



Forest Stewardship Council®



The FSC Interim National Standard of Sri Lanka

FSC-STD-LKA-01-2021 EN



Photo credit

From left to right:

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

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

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

NOTE ON THIS ENGLISH VERSION:

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

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The Forest Stewardship Council® (FSC) is an independent, not for profit, non-government organization established to support environmentally appropriate, socially beneficial, and economically viable management of the world's forests.

FSC’s vision is that true value of forests is recognized and fully incorporated into society worldwide. FSC is the leading catalyst and defining force for improved forest management and market transformation, shifting the global forest trend toward sustainable use, conservation, restoration, and respect for all.

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.

Table of Contents

A. Objective.....	5
B. Scope	5
C. Note on the use of indicators, annexes and verifiers.....	5
D. References	7
E. Abbreviations	8
F. Principles, Criteria and Indicators.....	9
PRINCIPLE 1: COMPLIANCE WITH LAWS.....	9
PRINCIPLE 2: WORKERS' RIGHTS AND EMPLOYMENT CONDITIONS.....	15
PRINCIPLE 3: INDIGENOUS PEOPLES' RIGHTS	23
PRINCIPLE 4: COMMUNITY RELATIONS	29
PRINCIPLE 5: BENEFITS FROM THE FOREST	35
PRINCIPLE 6: ENVIRONMENTAL VALUES AND IMPACTS.....	39
PRINCIPLE 7: MANAGEMENT PLANNING.....	48
PRINCIPLE 8: MONITORING AND ASSESSMENT.....	52
PRINCIPLE 9: HIGH CONSERVATION VALUES	55
PRINCIPLE 10: IMPLEMENTATION OF MANAGEMENT ACTIVITIES	59
G. Annexes	67
Annex A: List of applicable laws, regulations, ratified international treaties, conventions, and agreements (Principle 1)	67
Annex B: Training requirements for workers (Principle 2).....	75
Annex C: Conservation Area Network Conceptual Diagram (Principle 6)	76
Annex D: Elements of the Management plan (Principle 7).....	77
Annex E: Conceptual Framework for Planning and Monitoring (Principle 7) ...	79
Annex F: Monitoring Requirements (Principle 8)	81
Annex G: HCV Framework (Principle 9)	84
Annex H: Glossary of Terms	134

A. Objective

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

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

B. Scope

This standard shall be applied in the following scope:

Geographic region	Democratic Socialist Republic of Sri Lanka
Forest types	All forest types (Plantations and natural forests)
Ownership types	All types of ownerships, including public, private, community forests and others.
Management categories (according to section 6 of FSC-STD-60-002)	All categories of Management Units, including small and low intensity managed forests (SLIMFs) <i>(Note: see section C for the applicable SLIMF eligibility criteria for this country.)</i>
Forest products (according to FSC-STD-40-004a)	Rough wood NTFPs: Natural rubber/latex from <i>Hevea brasiliensis</i> ; <i>Eucalyptus</i> leaves; forest fruits and nuts; bamboo; rattan; sap from <i>Caryota urens</i> and medicinal plants.

C. Note on the use of indicators, annexes and verifiers

The following elements of this standard are normative:

Scope, effective and validity dates, glossary of terms, principles, criteria and indicators, directives, references, tables and annexes.

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

The following elements of this standard are provided for guidance only and are not normative:

Verifiers, notes, examples.

Organizations managing Management Units qualifying as SLIMF shall conform with all indicators in the standard, except those indicated as “Not applicable for SLIMF”. Where specific SLIMF indicators exist (marked as e.g. “SLIMF 3.5.1”), 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 metres, OR the <i>average</i> 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”), the 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.

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

“may”: indicates a course of action permissible within the limits of the document.

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

Terms for which a definition is provided in the Glossary of Terms are formatted in italics and marked with an *asterisk** in sections F and G.

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

D. References

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

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

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

E. Abbreviations

BAI	Best Available Information
CEA	Central Environmental Authority
CSO	Civil Society Organization
FM	Forest Management
FMP	Forest Management Plan
FPIC	Free, Prior and Informed Consent
FSC	Forest Stewardship Council
EIA	Environmental Impact Assessment
EPL	Environmental Protection License
EPF	Employees' Provident Fund
ETF	Employees' Trust Fund
GIS	Geographic Information System
GN	Grama Niladhari
HCV	High Conservation Value
IBA	Important Bird and Biodiversity Area
IFL	Intact Forest Landscape
IEE	Initial Environmental Examination
INS	Interim National Standard
KBA	Key Biodiversity Area
MU	Management Unit
NTFP	Non-Timber Forest Product
RTE	Rare, threatened and endangered
PS	Pradeshia Sabha
SIA	Social Impact Assessment

F. Principles*, Criteria* and Indicators*

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 are documented and unchallenged.

Verifiers: Documentary check: Business registration documents, Licenses, taxpayer documents

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

Verifiers: Documentary check: Certifications of recognition and incorporation, Licenses, Written permissions from competent authorities.

a) For Companies and Limited Liability Partnerships – Documents:

- 1) Company registration
- 2) Shareholders and ownership
- 3) Address of registered office
- 4) Information and contact details of directors, managers and company secretaries

b) For Government Organizations – Documents: Gazetted State Ordinance on the establishment of *The Organization**.

c) For Cooperative Societies – Documents: Original or certified copies:

- 1) Registration Certificate
- 2) List of Registered Office Bearers
- 3) Constitution of Society

d) For Sole Proprietorship and Partnership – Documents: Original or certified copies of Business registration certificate.

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 are documented.

Verifiers: Documentary check: Forest Management Plan (FMP), Gazzetes, Deeds, Lease and Sub-lease documents.

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

Verifiers: Documentary check: FMP, Gazettes, Deeds, Lease and Sub-lease documents.

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

Verifiers: Documentary check:

a) For *Forests** and State lands – Documents: Government Gazettes

b) For private lands – Documents: Indenture of lease, Land titles.

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.

Verifiers: Documentary check: Official maps by relevant State Forestry Departments and/or Land Office or Land and Survey Department showing the boundaries of the *Management Unit**. FMP, Maps, Land deeds. Checks: Landmark posts.

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/or *customary rights**; and

3) *Obligatory codes of practice** and advisory circulars.

Verifiers: Documentary check: Original or certified copies of trading or business licenses from local councils, Environmental Protection License (EPL), Permits and Approvals from relevant authorities, Advisory circulars.

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

1) *Applicable laws** and regulations and administrative requirements,

2) *Legal** and/or *customary rights**; and

3) *Obligatory codes of practice** and advisory circulars.

Verifiers: Documentary check: Original or certified copies of trading or business licenses from local councils, Environmental Protection License (EPL), Permits and Approvals from relevant authorities.

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

Verifiers: Documentary check: Payment records, Utility bills, Employees' Provident Fund (EPF), Employees' Trust Fund (ETF), Records such as invoices, tax returns and receipts or waiver and exemptions from *legally competent** authorities, bank statements.

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

Verifiers: Documentary check: Forest Management Plan (FMP) (prescriptions, objectives, field descriptions).

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.

Verifiers: Documentary check: FMP, Records of all detected instances of unauthorized and/or illegal activities. Standard Operating Procedures, Maps. Checks: Boundaries marked in areas where there is a high *risk** of illegal activities, Field observations, Standard Operating Procedures implementation.

- 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: Documentary check: Evidence of Police complaints, Records of actions taken by Wildlife Department, Forest Department, Pradeshiya Sabha (PS), Central Environmental Authority (CEA), and Grama Niladhari (GN). Interviews: Forest Management (FM) staff.

