2 The monitoring program includes <i>engagement</i>* with <i>affected</i>* and <i>interested stakeholders</i>* and experts.</p> <p>Verifiers: Monitoring report , meeting minutes record of attendance, interview with stakeholders, onsite observation</p>
<p>Indicator 9.4.3 The monitoring program has sufficient scope, detail and frequency to</p>



detect changes in *High Conservation Values**, relative to the initial assessment and status identified for each *High Conservation Value**.

Verifiers: Forest management plan, meeting minutes, annual report

Note: In the absence of HCV framework, small organizations will continue existing monitoring practices with special emphasis on HCV area to protect HCV and detect the changes.

Indicator 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: Forest management plan, meeting minutes , annual plan, interview with organization's executives

[Go to Annex F.](#)

PRINCIPLE 10: IMPLEMENTATION OF MANAGEMENT ACTIVITIES

Management activities conducted by or for [The Organization](#) for the [Management Unit](#) shall be selected and implemented consistent with The Organization's economic, environmental and social policies and [objectives](#) and in compliance with the Principles and Criteria collectively. (new)

Criterion 10.1. After harvest or in accordance with the [management plan](#), [The Organization](#) shall, by natural or artificial regeneration methods, regenerate vegetation cover in a timely fashion to pre-harvesting or more [natural conditions](#). (new)

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

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

Verifiers: Forest management plan, annual plan, monitoring report, photographs, annual report, meeting minutes, interview with stakeholders, onsite observation

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

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



3) For harvest of degraded *natural forests**, regenerate to more *natural conditions**.

Verifiers: Forest management plan, meeting minutes, records of silvicultural activities, records of plantation, interview with stakeholders, onsite observation

Note: For existing plantation and natural forests, the organization promotes either naturally grown seedlings or pre-harvesting species. However, approved plant species well adapted in similar ecological condition could be introduced in degraded natural forests.

Criterion 10.2. [The Organization](#) shall use species for regeneration that are ecologically well adapted to the site and to the management [objectives](#). The Organization shall use native species and local [genotypes](#) for regeneration, unless there is clear and convincing justification for using others. (C10.4 and C10.8 P&C V4)

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

Verifiers: Forest management plan, meeting minutes, records of plantation, monitoring reports, interview with experts, interview with organization's executives

Note: The organizations promote native species for regenerating the forests. The organization may introduce non-local genotypes based on the recommendation of Department of Forest or Department of Forest Research and Survey or Department of Plant Resources.

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

Verifiers: Forest management plan, meeting minutes, records of plantation, monitoring/evaluation reports, onsite observation

Criterion 10.3. [The Organization](#) shall only use [alien species](#) when knowledge and/or experience have shown that any invasive impacts can be controlled and effective mitigation measures are in place. (C6.9 and C10.8 P&C V4)

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

Verifiers: Forest management plan, monitoring reports, study reports, onsite observation

Note: List of species chosen should be based on recommendations from the govern-



<p>ment authorities, such as Department of Forests or Department of Forest Research and Survey or Department of Plant Resources</p>
<p>Indicator 10.3.2 <i>Alien species</i>* are used only when effective mitigation measures are in place to control their spread outside the area in which they are established. Verifiers: Meeting minutes, forest management plan, monitoring report, annual plan, interview with stakeholders, onsite observation</p>
<p>Indicator 10.3.3 The spread of <i>invasive species</i>* introduced by <i>The Organization</i>* is controlled inside the forest management unit and the surrounding areas. Verifiers: Forest management plan, meeting minutes, , monitoring reports, interview with stakeholders, onsite observation</p>
<p>Indicator 10.3.4 Management activities are implemented, preferably in cooperation with separate regulatory bodies where these exist, with an aim to control the invasive impacts of <i>alien species</i>* that were not introduced by <i>The Organization</i>*. Verifiers: Forest management plan, annual plan, monitoring reports, meeting minutes, Note: To control the invasive impacts of alien species, the organization works in co-operation with authorities such as Department of Forests, Department of Forest Research and Survey and Department of Plant Resources</p>
<p>Criterion 10.4 The Organization shall not use genetically modified organisms in the Management Unit. (C6.8 P&C V4)</p>
<p>Indicator 10.4.1 <i>Genetically modified organisms</i>* are not used. Verifiers: Forest management plan, onsite observation, interview organization's executives</p>
<p>Criterion 10.5 The Organization shall use silvicultural practices that are ecologically appropriate for the vegetation, species, sites and management objectives. (new)</p>
<p>Indicator 10.5.1 Silvicultural practices are implemented that are ecologically appropriate for the vegetation, species, sites and <i>management objectives</i>*. Verifiers: Forest management plan, meeting minutes, interview with organization's executives, interview with stakeholders, onsite observation Note: For determining appropriate silvicultural prescriptions, the organization refers to the silvicultural guidelines or manuals published by the government authorities or research organizations.</p>
<p>Criterion 10.6. The Organization shall minimize or avoid the use of fertilizers. When</p>



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

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

Verifiers: Forest management plan, monitoring records, fertilizer use records, interview with stakeholders, onsite observation

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

Verifiers: study report, records of ecological/economic benefits, monitoring and evaluation reports, interview with stakeholders

Note: Analysis of benefit cost ratio should become the basis to determine whether ecological and economic benefits are equal or higher than those of silvicultural systems that do not require fertilizers.

Note for small organization: When fertilizers are used, organization's assessment of benefits may serve the basis of fertilizer use in small forests.

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

Verifiers: Forest management plan, annual report, meeting minutes, fertilizer use records, monitoring reports

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

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

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

Verifiers: Forest management plan, monitoring report, annual report, meeting minutes, interview with stakeholders

Criterion 10.7 [The Organization](#) shall use integrated pest management and [silviculture](#) systems which avoid, or aim at eliminating, the use of chemical [pesticides](#). The Organization shall not use any chemical pesticides prohibited by FSC policy. When pesticides are used, The Organization shall prevent, mitigate, and/or repair damage to



environmental values and human health. (C6.6 and C10.7 P&C V4)
<p>Indicator 10.7.1 Integrated pest management, including selection of <i>silviculture</i>* systems, is used to avoid, or aim to eliminate, the frequency, extent and amount of chemical <i>pesticide</i>* applications, and result in non-use or overall reductions in applications.</p> <p>Verifiers: forest management plan, meeting minutes, , monitoring reports, interview with stakeholders, onsite observation</p>
<p>Indicator 10.7.2 Chemical <i>pesticides</i>* prohibited by FSC’s Pesticide Policy are not used or stored in the <i>Management Unit</i>* unless FSC has granted derogation.</p> <p>Verifiers: Forest management plan, pesticide storage records, interview with organization’s executives, onsite observation, derogation letter from FSC</p>
<p>Indicator 10.7.3 Records of <i>pesticide</i>* 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.</p> <p>Verifiers: Annual report, records of purchase, storage and use pesticide, onsite observation, meeting minutes, interview with organization’s executives</p>
<p>Indicator 10.7.4 The use of <i>pesticides</i>* 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.</p> <p>Verifiers: Guideline for safety in the use of chemicals, records of pesticide purchase, storage and use, interview with workers, interview with stakeholders</p> <p>Note: The organizations may refer the following two ILO guides while making their documented procedure:</p> <ol style="list-style-type: none">1. Safety & Health in the use of agrochemicals2. Safety in the use of chemicals at work.
<p>Indicator 10.7.5 If <i>pesticides</i>* are used, application methods minimize quantities used, while achieving effective results, and provide effective <i>protection</i>* to surrounding <i>landscapes</i>*.</p> <p>Verifiers: Monitoring reports, meeting minutes, annual report, interview with stakeholders</p>
<p>Indicator 10.7.6 Damage to <i>environmental values</i>* and human health from <i>pesticide</i>* use is prevented and mitigated or repaired where damage occurs.</p>



