

Certification of Community Managed Forests

OTHER ANSAB RURAL DEVELOPMENT TOOLKITS IN THIS SERIES (2010)



BUSINESS PLANNING FOR COMMUNITY BASED NATURAL PRODUCT ENTERPRISES

This Toolkit offers skills, methods and tools with which the field facilitators can support rural people to prepare and implement the business plan for their enterprises. The purpose is to build the capacity of facilitators and enterprise leaders on how they can support a rigorous process of planning and successful operation of sustainable community-based natural product enterprises.



PARTICIPATORY BIODIVERSITY MONITORING IN COMMUNITY MANAGED FORESTS

This Toolkit provides methods and tools needed to generate useful data to periodically assess the biodiversity status and to track the impact of community based forest management on biodiversity. The purpose is to derive important lessons for improving management that promotes the conservation of biodiversity while maximizing the value of forest products and services.



ENTREPRENEURSHIP DEVELOPMENT OF NATURAL RESOURCES DEPENDENT COMMUNITIES

This Toolkit focuses on developing entrepreneurial skills and capacities of local communities, especially the poorest among them, to promote the development of sustainable community based natural product enterprises. The purpose is to provide guidance in developing and implementing programs on developing entrepreneurship skills and culture at the community level.



DEVELOPMENT AND MOBILIZATION OF LOCAL RESOURCE PERSONS

This Toolkit focuses on the process and methods of recruiting, training and mobilizing local resource persons (LRPs) so that development services could be more effectively delivered in rural settings through locally available human resource even beyond the termination of a development project.



MARKETING INFORMATION SYSTEM FOR NATURAL PRODUCTS

This Toolkit focuses on the process of setting up a marketing information system (MIS) program and the methods of collection, processing and dissemination of information on markets and marketing of natural products. The objective is to provide guidance in developing and implementing the MIS for natural products in order to enhance market transparency and good value chain governance.



CHAIN OF CUSTODY CERTIFICATION FOR COMMUNITY FOREST ENTERPRISES

This Toolkit provides field practitioners and program managers with up to date methods, tools and techniques for obtaining and implementing the Forest Stewardship Council's (FSC) Group Chain of Custody certification. The purpose is to enable small companies and cooperatives promote their certified products in national and international markets and get rewarded.



PARTICIPATORY INVENTORY OF NON-TIMBER FOREST PRODUCTS

This Toolkit provides practical methods and tools to determine total stock and harvestable amount of the selected NTFPs and derive specific recommendations for forest management interventions. The objective is to provide participatory inventory method that provides a basis for sustainable forest management.

Certification of Community Managed Forests

ASIA NETWORK FOR SUSTAINABLE
AGRICULTURE AND BIORESOURCES (ANSAB)
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Preface

Rural development presents an immense challenge both to theorists and practitioners in the field. Many rural development and conservation projects end up in utter frustration because they are not equipped with effective methods and tools. ANSAB itself has tried various approaches since its establishment in 1992. We have developed a practical combination of environmental, social and economic interventions that conserve biodiversity, create jobs and provide income for the rural poor in remote but resource-rich areas of Nepal. The encouraging outcomes of these interventions have led us to pursue the successful approaches over the past several years.

By 2009, we were able to organize and develop 393 enterprise-oriented community forest user groups and 1,166 economic entities, which generated US \$6.82 million in annual total monetary benefits to 78,828 individuals and, at the same time, brought over 100,000 hectares of forests and meadows in Nepal Himalaya under improved community management. When applied properly under an enabling policy environment, this approach can transform rural poor women and men into well governed, organized entrepreneurs that are capable of accessing the market as well as essential business development services. By creating economic incentives to local stewards, the approach helps to reverse deforestation and enhance the stock of natural wealth for improved and sustained flow of ecosystem services and for climate change mitigation and adaptation.

Building on these insights, we have been producing a number of manuals, toolkits, and guidelines. This Rural Development Toolkit Series represents the continuation of our attempt to present our learning to a wide range of development practitioners. This Series consists of eight separate but interrelated toolkits. These toolkits offer practical guidance on the key methods and tools that were developed, tested and refined over the years by working with local communities, development partners and government agencies. These capture the experiential knowledge of dozens of people working for ANSAB and are published after a thorough field testing and peer review. These toolkits are primarily designed for field facilitators and managers of development and conservation programs who have some basic facilitation skills and experience of working with rural people. We are hopeful that the toolkits will prove useful to other rural development and conservation programs, and consequently, to a wider application of our fruitful approach. It is expected that users will adapt the methods and tools presented here to work in different social contexts.

This Toolkit “Certification of Community Managed Forests” focuses on group forest management certification. The major objective of the toolkit is to provide important methods and tools for developing and implementing the Forest Stewardship Council’s (FSC) group forest management certification so that the communities achieve a position of getting recognition and rewards for their good

practices, while conserving the forest and biodiversity. This toolkit is divided into 3 stages. A number of steps are suggested for each stage and a number of activities are recommended for each step. Practical tools and considerations are provided along with activities when required.

We are thankful to the blue moon fund (bmf) for providing the grant that allowed us to develop the Series and for encouraging us to translate ANSAB expertise into simple-to-use toolkits. The main contributors of the toolkit are Bhishma Subedi, Shiva Shanker Pandey, Shambhu Charmakar Sushil Gyawali, Nabaraj Panta, Chandika Amagain.

Surya B. Binayee, Walter Smith and Ann Koontz through their work in ANSAB program contributed to the evolution and development of the methodology. A number of ANSAB staff (especially Indu Bikal Sapkota, Ram P. Acharya, and Bishnu Luintel), donors (USAID), partners (EWV, Rainforest Alliance, FECOFUN), NGOs and local communities contributed to this methodology through their involvement in ANSAB programs. Hari Dhungana, an experienced ANSAB technical expert, edited the Series.

We welcome suggestions and feedback from readers and users as we are very much keen on periodically updating the toolkits to make it more productive and useful.

Bhishma P. Subedi, PhD
Executive Director, ANSAB



Acronym

ANSAB	Asia Network for Sustainable Agriculture and Bioresources
CAR	Corrective action request
CBFE	Community Based Forest Enterprise
CF	Community Forest
CFUG	Community forest user group
CoC	Chain of custody
DDC	District Development Committee
DFO	District Forest Officer
FECOFUN	Federation of Community Forest Users, Nepal
FMA	Forest management activities
FMP	Forest management plan
FMU	Forest management unit
FSC	Forest Stewardship Council
GO	Government organization
HCVF	High conservation value forest
LRP	Local resource person
NNN	Nepal NTFP Network
NTFP	Non-timber forest product
P&C	Principle and Criteria
PSFM	Participatory sustainable forest management
RM	Resource manager
SDC	Swiss agency for Development and Cooperation
SFM	Sustainable forest management
SFMA	Sustainable forest management activities
SW/RA	Smart Wood/Rainforest Alliance
TFP	Timber forest product
VMGOS	Vision, Mission, Goal, Objectives and Strategy



Glossary

Accreditation: Official designation of a certifier by FSC as having met all requirements for carrying out assessments and monitoring activities related to the FSC certification

Audit: Verification of compliance with given standards and rules

Auditor: An individual who is qualified and authorized to undertake all or any portion of an evaluation within an accreditation or certification scheme

Certificate: A certificate issued by FSC accredited certification body, validating that a duly identified product, process or service is in conformity with a specific standard

Certification: A procedure by which a third party gives written assurance that a product, process or service conforms to specified standards

Certification body: An organization accredited by the FSC to undertake certification audits under its certification scheme

Chain of custody: The path taken by raw materials, processed materials, finished products, and co-products from the forest to the consumer

Community based forest enterprise: An organized economic activity usually undertaken near the resource base as source of raw materials and planned and operated by members of local community

Community managed forest: Forest in which local people have a primary role in the management and utilization of the resources; in Nepal, it includes community forest, leasehold forest, buffer zone community forest, and collaborative forest

Compliance: Fulfillment of specified requirements by an entity in regard to its products, processes or services

Corrective action request: The formal document, which details non-compliance with the requirements of the certification scheme and specifies actions that must be taken to achieve compliance

Facilitator: A person who supports the local community and other groups to conduct a specific activity or a range of activities primarily in reference to the objectives of a development program

Forest management certification: The certification of a forest operation based on the assessment of the social, environmental and economic aspects of its forest management, as described in the FSC principle and criteria

Forest management unit: A defined forest area with mapped boundaries, managed by a single body with a set of explicit objectives expressed in a self-contained multi-year management plan

Forest management: Forestry operations carried out in a specific area of forest in order to achieve the objectives set by its owner(s)

FSC certified material: FSC Pure, FSC Mixed or FSC Recycled material that is supplied with an FSC claim by an organization which has been assessed by an FSC-accredited certification body for conformity with FSC Forest Management and/or CoC requirements

FSC certified product: FSC certified material that is eligible to carry an FSC label and to be promoted with the FSC trademarks

FSC principles and criteria: The principles and criteria set by the FSC that are used in the assessment and certification of forest management

Group certification: A scheme in which more than one forest operation is certified under a single FSC certificate; the certificate is held by one organization or person on behalf of a group of forest owners who participate in the group

Group member: Forest owner who participates in a group scheme for the purpose of FSC forest management certification

Group organization: The entity that is applying for group certification

High conservation value forests: A forest that contains one or more of the following:
a) significant concentration of biodiversity values (e.g. endemism, endangered species), b) rare, threatened or endangered

ecosystems, or c) provide important environmental services (e.g. watershed protection, erosion control).

Indicator: A quantitative or qualitative variable which can be measured or described, and which provides a means of judging whether a forest management unit complies with the requirements of an FSC Criterion

Non-compliance: Non-fulfillment of a requirement of a standard

Non-timber forest product: All goods of biological origin other than timber, fuel wood and fodder derived from forest, grassland or any land under similar use; includes medicinal and aromatic plants (MAPs); bamboo and rattan; nuts, fruits, tubers and berries; grasses and leaves; resins; insect and insect providers; and wild animals and birds

Principle: A rule or basic premise of forest management

Rare and threatened species: Any species that is likely to be placed in danger of extinction in the foreseeable future in all areas in which such species exists or in a significant portion of its range

Stakeholder: Individuals and organizations with a legitimate interest in the goods and services provided by an FMU, and those with an interest in the environmental and social effects of a forest management unit's activities, products and services



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About this Toolkit

This “Certification of Community Managed Forests” toolkit provides important methods and tools for developing and implementing the forest management certification. Forest certification is a market based tool for sustainable forest management (SFM) that promotes and rewards responsible forest management. It thereby assists the forest managers in accessing rewarding markets for their products, adopt improved conservation and management practices, and provide a global recognition of these practices.

Of various schemes of certification, this toolkit focuses on the Forest Stewardship Council (FSC) certification scheme as it is widely regarded as the most credible scheme that ensures environmentally appropriate, socially beneficial and economically viable forest management systems and practices (Figure 1). Its standards are well recognized by the market and international conservation

community. Forest certification involves initial investments and recurring costs that at times may not be cost efficient for small holders. Therefore, FSC has provided group forest certification scheme and was piloted in Nepal by ANSAB and its partners. This scheme certifies a pool of Forest Management Units (FMUs) under single certificate and distributes the cost among the pool of FMUs. Thus the scheme makes possible for SFM certification.

OBJECTIVES OF THE TOOLKIT

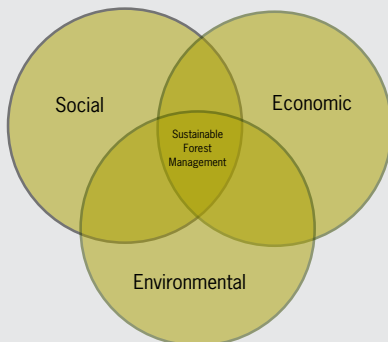
The toolkit provides methods, tools and activities for forest certification to ensure sustainability of community-managed forest and to promote national and international marketing of forest products. The specific objectives of this toolkit are to:

- provide practical tools and techniques for implementing FSC group certification ;
- provide the guidance on setting up of institutional framework of FMUs for certification ; and
- enhance understanding on FSC forest certification in FMUs and other relevant stakeholders.

WHO IS THIS TOOLKIT FOR?

This toolkit is mainly intended for facilitators and organizations who seek to support community forest user groups (CFUGs) on SFM certification and on the marketing of forest products and services in a responsible manner. It is also useful for community groups, researchers, students, and forestry stakeholders who wish to contribute for forest certification.

FIGURE 1: Components of sustainable forest management



WHAT DOES THIS TOOLKIT CONTAIN?

This toolkit contains three stages (*Figure 2*). Stage one describes how to conduct the feasibility study for initiating forest certification activities in community managed forests and to design a forest certification program. The next stage provides steps, activities and tools for making FMUs certifiable under FSC standards and criteria. Finally the third stage presents the detailed process to arrange the third party verification and certification as a continuous process. Each of these stages has been described with examples or cases from Nepal based on the experience of ANSAB.

