



FSC INTERIM FOREST STEWARDSHIP STANDARD FOR BOTSWANA

FSC-STD-BWA-01-2024 EN



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Okavango Delta Riparian Woodlands - Hotspot for Wildlife in Botswana © Mmusi Mmusi

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

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A. FOREWORD

(Informative section)

A.1 The Forest Stewardship Council (FSC)

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

FSC provides a system for voluntary accreditation and independent third-party certification. This system allows certificate holders to market their products and services as the result of environmentally appropriate, socially beneficial and economically viable forest management. FSC also sets standards for the development and approval of Forest Stewardship Standards and Interim Forest Stewardship Standards which are based on the FSC Principles and Criteria. In addition, FSC sets standards for the accreditation of conformity assessment bodies (also known as certification bodies) that certify conformance with FSC's standards.

Environmentally appropriate forest management ensures that the production of timber, non-timber products and ecosystem services maintains the forest's biodiversity, productivity, and ecological processes.

Socially beneficial forest management helps both local people and society at large to enjoy long term benefits and also provides strong incentives to local people to sustain the forest resources and adhere to long-term management plans.

Economically viable forest management means that forest operations are structured and managed so as to be sufficiently profitable, without generating financial profit at the expense of the forest resource, the ecosystem, or affected communities. The tension between the need to generate adequate financial returns and the principles of responsible forest operations can be reduced through efforts to market the full range of forest products and services for their best value.

A.2 The FSC Principles and Criteria

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

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

The FSC Principles and Criteria together with the IGI provide the basis for the development of locally adapted Forest Stewardship Standards (FSS).

B PREAMBLE

B.1 Objective

(Informative section)

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

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

B.2 Scope

(Normative section)

This standard shall be applied in the following scope:

Geographic region	Republic of Botswana
Forest types	All forest types
Ownership types	All types of ownerships, including public, private and others
Scale and intensity categories (According to section 6 of FSC-STD-60-002)	All categories of Management Units, including provisions for small or low intensity managed forests (SLIMFs)
Forest products (According to FSC-STD-40-004a)	Rough wood, Biomass (Fuel Wood), NTFPs: Natural cork, Rattan cane, Natural bamboo, Edible bamboo, Flowers, Grasses, ferns, mosses and Lichens, Whole trees or plants, Pine cones, Rubber/ Latex, Gum resin, Medicinal plants, Nuts, Tea, Mushrooms, truffles, Fruits, Game, Honey.

B.3 Responsibility for Conformance

(Normative section)

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

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

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

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

Responsibility for ensuring conformity with the requirements in this standard lies with the person(s) or entities that is/are the certification applicant or holder. For the purpose of FSC certification this person(s) or entities are referred to as 'The Organization'.

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

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

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

B.4 Note on the use of normative and non-normative elements in the standard

(Normative section)

Normative elements in the standard are:

Scope, effective date, validity period, Glossary of Terms, Principles, Criteria, indicators, tables and Annexes, unless indicated otherwise.

NOTE: With regard to the auditing of Annexes, when an indicator refers to an Annex, the conformity assessment shall cover both the indicator and the corresponding requirements in the Annex, unless the Annex is explicitly categorized as 'informative'.

Sub-indicators in an Annex contribute to the conformity assessment at the level of criterion in the same way as sub-indicators listed in an indicator within the main body of the standard.

Non-normative elements in the standard that can be used for guidance only, are:

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

Auditors may use other means for verification where appropriate. Forest managers may also use verifiers as a guide to what may be required to demonstrate conformity.

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

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

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

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

Verbal forms for the expression of provisions

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

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

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

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

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

The text of the Principles and the Criteria under section F contain terms that are formatted in italics and marked with an *asterisk**. These terms are defined in the Glossary of Terms annex. The terms that have been marked with an *asterisk** and formatted in italics in the indicators’ text, are local terms which have been added to apply to the local circumstances for this standard only. These local terms are defined in the Glossary of Terms annex.

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

B.5 Interpretations and Disputes

(Normative section)

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

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

C CONTEXT

C.1 General description of the forestry sector

(Informative section)

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

There are basically three types of land tenure in Botswana:

- Freehold: land owned by individuals or group who have exclusive rights or control over its use and the land can be transferred from one owner to another without obtaining permission from the state. It is 5% of the total land area of Botswana.
- Tribal: different tribes throughout the country own land and its administration is through the Tribal Land Board under the authority of the Land Act. This land covers 71% of the country.
- State: this type constitutes 24% of Botswana and it is owned by the state and is used at present in a number of ways.

Land in Botswana is extensively used in enterprises such as cattle and large-scale arable farming. Besides agriculture, land is needed for uses such as industries and wildlife. Public transport systems such as roads, railways and airports; urban areas and the development of new towns; industrial uses such as mining and areas concerned with the national heritage uses about 1% of the country's forest resources.

Agricultural lands cover about 46.2% of total land area and include arable lands used for growing crops to sustain the population as well as grazing areas for the livestock industry. Conservation areas cover about 20% of Botswana and are specified as areas for protection of natural resources of flora and fauna.

Natural woodlands and forests in Botswana account for about 26.7% of the total land area of 566,730 km² but only about 0.5% of the total forest area is reserved for forest management. There are 6 forest reserves with a total area of 455,000 ha. The reserves consist predominantly of Miombo woodlands, in which Mukusi (*Baikiaea plurijuga*) and Mukwa (*Pterocarpus angolensis*).

The total plantation area is estimated at about 1,200 ha. in the country. 85% of this plantation area is owned by government while 15% is private own woodlots. Woodlots are planted mainly with Eucalyptus species of unknown provenance. Data on production levels of these woodlots is lacking; hence it is impossible to reveal their status. Tietema (1986) estimated the yields of one of largest woodlots in Molepolole at 1.46 t/ha/year.

Botswana Energy Master Plan (1986) estimated the annual consumption of firewood at 484,000 tons per annum. The importance of fuelwood as a source of energy for both urban and major settlements has promoted the trade of the resource between these centres and rural dwellers (Kgathi, 1984). The trade is considered to be a source of income for many poor rural communities, and it is used to supplement low agricultural productivity. The country's non-wood forest products are essential for the well-being of a majority of the population and vital to local economies and environment. These resources support rural families because they have direct access to them. Examples of common non-timber forest products (NTFPs) include food plants; forage that support livestock industry and handicrafts, medicinal plants; fibres and wildlife species.

Botswana forestry sector is governed and guided by national and international policy and legislative instruments, which seek to promote conservation and sustainable utilization of forest resources. The Botswana Forest Act (1968) provides for the better regulation and protection of forests and forest produce in Botswana and matters incidental thereto. The Act is aimed at the protection of areas designated as forest reserves and calls for the protection of trees declared as 'protected timber trees' that fall within areas

designated as state land. Botswana has ratified 10 Multilateral Environmental Agreements (MEAs) dealing with the key issues of climate change, drought and desertification, biological diversity, and waste management. Botswana has also adopted three strategic plans: a National Action Plan under the United Nations Convention on Biological Diversity, the Okavango Delta Management Plan and the Makgadikgadi Framework Management Plan. The Okavango Delta is a Ramsar site. Botswana is now in the process of formulating a new national forest policy that will be coherent with national policy, legal and institutional frameworks. This new policy defines the roles and mandates of the administrative and functional structures of all stakeholders in forestry. Stakeholders include government and non-governmental institutions; private sectors; and local or traditional institutions. The government already recognizes the role of NGOs in the development of the forestry sector.

The timber manufacturing industry employs on average approximately 3,000 people (CSO, 2002).

According to the National Energy estimates /Energy Statistics, Ministry of Minerals Energy Water Affairs, 80% of the wood produced is used as fuelwood, mostly in rural households. Other uses of non-timber forest products (NTFPs) are allowed and controlled under the community based natural resources management arrangement as per the Forestry Act. Though very little is known about the quantity and quality of forest lost annually in Botswana, there is visual evidence of fast depletion of forest resources in many highly populated areas of Botswana.

Exports of forest products in Botswana have not been recorded for many years. The companies harvesting timber from a couple of timber concession areas and forest reserves export round logs and sawn timber to Zimbabwe and South Africa. There has never been any formal export of forest products. Nevertheless, these forests offer many important services like food, construction material, traditional medicine and a wide array of other domestic needs. They also meet other broad base objectives such as environmental protection, eco-tourism, biodiversity conservation and protection of critical ecosystems services.

Botswana has an exceptionally rich biodiversity. It is home to the highest concentration of elephants in Africa (about 130,500 elephants), and approximately 150 mammalian species live in Botswana, including the Big Five – lions, African elephants, leopards, cape buffaloes, and black rhinos. It is also home to over 200 species of amphibians and reptiles, and more than 460 species of birds.

Botswana is also one of Africa's most popular and exclusive safari destinations. It is a fascinating home to well-known landmarks such as the Okavango Delta, the Kalahari Desert and the Chobe National Park. The Botswana ecotourism certification system for rating lodges and camps in an effort to conserve the country's natural resources, wildlife and cultural heritage, encourages sustainable and responsible behavior by tourism businesses in terms of environment, wildlife and people. This existing ecotourism initiative, the rich biodiversity and the natural forests in protected areas and reserves offers a huge opportunity to develop responsible ecosystem services management and certification strategies. Bush encroachment is widespread in communal rangelands, leading to an increase in woody (shrub) biomass that needs to be responsibly managed.

In line with the national developmental objective of improving livelihoods through sustainable natural resources utilization, Botswana continues to implement strategies in sustainable natural resources management and livelihood improvement.

Several strategies and programmes relevant and related to the forestry sector have been developed. These include the management of Indigenous Vegetation for the Rehabilitation of Degraded Rangelands, Sustainable Land Management, and Capacity Building for Conservation of the Okavango Delta (Botswana Wetland). The Ministry of Environment, Natural Resources Conservation and Tourism through its specialized departments is working hand in hand with relevant partners to ensure that the forest resources are responsibly managed.

Although Botswana voted in favor of and adopted the UN Declaration on the Rights of Indigenous Peoples, the Botswanan government does not recognize any specific ethnic groups as indigenous to the country, maintaining instead that all citizens of the country are indigenous. A percentage of 3.3% of the population

in Botswana considers itself to be indigenous. There are no specific laws on Indigenous Peoples' rights in Botswana nor is the concept of Indigenous Peoples included in the Constitution.

Furthermore, Botswana has not signed the only international human rights convention that deals with Indigenous Peoples: ILO Convention No. 169. However, the recent UN Special Rapporteur report has identified about eight groups of Indigenous People in Botswana, this include the Basarwa, the Bakgalagadi, the Wayeyi, and the Hambukushu.

Also, the International Working Group for Indigenous Affairs (IWGIA) provide information that some groups maintain that they are Indigenous People of Botswana including the minority San or Baswara people, whom in July 2015, numbered at 62,500 persons. Other Indigenous Peoples inhabiting the southern part of the Botswana include Balala, who number some 1,700 in Southern (Ngwaketse) District and extending into Kgalagadi District. The Nama, a Khoekhoe-speaking people who number 2,100 are also found in the south, extending into Namibia and South Africa.

These Indigenous Peoples are mostly hunter-gatherers, and the San are among the oldest cultures on Earth and are thought to be descended from the first inhabitants of what is now Botswana and South Africa. The San and all minorities sub ethnic groups are considered as the first peoples of the Kalahari.

These non-dominant indigenous groups face challenges in participating in district level governance processes, even in districts where their communities are numerically sizeable. Though the Indigenous Peoples of Botswana struggle with relocation from their ancestral territories due to droughts; establishment of protected areas, pollution of their water sources by mining operations, it remains a struggle for Indigenous Peoples in Botswana to remain on their ancestral lands. They still strive to maintain their ancestral environments and systems as distinctive peoples and communities. This is an expression of cultural pride on the part of the indigenous groups. The Indigenous Peoples in Botswana are making their voice heard through of large the San Youth Network (SYNet) which is an Indigenous Organization in Botswana and operating through networking and partnership.

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C.2 Background information on the standard development

(Informative section)

This standard was developed according to the rules and regulations laid out in FSC-PRO-60-007 V1-2 in the period from January 2022 to February 2023. Two stakeholder consultations were conducted, the first from 04 October 2022 to 02 December 2022, and the second from the 14 January 2023 to 13 February 2023. In addition, two face-to-face stakeholder consultation meetings were held on the 20th and 22nd September 2022, in Gaborone and Maun cities respectively.

Note: If required, further information is available from PSU upon request.

D REFERENCES

(Informative section)

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

FSC-POL-20-003	<i>FSC Policy on the Excision of Areas from the Scope of Certification</i>
FSC-POL-30-001	<i>FSC Pesticides Policy</i>
FSC-POL-30-602	<i>FSC Interpretation on GMOs: Genetically Modified Organisms</i>
FSC-STD-20-007	<i>Forest Management Evaluations</i>
FSC-STD-30-005	<i>FSC Standard for Group Entities in Forest Management Groups</i>
FSC-PRO-01-008	<i>Processing Complaints in the FSC Certification Scheme</i>
FSC-PRO-30-006	<i>Ecosystem Services Procedure: Impact Demonstration and Market Tools</i>
FSC-DIR-20-007	<i>FSC Directive on FSC Forest Management Evaluations</i>
FSC-GUI-30-003	<i>FSC Guidelines for the implementation of the right to Free, Prior and Informed Consent (FPIC)</i>
FSC-GUI-60-005	<i>Promoting Gender Equality in National Forest Stewardship Standards</i>
FSC-STD-01-003	<i>SLIMF Eligibility Criteria</i>
FSC-STD-60-002	<i>Structure and Content of National Forest Stewardship Standards</i>
FSC-STD-60-004	<i>International Generic Indicators (IGI)</i>
FSC-PRO-60-007	<i>Structure, Content and Development of Interim National Standards</i>
FSC-GUI-60-009	<i>Guidance for Standard Development Groups: Developing</i>
FSC-GUI-60-009a	<i>Template for National High Conservation Value Frameworks</i>

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

E LIST OF ABBREVIATIONS

(Informative section)

BWA	Botswana
BKC	Botswana Khwedom Council
BUAN	Botswana University of Agriculture and Natural Resources
CBs	Certification Bodies
CBD	Convention on Biological Diversity
CITES	Convention on international trade in endangered species of flora and fauna
CBD	Convention on Biological Diversity
DEA	Department of Environmental Affairs
DFRR	Department of Forestry and Rangeland Resources
DWNP	Department of Wildlife and National Parks
EN	English
FAO	Food and Agriculture Organization
FWB	Forest Conservation Botswana
FRs	Forest Reserves
FSC	Forest Stewardship Council
FPIC	Free, Prior and Informed Consent
GMO	Genetically Modified Organisms
HCV	High Conservation Values
HCVRN	High Conservation Values Resource Network
IP	Indigenous Peoples
IFL	Intact Forest Landscape
IFSS	Interim Forest Stewardship Standard
IWGIA	International Work Group for Indigenous Affairs
INT	International
IEC	International Electrotechnical Commission
IGI	International Generic Indicators
ILO	International Labour Organization
ISO	International Standard Organization
IUCN	International Union for Conservation of Nature
KPF	Kalahari Peoples Fund
KWT	Kalahari Wildlands Trust
KFO	Kuru Family of Organizations
SEIA	Social Environmental Impact Assessment
SLIMFs	Low Intensity Managed Forests

MU	Management Unit
MSDS	Material Safety Data Sheet
MAI	Mean Annual Increment
MENT	Ministry of Environment, Natural Resources Conservation and Tourism
NBSAP	National Biodiversity Strategic and Action Plan
NFSS	National Forest Stewardship Standards
NTFP	Non-Timber Forest Products
ORI-UB	Okavango Research Institute of the University of Botswana
OKACOM -	Okavango River Basin Water Commission
PPE	Personal Protective Equipment
PRO	Procedure
RTE	Rare Threatened and Endangered
SIR	Scale Intensity and Risk
SASSCCC	Service Center for Climate Change and Adaptive Management
SLIMF	Small or Low Intensity Management Forests
STD	Standard
SOP	Standard Operation Procedures
TWG	Technical Working Group
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNEP	United Nations Environment Programme
WMA	Wildlife Management Areas
WIMSA	Working Group of Indigenous Minorities in Southern Africa

F PRINCIPLES*, CRITERIA* AND INDICATORS*

(Normative section)

PRINCIPLE* 1: COMPLIANCE WITH LAWS

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

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

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

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

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

Verifiers: Registration documents that are legally acceptable.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1.5 *The Organization* shall comply with the applicable national laws*, local laws, ratified* international conventions and obligatory codes of practice*, relating to the transportation and trade of forest products within and from the Management Unit*, and/or up to the point of first sale.*

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

Verifiers: Log Measurement and Conveyance Certificate (LMCC), and Evidence of Registration of transporting Vehicle.

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

1.6 *The Organization* shall identify, prevent and resolve disputes* over issues of statutory or customary law*, which can be settled out of court in a timely manner*, through engagement* with affected stakeholders*.*

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

Verifiers: Discussion with stakeholders, discussion with managers.

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

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

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

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

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

1.6.4 Operations cease in areas where disputes exist:

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

Verifiers: Interviews with Managers, Interviews with affected stakeholders.

1.7 The Organization* shall publicize a commitment not to offer or receive bribes in money or any other form of corruption, and shall comply with anti-corruption legislation where this exists. In the absence of anti-corruption legislation, The Organization* shall implement other anti-corruption measures proportionate to the scale* and intensity* of management activities and the risk* of corruption.

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

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

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

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

1.7.2 The policy meets or exceeds related legislation.

Verifiers: Review of Organization Policy, Interviews with managers

1.7.3 The policy is publicly available at no cost.

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

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

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

1.7.5 Corrective measures are implemented if corruption does occur.

Verifiers: Evidence of disciplinary action, interviews with Organizations' senior management, Records of punishment and corrective measures taken, records of incidences, and various stakeholders.

1.8 The Organization* shall demonstrate a long-term* commitment to adhere to the FSC Principles* and Criteria* in the Management Unit*, and to related FSC Policies and Standards. A statement of this commitment shall be contained in a publicly available* document made freely available.

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

Verifiers: Management plan with commitments consistent with FSC Principles and Criteria and related Policies and Standards.

1.8.2 The policy is publicly available at no cost.

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

PRINCIPLE* 2: WORKERS* RIGHTS AND EMPLOYMENT CONDITIONS

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

2.1 The Organization* shall uphold* the principles and rights at work as defined in the ILO Declaration on Fundamental Principles and Rights at Work* (1998) based on the eight ILO Core Labour Conventions*.

2.1.1 The Organization shall not use child labour.

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

2.1.1.2 Employment of persons between the ages of 14 and 18 years in light work should not interfere with schooling nor, be harmful to their health or development and they shall work only outside of school hours during normal day-time working hours.

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

2.1.1.4 The Organization shall prohibit worst forms of child labour.

Verifiers: Employment contracts, interviews with workers

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

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

Verifiers: Employment contracts, interviews with workers

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

- 1) Physical and sexual violence
- 2) Bonded labour
- 3) Withholding of wages /including payment of employment fees and or payment of deposit to commence employment
- 4) Restriction of mobility/movement
- 5) Retention of passport and identity documents
- 6) Threats of denunciation to the authorities.

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

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

2.1.3.1 Employment and occupation practices are non-discriminatory.

Verifiers: Non-discriminatory Labour Policy in The Organization's documents. For example: Management plan, meeting proceedings and associated decisions, interview with workers, interview with other stakeholders.

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

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

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

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

2.1.4.4 Collective bargaining agreements are implemented where they exist.

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

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

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

Verifiers: Training reports and attendance register, Reports, Staff roster with gender identified, interviews with workers.

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

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

2.2.3 Work typically carried out by women (nurseries, silviculture, non-timber forest product harvesting, weighing, packing, etc.) is included in training and health & safety programs to the same extent as work typically carried out by men.