<p>Verifiers: Monitoring reports, annual report, interviews with organization executives, interviews with local communities</p>
<p>Indicator 10.7.7 When <i>pesticides*</i> are used:</p> <ol style="list-style-type: none">1) The selected <i>pesticide*</i>, application method, timing and pattern of use offers the least risk to humans and non-target species; and2) Objective evidence demonstrates that the <i>pesticide*</i> is the only effective, practical and cost effective way to control the pest.
<p>Verifiers: Meeting minutes, annual report, records of pesticide use , monitoring reports, interview with workers, interview with organization’s executives</p>
<p>Criterion 10.8. <u>The Organization</u> shall minimize, monitor and strictly control the use of <u>biological control agents</u> in accordance with <u>internationally accepted scientific protocols</u>. When biological control agents are used, The Organization shall prevent, mitigate, and/or repair damage to <u>environmental values</u>. (C6.8 P&C V4)</p>
<p>Indicator 10.8.1 The use of <i>biological control agents*</i> is minimized, <i>monitored*</i> and controlled.</p> <p>Verifiers: Forest management plan, protocol of using biological control agents, monitoring report, meeting minutes</p>
<p>Indicator 10.8.2 Use of biological control agents* complies with <i>internationally accepted scientific protocols*</i>.</p> <p>Verifiers: Forest management plan, meeting minutes, records of control measures, permission letter, interview with workers, interview with organization’s executives</p> <p>Note: Organizations shall take permission from the concerned authority prior to use of a biological control agent. Internationally accepted scientific protocols may include:</p> <ol style="list-style-type: none">1) FSC Guide to integrated pest, disease and weed management in FSC certified forests and plantations (2009);2) FAO Code of Conduct for the Import and Release of Exotic Biological Control.
<p>Indicator 10.8.3 The use of <i>biological control agents*</i> is recorded including type, quantity, period, location and reason for use.</p> <p>Verifiers: Meeting minutes, annual report, inputs record interview with organization’s executives</p>
<p>Indicator 10.8.4 Damage to <i>environmental values*</i> caused by the use of <i>biological control agents*</i> is prevented and mitigated or repaired where damage occurs.</p> <p>Verifiers: Monitoring reports, onsite observation, annual report</p>



<p>Criterion 10.9 The Organization shall assess risks and implement activities that reduce potential negative impacts from natural hazards proportionate to scale, intensity, and risk. (new)</p>
<p>Indicator 10.9.1 Potential negative impacts of <i>natural hazards*</i> and <i>human induced hazards*</i> on <i>infrastructure*</i>, <i>forest*</i> resources and communities in the <i>Management Unit*</i> are assessed.</p> <p>Verifiers: Forest management plan, IEE/EIA report, annual plan, records of potential natural hazards assessment report, interview with stakeholders, onsite observation</p> <p>Note for small organization: Discussions and recording of potential hazards and their negative impacts in organization's executive committee meeting may fulfill the requirement.</p>
<p>Indicator 10.9.2 Management activities mitigate these impacts.</p> <p>Verifiers: Annual report, monitoring reports, interview with organization's executives</p>
<p>Indicator 10.9.3 The <i>risk*</i> for management activities to increase the frequency, distribution or severity of <i>natural hazards*</i> is identified for those <i>hazards*</i> that may be influenced by management.</p> <p>Verifiers: Forest management plan, meeting minutes, hazard assessment reports, interview with stakeholders</p>
<p>Indicator 10.9.4 Management activities are modified and/or measures are developed and implemented that reduce the identified <i>risks*</i>.</p> <p>Verifiers: Annual plan, monitoring report, meeting minutes</p>
<p>Criterion 10.10 The Organization shall manage infrastructural development, transport activities and silviculture so that water resources and soils are protected, and disturbance of and damage to rare and threatened species, habitats, ecosystems and landscape values are prevented, mitigated and/or repaired. (C6.5 P&C V4)</p>
<p>Indicator 10.10.1 Development, maintenance and use of <i>infrastructure*</i>, as well as transport activities, are managed to protect <i>environmental values*</i> identified in <i>Criterion*</i> 6.1.</p> <p>Verifiers: Forest management plan, annual plan, meeting minutes, monitoring reports, onsite observation, interview with stakeholders</p>
<p>Indicator 10.10.2 <i>Silviculture*</i> activities are managed to ensure protection of the <i>environmental values*</i> identified in <i>Criterion*</i> 6.1.</p>



<p>Verifiers: Forest management plan, annual plan, monitoring reports, onsite observation, interview with workers, interview with stakeholders</p>
<p>Indicator 10.10.3 Disturbance or damages to <i>water courses*</i>, <i>water bodies*</i>, soils, <i>rare and threatened species*</i>, <i>habitats*</i>, <i>ecosystems*</i> and <i>landscape values*</i> are prevented, mitigated and repaired in a <i>timely manner*</i>, and management activities modified to prevent further damage.</p> <p>Verifiers: Meeting minutes, interview with organization’s executives, monitoring reports, onsite observation.</p>
<p>Criterion 10.11. The Organization shall manage activities associated with harvesting and extraction of timber and non-timber forest products so that environmental values are conserved, merchantable waste is reduced, and damage to other products and services is avoided. (C5.3 and C6.5 P&C V4)</p>
<p>Indicator 10.11.1 Harvesting and extraction practices for timber and <i>non-timber forest products*</i> are implemented in a manner that conserves <i>environmental values*</i> as identified in <i>Criterion* 6.1</i>.</p> <p>Verifiers: Forest management plan, harvesting manual, meeting minutes, monitoring reports, onsite observation, interview with workers</p>
<p>Indicator 10.11.2 Harvesting practices optimize the use of <i>forest*</i> products and merchantable materials.</p> <p>Verifiers: Annual report, meeting minutes, onsite observation, interview with stakeholders, monitoring reports, interview with workers</p>
<p>Indicator 10.11.3 Sufficient amounts of dead and decaying biomass and <i>forest*</i> structure are retained to conserve <i>environmental values*</i>.</p> <p>Verifiers: Monitoring reports, interview with organization’s executives, onsite observation,</p>
<p>Indicator 10.11.4 Harvesting practices avoid damage to standing residual trees, residual woody debris on the ground and other <i>environmental values*</i>.</p> <p>Verifiers: Monitoring reports, forest management plan, harvesting manual, onsite observation, interview with workers</p>
<p>Criterion 10.12. The Organization shall dispose of waste materials in an environmentally appropriate manner. (C6.7 P&C V4)</p>
<p>Indicator 10.12.1 Collection, clean up, transportation and disposal of all <i>waste mate-</i></p>



*rials** is done in an environmentally appropriate way that conserves *environmental values** as identified in *Criterion** 6.1.

Verifiers: Forest management plan, meeting minutes, annual report , monitoring reports, onsite observation, interview with organization's executives

Note: Waste products include:

- 1) Hazardous waste, including chemical waste and batteries;
- 2) Containers;
- 3) Rubbish including metals, plastics and paper;
- 4) Abandoned buildings, machinery and equipment; and
- 6) Domestic waste

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8. Annexes to a National Forest Stewardship Standard