This toolkit is applicable only for those FMUs that have clear legal ownership and wish to initiate SFM practices. They should

also have abundant and commercially potential forest resources for domestic and international markets.

In addition to this toolkit, the facilitators are advised to refer the other toolkits of this series. These include a toolkit on “Chain of Custody Certification (CoC) for Community Forest Enterprises”, which describes a complete process of CoC most relevant to product marketing with due consideration of SFM; “Participatory Inventory of Non-Timber Forest Products” to assess the stock of NTFPs and work out ways for their sustainable management. Please also refer to the toolkit on “Business Planning for Community-based Natural Products Enterprises” that guides you through supporting natural product enterprise planning and operation.

FIGURE 2: Framework of this toolkit

Conduct Feasibility and Design

- Conduct feasibility for certification
- Analyze the gaps on the policy and define FSC standards in national context
- Develop action plan

Making Forest Management Units Certifiable

- Facilitate to prepare the FMU paperwork
- Facilitate to contact and apply certifying body
- Arrange scoping visit
- Settle contract with certifying body
- Arrangement for final assessment and certification
- Prepare final assessment report, recommendation and certificate to FUGs
- Design post-certification action plan and implementation

Arrange Third Party Verification and Certification

- Conduct “get certified” workshop
- Carry out certification orientation and gap analysis
- Conduct assessor’s certification training
- Develop resource manager policy and implementation
- Support FMUs for FMP preparation or improvement
- FMP implementation
- Internal verification/audit

The first stage of this toolkit has three steps (Figure 3). It guides facilitators to conduct feasibility study and design a FSC forest certification program which is carried out in first year of the program. This stage provides the tools, methods and techniques to conduct feasibility study for a certification program; to analyze gaps in resource manager policy and develop FSC standards suitable for the country; and develop an action plan for the smooth implementation of the program.

FIGURE 3. Step of feasibility and design phase

Conduct feasibility for certification

Define FSC standards in national context

Develop action plan

At the end of the stage, the facilitator will have:

- identified forest sites and products for certification;
- identified FMUs and resource manager; and
- prepared the action plan.

STEP 1: CONDUCT FEASIBILITY FOR CERTIFICATION

1.1 Review national policy, FSC standards, and certification methodology

The facilitator needs to review national forestry policy, latest FSC standards, and

forest certification methodology to develop ideas on certification program. Following are the key documents to be reviewed by the facilitator:

- national forestry policies, guidelines and strategies on forestry sector;
- forestry sector laws, by-laws, and government directives;
- FSC standards on SFM and Chain of Custody (CoC) certification;
- FSC interim certification standards developed for the country (or of another country, if in-country standards are not available);
- documents related to certification: case studies, articles and reports.

This review widens the knowledge of the facilitator. It is helpful for subsequent work on feasibility and program design.

1.2 Prepare the lists of sites and FMUs, products, and potential resource manager

The next step is to prepare preliminary lists on the following three:

- Site and FMUs: what are the potential sites and FMUs where certification program can be implemented?
- Products: what products are available in the above sites or FMUs?
- Resource manager (RM): which organization, individual or company can serve as RM for the identified FMUs and/or products?

These lists are prepared during the visit to district headquarters and through consultation with forestry officials and other agencies involved in SFM facilitation. The lists are useful while selecting the sites

and FMU, product and RM as described below.

1.3 Select the sites and FMU, product and resource manager

The sites/FMUs, products and RM are selected by organizing a national level stakeholder workshop (may even be regional level depending on the scope of work). Individuals from government, non-government organizations, civil society and private organizations (forest based enterprises, buyers) should be invited to the workshop. These are finalized through one or more visit to the site and discussion with

the RM. The selection process should be as follows:

A. Site and FMUs selection

a) Develop prioritization criteria

The certification sites and FMUs should be selected based on a set of criteria (see Box 1). These criteria should be refined in the workshop, by soliciting inputs from participants.

b) Prioritization

The sites/FMUs developed in the list are ranked in priority during the workshop. The program will be more efficient if the FMUs in a cluster (i.e., nearby area) are selected. However, all FMUs of selected sites may not be included in certification pool at the beginning but some can enter into the pool later.

BOX 1: Example of FMUs selection criteria used in Nepal by ANSAB

- Richness of the forest products
- Potential for sustainable management, harvesting and marketing of the products
- Institutional and resource management capacity with the potential to meet FSC standards
- Status and potential of the FMUs already getting external support in institutional and forest management or potential to get such support soon
- FMUs with bigger forest areas or potential for expansion
- FMUs potential for clustering and networking for consolidated supply of NTFPs and coordination for forest management
- FMUs initiated or interested to improve their monitoring and auditing systems
- FMUs showing interest to participate in forest certification and ready to improve their institutional and forest management systems.

The site and FMUs are selected through the attractiveness matrix (Table 1) method. The details of this method are as below:

- Agree to all participants on selection criteria of the site/FMU (revise from above example if needed);
- Orient participants about scoring for the matrix: use Attractiveness Score from 0 to 3, as increasing order of priority of the site/FMU for certification. A score of zero means the FMU is the least attractive for a certain criterion and score of 3 means that it is the most attractive;
- Add scores for all criteria for each of the site/FMU, and the higher the overall score the more attractive the site/FMU; and
- Select those sites/FMUs which receives more scores during the ranking.

TABLE 1: Attractiveness matrix for site selection

SN	SITE/FMUs	ATTRACTIVENESS SCORE						TOTAL SCORE
		Criteria 1	Criteria 2	Criteria 3	Criteria 4	Criteria 10	
1	Site A/FMU 1							
2	Site A/FMU 2							
3	Site A/FMU 3							
4	Site A/FMU 4							
...							
10	Site B/FMU 10							

c) Site visit and finalization

Now the sites/FMUs are selected by consultation with the local stakeholders. The facilitator should visit the sites in the priority order and consult with local stakeholders (i.e. government, non-government, civil society organization and the FMUs and community based forest enterprises-CBFEs). If they show interest and agree on working for certification program, the FMUs and the sites can be finalized. The Box 2 illustrates a case of FMU prioritization by ANSAB.

B. Forest products selection

Another work to be carried out during the workshop is to prioritize and select the products to be certified. For this, the facilitator should ask the workshop participants to use the selection criteria and rank the products in order of priority. The following activities are suggested:

- share the list of products (prepared earlier, as above) with the participants;
- discuss the selection criteria (for example, see the Box 3) in the workshop and refine it, as needed;
- orient the participants on product selection scoring for the attractiveness matrix (see Table 2);
- enter scores suggested by participants in the workshop;

- add up the scores for each of the products; and
- develop the priority rank of products; the product with the highest score is the most prioritized one.

The priority order of the products should be shared with local stakeholders during the field visit (mentioned above). They should be asked to verify whether the ranking is correct and to select the products according to their priorities.

BOX 2: Prioritization criteria used in Nepal for selecting FUGs

Five FUGs each in Bajhang and Dolakha were prioritized at the beginning for piloting because they 1) were producing at least one of the prioritized products (and met the prioritization criteria); 2) had management plans and constitutions in place; 3) were getting technical and capacity building assistance from development agencies; and 4) had some degree of management maturity. In addition those criteria security and accessibility for each sites were also considered.

BOX 3: Example of forest product selection criteria

In Nepal, ANSAB used the criteria for forest product selection as follows:

1. Volume of product
2. International market demand
3. Ecological abundance
4. Local knowledge on harvesting/management systems and technical processing issues
5. Benefits (employment and income) large number of poor rural women and men
6. Potential for sustainable management
7. High value (margin to producers)
8. Potential for value addition locally
9. Resource managed by Community Forest User Groups, management plan and biological monitoring in place

C. Select Resource Manager

The next work is to select the Resource Manager (RM). The RM can be an individual, a company or an organization that has direct relation with FMUs. The facilitator should contact and prioritize the listed individual or organization (as discussed above) on the basis of their interest and readiness; and their compliance to the rules and regulations of the government; and FSC certifying body (see Figure 4). The selected FMUs (or CFUGs) should be consulted about which RM is most appropriate to them.

But if there are no organizations ready for RM, the facilitator should support for the establishment of representative, credible and accountable network or federation (see Box 4). Emphasis should be given to ensure that the interest of RM lies in continuing the certification work in the long run and that RM sees it financially sensible.

D. Select a FSC accredited certifying body

FSC has accredited a number of certifying bodies in the world (See Annex-2 for the details of certifying body and their contacts) for SFM and CoC certification. The facilitator needs to support FMUs and RM to select a FSC accredited certifying body considering the following: 1) credible and well accepted by international markets 2) convenient for communication and cost effective 3) easily accessible (situated at nearby place). In South Asia, there are two active FSC accredited certifying bodies: SGS and SW/RA. ANSAB facilitated the RM to select SM/RA Asia-Pacific Office in Bali, Indonesia as it was found credible and well accepted in international markets and it was convenient for communication.

STEP 2: DEFINE FSC STANDARDS IN NATIONAL CONTEXT

The second step is to analyze the major gaps on the policies and develop national FSC standards using the generic FSC principles and criteria (see Annex 1). The facilitating organization can either work with a certifying body to develop interim

FIGURE 4: Requirement for RM

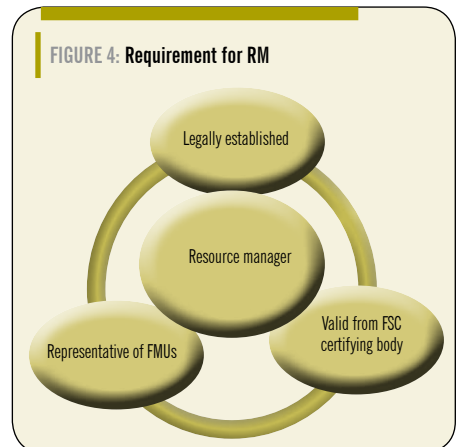


TABLE 2: Attractiveness matrix for product selection

SN	SPECIES/PRODUCT	ATTRACTIVENESS SCORE						TOTAL SCORE
		Criteria 1	Criteria 2	Criteria 3	Criteria 4	Criteria 10	
1	Species 1							
2	Species 2							
3	Species 3							
4	Species 4							
...							
20	Species 20							

The interim national standards or national standards need to be updated according to generic indicator under new principles and criteria developed by FSC.

national standards or establish a national FSC working group. The latter takes a longer time and costs greater than the former. While it would be worthwhile to establish a national working group for the long term but for the initial certification process, the certifying body can be helpful to facilitate the process. To develop the national standards, following activities are carried out:

BOX 4: RM in Nepal

The central FECOFUN, a national federation of forest users of across Nepal and dedicated to promoting and protecting users’ rights, had shown interest in forest certification program led by ANSAB. It was selected as a Resource Manager (RM) and therefore is a certificate holder on behalf of the CFUGs in the certified pool.

A. Organize a national stakeholder workshop

- Orient group about the FSC certification, its standard formation process and requirements on standards.
- Form a FSC national working group with the balanced representation of social, economic and environmental interest; (consider personnel from concerned government organization, non-government and civil society organization and private organizations).
- Facilitate FSC working group to draft national standards: the FSC working group drafts it through reviewing rules and regulation of the country and FSC principles and standards used in similar context. Similarly the team reviews national documents i.e. law, regulation and strategies. Based on those review and consultation with stakeholders and FSC, the team defines the FSC standards in

Decide first whether to develop interim national standards by certifying body or to proceed with national working group and wait until national standards are approved by FSC.

If the FSC standards have been already defined in national context, the exercise on the standards is not necessary.

national and local context.

B. Get inputs from a wide consultation for getting inputs while working on national standards

- Hold small workshops.
- Circulate emails to solicit inputs
- Develop working groups, if necessary, to work on certain aspect of the standards.

C. Finalize the national standards

- Collect inputs and comments from three chambers representing social, economic and environmental interest
- Incorporate the inputs on draft standard
- Support working group to test the standard in the field and finalize the national standard receiving feedback from field testing as well as local and national stakeholders

- Finalise the standards through stakeholders' workshop

D. Requests FSC for the approval the interim standards through the CB

STEP 3: DEVELOP AN ACTION PLAN

After having defined FSC standards in the national context, the facilitator should work out the roles and responsibilities of the stakeholders involved in the certification program (FMU, RM, enterprise and buyers, other national and local stakeholders). For this, the following activities are carried out:

- organize stakeholder consultation workshop (with personnel from government, civil society and private organization – enterprise and buyers) to identify the activities for forest certification;
- develop a list of the activities to be done in the whole process of the forest certification;
- define and finalize the role of various stakeholders on the above activities from the workshop;
- orient the participants for carrying out the responsibilities;
- finalize the action plan (for example, see Table 3) and agree on how to monitor progress.