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

Verifiers: Documentary check: FMP, Related records, Records of actions taken by Surveillance and Enforcement Units. Interviews: Surveillance and Enforcement Units for evidence of implemented measures.

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** and *non-timber forest products** from and/or within the *Management Unit** up to the point of first sale are demonstrated.

Verifiers: Documentary check: Records of Wildlife, *Forest** Department, CITES, Agriculture Department, Central Environmental Authority (CEA) Removal pass permit, delivery orders, invoices, bill of lading, export declaration form, timber disposal permit and/or others as relevant. Tree tagging, marking records and/or production records, Transit Permits, Harvesting Licenses. Interviews: Employees and regulatory authorities for evidence of compliance.

1.5.2 Compliance with CITES provisions are demonstrated, including through possession of permits/license for harvest and trade in any CITES listed species of *forest** and *non-timber forest products**.

Verifiers: Documentary check: CITES, lists of all locally occurring timber species that are listed by CITES within the *Management Unit**, Permits or licenses for harvest and trade, National Red list of Sri Lanka.

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 are in place; developed through *culturally appropriate** *engagement** with *affected stakeholders**.

Verifiers: Documentary check: Documented *dispute** resolution procedure. Records of *engagement** with *affected stakeholders**. Interviews: *Affected stakeholders** for evidence of satisfactory *engagement** during *The Organization**'s development of its *dispute** resolution process.

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: Documentary check: Records of *disputes**, Settlement agreements and/or documented cases (if any). Interviews: *Affected stakeholders** on the timeliness of the response, and *Affected stakeholders** and Civil Society Organizations (CSOs) for evidence of fair negotiation and/or mediation for mutually agreed settlements.

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: Documentary check: Up to date records of *disputes**, records of grievances, records of *dispute** resolution decisions and actions, and records of compensation and/or settlement agreements (if any).

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: Documentary check: Records of *disputes**, operational records, records of stop work orders issued by management in disputed areas. Interviews: Stakeholder consultation, consultation of *affected stakeholders** and community liaison officer for evidence that operations ceased in affected areas. Checks: Site observations.

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 anticorruption legislation, *The Organization** shall implement other anticorruption measures proportionate to the *scale** and *intensity** of management activities and the *risk** of corruption.**

1.7.1 A policy that meets or exceeds related legislation is implemented including a commitment not to offer or receive bribes of any description.

Verifiers: Documentary check: Policies and Procedures, communications materials (such as circulars, notifications, posters, etc.) regarding policy to staff, including contractors and other stakeholders, Code of Conducts.

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 neighbors and customers.

Verifiers: Documentary check: Policies and Procedures, Communications materials (such as circulars, notifications, posters, etc.) regarding policy to staff, including contractors and other stakeholders, Code of Conducts.

1.7.2 The policy meets or exceeds related legislation.

Verifiers: Documentary check: written and publicly available policy.

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

Verifiers: Documentary check: Written and *publicly available** policy. Checks: Site observations, Notice boards, websites. Interviews: Stakeholder consultation.

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

Verifiers: Documentary check: Standard Operating Procedures to prevent corruption. Interviews: Stakeholder consultation.

1.7.5 Corrective measures are implemented if corruption does occur.

Verifiers: Documentary check: Records of internal investigations carried out, disciplinary actions taken, implemented corrective measures (if any), case judgement files. Procedures and related records. Interviews: Stakeholder consultation.

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 is 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: Documentary check: Policies (Organization policy), FMP (Objectives). Interviews: Consultation with FM staff.

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

Verifiers: Documentary check: Written and publicly available policy.
Checks: Site observations, website, notice boards. Interviews: Consultation with *workers** and stakeholders.

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 14.

Note: See provisions of Employment of Women, Young Persons and Children' Act

Verifiers: Documentary check: *Worker** register, Employment policy/procedures, Employment records (Age Register), identity documents such as copies of birth certificates or national ID cards. Interviews: Stakeholder consultations (random interviews with workers and employers/contractors/labor union representatives/regulatory authorities). Checks: Site observations.

2.1.1.2 Employment of persons between the ages of 14 to 16 years in *light work** shall not interfere with schooling nor be harmful to their health or development. They shall work only outside of school hours during normal daytime working hours.

Note: See provisions of Employment of Women, Young Persons and Children' Act.

Verifiers: Documentary check: Policies and procedures, *worker** register. Interviews: Stakeholder consultations, *forest* workers**.

2.1.1.3 No person under the age of 16 is employed in *hazardous** or *heavy work** except for the purpose of training within approved *national laws** and regulation.

Verifiers: Documentary check: *Worker** register, Employment policy/procedures. Interviews: Stakeholder consultations. Checks: Site observations.

2.1.1.4 The Organization* shall prohibit worst forms of *child labor**.

Verifiers: Documentary check: Worker register, Employment policy/procedures. Interviews: Stakeholder consultations. Checks: Site observations

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

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

Verifiers: Interviews: Stakeholder consultations. Checks: Site observations. Documentary check:

a) Wage records

- b) Employment contracts and/or work agreements
- c) Records of salary deductions
- d) *Dispute** and grievance records
- e) Records of licensed recruitment agencies

2.1.2.2 There is no evidence of any practice 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: Interviews: Stakeholder consultations, interviews with employees. Checks: Site observations. Documentary check: Records:

- a) Wage records
- b) Employment contracts and/or work agreements
- c) Records of salary deductions
- d) *Dispute** and grievance records
- e) Records of licensed recruitment agencies, if applicable

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: Interviews: Stakeholder consultations. Checks: Site observations. Documentary check: Records

- a) Wage records,
- b) Adverts for employment,
- c) Job application records,
- d) *Dispute** and grievance records,
- e) Job evaluation (appraisals),
- f) Policies and procedures,
- g) Records of employment demographic/gender ratio in job types (if available).

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.

Verifiers: Documentary check: Policies and procedures, Records, Workers, organizations' written constitutions and rules (if any). Interviews: Stakeholder consultations. Checks: Site observations.

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

Verifiers: Documentary Check: Policies and procedures, Collective agreement, appeals from workers, complaints received for suspension from employment. Interviews: Stakeholder consultations (Workers, labour union representatives and management).

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.

Verifiers: Documentary check: Collective agreements, Wages Boards Ordinance gazette notifications. Interviews: Stakeholder consultations.

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

Verifiers: Documentary check: Payroll, Collective agreements. Interviews: Stakeholder consultations.

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: Documentary check: Policies and procedures (Organization's policy on *gender equality**), Training records (Records of training and health & safety programs confirm sufficient inclusion of women), Contract documents, Documentation communicating *The Organizations'** policy on *gender equality** (e.g. circulars or notification to employees, contractors etc.), Company manuals. Interviews: Interviews with Managers, *workers** (including women) and *stakeholders**.

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: Documentary check: Contract documents, Payroll, Job grades, Recruitment policy, employment advertising, employment records. Interviews: Stakeholder consultations (Managers, *workers** and *stakeholders** (focusing on women)).

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: Documentary check: Training documents (health and safety). Interviews: Stakeholder consultations (Managers and workers (focusing on women)).

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

Verifiers: Documentary check: Payroll, Workers contract, Salary Slips.
Interviews: Interviews with *workers**

2.2.5 Women and men 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: Documentary Check: Payroll, Salary slips. Interviews:
Interviews with *workers**

2.2.6 Maternity leave is no less than 12 weeks (2 weeks before and 10 weeks after confinement) inclusive of holidays (84 calendar days) for the first two births and 6 weeks or 42 calendar days for any subsequent birth if she has two children living.