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

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

1. Legal* rights to harvest	
1.1 Land tenure* and management rights	Legislation covering land tenure* rights, including customary rights* as well as management rights, that includes the use of legal* methods to obtain tenure* rights and management rights. it also covers legal* business registration and tax registration including relevant legally required licences
<p>Forest Act, 1993</p> <p>National Parks and Wildlife Conservation Act, 1973</p> <p>Environment Protection Act, 1996</p> <p>Local Self Governance Act, 1998</p> <p>Plant Protection Act, 2007</p> <p>Aquatic Animal Protection Act, 1960</p> <p>Adibasi Janajati Uthan Rastriya Pratisthan Ain, 2001 (2058 BS)</p> <p>Forest Rules, 1995</p> <p>National Parks and Wildlife Conservation Rules, 1974</p> <p>Environmental Protection Rules, 1997</p> <p>Local Self Governance Regulation, 1999</p> <p>Plant Protection Rules, 2010</p> <p>Conservation Area Management Rules, 1996</p> <p>Drinking Water Rules, 1998</p> <p>National wetland policy, 2013</p> <p>Leasehold forest policy, 2002</p> <p>Forest policy 2015</p> <p>Forest sector strategy 2015</p> <p>Rangeland policy, 2010</p> <p>Herbs and NTFP development policy, 2004</p> <p>CBD 1992</p> <p>UNDRIP and ILO 169</p>	
1.2 Concessionli-	Legislation regulating procedures for issuing forest* concession



censes	licenses, including the use of legal* methods to obtain concession licenses. Bribery, corruption and nepotism are particularly wellknown issues that are connected with concession licenses.
<p>Forest Act, 1993</p> <p>National Parks and Wildlife Conservation Act, 1973</p> <p>Environmental Protection Act, 1996</p> <p>Environmental Protection Rules, 1997</p> <p>National Parks and Wildlife Conservation Rules, 1974</p> <p>Forest Rules, 1995</p>	
1.3 Management and harvesting planning	Any national or sub-national legal* requirements for Management Planning, including conducting forest* inventories, having a forest* management plan* and related planning and monitoring, impact assessments, consultation with other entities, as well as approval of these by legally competent* authorities.
<p>Guideline for Community Forestry Development Programme, 2015</p> <p>Community Forest Inventory Guidelines, 2004</p> <p>Scientific Forest Management Guidelines, 2015</p> <p>Bufferzone Management Guidelines, 1999</p> <p>Resin Collection Directive, 2007</p> <p>National Wetland Policy, 2013</p> <p>Leasehold Forest Policy, 2002</p> <p>Rangeland Policy, 2010</p> <p>Herbs and NTFP Development Policy, 2004</p> <p>Gender Equality and Social Inclusion Strategy, 2009</p>	
1.4 Harvesting permits	National or sub-national laws and regulations regulating procedures for issuing harvesting permits, licenses or other legal* documents required for specific harvesting operations. This includes the use of legal* methods to obtain the permits. Corruption is a well-known issue that is connected with the issuing of harvesting permits.
<p>Forest Act, 1993</p> <p>Resin Collection Directive, 2007</p> <p>Forest Products (timber/fuelwood)Collection and Sales Directives, 2000</p> <p>National Parks and Wildlife Conservation Act, 1973</p> <p>EnvironmentProtection Act, 1996</p> <p>Environmental Protection Rules, 1997</p> <p>National Parks and Wildlife Conservation Rules, 1974</p> <p>Forest Rules, 1995</p>	



Conservation area management rules Bufferzone Management Guidelines, 1999	
2. Taxes and fees	
2.1 Payment of royalties and harvesting fees	Legislation covering payment of all legally required forest* harvesting specific fees such as royalties, stumpage fees and other volume based fees. This includes payments of the fees based on the correct classification of quantities, qualities and species. Incorrect classification of forest* products is a well-known issue that is often combined with bribery of officials in charge of controlling the classification.
Forest Rules, 1995 National Parks and Wildlife Conservation Rules, 1974 Environmental Protection Rules, 1997 Local Self Governance Regulation, 1999 Plant Protection Rules, 2010 Conservation Area Management Rules, 1996 Drinking Water Rules, 1998 Forest Products (timber/fuelwood) Collection and Sales Directives, 2000 Forest Products Auction Procedure Directives, 2003	
2.2 Value added tax and other sales taxes	Legislation covering different types of sales taxes which apply to the material being sold, including the sale of material as growing forest* (standing stock sales).
Value Added Tax Rules, 2053 (1996)	
2.3 Income and profit Taxes	Legislation covering income and profit taxes related to profit derived from the sale of forest* products and harvesting activities. This category is also related to income from the sale of timber and does not include other taxes generally applicable for companies and is not related to salary payments.
3. Timber harvesting activities	
3.1 Timber harvesting regulations	Any legal* requirements for harvesting techniques and technology including selective cutting, shelter wood regenerations, clear felling, transport of timber from the felling site, seasonal limitations, etc. Typically this includes regulations on the size of felling areas, minimum age and/or diameter for felling activities, and elements that shall* be preserved during felling, etc. Establishment of skidding or hauling trails, road construction, drainage systems and bridges, etc., shall* also be considered as well as the planning and monitoring of harvesting activities. Any legally binding codes for harvesting practices shall* be considered.
Community Forestry Guidelines, 2015 Community Forest Inventory Guidelines, 2004	



<p>Scientific Forest Management Guidelines, 2015</p> <p>Bufferzone Management Guidelines, 1999</p> <p>Leasehold Forest Policy, 2002</p> <p>Gender Equality and Social Inclusion Strategy, 2009</p>	
<p>3.2 Protected sites and species</p>	<p>International, national, and sub national treaties, laws, and regulations related to protected areas, allowable forest* uses and activities, and/or rare, threatened, or endangered species, including their habitats* and potential habitats*.</p>
<p>Convention on Biological Diversity</p> <p>United Nations Framework Convention on Climate Change</p> <p>Convention on Wetlands of International Importance</p> <p>International Convention for the Protection of new Varieties of Plants</p> <p>United Nations Convention on the Prevention and Control of Desertification</p> <p>National Parks and Wildlife Conservation Act 1973</p> <p>National Parks and Wildlife Conservation Rules, 1974</p> <p>Nepal Biodiversity Strategy and Action Plan, 2014</p> <p>Plant Protection Rules, 2010</p> <p>National Conservation strategy</p> <p>Conservation Area Management Rules, 1996</p>	
<p>Forest Act, 1993</p>	
<p>3.3 Environmental Requirements</p>	<p>National and sub national laws and regulations related to the identification and/or protection* of environmental values* including but not limited to those relating to or affected by harvesting, acceptable levels for soil damage, establishment of buffer zones (e.g., along water courses, open areas and breeding sites), maintenance of retention trees on the felling site, seasonal limitations of harvesting time, environmental requirements for forest* machineries, use of pesticides* and other chemicals, biodiversity conservation*, air quality, protection* and restoration* of water quality, operation of recreational equipment, development of non-forestry infrastructure*, mineral exploration and extraction, etc.</p>
<p>EnvironmentProtection Act, 1996</p> <p>Environmental Protection Rules, 1997</p> <p>Climate Change policy 2011</p> <p>National Wetland Policy, 2013</p> <p>Pesticide Act, 1992</p> <p>Soil and Watershed Conservation Rules, 1985</p>	



<p>Pesticides Regulation, 1994</p> <p>Drinking Water Rules, 1998</p> <p>Gender Equality and Social Inclusion Strategy, 2009</p>	
<p>3.4 Health and safety</p>	<p>Legally required personal protection* equipment for persons involved in harvesting activities, implementation of safe felling and transport practices, establishment of protection* zones around harvesting sites, safety requirements for machinery used, and legally required safety requirements in relation to chemical usage. The health and safety requirements that shall* be considered relevant to operations in the forest* (not office work, or other activities less related to actual forest* operations).</p>
<p>ILO Code of Practice on Safety and Health in Forestry Work</p> <p>ILO Declaration on Fundamental Principles and Rights at Work (1998)</p> <p>29 Forced Labor Convention, 1930</p> <p>98 Right to Organize and Collective Bargaining Convention, 1949</p> <p>100 Equal Remuneration Convention, 1951</p> <p>105 Abolition of Forced Labor Convention, 1957;</p> <p>111 Discrimination (Occupation and Employment) Convention, 1958</p> <p>138 Minimum Age Convention, 1973</p> <p>182 Worst Forms of Child Labor Convention, 1999.</p> <p>Convention on International Trade in Endangered Species of Wild Fauna and Flora</p> <p>United Nations Declaration on the Rights of Indigenous Peoples (2007)</p> <p>ILO Convention 169 (1989)</p> <p>The United Nations Declaration on the Rights of Indigenous Peoples, 2007</p> <p>ILO document “Safety in the use of chemicals at work</p>	
<p>3.5 Legal* employment</p>	<p>Legal* requirements for employment of personnel involved in harvesting activities including requirements for contracts and working permits, requirements for obligatory insurance, requirements for competence certificates and other training requirements, and payment of social and income taxes withheld by the employer. Also covered are the observance of minimum working age and minimum age for personnel involved in hazardous work, legislation against forced and compulsory labor, and discrimination and freedom of association.</p>
<p>ILO Declaration on Fundamental Principles and Rights at Work (1998)</p> <p>29 Forced Labor Convention, 1930</p> <p>100 Equal Remuneration Convention, 1951</p>	