TABLE 3: Sample of action plan

SN	ACTIVITIES	RESPONSIBLE STAKEHOLDERS	TIME
1.	Development of NTFP interim standards	Certifying body and Facilitating organization	Jan
2.	Capacity building of resource manager	FO and RM	Feb-April
3.	Develop resource manager's policy	FO, CB and RM	Feb-March
4.	Capacitate FMUs to meet FSC standards and train them on sustainable harvesting and management	FO, RM	April-August
5.	Technical assistance for enterprise development and planning	FO and RM	April-Dec
6.	Product development and marketing	FO, RM and FMUs	April-Dec
7.	Internal audit and reporting	RM	December
8.	Application and preparation of final assessment	RM, FMUs and FO	Jan
9.	Final assessment, reporting and certification	CB	Feb
10.	Annual audit	RM	Next year

Once the feasibility and design phase is completed, the next stage is to make the forest management units (FMUs) certifiable. This stage has eight steps (Figure 5).

At the end of this stage,

- FMUs and main stakeholders become aware of the requirement and process of getting certified as well as gaps in forest management plan (FMPs) to meet FSC certification standards;
- RM policy is developed;
- FMPs are improved; and
- technical and institutional capacity of RM, FMUs, and local communities is enhanced.

FIGURE 5: Steps for making FMUs certifiable



STEP 1: CONDUCT "GET CERTIFIED" WORKSHOP

The "Get certified" workshop-cum-training is organized for national level stakeholders. This workshop can be designed and facilitated with assistance of FSC certifying body, if required. This workshop's main objectives are to:

- 1) provide an understanding of the FSC certification process;
- 2) provide detailed procedure of how to get certified;
- 3) identify potential barriers to FMUs in attaining certification;
- 4) understand existing national standards or to develop interim national standards or new standard by FSC;
- 5) help participants develop some auditing skills; and
- 6) choose a group certificate holder (i.e. RM) and potential FMU operations.

The main contents includes: a) a history, structure and accomplishments of FSC and the specific certifying body; b) a discussion of FSC markets and certification benefits; c) an overview of the Forest Management (FM) certification standards including FSC Principles and Criteria (P&C) and other FSC policies, d) an overview of the Chain of Custody (CoC) certification standards and FSC policies; e) the field assessment process; f) the field assessment protocols and data collection techniques; and g) data analysis, synthesis and report writing.

STEP 2: ORIENT CERTIFICATION AND ANALYZE GAPS

At this step, orientation and gap analysis sessions are carried out at district and local levels. There are four activities.

2.1 Orientation to RM, district level stakeholders, LRP and FMU leaders

One or more (depending on the scale of the program) orientation sessions are organized for district level stakeholders. The purpose is to create common understanding on certification process and interim FSC standards. The facilitator should carry out the following:

- discuss and develop session plan. The session plan should be developed from

BOX 5: Contents for orientation

- Forest certification basics
- FSC standards for forest certification
- Forest group certification process and requirements
- Potential benefits from the group forest certification
- Resource manager responsibilities
- FMU's responsibilities;
- FSC Group certificate policies

- the contents (for example, see Box 5);
- fix the time and place of orientation and invite the participants from local stakeholders and orient them properly;
- provide orientation to the executive members of FMUs on the site; and
- conduct orientation on certification in interest group level of each FMU.

2.2 Assess the RM capacity/needs

For group certification, RM needs certain capacity on forest management, institutional development, or monitoring and communication (see Table 4). The facilitator assesses the capacity or need of RM. The assessment is carried out during the orientation sessions and with participant inputs.

2.3 Orientation on certification and gap analysis at FMU level

Orientation on certification is already provided to some leaders of FMUs. But further orientation sessions are necessary

TABLE 4: Example of capacity needs assessment

MAIN CAPACITY INDICATORS	EXISTING STATUS	SUPPORT/IMPROVEMENT NEEDED
Monitoring	Insufficient system	Need to be improved
Recording	Not properly done	Enhance the recording skill
Reporting	Less satisfactory reporting mechanism	Strengthening of reporting system
Communication with FMUs	Less practicable communication system	Identifying and strengthening the practicable communication system
Basis of representation and accountability	OK	Nothing need to be done
Knowledge on sustainable forest management and certification	Insufficient knowledge	Training and awareness program for sustainable forest management and certification
Accounting system	OK	Nothing need to be done
.....		
Human resources	Insufficient	Support and empower to recruit the human resources

at the FMU level for FMU executive committee members and hamlet leaders. In these sessions, FMU level gaps analysis is also carried out. The analysis focuses on forest management system, recording, accounting and fund mobilization practices against FSC principle and criteria. The followings are the main activities:

- organize an executive committee meeting for orientation and gap analysis at the FMU level;
- study their forest plan and draw out the gap regarding the FSC standards in each FMU;
- assess the practices of recording, accounting, monitoring and follow up system; and
- discuss with participants and record the status and gaps against existing and newly developed FSC indicators and work out what is required to do to fill the gap (for example, see Table 5 and Box 6).

2.4 Orientation and gap analysis at Community level

“Orientation and gap analysis” is further

It is not possible to orient the community with just an event. The orientation is needed at hamlet/interest group/occupational group level.

carried out by the facilitator and RM with community members at FMUs. The checklist for these community-level sessions is provided in next page. The gaps are analyzed with different PRA tools like key informants interview, focused group discussion, and observation.

STEP 3: CONDUCT ASSESSOR’S CERTIFICATION TRAINING

At the third step, a three-day assessor training workshop is conducted in order to prepare assessors for internal audit. For this, facilitator and RM arrange trainers from the certifying body. The trainees are selected from professionals having expertise in social, economic and environmental

TABLE 5: Example of gap analysis at FMU level (Nepal CFUG example)

SN	FSC INDICATOR	EXISTING PROVISION	WHAT IS REQUIRED
1.	Existence of management plan	Yes but not clear on sustainable forest management	Develop management plan considering FSC P & C
2.	Indigenous people rights	Not addressed	Incorporate the indigenous people rights over the forest resources in FMP
3.	High conservation value forest	Not mentioned	Mapping of high conservation forest Incorporate the provision of high conservation value forest
4.	Habitat conservation	Not mentioned	Mapping and incorporate provision in FMP
.....			
20	Conservation of rare and endangered species	Not mentioned	Mentioned with detail management provision

Note: The latest FSC indicators have to be referred to during the gap analysis.

BOX 6: Gaps analysis checklist used in Nepal by**■ Institutional aspects**

1. Management objectives and priorities (natural or plantation) of FMA/SFMA
2. Resource access and tenure rights
3. Management contracts for NTFPs
4. Position of use rights-primary and secondary
5. Forest management practices in terms of NTFPs
6. Resource agreements and relation with adjacent settlements for NTFP management

■ Resource management and environmental aspects

1. Forest management plan - operational management plan with management objectives
2. Mapping of management with focusing rattan and other NTFPs
3. Forest resource assessment including rattan
4. Growing stock harvestable amount
5. Harvesting intensity
6. Regeneration management
7. Domestication potentials and cultivation/nursery practices
8. Resource monitoring mechanism
9. Incorporation of other species into operational management plan
10. Situation of other fertilizer and pesticide use
11. High conservation value forest in management regimes
 - provision for rare, endangered and threatened species
 - list of red listed species
 - habitat of rare and endangered species
 - natural old growth stands
 - waterholes and high slopes areas
 - social and cultural significant areas
 - mapping of all significant areas
12. Harvesting of non-commercial species

13. Environmental impact assessment provisions for the resource management and enterprise development
14. Management concentrations (e.g. monoculture, multiple species, multi-storey)

■ Social and economic aspects

1. Definition of "Indigenous People" in national and local context
 - lists of indigenous people
 - indigenous peoples and their right in NTFP collection and sale
 - use of traditional knowledge and compensation mechanism
2. Workers rights and safety measures while in NTFP management and enterprise operation
 - authority of decision making
 - status of decision making on resource management and distribution
 - grievances procedures for the workers
 - benefits/opportunity distribution pattern
 - health hazards consideration and safety measures
 - provision for training to the workers
3. Level of community participation in decision making regarding NTFP management
 - status of community participation
 - decision making processes for the NTFP management and benefit sharing
4. Equity and governance along the value chain of NTFPs
 - value chain actors, their numbers, functions and characteristics as well as skills and technology
 - benefit distributions among the value-chain actors (prices, margins)
 - focus on poverty alleviation
 - status of opportunity distribution over women and disadvantage groups
5. Financial feasibility of the NTFP management
6. Priority to value addition of NTFP and local processing while feasible

areas, who are affiliated to the facilitating organization, RM, government and non-government organizations, universities, or freelancers. The training prepares the assessors and auditors in the country and provides the practical knowledge and skill on assessment and auditing process. Box 7 presents an example of the main contents of assessors' training.

BOX 7: Contents of assessors' training

1. Team working skills and team decision making processes
2. A history, structure and accomplishments of the and the FSC and certifying body
3. A discussion of the benefits of FSC
4. An overview of the FM certification standards including both the FSC P&C and the Smart Wood NTFP Nepal Interim Guidelines
5. The field assessment process
6. Field assessment and data collection techniques
7. Data analysis and synthesis
8. Mock field assessment
9. Stakeholder interviewing techniques, and
10. Report writing

STEP 4: DEVELOP RESOURCE MANAGER POLICY AND IMPLEMENTATION

After the selection of RM, the facilitator should support the RM to develop RM policy. The policy includes RM's role and responsibilities in SFM and its implementation. For this, consult with national and local stakeholders (government, non-government organizations, civil society and enterprises, buyers, FMUs) including selected RM, review the national policy and FSC

standards. The RM policy must include the basis of the RM's policy, forest management guidelines, and the roles and responsibilities of RM. Box 7 provides the synopsis of content, and methods of RM policy development. A RM policy developed with ANSAB's support is given in Annex 3.

The RM must follow the guidelines from the certifying body and maintain its complete and up-to-date records covering all applicable requirements of FSC standards. These include:

- list of names and contact details of group members, together with dates of entering and leaving the group and the type of forest ownership per member;
- any records of training provided to staff or group members, relevant to the implementation of the standard or the applicable FSC Standard;
- a map showing the location of the member's forest properties, identifying outstanding environmental and social features, considering any confidentiality issues;
- evidence of consent of all group members;
- documentation and records regarding recommended practices for forest management;
- records demonstrating the implementation of any internal control or monitoring systems;
- the date of any members entering or leaving the group and an explanation of the reason; and
- records of the estimated overall annual production and sales of the group.

BOX 8: Synopsis of RM policy developed with the facilitation of ANSAB

- Basis of RM policy (how it was developed?)
- Vision, Mission, Goals, Objectives and Strategies (VMGOs) of RM towards forest management
- Policy of sustainable forest management
- Roles and responsibility of RM on certification of FMUs
- Procedures of carrying out the given roles and responsibilities: the major responsibilities are
 - Facilitation and support to FMUs on operational plan preparation; implementation; collection and sharing of information on forest certification.
 - Member FMUs are made to give optimum consideration in the social, economic and environmental aspects in forest management process.
 - Monitoring and evaluation of the FMUs and regular feedback.
- The monitoring methods of carrying out the following activities incorporated in RM policy
 - a) The meeting of the group
 - b) The general assembly of the group
 - c) The study and analysis of the record book of the group
 - d) Field survey and practice of the forest management
 - e) Direct visit to the users and working committee
- Internal audit, reporting and facilitation process for certification.

STEP 5: DEVELOP CERTIFICATION POOL

The next step for the RM is to provide membership to the interested FMUs which have adopted SFM practices. The facilitator encourages the appropriate FMUs to make an application to the RM to be included in certification pool. The application form used in Nepal is given in Box 9. A copy of each of the following documents should be attached with the application:

- the FMUs registration certificates;
- the forest hand over certificate;
- approved constitution and forest management plan;
- recent annual progress report; and
- recent audit report

The RM assesses the applications received from the FMUs and selects the qualified ones for forest certification pool. RM may revoke the membership of the FMU that works against the agreed plans.

STEP 6: SUPPORT FMUs FOR FMP PREPARATION OR IMPROVEMENT

The sixth step of stage two of this toolkit is to develop a model forest management plan (FMP) and subsequently to prepare FMPs for all the selected FMUs. Followings are the activities for FMP preparation.

6.1 Develop model FMP
A. Select a FMU for model FMP

One FMU is selected for model FMP preparation from the proposed certification pool. The facilitator and RM

Box 9: Group member's application to the RM to participate in forest certification group (Format used by CFUG in Nepal)

Date :.....

.....Community Forest Users Group
.....District
V.D.C. / MunicipalityWard No. (Address)

Registration number

To The Federation of the Community Forest Users (FECOFUN)-RM
Old Baneshwor, Kathmandu, Nepal.

Subject: Interest to participate in the forest certification group.

In reference to the above mentioned subject our community forest group is ready to work under the rules produced by Forest Stewardship Council on the sustainable forest management and under the policy and principles of FECOFUN; and we are ready to be observed on the environmental, economic and social aspects prescribed by the FSC. Along with this, we also commit for our group to be audited each year. With these commitments, we are applying for our involvement in the forest certification group.

We have attached our relevant documents with this document.

For the community forest user group
Chairman
Name.....