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

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

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

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

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

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

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

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

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

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

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

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

Verifiers: Organizational policy, interviews with workers.

2.3 ***The Organization* shall implement health and safety practices to protect workers* from occupational safety and health hazards. These practices shall, proportionate to scale, intensity and risk* of management activities, meet or exceed the recommendations of the ILO Code of Practice on Safety and Health in Forestry Work.***

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

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

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

Verifiers: Records of health and safety trainings, Field observation of health and safety tools (e.g. first aid kits), records of health care services to workers.

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

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

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

2.3.3 Use of personal protective equipment is enforced.

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

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

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

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

Verifiers: District Forest office reports, managers.

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

Verifiers: Incidents and Accidents records that compared to the national levels where available.

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

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

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

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

2.4 ***The Organization* shall pay wages that meet or exceed minimum forest* industry standards or other recognized forest* industry wage agreements or living wages*, where these are higher than the legal* minimum wages. When none of these exist, The Organization* shall through engagement* with workers* develop mechanisms for determining living wages*.***

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

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

2.4.2 Wages paid meet or exceed:

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

Verifiers: Wage payment records, interview with workers and employers

2.4.3 [Not applicable in Botswana] When no minimum wage levels exist, wages established through culturally appropriate engagement with workers and/or formal and informal workers organization.

2.4.4 Wages, salaries and contracts are paid on time.

Verifiers: Wages payment records, interviews with workers.

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

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

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

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

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

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

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

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

2.6.1 A dispute resolution process, developed and documented through culturally appropriate engagement with workers is in place.

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

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

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

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

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

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

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

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

PRINCIPLE* 3: INDIGENOUS PEOPLES'* RIGHTS

The Organization* shall identify and **uphold*** **Indigenous Peoples'* legal*** and **customary rights*** of ownership, use and management of land, **territories*** and resources affected by management activities.

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

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

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

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

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

Verifiers: Management plan, records and meeting minutes, maps, interviews with Indigenous Peoples.

3.2 **The Organization*** shall recognize and **uphold*** the **legal*** and **customary rights*** of **Indigenous Peoples*** to maintain control over management activities within or related to the **Management Unit*** to the extent necessary to protect their rights, resources and **lands and territories***. **Delegation by Indigenous Peoples*** of control over management activities to third parties requires **Free, Prior and Informed Consent***.

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

Verifiers: Meeting minutes obtained from Organization management, Organization's monitoring report, Interviews with Indigenous Peoples.

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

Verifiers: Interview with Indigenous Peoples, Field observation, grievance records.

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

Verifiers: Record of grievance and resolution, management decisions, interview with Indigenous Peoples and interested stakeholders.

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

- 1) Ensuring Indigenous Peoples know their rights and obligations regarding the resource;
- 2) Informing the Indigenous Peoples of the value of the resource, in economic, social and environmental terms;
- 3) Informing the Indigenous Peoples of their right to withhold or modify consent to the proposed management activities to the extent necessary to protect their rights, resources, lands and territories; and
- 4) Informing the Indigenous Peoples of the current and future planned forest management activities.

Verifiers: Free, Prior and Informed Consent (FPIC) document, records of training and awareness program, interviews with Indigenous Peoples, any meeting minutes that were set between Management of the Organization and Indigenous Peoples.

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

Verifiers: FPIC document, interviews with Indigenous Peoples, any meeting minutes that were set between Management of the Organization and Indigenous Peoples.

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

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

NOTE: Terms and Conditions may be guided by the national policies.

Verifiers: Signed Agreements, meeting minutes, interviews with Indigenous Peoples.

3.3.2 Records of binding agreements are maintained by the Organization.

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

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

Verifiers: Signed Agreements, Organization reports, any associated meeting minutes, social monitoring report involving Indigenous People.

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

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

Verifiers: Grievance records, commitments in the Management plan, interviews with Indigenous Peoples.

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

Verifiers: Interviews with Indigenous Peoples, Grievance records, meeting minutes and decisions.

3.5 The Organization*, through engagement* with Indigenous Peoples*, shall identify sites which are of special cultural, ecological, economic, religious or spiritual significance and for which these Indigenous Peoples* hold legal* or customary rights*. These sites shall be recognized by The Organization* and their management, and/or protection* shall be agreed through engagement* with these Indigenous Peoples*.

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

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

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

Verifiers: Field observation, records of measures implemented, interviews with Indigenous Peoples, Annual monitoring program/plan.

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

Verifiers: Field observation, interview with Indigenous Peoples, Annual Monitoring Reports.

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

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

Verifiers: FPIC document, Signed Agreement, Documentation including Management plan, record of indigenous knowledge, meeting minutes, interviews with Indigenous Peoples.

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

Verifiers: Interviews with representatives of Indigenous Peoples, interviews with senior Management and their decisions, Proof of compensation and its nature of incentives.

PRINCIPLE* 4: COMMUNITY RELATIONS

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

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

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

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

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

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

4.2 **The Organization*** shall recognize and uphold* the **legal*** and **customary rights*** of **local communities*** to maintain control over management activities within or related to the **Management Unit*** to the extent necessary to protect their rights, resources, lands and **territories***. Delegation by **traditional peoples*** of control over management activities to third parties requires **Free, Prior and Informed Consent***.

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

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

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

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

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

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

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

- 1) Ensuring traditional peoples know their rights, obligations and benefits regarding the resource;
- 2) Informing the traditional peoples of the value of the resource, in economic, social and environmental terms;
- 3) Informing the traditional peoples of the right to withhold or modify consent to the proposed management activities to the extent necessary to protect their rights and resources; and
- 4) Informing the traditional peoples of the current and future planned forest management activities.

Verifiers: Detailed report on the process of achieving FPIC, interviews with representatives of traditional peoples, Interviews with senior management of the Organization, Any meeting minutes.

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

Verifiers: FPIC document, Memorandum of Agreement, interviews with traditional peoples and proceedings with engaging traditional peoples or meeting minutes.

4.3 *The Organization* shall provide reasonable* opportunities for employment, training and other services to local communities*, contractors and suppliers proportionate to scale* and intensity* of its management activities.*

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

- 1) Employment,
- 2) Training, and
- 3) Other services.

SLIMF 4.3.1 Preference is given to local people and services.

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

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

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

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

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

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

SLIMF 4.4.2 Local products and services are used.

Verifiers: Interviews with local communities.

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

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

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

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

Verifiers: Record of mitigation measures and its implementation documented.

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

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

4.6 The Organization*, through engagement* with local communities*, shall have mechanisms for resolving grievances and providing fair compensation* to local communities* and individuals with regard to the impacts of management activities of The Organization*.

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

Verifiers: Dispute resolution process publicly available, Documented dispute resolution process, management decisions, interviews with stakeholders.

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

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

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

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

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

4.6.4 Operations cease in areas while disputes exist of:

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

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

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

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

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

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

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

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

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

4.8 *The Organization shall *uphold** the right of *traditional peoples** to *protect** and utilize their *Traditional Knowledge** and shall compensate them for the utilization of such knowledge and their *intellectual property**. A *Binding agreement** as per *Criterion** 3.3 shall be concluded between *The Organization** and the *traditional peoples** for such utilization through *Free, Prior and Informed Consent** before utilization takes place, and shall be consistent with the *protection** of *intellectual property** rights.**

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

Verifiers: Management plan, FPIC document, documented records of traditional peoples' knowledge, interview with managers, interview with traditional peoples.

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

Verifiers: Proof of compensations, interviews with traditional peoples.

PRINCIPLE* 5: BENEFITS FROM THE FOREST*

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

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

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

Verifiers: List of resources and NTFPs identified in the Management Plan, interviews with Managers, record of ecosystem products and services, and interviews with Managers.

SLIMF 5.1.1 The Organization is aware of the range of resources and ecosystem services that could strengthen and diversify the local economy.

Verifiers: Record of ecosystem products and services, list of resources identified in the Management plan, interviews with Managers.

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

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

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

Verifiers: Ecosystem System as indicated in the Management plan.

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

5.2.1 Timber harvesting levels are based on approved management plan prescriptions and other Best Available Information on growth and yield; inventory of the forest; mortality rates; and maintenance of ecosystem functions.

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

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

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

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

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

5.2.4 For extraction of commercially harvested services and non-timber forest products under The Organization's control, a sustainable harvest level is calculated and adhered to. Sustainable harvest levels are based on approved management plan prescriptions and Best Available Information.

Verifiers: Management plan, harvest plan, records, sales records, field observation, interviews with managers, Best Available Information at regional and sub regional levels.

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

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

Verifiers: Management plan, Environmental management monitoring and evaluation reports, interviews with stakeholders.

5.3.2 Benefits related to positive social and environment impacts of management activities are identified and documented.

Verifiers: Management plan, Environmental management monitoring and evaluation reports, interviews with stakeholders.

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

5.4.1 Where cost, quality and capacity of non-local and local options are at least equivalent, local goods, services, processing and value-added facilities are used.

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

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

Verifiers: Management plan, interview with stakeholders.

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

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

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

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

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

PRINCIPLE* 6: ENVIRONMENTAL VALUES* AND IMPACTS

The Organization* shall maintain, *conserve** and/or *restore** *ecosystem services** and *environmental values** of the *Management Unit**, and shall avoid, repair or mitigate negative environmental impacts.

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

6.1.1 Best available information including culturally appropriate engagement with affected stakeholders and interested stakeholders is used to identify environmental values within, and, where potentially affected by management activities, outside of the Management Unit.

Verifiers: Use of the best available information from the Botswana Department of Forestry and Range Resources.

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

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

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

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

6.2 **Prior to the start of site-disturbing activities, The Organization*** shall identify and assess the *scale, intensity and risk** of potential impacts of management activities on the identified *environmental values**.

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

Verifiers: Environmental Impact Assessment reports, Management plans.

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

NTFP 6.2.1 An environmental impact assessment, according to the scale, intensity and risk of the operations, identifies potential present and future impacts of management activities on environmental values and non-timber forest products, from the stand level to the landscape level.

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

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

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

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

6.3.2 Management activities prevent negative impacts to environmental values.

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

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

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

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

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

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

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

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

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

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

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

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

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

Verifiers: Management plan, HCV maps, management decisions, Field observation, interviews with managers, species recovery programs, environmental performance checklist.

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

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

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

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

Verifiers: Management multi-resource inventory documents, Management plan, management unit (MU) maps, Forest monitoring reports, interviews with managers.

SLIMF 6.5.1 Best Available Information is used to identify native ecosystems that exist, or would exist under natural conditions, within the management unit on the scale, intensity and risk of the operations.

Verifiers: Management inventory documents, Management plan, MU maps, forest monitoring reports, interviews with managers

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

Verifiers: Maps, Management plan and field observation.

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

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

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

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

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

Verifiers: Management plan, Annual plan, maps, field observation, interviews with Managers.

6.6 *The Organization* shall effectively maintain the continued existence of naturally occurring native species* and genotypes*, and prevent losses of biological diversity*, especially through habitat* management in the Management Unit*. The Organization* shall demonstrate that effective measures are in place to manage and control hunting, fishing, trapping and collecting.*

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

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

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

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

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

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

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

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

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

6.6.6 An internal regulation is in place banning and punishing the transportation of and trade in bushmeat and firearms in the facilities and vehicles of The Organization.

6.6.7 A system of regular and punctual controls to ensure hunting policies are respected is implemented.

6.6.8 Effective mitigation measures are in place to ensure that workers do not increase hunting, trapping or collecting of bush meat or wild fish.

NOTE: Illegal hunting, trapping or collection of bushmeat including wild fish is not allowed in Botswana. This applies to SLIMF as well.

6.7 *The Organization* shall protect* or restore* natural water courses, water bodies*, riparian zones* and their connectivity*. The Organization* shall avoid negative impacts on water quality and quantity and mitigate and remedy those that occur.*

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

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

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

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

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

Verifiers: Record of damaged water sources by past activities, annual plan of operations, monitoring report, interviews with managers, field observation.

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

Verifiers: Management plan, annual plan, monitoring report, interviews with managers, field observation.

6.8 ***The Organization* shall manage the landscape* in the Management Unit* to maintain and/or restore* a varying mosaic of species, sizes, ages, spatial scales* and regeneration cycles appropriate for the landscape values* in that region, and for enhancing environmental and economic resilience*.***

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

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

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

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

6.9 ***The Organization* shall not convert natural forest* to plantations*, nor natural forests* or plantations* on sites directly converted from natural forest* to non-forest* land use, except when the conversion:***

a) Affects a Very Limited portion* of the area of the Management Unit*, and

b) Will produce clear, substantial, additional, secure long-term conservation* benefits in the Management Unit*, and

c) Does not damage or threaten High Conservation Values*, nor any sites or resources necessary to maintain or enhance those High Conservation Values*.

6.9.1 There is no conversion of natural forest or High Conservation Value Areas to plantations or to non-forest land use, nor transformation of plantations on sites directly converted from natural forest to non-forest land use, except when it:

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

2) Will produce clear, substantial, additional, secure, long-term conservation and social benefits in the Management Unit; and

3) Does not damage or threaten High Conservation Values, nor any sites or resources necessary to maintain or enhance those High Conservation Values.

6.10 Management Units* containing plantations* that were established on areas converted from natural forest* after November 1994 and 31 December 2020 shall not qualify for certification, except where:

- a) The conversion affected a *very limited portion** of the *Management Unit** and is producing clear, substantial, *additional**, secure long-term *conservation** benefits in the *Management Unit**, or
- b) *The Organization** which was *directly** or *indirectly** involved in the conversion demonstrates *restitution** of all *social harms** and *proportionate* remedy** of *environmental harms** as specified in the applicable FSC Remedy Framework, or
- c) *The Organization** which was not involved in the conversion but has acquired *Management Units** where conversion has taken place demonstrates *restitution** of *priority social harms** and *partial remedy** of *environmental harms** as specified in the applicable FSC Remedy Framework.

6.10.1 Based on Best Available Information, accurate data is compiled on all conversions between 1 December 1994 and 31 December 2020 within the Management Unit.

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

6.10.2 Areas converted from natural forest to plantation between 1 December 1994 and 31 December 2020 are not certified, except where:

- 1) The conversion affected a very limited portion of the Management Unit and is producing clear, substantial, additional, secure long-term conservation benefits in the Management Unit, or
- 2) The Organization which was directly or indirectly involved in the conversion demonstrates restitution of all social harms and proportionate remedy of environmental harms as specified in the applicable FSC Remedy Framework, or
- 3) The Organization which was not involved in conversion but has acquired Management Units where conversion has taken place demonstrates restitution of priority social harms and partial remedy of environmental harms as specified in the applicable FSC Remedy Framework, or
- 4) The Organization qualifies as a small-scale smallholder.

6.11 Management Units* shall not qualify for certification if they contain natural forests* or High Conservation Value* areas converted after 31 December 2020, except where the conversion*:

- a) *Affected a very limited portion** of the *Management Unit**, and
- b) *Is producing clear, substantial, additional**, *secure long-term* conservation** and *social benefits in the Management Unit**, and
- c) *Did not threaten High Conservation Values**, nor any sites or resources necessary to maintain or enhance those *High Conservation Values**.

6.11.1 Based on Best Available Information, accurate data is compiled on all conversions of natural forests and High Conservation Value Areas after 31 December 2020 within the Management Unit.

6.11.2 Areas where natural forests or High Conservation Value Areas have been converted after 31 December 2020 are not certified, except where the conversion:

- 1) affected a very limited portion of the Management Unit, and
- 2) is producing clear, substantial, additional, secure long-term conservation and social benefits in the Management Unit, and
- 3) did not threaten High Conservation Values, nor any sites or resources necessary to maintain or enhance those High Conservation Values.

PRINCIPLE* 7: MANAGEMENT PLANNING

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

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

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

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

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

Verifiers: Company operational procedures, annual operation plans, Management plan.

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

Verifiers: Management plan, Organization's operational procedures.

7.2 The Organization* shall have and implement a **management plan*** for the **Management Unit*** which is fully consistent with the policies and **management objectives*** as established according to **Criterion*** 7.1. The **management plan*** shall describe the natural resources that exist in the **Management Unit*** and explain how the plan will meet the FSC certification requirements. The **management plan*** shall cover **forest*** management planning and social management planning proportionate to **scale, intensity and risk*** of the planned activities.

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

Verifiers: Management plan, Guidelines, operational procedures.

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

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

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

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

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

7.4 The Organization* shall update and revise periodically the management planning and procedural documentation to incorporate the results of monitoring and evaluation, stakeholder engagement* or new scientific and technical information, as well as to respond to changing environmental, social and economic circumstances.

7.4.1 The management plan is revised and updated periodically consistent with Annex F to incorporate:

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

Verifiers: Updated Management Plan.

7.5 The Organization* shall make publicly available* a summary of the management plan* free of charge. Excluding confidential information*, other relevant components of the management plan* shall be made available to affected stakeholders* on request, and at cost of reproduction and handling.

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

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

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

Verifiers: Interviews with affected stakeholders, abstract of the management plan.

7.6 The Organization* shall, proportionate to scale, intensity and risk* of management activities, proactively and transparently engage affected stakeholders* in its management planning and monitoring processes, and shall engage interested stakeholders* on request.

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

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

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

7.6.2 Culturally appropriate engagement is used to:

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

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

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

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

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

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

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

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

PRINCIPLE* 8: MONITORING AND ASSESSMENT

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

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

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

Verifiers: Management plan, records of monitoring activities, interviews with managers.

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

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

Verifiers: Social Environmental Impact Assessment (SEIA) reports, interviews with managers, interviews with stakeholders.

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

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

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

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

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

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

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

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

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

Verifiers: Record of monitoring, interviews with stakeholders, evidence of dissemination of monitoring results on request.

8.5 The Organization* shall have and implement a tracking and tracing system proportionate to scale, intensity and risk* of its management activities, for demonstrating the source and volume in proportion to projected output for each year, of all products from the Management Unit* that are marketed as FSC certified.

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

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

NTPF 8.5.1.1 For honey: It is demonstrated based on best available information or pollen analysis that at least 50% of the collected pollen originates from within the FSC certified Management Unit before the honey can be sold with FSC claim: FSC 100%.

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

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

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

Verifiers: Sales and purchase records, interviews with Organization managers, field observation.

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

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

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

PRINCIPLE* 9: HIGH CONSERVATION VALUES*

The *Organization** shall maintain and/or enhance the *High Conservation Values** in the *Management Unit** through applying the *precautionary approach**.

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

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

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

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

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

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

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

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

Verifiers: HCV assessment framework, Management plan, Resource map showing HCV area, interview with Organization managers and relevant experts and stakeholders, field observation.

SLIMF Verifiers: HCV assessment report, HCV location maps, HCV participative maps, interviews with relevant experts and stakeholders.

9.1.2 [Not applicable in Botswana] This assessment includes identification of Intact Forest Landscapes, as of January 1, 2017.

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

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

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

9.2.1 Threats to High Conservation Values are identified using best available information.

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

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

Verifiers: Management plan, HCV management strategies.

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

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

9.2.4 [Not applicable in Botswana] Management strategies are developed to protect core areas.

9.2.5 [Not applicable in Botswana] The vast majority of each Intact Forest Landscape is designated as core area.

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

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

9.2.7 [Not applicable in Botswana] Management strategies allow limited industrial activity within core areas only if all effects of industrial activity including fragmentation:

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

9.3 The Organization* shall implement strategies and actions that maintain and/or enhance the identified High Conservation Values*. These strategies and actions shall implement the precautionary approach* and be proportionate to the scale, intensity and risk* of management activities.

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

Verifiers: Records of implemented activities, interviews with managers, monitoring report, field observation.

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

Verifiers: Management plan indicating high risk intensity, High Conservation Value (HCV) strategies and measures implemented, interviews with managers, HCV monitoring reports, field observation.