<p>105 Abolition of Forced Labor Convention, 1957; 111 Discrimination (Occupation and Employment) Convention, 1958 138 Minimum Age Convention, 1973 182 Worst Forms of Child Labor Convention, 1999. Civil Servant Act, 1993 and its amendments Nepal Labor Act, 2017 Trade Union Act, 1992 Gender Equality and Social Inclusion Strategy, 2009</p>	
<p>4. The rights of third parties</p>	
<p>4.1 Customary rights*</p>	<p>Legislation covering customary rights* relevant to forest* harvesting activities, including requirements covering the sharing of benefits and indigenous rights.</p>
<p>Adibasi Janajati Uthan Rastriya Pratisthan Ain, 2058 REDD+ strategy 2015 Forest sector strategy, 2015 Community forestry guideline 2015</p>	
<p>4.2 Free Prior and Informed Consent*</p>	<p>Legislation covering “free prior and informed consent” in connection with the transfer of forest* management rights and customary rights* to The Organization* in charge of the harvesting operation.</p>
<p>Community forestry guideline 2015 REDD+ strategy 2015 Conservation area management rules Convention on Biological Diversity United Nations Framework Convention on Climate Change Convention on Wetlands of International Importance</p>	
<p>5. Trade and transport NOTE: This section covers requirements for forest* management operations as well as processing and trade.</p>	
<p>5.1 Classification of-species, quantities, qualities</p>	<p>Legislation regulating how harvested material is classified in terms of species, volumes and qualities in connection with trade and transport. Incorrect classification of harvested material is a wellknown method to reduce or avoid payment of legally prescribed taxes and fees.</p>
<p>Resin Collection Directive 2007 Forest Products (timber/fuelwood) Collection and Sales Directives 2000 Forest Products Auction Procedure Directives 2003 Forest Act 1993 and Forest Rules 1995 National Parks and Wildlife Conservation Act 1973</p>	



National Parks and Wildlife Conservation Rules 1974	
5.3 Offshore trading and transfer pricing	Legislation regulating offshore trading. Offshore trading with related companies placed in tax havens, combined with artificial transfer prices is a well-known way to avoid payment of legally prescribed taxes and fees to the country of harvest and is considered to be an important source of funds that can be used for payment of bribery to the forest* operations and personnel involved in the harvesting operation. Many countries have established legislation covering transfer pricing and offshore trading. It should* be noted that only transfer pricing and offshore trading, as far as it is legally prohibited in the country, can be included here.
Customs Act 2007 Customs Regulation 2007	
5.5 CITES	CITES permits (the Convention on International Trade in Endangered Species of Wild Fauna and Flora, also known as the Washington Convention).
Convention on International Trade in Endangered Species of Wild Fauna and Flora Nepal Biodiversity Strategy and Action Plan 2014 National Parks and Wildlife Conservation Act 1973 Conservation Area Management Rules 1996 National Parks and Wildlife Conservation Rules 1974	
6. Due diligence / due care	
6.1 Due diligence / due care procedures	Legislation requiring due diligence/due care procedures, including, e.g., due diligence/due care systems, declaration obligations, and/or the keeping of trade related documents, etc.
Specific legislation covering due diligence requirements does not exist.	
7. Ecosystem Services	
	Legislation covering <i>ecosystem services*</i> rights, including <i>customary rights*</i> as well as management rights that include the use of <i>legal*</i> methods to make claims and obtain benefits and management rights related to <i>ecosystem services*</i> . National and sub-national laws and regulations related to the identification, protection and payment for <i>ecosystem services*</i> . Also includes <i>legal*</i> business registration and tax registration, including relevant <i>legal*</i> required licenses for the exploitation, payment, and claims related to <i>ecosystem services*</i> (including tourism).
Climate Change Policy 2011 Forest Policy 2015 Forestry Sector Strategy 2015 Nepal Biodiversity Strategy and Action Plan 2014 United Nations Framework Conventions on Climate Change	



Convention on Biological Diversity

National Adaptation Programme of Action 2010

Gender Equality and Social Inclusion Strategy 2009

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AnnexB-1: Training requirements for workers

This list of training requirements is intended for those workers* with specific job responsibilities related to the implementation of this standard. Workers* 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 Labor 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 forestmanagement activities to avoid negative impacts (Criterion 3.5 and Criterion 4.7);
9. Identify where local communities have legal and customary rights related to management activities (Criterion 4.2);
10. Carry out social, economic and *environmental impact assessments** and develop appropriate mitigation measures (Criterion* 4.5);
11. Implement activities related to the maintenance and/or enhancement of declared ecosystem services* (Criterion* 5.1);
12. Handle, apply and store pesticides* (Criterion* 10.7); and
13. Implement procedures for cleaning up spills of waste materials* (Criterion* 10.12).



Annex B-2: Personal protective equipment for workers

Work clothing and protective equipment

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

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

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



Annex C: Additional requirements for ecosystem services

I. General Indicators

- 1) A [publicly available](#) Ecosystem Services Certification Document is developed and includes:
 - I. A declaration of the [ecosystem services](#) for which a promotional claim is being or will be made;
Verifiers: Ecosystem Service Certification Document (ESCD),
 - II. A description of the current condition of the declared ecosystem services;
Verifiers: ESCD, onsite observation
 - III. [Legal tenure](#) to manage, use and/or receive payments for declared ecosystem services;
Verifiers: ESCD, forest management plan
 - IV. [Management objectives](#) related to maintenance and/or enhancement of declared ecosystem services;
Verifiers: ESCD, forest management plan, onsite observation
 - V. [Verifiable targets](#) related to maintenance and/or enhancement of declared ecosystem services;
Verifiers: ESCD, forest management plan, onsite observation
 - VI. Management activities and strategies related to declared ecosystem services;
Verifiers: ESCD, forest management plan, onsite observation
 - VII. Areas within and outside of the [Management Unit](#) that contribute to the declared ecosystem services;
Verifiers: ESCD, forest management plan, onsite observation, maps
 - VIII. Threats to the declared ecosystem services within and outside of the Management Unit;
Verifiers: ESCD, forest management plan, onsite observation, maps
 - IX. A description of management activities to reduce the threats to declared ecosystem services within and outside of the Management Unit;
Verifiers: ESCD, forest management plan, onsite observations
 - X. A description of the methodology used to evaluate the impacts of management activities on the declared ecosystem services within and outside of the Management Unit, based on the FSC Procedure for Demonstrating the Impact of Forest Stewardship on Ecosystem Services;



Verifiers: ESCD, forest management plan, onsite observation, annual reports

- XI. A description of monitoring results related to the implementation of management activities and strategies related to the maintenance and/or enhancement of declared ecosystem services;

Verifiers: ESCD, onsite observations

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

Verifiers: ESCD, onsite observations

- XIII. A list of communities and other organizations involved in activities related to the declared ecosystem services; and

Verifiers: ESCD, onsite observations, stakeholder consultations, interview with organization's executives

- XIV. A summary of [culturally appropriate engagement](#) with [Indigenous Peoples](#) and [local communities](#), related to the declared ecosystem services including ecosystem services access and use, and benefit sharing, consistent with Principle 3 and Principle 4.