Signature.....
Address (With Stamp)

follow the following criteria to identify the model FMU:

- FMU is physically accessible to the members of other FMUs
- Is more advanced amongst the FMUs in social, institutional and management aspects

Once the FMU is selected, existing forest management plan, records and reports maintained by the FMU is collected and reviewed by RM and facilitating organization.

B. Develop the model FMP through a write shop

The model FMP's content can be developed by organizing a one-day writeshop in district level. The participants include personnel from government, non-governmental organizations, representing social, economic and environmental areas. The content of the model FMP is prepared with participants inputs by referring to Box 10 (which was used by ANSAB).

BOX 10: Content of forest management plan (an example from Nepal)**CHAPTER-I**

Introduction

Introduction of User Group

Procedure and process of Forest management operational plan

1.1 Description of the Community Forest

1.2 Introduction of the forest

1.3 Name of the forest

1.4 Location of the forest

1.5 Boundaries of the forest

1.6 Area of the forest

1.7 Geographical condition of the forest

1.8 Religious and cultural condition of the forest

1.9 Type of the forest

1.10 Present condition of the forest

1.11 Objectives of forest management

1.12 Long term objectives

1.13 Short term objectives

1.14 Historical background

Changes in forest management

CHAPTER-II

Arrangements regarding environmental impact assessment

2.1 Arrangements regarding water sources

2.2 Arrangements regarding felling and collection of the forest products

2.3 Religiously and culturally important areas

2.4 Pesticides regarded arrangement

CHAPTER-III

Description of the resource survey, inventory and forest products

3.1 Introduction to the forest resource survey

3.2 Map of the forest

3.3 Forest resource observation

3.4 The description and the utilization of the timber and non timber species

3.5 The stock of the forest products and the summary regarding to annual estimate growth

3.5.1 The stock summary of the timber, firewood and fodder

3.5.2 The stock summary of the non timber forest product

3.6 Section division and description

3.6.1 Name of the area

3.6.1.1 Section-1

3.6.1.2 Section-2

3.6.1.3 Section.....

CHAPTER-IV Forest management and utilization

4.1 The position of demand and supply of the forest products

4.2 Firewood

4.3 Timber management

4.4 Leaf- titter management

4.5 Grass management

4.6 Pasture land management

4.7 Reproduction management

4.8 Fodder management

4.9 Medicinal plants and non timber forest products management

4.10.1 Management of species 1

4.10.2 Management of Species 2

4.10.3 Management of species 3

4.10.4 Other medicinal plant management

4.11 Nursery management

CHAPTER-V The collection and sales and distribution of the forest products

5.1 Grass

5.2 Litter leaf

5.3 Fodder

5.4 Firewood

5.5 Timber

5.6 Timber for the agricultural tools

5.7 Timber and firewood for disaster

5.8 Timber for development

5.9 Charcoal

5.10 Pasture land

5.11 Medical plant / Non timber forest products

BOX 10: Content of forest management plan...

CHAPTER-VI: Forest products business development

CHAPTER-VII: Highly valued forest area and biodiversity conservation

- 7.1 Introduction to the biodiversity
- 7.2 The condition of the biodiversity
- 7.3 The challenges of the biodiversity conservation
- 7.4 The strategy of the biodiversity conservation
- 7.5 To contain the communal register regarding to biodiversity
- 7.6 Biodiversity monitoring

CHAPTER-VIII: Management regarding forest conservation

- 8.1 Daily monitoring and superintendence of the forest
- 8.2 Conservation and control from firing
- 8.3 Conservation of the wildlife residence
- 8.4 Hunting control
- 8.5 Soil and water management
- 8.6 Wildlife conservation
- 8.7 Reproduction conservation
- 8.8 Stone, soil and sand conservation
- 8.9 Management of the conservational education
- 8.10 Deforestation control
- 8.11 Conservation from shifting cultivation
- 8.12 Other forest production

CHAPTER-IX: Provisions regarding punishment

- 9.12 Fire
- 9.13 Deforestation
- 9.14 Soil and water
- 9.15 Wildlife

- 9.16 Girdling of the tree
- 9.17 Seedling and sapling
- 9.18 Stone, soil, rock, sand and minerals
- 9.19 Fodder
- 9.20 Firewood
- 9.21 Timber
- 9.22 Medicinal plant
- 9.23 Reproduction / pastor land
- 9.24 Misuse of the fund
- 9.25 Absence in the group work and forest management programme

CHAPTER-X: Institutional development

- 10.1 Mobilization of the fund
- 10.2 Account / record keeping
- 10.3 Informative person
- 10.4 Development of network with other CFUG
- 10.5 Coordination with other government and non government organization

CHAPTER-XI: Miscellaneous

- 11.1 Rate conformation of Damage
- 11.2 Auction and selling of the forest products
- 11.3 Role of the forest office
- 11.4 Role of the other organizations
- 11.5 Ownership on land
- 11.6 Monitoring of community forests
- 11.7 Management of the banned forest products
- 11.8 Management regarding to awards

CHAPTER -XII: Annexes

C. Plan with FMU executive committee for the model FMP preparation

An FMU executive committee meeting is organized for preparing a model FMP. In the meeting, the facilitator discusses the identified gaps on the systems and practices. This meeting also prepares the action plan (Table 6) for model FMP preparation.

D. Carry out forest resource inventory and assessment

The facilitator should support FMUs to carry out resource inventory and assessment. The main purpose is to provide the FMU with technical inputs on resource stock and management and harvesting prescriptions. The collected information should be analyzed in a way consistent with requirements. Please refer the *Inventory Guideline* by Department of Forest, Nepal and *Toolkit on Participatory Inventory of Non-Timber Forest Products* in this series.

E. Endorse the provision at hamlet/interest group level

Meetings are held with different groups in the FMU such as with hamlet members, herders, pastoral communities, fuel wood and timber collectors, NTFP collectors, NTFPs processors, and poor and marginalized groups. The number of these meetings in each FMU varies

depending on the size and heterogeneity in the FMU. In the meeting, the results of resource inventory are shared and particular needs of these groups are discussed. These are then developed into provisions of FMP for incorporation into the FMP.

F. Prepare the draft forest management plan

The facilitator works with the FMU executive committee to prepare a draft FMP. It is mainly based on discussion with different groups, inventory, and the FSC standards. The FMP is developed with reference to the contents presented in Box 9.

G. Endorse FMP from assembly and get approval from government authority

The FMUs are supported for organizing the general assembly to discuss and endorse the provision made in the FMP. The FMU should make sure that male and female members and several groups in the FMU are present in the assembly. In the assembly, the facilitator presents the draft provisions of FMP and supports discussions for taking up advice, and gets endorsement for the FMP provisions from assembly.

After endorsing from assembly, the facilitator and FMU executive committee finalize FMP text. The FMP is then sent to concerned government authority for approval. If the government agency

TABLE 6: Sample of action plan for model plan preparation

SN	ACTIVITIES	RESPONSIBLE STAKEHOLDERS	TIME
1	Forest (NTFPs) inventory, analysis and interpretation	Facilitating organization, FMUs	
2	Hamlet, Interest/occupational group discussions		
..			
10	Endorse from general assembly and approve from concern authority	FMUs, DFO, facilitating org.	

provides suggestions, they should be complied with during the implementation of FMP.

6.2 Carry out same process to develop FMP in other FMUs

When a model FMP is developed for an FMU, the facilitator should follow the same process to develop FMP for all selected FMUs.

STEP 7: IMPLEMENT THE FMP

The FMUs are mainly responsible for implementing the FMP. The facilitator and RM should provide continuous support to each FMU to evaluate implementation against the plan and correct if there have been discrepancies. For effective and efficient implementation of FMP, following activities should be carried out.:

7.1 Provide orientation on FMP

There should be orientation sessions at the FMU level after the FMP is approved. It helps developing common understanding on the FMP and the suggestions from government agencies (if available). For this, separate sessions are held as following:

- FMU executive committee meeting
- Meeting at hamlet level (including various interest and occupational groups).

7.2 Support FMUs to develop detailed annual plan

The FMU executive committee is supported to develop the detailed action plan based on the provisions made in the FMP. The action plan has to be prepared with consideration of the local and cultural practices (like festivals, peak season of agriculture farming). Similarly, action plan should include the answers of few wh-questions like what, when, how, for whom, by whom and where to be done? A sample of action plan is given in Table 7.

7.3 Set up mechanism and implement annual plan

Implementation of action plan involves capacity enhancement of the FMUs for SFM. They need regular facilitation and technical support to establish community based forest enterprises; equitable benefit distribution within the FMUs and linkage for national and international marketing of the certified products. Furthermore, the FMUs should develop mechanisms to fulfill social, economic and environmental criteria of FSC. These can be addressed by agreeing a mechanism/process between the FMUs, facilitator and RM for supporting activities that are locally most suitable. An example of activities carried out by ANSAB is given in Box 11.

TABLE 7: Sample of action plan of FMUs

SN	ACTIVITIES	RESPONSIBLE STAKEHOLDERS	TIME
1	Committee meeting	FMU executive committee	
2	General assembly	FMU executive committee	
3	Forest management activities	Executive committee and groups	
..	
10	Capacity building of the community members	FMUs and Facilitating organization/ Government organization	

BOX 11: Activities for forest certification facilitated by ANSAB in Nepal**ECONOMIC DEVELOPMENT**

- Identified the small and micro enterprise options on forest products, mainly NTFPs
- Provided technical and facilitation support to implement community based forest enterprise development
- Facilitated to make a plan of fund allocation within FMUs (well being ranking of users within FMUs) and subsidized to poor and marginalized section of the society
- Facilitated to fetch the better price of the product in national and international market
- Facilitated to allocate the forest land for poor and marginal groups for micro enterprises activities
- Facilitated to develop monitoring and recording of fund management and benefit sharing in FMUs

SOCIAL DEVELOPMENT

- Identified the interest groups and poor (NTFPs collectors, wood cutter, livestock rarer, women and socially backwarded groups)
- Divided the user groups in various groups based on geography and economic class
- Enhanced awareness and knowledge of forest users on sustainable forest management and FSC forest certification
- Established and strengthened the equitable benefit distribution system
- Enhanced the access of poor to forest resources and other benefits
- Promoted inclusive decision making

MECHANISM FOR IMPLEMENTATION

- Sub group –for enterprise activities.
- Subcommittee: fund mobilization
- LRP's development: 2 LRPs in each community forests for facilitation these scheduled activities

process

- Facilitated for coordination with stakeholders and support to bring the synergy effect on social development
- Made clarity and improvement in community participation and consideration of indigenous people's rights
 - Monitoring and record keeping of harvesting and high conservation value forest (HCVF) and fund
 - Various interest groups supported to design and implement forest development and management operations seeking support from FUG, DFO and NGOs.
 - Facilitated FMUs to document the actions implemented for forest and community development.
 - Provided regular support to mobilize group, conducted meetings, designed program, and business plan and make decisions.

ENVIRONMENTAL DEVELOPMENT

- Developed and incorporated the sustainable harvesting plan in management plan of FMUs
- Determined the conservation area for conserve the rare and endangered species habitat
- Facilitated for identification and management of high conservation value forest (HCVF) areas
- Facilitated to delineate and conserve water body, fragile land, landslide potential area
- Supported to make detail action plan of anthropogenic threats minimization
- Facilitated to incorporate a detailed biodiversity monitoring provision in FMP
- Enhanced harvesting skills in community members through training and regular coaching

In addition, the facilitator needs to support FMUs and RM to keep up to date records of all decisions and activities in the formats given in the RM policy.

STEP 8: CARRY OUT INTERNAL VERIFICATION/AUDIT

Based on guidelines provided during assessors training, the RM conducts internal assessment at the beginning and audit at least once a year (Box 12). The RM does the following activities.

- develop action plan and communicate FMUs for internal audit;
- organize the FMU executive committee meeting;
- assess and audit the accounting and record keeping system of FMUs;
- assess the systems and practices carried out for forest and community management as per the provisions made in FMP; and
- prepare internal audit report (see the contents in stage 3 of this toolkit). The RM may provide corrective action requests (CARs) for FMUs if needed.

BOX 12: Major activities of internal verification and audit

- Verification of the system and practice of sustainable forest management in FMUs
- Documentation for final audit or third party assessment
- Determination of readiness of FMUs for certification
- Provide feedback and recommendation to FMUs

Methods of internal verification and audit

- Review of document and plan
- Field visit (community and forest)
- Key informant interview
- Informal discussion
- Systematic examination of documents and records of FMUs

The facilitator organization needs to support RM during internal assessment if necessary and supports FMUs to conduct SFM activities against the CARs provided in internal audit.

Stage Three

Arrange Third Party Verification and Certification

This stage concerns with arranging the third-party verification and certification under the SFM certification program. This stage leads to get certification from FSC and it consists of seven steps (Figure 6). These steps require working closely with RM, FMUs and the certifying body to ascertain coordination and communication between them.