Verifiers: Documentary check: Payroll, Maternity leave records, Company human resource manuals. Interviews: Interviews with the relevant women *workers**

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

Verifiers: Documentary check: Payroll, Paternity leave records, Company human resource procedures, Public Administration Circular 03/2006 (applicable for government sector employees).
Interviews: Interviews with the relevant men *workers**

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: Documentary check: Records and participation lists of meetings, committees and forums, proactive measures by *The Organization** to ensure women's participation and *engagement**.
Interviews: Stakeholder consultations.

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: Documentary check: Policies and procedures, Records.
Interviews: Stakeholder consultations (Managers, *workers**, contractors and labor union representatives, and other relevant stakeholders).

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 national legislative requirements ILO Code of Practice on Safety and Health in Forestry Work.

Verifiers: Documentary check: Policies and procedures, Records (Machinery maintenance records), Health and Safety Regulatory Certificate, Operational Maintenance Plan, First Aid, Emergency Rescue records, Occupational health and medical care policy or standards based on ILO Code, Complaint boxes and feedback forms, Continuous training and their records. Interviews: Stakeholder consultations. Check: Warning signs.

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

Verifiers: Documentary check: Policies and procedures, Records (Machinery maintenance records), Health and Safety Regulatory Certificate, Operational Maintenance Plan, First Aid, Emergency Rescue records, Occupational health and medical care policy or standards based on ILO Code, Complaint boxes and feedback forms, Continuous training and their records. Interviews: Stakeholder consultations. Check: Warning signs.

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

Verifiers: Documentary check: Policies and procedures, Records (Machinery maintenance records), Health and Safety Regulatory Certificate, Operational Maintenance Plan, First Aid, Emergency Rescue records, Occupational health and medical care policy or standards based on ILO Code, Complaint boxes and feedback forms, Continuous training and their records. Interviews: Stakeholder consultations. Check: Warning signs.

2.3.2 Personal protective equipment is provided to all workers including contracted workers appropriate to their assigned tasks.

Verifiers: Documentary check: Records of issuance of personal protective equipment, Disciplinary records. Interviews: Stakeholder consultations. Checks: Site visits.

NTFP 2.3.2 Personal protective equipment is provided to all *workers** including contracted *workers**, who are harvesting and processing *non-timber forest products**, and appropriate for their assigned tasks.

Verifiers: Documentary check: Records of issuance of personal protective equipment, Disciplinary records. Interviews: Stakeholder consultations. Checks: Site visits.

2.3.3 Use of personal protective equipment is enforced.

Verifiers: Documentary check: Records of disciplinary action taken against *workers** who fail to use their personal protective equipment (if any). Interviews: Stakeholder consultations, Interviews with FM Staff. Checks: Personal protective equipment uses by *workers**.

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

Verifiers: Documentary check: Accident records, Health records, Machine related records, Monitoring & Evaluation reports.

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

Verifiers: Documentary check: Accident records, Health records, Machine related records, Monitoring & Evaluation reports.

2.3.5 Accidents and injuries are minimized and continuously monitored to ensure *long-term** reductions in pattern and frequency.

Verifiers: Documentary check: Monitoring and evaluation records.

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

Verifiers: Documentary check: Monitoring and evaluation 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 in Sri Lanka.

Verifiers: Documentary check: Payroll, Legal minimum wage rates (collective agreements, wages boards), Pay slips. Interviews: *Workers** (including contract *workers**).

2.4.2 Wages paid staff and *workers** (including contract *workers**) meet or exceed:

- 1) Recognized forest* industry wage agreements; or
- 2) Wages that are higher than legal* minimum wages.

Verifiers: Documentary check: Payroll, Legal minimum wage rates (collective agreements, wages boards), Pay slips. Interviews: *Workers** (including contract *workers**).

2.4.3 When no minimum wage levels exist, wages are established through *culturally appropriate* engagement** with *workers** and/or formal and informal *workers organizations**.

Verifiers: Documentary check: Payroll, Agreements contracts.

2.4.4 Wages, salaries and contracts are paid on time.

Verifiers: Documentary check: Payroll, Work/Labor contracts.
Interviews: Stakeholder consultation.

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**, including contracted *workers** harvesting and processing timber have job specific training and supervision to safely and effectively contribute to the implementation of the *management plan** and all management activities.

Note: Annex B (Guidance on training requirements for *workers**) provides guidance on training requirements.

Verifiers: Documentary check: Policies and procedures, Training plans and records, Skill or training certificates, Job Descriptions.
Interviews: Stakeholder consultations, Interviews with FM Staff.

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

Note: Annex B (Guidance on training requirements for workers) provides guidance on training requirements.

Verifiers: Documentary check: Policies and procedures, Training plans and records, Skill or training certificates, Job Descriptions.
Interviews: Stakeholder consultations, Interviews with FM Staff.

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

Verifiers: Documentary check: Training plans and related records.
Interviews: Interviews with *workers** and FM Staff.

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

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

Verifiers: Documentary check: Policies and procedures, *Dispute** records, complaints register. Interviews: Stakeholder consultations (Forest managers, workers and labour union representatives).

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

Verifiers: Documentary check: *Dispute** records, Records of grievances. Interviews: Stakeholder consultations (Managers, *workers** and labour union representatives).

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: Documentary check: Dispute records, Compensation records.

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

Verifiers: Documentary Check: Dispute records, Accident records, Compensation records. Interviews: Stakeholder consultations.

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: Documentary check: *Management plans**, Maps, Policies, List of all *Indigenous Peoples** that exist within and outside the *Management Unit** that may be affected by management activities. (Lists should include key characteristics of the *Indigenous Peoples** concerned including ethnic group, number of households, population, etc.). Interviews: Interviews with *forest** management staff and local stakeholders. Check: Site observations.

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, NTFP* 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

Verifiers: Interviews: Interviews with *forest** management staff and representatives of indigenous communities, Interviews with Civil Society Organizations (CSO). Documentary check: Records, Documents, Maps, Policies and procedures, Management plans, Agreements:

- a) Maps and other relevant records identifying all lands or territories of *Indigenous Peoples** within the *Management Unit**;

- b) Records of *engagement** with *Indigenous Peoples** (reflecting consultation was conducted and concluded through *Indigenous Peoples** representative sign-off);
- c) Records and documents identifying all key rights of *Indigenous Peoples** within the *Management Unit** to *tenure**, resources, customary *significance**, recreation, sustenance, water resources and other applicable *ecosystem services**;
- d) Records of supporting historical documents, oral history (e.g. recordings, etc.) to support claims made by *Indigenous Peoples**;
- e) Records and maps of all identified areas where rights are contested. This should include historical information (e.g. settlement, usage, documentation from former government, etc.) of *Indigenous Peoples** in the area; and
- f) Records of consultations including at least one relevant government agency, Civil Society Organization (CSO) or academic expert.

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: Documentary check: Policies and procedures, Records of *engagement**, Records on modifications to management activities requested by *Indigenous Peoples**, agreements. Interviews: Interviews with *forest** management staff and representatives of Indigenous communities.

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

Verifiers: Documentary check: Records. Interviews: Interviews with *forest** management staff and representatives of indigenous communities, Relevant *workers** to demonstrate awareness of the legal and customary rights of *Indigenous Peoples** in relation to on-the-ground management activities.