Verifiers: ESCD, onsite observations, stakeholder consultations, interview with representatives of IPs

- 2) The results of the evaluation of impacts demonstrate that verifiable targets for the maintenance and/or enhancement of the declared ecosystem services are met or exceeded; and

Verifiers: ESCD

- 3) The results of the evaluation of impacts demonstrate no negative impacts from management activities on the declared ecosystem services within or outside of the Management Unit.

Verifiers: ESCD

1. Management indicators

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

a) All services

- 1) Management indicators for all Ecosystem Services ensure:



- i. [Wetlands](#), savannahs or natural [grasslands](#) are not converted to [plantations](#) or any other land use;

Verifiers: Forest management plan, maps, interview with organization's executives, onsite observation

- ii. Areas converted from wetlands, savannahs or natural grasslands to plantation since November 1994 are not certified, except where
 - a) [The Organization](#) provides clear and sufficient evidence that it was not directly or indirectly responsible for the conversion; or
 - b) The conversion is producing clear, substantial, additional, secure, [long-term](#) conservation benefits in the Management Unit; and
 - c) The total area of plantation on sites converted since November 1994 is less than 5% of the total area of the Management Unit.

Verifiers: Documentation provided to demonstrate the exception

- iii. Knowledgeable experts independent of The Organization confirm the effectiveness of management strategies and actions to maintain and/or enhance the identified [High Conservation Value areas](#). Verifiers: Interviews with forest managers, meeting minutes and records

b) Carbon Sequestration and Storage

- 1) In addition to requirements to maintain [environmental values](#) in Principle 6, and Principle 9 when promotional claims are made regarding carbon sequestration and storage, the following are demonstrated:
 - I. [Forests](#) are identified to be protected due to their carbon stocks, according to the FSC Guidance for Maintaining and Enhancing Ecosystem Services.
 - II. Verifiers: Management plan, maps showing forests area and HCVM management activities maintain, enhance or [restore](#) carbon storage in the forest; including through forest [protection](#) and reduced impact logging practices for carbon, as described in the FSC Guidance for Maintaining and Enhancing Ecosystem Services.

Verifiers: Forest management plan, records, onsite observation

- c) [Biological Diversity Conservation](#)



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

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

Verifiers: Forest management plan, map showing HCV areas, interview with organization's executives

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

Verifiers: Forest management plan, interview with organization's executives, meeting minutes and records

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

Verifiers: Interview with organization's executives, meeting minutes and records

d) Watershed Services

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



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

Verifiers: Forest management plan, maps showing water bodies, interview with organization's executives

- 2) Measures are implemented to maintain, enhance or [restore](#) permanent and temporary [water bodies](#), watercourses, and [aquifers](#);

Verifiers: Forest management plan, meeting minutes and records

- 3) Chemicals, waste and sediment are not discharged into [water bodies](#), watercourses or aquifers; and

Verifiers: Forest management plan, interview with workers handling chemicals and waste, onsite observation

- 4) Management activities and strategies respect universal access to water, as defined in the UN resolution on the human right to water and sanitation

Verifiers: Forest management plan, interview with organization's executives, interview with local communities

e) Soil Conservation

- 1) In addition to measures related to soil in Principle 6 and Principle 10, where promotional claims are made regarding soil conservation, the following are demonstrated:

- i. Vulnerable or high risk soils are identified, including thin soils, soils with poor drainage and subject to water logging, and soils prone to compaction, erosion, instability and run-off;

Verifiers: Forest management plan, maps showing landslide and soil erosion prone areas, interview with organization's executives

- ii. Measures are implemented to reduce compaction, erosion and landslides;

Verifiers: Forest management plan, onsite observation



- iii. Management activities maintain, enhance or restore soil fertility and stability; and

Verifiers: Forest management plan, meeting minutes and records, onsite observation

- iv. Chemicals and waste are not discharged into soil.

Verifiers: Forest management plan, interview with workers on handling chemicals and waste, onsite observation

f) Recreational Services

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

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

Verifiers: Forest management plan, maps showing potential areas for recreation and tourism, interview with organization's executives, onsite observation

- ii. The rights, customs and culture of [Indigenous Peoples](#) and [local communities](#) are not violated by tourism activities;

Verifiers: Forest management plan, interview with indigenous peoples, interview with local communities

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

Verifiers: Forest management plan, meeting minutes and records, interview with organization's executives, interview with tourists, onsite observation

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

Verifiers: Records of accidents, interview with organization's executives, interview with responsible person for H&S of tourists



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

Verifiers: Forest management plan, interviews with local communities, meeting minutes and records

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Annex D: Elements of the management plan.

1. The results of assessments, including:
 - i. Natural resources and [environmental values](#), as identified in Principle 6 and Principle 9;
 - ii. Social, economic and cultural resources and condition, as identified in Principle 6, Principle 2 to Principle 5 and Principle 9;
 - iii. Major social and environmental risks in the area, as identified in Principle 6, Principle 2 to Principle 5 and Principle 9; and
 - iv. The maintenance and/or enhancement of [ecosystem services](#) for which promotional claims are made as identified in Criterion 5.1 and Annex C.
2. Programs and activities regarding:
 - i. [Workers'](#) rights, occupational health and safety, [gender equality](#), as identified in Principle 2;
 - ii. [Indigenous Peoples](#), community relations, local economic and social development, as identified in Principle 3, Principle 4 and Principle 5;
 - iii. Stakeholder [engagement](#) and the resolution of [disputes](#) and grievances, as identified in Principle 1, Principle 2 and Principle 7;
 - iv. Planned management activities and timelines, silvicultural systems used, typical harvesting methods and equipment, as identified in Principle 10;
 - v. The rationale for harvesting rates of timber and other natural resources, as identified in Principle 5.
3. Measures to [conserve](#) and/or [restore](#):
 - i. [Rare and threatened species](#) and [habitats](#);
 - ii. [Water bodies](#) and [riparian zones](#);
 - iii. [Landscapeconnectivity](#), including wildlife corridors;
 - iv. Declared [ecosystem services](#) as identified in Criterion 5.1, and Annex C;
 - v. [Representative Sample Areas](#), as identified in Principle 6; and
 - vi. [High Conservation Values](#), as identified in Principle 9.
4. Measures to assess, prevent, and mitigate negative impacts of management activities on:
 - i. [Environmental values](#), as identified in Principle 6 and Principle 9;
 - ii. Declared [Ecosystem services](#) as identified in Criterion 5.1 and Annex C;
 - iii. Social Values, as identified in Principle 2 to Principle 5 and Principle 9.



5. A description of the monitoring program, as identified in Principle 8, including:
 - i. Growth and yield, as identified in Principle 5;
 - ii. Declared [Ecosystem services](#) as identified in Criterion 5.1 and Annex C;
 - iii. [Environmental values](#), as identified in Principle 6
 - iv. Operational impacts, as identified in Principle 10;
 - v. [High Conservation Values](#), as identified in Principle 9;
 - vi. Monitoring systems based on stakeholder [engagement](#) planned or in place, as identified in Principle 2 to Principle 5 and Principle 7;
 - vii. Maps describing the natural resources and land use zoning on the [Management Unit](#).

Annex E: Monitoring requirements

1. Monitoring in 8.2.1 is sufficient to identify and describe the environmental impacts of management activities, including where applicable:
 - i. The results of regeneration activities (Criterion 10.1);
 - ii. The use of ecologically well adapted species for regeneration (Criterion 10.2);
 - iii. Invasiveness or other adverse impacts associated with any [alien species](#) within and outside the [Management Unit](#) (Criterion 10.3);
 - iv. The use of [genetically modified organisms](#) to confirm that they are not being used (Criterion 10.4);
 - v. The results of silvicultural activities (Criterion 10.5);
 - vi. Adverse impacts to [environmental values](#) from [fertilizers](#) (Criterion 10.6);
 - vii. Adverse impacts from the use of [pesticides](#) (Criterion 10.7);
 - viii. Adverse impacts from the use of [biological control agents](#) (Criterion 10.8);
 - ix. The impacts from [natural hazards](#) (Criterion 10.9);
 - x. The impacts of infrastructural development, transport activities and silviculture to [rare and threatened species](#), [habitats](#), [ecosystems](#), [landscape values](#), water and soils(Criterion 10.10);



- xi. The impacts of harvesting and extraction of timber on [non-timber forest products](#), [environmental values](#), merchantable wood waste and other products and services (Criterion 10.11); and
- xii. Environmentally appropriate disposal of [waste materials](#) (Criterion* 10.12).