FIGURE 6: Steps for third party verification and certification



STEP 1: PREPARE THE FMU PAPERWORK

The first step to proceed for verification and certification is to prepare the paperwork of the FMUs. The RM carries out the internal assessment of FMUs and determines whether the FMU is ready for final assessment or not. If an FMU is not ready, the RM provides feedback for improvement and paperwork is not immediately necessary. But if the FMUs are ready for final assessment, the RM should guide them to prepare the paperwork (Box 13). Similarly, the RM should host the audit team and

assist them in making a fair, thorough, and accurate evaluation. However, in the pilot period, facilitating organization itself might have to host the audit team. For that, the following activities should be carried out:

- designate a contact person that will be the organization's liaison with the certifying body and the team leader;
- work with certifying body in developing the audit schedule and local accommodation and team visits;
- provide certifying body with a list of stakeholders for interviews;
- collect all documents and maps requested by the audit team and provide to the team. The documents are forwarded to the team before the field audit; and
- inform relevant staff members and consultants about the Gap Analysis process and make sure that they will be available for interviews.

STEP 2: CONTACT AND APPLY TO THE CERTIFYING BODY

As FMUs prepare for final assessment, RM should contact and consult with the

BOX 13: What is the paperwork?

In this toolkit, paperwork means records of systems and practices carried out by FMUs as required for forest certification as defined by FSC standards. These include the meeting minutes of FMUs, record of financial transactions, record of forest product distribution and selling, IGA and enterprise development, record of rare and threatened species conservation.

certifying body. The facilitator needs to support and facilitate RM for effective liaison with certifying body. In addition, the RM needs to apply on behalf of the pool of FMUs for final assessment and certification with following documents.

1. The community forest registration certificate
2. The copy of the constitution and the management plan of the community forest

3. The copy of the yearly audit report of the community forest
4. Annual progress report of FMU.

The model application form used by RM to apply FSC is given in Box 14.

STEP 3: SETTLE CONTRACT WITH CERTIFYING BODY

In order to proceed the assessment work, the RM needs to settle contract with the certification body. Therefore, the facilitator supports to make

Box 14: The model application from RM to the Forest Stewardship Council

Date:.....

The Federation of the Community Forest Users, Kathmandu, Nepal

The Forest Stewardship Council / Smart wood
Bonn, Germany

Subject : Forest Certification

The Federation of the Community Forest Users, Nepal (FECOFUN) is the representative organization in Nepal working in the sustainable forest management. FECOFUN has prepared community forest management policy and directory for sustainable forest management. It has become necessary to make the community forest users group to be involved in the group certification program (registered under the Forest Act 2049 and Regulation 2051). So as a resource manager informing about the interests of those groups we request you to certify the forest and to make yearly audited.

Applicant

.....

()

Chairperson

FECOFUN, Nepal

For the community forest users group

Mentioned as below:

The name of the community forest.....Address:

Area:.....

contract between the RM and the certification body for final assessment and certification. The contract includes the terms of work and cost of certification.

STEP 4: ARRANGE SCOPING VISIT

At this step, the RM and FMUs need to request the certification body for pre-assessment or scoping visit to determine the FMU's eligibility for certification. Based on the application of the RM/FMUs, certification body decides on it. In this process, the facilitator helps RM/FMUs to produce information requested by certification body. A pre-assessment report is prepared by the certification body.

STEP 5: ARRANGE FINAL ASSESSMENT

Based on pre-assessment report, the RM proceeds for final evaluation. The certification body carries out various activities (see Box 15). For that, facilitator supports in field assessment, consultation and discussions for the certification body.

The following are the activities to be undertaken by the facilitator:

- support to prepare detailed schedule for final assessment coordinating both RM/FMUs and certification body;
- coordinate with national and local stakeholders for assessor's consultation;
- facilitate to prepare the FMUs for final assessment;
- support RM/FMUs to coordinate field visit and discussion ;
- facilitate RM/FMUs to provide the information as required for final assessment;
- provide management plan and other

BOX 15: Activities arrangement for final assessment

- Consultation with RM and document review maintained by RM
- Review of documents (records and reports-including internal audit) of RM
- Consultation with local forest related stakeholders
- Discussion with executive members of FMUs
- Group discussion (interest group) in selected FMUs and review of documents and records of system and practices
- Reconnaissance survey (observation and measurement) of certified forest area (patch

- relevant documents to audit team; and
- manage forest visit for assessors

STEP 6: ARRANGE FINAL ASSESSMENT REPROT AND CERTIFICATE TO FUGS

At this step, the facilitator supports the RM to arrange visits, focused group discussion, key informant interviews, stakeholder consultation, and reconnaissance forest survey during the final assessment. Further, the certifying body is supported through the supply of the information as per their requirement.

During the final assessment, assessors evaluate the systems and practices followed by RM and FMUs against the interim FSC standards (national standards) and national laws and regulations. Based on the assessment, the assessors develop a report and recommends for certification with corrective action requests (CAR) if any. The CAR are basically focused on SFM, institutional development, good

governance, biodiversity conservation and monitoring, benefit sharing and linkage and development of FMUs.

After assessment of RM and FMUs, FSC certifying body reports and makes recommendation for certification if FSC principles and criteria of responsible forest management are met. Based on the final assessment report and recommendation, the FSC provides the SFM certificate to RM, which becomes the certificate holder on behalf of FMUs.

STEP 7: SUPPORT TO ADDRESS CAR, AND TO ARRANGE ANNUAL AUDIT

CAR are provided during the final assessment and annual audit by the FSC certifying body. The annual audit is carried out approximately a year after the original certificate is issued. For that, RM and FMUs must fulfill the CAR. The facilitating organization can support the RM and FMUs on the following two activities.

7.1 Review CAR

The facilitator and RM jointly review the CAR provided by the certifying body. The facilitator provides input on the interpretation and implementation of CAR.

7.2 Address the CAR and annual audit

A. Support to develop action plan

Next, the facilitator supports the RM and

FMUs to develop detailed action plan on addressing the CAR. The action plan outlines the time, responsible persons and method to address each of the CAR.

B. Provide facilitation and technical support

Based on the action plan, the facilitator needs to provide facilitation and technical support for the implementation of the CAR if needed. The facilitator supports FMUs by itself and through the RM to address the CAR. This support must be provided to FMUs and RM until they are able to fully understand and address CAR themselves. This support also ensures that the certified operation continues to comply with the FSC standards and the weaknesses identified in the assessment or audits have been addressed.

C. Support for annual audit

The annual audit is carried out by FSC certifying body. The facilitator should play the same role as in final assessment

D. Support for reassessment of FMUs

RM and FMUs are reassessed after five years of final assessment. During this assessment, facilitator needs to follow the same process as the previous assessments. However, facilitator should consider and work towards making the RM capable to operate all these processes for reassessments.

Annex 1: FSC principles and criteria

FSC forest management certification evaluates forest management using FSC's 10 Principles and 56 criteria of responsible forest management. The details of the principle and criteria are as follows:

PRINCIPLE #1: COMPLIANCE WITH LAWS AND FSC PRINCIPLES

Forest management shall respect all applicable laws of the country in which they occur, and international treaties and agreements to which the country is a signatory, and comply with all FSC Principles and Criteria.

1.5 Forest management areas should be protected from illegal harvesting, settlement and other unauthorised activities.

1.5.1 The forest management unit(s) shall be protected from harvesting activities and other activities not controlled by forest manager or local people with use rights (e.g. settlement, poaching, and illegal harvesting).

1.5.2 There shall be little to no evidence of unauthorized activities in the forest management areas

1.5.3 For large operations, a system shall exist for documenting and reporting to the appropriate authority instances of illegal harvesting, settlement, occupation or other unauthorized activities.

PRINCIPLE #2: TENURE AND USE RIGHTS AND RESPONSIBILITIES

Long-term tenure and use rights to the land and forest resources shall be clearly defined, documented and legally established.

2.2 Local communities with legal or customary tenure or use rights shall maintain control, to the extent necessary to protect their rights or resources, over forest operations unless they delegate control with free and informed consent to other agencies.

2.2.1 All legal or customary tenure or use rights to the forest resource of all local communities are clearly documented in the resource inventory and mapped in the OP.

2.2.2 FMO shall provide evidence their minutes and records that free and informed consent to management activities affecting use rights has been given by local communities.

2.2.3 Controlled access shall be given or offered to local communities for timber and non-timber forest products based on either legal agreements or longstanding local arrangements and verified in the OP.

PRINCIPLE #3: INDIGENOUS PEOPLES' RIGHTS

The legal and customary rights of indigenous peoples to own, use and manage their lands, territories, and resources shall be recognised and respected.

3.1 Indigenous peoples shall control forest management on their lands and territories unless they delegate control with free and informed consent to other agencies.

TIMBER:

3.1.1 Forest management operation shall identify Indigenous peoples with customary/traditional rights to forest resources (timber and non-timber) where indigenous people have established

customary or legal rights to the land or forest resources and their entitlements formally recognized in the OP and the specific areas marked on maps.

3.1.2 Forest operations begin only once disputes have been resolved or all reasonable means have been taken to resolve them. Resolution is documented in meeting minutes

3.1.3 Agreements with indigenous groups shall be honored and documented in meeting minutes.

NTFP:

3.1.1 Same as above

3.1.2 Same as above

3.1.3 Same as above

3.2 Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples.

TIMBER:

3.2.1 FMO shall document any potential threats in the OP and meeting minutes, direct and indirect, to indigenous resources or tenure and undertake actions to prevent negative impacts.

NTFP:

3.2.1 Same as above

3.3 Sites of special cultural, ecological, economic or religious significance to indigenous peoples shall be clearly identified in co-operation with such peoples, and recognised and protected by forest managers.

TIMBER:

3.3.1 Sites of special indigenous cultural, ecological, economic or religious significance shall be identified in the OP and on field maps or in the field.

3.3.2 Policies and procedures shall include the involvement of indigenous people in the identification of special sites.

3.3.3 Special sites shall be identified in operational plans and protected during field operations.

NTFP:

3.3.1 Same as above

3.3.2 Same as above

3.3.3 Same as above

3.4 Indigenous peoples shall be compensated for the application of their traditional knowledge regarding the use of forest species or management systems in forest operations. This compensation shall be formally agreed upon with their free and informed consent before forest operations commence.

TIMBER:

3.4.1 Written or verbal agreements shall be recorded in the OP when there is use of traditional knowledge for commercial purposes.

3.4.2 Where applicable, compensation systems shall be in place prior to commencement of forest operations which affect indigenous interests.

NTFP:

3.4.1 Same as above

3.4.2 Same as above

PRINCIPLE #4: COMMUNITY RELATIONS AND WORKER'S RIGHTS

Forest management operations shall maintain or enhance the long-term social and economic well being of forest workers and local communities.

4.1 The communities within, or adjacent to, the forest management area should be given opportunities for employment, training, and other services.

4.1.1 Local communities and residents shall be given equal or preferential opportunities in forest management activities in terms of employment, training, and provision of supplies to FMO, and other benefits or opportunities. This shall be documented in the minutes and records.

4.1.2 FMO policies and practices shall ensure equity for employees in terms of hiring, advancement, dismissal; remuneration and employment related social security. They shall consider involving women, disadvantaged and dalit groups. This shall be documented in minutes and records.

PRINCIPLE # 5: BENEFITS FROM THE FOREST

Forest management operations shall encourage the efficient use of the forest's multiple products and services to ensure economic viability and a wide range of environmental and social benefits.

5.1 Forest management should strive toward economic viability, while taking into account the full environmental, social, and operational costs of production, and

ensuring the investments necessary to maintain the ecological productivity of the forest.

5.1.1 Current and future budgets include a provision for environmental and social as well as operational costs, e.g. management planning, road maintenance, silvicultural treatments, long-term forest health, NTFP regeneration monitoring, growth and yield monitoring (for timber), and conservation investment.

5.1.2 The income predicted in the operating budgets is based upon sound assumptions.

5.3 Forest management should minimise waste associated with harvesting and on site processing operations and avoid damage to other forest resources.

Harvesting techniques shall be designed to avoid log breakage and timber degradation and damage to the forest stand and other resources (for timber). Harvesting techniques shall be designed to avoid damage to residual NTFPs and other resources (NTFP)

5.3.2 Waste generated through harvesting operations, on-site processing and extraction shall be minimized (For timber). FMO and processing centers minimize waste associated with harvesting or processing and encourage utilizing (recycling) the wastages (NTFP)

(Note: See Principle 6 for assessing damage to forest resources)

PRINCIPLE #6: ENVIRONMENTAL IMPACT

Forest management shall conserve biological diversity and its associated values, water resources, soils, and unique and fragile ecosystems and landscapes, and, by so doing, maintain the ecological functions and the integrity of the forest.

6.1 Assessment of environmental impacts shall be completed appropriate to the scale, intensity of forest management and the uniqueness of the affected resources and adequately integrated into management systems. Assessments shall include landscape level considerations as well as the impacts of on site processing facilities. Environmental impacts shall be assessed prior to commencement of site disturbing operations.