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: Documentary check: Records (Records of *dispute** resolution), Policies and procedures, Agreements between *The Organization** and *Indigenous Peoples** (if any), Records of

*engagement** and/or *dispute** resolution process. Interviews: Interviews with *forest** management staff and representatives of Indigenous communities. Checks: Field observations.

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: Documentary check: Policies, Records of *engagement*/consultations* including proceedings in relation to the above requirements, Management plans. Interviews: Interviews with *forest** management staff and representatives of indigenous communities.

3.2.5 Where the process of *Free Prior and Informed Consent** 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: Documentary check: Records. Interviews: Interviews with *forest** management staff and representatives of Indigenous communities.

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.

Verifiers: Documentary check: *Management plans**, Policies, *Binding agreement**, Records of *engagement**. Interviews: Interviews with *Indigenous Peoples** and Civil Society Organizations.

3.3.2 Records of *binding agreements** are maintained.

Verifiers: Documentary check: Records and documents relating to the *binding agreement**. Interviews: Interviews with management staff.

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: Documentary check: Documents, Policies and procedures, *Binding agreement**, Written reports or oral records from *Indigenous Peoples**, documented evidence of fulfilment of conditions of the *binding agreement**. Interviews: Interviews with *Indigenous Peoples**.

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: Documentary check: Records, Records of training delivered to relevant workers (to demonstrate understanding of UNDRIP and ILO Convention 169 relevant to *Indigenous peoples** rights, customs and culture). Interviews: Interviews with *forest** management staff and representatives of indigenous communities, Interviews with *forest** manager and/or relevant officer of *The Organization** and/or any outsourced parties (contracted to assist *The Organization** in recognizing and upholding the rights of *Indigenous Peoples**) to demonstrate awareness of the rights, customs and culture of *Indigenous Peoples** as defined in UNDRIP and ILO Convention 169.

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: Documentary check: Records, Policies, Documentation of relevant steps taken by *The Organization*. Interviews: Interviews with *forest** management staff, Interviews with *Indigenous Peoples**.

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

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

Verifiers: Documentary check: Documents and maps (Map showing sites of special cultural, ecological, economic, religious or spiritual significance and related supporting documents), Records of *engagement** through participatory approach with *Indigenous Peoples** and their representatives on the identification and mapping of sites. Interviews: Interviews with *forest** management staff and local (Indigenous) stakeholders. Additional guidance: Examples of sites may include: ceremonial, burial, or village sites, areas used for hunting, fishing, or trapping, areas used for gathering of sustenance and culturally important materials.

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 are used.

Verifiers: Documentary check: Records of *engagement** with *Indigenous Peoples** and/or relevant stakeholders, documentation of measures to protect such sites, operational maps. Interviews: Interviews with *forest** management staff and local (Indigenous) stakeholders. Checks: Measures implemented on the ground to protect such sites.

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: Documentary check: Operational plans and maps, policies and procedures, records of training for relevant *workers** to identify these sites and implement the necessary measures to protect them before the start of management activities to avoid negative impacts, records of stop work orders issued by management when such sites are newly discovered. Interviews: Interviews with *forest** management staff and local (Indigenous) stakeholders.

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: Documentary check: Management plan or other documents Procedures, Declaration/Policy by *The Organization* explicitly stating that it shall recognize and uphold the rights of *Indigenous Peoples** to protect and utilize their *traditional knowledge**, Records of joint utilization of *traditional knowledge** (if any), Binding agreement*. Interviews: Interviews with *forest** management staff and local (Indigenous) stakeholders, Interviews with holders of the *traditional knowledge**.

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: Documentary check: Documents (agreements), *Binding agreement**, and Records of *engagement** and compensation and/or benefit sharing. Interviews: Interviews with *forest** management staff and local (Indigenous) stakeholders.

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.

Verifiers: Documentary check: Records, List of all *local communities** that exist within the *Management Unit** or are affected by management activities.

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: Documentary check: Records showing existing situation of the *tenure** rights, Records of, *engagement** with *local communities**, consultation conducted, documents identifying all key rights of local communities, Minutes of stakeholder meetings, Agreements, Maps. Interviews: Stakeholder consultations.

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

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

Verifiers: Documentary check: Policies and procedures, Records of *engagement**, modifications requested by *local communities**. Interviews: Interviews with *local communities**.

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

Verifiers: Documentary check: Policies and procedures, Stakeholder consultation meeting minutes. Interviews: Stakeholder consultations.

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

Verifiers: Documentary check: *Dispute** records, Records of *engagement**. Interviews: Stakeholder consultations. Checks: Site observations.

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

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

Verifiers: Documentary check: Agreement between *The Organization** and *local communities**, Records of *engagement**, Minutes of meeting, Monitoring records. Interviews: Stakeholder consultations.

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 *local communities** are engaged in a mutually agreed *FPIC** process that is advancing, in *good faith** and with which the community is satisfied.

Verifiers: Documentary check: Minutes of meetings. Interviews: Stakeholder consultations, Interview with the FM Staff.

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.

Verifiers: Documentary check: Policies, Training plan and records, Contracts and agreements, Invoices and payment receipts. Interviews: Interviews with the *local communities**, employees, contractors and suppliers.

SLIMF 4.3.1 A policy that gives preference to local people with equal relevant competence is applied during employment, training, and other services.

Verifiers: Documentary check: Policies, Training plan and records, Contracts and agreements, Invoices and payment receipts. Interviews: Interviews with the *local communities**, employees, contractors and suppliers.

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 socioeconomic 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: Documentary check: Corporate Social Responsibility records, Records of *engagement** with *local communities**, List of available opportunities. Interviews: Stakeholder consultations. Checks: Site observations.

SLIMF 4.4.1 Opportunities for local social and economic development are identified and implemented in accordance with the local laws in place.

Verifiers: Documentary check: Corporate Social Responsibility records, Records of *engagement** with local communities, List of available opportunities. Interviews: Stakeholder consultations. Checks: Site observations.

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.

Verifiers: Documentary check: Community relations activity program and records. Interviews: Stakeholder consultations. Checks: Site observations.

SLIMF 4.4.2 Local products and services are used, unless there is clear and convincing justification for using others.

Verifiers: Documentary check: Community relations activity program and records. Interviews: Stakeholder consultations. Checks: Site observations.

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 implemented to identify, avoid and mitigate *significant** negative social, environmental and economic impacts of management activities including impacts on timber and *non-timber forest products**.

Verifiers: Documentary check: Community needs assessment and records. Interviews: Minutes of meetings, Stakeholder meetings.

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

Verifiers: Documentary check: Community needs assessment and records. Interviews: Minutes of the meetings, stakeholder meetings.

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

Verifiers: Documentary check: Community needs assessment and records. Interviews: Minutes of meetings, Stakeholder meetings.

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: Documentary check: Policies and procedures, Records of *engagement** with *local communities**. Interviews: Stakeholder consultations.

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: Documentary check: Dispute/grievances records.
Interviews: Interviews with *local communities**.

4.6.3 An up-to-date record of grievances related to the impacts of management activities are 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: Documentary check: Dispute/grievances records, Records of compensation and/or settlement agreements (if any).
Interviews: Stakeholder consultation.

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: Documentary check: Operation records, Maps. Interviews: Stakeholder consultation, Interview with FM Staff, Interviews with affected *local communities** and community liaison officer.
Checks: Site observation.

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: Documentary check: FMP, Policies and procedures, Maps, Relevant assessments (Environment, Ecology, Social, Economic). Interviews: Stakeholder consultation. Checks: Site observations

4.7.2 Measures to protect such sites are agreed, documented and implemented through *culturally appropriate** *engagement** with *local communities**.