2. Monitoring in 8.2.1 is sufficient to identify and describe social impacts of management activities, including where applicable:

- i. Evidence of illegal or unauthorized activities (Criterion 1.4);
- ii. Compliance with [applicable laws](#), [local laws](#), [ratified](#) international conventions and obligatory codes of practice (Criterion 1.5);
- iii. Resolution of [disputes](#) and grievances (Criterion 1.6, Criterion 2.6, Criterion 4.6);
- iv. Programs and activities regarding workers' rights (Criterion 2.1);
- v. [Gender equality](#), sexual harassment and gender discrimination (Criterion 2.2);
- vi. Programs and activities regarding occupational health and safety (Criterion 2.3);
- vii. Payment of wages (Criterion 2.4);
- viii. [Workers'](#) training (Criterion 2.5);
- ix. Where [pesticides](#) are used, the health of [workers](#) exposed to pesticides (Criterion 2.5 and Criterion 10.7);
- x. The identification of [Indigenous Peoples](#) and [local communities](#) and their [legal](#) and [customary rights](#) (Criterion 3.1 and Criterion 4.1);
- xi. Full implementation of the terms in [binding agreements](#) (Criterion 3.2 and Criterion 4.2);
- xii. [Indigenous Peoples](#) and community relations (Criterion 3.2, Criterion 3.3 and Criterion 4.2);
- xiii. [Protection](#) of sites of special cultural, ecological, economic, religious or spiritual significance to [Indigenous Peoples](#) and [local communities](#) (Criterion 3.5 and Criterion 4.7);



- xiv. The use of [traditional knowledge](#) and [intellectual property](#) (Criterion 3.6 and Criterion 4.8);
 - xv. Local economic and social development (Criterion 4.2, Criterion 4.3, Criterion 4.4, Criterion 4.5);
 - xvi. The production of diversified benefits and/or products (Criterion 5.1);
 - xvii. The maintenance and/or enhancement of [ecosystem services](#) (Criterion 5,1);
 - xviii. Activities to maintain or enhance ecosystem services (Criterion 5.1);
 - xix. Actual compared to projected annual harvests of timber and [non-timber forest products](#) (Criterion 5.2);
 - xx. The use of local processing, local services and local value added manufacturing (Criterion 5.4);
 - xxi. [Long term economic viability](#) (Criterion 5.5); and
 - xxii. [High Conservation Values](#) 5 and 6 identified in Criterion 9.1.
3. Monitoring procedures in 8.2.2 are sufficient to identify and describe changes in environmental conditions including where applicable:
- i. The maintenance and/or enhancement of [ecosystem services](#) (Criterion 5.2) (when [The Organization](#) makes FSC promotional claims regarding the provision of [ecosystem services](#), or receives payment for the provision of ecosystem services);
 - ii. [Environmental values](#) and [ecosystem functions](#) including carbon sequestration and storage (Criterion* 6.1); including the effectiveness of actions identified and implemented to prevent, mitigate and repair negative impacts to [environmental values](#) (Criterion 6.3);
 - iii. [Rare and threatened species](#), and the effectiveness of actions implemented to protect them and their [habitats](#)(Criterion 6.4);
 - iv. [Representative sample areas](#) and the effectiveness of actions implemented to [conserve](#) and/or [restore](#) them (Criterion 6.5);
 - v. Naturally occurring [native species](#) and [biological diversity](#) and the effectiveness of actions implemented to [conserve](#) and/or [restore](#) them (Criterion 6.6);



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

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Annex F: Strategies for maintaining High Conservation Values

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.

HCV Framework (To be developed-under progress)

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

Identification of HCV1

1. Description of Best Available Information in the country for identifying HCV1:
2. Description of interested and affected stakeholders:
3. Description of culturally appropriate engagement for identifying HCVs:
4. Examples of rare/threatened / endangered species in the country
5. Geographic areas where HCV1 is likely present:
6. Maps of HCV1 areas in the country:



Strategies for maintaining HCV 1

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

Monitoring HCV1

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



Identification of HCV2

1. Description of Best Available Information in the country for identifying HCV2:
2. Description of interested and affected stakeholders:
3. Examples of HCV2 areas in the country:
4. Geographic areas where IFLs or other types of HCV2 is likely present:

come connected to the implementation of Motion 65 (GA2014), the default IFL protection threshold shall be 80% of the of the *Intact Forest Landscapes** within the *Management Unit*

-
5. Maps of HCV2 areas in the country:
 6. Threats to HCV2 areas in the country:

Strategies for maintaining HCV 2

- 1) Strategies that fully maintain the extent and intactness of the *forest*ecosystems** and the viability of their biodiversity concentrations, including plant and animal indicator species, keystone species, and/or guilds associated with large intact *natural forest*ecosystems**.
- 2) Examples include *protection** zones and set-aside areas, with any commercial activity in areas that are not set-aside being limited to low-*intensity** operations that fully maintain *forest* structure composition regeneration and disturbance*
- 3) Where enhancement is identified as the *objective**, measures to *restore** and reconnect *forest* ecosystems**, their intactness, and *habitats** that support natural *biological diversity** are in place
- 4) The core area of each Intact Forest Landscape* within the Management Unit* is protected, comprising at least 80% of the Intact Forest Landscapes within the Management Unit (Motion 65 - GA2014)



Monitoring HCV2
HCV3 – Ecosystems* and habitats*. Rare*, threatened*, or endangered ecosystems*, habitats* or refugia*.
Identification of HCV3
<ol style="list-style-type: none">1. Description of Best Available Information in the country for identifying HCV3:2. Description of Interested and affected stakeholders:3. Examples of HCV3 ecosystems and habitats in the country:4. Geographic areas where HCV3 is likely present:5. Maps of HCV3 areas in the country:6. Threats to HCV3 areas in the country:
Strategies for maintaining HCV3
<ol style="list-style-type: none">1) Strategies that fully maintain the extent and integrity of rare or threatened <i>ecosystems*</i>, <i>habitats*</i>, or <i>refugia*</i>.2) Where enhancement is identified as the <i>objective*</i>, measures to <i>restore*</i> and/or develop rare or threatened <i>ecosystems*</i>, <i>habitats*</i>, or <i>refugia*</i> are in place.
Monitoring HCV 3
HCV4 – Critical* ecosystem services*. Basic ecosystem services* in critical* situations, including protection* of water catchments and control of erosion of vulnerable soils and slopes.
Identification of HCV4
<ol style="list-style-type: none">1. Description of Best Available Information in the country for identifying HCV4:2. Description of Interested and affected stakeholders:3. Examples of HCV4 ecosystems and habitats in the country:4. Geographic areas where HCV4 is likely present:5. Maps of HCV4 areas in the country:6. Threats to HCV4 areas in the country:



Strategies for maintain HCV 4

- 1) 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.
- 2) 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.
- 3) Where enhancement is identified as the objective*, measures to restore* water quality and quantity are in place.
- 4) Where identified HCV 4 ecosystem services* include climate regulation, strategies to maintain or enhance carbon sequestration and storage are in place.