9.3.3 [Not applicable in Botswana] Core areas are protected consistent with Criterion 9.2.

9.3.4 [Not applicable in Botswana] Limited industrial activity in core areas is consistent with Indicator 9.2.7.

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

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

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

9.4.1 A program of periodic monitoring assesses:

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

Verifiers: Management plan, interviews with managers, HCV Monitoring/evaluation reports, field observation.

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

Verifiers: Composition of monitoring team, records of consultation meetings and attendance lists, interviews with stakeholders, field observation.

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

Verifiers: Management Plan and field observations.

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

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

PRINCIPLE* 10: IMPLEMENTATION OF MANAGEMENT ACTIVITIES

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

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

10.1.1 Harvested sites are regenerated in a timely manner that:

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

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

10.1.2 Regeneration activities are implemented in a manner that:

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

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

10.2 *The Organization** shall use species for regeneration that are ecologically well adapted to the site and to the *management objectives**. *The Organization** shall use *native species** and local *genotypes** for regeneration, unless there is clear and convincing justification for using others.

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

Verifiers: Revised forest management plan, records of regeneration activities, monitoring/evaluation reports, interview with experts, interviews with managers.

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

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

10.3 *The Organization** shall only use *alien species** when knowledge and/or experience have shown that any invasive impacts can be controlled and effective mitigation measures are in place.

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

Verifiers: Management plan, monitoring reports, specialized study reports, field observation, list of species chosen.

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

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

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

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

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

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

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

10.4.1 Genetically modified organisms are not used.

Verifiers: Management plan, national or centralized risk assessments, seedlings invoices, field observation, interviews with managers and relevant experts and stakeholders.

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

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

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

10.6 The Organization* shall minimize or avoid the use of fertilizers*. When fertilizers* are used, The Organization* shall demonstrate that use is equally or more ecologically and economically beneficial than use of silvicultural* systems that do not require fertilizers, and prevent, mitigate, and/or repair damage to environmental values*, including soils.

10.6.1 The use of fertilizers is minimized or avoided.

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

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

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

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

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

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

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

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

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

10.7 *The Organization* shall use integrated pest management and silviculture* systems which avoid, or aim at eliminating, the use of chemical pesticides*. The Organization* shall not use any chemical pesticides* prohibited by FSC policy. When pesticides* are used, The Organization* shall prevent, mitigate, and/or repair damage to environmental values* and human health.*

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

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

10.7.2 Prior to using chemical pesticides, the requirements of the Environmental and Social Risk Assessment framework for Organizations (FSC-POL-30-001 V3-0 FSC Pesticides Policy clause 4.12) are met.

Verifiers: Environmental and Social Risk Assessment report and action plan.

10.7.3 Affected rights holders and affected and interested stakeholders are provided with an opportunity for engagement in the development of the Environmental and Social Risk Assessment in a culturally appropriate manner.

Verifiers: Environmental and Social Risk Assessment (ESRA) report, minutes of engagement meetings.

10.7.4 The Environmental and Social Risk Assessment is reviewed and, if necessary, revised within the certificate cycle.

Verifiers: Revised ESRA, pesticides usage monitoring reports and records.

10.7.5 A decision process and rationale are in place to select the pest, weed or disease control option that demonstrates least social and environmental damages, more effectiveness and equal or greater social and environmental benefits.

Verifiers: Pesticide Guideline, pesticide selection procedure, records of pesticide use, ESRA and mitigation action plan, interview with workers and other stakeholders, Records of mitigation measures implemented/ monitoring reports.

10.7.6 Records of pesticide usage are maintained, including trade name, active ingredient, quantity of active ingredient used, period of use, number and frequency of applications, location and area of use and reason for use.

Verifiers: Records of pesticide storage, pesticides usage monitoring reports, interviews with managers.

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

Verifiers: Records of pesticide use, monitoring reports, interview with workers, safety procedure.

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

Verifiers: Records of pesticide use, monitoring reports, interview with workers, safety procedure.

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

Verifiers: Records of pesticide use, monitoring reports, interview with workers, safety procedure.

10.7.10 When pesticides are used:

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

Verifiers: Pesticide Guideline, pesticide selection procedure, records of pesticide use, ESRA and mitigation action plan.

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

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

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

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

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

NOTE: Examples of Internationally accepted scientific protocols may include but is not limited to:

- 1) FSC Guide to Integrated Pest, Disease and Weed Management in FSC-Certified Forests and Plantations (2009);
- 2) FAO Code of Conduct for the Import and Release of Exotic Biological Control.

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

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

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

Verifiers: Records of mitigation measures implementation/ monitoring reports, Management plan, annual plan of operation, field observation, monitoring reports.

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

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

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

10.9.2 Management activities mitigate these impacts.

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

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

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

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

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

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

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

10.10 The *Organization shall manage infrastructural development, transport activities and silviculture* so that water resources and soils are protected, and disturbance of and damage to rare and threatened species*, habitats*, ecosystems* and landscape values* are prevented, mitigated and/or repaired.**

10.10.1 Development, maintenance, and use of infrastructure, as well as transport activities, are managed to protect environmental values identified in Criterion 6.1.

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

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

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

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

Verifiers: Monitoring reports, interviews with managers and relevant experts and stakeholders, field observation.

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

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

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

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

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

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

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

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

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

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

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

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

G ANNEXES

(Normative section)

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

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

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

1. Legal rights to harvest

1.1 Land tenure and management rights

Legislation covering land tenure rights, including customary rights as well as management rights, that includes the use of legal methods to obtain tenure rights and management rights. It also covers legal business registration and tax registration, including relevant legally required licenses.

- Land Control Act (amendment)- 1986
- Tribal Territories Act – 1933 amended in 2003
- Land Tribunal Act, 2014
- Forest (Declaration of Forest Reserves) Order (1968) - Regulation
- Forest (Exemption of Certain Villages from Prohibited Acts in Forest Reserves) Order (1968) – Regulation
- National Policy on Land Tenure (1985)
- Revised National Policy for Rural Development of 2002
- Tribal Land (amendment) of 1994
- Botswana Land Policy 2015

1.2 Concession licenses

Legislation regulating procedures for issuing forest concession licenses, including the use of legal methods to obtain concession licenses. Bribery, corruption and nepotism are particularly well-known issues that are connected with concession licenses.

- Tati Concessions Land Act – 1911 amended in 1970
- Forest (Exemption of Certain Villages from Prohibited Acts in Forest Reserves) Order (1968) – Regulation
- Wildlife Conservation and National Parks Act-1992: Act No. 28 of 1992 Declaration of Controlled Hunting Areas. Order (section 11 of 1968)

1.3 Management and harvesting planning

Any national or sub-national legal requirements for Management Planning, including conducting forest inventories, having a forest management plan and related planning and monitoring, impact assessments, consultation with other entities, as well as approval of these by legally competent authorities.

- Forest Act (1968).
- Forest Policy of 2011
- Agricultural Resources Conservation Act of 1974
- Herbage Preservation (Fire Prevention) Act of 1977
- Tropical Forest Conservation Order
- National Development Plan 10 years
- Natural Resources Protection (Model) By-laws (section 40) of 1992

1.4 Harvesting permits

National or sub-national laws and regulations regulating procedures for issuing harvesting permits, licenses or other legal documents required for specific harvesting operations. This includes the use of legal methods to obtain the permits. Corruption is a well-known issue that is connected with the issuing of harvesting permits.

- Agricultural Resources Conservation Utilization of Veld products Regulations (Published on 1st December 2006)
- Agricultural resources Act 1974 and associated Regulation of 2006

2. Taxes and fees

2.1 Payment of royalties and harvesting fees

Legislation covering payment of all legally required forest harvesting specific fees such as royalties, stumpage fees and other volume-based fees. This includes payments of the fees based on the correct classification of quantities, qualities and species. Incorrect classification of forest products is a well-known issue that is often combined with bribery of officials in charge of controlling the classification.

- Agricultural Resources Act 1974 and associated Regulation of 2004
- Conservation Trust Fund Order (Section 25) of 1999
- Controlled Hunting Areas (Fees) Order (under section 16(4)) of 1995

2.2 Value added taxes and other sales taxes

Legislation covering different types of sales taxes which apply to the material being sold, including the sale of material as growing forest (standing stock sales).

- Value Added Tax Act - 2002

2.3 Income and profit taxes

Legislation covering income and profit taxes related to profit derived from the sale of forest products and harvesting activities. This category is also related to income from the sale of timber and does not include other taxes generally applicable for companies and is not related to salary payments.

- Income Tax Act – 1995
- Corruption and Economic Crime Act - 1994

3. Timber harvesting activities

3.1 Timber harvesting regulations

Any legal requirements for harvesting techniques and technology including selective cutting, shelter wood regenerations, clear felling, transport of timber from the felling site, seasonal limitations, etc. Typically, this includes regulations on the size of felling areas, minimum age and/or diameter for felling activities, and elements that shall be preserved during felling, etc. Establishment of skidding or hauling trails, road construction, drainage systems and bridges, etc., shall also be considered as well as the planning and monitoring of harvesting activities. Any legally binding codes for harvesting practices shall be considered.

- Forest Regulations on harvesting forest products 2013
- Agricultural Resources Act 1974, associated regulations 2006
- Access and Benefit Sharing Act of 2022

3.2 Protected sites and species

International, national, and sub national treaties, laws, and regulations related to protected areas, allowable forest uses and activities, and/or rare, threatened, or endangered species, including their habitats and potential habitats.

- Protected Places and Areas Act – 1965
 - Monument and Relics Act of 2001
 - Forest (Declaration of Protected Trees) Order, 1981 (Chapter 38:03).
 - Revised National Biodiversity Strategy and Action Plan 2007
 - Department of Wildlife and National Park Act of 1992
-

- Forest Act of 1968
- Convention Concerning the Protection of World Cultural and Natural Heritage (World Heritage Convention)

3.3 Environmental requirements

National and sub national laws and regulations related to the identification and/or protection of environmental values including but not limited to those relating to or affected by harvesting, acceptable levels for soil damage, establishment of buffer zones (e.g., along water courses, open areas and breeding sites), maintenance of retention trees on the felling site, seasonal limitations of harvesting time, environmental requirements for forest machineries, use of pesticides and other chemicals, biodiversity conservation, air quality, protection and restoration of water quality, operation of recreational equipment, development of non-forestry infrastructure, mineral exploration and extraction, etc.

- Environmental Assessment Act Cap 65:07 of 2021
- Environmental Assessment Regulation of 2012
- Botswana's science, technology, and innovation (STI) policy and governance framework. 1998
- The Waste Management Act of 1998

3.4 Health and safety

Legally required personal protection equipment for persons involved in harvesting activities, implementation of safe felling and transport practices, establishment of protection zones around harvesting sites, safety requirements for machinery used, and legally required safety requirements in relation to chemical usage. The health and safety requirements that shall be considered relevant to operations in the forest (not office work, or other activities less related to actual forest operations).

- Employment Act – 1984
- Mines, Quarries, and Machinery Act 1978 Cap 42
- Mines and Minerals Act Cap 65
- The Waste Management Act of 1998
- Agrochemicals Act. 1999

3.5 Legal employment

Legal requirements for employment of personnel involved in harvesting activities including requirements for contracts and working permits, requirements for obligatory insurance, requirements for competence certificates and other training requirements, and payment of social and income taxes withheld by the employer. Also covered are the observance of minimum working age and minimum age for personnel involved in hazardous work, legislation against forced and compulsory labour, and discrimination and freedom of association.

- Employment Act. 1982 as amended in 2010
- Children's Act – 2009
- Trade Unions and Employers' Organisations Act –1984
- Minimum Wages Order 2022 ("Order") on 27 April 2022.

4. Third parties' rights

4.1 Customary rights

Legislation covering customary rights relevant to forest harvesting activities, including requirements covering the sharing of benefits and indigenous rights.

- Customary Law Act – 1969
- Customary Courts Act. – 1969, amended in 1986

4.2 Free Prior and Informed Consent	<p>Legislation covering “free prior and informed consent” in connection with the transfer of forest management rights and customary rights to The Organization in charge of the harvesting operation.</p> <ul style="list-style-type: none"> ○ Tribal Grazing Land Policy 1975 ○ Tribal Land Act of 2018 ○ Tourism Policy 2021
4.3 Indigenous Peoples’ rights	<p>Legislation that regulates the rights of Indigenous Peoples as far as it is related to forestry activities. Possible aspects to consider are land tenure, and rights to use certain forest related resources and practice traditional activities, which may involve forest lands.</p> <ul style="list-style-type: none"> ○ Customary Law Act – 1969 ○ Customary Courts Act. – 1969, amended in 1986
<p>5. Trade and transport</p> <p>NOTE: This section covers requirements for forest management operations as well as processing and trade.</p>	
5.1 Classification of species, quantities, qualities	<p>Legislation regulating how harvested material is classified in terms of species, volumes and qualities in connection with trade and transport. Incorrect classification of harvested material is a well-known method to reduce or avoid payment of legally prescribed taxes and fees.</p> <ul style="list-style-type: none"> ○ The Road Traffic Act 1972 Forestry International Trade in Wild Flora Regulations (Sections 19A (2) and 19B) of 2009)
5.2 Trade and transport	<p>All required trading and transport permits shall exist as well as legally required transport documents which accompany the transport of wood from forest operations.</p> <ul style="list-style-type: none"> ○ Trade Act – 2020 ○ Road Transport (Permits) Act - 1973
5.3 Offshore trading and transfer pricing	<p>Legislation regulating offshore trading. Offshore trading with related companies placed in tax havens, combined with artificial transfer prices is a well-known way to avoid payment of legally prescribed taxes and fees to the country of harvest and is considered to be an important source of funds that can be used for payment of bribery to the forest operations and personnel involved in the harvesting operation. Many countries have established legislation covering transfer pricing and offshore trading. It should be noted that only transfer pricing and offshore trading, as far as it is legally prohibited in the country, can be included here.</p> <ul style="list-style-type: none"> ○ Convention on International Trade in Endangered Species ○ Gaborone Declaration on Commitment to Implement all Conventions that Promote Sustainable Development
5.4 Custom regulations	<p>Custom legislation covering areas such as export/import licenses and product classification (codes, quantities, qualities and species).</p> <ul style="list-style-type: none"> ○ Customs Act – 2018
5.5 CITES	<p>CITES permits (the Convention on International Trade in Endangered Species of Wild Fauna and Flora, also known as the Washington Convention).</p> <ul style="list-style-type: none"> ○ Forestry (International Trade In Wild Flora) Regulations – 2009 ○ Southern Africa Development Community (SADC) Protocol on Forestry 2002 ○ Convention on International Trade in Endangered Species

6. Due diligence / due care

6.1 Due diligence / due care procedures

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

- Phytosanitary Certificate (Agricultural Resources Act 1974, associated regulations 2006)

7. Ecosystem Services

Legislation covering ecosystem services rights, including customary rights as well as management rights that include the use of legal methods to make claims and obtain benefits and management rights related to ecosystem services. National and subnational laws and regulations related to the identification, protection and payment for ecosystem services. Also includes legal business registration and tax registration, including relevant legal required licenses for the exploitation, payment, and claims related to ecosystem services (including tourism).

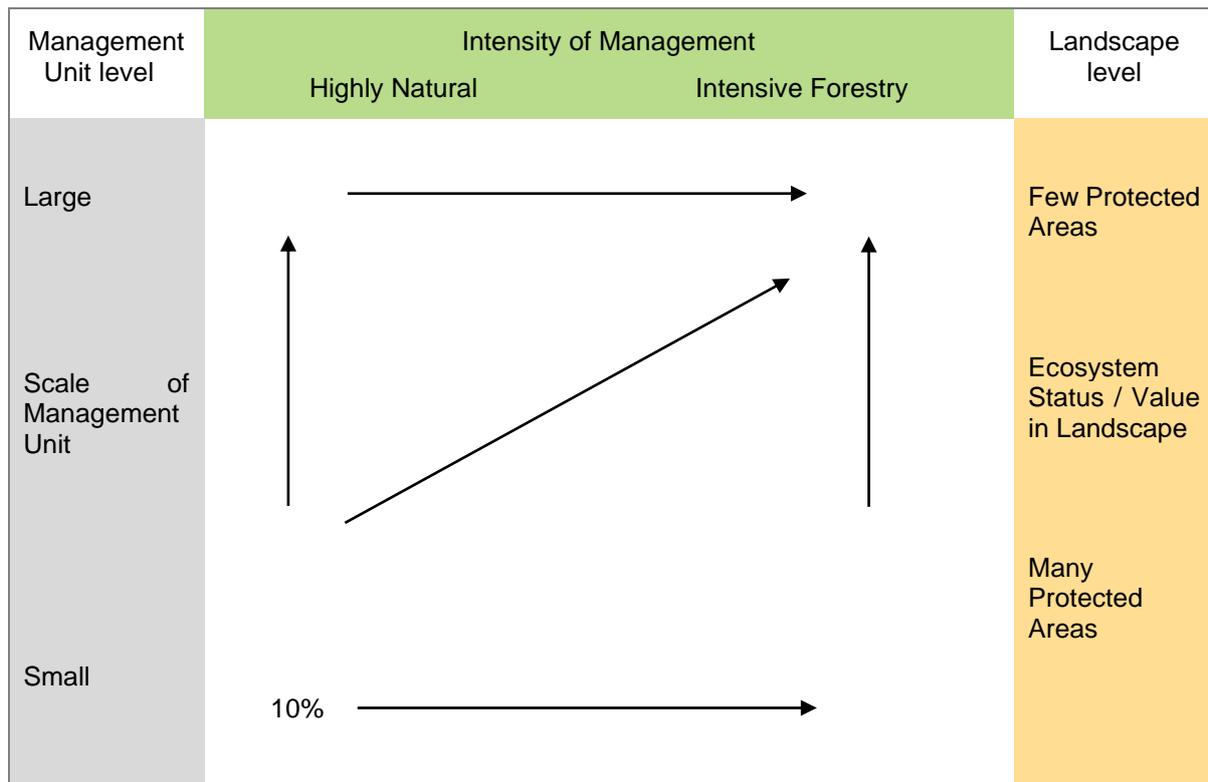
- Botswana Climate Change Policy 2021
- National Biodiversity Strategy and action Plan 2016
- Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)
- 2012 Gaborone Declaration on Sustainability in Africa
- United Nations Convention on Biological Diversity (UNCBD)
- Ramsar Convention on Wetlands of International Importance
- United Nations Convention on Combating Desertification (UNCCD)
- United Nations Framework for Convention on Climate Change (UNFCCC)
- Environmental Assessment Act – 2021
- Agreement on the Establishment of a Permanent Commission on the Okavango River Basin (OKACOM)

Annex B Training requirements for workers (Principle 2)

Workers shall be able to:

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

Annex C Conservation Area Network conceptual diagram (Principle 6)



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

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

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

Annex D List of rare and threatened species in the country or region (Principle 6)

A list of rare and endangered species in Botswana can be found here:

- <https://rainforests.mongabay.com/biodiversity/en/botswana/EN.html>
- <http://archive.nationalredlist.org/files/2012/08/Botswana-Plants-List-2002.pdf>
- <http://www.earthsendangered.com/search-regions3.asp?mp=&search=1&sgroup=allgroups&ID=495>
- <https://animalia.bio/lists/country/endangered-species-of-botswana>

Annex E Elements of the management plan (Principle 7)

- 1) The results of assessments, including:
 - i. Natural resources and environmental values, as identified in Principle 6 and Principle 9;
 - ii. Social, economic and cultural resources and condition, as identified in Principle 6, Principle 2 to Principle 5 and Principle 9;
 - iii. Intact Forest Landscapes and core areas, as identified in Principle 9;
 - iv. Indigenous cultural landscapes, as identified with affected rights holders in Principle 3 & Principle 9;
 - v. Major social and environmental risks in the area, as identified in Principle 6, Principle 2 to Principle 5 and Principle 9; and
 - vi. The maintenance and/or enhancement of ecosystem services for which promotional claims are made as identified in Criterion 5.1.
- 2) Programs and activities regarding:
 - i. Workers' rights, occupational health and safety, gender equality, as identified in Principle 2;
 - ii. Indigenous Peoples, community relations, local economic and social development, as identified in Principle 3, Principle 4 and Principle 5;
 - iii. Stakeholder engagement and the resolution of disputes and grievances, as identified in Principle 1, Principle 2 and Principle 7;
 - iv. Planned management activities and timelines, silvicultural systems used, typical harvesting methods and equipment, as identified in Principle 10;
 - v. The rationale for harvesting rates of timber and other natural resources, as identified in Principle 5.
- 3) Measures to conserve and/or restore:
 - i. Rare and threatened species and habitats;
 - ii. Water bodies and riparian zones;
 - iii. Landscape connectivity, including wildlife corridors;
 - iv. Ecosystem services when FSC ecosystem services claims are used as identified in Criterion 5.1;
 - v. Representative Sample Areas, as identified in Principle 6; and
 - vi. High Conservation Values, as identified in Principle 9.
- 4) Measures to assess, prevent, and mitigate negative impacts of management activities on:
 - i. Environmental values, as identified in Principle 6 and Principle 9;
 - ii. Ecosystem services when FSC ecosystem services claims are used as identified in Criterion 5.1;
 - iii. Social Values and Indigenous cultural landscapes, as identified in Principle 2 to Principle 5 and Principle 9; and
 - iv. [Not applicable for Botswana] Intact Forest Landscapes and core areas, as identified in Principle 9.
- 5) A description of the monitoring program, as identified in Principle 8, including:
 - i. Growth and yield, as identified in Principle 5;
 - ii. Ecosystem services when FSC ecosystem services claims are used as identified in Criterion 5.1;
 - iii. Environmental values, as identified in Principle 6;
 - iv. Operational impacts, as identified in Principle 10;
 - v. High Conservation Values, as identified in Principle 9;
 - vi. Monitoring systems based on stakeholder engagement planned or in place, as identified in Principle 2 to Principle 5 and Principle 7;

- vii. Maps describing the natural resources and land use zoning on the Management Unit;
- viii. Description of the methodology to assess and monitor any development and land use options allowed in Intact Forest Landscapes and core areas including their effectiveness in implementing the precautionary approach;
- ix. Description of the methodology to assess and monitor any development and land use options allowed in Indigenous cultural landscapes including their effectiveness in implementing the precautionary approach; and
- x. Global Forest Watch map, or more accurate national or regional map, describing the natural resources and land use zoning on the Management Unit, including the Intact Forest Landscapes core areas.