Note: 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: Documentary check: Policies, procedures, relevant assessments, Letters sent to relevant authorities, Minutes of community meetings held, Maps. Interviews: Interview with FM Staff, Stakeholder consultations. Checks: Relevant assessments, Site observations.

- 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: Documentary check: Policies, procedures and records, Letters sent to relevant authorities, Minutes of community meetings held Records of training for relevant. Interviews: Interview with FM Staff, Stakeholder consultations. Checks: Site observation for *protection** measures taken.

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

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

Verifiers: Documentary check: Policies, procedures and records, Consent letters and agreements. Interviews: Minutes of meetings held with *local community**, Stakeholder consultations.

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

Verifiers: Documentary check: Policies, procedures and records, Consent letters and agreements, Minutes of meetings held with *local community**. Interviews: Stakeholder consultations.

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 *forest** resources and *ecosystem services** that could strengthen and diversify the local economy are identified.

Verifiers: Documentary check: FMP, Maps, Resource surveys of the *Management Unit**. Interviews: Stakeholder consultation, Interviews with *Local communities**, Interview with FM Staff. Checks: Site observations.

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

Verifiers: Documentary check: FMP, Maps, Resource surveys of the Management Unit. Interviews: Stakeholder consultation, Interviews with *Local communities**, Interview with FM Staff. Checks: Site observations.

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

Verifiers: Documentary check: FMP, Maps, Resource surveys of the *Management Unit**. Interviews: Stakeholder consultation, Interviews with *Local communities**, Interview with FM Staff. Checks: Site observations.

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: Documentary check: FMP, Maps, Harvesting and/or production records, Agreements. Interviews: Stakeholder consultation, Interviews with *Local communities**, Interview with FM Staff. Checks: Site observations.

NTFP 5.1.2 Consistent with management *objectives**, known benefits, *non-timber forest products** are produced by *The Organization**, to strengthen and diversify the local economy.

Verifiers: Documentary check: FMP, Maps, Harvesting and/or production records, Agreements. Interviews: Stakeholder consultation, Interviews with *Local communities**, Interview with FM Staff. Checks: Site observations.

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

Verifiers: Documentary check: Assessment report, Business and management plans, Monitoring and evaluation records

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 an analysis of current *Best Available Information** on growth and yield; inventory of the *forest**; mortality rates; and maintenance of *ecosystem functions**.

Verifiers: Documentary check: FMP, Related records, Prescribed annual allowable cut. Note: Timber harvesting rates are based on an analysis that includes at a minimum:

- a) A *precautionary approach** that reflects the quality of information used;
- b) Up-to-date growth and yield information;
- c) Up-to-date inventory;
- d) Areas available for harvest;
- e) Volume reductions caused by mortality and decay as well as natural disturbances such as fire, insects and disease;
- f) Sensitivity analyses of the factors that apply to harvest rate calculations, with specific attention to input estimations and assumptions where data are weak;
- g) Volume and area reductions to account for *protection** of social, spiritual, cultural and other values identified in *Principle* 3* and *Principle* 4*;
- h) Volume and area reductions to account for *protection** of environmental values identified in *Principle* 6*;
- i) Management objectives identified in *Principle* 7*;
- j) Measures to fully maintain and/or enhance *High Conservation Values** identified in *Principle* 9*;
- k) Volume and area reductions to account for *protection** of values identified in *Principle* 10*.

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: Documentary check: FMP, Annual work plan /harvesting plan, and Compartment record book.

- 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: Documentary check: Policies, procedures, FMP, harvesting records, Harvesting plan.

- 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 *Best Available Information**.

Verifiers: Documentary check: FMP, Policies and procedures, Guidelines and advices given by relevant authorities.

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

- 5.3.1 Measures required to preventing, mitigating or compensating for negative social and environment impacts of management activities are quantified and documented in the management plan or supplementary documents.

Note for SLIMF: SLIMF organizations may identify the costs related to preventing, mitigating or compensating the activities for mitigating the impacts in a participatory manner, and maintain it in one of any following organizational documents: *management plan**, meeting minutes and decisions, enterprise development plan, business plan etc.

Verifiers: Documentary check: Management plan or Initial Environmental Examination (IEE) / *Environmental Impact Assessment** (EIA) reports quantifying the costs of impacts, Annual budget.

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

Verifiers: Documentary check: FMP, Social Impact Assessment (SIA), Environment/ecology assessments.

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: Documentary check: Contracts and agreements, Invoices and payment receipts, List of available local goods and services.
Interviews: Stakeholder consultations, management staff.

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

Verifiers: Documentary check: Contracts and agreements, Invoices and payment receipts, List of available local goods and services.
Interviews: Stakeholder consultations, management staff.

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: Documentary check: Training and assistance records, Minutes of community meetings. Interviews: Stakeholder consultation, Interview with FM Staff. Checks: Local services established.

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: Documentary check: Available and forecasted budget, Annual work plan.

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

Verifiers: Documentary check: Available and forecasted budget, Payments, Audited financial records.

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** are used to identify *environmental values** within, and, where potentially affected by management activities, outside of the *Management Unit**.

Note: *Best available information** includes but is not limited to:

- 1) Publication by Forest Department, Department of wildlife conservation, District *forest** offices, and *forest** management groups.
- 2) Information provided by others third parties, for instance non-government or research organizations, individual researchers and experts etc.
- 3) Transect Data
- 4) Consultation with *local communities**, Indigenous communities, and key informants

Verifiers: Documentary check: Available publications and assessment reports, use of expert and local information (minutes of community meetings and stakeholder consultations). Interviews: *Local communities**, experts, workers and staff.

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: Documentary check: Available publications, reports of assessment, monitoring and evaluation, use of expert and local information (minutes of community meetings and stakeholder consultations). Interviews: *Local communities**, experts, workers and staff.

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

Verifiers: Documentary check: Available publications, reports of assessment, monitoring and evaluation, use of expert and local information (minutes of community meetings and stakeholder consultations). Interviews: *Local communities**, experts, *workers** and staff.

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.

Note: *Environmental Impact Assessment** (EIA) and the relevant assessments shall be done by a recognized authority for the prescribed activities in national environment act (Gazette No. 772/22 of 24.06.1993).

Verifiers: Documentary check: Environment assessments (EIA, EA) Pre-harvesting assessments, Minutes of the meetings held with the *local community**. Interviews: Stakeholder consultation. Checks: Site observations.

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

Verifiers: Documentary check: Environment assessments (EIA, EA) Pre-harvesting assessments, Minutes of the meetings held with the *local community**. Interviews: Stakeholder consultation. Checks: Site observations.

6.2.2 The *Environmental Impact Assessment** identifies and assesses the impacts of the management activities prior to the start of site-disturbing activities.

Verifiers: Documentary check: Environment assessments, Pre-harvesting assessments, Minutes of the meetings held with the *local community**. Interviews: Stakeholder consultation. Checks: Site observations.

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** and *non-timber forest products**.

Verifiers: Documentary check: FMP, Site specific operational plans, Monitoring records. Interviews: Stakeholder consultation, Interviews with FM Staff, Environmental and other NGOs. Checks: Site observations.

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

Verifiers: Documentary check: Post-harvesting assessment, Monitoring records, Records of consultations. Interviews: Stakeholder consultation. Checks: Existence of negative impacts and implementation of planned mitigation measures planned.