Monitoring HCV 4

HCV5 – Community needs. Sites and resources fundamental for satisfying the basic necessities of *local communities or *Indigenous Peoples** (for livelihoods, health, nutrition, water, etc.), identified through *engagement** with these communities or *Indigenous Peoples*.**

Identification of HCV 5

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

Strategies for maintain HCV5

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

Monitoring HCV5



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

Identification of HCV6

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

Strategies for maintain HCV6

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

Monitoring HCV6



Annex G: List of rare and threatened species in the country or region

B. Fauna

<i>Scientific Name</i>	<i>Common English Name</i>	<i>Local Name</i>	<i>IUCN Red List Status</i>	<i>CITES Appendix Status</i>
Mammals				
<i>Macaca assamensis</i>	<i>Assam Macaque</i>	<i>Asami Rato Bandar</i>	VU	II
<i>Manis pentadactyla</i>	<i>Chinese Pangolin</i>	<i>Kalo Salak</i>	EN	II
<i>Manis crassicaudata</i>	<i>Indian Pangolin</i>	<i>Tame Salak</i>	EN	II
<i>Caprolagus hispidus</i>	<i>Hispid Hare</i>	<i>Laghukarna K-harayo</i>	EN	I
<i>Canis lupus</i>	<i>Grey Wolf</i>	<i>Bwanso</i>	CR	I
<i>Ursus arctos</i>	<i>Brown Bear</i>	<i>Himali Rato Bhalu</i>	CR	I
<i>Ailurus fulgens</i>	<i>Red Panda</i>	<i>Habre</i>	EN	I
<i>Prionodon pardicolor</i>	<i>Spotted Linsang</i>	<i>Silu Biralo</i>	EN	
<i>Felis bengalensis</i> (<i>Prionailurus bengalensis</i>)	<i>Leopard Cat</i>	<i>Chari Bagh</i>	VU	I
<i>Felis lynx</i> (<i>Lynx lynx</i>)	<i>Lynx</i>	<i>Pahan Biralo</i>	VU	II
<i>Neofelis nebulosa</i>	<i>Clouded Leopard</i>	<i>Dwansa Chituwa</i>	EN	I
<i>Panthera tigris</i>	<i>Royal Bengal Tiger</i>	<i>Pate Bagh</i>	EN	I
<i>Panthera uncia</i> (<i>Uncia uncia</i>)	<i>Snow Leopard</i>	<i>Hiun Chituwa</i>	EN	I
<i>Elephas maximus</i>	<i>Asian Elephant</i>	<i>Hatti</i>	EN	I
<i>Rhinoceros unicornis</i>	<i>Greater One-horned Rhino</i>	<i>Gainda</i>	EN	I
<i>Sus salvanius</i>	<i>Pygmy Hog</i>	<i>Pudke Bandel</i>	RE	I
<i>Moschus chrysogaster</i>	<i>Alpine Musk Deer</i>	<i>Kasturi Mriga</i>	EN	I
<i>Cervus duvauceli</i>	<i>Swamp Deer</i>	<i>Bahrasingha</i>	EN	I
<i>Bos gaurus</i>	<i>Gaur</i>	<i>Gauri Gai</i>	VU	I
<i>Bos grunniens</i>	<i>Wild Yak</i>	<i>Chauri Gai</i>		I
<i>Bubalus arnee</i>	<i>Wild Water Buffalo</i>	<i>Arna</i>	EN	III
<i>Ovis ammon</i>	<i>Great Tibetan Sheep</i>	<i>Nayan</i>	DD	I
<i>Pantholophs hodgsoni</i>	<i>Tibetan Antelope</i>	<i>Chiru</i>	DD	I
<i>Antilocapra cervicapra</i>	<i>Blackbuck</i>	<i>Krishnasar</i>	CR	III
<i>Tetraceros quadricornis</i>	<i>Four-horned Antelope</i>	<i>Chauka</i>	DD	III
<i>Hyaena hyaena</i>	<i>Striped Hyaena</i>	<i>Hundar</i>	EN	
<i>Platanista gangetica</i>	<i>South Asian River Dolphin</i>	<i>Shons</i>	CR	I
Birds				
<i>Buceros bicornis</i>	<i>Giant Hornbill</i>	<i>Raj Dhanes</i>	R	I
<i>Catreus wallichii</i>	<i>Cheer Pheasant</i>	<i>Cheer</i>	R	I
<i>Houbaropsis bengalensis</i> (<i>Eupodotis bengalensis</i>)	<i>Bengal Florican</i>	<i>Khar Mayur</i>	R	I



Lophophorusimpejanus	Impeyon Pheasant	Danphe		I
Ciconianigra	Black Stork	KaloBhundiphor	WV	II
Ciconiaciconia	White Stork	SetoBhundiphor		I
Tropansatyra	Crimson-horned Pheasant	Munal	R	III
Sypheotidesindica (Eupodotisindica)	Lesser Florican	Sano KharMayur	R	II
Grusantigona	Saras Crane	Saras	R	II
Reptiles				
Gavialisgangeticus	Gharial Crocodile	GharialGohi		I
Python molurus	Asiatic Rock Python	Ajingar		I
Varanusflavescens	Golden Monitor Lizard	Sun Gohoro		I

C. Flora

Scientific Name	Common English Name	Local Name	IUCN Red List Status	CITES Appendix Status
Species Banned for Collection, Use, Sale, Distribution, Transportation and Export				
Angiosperms				
Juglansregia	Walnut	Okhar		
Orchislatifolia	Orchid	Panchaunle		
Piccrohizakurroa	Gentian	Kutki		II
Species Banned for Export Except for Processed with Permission of Department of Forests				
Angiosperms				
Cinnamomumglaucescens		Suganda-kokila		
Cordycepsinensis		Yarsagumba		
Rauwolfiaserpentina	Serpentine	Sarpagandha	VU	II
Nardostachys grandiflora	Spikenard	Jatamansi		
Valerianaajatamansii	Valerian	Sugandhawal		
Gymnosperms				
Abiesspectabilis	Himalayan silver fir	TalisPatra	NT	
Taxusbuccata	Himalayan yew	Loth salla	EN	II
Taxuswallichiana	East Himalayan yew			
Taxuscontorta	West Himalayan yew			
Taxusmairei	Himalayan yew			
Bryophyte				
Parmelia spp.	Lichen	Jhyau		
Species Banned for Harvest, Transportation and Export for Commercial Purposes				
Angiosperms				
Acacia catechu	Cutch tree	Khayer		



<i>Bombaxceiba</i>	Silk cotton tree	Simal		
<i>Dalbergialatifolia</i>	Rose wood	Satisal	VU	
<i>Michelliachampaca</i>	Magnolia	Champ		
<i>Pterocarpus marsupium</i>	Indian kino tree	Bijaysal		
<i>Shorearobusta</i>	Common sal	Sal		

Note: IUCN Red List status, CR= Critical Endangered, DD= Data deficiencies, EN= Endangered, VU=Vulnerable, R= Rare, Th=Threatened, NT= Nearly-CITESCITES Appendix Status, I=, List of species that are the most endangered among CITES-listed animals and plants,II=List of species that are not necessarily now threatened with extinction but that may become so unless trade is closely controlled andIII=List of species included at the request of a Party that already regulates trade in the species and that needs the cooperation of other countries to prevent unsustainable or illegal exploitation.



Annex H Guidance documents for small organizations

[FSC Briefing Note 1: Group Certification](https://cn.fsc.org/download-box.148.htm)

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

[FSC Briefing Note 2: Assessment of Environmental Impacts](https://cn.fsc.org/download-box.150.htm)

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

[FSC Briefing Note 3: Evaluating and Monitoring Social Impacts](https://cn.fsc.org/download-box.147.htm)

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

[FSC Briefing Note 4: High Conservation Values](https://cn.fsc.org/download-box.143.htm)

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

[FSC Briefing Note 5: Simply monitoring](https://cn.fsc.org/download-box.149.htm)

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

[FSC step-by-step guide: Good practice guide to meeting FSC certification requirements for biodiversity and High Conservation Value Forests in Small and Low Intensity Managed Forests \(SLIMFs\)](https://cn.fsc.org/download-box.144.htm)

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

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FSC Glossary of Terms

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

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

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

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

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

The following are examples of affected stakeholders:

- Local communities
- Indigenous Peoples
- Workers
- Forest dwellers
- Neighbors
- Downstream landowners
- Local processors
- Local businesses
- Tenure and use rights holders, including landowners



- Organizations authorized or known to act on behalf of affected stakeholders, for example social and environmental NGOs, labor unions, etc.