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

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

Sample Management Plan Document	Management Plan Revision Periodicity	Element Being Monitored (Partial List)	Monitoring Periodicity	Who Monitors This Element? (Note: These will vary with SIR and jurisdiction)	FSC Principle / Criterion
		Social Agreements	Annually, or as agreed in Engagement Plan	Social Coordinator	P3, P4
		Grievances	Ongoing	Human Resources Manager	P2, P4, P3
5-Year management plan	5 years	Wildlife populations	To be determined	Ministry of Environment	P6
		Coarse Woody Debris	Annually	Ministry of Forests	P10
		Free growing / regeneration	Annually, sample		
Sustainable Forestry management plan	10 years	Age class distribution Size class distribution	Ten years	Ministry of Environment	P6
		10 year Allowable Annual Cut	Annually, ten years	Ministry of Forests / Woodlands manager	C5.2
Ecosystem Services Certification Document	5 years	Prior to validation and verification	Prior to validation and verification	General Manager	FSC-PRO-30-006

Annex G Monitoring requirements (Principle 8)

- 1) Monitoring in 8.2.1 is sufficient to identify and describe the environmental impacts of management activities, including where applicable:
 - i. The results of regeneration activities (Criterion 10.1);
 - ii. The use of ecologically well adapted species for regeneration (Criterion 10.2);
 - iii. Invasiveness or other adverse impacts associated with any alien species within and outside the Management Unit (Criterion 10.3);
 - iv. The use of genetically modified organisms to confirm that they are not being used (Criterion 10.4);
 - v. The results of silvicultural activities (Criterion 10.5);
 - vi. Adverse impacts to environmental values from fertilizers (Criterion 10.6);
 - vii. Adverse impacts from the use of pesticides (Criterion 10.7);
 - viii. Adverse impacts from the use of biological control agents (Criterion 10.8);
 - ix. The impacts from natural hazards (Criterion 10.9);
 - x. The impacts of infrastructural development, transport activities and silviculture to rare and threatened species, habitats, ecosystems, landscape values, water and soils (Criterion 10.10);
 - xi. The impacts of harvesting and extraction of timber on non-timber forest products, environmental values, merchantable wood waste and other products and services (Criterion 10.11); and
 - xii. Environmentally appropriate disposal of waste materials (Criterion 10.12).

- 2) Monitoring in 8.2.1 is sufficient to identify and describe social impacts of management activities, including where applicable.
 - i. Evidence of illegal or unauthorized activities (Criterion 1.4);
 - ii. Compliance with applicable laws, local laws, ratified international conventions and obligatory codes of practice (Criterion 1.5);
 - iii. Resolution of disputes and grievances (Criterion 1.6, Criterion 2.6, Criterion 4.6);
 - iv. Programs and activities regarding workers rights (Criterion 2.1);
 - v. Gender equality, sexual harassment and gender discrimination (Criterion 2.2);
 - vi. Programs and activities regarding occupational health and safety (Criterion 2.3);
 - vii. Payment of wages (Criterion 2.4);
 - viii. Workers training (Criterion 2.5);
 - ix. Where pesticides are used, the health of workers exposed to pesticides (Criterion 2.5 and Criterion 10.7);
 - x. The identification of Indigenous Peoples and local communities and their legal and customary rights (Criterion 3.1 and Criterion 4.1);
 - xi. Full implementation of the terms in binding agreements (Criterion 3.2 and Criterion 4.2);
 - xii. Indigenous Peoples and community relations (Criterion 3.2, Criterion 3.3 and Criterion 4.2);
 - xiii. Protection of sites of special cultural, ecological, economic, religious or spiritual significance to Indigenous Peoples and local communities (Criterion 3.5 and Criterion 4.7);

- xiv. The persistence of Indigenous cultural landscapes and associated values of significance to Indigenous Peoples (Criterion 3.1, Criterion 3.5);
 - xv. The use of traditional knowledge and intellectual property (Criterion 3.6 and Criterion 4.8);
 - xvi. Local economic and social development (Criterion 4.2, Criterion 4.3, Criterion 4.4, Criterion 4.5);
 - xvii. The production of diversified benefits and/or products (Criterion 5.1);
 - xviii. The maintenance and/or enhancement of ecosystem services (Criterion 5.1);
 - xix. Activities to maintain or enhance ecosystem services (Criterion 5.1);
 - xx. Actual compared to projected annual harvests of timber and non-timber forest products (Criterion 5.2);
 - xxi. The use of local processing, local services and local value added manufacturing (Criterion 5.4);
 - xxii. Long term economic viability (Criterion 5.5); and
 - xxiii. High Conservation Values 5 and 6 identified in Criterion 9.1.
- 3) Monitoring procedures in 8.2.2 are sufficient to identify and describe changes in environmental conditions including where applicable:
- i. The maintenance and/or enhancement of ecosystem services (Criterion 5.2) (when The Organization uses FSC ecosystem services claims);
 - ii. Environmental values and ecosystem functions including carbon sequestration and storage (Criterion 6.1); including the effectiveness of actions identified and implemented to prevent, mitigate and repair negative impacts to environmental values (Criterion 6.3);
 - iii. Rare and threatened species, and the effectiveness of actions implemented to protect them and their habitats (Criterion 6.4);
 - iv. Representative Sample Areas and the effectiveness of actions implemented to conserve and/or restore them (Criterion 6.5);
 - v. Naturally occurring native species and biological diversity and the effectiveness of actions implemented to conserve and/or restore them (Criterion 6.6);
 - vi. Water courses, water bodies, water quantity and water quality and the effectiveness of actions implemented to conserve and/or restore them (Criterion 6.7);
 - vii. Landscape values and the effectiveness of actions implemented to maintain and/or restore them (Criterion 6.8);
 - viii. Conversion of natural forest to plantations or conversion to non-forest (Criterion 6.9);
 - ix. The status of plantations established after 1994 (Criterion 6.10); and
 - x. High Conservation Values 1 to 4 identified in Criterion 9.1 and the effectiveness of actions implemented to maintain and/or enhance them.

Annex H High Conservation Values framework (Principle 9)

The objective of this High Conservation Value (HCV) Framework is to provide nationally specific interpretations of HCVs and Best Available Information for addressing HCVs.

This National HCV Framework is to be used by accredited certification bodies and The Organisation.

The National HCV Interpretations and Best Available Information provided in this Framework are not necessarily exhaustive; additional examples of HCV occurrences may exist and shall be identified at the forest management unit scale.

The National or Regional Interpretations of the HCV categories and elements apply to all Organisations, wherever occurrences of those HCVs may exist. Conversely, the Best Available Information for addressing those National/Regional HCV Interpretations may vary, depending on whether The Organization is a SLIMF or non-SLIMF, as indicated in the Framework.

The Organization shall carry out the assessment to identify HCV and High Conservation Value Areas before implementing the proposed activities or operations in the management area. The results of this assessment should be incorporated into responsible land use management in conformance with the Principles and Criteria of the Interim Forest Stewardship Standard for Botswana.

Overarching Best Available Information

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

Best Available Information for Identifying and Assessing National or Regional HCV Interpretations		SLIMF
All HCV Categories, All Elements	Data, facts, documents, expert opinions, and results of field surveys or consultations with stakeholders that are most credible, accurate, complete, and/or pertinent and that can be obtained through reasonable effort and cost, subject to the scale and intensity of the management activities and the Precautionary Approach. High Conservation Value surveys of the Management Unit; relevant databases and maps; culturally appropriate engagement with Indigenous Peoples, affected rights holders, affected and interested stakeholders, and relevant local and regional experts; FSC Guidelines for the Implementation of Free, Prior and Informed Consent (2021); review of the results by knowledgeable expert(s) independent of The Organization.	X
HCV 2, Element 1, IFLs	Not Applicable.	
HCV 5, Element 1, and HCV 6, Element 2, Values fundamental to traditional peoples	Culturally appropriate engagement with traditional peoples is the primary BAI for these elements.	X

Best Available Information for Developing Management Strategies for National or Regional HCV Interpretations

SLIMF

All HCV Categories, All Elements	<p>Identification of threats, using: Data, facts, documents, expert opinions, and results of field surveys or consultations with stakeholders that are most credible, accurate, complete, and/or pertinent and that can be obtained through reasonable effort and cost, subject to the scale and intensity of the management activities and the Precautionary Approach.</p> <p>Engagement with Indigenous Peoples, affected rights holders, affected and interested stakeholders, and experts.</p>	X
HCV 5, Element 1, and HCV 6, Element 2, Values fundamental to local communities	<p>Culturally appropriate engagement with local communities is the primary BAI for these elements. The “fundamentality” and “critical... importance” of the resources should also be determined through engagement.</p>	X
HCV 5, Element 2, and HCV 6, Element 3, Values fundamental to Indigenous Peoples	<p>Culturally appropriate engagement with Indigenous Peoples is the primary BAI for these elements. The “fundamentality” and “critical... importance” of the resources should also be determined through engagement.</p>	X
All HCV Categories, All Elements	<p>BAI includes: Engagement with rights-holders, consistent with Criteria 3.5, 4.5 and 4.7; culturally appropriate engagement with Indigenous Peoples and affected and interested stakeholders; information on engaging with representatives of the Indigenous Peoples and/or local communities; monitoring conducted by the Indigenous Peoples and/or local communities; and engagement with experts.</p>	X

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

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

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

National or Regional Interpretations of HCV 1:	Best Available Information (BAI) for identifying occurrences of the Interpretations:	BAI also applies to SLIMF?
Element 1: Concentrations of biological diversity that are significant at global, regional, or national levels:		
<p>Protected areas, including National Parks, Transfrontier Parks (i.e., Kgalagadi), Forest Reserves, Game Reserves, National Monuments, Bird Sanctuaries, Game Sanctuaries, Wildlife Management Areas, World Heritage sites (Okavango Delta). (Per: FAO, 2021; USDA FS, undated)</p>	<p>For partial lists of protected areas and maps, see Protected Areas (see References). See also the References for UNESCO World Heritage sites.</p>	<p>Yes</p>
<p>Per the precautionary approach and pending further assessment, portions of the following that are not within protected areas: Kavango-Zambezi Transfrontier Conservation Area (TCA); Okavango Delta; Chobe River; Lake Xau; Zambebian flooded grasslands; Zambebian woodlands; Mopane woodlands; Zambebian Baikiaea woodlands; proposed World Heritage sites (Makgadikgadi Pans Landscape, Chobe Linyanti System, and Gcwihaba Caves); and KBAs/IBAs (Makgadikgadi Pans, Southeast Botswana, and Tswapong Hills).</p> <p>(Per: FSC, 2019b; USDA FS, undated; CBD, undated; Ramberg et al, 2006; Francis et al, 2021; DEA, 2016)</p>	<p>For proposed World Heritage sites, see UNESCO World Heritage (see References). For KBAs/IBAs, see Key Biodiversity Areas and Important Bird Areas (see References).</p>	<p>No</p>
Element 2: Concentrations of endemic species that are significant at global, regional, or national levels:		
<p>Significant concentrations of endemic plant or animal species, e.g., populations of an endemic species that is Vulnerable, Endangered, Critically Endangered, or Near Threatened, and/or populations of multiple endemic species.</p>	<p>For lists of endemic animal species, see the IUCN Red List (see References), and national species lists (see References).</p>	<p>Yes</p>

National or Regional Interpretations of HCV 1:	Best Available Information (BAI) for identifying occurrences of the Interpretations:	BAI also applies to SLIMF?
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Element 3: Concentrations of rare, threatened, or endangered species that are significant at global, regional, or national levels:

Lake Xau. (Per: UNDP, 2012)

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

B. Assessments for HCV 1

National or Regional methodologies for assessing occurrences of the HCV 1 Interpretations:	Best Available Information (BAI) for assessing occurrences:	BAI also applies to SLIMF?
<p>For all HCV 1 Interpretations: Identifying occurrences of the HCV 1 Interpretations listed above, along with any other HCV 1 occurrences, is the first, essential part of assessments, and is to be based partly on engagement with Indigenous Peoples and rights holders, and stakeholders interested in HCV conservation;</p>	<p>See the BAI in Section A and the Overarching BAI.</p>	<p>Yes</p>
<p>For all HCV 1: Other assessment elements include identifying HCV Areas, the condition of the HCVs, and threats to the HCVs. Potential threats include both forest management operations (e.g., road building, logging, etc.) and external factors (e.g., climate change, poaching, invasive species, etc.).</p>	<p>See the BAI in Section A and the Overarching BAI.</p>	<p>Yes</p>

National or Regional methodologies for assessing occurrences of the HCV 1 Interpretations:	Best Available Information (BAI) for assessing occurrences:	BAI also applies to SLIMF?
For protected areas: Confirm whether policies and practices effectively protect the area and its HCVs.		
For the Okavango Delta.	Consider information available from the Okavango Research Institute of the University of Botswana (ORI-UB).	
For RTE species.	Consider information that may be available from IUCN Southern Africa.	

C. Strategies for Maintaining and Enhancing HCV 1

National or Regional strategies for maintaining and/or enhancing the HCV 1 Interpretations:	Best Available Information (BAI) for management strategies:	BAI also applies to SLIMF?
For all HCV 1 Interpretations: Protection zones, harvest prescriptions, and/or other strategies to protect threatened, endangered, endemic species, or other concentrations of biological diversity and the ecological communities and habitats upon which they depend, sufficient to prevent reductions in the extent, integrity, quality, and viability of the habitats and species occurrences.	See the Overarching BAI, including re. engagement with Indigenous Peoples, rightsholders, stakeholders, and experts. Also consider relevant conservation plans, species recovery plans, and other published information.	Yes
For all HCV 1 Interpretations: Where enhancement is identified as the objective, measures to develop, expand, and/or restore habitats for such species.	See the Overarching BAI, including re. engagement with Indigenous Peoples, rightsholders, stakeholders, and experts.	Yes
For protected areas: Maintain areas' gazetted status; prevent poaching, unsustainable bushmeat harvest, and wildlife trafficking; prevent unauthorized grazing, agricultural incursion, and fires; prevent unauthorized/unsustainable mining and tree and fuelwood harvest; in areas with significant tourism, adopt measures to prevent overuse and harm to bird breeding sites, other biodiversity values, and ecosystems; consider opportunities for cooperative management with traditional peoples and Indigenous Peoples. (Per: USDA FS, undated; CBD, undated; DEA, 2016)		

National or Regional strategies for maintaining and/or enhancing the HCV 1 Interpretations:

Best Available Information (BAI) for management strategies:

BAI also applies to SLIMF?

For the Okavango Delta: Exclude intensive development including oil extraction. Work to prevent harmful water removals (“abstraction”), dam construction, and changes in the timing of water flows. Work with traditional peoples to prevent introduction of invasive fish species and consider measures to prevent in-migration of invasives. Work with Namibia and Angola to address threats to upstream areas and water flows. (Per: Francis et al, 2021; DEA, 2016; Louw, 2022.)

For the Okavango Delta.

Consider: The Okavango Delta Management Plan (ODMP); information available from ORI-UB; and information from the Okavango River Basin Water Commission. (OKACOM)

For Lake Xau: Use cooperative management with registered community trusts. Limit fishing, hunting, and grazing to levels that are sustainable and protect breeding birds. (Per: UNDP, 2012)

For wildlife: Allow for migration and travel where possible. Allow access to watering holes. Avoid the use of fences where possible, while protecting communities and farms. Minimize new road construction and development in migration zones. (Per: Osofsky, 2019; Augustin, 2019; FAO, 2020; CBD, undated)

For areas threatened by unsustainable fuelwood and charcoal harvest: Work with traditional peoples to establish backyard forest nurseries and other alternative sources. (Per: UNEP, 2019.)

For additional guidance, consider: FSC (2020a), including re. engaging Indigenous Peoples and communities, and HCVRN (2018) (e.g., Part 2), including re. the overall process for developing strategies.