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

Verifiers: Documentary check: Assessment and monitoring records, Mitigatory plans. Interviews: Stakeholder consultation, Interview with FM Staff. Checks: Site observations.

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 species (where applicable) and those listed on national, regional and local lists of *rare and threatened species** that are present or likely to be present within and adjacent to the *Management Unit**.

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

- 1) IUCN Red list, CITES list, and protected species by the Government of Sri Lanka;
- 2) Field surveys;
- 3) Book on major wild flora and fauna of Sri Lanka
- 4) Databases relevant to *rare, threatened and endangered species**, such as maintained by district *forest*s* office, relevant offices in *protected areas**;
- 5) Consultation with representatives of *local communities** and experts.

Verifiers: Documentary check: Available publications (e.g., IUCN Red Data List, CITES), Gathering of local information (minutes of community meetings). Interviews: Experts and stakeholders. Check: Site observations.

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: Documentary check: Maps, Environment assessments, Pre-harvesting assessments, Minutes of the meetings held with the

local community. Interviews: Stakeholder consultation. Checks: *Forest** management activities.

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

Verifiers: Documentary check: Maps, Environment assessments, Pre-harvesting assessments, Minutes of the meetings held with the local community. Interviews: Stakeholder consultation. Checks: *Forest** management activities.

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

Verifiers: Documentary check: Policies and procedures, FMP, Maps, Monitoring plans. Field check: Site observations. Interviews: Stakeholder consultations.

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

Verifiers: Documentary check: Policies and procedures, Maps, Records of informing relevant authorities. Interviews: Stakeholder consultations, Interviews with FM Staff. Checks: Site observations.

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

Verifiers: Documentary check: Policies and procedures, Maps, Records of informing relevant authorities. Interviews: Stakeholder consultations, Interviews with FM Staff. Checks: Site observations.

NTPF 6.4.4 Hunting, fishing, trapping and collection of *rare** or *threatened species** including *non-timber forest products** are prevented.

Verifiers: Documentary check: Policies and procedures, Maps, Records of informing relevant authorities. Interviews: Stakeholder consultations, Interviews with FM Staff. Checks: Site observations.

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** are used to identify *native ecosystems** that exist, or would exist under *natural conditions**, within the *Management Unit**.

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

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

Verifiers: Documentary check: Available publications, Gathering of local information (minutes of community meetings), Maps, FMP. Interviews: Experts, *local community** and stakeholders. Checks: Site observations on Presence and status of the identified areas.

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

Verifiers: Documentary check: FMP, Maps, Survey reports, *restoration*/ protection** programs. Interviews: Stakeholder consultations. Checks: Site observations.

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** are *restored** to *natural conditions**.

Note: For SLIMF less than 50 Ha, please refer to the international interpretations INT-STD-01-001_09 and INT-STD-20-007_45. International interpretations are available through the FSC Document Centre (<https://fsc.org/en/document-centre>).

Verifiers: Documentary check: Maps, Extent statements, Restoration plans. Interviews: Stakeholder consultations, Interviews with FM Staff. Check: Site observations.

6.5.4 The size of the *Representative Sample Areas** and/or *restoration** areas are 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: Documentary check: FMP, Maps. Interviews: Stakeholder consultations. Check: Site observations.

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**.

Note: For SLIMF less than 50 Ha, please refer to the international interpretations INT-STD-01-001_09 and INT-STD-20-007_45. See also the international interpretation INT-FSC-STD-60-004_01 on the inclusion of riparian zones to the *Conservation Area Network**. International interpretations are available through the FSC Document Centre (<https://fsc.org/en/document-centre>).

Verifiers: Documentary check: FMP, Extent statement, Maps. Interviews: *Forest** management staff. Check: Site observations.

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: Documentary check: Inventory, Monitoring, evaluation and assessment, Maps. Interviews: Stakeholder consultations. Field check: Site observations.

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

Verifiers: Documentary check: FMP, Records of past management activities, Maps, Restoration plan, Monitoring, evaluation and assessment reports. Interviews: with the FM Staff. Field check: Site observations.

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

Verifiers: Documentary check: FMP, Maps, Restoration plan, Monitoring, evaluation and assessment reports. Interviews: Interview with the FM Staff. Field check: Site observations.

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

Verifiers: Documentary check: Control measures for illegal hunting, fishing, trapping and collecting, Incident records. Interviews: *Forest** management staff, Regulatory authorities, conservation organizations. Checks: Site observations.

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

- 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: Documentary check: FMP, Policies and procedures, Maps, Water quality monitoring records. Interviews: Stakeholder consultation, Interviews with the FM Staff. Field check: Site observations.

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

Verifiers: Documentary check: Monitoring, evaluation and assessment, Restoration plans, Water quality monitoring records. Interviews FM Staff, Stakeholder consultation.

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

Verifiers: Documentary check: Monitoring, evaluation and assessment, Operation plans, Restoration plans, Water quality monitoring records. Interviews: FM Staff, Stakeholder consultation. Field check: Site observations.

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

Verifiers: Documentary check: Monitoring, evaluation and assessment, Operation plans, Restoration plans, Water quality assessment monitoring records. Interviews: Interviews with FM Staff, Stakeholder consultation.

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 are maintained appropriate to the landscape*.

Verifiers: Documentary check: FMP, Maps, Guidelines of relevant institutes, Survey or inventory reports. Interviews: Interviews with FM Staff, Site observations. Field check: Site observations.

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

Verifiers: Documentary check: FMP, Maps, Guidelines of relevant institutes, Restoration plans. Interviews: Interviews with FM Staff, Restoration plans. Field check: Site observations.

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

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

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

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

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

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

2) The conversion will produce clear, substantial, additional, secure, long-term conservation* benefits in the Management Unit*, and

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

Verifiers: Documentary check: FMP, Policies and procedures, Maps, Operational plans, Available and forecasted budget, Records of consultation with stakeholders, HCV assessment report, Environmental Impact Assessment* (EIA) report. Interviews: Stakeholder consultation. Field checks: Site observations.

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

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

b) The conversion affected a very limited portion* of the area of the *Management Unit and is producing clear, substantial, additional, secure *long-term* conservation* benefits in the Management Unit**.**

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

Verifiers: Documentary check: FMP, Policies and procedures, Maps, Operational plans, Verification reports from relevant Government authorities. Interviews: Stakeholder consultation, Interviews with FM Staff. Field checks: Site observations.

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

1) *The Organization** provides clear and sufficient evidence that it was not directly or indirectly responsible for the conversion; or

2) The conversion is producing clear, substantial, additional, secure, *long-term* conservation* benefits in the Management Unit**; and

3) The total area of *plantation** on sites converted from *natural forest** since November 1994 is less than 5% of the total area of the *Management Unit**.

Verifiers: Documentary check: FMP, Policies and procedures, Maps, Operational plans, Verification reports from relevant Government authorities, Documents and records showing the Land use history. Interviews: Stakeholder consultation, Interviews with FM Staff. Field checks: Site observations.

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: Documentary check: FMP, Policies and procedures.

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

Verifiers: Documentary check: FMP, Policies and procedures.

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

Verifiers: Documentary check: FMP. Interviews: Interviews with FMP Managers.

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

Verifiers: Documentary check: FMP. Interviews: Interviews with FMP Managers.

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

Verifiers: Documentary check: Public summary of FMP, Website, Notices. Interviews: Interviews with FMP Managers.

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

Verifiers: Documentary check: Public summary of FMP, Website, Notices. Interviews: Interviews with FMP Managers.