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

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

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

Aquifer: A formation, group of formations, or part of a formation that contains sufficient saturated permeable material to yield significant quantities of water to wells and springs for that unit to have economic value as a source of water in that region.

(Source: Gratzfeld, J. 2003. Extractive Industries in Arid and Semi-Arid Zones. World Conservation Union (IUCN)).

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

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

Biological diversity: The variability among living organisms from all sources including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are a part; this includes diversity within species, between



species and of ecosystems (Source: Convention on Biological Diversity 1992, Article 2).

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

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

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

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

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

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

Conservation zones and protection areas: Defined areas that are designated and managed primarily to safeguard species, habitats, ecosystems, natural features or other



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

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

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

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

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

Customary rights: Rights which result from a long series of habitual or customary actions, constantly repeated, which have, by such repetition and by uninterrupted ac-



quiescence, acquired the force of a law within a geographical or sociological unit
(Source: FSC-STD-01-001 V4-0).

Dalit: Dalit is defined as “those communities who, by virtue of atrocities of caste based discrimination and untouchability, are most backward in social, economic, educational, political and religious fields, and are deprived of human dignity and social justice” (Nepal Dalit Commission)

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

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

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

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

This list should be adapted or expanded by Standard Developers.

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

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



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

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

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

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

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

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



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

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

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

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

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

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

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

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

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



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

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

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

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

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

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

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

- Old commercial and non-commercial trees whose age noticeably exceeds the average age of the main canopy;
- Trees with special ecological value;
- Vertical and horizontal complexity;



- Standing dead trees;
- Dead fallen wood;
- Forest openings attributable to natural disturbances;
- Nesting sites;
- Small wetlands, bogs, fens;
- Ponds;
- Areas for procreation;
- Areas for feeding and shelter, including seasonal cycles of breeding;
- Areas for migration;
- Areas for hibernation.

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

- HCV1: Species Diversity. Concentrations of *biological diversity** including endemic species, and rare, *threatened or endangered** species, that are significant at global, regional or national levels.
- HCV 2: Landscape-level ecosystems and mosaics. Intact Forest Landscapes, large landscape-level *ecosystems** and ecosystem mosaics that are significant at global, regional or national levels, and that contain viable populations of the great majority of the naturally occurring species in natural patterns of distribution and abundance.
- HCV 3: Ecosystems and habitats. Rare, threatened, or endangered ecosystems, *habitats** or *refugia**.
- HCV 4: Critical ecosystem services. Basic *ecosystem services** in critical situations, including protection of water catchments and control of erosion of vulnerable soils and slopes.
- HCV 5: Community needs. Sites and resources fundamental for satisfying the basic necessities of local communities or *Indigenous Peoples** (for example for livelihoods, health, nutrition, water), identified through engagement with these communities or *Indigenous Peoples**.
- HCV 6: Cultural values. Sites, resources, habitats and *landscapes** of global or national cultural, archaeological or historical significance, and/or of critical cultural, ecological, economic or religious/sacred importance for the traditional cultures of local communities or *Indigenous Peoples**, iden-



tified through engagement with these local communities or *Indigenous Peoples**.

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

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

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

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

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

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



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

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

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

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

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

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

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

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



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

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

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

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

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

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

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



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

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

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

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

Local laws: The whole suite of primary and secondary laws (acts, ordinances, statutes, decrees) which is limited in application to a particular geographic district within a national territory, as well as secondary regulations, and tertiary administrative procedures (rules / requirements) that derive their authority directly and explicitly from



these primary and secondary laws. Laws derive authority ultimately from the Westphalian concept of sovereignty of the Nation State (Source: FSC-STD-01-001 V5-0).

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

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

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

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

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

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

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

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



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

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

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

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

‘Natural forest’ includes the following categories:

- Forest affected by harvesting or other disturbances, in which trees are being or have been regenerated by a combination of natural and artificial regeneration with species typical of natural forests in that site, and where many of the above-ground and below-ground characteristics of the natural forest are still present. In boreal and north temperate forests which are naturally composed of only one or few tree species, a combination of natural and artificial regeneration to regenerate forest of the same native species, with most of the principal characteristics and key elements of native ecosystems of that site, is not by itself considered as conversion to plantations;



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

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

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

FSC has not developed quantitative thresholds between different categories of forests in terms of area, density, height, etc. FSC Forest Stewardship Standards may provide such thresholds and other guidelines, with appropriate descriptions or examples.

Pending such guidance, areas dominated by trees, mainly of native species, may be considered as natural forest.

Thresholds and guidelines may cover areas such as:

- Other vegetation types and non-forest communities and ecosystems included in the Management Unit, including grassland, bushland, wetlands, and open woodlands;
- Very young pioneer or colonizing regeneration in a primary succession on new open sites or abandoned farmland, which does not yet contain many of the principal characteristics and key elements of native ecosystems. This may be considered as natural forest through ecological progression after the passage of years;
- Young natural regeneration growing in natural forest areas may be considered as natural forest, even after logging, clear-felling or other distur-



bances, since many of the principal characteristics and key elements of native ecosystems remain, above-ground and below-ground;

- Areas where deforestation and forest degradation have been so severe that they are no longer ‘dominated by trees’ may be considered as non-forest, when they have very few of the principal above-ground and below-ground characteristics and key elements of natural forests. Such extreme degradation is typically the result of combinations of repeated and excessively heavy logging, grazing, farming, fuelwood collection, hunting, fire, erosion, mining, settlements, infrastructure, etc. FSC Forest Stewardship Standards may help to decide when such areas should be excised from the Management Unit, should be restored towards more natural conditions, or may be converted to other land uses.

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

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

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

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

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

Occupational accident: An occurrence arising out of, or in the course of, work which results in fatal or non-fatal injury (Source: International Labor 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 Labor Organization (ILO). Bu-



reau 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 Labor Organization (ILO). Bureau of Library and Information Services. ILO Thesaurus as provided on ILO website).

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

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

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

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

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

- Areas which would initially have complied with this definition of 'plantation' but which, after the passage of years, contain many or most of the principal characteristics and key elements of native ecosystems, may be classified as natural forests.
- Plantations managed to restore and enhance biological and habitat diversity, structural complexity and ecosystem functionality may, after the passage of years, be classified as natural forests.



- Boreal and north temperate forests which are naturally composed of only one or few tree species, in which a combination of natural and artificial regeneration is used to regenerate forest of the same native species, with most of the principal characteristics and key elements of native ecosystems of that site, may be considered as natural forest, and this regeneration is not by itself considered as conversion to plantations.

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

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

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

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

Protection: See definition of Conservation.

Protection Area: See definition of Conservation Zone.

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

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



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

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

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

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

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

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

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



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

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

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

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

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

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

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

- A designation, classification or recognized conservation status, assigned by an international agency such as IUCN or Birdlife International;
- A designation by national or regional authorities, or by a responsible national conservation organization, on the basis of its concentration of biodiversity;
- A voluntary recognition by the manager, owner or Organization, on the basis of available information, or of the known or suspected presence of a



significant biodiversity concentration, even when not officially designated by other agencies.

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

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

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

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

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

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

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



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

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

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

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

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

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

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

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

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



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

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

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

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

Wetlands: Transitional areas between terrestrial and aquatic systems in which the water table is usually at or near the surface or the land is covered by shallow water (Source: 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 em-



employees as well as self-employed contractors and sub-contractors (Source: ILO Convention C155 Occupational Safety and Health Convention, 1981).

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