D. Monitoring for HCV 1

National or Regional methodologies for monitoring occurrences of the HCV 1 Interpretations:	Best Available Information (BAI) for monitoring occurrences:	BAI also applies to SLIMF?
<p>For all HCV 1 Interpretations: Monitoring that addresses Criteria 9.4 and its Indicators. Also consider monitoring for changes in internal and external threats to the HCVs.</p>	<p>See the Overarching BAI.</p>	<p>Yes</p>
<hr/>		
<p>For some HCV Interpretations and occurrences, direct indicators should be used, e.g., field surveys of flora and fauna, or surveillance with drones. For others, indirect indicators may be sufficient and more efficient, e.g., changes in the quantity and quality of habitats for RTE species.</p>		
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<p>For the Okavango Delta.</p>	<p>Consider data maintained by the ORI-UB.</p>	
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<p>For monitoring of potential impacts and of potential illegal or unauthorized activities, consider collaborative monitoring with traditional peoples and Indigenous Peoples. Information management systems like SMART may be helpful.</p> <p>(https://smartconservationtools.org/).</p>		
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<p>For additional guidance on monitoring programs, consider: FSC (2020a) and HCVRN (2018) (e.g., Part 3, the resources in Annex 1, and the example monitoring techniques in Annex 2).</p>		

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

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

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

National or Regional Interpretations of HCV 2:	Best Available Information (BAI) for identifying occurrences of the Interpretations:	BAI also applies to SLIMF?
Element 1: Intact Forest landscapes:		
<p>Not applicable. Intact Forest Landscapes as defined in the FSC International Generic Indicators and by Global Forest Watch are not present in Botswana.</p>		
Element 2: Large landscape-level ecosystems that are significant at global, regional or national levels, and that contain viable populations of the great majority of the naturally occurring species in natural patterns of distribution and abundance:		
<p>Important wetlands, including RAMSAR sites. Examples include: Okavango Delta System (RAMSAR); Linyanti wetlands; Makgadikgadi Pans Wetlands System, including sites outside of protected areas, e.g., Lake Xau. (Per: UNDP, 2012)</p>	<p>For information on Okavango as a RAMSAR site, see: RSIS (2021).</p>	
Element 3: Ecosystem mosaics that are significant at global, regional, or national levels, and that contain viable populations of the great majority of the naturally occurring species in natural patterns of distribution and abundance		
<p>Per the precautionary approach and pending further assessment: Wildlife migration and connectivity corridors proposed between and across protected areas, including areas in neighboring countries. Examples in the KAZA TCA include: Zambezi-Chobe Floodplain; Hwange-Kazuma-Chobe; Kwando; Zambezi-Mosi Oa Tunya; Hwange-Makgadikgadi-Nxai; and Khaudum-Ngamiland. Areas have also been proposed along the borders of Central Kalahari NP. (Per: PPF, 2022; Augustin, 2019; CBD, undated; Bartlam-Brooks, 2011)</p>	<p>For corridors proposed in the Kavango Zambezi Trans-frontier Conservation Area (KAZA TCA), see: PPF (2022) and WildCRU (2022). For areas adjacent to Central Kalahari NP, see WildCRU (2022).</p>	

National or Regional Interpretations of HCV 2:	Best Available Information (BAI) for identifying occurrences of the Interpretations:	BAI also applies to SLIMF?
Forest ecosystems forming a significant landscape-level mosaic with other vegetation types used by a diversity of most native species. Examples may include Some of the areas listed at HCV 1, Element 1.	See the overarching BAI.	

B. Assessments for HCV 2

National or Regional methodologies for assessing occurrences of the HCV 2 Interpretations:	Best Available Information (BAI) for assessing occurrences:	BAI also applies to SLIMF?
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For all HCV 2: Identifying occurrences of the HCV 2 Interpretations listed above, along with any other HCV 2 occurrences, is the first, essential part of assessments, and is to be based partly on engagement with Indigenous Peoples and rightsholders, and stakeholders interested in HCV conservation.

See the BAI in Section A and the Overarching BAI. Also consider HCV assessors with local experience.

Yes

For all HCV 2: Other assessment elements include identifying HCV Areas, the condition of the HCVs, and threats to the HCVs. Potential threats include both forest management operations (e.g., road building, logging, etc.) and external factors (e.g., climate change, poaching, invasive species, etc.).

See the BAI in Section A and the Overarching BAI.

Yes

For migration routes and corridors: Note that some species are able to re-establish currently unused migration routes, when enabled. Note that establishing corridors may also benefit communities by reducing wildlife conflicts. (Per: Bartlam-Brooks, 2011; Augustin, 2019)

For additional guidance in identifying and assessing HCV 2 that may exist in the management unit, see: FSC (2020a) and HCVRN (2017) (Chapter 2, Best Practice Considerations for HCV Assessments, and Chapter 3.2, Identification of HCV 2).

C. Strategies for Maintaining and Enhancing HCV 2

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

D. Monitoring for HCV 2

National or Regional methodologies for monitoring occurrences of the HCV 2 Interpretations:	Best Available Information (BAI) for monitoring occurrences:	BAI also applies to SLIMF?
<p>For all HCV 2 Interpretations: Monitoring that addresses Criteria 9.4 and its Indicators. Also consider monitoring for changes in internal and external threats to the HCVs.</p>	<p>See the Overarching BAI.</p>	<p>Yes</p>
<p>For some HCV 2 occurrences, remote surveillance with drones or satellite imagery may be helpful. If satellite imagery is used, it should be of sufficient resolution to detect below-the-canopy conditions where relevant.</p>		
<p>Consider co-monitoring with traditional peoples and Indigenous Peoples, including for monitoring of potential impacts and of potential illegal or unauthorized activities in the forest.</p>		

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

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

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

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

National or Regional Interpretations of HCV 3:	Best Available Information (BAI) for identifying occurrences of the Interpretations:	BAI also applies to SLIMF?
Element 3: Refugia:		
Wetlands and other areas important for migratory species. For examples, see the Interpretations for HCV 1, Element 1, and HCV 2, Element 2.		
Note that protected areas listed at HCV 1, Element 1, may also be refugia.		
Isolated areas where extensive changes, typically due to changing climate or by disturbances such as those caused by humans, have not occurred and where plants and animals typical of a region may survive.		

B. Assessments for HCV 3

National or Regional methodologies for assessing occurrences of the HCV 3 Interpretations:	Best Available Information (BAI) for assessing occurrences:	BAI also applies to SLIMF?
For all HCV 3: Identifying occurrences of the HCV 3 Interpretations listed above, along with any other HCV 3 occurrences, is the first, essential part of assessments, and is to be based partly on engagement with Indigenous Peoples and rightsholders, and stakeholders interested in HCV conservation.	See the BAI in Section A and the Overarching BAI. Also consider HCV assessors with local experience.	Yes
For all HCV 3: Other assessment elements include identifying HCV Areas, the condition of the HCVs, and threats to the HCVs. Potential threats include both forest management operations (e.g., road building, logging, etc.) and external factors (e.g., climate change, poaching, invasive species, etc.).	See the BAI in Section A and the Overarching BAI.	Yes
For additional guidance in identifying and assessing HCV 3 that may exist in the management unit, see: FSC (2020a) and HCVRN (2017) (Chapter 2, Best Practice Considerations for HCV Assessments, and Chapter 3.3, Identification of HCV 3).		

C. Strategies for Maintaining and Enhancing HCV 3

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

D. Monitoring for HCV 3

National or Regional methodologies for monitoring occurrences of the HCV 3 Interpretations:	Best Available Information (BAI) for monitoring occurrences:	BAI also applies to SLIMF?
<p>For all HCV 3 Interpretations: Monitoring that addresses Criteria 9.4 and its Indicators. Also consider monitoring for changes in internal and external threats to the HCVs.</p>	<p>See the Overarching BAI.</p>	<p>Yes</p>
<p>For some HCV Interpretations and occurrences, direct indicators should be used, e.g., field surveys of the extent and condition of ecosystems and habitat. For others, indirect indicators may be sufficient and more efficient, e.g., monitoring of indicator species.</p>		
<p>If satellite imagery is used, it should be of sufficient resolution to detect below-the-canopy conditions and forest degradation.</p>		
<p>For additional guidance on monitoring programs, consider: FSC (2020a) and HCVRN (2018) (e.g., Part 3, the resources in Annex 1 and the example monitoring techniques in Annex 2).</p>		

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

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

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

National or Regional Interpretations of HCV 4:	Best Available Information (BAI) for identifying occurrences of Interpretations:	BAI also applies to SLIMF?
Element 1: Water catchments in critical situations:		
Watersheds, streams, rivers, and other water sources relied upon by Indigenous Peoples and other communities for drinking water, irrigation, or other daily uses, or that are otherwise a priority for water provisioning. (See HCV 5.)	See the BAI for HCV 5.	Yes
For examples of important wetlands, other water bodies, and pans, see HCV 2, Element 2, and HCV 1, Element 1.		
Per the precautionary approach and pending further assessment, watershed management functions of Forest Reserves, and the Mopane-Miombo ecosystem. (Per: USDA FS, undated)		
Element 2: Control of erosion of vulnerable soils and slopes in critical situations:		
Vulnerable soils and slopes in critical situations.		
Element 3: Other ecosystem services in critical situations:		
Provision of food and shelter to traditional peoples and Indigenous Peoples. (See HCV 5)	See the BAI for HCV 5.	Yes
Wildlife tourism that is financially supportive of traditional peoples and Indigenous Peoples. (Per: IWGIA, 2020; CS, 2017)		
Affordable recreational opportunities for traditional peoples.		

National or Regional Interpretations of HCV 4:	Best Available Information (BAI) for identifying occurrences of Interpretations:	BAI also applies to SLIMF?
Woodlands important for bees, other pollinators, or seed dispersers. (Per: FSC, 2019b)		
Carbon storage in the Okavango Basin. (Per: CI, 2022)		
Per the precautionary approach and pending further assessment, carbon storage in Forest Reserves, and in the Mopane-Miombo ecosystem. (Per: USDA FS, undated; FAO, 2020)		

B. Assessments for HCV 4

National or Regional methodologies for assessing occurrences of the HCV 4 Interpretations:	Best Available Information (BAI) for assessing occurrences:	BAI also applies to SLIMF?
For all HCV 4: Identifying occurrences of the HCV 4 Interpretations listed above, along with any other HCV 4 occurrences, is the first, essential part of assessments, and is to be based partly on engagement with Indigenous Peoples and rightsholders, and stakeholders interested in HCV conservation.	See the BAI in Section A and the Overarching BAI.	Yes
For all HCV 4: Other assessment elements include identifying HCV Areas, the condition of the HCVs, and threats to the HCVs. Potential threats include both forest management operations (e.g., road building, logging, etc.) and external factors (e.g., climate change, etc.).	See the BAI in Section A and the Overarching BAI.	Yes
For water catchments critical to traditional peoples or Indigenous Peoples.	See the BAI for HCV 5.	Yes
For provision of food and shelter to traditional peoples and Indigenous Peoples.	See the BAI for HCV 5.	Yes
For ecosystem services generally.	Consider the experts with the Ecosystem Services Research Team, Univ. of Botswana.	

National or Regional methodologies for assessing occurrences of the HCV 4 Interpretations:	Best Available Information (BAI) for assessing occurrences:	BAI also applies to SLIMF?
For soils and climate change.	Consider data maintained by the South African Science Service Center for Climate Change and Adaptive Management (SASSCCC).	
<p>For additional guidance in identifying and assessing HCV 4 that may exist in the management unit, see: FSC (2020a) and HCVRN (2017) (Chapter 2, Best Practice Considerations for HCV Assessments, and Chapter 3.4, Identification of HCV 4).</p>		
<p>The FSC Ecosystem Services Procedure (FSC, 2019 and 2021b) may also provide helpful guidance.</p>		

C. Strategies for Maintaining and Enhancing HCV 4

National or Regional strategies for maintaining and/or enhancing the HCV 4 Interpretations:	Best Available Information (BAI) for management strategies:	BAI also applies to SLIMF?
<p>For water catchments of importance to traditional peoples located within or downstream of the Management Unit, and areas within the unit that are particularly unstable or susceptible to erosion: Protection zones, harvest prescriptions, chemical use restrictions, and/or prescriptions for road construction and maintenance, to protect water catchments and upstream and upslope areas. Where enhancement is identified as the objective, measures to restore water quality and quantity are in place.</p>	<p>See the Overarching BAI, including re. engagement with Indigenous Peoples, rightsholders, stakeholders, and experts.</p>	<p>Yes</p>
<p>For climate regulation: Strategies to maintain or enhance carbon sequestration and storage are in place.</p>		
<p>For additional guidance, consider: FSC (2020a), including re. engaging Indigenous Peoples and communities, and HCVRN (2018) (e.g., Part 2), including re. the overall process for developing strategies.</p>		

D. Monitoring for HCV 4

National or Regional methodologies for monitoring occurrences of the HCV 4 Interpretations:	Best Available Information (BAI) for monitoring occurrences:	BAI also applies to SLIMF?
For all HCV 4 Interpretations: Monitoring that addresses Criteria 9.4 and its Indicators. Also consider monitoring for changes in internal and external threats to the HCVs.	See the Overarching BAI.	Yes
For soils and climate change.	Consider data maintained by SASSCCC.	
For water quality and quantity, soils, and other ecosystem services: See Annex B of FSC (2021b) for basic factors to consider monitoring.		
For additional guidance on monitoring programs, consider: FSC (2020a) and HCVRN (2018) (e.g., Part 3, the resources in Annex 1, and the example monitoring techniques in Annex 2).		

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

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

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

National or Regional Interpretations of HCV 5:	Best Available Information (BAI) for identifying occurrences of the Interpretations:	BAI also applies to SLIMF?
Element 1: Sites and resources fundamental for satisfying the basic necessities of local communities (for livelihoods, health, nutrition, water, etc.):		
Watersheds, rivers, streams, and other water sources relied upon for drinking, other daily use, or irrigation.	Culturally appropriate engagement with the traditional peoples.	Yes
Hunting grounds, fisheries, fuelwood, plants, growing areas, and other sites and resources used for subsistence or to satisfy basic needs (not inclusive of poaching, illegal harvest, wildlife hunting for non-local trade, unsustainable harvest levels, or harvest that harms RTEs or other HCVs).	Culturally appropriate engagement with the traditional peoples.	Yes
Per the precautionary approach and pending further assessment: Forest Reserves, Zambezi woodlands, Mopane woodlands, wetlands (e.g., the Okavango), rivers (e.g., the Zambezi), and other areas that are important sources of fuelwood, poles, canoe trees, thatching grass, clay, medicinal plants, game, fish, mopane worms, honey, wild fruits, bulbs, lilies, mushrooms, livestock fodder, and other “veld products” and resources. (Per: Garekae et al, 2016; FAO, 2020; CBD, undated; DEA, 2016; DeCauwer, 2018; DeCauwer, 2018).		

National or Regional Interpretations of HCV 5:	Best Available Information (BAI) for identifying occurrences of the Interpretations:	BAI also applies to SLIMF?
For all HCV Interpretations.	Supplemental BAI may include databases, maps, and community development organizations and professionals. See also the Overarching BAI.	

Element 2: Sites and resources fundamental for satisfying the basic necessities of Indigenous Peoples (for livelihoods, health, nutrition, water, etc.):

Watersheds, rivers, streams, and other water sources relied upon for drinking, other daily use, or irrigation.	Culturally appropriate engagement with the Indigenous Peoples.	Yes
Hunting grounds, fisheries, fuelwood, plants, grazing areas, growing areas, and other sites and resources used for subsistence or to satisfy basic needs (not inclusive of poaching, illegal harvest, wildlife hunting for non-local trade, unsustainable harvest levels, or harvest that harms RTEs or other HCVs).	Culturally appropriate engagement with the Indigenous Peoples.	Yes
See also the Interpretations for Element 1.		
For all HCV Interpretations.	Supplemental BAI may include databases, maps, and organizations that represent or provide services for Indigenous Peoples. See also the Overarching BAI.	

B. Assessments for HCV 5

National or Regional methodologies for assessing occurrences of the HCV 5 Interpretations:	Best Available Information (BAI) for assessing occurrences:	BAI also applies to SLIMF?
For all HCV 5: Identifying occurrences of the HCV 5 Interpretations listed above, along with any other HCV 5 occurrences, is the first, essential part of assessments.	Culturally appropriate engagement with traditional peoples and Indigenous Peoples is the primary BAI. For supplemental BAI, see Section A and the Overarching BAI.	Yes
For all HCV 5: Other assessment elements include: engaging with stakeholders interested in HCV conservation, and identifying HCV	Culturally appropriate engagement with traditional peoples and Indigenous Peoples is	Yes

National or Regional methodologies for assessing occurrences of the HCV 5 Interpretations:	Best Available Information (BAI) for assessing occurrences:	BAI also applies to SLIMF?
<p>Areas, the condition of the HCVs, and threats to the HCVs. Potential threats include both forest management operations (e.g., road building, logging, etc.) and external factors (e.g., climate change, development elsewhere in the watershed, etc.).</p>	<p>the primary BAI. For supplemental BAI, see Section A and the Overarching BAI.</p>	
<p>For all HCV 5 Interpretations: Use culturally appropriate engagement, per the Overarching BAI. Also consider participatory mapping with the communities or Indigenous Peoples.</p>	<p>The traditional peoples and Indigenous Peoples.</p>	<p>Yes</p>
<p>Consider whether specific levels and practices of hunting, fishing, fuelwood harvest, and other woodland utilization are sustaining the resource, and also avoiding harm to biodiversity and other HCVs.</p>		
<p>For sites and resources related to Indigenous Peoples, assessments should not assume that existing laws or practices recognize or respect Indigenous Peoples or their rights. (Per: IWGIA, 2020; CS, 2017; Sarkin et al, 2009)</p>		
<p>For additional guidance in identifying and assessing HCV 5, see: FSC (2020a) and HCVRN (2017) (Chapter 2, Best Practice Considerations for HCV Assessments, and Chapter 3.5, Identification of HCV 5).</p>		

C. Strategies for Maintaining and Enhancing HCV 5

National or Regional strategies for maintaining and/or enhancing the HCV 5 Interpretations:	Best Available Information (BAI) for management strategies:	BAI also applies to SLIMF?
<p>For all HCV 5 Interpretations: Strategies to protect the community’s and/or Indigenous Peoples’ needs in relation to the Management Unit are developed in cooperation with representatives and members of traditional peoples and Indigenous Peoples.</p>	<p>Culturally appropriate engagement with traditional peoples and Indigenous Peoples is the primary BAI; see the Overarching BAI for more detail. For supplemental BAI, see Section A and the Overarching BAI.</p>	<p>Yes</p>

National or Regional strategies for maintaining and/or enhancing the HCV 5 Interpretations:	Best Available Information (BAI) for management strategies:	BAI also applies to SLIMF?
For water sources relied upon by traditional peoples and/or Indigenous Peoples: Recognize and respect any applicable customary water management systems. (Per: Gondo et al, 2019)		
Where Indigenous Peoples rely on hunting, or need to rely on it: Issue subsistence hunting licenses (hunting “for the pot”). (Per: IWGIA, 2020; CS, 2017)		
Note that strategies should not include utilization that does not sustain the resource, or that harms other HCVs.		
Note that strategies should not assume existing laws protect Indigenous Peoples’ rights and access to resources. (Per: IWGIA, 2020; CS, 2017; Sarkin et al, 2009)		
For additional guidance, consider: FSC (2020a), including re. engaging Indigenous Peoples and communities, and HCVRN (2018) (Part 2).		

D. Monitoring for HCV 5

National or Regional methodologies for monitoring occurrences of the HCV 5 Interpretations:	Best Available Information (BAI) for monitoring occurrences:	BAI also applies to SLIMF?
For all HCV 5 Interpretations: Monitoring that addresses Criteria 9.4 and its Indicators. Also consider monitoring for changes in internal and external threats to the HCVs.	See the Overarching BAI.	Yes
For all HCV 5 Interpretations: Monitoring conducted by the traditional peoples or Indigenous Peoples, or using methods developed in cooperation with them through culturally appropriate engagement. Monitoring not conducted by the traditional peoples or Indigenous Peoples should be validated by them.		

National or Regional methodologies for monitoring occurrences of the HCV 5 Interpretations:

Best Available Information (BAI) for monitoring occurrences:

BAI also applies to SLIMF?

For all HCV 5 Interpretations: Factors to consider monitoring include the condition of the sites and resources, whether access is sufficient, whether use levels are sustainable, and the extent and nature of any conflicts regarding the HCV occurrences.

For additional guidance, consider: FSC (2020) and HCVRN (2018) (e.g., Part 3).