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: Documentary check: FMP, Crop management guidelines issued by relevant authorities. Interviews: Interviews with FMP Managers.

7.2.2 The *management plan** addresses the elements listed in Annex D and are implemented.

Verifiers: Documentary check: FMP, Maps, Environment assessment, Procedures, HCV assessment, Stakeholder consultation, Budget. Interviews: Interviews with FMP Managers. Field check: Site observations.

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: Documentary check: FMP, Monitoring and assessment plans and records, Established permanent sample plot records and inventory records. Interviews: Stakeholder consultations. Field checks: Site observations.

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** are revised and updated periodically consistent with Annex E 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: Documentary check: FMP, Monitoring and assessment plans and records, Minutes of community meetings, Stakeholder engagement records. Interviews: Interviews with FMP Managers.

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: Documentary check: FMP Summary, Notices, Website.
Interviews: Interviews with FMP Managers, Stakeholder consultations, Public Comments.

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: Documentary check: FMP Summary, Notices, Website.
Interviews: Interviews with FMP Managers.

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

Verifiers: Documentary check: Policies and procedures, Complaint/grievances records; Minutes of the meetings held, Corporate Social Responsibility records, *FPIC** agreements and trainings, HCV assessment and data, training assessments, training records. Interviews: Stakeholder consultations.

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: Documentary check: Meeting attendance records, Training records. Interviews: Interviews of the FM Staff, Stakeholder consultation.

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: Documentary check: Records of stakeholder consultation meetings, Meeting minutes and attendance records. Interviews: Stakeholder consultations.

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

Verifiers: Documentary check: Records of stakeholder consultation meetings, Meeting minutes and attendance records. Interviews: Stakeholder consultations.

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: Documentary check: Request and invitation letters. Interviews: Stakeholder consultations, Interviews with FM staff.

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: Documentary check: FMP, policies and procedures.
Interviews: FM staff.

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 F.

Verifiers: Documentary check: Social Impact Assessment (SIA),
Monitoring plan and records.

NTPF 8.2.1 The social and environmental impacts of non-timber forest product* management activities are monitored consistent with Annex F.

Verifiers: Documentary check: Social Impact Assessment (SIA),
Monitoring plan and records.

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

Verifiers: Documentary check: Monitoring plan and records.
Interviews: FM staff.

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: Documentary check: FMP, Monitoring plan and records,
Operational plans. Interviews: FM staff. Checks: Site observations.

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: Documentary check: Monitoring, evaluation and assessment, Revised FMP, Operational plans. Interviews: FM staff. Checks: Site observations.

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 F, in a format comprehensible to stakeholders including maps and excluding *confidential information** is made *publicly available** at no cost.

Verifiers: Documentary check: Notices, Website. Interviews: Stakeholder meetings.

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 including *NTFPs** 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.

Verifiers: Documentary check: Dispatch and delivery notes, Invoices and payment records, Testing reports, Online tracking system. Interviews: FM staff.

SLIMF 8.5.1 A system is implemented to track and trace all products including *NTFPs** that are marketed as FSC certified.

Verifiers: Documentary check: Dispatch and delivery notes, Invoices and payment records, Testing reports, Online tracking system. Interviews: FM staff.

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

Verifiers: Documentary check: FMP, Product group list, Material accounting records, Crop/logbooks. Interviews: FM staff.

8.5.3 Sales invoices or similar documentation are kept for a minimum of five years for all products including *NTFPs** 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: Documentary check: Sales invoices, accounts, crop/logbook.

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 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 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** (refer to Annex G) that records the location and status of *High Conservation Value** Categories 1-6, as defined in *Criterion** 9.1; the *High Conservation Value Areas** they rely upon, and their condition.

Verifiers: Documentary check: *HCV** assessment procedure and report, FMP, Maps.

- 9.1.2 This assessment is including identification of *Intact Forest Landscapes**, as of January 1, 2017.

Verifiers: Documentary check: FMP, Maps. Field check: Site observations.

- 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: Documentary check: *HCV** assessment procedure and report, FMP, Maps. Interviews: Stakeholder meetings.

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: Documentary check: Monitoring and assessment reports, Records of the meetings conducted with the community, Maps.
Interviews: Interviews with managers and stakeholders. Field checks: Site observations.

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 (in accordance with Annex G).

Verifiers: Documentary check: FMP, Maps, *HCV** assessment and monitoring reports. Interviews: Stakeholder consultations. Field checks: Site observations.

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: Documentary check: *HCV** assessment and monitoring reports, Records of meetings conducted with stakeholders, Correspondence records of affected and interested parties.
Interviews: Interviews with stakeholders.

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

Verifiers: Documentary check: FMP, Maps, *HCV** assessment and monitoring report.

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

Verifiers: Documentary checks: Maps, Extent statement, FMP

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

Verifiers: Documentary check: Monitoring and assessment reports.
Field checks: Site observations

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

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

Verifiers: Documentary check: Policy and procedures. Interviews: Stakeholder consultations. Field check: Site observations.

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: Documentary check: *HCV** monitoring and assessment reports. Interviews: Interviews with FM Staff, Stakeholder consultation. Field check: Site observations.

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: Documentary check: *HCV** monitoring reports. Interviews: Interviews with FM Staff and local communities, Stakeholder consultation. Field check: Site observations.

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

Verifiers: Documentary check: monitoring reports. Interviews: Interviews with FM Staff, Stakeholder consultation. Field check: Site observations.

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

Verifiers: Documentary check: Policies and procedures, Operational plans and reports. Interviews: Stakeholder consultation, FM staff. Field check: Site observations.

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

Verifiers: Documentary check: Operational reports, Restoration plans and records. Interviews: Stakeholder consultation, FM staff. Field check: Site observations.

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: Documentary check: *HCV** monitoring plan and evaluation reports. Interviews: Stakeholder consultation; FM staff. Field check: Site observations.

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

Verifiers: Documentary check: *HCV** monitoring plan and evaluation reports, Correspondence records of affected/interested parties. Interviews: Stakeholder consultation; FM staff. Field check: Site observations.

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: Documentary check: *HCV** monitoring plan and evaluation reports. Interviews: Stakeholder consultation. Field check: Site 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: Documentary check: *HCV** monitoring plan and evaluation reports. Interviews: Stakeholder consultation, FM staff. Field check: Site observations.

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 overall *pre-harvest** or *natural forest** composition and structure.

Verifiers: Documentary check: FMP, Relevant institutional guidelines, harvesting plan and planting plan. Interviews: FM Staff. Field check: Site observation, Regeneration sites.

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: Documentary check: Monitoring records. Interviews: FM Staff, Stakeholder consultations. Field check: Site observations.

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, including *non-timber forest products**, are ecologically well adapted to the site, are *native species** and are of local provenance, unless clear and convincing justification is provided for using non-local *genotypes** or *non-native species**.

Verifiers: Documentary check: FMP, Policies Guidelines of relevant authorities. Interviews: Interviews with FM Staff, Stakeholder consultation. Field check: Site observations

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

Verifiers: Documentary check: FMP, Policy and procedures.
Interviews: Interviews with FM Staff. Field check: Site observations.

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

Verifiers: Documentary check: FMP, Guidelines of relevant authorities, Scientific documents, Results of field trials. Interviews: Interviews with FM Staff, Experts. Field check: Site observations.

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: Documentary check: FMP, Policies and procedures, Guidelines of relevant authorities. Interviews: Interviews with FM Staff, Stakeholder consultations. Field check: Site observations.