6.1.1 Environmental assessments shall be completed during management planning. In the case of community forestry, environmental impacts assessments are done by Forest User Groups during the operational plan preparation.

6.1.2 Environmental assessments shall consistently occur prior to site disturbing activities.

6.1.3 Environmental impacts of on-site processing facilities shall be controlled (e.g. waste, construction impacts, etc.).

6.1.4 Landscape level impacts of forest management (e.g. cumulative effects of forest operations within and nearby the FMU) shall be considered.

6.1.5. Applicable to SLIMF FMOs only (note: above indicators do not apply) FMO shall

demonstrate knowledge of the possible negative impacts of its activities and seeks to minimize them.

6.1.6 In case of community-based and private forestry, management plan must be approved by DFO

6.5 Written guidelines shall be prepared and implemented to: control erosion; minimise forest damage during harvesting, road construction, and all other mechanical disturbances; and protect water resources.

6.5.1 Written guidelines shall be available which cover the aspects of management that have demonstrated impact in the forest, typically including silvicultural operations, technical specifications for skid trail (location, width and density), road design and conservation structures (Timber).

Written guidelines shall be available which cover the aspects of management that have demonstrated impact in the forest, typically including harvest operations, biological conservation, technical specifications for work trail, road design and conservation structures and handling of chemicals (NTFP)

6.5.2 Maps and/or work plans shall be produced at an adequate scale to be useful for supervision of soil and water resource management and protection activities and to facilitate on-site monitoring thereof.

6.5.3 Maps shall be prepared before logging or road construction occurs (Timber).

Maps shall be prepared before harvesting and work trail construction (NTFP).

6.5.4 Maps should specify areas suitable for all-weather harvesting or dry-weather only; and indicate locations for extraction (or haul) roads, loading ramps (or log yards), main skid (or snig) trails, drainage structures, buffer zones, and conservation areas (Timber).

Maps shall specify area suitable for NTFP seasonal harvesting and indicate locations of harvesting, streamside buffer zones, and conservation areas (NTFP).

6.5.5 Training shall be given to field staff, forest users, contractors and local community to meet guidance requirements.

6.5.6 Road construction, maintenance and closure standards shall be followed in the forest.

PRINCIPLE #7: MANAGEMENT PLAN

A management plan -- appropriate to the scale and intensity of the operations -- shall be written, implemented, and kept up to date. The long-term objectives of management, and the means of achieving them, shall be clearly stated.

7.1 The management plan and supporting documents shall provide:

- a) Management objectives.
- b) Description of the forest resources to be managed, environmental limitations, land use and ownership status, socioeconomic conditions, and a profile of adjacent lands.
- c) Description of silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resource inventories.
- d) Rationale for rate of annual harvest and species selection.
- e) Provisions for monitoring of forest growth and dynamics.
- f) Environmental safeguards based on environmental assessments.
- g) Plans for the identification and protection of rare, threatened and endangered species.
- h) Maps describing the forest resource base including protected areas, planned management activities and land ownership.
- i) Description and justification of harvesting techniques and equipment to be used.

7.1.1 (Timber) FMO Management plan, or appendices or reference documents, shall include presentation of the following components:

- a) Management objectives;
- b) Description of the forest resources to be managed, environmental limitations, land use and ownership status, socioeconomic conditions, and a profile of adjacent lands;
- c) Description of silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resource inventories;
- d) Description and justification for use of different harvesting techniques and equipment;
- e) Description and justification of forest management prescriptions and their silvicultural and ecological rationale i.e. based on site specific forest data or published analysis of local forest ecology or silviculture;

- f) Rate of harvest of forest products (timber or non-timber, as applicable) and species selection including justification;
- g) Measures for identifying and protecting rare, threatened and endangered species and/or their habitat;
- h) Map(s) describing the forest resource including forest types, watercourses and drains, compartments/blocks, roads, log landings and processing sites, protected areas, unique biological or cultural resources, and other planned management activities;
- i) Environmental safeguards based on environmental assessments (see criterion 6.1); and,
- j) Plans for monitoring of forest growth, regeneration and dynamics.

(NTFP) FMO Management Plan, or its appendices shall include the presentation of the following components:

- a) Management objectives;
- b) Description of the forest resources to be managed, environmental limitations, land use and ownership status, socioeconomic conditions, and a profile of adjacent lands;
- c) Description of management systems, based on the ecology of the forest in question and information gathered through resource inventories;
- d) Description and justification for use of different harvesting techniques and equipment;
- e) Description and justification of forest management prescriptions and their ecological rationale i.e. based on site specific forest data or published analysis

of local forest ecology or regeneration patterns.

- f) Rate of harvest of forest products (timber or non-timber, as applicable) and species selection including justification;
- g) Measures for identifying and protecting rare, threatened and endangered species and/or their habitat;
- h) Map(s) describing the forest resource including forest types, watercourses and drains, compartments/blocks, roads, log landings and processing sites, protected areas, unique biological or cultural resources, and other planned management activities;
- i) Environmental safeguards based on environmental assessments (see criterion 6.1); and,
- j) Plans for monitoring NTFP growth, regeneration and dynamics.
- k) Financial management plan

PRINCIPLE #8: MONITORING AND ASSESSMENT

Monitoring shall be conducted -- appropriate to the scale and intensity of forest management -- to assess the condition of the forest, yields of forest products, chain of custody, management activities and their social and environmental impacts.

8.1 The frequency and intensity of monitoring should be determined by the scale and intensity of forest management operations as well as the relative complexity and fragility of the affected environment. Monitoring procedures should be consistent and replicable over time to allow comparison of results and assessment of change.

8.1.1 A plan and design shall exist for periodic monitoring and reporting.

8.1.2 The frequency and intensity of monitoring shall be based on the size and complexity of the operation and the fragility of the resources under management.

8.1.3 Monitoring procedures shall be consistent and replicable over time to allow comparison and assessment of change

8.1.4 Applicable to SLIMF FMOs only (Note: above indicators do not apply): FMO should conduct regular and consistent monitoring in connection with harvesting operations and reforestation.

Applicable to SLIMF FMOs only: FMO shall conduct regular and consistent monitoring in connection with harvesting operations and regeneration appropriate for the particular plant part used (exudates, reproductive propagate, and vegetative structure).

PRINCIPLE # 9: MAINTENANCE OF HIGH CONSERVATION VALUE FORESTS

Management activities in high conservation value forests shall maintain or enhance the attributes, which define such forests. Decisions regarding high conservation value forests shall always be considered in the context of a precautionary approach.

- Evidence of a preliminary assessment and/or full assessment for HCVs, which includes consultation with indigenous people/ local communities, conservation databases, maps, scientific experts, etc., where necessary.

9.1 Assessment to determine the presence of the attributes consistent with High Conservation Value Forests will be completed, appropriate to scale and intensity of forest management.

9.1.1 FMOs shall have conducted an assessment to identify HCVs and HCVF

9.1.2 For large operations, FMO shall:

- Produce written HCVF assessment(s) that identify(ies) HCVs or HCVF and proposes strategies to ensure their protection; and,
- Conduct credible, independent, technically qualified review of the HCVF assessment and related recommendations to address HCV threats and protection; and,

9.1.3 Applicable to SLIMF FMOs only: Consultations shall have occurred with environmental stakeholders, government or scientists to determine whether forest areas should be considered HCVF. This may occur during the actual certification assessment. If HCVF values are present, FMO shall take all reasonable steps to protect these values.

PRINCIPLE #10 PLANTATIONS

Plantations shall be planned and managed in accordance with Principles and Criteria 1 - 9, and Principle 10 and its Criteria. While plantations can provide an array of social and economic benefits, and can contribute to satisfying the world's needs for forest products, they should complement the management of, reduce pressures on, and promote the restoration and conservation of natural forests.

10.1 The management objectives of the plantation, including natural forest conservation and restoration objectives, shall be explicitly stated in the management plan, and clearly demonstrated in the implementation of the plan.

TIMBER

10.1.1 Objectives of tree planting shall be explicit in the management plan, with clear statements regarding the relationship between tree planting and the silviculture, socioeconomic and environmental (i.e. forest conservation and restoration) realities in the region.

10.1.2 Management objectives, which balance production and conservation of natural forest and restoration, shall be described in the management plan.

10.1.3 Management objectives, specifically those related to natural forest conservation and restoration shall be demonstrated in field implementation.

NTFP

10.1.1 The NTFP plantation management plan articulates objectives for NTFP production.

10.1.2 Management objectives, which balance production and conservation of natural forest NTFPs and restoration, shall be described in the management plan.

10.1.3 Management objectives, specifically those related to natural forest NTFP conservation and restoration shall be demonstrated in field implementation.

10.2 The design and layout of plantations should promote the protection, restoration and conservation of natural forests, and not increase pressures on natural forests. Wildlife corridors, streamside zones and a mosaic of stands of different ages and rotation periods shall be used in the layout of the plantation, consistent with the scale of the operation. The scale and layout of plantation blocks shall be consistent with the patterns of foreststands found within the natural landscape.

TIMBER

10.2.1 FMOs should demonstrate a commitment and actions to protect, restore and conserve key areas of natural forest within the ownership.

10.2.2 Buffer zones along watercourses and around waterbodies shall be established according to regional best management practices and indicated on maps.

10.2.3 FMO shall establish a network of suitably located sites across plantation areas that are restored as wildlife habitat and corridors, in consultation with acknowledged experts.

10.2.4 Plantations shall be designed so as to maintain or enhance the visual character of the landscape (i.e. design is based on the scale and intensity of natural patterns of disturbance and planting and harvest regimes within the region)

NTFP

10.2.1 Intensive management, enrichment planting, or cultivation of understory NTFPs in natural forests does not adversely

impact the overstory or understory diversity across the forest landscape.

10.3 Diversity in the composition of plantations is preferred, so as to enhance economic, ecological and social stability. Such diversity may include the size and spatial distribution of management units within the landscape, number and genetic composition of species,

TIMBER

10.3.1 Plantation management should enhance landscape diversity by varying block size and configuration, species, genetic diversity, age class and structure.

10.3.2 Emphasis should be placed on planting and/or applied research on forest species native to the region.

(Note: Also see Criteria 6.4 and 6.10.)

NTFP

10.3.1 Plantation management should enhance landscape diversity by varying scale and configuration, species, genetic diversity.

10.3.2 Same as above

10.4 The selection of species for planting shall be based on their overall suitability for the site and their appropriateness to the management objectives. In order to enhance the conservation of biological diversity, native species are preferred over exotic species in the establishment of plantations and the restoration of degraded ecosystems. Exotic species, which shall be used only when their performance is greater than

that of native species, shall be carefully monitored to detect unusual mortality, disease, or insect outbreaks and adverse ecological impacts.

TIMBER

10.4.1 Plantation species shall be selected based on suitability to site conditions (soils, topography and climate) and management objectives.

10.4.2 Where exotic have been selected, the FMO shall explicitly justify this choice and document specific measures to prevent spontaneous regeneration outside plantation areas, unusual mortality, disease, insect outbreaks or other adverse environmental impacts.

10.4.3 No species should be planted on a large scale until local trials and/or experience have shown that they are ecologically well-adapted to the site, are not invasive,

NTFP

10.4.1 NTFP species shall be selected based on suitability to site conditions (soils, topography and climate) and management objectives.

10.4.2 Same as above

10.4.3 Same as above

10.5 A proportion of the overall forest management area, appropriate to the scale of the plantation and to be determined in regional standards, shall be managed so as to restore the site to a natural forest cover.

TIMBER

10.5.1 Representative samples of existing natural ecosystems shall be protected or restored to their natural state, based on the identification of key biological areas, consultation with stakeholders, local government and scientific authorities (a 25% target figure for native vegetation or ecosystems is encouraged but not mandatory). (Note: Also see Criterion 6.4.)

10.5.2 Applicable to SLIMF FMOs only (note: above indicator does not apply): Plantations design and management shall enhance ecological values, especially around conservation features.

NTFP

10.5.1 Same as above

10.5.2 Applicable to SLIMF FMOs only (note: above indicator does not apply): Plantations design and management shall enhance ecological values, especially around conservation features.

10.6 Measures shall be taken to maintain or improve soil structure, fertility, and biological activity. The techniques and rate of harvesting, road and trail construction and maintenance, and the choice of species shall not result in long-term soil degradation or adverse impacts on water quality, quantity or substantial deviation from stream course drainage patterns.

TIMBER

10.6.1 Explicit measures shall be taken to maintain or enhance the soil in terms of structure, fertility and biological activity.

10.6.2 Plantation design and management shall not result in soil degradation.

10.6.3 Forest operations that might degrade water quality or negatively impact local hydrology shall be minimized.

NTFP

10.6.1 Same as above

10.6.2 Intensive management or cultivation of understory NTFPs in natural forests does not cause erosion, reduce water quality or adversely impact soil structure or fertility.