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

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

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

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

National or Regional Interpretations of HCV 6:	Best Available Information for identifying occurrences of the Interpretations:	BAI also applies to SLIMF?
Element 1: Sites, resources, habitats and landscapes of global or national cultural, archaeological or historical significance:		
All national heritage sites, World Heritage sites, i.e., Tsodilo.	UNESCO World Heritage sites (see References).	Yes
Per the precautionary approach and pending further assessment: Proposed World Heritage sites, i.e, Makgadikgadi Pans Landscape, Gcwihaba Caves, Mapungubwe Cultural Landscape, Toutswe Mogala Hill Iron Age Settlement, Tswapong Hills Cultural Landscape.	UNESCO World Heritage sites (see References).	
Other internationally or nationally important cultural, archaeological, or historical sites, resources, habitats, or landscapes	Department of National Museum & Monuments, MENT. Other expert organizations.	
Element 2: Sites, resources, habitats and landscapes of critical cultural, ecological, economic or religious/sacred importance for the traditional cultures of local communities:		
Sites, resources, habitats, or landscapes of cultural, ecological, economic, or religious/sacred importance to traditional peoples	Culturally appropriate engagement with the traditional peoples.	Yes
For all Interpretations.	Supplemental BAI may include databases, maps, and experts, e.g., community development organizations.	

National or Regional Interpretations of HCV 6:	Best Available Information for identifying occurrences of the Interpretations:	BAI also applies to SLIMF?
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Element 3: Sites, resources, habitats and landscapes of critical cultural, ecological, economic or religious/sacred importance for the traditional cultures of Indigenous Peoples:

Sites, resources, habitats, or landscapes of cultural, ecological, economic, or religious/sacred importance to Indigenous Peoples, including but not limited to: plants, animals, and sites used for traditional ceremonies	Culturally appropriate engagement with the Indigenous Peoples.	Yes
For all Interpretations.	Supplemental BAI may include databases, organizations that represent or provide services for Indigenous Peoples, and archaeologists and anthropologists.	

B. Assessments for HCV 6

National or Regional methodologies for assessing occurrences of the HCV 6 Interpretations:	Best Available Information for assessing occurrences:	BAI also applies to SLIMF?
For all HCV 6: Identifying occurrences of the HCV 6 Interpretations listed above, along with any other HCV 6 occurrences, is the first, essential part of assessments.	For Elements 2 and 3, HCVs important to traditional peoples and Indigenous Peoples, culturally appropriate engagement with the communities and Indigenous Peoples is the primary BAI. For Element 1 and supplemental BAI for Elements 2 and 3, see Section A and the Overarching BAI.	Yes
For all HCV 6: Other assessment elements include: engaging with stakeholders interested in HCV conservation; and identifying HCV Areas, the condition of the HCVs, and threats to the HCVs. Potential threats include both forest management operations (e.g., road building, logging, etc.) and external factors (e.g., climate change, illegal logging, etc.).	The BAI in Section A and the Overarching BAI.	Yes
For Interpretations for Elements 2 and 3, HCVs important to traditional peoples and Indigenous Peoples: Use culturally appropriate engagement, per the Overarching BAI. Also consider interactive mapping with the communities and Indigenous Peoples	The traditional peoples and Indigenous Peoples.	Yes

National or Regional methodologies for assessing occurrences of the HCV 6 Interpretations:	Best Available Information for assessing occurrences:	BAI also applies to SLIMF?
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For sites and resources related to Indigenous Peoples, assessments should not assume that existing laws or practices recognize or respect Indigenous Peoples or their rights. (Per: IWGIA, 2020; CS, 2017; Sarkin et al, 2009)

For additional guidance in identifying and assessing HCV 6, see: FSC (2020a) and HCVRN (2017) (Chapter 2, Best Practice Considerations for HCV Assessments, and Chapter 3.6, Identification of HCV 6).

C. Strategies for Maintaining and Enhancing HCV 6

National or Regional strategies for maintaining and/or enhancing the HCV 6 Interpretations:	Best Available Information for management strategies:	BAI also applies to SLIMF?
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For HCV occurrences related to Indigenous Peoples and/or traditional peoples: Strategies to protect the cultural values are developed in cooperation with representatives and members of the traditional peoples and the Indigenous Peoples.

Culturally appropriate engagement with traditional peoples and Indigenous Peoples is the primary BAI; see the Overarching BAI for more detail. For supplemental BAI, see Section A and the Overarching BAI.

Yes

For other HCV occurrences identified primarily due to historical or archaeological significance: Strategies are based on Best Available Information, and considered effective for maintaining and/or enhancing the HCV.

For Tsodilo: Protect from intensive development, including oil extraction. (Per: Louw, 2022)

Note that strategies should not assume existing laws protect Indigenous Peoples' rights and resources. (Per: IWGIA, 2020; CS, 2017; Sarkin et al, 2009)

For additional guidance, consider: FSC (2020a) and HCVRN (2018) (e.g., Part 2).

D. Monitoring for HCV 6

National or Regional methodologies for monitoring occurrences of the HCV 6 Interpretations:	Best Available Information for monitoring occurrences:	BAI also applies to SLIMF?
<p>For all HCV 6 Interpretations: Monitoring that addresses Criteria 9.4 and its Indicators. Also consider monitoring for changes in internal and external threats to the HCVs.</p>	<p>See the Overarching BAI.</p>	<p>Yes</p>
<p>For HCV occurrences related to traditional peoples or Indigenous Peoples: Monitoring conducted by traditional peoples or Indigenous Peoples, or using methods developed in cooperation with them through culturally appropriate engagement.</p>		
<p>For all HCV 6 Interpretations: Factors to consider monitoring include the condition of the sites and resources, whether access is sufficient where appropriate, whether the secrecy of the sites is protected where appropriate, and the extent and nature of any conflicts regarding the HCV occurrences</p>		
<p>For additional guidance, consider: FSC (2020a) and HCVRN (2018) (e.g., Part 3 and the resources in Annex 1).</p>		

Examples of Relevant Stakeholders and Experts

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

Environmental Stakeholders:

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

Social Stakeholders and Community Development Organizations:

- CARACAL
- Peace Parks Foundation

Indigenous Peoples Organizations:

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

Other Expert Organizations – Environmental and Social:

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

Government Agencies:

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

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

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

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

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Key Biodiversity Areas. For a map of KBAs, see: <https://www.keybiodiversityareas.org/sites/search>. KBAs that may not be covered by protected areas:

- Makgadikgadi Pans (areas beyond National Park). <https://www.keybiodiversityareas.org/site/factsheet/6049>
- Southeast Botswana. <https://www.keybiodiversityareas.org/site/factsheet/6055>
- Tswapong Hills. <https://www.keybiodiversityareas.org/site/factsheet/6052>

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National Species Lists:

- Golding et al. 2002. Botswana Red List of Plants. Dombo, A., Da Costa, E. & Neto, G.; Golding, J., ed. 2002. <https://www.nationalredlist.org/files/2012/08/Botswana-Plants-List-2002.pdf>
- Botswana Flora. Endemic plants of Botswana. (Unofficial list.) Botswana Flora. <https://www.botswanaflora.com/speciesdata/utilities/utility-display-endemics.php>
- Birdlife Botswana. Threatened birds of Botswana. <http://www.birdlifebotswana.org.bw/threatened-bird-database>.
- Birdlife Botswana. Category A and Category B lists of rare and uncommon birds. (Note not all birds on the list will be equivalent to Red List species.) <http://www.birdlifebotswana.org.bw/rarities>.

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Protected Areas:

- UNEP-WCMC. 2022. Protected Area Profile for Botswana from the World Database of Protected Areas. Information accessed May, 2022. Note the following information may not cover all protected areas.
- Overview map showing protected areas: <https://www.protectedplanet.net/country/BWA>
- List of areas with links to more information: https://www.protectedplanet.net/en/search-areas?filters%5Blocation%5D%5Btype%5D=country&filters%5Bdb_type%5D%5B%5D=wdpa&filters%5Blocation%5D%5Boptions%5D%5B%5D=Botswana

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UNEP. 2019. 6th National Report for the Convention on Biological Diversity. Botswana. May 2019. United Nations Environmental Program. <https://chm.cbd.int/database/record?documentID=246394>

UNESCO World Heritage Sites:

- For the Okavango Delta, see: <https://whc.unesco.org/en/list/1432>.
- For the Tsodilo site, see: <https://whc.unesco.org/en/list/1021>.

Sites proposed for biodiversity and other natural features:

- Central Kalahari Game Reserve, <https://whc.unesco.org/en/tentativelists/5555/>; Chobe Linyanti System, <https://whc.unesco.org/en/tentativelists/5556/>;
- Makgadikgadi Pans Landscape. <https://whc.unesco.org/en/tentativelists/5559/>;
- Gcwihaba Caves, <https://whc.unesco.org/en/tentativelists/5558/>.

Sites proposed for cultural or archaeological values:

- Makgadikgadi Pans Landscape. <https://whc.unesco.org/en/tentativelists/5559/>; Gcwihaba Caves, <https://whc.unesco.org/en/tentativelists/5558/>;
- Mapungubwe Cultural Landscape (Trans-boundary Listing), <https://whc.unesco.org/en/tentativelists/5557/>;
- Toutswe Mogala Hill Iron Age Settlement, <https://whc.unesco.org/en/tentativelists/1340/>;
- Tswapong Hills Cultural Landscape, <https://whc.unesco.org/en/tentativelists/5560/>.

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WWF Global 200 Ecoregions. For maps, see: <https://databasin.org/maps/new#datasets=a5b34649cc69417ba52ac8e2dce34c3b>

Annex I Glossary of terms

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

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

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

Active ingredient: Part of the product that provides the pesticidal action (Source: FAO International Code of Conduct on Pesticide Management).

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

Additionality:

- **Additionality outside the Management Unit:** Conservation and/or restoration outcomes over and above those already achieved or planned to be achieved, and that would not have been achieved without the support and/or intervention of the organization.

Projects must either be new (i.e., not already being implemented or planned), amended or extended so that conservation and/or restoration outcomes are enhanced beyond what would have been achieved, or planned or funded to be achieved without The Organization planning to remedy for historical conversion.

- **Additionality inside the Management Unit:** Conservation and/or restoration outcomes above and beyond those required by the applicable FSC standards.

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

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

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

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

Affirmative action: A policy or a program that seeks to redress past discrimination through active measures to ensure equal opportunity, as in education and employment (Source: FSC report on generic criteria and indicators based on ILO Core Conventions principles, 2017).

Alien species: A species, subspecies or lower taxon, introduced outside its natural past or present distribution; includes any part, gametes, seeds, eggs, or propagules of such species that might survive and subsequently reproduce (Source: FSC-STD-01-001 V5-2, based on Convention on Biological Diversity (CBD), Invasive Alien Species Programme. Glossary of Terms as provided on CBD website).

Applicable law: Means applicable to The Organization as a legal person or business enterprise in or for the benefit of the Management Unit and those laws which affect the implementation of the FSC Principles and Criteria. This includes any combination of statutory law (Parliamentary-approved) and case law (court interpretations), subsidiary regulations, associated administrative procedures, and the national constitution (if present) which invariably takes legal precedence over all other legal instruments (Source: FSC-STD-01-001 V5-2).

Aquifer: A formation, group of formations, or part of a formation that contains sufficient saturated permeable material to yield significant quantities of water to wells and springs for that unit to have economic value as a source of water in that region. (Source: Gratzfeld, J. 2003. Extractive Industries in Arid and Semi-Arid Zones. World Conservation Union (IUCN)).

Best Available Information: Data, facts, documents, expert opinions, and results of field surveys or consultations with stakeholders that are most credible, accurate, complete, and/or pertinent and that can be obtained through reasonable effort and cost, subject to the scale and intensity of the management activities and the Precautionary Approach (Source: FSC-STD-60-004 V2-0).

Binding Agreement: A deal or pact, written or not, which is compulsory to its signatories and enforceable by law. Parties involved in the agreement do so freely and accept it voluntarily (Source: FSC-STD-60-004 V2-0).

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

Biological diversity: The variability among living organisms from all sources including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are a part; this includes diversity within species, between species and of ecosystems (Source: FSC-STD-60-004 V2-0, based on Convention on Biological Diversity (CBD) 1992, Article 2).

Chemical pesticide: Synthetically produced pesticide (Source: FSC-POL-30-001 V3-0).

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

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

Confidential information: Private facts, data and content that, if made publicly available, might put at risk The Organization, its business interests or its relationships with Indigenous Peoples with stakeholders, clients and competitors (Source: FSC-STD-60-004 V2-0).

Conflicts between the Principles and Criteria and laws: Situations where it is not possible to comply with the Principles and Criteria and a law at the same time (Source: FSC-STD-01-001 V5-2).

Connectivity: A measure of how connected or spatially continuous a corridor, network, or matrix is. The fewer gaps, the higher the connectivity. Related to the structural connectivity concept; functional or behavioral connectivity refers to how connected an area is for a process, such as an animal moving through different types of landscape elements (Source: FSC-STD-60-004 V2-0, based on R.T.T. Forman. 1995. Land Mosaics. The Ecology of Landscapes and Regions. Cambridge University Press, 632pp). Aquatic connectivity deals with the accessibility and transport of materials and organisms, through groundwater and surface water, between different patches of aquatic ecosystems of all kinds (Source: FSC-STD-60-004 V2-0).

Conservation Areas Network: Those portions of the Management Unit for which conservation is the primary and, in some circumstances, exclusive objective; such areas include Representative Sample Areas, conservation zones, Protection Areas, connectivity areas and High Conservation Value Areas (Source: FSC-STD-60-004 V2-0).

Conservation/Protection: These words are used interchangeably when referring to management activities designed to maintain the identified environmental or cultural values in existence long-term. Management activities may range from zero or minimal interventions to a specified range of appropriate interventions and activities designed to maintain, or compatible with maintaining, these identified values (Source: FSC-STD-01-001 V5-2).

Conservation zones and Protection Areas: Defined areas that are designated and managed primarily to safeguard species, habitats, ecosystems, natural features or other site-specific values because of their natural environmental or cultural values, or for purposes of monitoring, evaluation or research, not necessarily excluding other management activities. For the purposes of the Principles and Criteria, these terms are used interchangeably, without implying that one always has a higher degree of conservation or protection than the other. The term 'protected area' is not used for these areas, because this term implies legal or official status, covered by national regulations in many countries. In the context of the Principles and Criteria, management of these areas should involve active conservation, not passive protection' (Source: FSC-STD-01-001 V5-2).

Conversion: A lasting change of natural forest cover or High Conservation Value areas, induced by human activity. This may be characterized by significant loss of species diversity, habitat diversity, structural complexity, ecosystem functionality or Page 85 of 107 International Generic Indicators FSC-STD-60-004 V2-1 EN livelihoods and cultural values. The definition of conversion covers gradual forest degradation as well as rapid forest transformation (Source: FSC-POL-01-007 V1-0).

- **Induced by human activity:** In contrast to drastic changes caused by natural calamities like hurricanes or volcanic eruptions. It also applies in cases of naturally ignited fires where human activities (e.g. draining of peatlands) have significantly increased the risk of fire.
- **Lasting change of natural forest cover:** Permanent or long-term change of natural forest cover. Temporary changes of forest cover or structure (e.g. harvesting followed by regeneration in accordance with the FSC normative framework) is not considered conversion.
- **Lasting change of High Conservation Value (HCV) areas:** Permanent or long term change of any of the High Conservation Values. Temporary changes of HCV areas that do not negatively and permanently impact the values (e.g. harvesting followed by regeneration in accordance with Principle 9) is not considered a lasting change.
- **Significant loss of species diversity:** Loss of species is considered significant where rare species and threatened species or other locally important, keystone and/or flagship species are lost, whether in terms of numbers of individuals or in terms of number of species. This refers to both displacement and extinction.

NOTE: The establishment of ancillary infrastructure necessary to implement the objectives of responsible forest management (e.g. forest roads, skid trails, log landings, fire protection, etc.) is not considered conversion.

Conversion Threshold: The point at which degradation and/or clearing has occurred to an extent where recovery to natural forest conditions and/or High Conservation Value Areas is unlikely to be achieved without direct intervention (Source: FSC-POL-01-007 V1-0).

NOTE: Examples of direct intervention include but are not limited to removal of exotic species, physical protection of existing remnant native vegetation, re-wetting of drained soils, reintroduction of appropriate native species, and reintroduction of High Conservation Value species where suitable habitat remains or is re-established

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

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

Critical: The concept of criticality or fundamentality in Principal 9 and HCVs relates to irreplaceability and to cases where loss or major damage to this HCV would cause serious prejudice or suffering to affected stakeholders. An ecosystem service is considered to be critical (HCV 4) where a disruption of that service is likely to cause, or poses a threat of, severe negative impacts on the welfare, health or survival of local communities, on the environment, on HCVs, or on the functioning of significant infrastructure (roads, dams, buildings etc.). The notion of criticality here refers to the importance and risk for natural resources and environmental and socio-economic values (Source: FSC-STD-01-001 V5-2).

Critical population density: Maximum acceptable number or density of individuals in a pest population, beyond which the pest threatens the achievement of management Page 86 of 107 International Generic Indicators FSC-STD-60-004 V2-1 EN objectives. Assessment of the critical population density should take into account historical records from the affected area, the type of pest (insects, weeds, pathogens, etc.), and how the pest population is likely to change in relation to its density, including situations in which small populations show a positive relationship between population density and growth rate (the Allee effect). (Based on: International Code of Conduct on the Distribution and use of Pesticides 2006).

Culturally appropriate [mechanisms]: Means/approaches for outreach to target groups that are in harmony with the customs, values, sensitivities, and ways of life of the target audience (Source: FSC-STD-60-004 V2-0).

Customary law: Interrelated sets of customary rights may be recognized as customary law. In some jurisdictions, customary law is equivalent to statutory law, within its defined area of competence and may replace the statutory law for defined ethnic or other social groups. In some jurisdictions customary law complements statutory law and is applied in specified circumstances (Source: FSC-STD-01-001 V5-2, based on N.L. Peluso and P. Vandergeest. 2001. Genealogies of the political forest and customary rights in Indonesia, Malaysia and Thailand, Journal of Asian Studies 60(3):761–812).

Customary rights: Rights which result from a long series of habitual or customary actions, constantly repeated, which have, by such repetition and by uninterrupted acquiescence, acquired the force of a law within a geographical or sociological unit (Source: FSC-STD-01-001 V5-2).

Degradation: Changes within a natural forest or High Conservation Value area that significantly and negatively affect its species composition, structure and/or function, and reduces the ecosystem's capacity to supply products, support biodiversity and/or deliver ecosystem services (Source: FSC-POL-01-007 V1-0).

Direct involvement: Situations in which the associated organization or individual is first-hand responsible for the unacceptable activities (Source: FSC-POL-01-004 V2-0).

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

Dispute: for the purpose of the IGI, this is an expression of dissatisfaction by any person or organization presented as a complaint to The Organization, relating to its management activities or its conformity with the FSC Principles and Criteria, where a response is expected (Source: FSC-STD-01-001 V5-2, based on FSC-PRO-01-005 V3-0 Processing Appeals).

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

- Affects the legal or customary rights of Indigenous Peoples and local communities;
- Where the negative impact of management activities is of such a scale that it cannot be reversed or mitigated;
- Physical violence;
- Destruction of property;
- Presence of military bodies;
- Acts of intimidation against forest workers and stakeholders
(Source: FSC-STD-60-004 V2-0).

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

Economic viability: The capability of developing and surviving as a relatively independent social, economic or political unit. Economic viability may require but is not synonymous with profitability (Source: FSC-STD-01-001 V5-2, based on the definition provided on the website of the European Environment Agency).

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

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

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

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

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

(Source: FSC-STD-01-001 V5-2, based on R. Hassan, R. Scholes and N. Ash. 2005. Ecosystems and Human Well-being: Synthesis. The Millennium Ecosystem Assessment Series. Island Press, Washington DC).

Emergency: A situation that requires immediate action to control the sudden invasion or infestation of a pest, which threatens either long-term stability of the ecosystem, human well-being or economic viability. Events that happen cyclically and scenarios which are predicted through planning, monitoring or the application of an integrated pest management system cannot be considered an emergency. For the purpose of the FSC Pesticides Policy, emergency situations require immediate action and cannot feasibly be controlled by a less hazardous alternative. (Source: FSC-POL-30-001 V3-0).

Employment and Occupation: Includes access to vocational training, access to employment and to particular occupations, and terms and conditions of employment (Source: FSC-STD-60-004 V2-0, based on International Labour Organization (ILO) Convention 111, Article 1.3).

Engaging / engagement: The process by which The Organization communicates, consults and/or provides for the participation of interested and/or affected stakeholders ensuring that their concerns, desires, expectations, needs, rights and opportunities are considered in the establishment, implementation and updating of the management plan (Source: FSC-STD-01-001 V5-2).

Environmental and social risk assessment (ESRA): A process to predict, assess and review the likely or actual environmental and social effects of a well-defined action, evaluate alternatives, and design appropriate mitigation, management and monitoring measures.

In the context of the FSC Pesticides Policy, it relates to chemical pesticide use (Source: FSC-POL-30-001 V3-0).

Environmental biomonitoring: Act of observing and assessing the state and ongoing changes in ecosystems, components of biodiversity and landscape, including the types of natural habitats, populations and species. (Source: Encyclopaedia of Toxicology (Third Edition, 2014)).

Environmental harm: Any impact on the environment values as a result of human activity that has the effect of degrading the environment, whether temporarily or permanently (Source: FSC-POL-01-007 V1-0).

Environmental Impact Assessment (EIA): Systematic process used to identify potential environmental and social impacts of proposed projects, to evaluate alternative approaches, and to design and incorporate appropriate prevention, mitigation, management and monitoring measures (Source: FSC-STD-01-001 V5-2, based on Environmental impact assessment, guidelines for FAO field projects. Food and agriculture organization of the United Nations (FAO). Rome).

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

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

The actual worth attributed to these elements depends on human and societal perceptions (Source: FSC-STD-01-001 V5-2).

Equal remuneration for men and women workers for work of equal value: refers to rates of remuneration established without discrimination based on sex (ILO Convention 100, Article 1b).

Equivalent: For ecological equivalence, the same specific type of natural forest or High Conservation Value is restored or conserved as was destroyed.

For social remedy, equivalence shall be based on an independent assessment and agreement on remedy through Free, Prior, Informed Consent (FPIC) with the affected rights holders of the nature, quality, and quantity of all social harms as well as the ongoing future benefits these would have provided. Equivalence shall entail provision of the best means possible to ensure future community wellbeing. (Source: FSC-POL01-007 V1-0)

Exclusion zone: Area in which chemical pesticides are used, and which people are prevented from entering during and after pesticide application in order to avoid unacceptable risk of exposure. The exclusion zone remains in force until the risk of exposure has reduced to an acceptable level (the period of re-entry).

Externalities: The positive and negative impacts of activities on stakeholders that are not directly involved in those activities, or on a natural resource or the environment, which do not usually enter standard cost accounting systems, such that the market prices of the products of those activities do not reflect the full costs or benefits (Source: FSC-STD-01-001 V5-2).

Fair compensation: Remuneration that is proportionate to the magnitude and type of services rendered by another party or of the harm that is attributable to the first party (Source: FSC-STD-60-004 V2-0).

Fertilizer: Mineral or organic substances, most commonly N, P₂O₅ and K₂O, which are applied to soil for the purpose of enhancing plant growth (Source: FSC-STD-60-004 V2-0).

Fibre Testing: a suite of wood identification technologies used to identify the family, genus, species and origin of solid wood and fibre-based products (Source: FSC-STD-60-004 V2-0).

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

Forced or compulsory labour: work or service exacted from any person under the menace of any penalty and for which the said person has not offered himself/ herself voluntarily (Source: FSC-STD-60-004 V2-0, based on International Labour Organization (ILO) Convention 29, Article 2.1).

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

Formal and informal workers organization: association or union of workers, whether recognized by law or by The Organization or neither, which have the aim of promoting workers rights and to represent workers in dealings with The Organization particularly regarding working conditions and compensation (Source: FSC-STD-60-004 V2-0).

Fragmentation: The process of dividing habitats into smaller patches, which results in the loss of original habitat, loss in connectivity, reduction in patch size, and increasing isolation of patches. Fragmentation is considered to be one of the single most important factors leading to loss of native species, especially in forested landscapes, and one of the primary causes of the present extinction crisis. In reference to Intact Forest Landscapes, the fragmentation of concern is understood to be that caused by human industrial

activities. (Source: FSC-STD-60-004 V2-0, adapted from Gerald E. Heilman, Jr. James R. Strittholt Nicholas C. Slosser Dominick A. Dellasala, BioScience (2002) 52 (5): 411-422.)

Free, Prior, and Informed Consent (FPIC): A legal condition whereby a person or community can be said to have given consent to an action prior to its commencement, based upon a clear appreciation and understanding of the facts, implications and future consequences of that action, and the possession of all relevant facts at the time when consent is given. Free, prior and Informed Consent includes the right to grant, modify, withhold or withdraw approval (Source: FSC-STD-60-004 V2-0, based on the Preliminary working paper on the principle of Free, Prior and Informed Consent of Indigenous Peoples (...) (E/CN.4/Sub.2/AC.4/2004/4 8 July 2004) of the 22nd Session of the United Nations Commission on Human Rights, Sub-commission on the Promotion and Protection of Human Rights, Working Group on Indigenous Populations, 19–23 July 2004).

FSC Transaction: Purchase or sale of products with FSC claims on sales documents (Source: FSC-STD-60-004 V2-0).

Gender equality: Gender equality or gender equity means that women and men have equal conditions for realizing their full human rights and for contributing to, and benefiting from, economic, social, cultural and political development (Source: FSC-STD-60-004 V2-0, adapted from FAO, IFAD and ILO workshop on 'Gaps, trends and current research in gender dimensions of agricultural and rural employment: differentiated pathways out of poverty', Rome, 31 March to 2 April 2009.).

Genetically modified organism: An organism in which the genetic material has been altered in a way that does not occur naturally by mating and/or natural recombination. (Source: FSC-STD-60-004 V2-0, based on FSC-POL-30-602 FSC Interpretation on GMO (Genetically Modified Organisms)).

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

Good faith: A process of engagement where the parties make every effort to reach an agreement, conduct genuine and constructive negotiations, avoid delays in negotiations, respect agreements concluded and under development, and give sufficient time to discuss and settle disputes (Source: FSC-STD-60-004 V2-0, adapted from Motion 40:2017).

Good Faith in negotiation: The Organization (employer) and workers' organizations make every effort to reach an agreement, conduct genuine and constructive negotiations, avoid unjustified delays in negotiations, respect agreements concluded and give sufficient time to discuss and settle collective disputes (Gerning B, Odero A, Guido H (2000), Collective Bargaining: ILO Standards and the Principles of the Supervisory Bodies. International Labour Office, Geneva).

Governmental order: The use of a specific chemical pesticide is ordered or carried out by governmental authorities independent of the Organization (Source: FSC-POL30-001 V3-0).

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

Habitat: The place or type of site where an organism or population occurs (Source: FSC-STD-60-004 V2-0, based on the Convention on Biological Diversity (CBD), Article 2).

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

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

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

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

Hazardous work (in the context of child labour): Any work which is likely to jeopardize children's physical, mental or moral health, should not be undertaken by anyone under the age of 18 years. Hazardous child labour is work in dangerous, or unhealthy conditions that could result in a child being killed or injured/maimed (often permanently) and/or made ill (often permanently) as a consequence of poor safety and health standards and working arrangements. In determining the type of hazard child labour referred to under (Article 3(d) of the Convention No 182, and in identifying where they exist, consideration should be given, inter alia, to

- Work which exposes children to physical, psychological or sexual abuse;
 - Work underground, under water at dangerous heights or in confined spaces;
 - Work with dangerous machinery, equipment and tools, or which involves the manual handling or transport of heavy loads;
 - Work in unhealthy environment which may, for examples, expose children to hazardous substances, agents or processes, or to temperatures, noise levels, or vibrations damaging to their health;
 - Work under particularly difficult conditions such as work for long hours or during the night or work where the child is unreasonably confined to the premises of the employer
- (Source: FSC-STD-60-004 V2-0, based on International Labour Organization (ILO), 2011: IPEC Mainstreaming Child labour concerns in education sector plans and Programmes, Geneva, 2011& ILO Handbook on Hazardous child labour, 2011).

Heavy work (in the context of child labour): refers to work that is likely to be harmful or dangerous to children's health (Source: FSC-STD-60-004 V2-0, based on FSC report on generic criteria and indicators based on International Labour Organization (ILO) Core Conventions principles, 2017).

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

- **HCV1:** Species Diversity. Concentrations of biological diversity including endemic species, and rare, threatened or endangered species, that are significant at global, regional or national levels.
 - **HCV 2:** Landscape-level ecosystems and mosaics. Intact Forest Landscapes, large landscape-level ecosystems and ecosystem mosaics that are significant at global, regional or national levels, and that contain viable populations of the great majority of the naturally occurring species in natural patterns of distribution and abundance.
 - **HCV 3:** Ecosystems and habitats. Rare, threatened, or endangered ecosystems, habitats or refugia.
 - **HCV 4:** Critical ecosystem services. Basic ecosystem services in critical situations, including protection of water catchments and control of erosion of vulnerable soils and slopes.
 - **HCV 5:** Community needs. Sites and resources fundamental for satisfying the basic necessities of local communities or Indigenous Peoples (for example for livelihoods, health, nutrition, water), identified through engagement with these communities or Indigenous Peoples.
 - **HCV 6:** Cultural values. Sites, resources, habitats and landscapes of global or national cultural, archaeological or historical significance, and/or of critical cultural, ecological, economic or religious/sacred importance for the traditional cultures of local communities or Indigenous Peoples, identified through engagement with these local communities or Indigenous Peoples
- (Source: based on FSC-STD-01-001 V5-2).

High Conservation Value Areas: Zones and physical spaces which possess and/or are needed for the existence and maintenance of identified High Conservation Values (Source: FSC-STD-60-004 V2-0).

High grading: High grading is a tree removal practice in which only the best quality, most valuable timber trees are removed, often without regenerating new tree seedlings or removing the remaining poor quality and suppressed understory trees and, in doing so, degrading the ecological health and commercial value of the forest. High grading stands as a counterpoint to sustainable resource management (Source: FSC-STD-60-004 V2-0, based on Glossary of Forest Management Terms. North Carolina Division of Forest Resources. March 2009).

Highly hazardous pesticide (HHP): chemical pesticides that are acknowledged to present particularly high levels of acute or chronic hazards to health and environment according to internationally accepted classification systems or are listed in relevant binding international agreements or conventions, or contain dioxins, or heavy metals. In addition, pesticides that appear to cause severe or irreversible harm to health or the environment under conditions of use in a country may be considered to be and treated as highly hazardous.

FSC distinguishes between FSC prohibited HHPs, FSC highly restricted HHPs and FSC restricted HHPs:

- **FSC prohibited HHPs:** chemical pesticides that: a) are listed or recommended for listing under Annex A (elimination) of the Stockholm Convention on Persistent Organic Pollutants or Annex III of the Rotterdam Convention on the Prior Informed Consent Procedure or listed under the Montreal Protocol on Substances that Deplete the Ozone Layer, or b) are acutely toxic and that can induce cancer (carcinogenic and likely to be carcinogenic), or c) contain dioxins or d) contain heavy metals).
- **FSC highly restricted HHPs:** chemical pesticide presenting two or three out of the following hazards: acute toxicity, chronic toxicity and environmental toxicity.
- **FSC restricted HHPs:** chemical pesticide presenting one out of three of the following hazards: acute toxicity, chronic toxicity and environmental toxicity.

(Source: FSC-POL-30-001 V3-0).

ILO Committee on Freedom of Association: a Governing Body Committee set up in 1951, for the purpose of examining complaints about violations of freedom of association, whether or not the country concerned had ratified the relevant conventions. Is composed of an independent chairperson and three representatives each of governments, employers, and workers. If it decides to receive the case, it establishes the facts in dialogue with the government concerned. If it finds that there has been a violation of freedom of association standards or principles, it issues a report through the Governing Body and makes recommendations on how the situation could be remedied. Governments are subsequently requested to report on the implementation of its recommendations (Source: FSC report on generic criteria and indicators based on ILO Core Conventions principles, 2017).

ILO Core (Fundamental) Conventions: these are labour standards that cover fundamental principles and rights at work: freedom of association and the effective recognition of the right to collective bargaining; the elimination of all forms of forced or compulsory labour; the effective abolition of child labour; and the elimination of discrimination* in respect of employment and occupation.

The eight Fundamental Conventions are:

- Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87)
- Right to Organise and Collective Bargaining Convention, 1949 (No. 98)
- Forced Labour Convention, 1930 (No. 29)
- Abolition of Forced Labour Convention, 1957 (No. 105)
- Minimum Age Convention, 1973 (No. 138)
- Worst Forms of Child Labour Convention, 1999 (No. 182)
- Equal Remuneration Convention, 1951 (No. 100)
- Discrimination (Employment and Occupation) Convention, 1958 (No. 111)

(Source: FSC-STD-60-004 V2-0, based on FSC report on generic criteria and indicators based on International Labour Organization (ILO) Core Conventions principles, 2017).

ILO Declaration on Fundamental Principles and Rights at Work and its Followup, adopted by the International Labour conference at its Eighty-sixth Session, Geneva, 18th June 1998 (Annex revised 15 June 2010): is a resolute reaffirmation of ILO principles (art 2) which declares that all Members, even if they have not ratified the Conventions in question, have an obligation, arising from the very fact of membership in the organization, to respect, to promote and to realize, in good faith* and in accordance with the Constitution, the principles concerning the fundamental rights which are the subject of those Conventions, namely:

- Freedom of association and the effective recognition of the right to collective bargaining;
- The elimination of all forms of forced or compulsory labour;
- The effective abolition of child labour; and
- The elimination of discrimination* in respect of employment and occupation (Source: FSC-STD-60-004 V2-0, based on FSC report on generic criteria and indicators based on International Labour Organization (ILO) Core Conventions principles, 2017).

Indicator: A quantitative or qualitative variable which can be measured or described, and which provides a means of judging whether a Management Unit complies with the requirements of an FSC Criterion. Indicators and the associated thresholds thereby define the requirements for responsible forest management at the level of the Management Unit and are the primary basis of forest evaluation (Source: FSC-STD-60-004 V2-0).

Indigenous cultural landscapes: Indigenous cultural landscapes are living landscapes to which Indigenous Peoples attribute environmental, social, cultural and economic value because of their enduring relationship with the land, water, fauna, flora and spirits and their present and future importance to their cultural identity. An Indigenous cultural landscape is characterized by features that have been maintained through long-term interactions based on land-care knowledge, and adaptive livelihood practices. They are landscapes over which Indigenous Peoples exercise responsibility for stewardship (Source: FSC-STD-60-004 V2-0).

NOTE: The adoption of the term Indigenous cultural landscapes is voluntary by Standard Development Groups. Standard Development Groups may choose not to use it. Through Free Prior and Informed Consent Indigenous Peoples may choose to use different terminology

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

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

(Source: FSC-STD-01-001 V5-2, adapted from United Nations Permanent Forum on Indigenous, Factsheet 'Who are Indigenous Peoples' October 2007; United Nations Development Group, 'Guidelines on Indigenous Peoples' Issues' United Nations 2009, United Nations Declaration on the Rights of Indigenous Peoples, 13 September 2007).

Indirect involvement: Situations in which the associated organization or individual, with a minimum ownership or voting power of 51%, is involved as a parent or sister company, subsidiary, shareholder or Board of Directors to an organization directly involved in unacceptable activities. Indirect involvement also includes activities performed by subcontractors when acting on behalf of the associated organization or individual (Source: FSC-POL-01-004 V2-0).

Industrial activity: Industrial forest and resource management activities such as road building, mining, dams, urban development and timber harvesting (Source: FSC-STD-60-004 V2-0).

Infrastructure: In the context of forest management, roads, bridges, culverts, log landings, quarries, impoundments, buildings and other structures required in the course of implementing the management plan (Source: FSC-STD-60-004 V2-0).

Intact Forest Landscape: A territory within today's global extent of forest cover which contains forest and non-forest ecosystems minimally influenced by human economic activity, with an area of at least 500 km² (50,000 ha) and a minimal width of 10 km (measured as the diameter of a circle that is entirely inscribed within the boundaries of the territory) (Source: FSC-STD-60-004 V2-0, based on Intact Forests / Global Forest Watch. Glossary definition as provided on Intact Forest website. 2006-2014).

Integrated pest management (IPM): Careful consideration of all available pest control techniques and subsequent integration of appropriate measures that discourage the development of pest populations, encourage beneficial populations and keep pesticides and other interventions to levels that are economically justified and reduce or minimize risks to human and animal health and/or the environment. IPM emphasizes the growth of a healthy forest with the least possible disruption to ecosystems and encourages natural pest control mechanisms (Source: Based on FAO International Code of Conduct on Pesticide Management).

Intellectual property: Practices as well as knowledge, innovations and other creations of the mind (Source: FSC-STD-01-001 V5-2, based on the Convention on Biological Diversity (CBD), Article 8(j); and World Intellectual Property Organization. What is Intellectual Property? WIPO Publication No. 450(E)).

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

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

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

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

Internationally accepted scientific protocol: A predefined science-based procedure which is either published by an international scientific network or union, or referenced frequently in the international scientific literature (Source: FSC-STD-01-001 V5-2).

Intervention threshold: Population density level where the controlling measures of the targeted pest should start. It is determined in the IPM system and it is usually lower than the critical population density level.

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

Lands and territories: For the purposes of the Principles and Criteria these are lands or territories that Indigenous Peoples or local communities have traditionally owned, or customarily used or occupied, and where access to natural resources is vital to the sustainability of their cultures and livelihoods (Source: FSC-STD-60-004 V2-0, based on World Bank safeguard OP 4.10 Indigenous Peoples, section 16 (a). July 2005.).

Landscape: A geographical mosaic composed of interacting ecosystems resulting from the influence of geological, topographical, soil, climatic, biotic and human interactions in a given area (Source: FSC-STD-60-004 V2-0, based on International Union for Conservation of Nature (IUCN). Glossary definitions as provided on IUCN website).

Landscape values: Landscape values can be visualized as layers of human perceptions overlaid on the physical landscape. Some landscape values, like economic, recreation, subsistence value or visual quality are closely related to physical landscape attributes. Other landscape values such as intrinsic or spiritual value are more symbolic in character and are influenced more by individual perception or social construction than physical landscape attributes (Source: FSC-STD-60-004 V2-0, based on website of the Landscape Value Institute).

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

Legally competent: Mandated in law to perform a certain function (Source: FSC-STD-01-001 V5-2).

Legal registration: National or local legal license or set of permissions to operate as an enterprise, with rights to buy and sell products and/or services commercially. The license or permissions can apply to an individual, a privately-owned enterprise or a publicly-owned corporate entity. The rights to buy and sell products and/or services do not carry the obligation to do so, so legal registration applies also to Organizations operating a Management Unit without sales of products or services; for example, for unpriced recreation or for conservation of biodiversity or habitat (Source: FSC-STD-01-001 V5-2).

Legal status: The way in which the Management Unit is classified according to law. In terms of tenure, it means the category of tenure, such as communal land or leasehold or freehold or State land or government land, etc. If the Management Unit is being converted from one category to another (for example, from State land to communal indigenous land) the status includes the current position in the transition process. In terms of administration, legal status could mean that the land is owned by the nation as a whole, is administered on behalf of the nation by a government department, and is leased by a government Ministry to a private sector operator through a concession (Source: FSC-STD-01-001 V5-2).

Light work: National laws or regulations may permit the employment or work of persons 13 to 15 years of age on light work which is- a) not likely to be harmful to their health or development; and b) not such as to prejudice their attendance at school, their participation in vocational orientation or training programmes approved by the competent authority or their capacity to benefit from the instruction received (Source: FSC-STD-60-004 V2-0, based on International Labour Organization (ILO) Convention 138, Article 7).