10.7 Measures shall be taken to prevent and minimize outbreaks of pests, diseases, fire and invasive plant introductions. Integrated pest management shall form an essential part of the management plan, with primary reliance on prevention and biological control methods rather than chemical pesticides and fertilizers. Plantation management should make every

effort to move away from chemical pesticides and fertilizers, including their use in nurseries. The use of chemicals is also covered in Criteria 6.6 and 6.7.

TIMBER

10.7.1 Measures shall be taken in the field to prevent outbreaks of pests, disease, fire and invasive plant introductions.

10.7.2 A plan should exist for forest fire prevention and control

10.7.3 An integrated pest management plan should exist that identifies pests, determines acceptable injury or action thresholds, and

alternative methods of addressing threats.

10.7.4 FMO shall have a policy and strategy to minimize use of chemical pesticides and fertilizers.

10.7.5 Forest management plan should reflect/describe preventive measures for the identified pest and disease in the forest.

NTFP

10.7.1 Same as above

10.7.2 An integrated pest management plan should exist that identifies pests, determines acceptable injury or action thresholds, and alternative methods of addressing threats.

10.7.3 FMO shall have a policy and strategy to minimize use of chemical pesticides and fertilizers.

10.7.4 Forest management plan should reflect/describe preventive measures for the identified pest and disease in the forest.

10.8 Appropriate to the scale and diversity of the operation, monitoring of plantations

shall include regular assessment of potential on-site and off-site ecological and social impacts, (e.g. natural regeneration, effects on water resources and soil fertility, and impacts on local welfare and social well-being), in addition to those elements addressed in principles 8, 6 and 4. No species should be planted on a large scale until local trials and/or experience have shown that they are ecologically well-adapted to the site, are not invasive, and do not have significant negative ecological impacts on other ecosystems. Special attention will be paid to social issues of land acquisition for plantations, especially the protection of local rights of ownership, use or access.

TIMBER

10.8.1 Monitoring shall include evaluation of potential onsite and off-site ecological and social impacts of plantation activities,

10.8.2 Applicable to SLIMF FMO-s only (note: above indicators do not apply): FMO shall record any negative environmental or social impacts identified and design appropriate alleviating measures.



Annex 2: List of FSC accredited certifying body

SN	NAME OF CBS	ADDRESS	SCOPE OF ACCREDITATION
1.	Bureau Veritas Certification (BV) (former BVQI-Eurocertifor)	60 avenue du Général de Gaulle – Puteaux 92046 Paris La Défense Cedex, France Tel: + 33 1 41 97 58 16 Fax: + 33 1 41 97 02 04 Website: www.certification.bureauveritas.fr	Worldwide for Forest Management and Chain of Custody certification
2.	Control Union Certifications B.V. (CU) (former SKAL International)	P.O. Box 161, Zwolle AD 8000 The Netherlands Tel: + 31 38 426 01 00 Fax: + 31 38 423 70 40 Website: www.controlunion.com	Worldwide for Forest Management and Chain of Custody certification
3.	Det Norske Veritas Certification AB (DNV)	Box 6046, 171 06 SOLNA, Sweden Tel.: +468 587 9400-0 Fax: +468 651 7043 Website: www.detnorskeveritas.se	Worldwide for Chain of Custody certification and FSC accreditation for Forest Management limited to Sweden
4.	Forest Certification LLC (FC)	Yangelya Str., Building 12, Office 25, Bratsk City, Irkutsk Region 665717 Russia Tel: +7-3953-45-12-78 Fax: +7-3953-45-12-78 Website: www.fc.ru	FSC Forest Management and Chain of Custody certification in the common wealth of independent states countries excluding the certification of SLIMF operations
5.	GFA Consulting Group GmbH (GFA)	Eulenkruogstrasse 82, 22359 Hamburg, Germany Tel: + 49 40 6030 6140 Fax: + 49 40 6030 6149 Website: www.gfa-certification.de	Worldwide for Forest Management and Chain of Custody certification
6.	ICILA Srl. (ICILA)	Piazzale Giotto 1, Lissone (Milano), I-20035 Italy Tel: + 39 039 3300 232 ext. 203 Fax: + 39 039 3300 230 Website: www.icila.org	Worldwide for Chain of Custody certification and FSC accreditation for Forest Management limited to Italy
7.	Institut für Marktökologie (IMO)	Weststr. 51, Weinfelden CH-8570 certification in Chile, as of 16th May 2008. Switzerland Tel: + 41 71 626 0 628 Fax: + 41 71 626 0 623 Website: www.imo.ch	Worldwide for Forest Management, FSC Controlled Wood and Chain of Custody certification
8.	KPMG Forest Certification Services Inc. (KF)	Box 10426, 777 Dunsmuir Street, Vancouver BC V7Y 1K3 Canada Tel: + 1 604-691-3495 Fax: + 1 604 691-3031 Website: www.kpmg.ca	Worldwide for Forest Management and Chain of Custody certification

SN	NAME OF CBS	ADDRESS	SCOPE OF ACCREDITATION
9.	QMI-SAI Global Assurance Services (QMI)	20 Carlson Court, Suite 100, Toronto , Ontario M9W 7K6 Canada Tel: +1 (514) 428-2438 Fax: +1 (514) 694-697 Website: www.qmi.com	Worldwide for Forest Management, FSC Controlled Wood and Chain of Custody certification
10.	Scientific Certification Systems (SCS)	2200 Powell Street, Suite 725, Emeryville California 94608 USA Tel: + 1 510 452 8007 Fax: + 1510454528001 Website: www.scs-certified.com	Worldwide for Forest Management, FSC Controlled Wood and Chain of Custody certification (except in people's republic of china for COC certification)
11.	Qualifor, SGS South Africa (SGS)	58 Melville Road, Booysen, PO Box 82582, Southdale, 2135 South Africa Tel: +27 (0)11 6812500 Fax: +27 (0)116812543 Website: www.qualifor.sgs.com	Worldwide for Forest Management, FSC Controlled Wood and Chain of Custody certification
12.	SmartWood, Rainforest Alliance (SW)	Goodwin-Baker Building, 65 Millet Street, Suite 201, Richmond, Vermont 05477, United States Tel: + 1 802 434 8711 Fax: + 1 802 4343116 Website: www.rainforest-alliance.org	Worldwide for Forest Management, FSC Controlled Wood and Chain of Custody certification
13.	Soil Association Woodmark (SA)	South Plaza, Marlborough Street, Bristol BS1 3NX United Kingdom Tel: + 44 (0)117 914 2435 Fax: + 44 (0)117 3145001 Website: www.soilassociation.org/forestry	Worldwide for Forest Management, FSC Controlled Wood and Chain of Custody certification
14.	Swiss Association for Quality and Management Systems (SQS)	Bernstrasse 103. P.O Box 686, Zollikofen, CH-3052 Switzerland Tel: + 41 31 910 35 35 Fax: + 41 31 910 35 45 Website: www.sqs.ch	Worldwide for Forest Management and Chain of Custody certification



Annex 3: Policy of RM for the Sustainable Community Forest Management-2004 developed in Nepal

PREAMBLE

According to the Master plan for the Forestry Sector of Nepal-1988, Forest Act-1993 and Forest Regulation 1994; the users have been managing the national forests as community forests through registered Community Forest User Groups (CFUGs). FECOFUN was founded in 1995 (18 Jestha 2052 B.S.) as a representative umbrella organization for the Community Forest User Groups. Registered in Katmandu District Administration Office under Organization Registration Act 2034 B.S. with registration No. 168/052-53, the FECOFUN has its own constitution. Whereas it is expedient to have its own policy for the sustainable management of forest resources and to make necessary process, structure and monitoring mechanism for that; this Policy Regarding Community Forest Resource Management-2004, under FECOFUN's Constitution-2052 B.S. and its Organizational Regulation 2055 B.S., has been prepared and implemented.

CHAPTER I

The legal status and bases of this policy

This policy shall be implemented through the decision of FECOFUN's Standing Committee meeting under the Article 52 of FECOFUN's Constitution-1993 and Rule 60 of its Regulation 2055.

In accordance with the FECOFUN's Constitution-1993; the goal, objectives and working strategy of the FECOFUN shall be as follows:

(a) As per the Article 5.1. -Goal

The goal of FECOFUN shall be to promote

self-confidence and self-dependence on forest user groups through equal participation of all in decision making process.

(b) As per the Article 5.2.- Objectives:

Article 5.2.3 To raise awareness for campaigning on plantation, health and sanitation to maintain balanced environment along with community forest development.

Article 5.2.4 To promote equitable distribution and proper utilization of community forest resources to uplift the socioeconomic status of the marginalized communities

Article 5.2.6 to do for protection of the rights of community forest user groups; conservation of the national heritages; awareness creation on community forestry policy and legislations; creation of community feelings among the forest users; and development and promotion of forest management technology

Article 5.2.7 to support community forest users to conduct income generating programs for their economic uplifting through research and demonstration of various income generating activities in community forests

Article 5.2.8 to create awareness on importance of biodiversity conservation, particularly threatened species; information management and create working environment for joint effort towards biodiversity conservation

(c) As per the Article 5.3. -Working strategy:

Article 5.3.1 To organize meetings, workshops, conference, training etc. and participate in those organized by others for sharing knowledge and experiences in various aspects of forest resources management including community forestry, agro-forestry in community forest, private forestry, biodiversity conservation, programs related to medicinal plants and environment conservation programs.

Article 5.3.4 to support to form user groups and assist in community forest handover process.

Article 5.3.5 to conduct and facilitate scientific study and research on forest and environment; share information; and produce extension materials like newsletters, leaflets, booklets and audio-visuals for sale and distribution.

Article 5.3.9 to involve forest users on the campaign of conserving threatened forest resources and biodiversity and give effort for external support for the purpose.

CHAPTER- II

For the sustainable forest management, FECOFUN has set up its vision, mission, goal and strategy as follows:

Vision: “Community forest for all and forever”

Mission: The FECOFUN is committed to establish equity and good governance for planned community development and livelihoods through sustainable forest

management and to establish and mobilize authorized and empowered Community Forest User Groups.

Goal: To utilize forest area with social, environmental and economic views for the sustainable forest management and to establish good governance in the forest user groups

Strategies: For the sustainable forest management, FECOFUN shall adopt the following strategies

- (a) The national laws and the principles of Forest Stewardship Council (FSC) shall be implemented.
- (b) The ownership of the forest resources, their use rights and responsibility on them shall be of community forest user groups.
- (c) Indigenous knowledge, system and skill of the CFUGs shall be respected and promoted.
- (d) The rights of the members of CFUG on forest resources shall be ensured.
- (e) Equity and social justice to the workers involved in the activities conducted by the CFUGs shall be ensured.
- (f) Community forests shall be managed so as to produce multiple products in the sustainable basis and priority given for their processing in local level. Priority shall be given to fulfill the demand of the processed products in local level and the income thus generated used for forest management, livelihoods and community development through the group’s decision.
- (g) Community forest shall be managed, according to the approved constitution

and operational plan, in such a way that it shall have no inverse effect on environment and biodiversity conservation. Use of chemicals shall be reduced while producing forest products. And integrated resources management in CF shall be promoted.

- (h) CFUG may take assistance from different organizations for the management and development of the forest.
- (i) CF Operational plan shall be prepared and implemented by the forest users themselves. It shall be prepared in accordance with prevailing forest legislations and Forest Stewardship Council. Priority shall be given to address local needs while preparing management plan.
- (j) CFUG shall develop its own monitoring system and facilitate external monitors through demonstrating its activities and records. And FECOFUN, as a resource manager, shall monitor and evaluate CFUGs.
- (k) Special consideration shall be given to conserve the forest area with specific importance. Besides, other productive forest area shall be managed through sustainable forest management systems.
- (l) Natural regeneration shall be promoted in community forest.

CHAPTER- III

(c) Forest Management Guidelines

(a) Activities, for the sustainable forest management, shall be conducted in accordance with the following points mentioned in the guidelines:

3.1. CF management activities should be conducted under the Forest Act 1993 and

Forest Regulation 1994.

3.2. All kinds of fees/ taxes defined by the act should have been paid by the CFUG.

3.3. National and international treaties and conventions ratified and committed by the nation should have been followed and banned and valuable fauna and flora conserved and managed accordingly.

3.4. No works prohibited by the prevailing legislations can be done in community forest.

3.5. Coordination and collaboration among stakeholders should have been ensured in the process of sustainable forest management.

(b) 1. Forest resources management, utilization and benefit sharing plans should have been prepared through consensus to establish traditional use rights of the local people on CF resources.

2. The ownership and use rights of forest resources shall be in CF users. Any conflict regarding this shall be managed through discussions among the parties mentioned in Chapter IV.

3. Specific activities should have been mentioned in the constitution and operational plan and implemented accordingly to establish the rights of indigenous and professional groups.

4. The parties, with specific importance in socioeconomic, religious and environmental perspectives, should have been identified,

included in constitution and operational plan and promoted.

5. The parties with indigenous knowledge and skills, from which CFUG is generating income, should have been provided with the financial or other support or both in equitable basis [For example: Amchi, the local healer whose indigenous knowledge and skills might be used for generating income for CFUG].