Living wage: The level of wages sufficient to meet the basic living needs of an average-sized family in a particular economy (Source: FSC-STD-60-004 V2-0, based on International Labour Organization (ILO). Bureau of Library and Information Services. ILO Thesaurus as provided on ILO website).

Local communities: Communities of any size that are in or adjacent to the Management Unit, and also those that are close enough to have a significant impact on the economy or the environmental values of the Management Unit or to have their economies, rights or environments significantly affected by the management activities or the biophysical aspects of the Management Unit (Source: FSC-STD-01-001 V5-2).

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

and explicitly from these primary and secondary laws. Laws derive authority ultimately from the Westphalian concept of sovereignty of the Nation State (Source: FSC-STD-01-001 V5-2).

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

Management objective: Specific management goals, practices, outcomes, and approaches established to achieve the requirements of this standard (Source: FSC-STD-60-004 V2-0).

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

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

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

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

Managerial control: Responsibility of the kind defined for corporate directors of commercial enterprises in national commercial law, and treated by FSC as applicable also to public sector organizations (Source: FSC-STD-01-001 V5-2).

Medical Biomonitoring: Analysis of a chemical pesticide or one of its metabolites in the human body, using samples of substances such as blood, urine or breastmilk (Source: Based on FAO and WHO (2016). International Code of Conduct on Pesticide Management: Guidelines on Highly Hazardous Pesticides. FAO & WHO, Rome).

Minimum age (of employment): is not less than the age of finishing compulsory education, and which in any case, should not be less than 15 years. However, a country, whose economy and educational facilities are insufficiently developed, may initially specify a minimum age of 14 years. National laws may also permit the employment of 13-15 year olds in light work which is neither prejudicial to school attendance, nor harmful to a child's health or development. The ages 12-13 can apply for light work in countries that specify a minimum age of 14 (ILO Convention 138,

National laws: The whole suite of primary and secondary laws (acts, ordinances, statutes, decrees), which is applicable to a national territory, as well as secondary regulations, and tertiary administrative procedures (rules / requirements) that derive their authority directly and explicitly from these primary and secondary laws (Source: FSC-STD-01-001 V5-2).

Native species: Species, subspecies, or lower taxon, occurring within its natural range (past or present) and dispersal potential (that is, within the range it occupies naturally or could occupy without direct or indirect introduction or care by humans) (Source: FSC-STD-01-001 V5-2, based on Convention on Biological Diversity (CBD). Invasive Alien Species Programme. Glossary of Terms as provided on CBD website).

Natural conditions/native ecosystem: For the purposes of the Principles and Criteria and any applications of restoration techniques, terms such as 'more natural conditions', 'native ecosystem' provide for managing sites to favor or restore native species and associations of native species that are typical of the locality, and for managing these associations and other environmental values so that they form

ecosystems typical of the locality. Further guidelines may be provided in FSC Forest Stewardship Standards (Source: FSC-STD-01-001 V5-2).

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

'Natural forest' includes the following categories:

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

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

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

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

Thresholds and guidelines may cover areas such as:

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

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

Natural Hazards: Disturbances that can present risks to social and environmental values in the Management Unit but that may also comprise important ecosystem functions; examples include drought, flood, fire, landslide, storm, avalanche, etc (Source: FSC-STD-60-004 V2-0).

Non-forest land-use: Land-use system, where the land is not dominated by trees.

Non-timber forest products (NTFP): All products other than timber derived from the Management Unit (Source: FSC-STD-01-001 V5-2).

Objective: The basic purpose laid down by The Organization for the forest enterprise, including the decision of policy and the choice of means for attaining the purpose (Source: FSC-STD-60-004 V2-0, based on F.C. Osmaston. 1968. The Management of Forests. Hafner, New York; and D.R. Johnston, A.J. Grayson and R.T. Bradley. 1967. Forest Planning. Faber & Faber, London).

Obligatory code of practice: A manual or handbook or other source of technical instruction which The Organization must implement by law (Source: FSC-STD-01-001 V5-2).

Occupational accident: An occurrence arising out of, or in the course of, work which results in fatal or non-fatal injury (Source: FSC-STD-01-001 V5-2, based on International Labour Organization (ILO). Bureau of Library and Information Services. ILO Thesaurus as provided on ILO website).

Occupational disease: Any disease contracted as a result of an exposure to risk factors arising from work activity (Source: FSC-STD-01-001 V5-2, based on International Labour Organization (ILO). Bureau of Library and Information Services. ILO Thesaurus as provided on ILO website).

Occupational injuries: Any personal injury, disease or death resulting from an occupational accident (Source: FSC-STD-01-001 V5-2, based on International Labour Organization (ILO). Bureau of Library and Information Services. ILO Thesaurus as provided on ILO website).

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

Peatland: Is constituted by flooded and soggy areas, with large accumulations of organic material, covered by a layer of poor vegetation associated with a certain degree of acidity, and which presents a characteristic amber color (Source: FSC-STD-60-004 V2-0, based on Aguilar, L. 2001. About Fishermen, Fisherwomen, Oceans and tides. IUCN. San Jose (Costa Rica)).

Pest: Any species, strain or biotype of plant, animal or pathogenic agent injurious to plants and plant products, materials or environments and includes vectors of parasites or pathogens of human and animal disease and animals causing public health nuisance (Source: FSC-POL-30-001 V3-0)

Pesticide: Any substance or preparation prepared or used in protecting plants or wood or other plant products from pests; in controlling pests; or in rendering such pests harmless. This definition includes insecticides, rodenticides, acaricides, molluscicides, larvaecides, fungicides and herbicides (Source: FSC-STD-01-001 V5-2).

Pesticide Buffer zone: Area established around environmental and/or social values to protect them from damage, within which pesticides are not used or are used only with additional risk mitigation measures.

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

- Areas which would initially have complied with this definition of 'plantation' but which, after the passage of years, contain many or most of the principal characteristics and key elements of native ecosystems, may be classified as natural forests.

- Plantations managed to restore and enhance biological and habitat diversity, structural complexity and ecosystem functionality may, after the passage of years, be classified as natural forests.
- Boreal and north temperate forests which are naturally composed of only one or few tree species, in which a combination of natural and artificial regeneration is used to regenerate forest of the same native species, with most of the principal characteristics and key elements of native ecosystems of that site, may be considered as natural forest, and this regeneration is not by itself considered as conversion to plantations.
(Source: FSC-STD-01-001 V5-2).

Precautionary approach: An approach requiring that when the available information indicates that management activities pose a threat of severe or irreversible damage to the environment or a threat to human welfare, The Organization will take explicit and effective measures to prevent the damage and avoid the risks to welfare, even when the scientific information is incomplete or inconclusive, and when the vulnerability and sensitivity of environmental values are uncertain (Source: FSC-STD-01-001 V5-2, based on Principle 15 of Rio Declaration on Environment and Development, 1992, and Wingspread Statement on the Precautionary Principle of the Wingspread Conference, 23–25 January 1998).

Pre-harvest [condition]: The diversity, composition, and structure of the forest or plantation prior to felling timber and appurtenant activities such as road building (Source: FSC-STD-60-004 V2-0).

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

Priority social harms: see the definition for social harm (Source: FSC-POL-01-007 V1-0)

Protection: See definition of Conservation (Source: FSC-STD-60-004 V2-0).

Protection Area: See definition of Conservation Zone (Source: FSC-STD-60-004 V2-0).

Publicly available: In a manner accessible to or observable by people generally (Source: FSC-STD-60-004 V2-0, based on Collins English Dictionary, 2003 Edition).

Rare species: Species that are uncommon or scarce, but not classified as threatened. These species are located in geographically restricted areas or specific habitats, or are scantily scattered on a large scale. They are approximately equivalent to the IUCN (2001) category of Near Threatened (NT), including species that are close to qualifying for, or are likely to qualify for, a threatened category in the near future. They are also approximately equivalent to imperiled species (Source: FSC-STD-60-004 V2-0, based on International Union for Conservation of Nature (IUCN). 2001. IUCN Red List Categories and Criteria: Version 3.1. IUCN Species Survival Commission. IUCN. Gland, Switzerland and Cambridge, UK).

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

Reasonable: Judged to be fair or appropriate to the circumstances or purposes, based on general experience (Source: FSC-STD-60-004 V2-0, based on Shorter Oxford English Dictionary).

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

Refugia: An isolated area where extensive changes, typically due to changing climate or by disturbances such as those caused by humans, have not occurred and where plants and animals typical of a region

may survive (Source: FSC-STD-60-004 V2-0, based on Glen Canyon Dam, Adaptive Management Program Glossary as provided on website of Glen Canyon Dam website).

Remedy: To correct or return something as near as possible to its original state or condition (Source: Guiding Principles on Business and Human Rights. UN. 2011).

- For environmental harms this includes actions taken to remedy deforestation, conversion degradation, or other harms to natural forest and High Conservation Value areas. Environmental remedy actions may include but are not limited to: conservation of standing forests, habitats, ecosystems and species; restoration and protection of degraded ecosystems.
- For social harms this includes providing redress for identified social harms through agreements made during an FPIC-based process with the affected rights holders, and facilitating a transition to the position before such harms occurred; or developing alternative measures to ameliorate harms by providing gains recognized by the affected stakeholders as equivalent to the harms, through consultation and agreement. Remedy may be achieved through a combination of apologies, restitution, rehabilitation, financial or non-financial compensation, satisfaction, punitive sanctions, injunctions, and guarantees of non-repetition.

(Source: FSC-POL-01-007 V1-0).

Remuneration: includes the ordinary, basic or minimum wage or salary and any additional emoluments whatsoever payable directly or indirectly, whether in cash or in kind, by the employer to the worker and arising out of the workers employment (ILO Convention 100, Article1a).

Repair: Process of assisting the recovery of environmental values and human health (Source: FSC-POL-30-001)

Representative Sample Areas: Portions of the Management Unit delineated for the purpose of conserving or restoring viable examples of an ecosystem that would naturally occur in that geographical region (Source: FSC-STD-60-004 V2-0).

Resilience: The ability of a system to maintain key functions and processes in the face of stresses or pressures by either resisting or adapting to change. Resilience can be applied to both ecological systems and social systems (Source: FSC-STD-60-004 V2-0, based on International Union for Conservation of Nature (IUCN) World Commission on Protected Areas (IUCN-WCPA). 2008. Establishing Marine Protected Area Networks – Making it Happen. Washington D.C.: IUCN-WCPA National Oceanic and Atmospheric Administration and The Nature Conservancy.).

Restitution: Measures agreed with affected stakeholders to restore lands, properties or damaged natural resources to their original owners in their original condition. Where such lands, properties or natural resources cannot be returned or restored, measures are agreed on to provide alternatives of equivalent quality and extent. Restitution to affected rights holders is agreed on through an FPIC-based process (Source: FSC-POL-01-007 V1-0).

Restoration/ Ecological Restoration: Process of assisting the recovery of an ecosystem, and its associated conservation values, that have been degraded, damaged, or destroyed (Source: adapted from 'International principles and standards for the practice of ecological restoration'. Gann et al 2019. Second edition. Society for Ecological Restoration) (shortened version – refer to the FSC Remedy Framework for full definition).

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

The Organization is also not obliged to restore environmental values that may have existed at some time in the historic or pre-historic past, or that have been negatively affected by previous owners or

organizations – with the exception of those values negatively affected through instances of conversion and whose restoration form part of a Remedy Plan which The Organization is required to follow. In all instances, however, The Organization is expected to take reasonable measures to mitigate, control and prevent environmental degradation which is continuing in the Management Unit as a result of such previous impacts.

Riparian zone: Interface between land and a water body, and the vegetation associated with it (Source: FSC-STD-60-004 V2-0).

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

Scale: A measure of the extent to which a management activity or event affects an environmental value or a Management Unit, in time or space. An activity with a small or low spatial scale affects only a small proportion of the forest each year, an activity with a small or low temporal scale occurs only at long intervals (Source: FSC-STD-01-001 V5-2).

Scale, intensity and risk: See individual definitions of the terms 'scale', 'intensity', and 'risk' (Source: FSC-STD-60-004 V2-0).

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

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

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

Silviculture: The art and science of controlling the establishment, growth, composition, health and quality of forests and woodlands to meet the targeted diverse needs and values of landowners and society on a sustainable basis (Source: FSC-STD-01-001 V5-2, based on Nieuwenhuis, M. 2000. Terminology of Forest Management. IUFRO World Series Vol. 9. IUFRO 4.04.07 SilvaPlan and SilvaVoc).

Small-scale smallholder: Any person that is depending on the land for most of their livelihood; and/or employs labour mostly from family or neighbouring communities and has land-use rights on a Management Unit of less than 50 hectares. Standard developers may define this to less than 50 hectares (Source: FSC-POL-01-007 V1-0).

Social harms: Negative impacts on persons or communities, perpetrated by individuals, corporations or states, which include, but may go beyond, criminal acts by legal persons. Such harms include negative impacts on persons' or groups' rights, livelihoods and well-being, such as property (including forests, lands, waters), health, food security, healthy environment, cultural repertoire and happiness, as well as physical injury, detention, dispossession and expulsion (Source: FSC-POL-01-007 V1-0).

- **Ongoing social harms:** social harms which have not been remedied.
- **Priority social harms:** social harms prioritized by an FPIC-based process with affected rights-holders or identified in consultation with affected stakeholders (Source: FSC-PRO-01-007 V1-0. Shortened version - refer to the FSC Remedy Framework for full definition)

Stakeholder: See definitions for 'affected stakeholder' and 'interested stakeholder' (Source: FSC-STD-01-001 V5-2).

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

Tenure: Socially defined agreements held by individuals or groups, recognized by legal statutes or customary practice, regarding the 'bundle of rights and duties' of ownership, holding, access and/or usage of a particular land unit or the associated resources there within (such as individual trees, plant species, water, minerals, etc.) (Source: FSC-STD-01-001 V5-2, based on International Union for Conservation of Nature (IUCN). Glossary definitions provided on IUCN website).

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

Threat: An indication or warning of impending or likely damage or negative impacts (Source: FSC-STD-60-004 V2-0, based on Oxford English Dictionary).

Threatened species: Species that meet the IUCN (2001) criteria for Vulnerable (VU), Endangered (EN) or Critically Endangered (CR), and are facing a high, very high or extremely high risk of extinction in the wild. These categories may be re-interpreted for FSC purposes according to official national classifications (which have legal significance) and to local conditions and population densities (which should affect decisions about appropriate conservation measures) (Source: FSC-STD-60-004 V2-0, based on International Union for Conservation of Nature (IUCN). 2001. IUCN Red List Categories and Criteria: Version 3.1. IUCN Species Survival Commission. IUCN. Gland, Switzerland and Cambridge, UK).

Timber harvesting level: The actual harvest quantity executed on the Management Unit, tracked by either volume (e.g. cubic meters or board feet) or area (e.g. hectares or acres) metrics for the purpose of comparison with calculated (maximum) allowable harvest levels (Source: FSC-STD-60-004 V2-0).

Timely manner: As promptly as circumstances reasonably allow; not intentionally postponed by The Organization; in compliance with applicable laws, contracts, licenses or invoices (Source: FSC-STD-60-004 V2-0).

Traditional Knowledge: Information, know-how, skills and practices that are developed, sustained and passed on from generation to generation within a community, often forming part of its cultural or spiritual identity (Source: FSC-STD-60-004 V2-0, based on the definition by the World Intellectual Property Organization (WIPO). Glossary definition as provided under Policy / Traditional Knowledge on the WIPO website).

Traditional peoples: Traditional peoples are social groups or peoples who do not self-identify as indigenous and who affirm rights to their lands, forests and other resources based on long established custom or traditional occupation and use (Source: FSC-STD-60-004 V2-0, Forest Peoples Programme (Marcus Colchester, 7 October 2009).

Transaction verification: Verification by certification bodies and/or Assurance Services International (ASI) that FSC output claims made by certificate holders are accurate and match with the FSC input claims of their trading partners (Source: FSC-STD-40-004 V3-0).

Trigger Value: Trigger values are expressed as the value of toxicity exposure ratio (TER) above which exposure is considered to be an unacceptable risk. The TER is calculated based on the acute toxicity value and exposure for each pesticide. Its value will be local and will be based on exposure parameters.

Uphold: To acknowledge, respect, sustain and support (Source: FSC-STD-01-001 V5-2).

Use rights: Rights for the use of resources of the Management Unit that can be defined by local custom, mutual agreements, or prescribed by other entities holding access rights. These rights may restrict the use of particular resources to specific levels of consumption or particular harvesting techniques (Source: FSC-STD-01-001 V5-2).

Vast majority: 80% of the total area of Intact Forest Landscapes within the Management Unit as of January 1, 2017. The vast majority also meets or exceeds the minimum definition of Intact Forest Landscape (Source: FSC-STD-60-004 V2-0).

Verifiable targets: Specific goals, such as desired future forest conditions, established to measure progress towards the achievement of each of the management objectives. These goals are expressed as clear outcomes, such that their attainment can be verified and it is possible to determine whether they have been accomplished or not (Source: FSC-STD-60-004 V2-0).

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

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

- Hazardous waste, including chemical waste and batteries;
- Containers;
- Motor and other fuels and oils;
- Rubbish including metals, plastics and paper; and
- Abandoned buildings, machinery and equipment (Source: FSC-STD-60-004 V2-0).

Water bodies (including water courses): Seasonal, temporary, and permanent brooks, creeks, streams, rivers, ponds, and lakes. Water bodies include riparian or wetland systems, lakes, swamps, bogs and springs (Source: FSC-STD-60-004 V2-0).

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

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

Wetlands: Transitional areas between terrestrial and aquatic systems in which the water table is usually at or near the surface or the land is covered by shallow water (Source: FSC-STD-60-004 V2-0, based on Cowardin, L.M., Carter, V., Golet, F.C., Laroe, E.T. 1979. Classification of Wetlands and Deepwater Habitats of the United States. DC US Department: Washington).

Under the Ramsar Convention, wetlands can include tidal mudflats, natural ponds, marshes, potholes, wet meadows, bogs, peatlands, freshwater swamps, mangroves, lakes, rivers and even some coral reefs (Source: FSC-STD-60-004 V2-0, based on International Union for Conservation of Nature (IUCN), No Date, IUCN Definitions – English).

Workers: All employed persons including public employees as well as 'self-employed' persons. This includes part-time and seasonal employees, of all ranks and categories, including laborers, administrators, supervisors, executives, contractor employees as well as self-employed contractors and sub-contractors (Source: FSC-STD-60-004 V2-0, based on International Labor Organization (ILO) Convention 155, Occupational Safety and Health Convention, 1981).

Workers' organization: any organization of workers for furthering and defending the interest of workers* (adapted from ILO Convention 87, Article 10). It is important to note that rules and guidance on composition of workers' organization vary from country to country, especially in relation to those who are considered as rank and file members, as well those who are deemed to have power to "hire and fire". Workers' organizations tend to separate association between those who can "hire and fire" and those who cannot (Source: FSC-STD-60-004 V2-0, based on report on generic criteria and indicators based on International Labour Organization (ILO) Core Conventions principles, 2017).

Worst forms of child labour: comprises a) all forms of slavery or practices similar to slavery, such as the sale and trafficking of children, debt bondage and serfdom and forced labour, including forced or compulsory recruitment of children for use in armed conflict; b) the use, procuring or offering of a child for prostitution, for the production of pornography or for pornographic performance; c) the use, procuring or offering of a child for illicit activities, in particular for production and trafficking of drugs as defined in the relevant international treaties; d) work which, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morals of children (Source: FSC-STD-60-004 V2-0, based on International Labour Organization (ILO) Convention 182, Article 3).



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