(c) 1. Priority should be given to the marginalized groups for the skill development and employment generating training managed in local level for the sustainable forest management.

2. The forest management workers should have been paid with at least the minimum rate of wage in local level. Optimum facilities of health and security should be managed through the CFUG's decision.

3. Constitution and operation plan of the CFUG should have been prepared through consensus; and women, ethnic communities and marginalized groups involved in the process.

(d) 1. Environmental and social impacts should have been assessed by the assembly of the users, included in CF management plan and implemented accordingly.

2. High value biodiversity zone within the CF area should have been identified and conserved.

3. Monasteries, temples and other culturally important areas, if any, should be identified and protected.

4. The areas with specific importance (e.g. soil erosion area, water source protection area etc.) should have been identified, briefly described in management plan and managed accordingly.

5. The constitution and operational plan should be prepared through consensus.

6. The constitution and operational plan of CFUG should be prepared in accordance with the structures as defined by the Forest Act and Regulation. The structure is given in the annex.

7. CFUG should monitor and evaluate the followings:

- a) Updated accounting report of CFUG. [See Annex]
- b) The decisions of the previous meeting.
- c) The opportunities sharing (training, workshop, tour, employment etc.) system. [See Annex]
- d) Annual progress report and the details of income and expenditures should be monitored and submitted to FECOFUN and District Forest Office.
- e) Monitoring of the marketable forest resources should be done as necessary but at least once in five years.

CHAPTER IV RESPONSIBILITY

FECOFUN, as a resource manager, shall have following responsibilities for the sustainable forest management:

1. The member CFUG shall be made to give optimum consideration in the social, economic and environmental aspects in forest management process.

1.1. The mentioned things shall be included in the constitution and operational plan of the CFUG. FECOFUN shall facilitate the process for the ease of CFUG.

1.2. The principles and bases of sustainable forest management shall be adopted while preparing the constitution and operational plan of the CFUG.

1.3. CFUG shall be facilitated to implement the approved constitution and operational plan.

1.4. Capacity of the organizational units of FECOFUN and CFUGs shall be strengthened for the sustainable forest management.

1.5. Necessary information regarding enterprise development, marketing etc. shall be collected and shared among CFUGs for the sustainable forest management.

1.6. Cooperation and coordination with the national and international stakeholders shall be developed for the sustainable forest management.

1.7. A monitoring mechanism shall be developed and implemented to monitor the fund management (income / expenditure) system; to monitor whether the activities are in accordance with the approved operational plan; and to monitor whether there is equitable benefit sharing in the CFUG.

1.8. FECOFUN shall attempt to have positive effect in policy level through extension of the achievements and disseminating information on sustainable forest management.

1.9. FECOFUN, as a resource manager, shall provide membership to the CFUG which have adopted the sustainable forest management systems and processes. And it may take back the membership of the CFUG that has been found to be working against the theme of the sustainable forest management.

1.10. FECOFUN should monitor the activities of community forest users committee (CFUC), the records of income and expenditure and the process and practices of the users at least once in a year

1.11. FECOFUN district branches shall form forest certification focal committee with 3 to 5 members while FECOFUN center with 3 members as decided by the standing committee.

1.12. The applications received from the CFUGs shall be assessed and selected the qualified ones for forest certification. The applications of the selected CFUGs shall be collectively sent toby the FECOFUN Centre.

1.13. The rejected CFUGs shall be informed within 30 days of the decision made, with detailed description on why they have been rejected for forest certification. If the same CFUG applies next year, the application fee shall not be charged.

1.14. The selected CFUG that will to withdraw its membership from the forest certification group or get back from the certification process may inform FECOFUN Centre straightly or through district branch with a copy of decision made by the group.

The application shall be assessed and the standing committee shall decide on the matter with the recommendation of central certification committee. The CFUG shall be informed within 35 days about the decision. acquaintance

1.15. The forest certification committee of the FECOFUN Centre shall submit the applications with recommendations to the standing committee for the assessment of the applications, analysis of the preliminary reports and preparation of the final report.

2 Points to be followed by the member CFUG for the forest certification process:

2.1 The CFUG should have been the member of FECOFUN and renewed annually.

2.2 The constitution and operational plan of the CFUG should have been prepared as per the FECOFUN's policy for the sustainable community forest management-2004 and approved.

2.3 The activities of the CFUG including group mobilization and management should have been carried out with the group or committee decision in accordance with the approved constitution and operational plan and Resource Management Policy.

2.4 The CFUG should update the records of its activities and provide to the resource manager or to the party recommended by the resources manager.

2.5 CFUG should submit the application with Rs. 50/- to the FECOFUN Centre directly or through its district branches to forward the forest certification process with a copy of the decision made by the group certifying that the CFUG has been managing the forest according to the FECOFUN's policy for the sustainable forest management-2004.

2.6 The FECOFUN district branches or the Centre shall assess whether the activities have been carried out according to the application. FECOFUN Centre shall make decision on whether to precede the application.

3 The disqualification of the CFUG for the membership of the forest certification group shall be as follows :

3.1 The CFUG without membership of FECOFUN.

3.2 The CFUG carrying out against the theme of the approved operational plan.

3.3 The CFUG suspended from the forest certification group more than twice.

Note: Whatever has been mentioned above, the CFUG shall not be suspended from the membership of FECOFUN.

Monitoring and Evaluation

The regular monitoring and evaluation procedure of the community forest users groups which are in the forest certification process and already certified.

1. The regular monitoring or evaluation and feedback work of the community forest area or groups which are in the forest certification process or already certified will be done by FECOFUN centre in the assistance of district branches. And the monitoring will be done through the following described activities of CFUG :

- Through the meeting of the group.
- The general assembly of the group.
- The study and analysis of the record book of the group.
- Through the field survey and practice of the forest management
- Through the direct visit to the users and working committee.

The monitoring forms are kept in the series of formats

Format -1

The model application to the resource manager (FECOFUN) by the community forest users group

Format -2

The model application from FECOFUN to the forest Stewardship council

Format -3

The constitution summary of the users group

Format -4

The forest management work plan summary

Format -5

The model form of the forest's monitoring condition

Format -6

The model form of the forest products that users group

Format -7

The model of the forest condition analysis forms

Format -8

The model form of the people's details who are involved in the enterprise

Format -9

The utilized model form of the opportunities that can be found in the groups

Format -10

The selling bills of the community forest products

Format -11

The license of the forest products given by the community forest groups

Format -12

The license of the herbal collection

Format-13

The registration letter of the medicinal and aromatic plant

Format -14

The model form of the annual records of the community forest users groups



Annex 4: Sample of detailed planning

ACTIVITY	HOW TO DO/STEPS	DATE
Selection of village/areas for piloting	<ul style="list-style-type: none"> i) Hold meeting with village and district level (ii) Get copy of tenure right and management regimes from DAFO/district governor office 	Feb
Organizing the groups	<ul style="list-style-type: none"> (i) Hold meeting with DAFO (ii) Ask them to provide the process and method for organizing groups (iii) Ask them for format for group organizing if not there then, (iv) ask and show them our format (v) get permission to do activity from the district authority 	Mar
Group formation	<ul style="list-style-type: none"> (i) organize meeting at village level (ii) invite representative from DAFO, Village and District governor (iii) gather people (iv) consult with village representative (v) make a list of households of the villagers (vi) identify the poor and ethnic households (vii) hold a meeting of the villagers (viii) clarify them the objective of the meeting (ix) ask people about the village forestry rules (x) ask people to select representative (xi) prepare a document and (xii) file the village forestry rule in district authority 	Mar
Forest boundary survey and demarcation	<ul style="list-style-type: none"> (i) prepare a sketch map for resource use (ii) ask village head and key informant for resource use map (iii) consult district authority for map (iv) collect and review the land use mapping and land allocation paper (v) consult with adjacent villagers (vi) refine sketch map (vii) prepare the survey of the boundary (viii) survey the boundary with GPS or any other instruments (ix) prepare the surveyed map (x) divide the block in maps (xi) hold the meeting at village and verify the map (xii) consult the district authority for map finalization (xiii) finalize the map 	Mar
Identify the NTFPs and awareness raising	<ul style="list-style-type: none"> (i) hold meeting with villagers representative (ii) make a participatory resource use map (iii) make a list for all NTFPs (iv) consult with village head and key informants (v) make 2-3 small group meeting to raise the awareness on NTFP management 	Apr
Prioritization and categorization of NTFPs	<ul style="list-style-type: none"> (i) prepare a list of all NTFPs including rattan (ii) categorize them in subsistence use, village level use and marketing outside (iii) quantify them-rough estimate of the resource availability in local unit (iv) quantify the demand of NTFPs for subsistence use (v) quantify the demand of NTFPs for village level use 	Apr

ACTIVITY	HOW TO DO/STEPS	DATE
inventory including other NTFPs	<ul style="list-style-type: none"> (i) hold meeting with villagers (ii) describe them resource inventory (iii) produce a map of the NTFP in the block (iv) prepare resource inventory design (v) design a plat and transect line (vi) take a measurement (vii) record and analyze them (viii) Prepare a summary of the growing stock 	Apr
Management planning and by-laws preparation	<ul style="list-style-type: none"> (i) hold a meeting with villagers and district authority (ii) share the result of the inventory (iii) prepare a harvesting plan according to block management (iv) prepare a management by laws consulting with villagers (v) fix at least annual increment, annual harvest and annual allowable harvest level with specific areas (vi) fix timing of harvest/quantity etc (vii) fix the rule with villagers and district authority (viii) document and make a management plan (ix) file the management in district authority 	Apr
Agreement with district authority	<ul style="list-style-type: none"> (i) facilitate to apply the district authority from village representative (ii) get feed-back from district authority (iii) prepare management plan as per feedback (iv) resubmit the document (v) get approval from authority (vi) orient villagers in new rules and management plan 	May
Request for internal audit	<ul style="list-style-type: none"> (i) make a request to DOF for internal audit (ii) receive the team from DOF (iii) provide the management plan and other relevant documents to audit team (iv) get report from audit team (v) work on corrective action request (CAR) 	May
Preparation for external audit	<ul style="list-style-type: none"> (i) apply for request to DOF for certification pool (ii) prepare for external team (iii) provide the management plan and other relevant documents to audit team (iv) get report from audit team (v) work on corrective action request (CAR) 	Jun

Some Relevant Publications from ANSAB

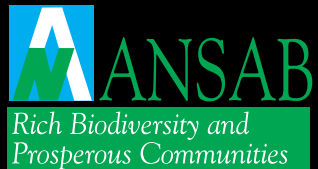
- ANSAB and FAO. 2009. Challenges and Opportunities for Nepal's Small and Medium Forest Enterprises.
- Subedi, B. P. 2006. Linking Plant-Based Enterprises and Local Communities to Biodiversity Conservation in Nepal Himalaya. ANSAB. Adroit Publishers, New Delhi.
- ANSAB and FECOFUN. 2005. Forest Certification in Nepal (In Nepali). Kathmandu
- ANSAB and SNV/Nepal. 2003. Commercially Important Non Timber Forest Products (NTFPs) of Nepal (In Nepali). Kathmandu.
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- Subedi, B. P., Binayee, S.B., Ojha, H.R. and Nicholson, K. 2002. Community Based Enterprises in Nepal: Case Studies, Lessons and Implications. ANSAB and SNV/Nepal, Kathmandu.
- ANSAB, EWW and IRG. 2006. Role of Natural Products in Resource Management, Poverty Alleviation, and Good Governance: A Case Study of Jatamansi and Wintergreen Value Chains in Nepal.
- ANSAB. 1999. Monitoring the Effects of Community Based Conservation and Commercial Utilization of Natural Products in Humla, Nepal.
- ANSAB. 1999. Socio-Economic and Institutional Impacts of Community Based Ecosystem Management Project in Humla, Nepal.
- Video Documentaries on
 - Forest Certification - Steps Towards Sustainability (English and Nepali)- 30 Minutes
 - In Search of Yarshagumba (English and Nepali)- 29 Minutes
 - Community Enterprises (In Nepali)- 29 Minutes



The Asia Network for Sustainable Agriculture and Bioresources (ANSAB) is a civil society organization that has been conserving biodiversity and improving livelihoods across South Asia for almost twenty years. It places community empowerment and economic incentives at the heart of its approach, believing that as people benefit from natural resources they become more motivated to conserve them – and vice-versa. ANSAB implements a variety of innovative solutions in line with this core conviction, such as the creation of enterprises based on the sustainable use of natural resources, especially Non Timber Forest Products (NTFPs), and the establishment of payment-schemes for environmental services, especially for Reducing Emissions from Deforestation and Forest Degradation (REDD) plus. It has notably pioneered the Forest Stewardship Council (FSC) certification in Nepal and introduced the concept of subgroup in community forestry to ensure that ultra-poor and marginalized people benefit from the natural resources of their communities. ANSAB is also deeply involved in climate change mitigation and adaptation as the issue continues to threaten the environmental and economic progresses achieved so far – in Nepal as in the rest of the world.

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