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

Verifiers: Documentary check: FMP, Policies and procedures, Monitoring records. Interviews: Interviews with FM Staff. Field check: Site observations

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: Documentary check: FMP, Policies and procedures, Guidelines of relevant authorities. Interviews: FM Staff, relevant authorities. Field check: Site observations.

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

10.4.1 *Genetically modified organisms** are not used.

Verifiers: Documentary check: FMP, Policy. Interviews: Interviews with managers and regulatory bodies; *Local communities**

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: Documentary check: FMP, Guidelines of relevant authorities.
Interviews: interviews with managers. Field check: field observations.

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 inorganic *fertilizers** is minimized or avoided.

Verifiers: Documentary check: FMP, chemical use records. Interviews: Interviews with FM Staff, Stakeholder consultation. Field check: Site observations.

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

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

Note for SLIMF: When *fertilizers** are used, benefit assessment may serve as the basis for SLIMF organization.

Verifiers: Documentary check: FMP, Monitoring reports, Guidelines of relevant authorities. Interviews: FM Staff, Stakeholder consultation. Field check: Site observation.

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

Verifiers: Documented check: Records. Interviews: Interviews with FM Staff.

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

Verifiers: Documentary check: Monitoring records, Test (soil and water) reports. Interviews: Interviews with FM Staff. Field check: Site observations.

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

Verifiers: Documentary check: Monitoring records, Test (soil and water) reports. Interviews: Interviews with FM Staff, *local communities**. Field check: Site observations.

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, are 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: Documentary check: FMP, IPM policies and procedures, Monitoring records. Interviews: Interviews with FM Staff. Field check: Site observations

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

Verifiers: Documentary check: Chemical use records, Derogations received. Interviews: Interviews with *workers**. Field check: Site observations.

10.7.3 Records of *pesticide** usage are maintained, including trade name, active ingredient, quantity of active ingredient used, period of use, location and area of use and reason for use.

Verifiers: Documentary check: Chemical use records, SDS records. Interviews: Interviews with *workers** and staff.

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

Verifiers: Documentary check: Chemical use records, Safety data sheets (SDS). Interviews: Interviews with workers and staff. Field check: Site observations.

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

Verifiers: Documentary check: Chemical use records, Chemical use procedures and guidelines, Monitoring records. Interviews: Interviews with workers and staff. Field check: Site observations.

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

Verifiers: Documentary check: Accident records, Monitoring records. Interviews: Stakeholder consultation, Interviews with workers. Field check: Site observations.

10.7.7 When *pesticides** are used:

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

Verifiers: Documentary check: Guidelines of relevant authorities, Chemical use records.

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: Documentary check: Policies and procedures, Monitoring records, Guidelines of relevant authorities. Interviews: Interviews with *forest** managers.

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

Note: Internationally accepted scientific protocols may include:

- 1) FSC Guide to integrated pest, disease and weed management in FSC certified *forests** and plantations (2009)
- 2) FAO Code of Conduct for the Import and Release of Exotic Biological Control.

Verifiers: Documentary check: Policies and procedures, Available scientific publications, Guidelines of relevant authorities. Field check: Site observations.

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

Verifiers: Documentary check: Monitoring records. Interviews: Interviews with workers and staff. Field check: Site observations.

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

Verifiers: Documentary check: Monitoring records, Mitigatory plans results. Interviews: Interviews FM Staff. Field check: Site observations.

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: Documentary check: Assessment reports prepared by a recognized expert.

10.9.2 Management activities mitigate these impacts.

Verifiers: Documentary check: FMP, Operational plans, Environment assessments, Pre-harvest assessment. Field check: Site observations.

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: Documentary check: FMP, Operational plans, Environment assessments, Pre-harvest assessment. Field check: Site observations.

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

Verifiers: Documentary check: FMP, Pre-harvest assessments, Assessment reports prepared by a recognized expert/s. Field check: Site observations.

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

Verifiers: Documentary check: FMP, Revised FMP, Operational plans. Interviews: Interviews with FM Staff. Field check: Site observations.

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 and *non-timber forest products**.

Verifiers: Documentary check: FMP, Maps, Environment assessments. Interviews: Stakeholder meetings, Interviews with FM Staff. Field check: Site observations.

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

Verifiers: Documentary check: FMP, Operational plans. Interviews: Interviews with FM Staff and workers, Stakeholder consultations. Field check: Field observations.

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

Verifiers: Documentary check: FMP, Policies and procedures, Assessment reports, Mitigatory plans and records, Restoration plans and records, Environment assessments. Interviews: Stakeholder consultation, Interviews with FM Staff. Field check: Site observations.

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: Documentary check: FMP, Policies and procedures, Environment assessments, Pre-harvest assessment Mitigatory plans and records. Interviews: Interviews with FM Staff, Stakeholder consultation. Field check: Site observations.

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

Verifiers: Documentary check: FMP, records of production, Inventory records and accounting records. Field check: Field observations

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

Verifiers: Documentary check: FMP, Guidelines of relevant authorities. Interviews: Interviews with FM Staff. Field check: Site observations

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

Verifiers: Documentary check: Pre-harvest assessments, monitoring records. Interviews: Interviews with harvesting team. Field check: Site observations,

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** are done in an environmentally appropriate way that conserves *environmental values**, as identified in *Criterion** 6.1 and *non-timber forest products**.

- 1) Acts and Regulations
- 2) Order published under the Gazette Notification No. 1466/5 dated 10.10.2006
- 3) Regulations published under the Gazette Notification No. 1534/18 dated 01.02.2008
- 4) Order published under the Gazette Notification No. 1627/19 dated 10.11.2009
- 5) Regulations on Polythene and Plastic Management 2017

Verifiers: Documentary check: Policies and procedures, Maps, Waste disposal records. Interviews: Interviews with FM Staff and workers, Stakeholder consultation. Field check: Site observations to see current waste management practices

G. Annexes

Annex A: List of *applicable laws**, regulations, *ratified** international treaties, conventions, and agreements (*Principle* 1*)

The following is the minimum list of *applicable laws**, regulations and *ratified** international treaties, conventions and agreements in Sri Lanka.

1. Legal rights to harvest	
1.1 Land tenure and management rights	<p>Legislation covering land <i>tenure*</i> rights, including <i>customary rights*</i> as well as management rights, that includes the use of legal methods to obtain <i>tenure*</i> rights and management rights. It also covers <i>legal</i> business registration and tax registration, including relevant legally required licenses</p> <p>Acts & Ordinances</p> <ul style="list-style-type: none"> — Land Development Ordinance — State Lands Ordinance — State Landmarks Ordinance — Definition of Boundaries Ordinances — State Lands Encroachments Ordinance — Agrarian Service Act No 58 of 1979 — Human Rights Commission of Sri Lanka Act, No 21 of 1996 — Forest Ordinance — Inland Revenue (Regulation of Amnesty) Act — Paddy Lands Act — Land Reform (Amendment) in 1975 — Mahaweli authority Art no 23 of 1979 — Land settlement Ordinance (Cap 463) — Land Acquisition Act No 9 of 1950 — Registration of Titles Act in 1998
1.2 Concession licenses	<p>Legislation regulating procedures for issuing <i>forest*</i> concession licenses, including the use of legal methods to obtain concession licenses.</p> <p>*Not applicable for Sri Lanka</p>
1.3 Management and harvesting planning	<p>Any national or sub-national <i>legal*</i> requirements for Management planning, including conducting <i>forest*</i> inventories, having a <i>forest*</i> management plan and related planning and monitoring, impact assessments, consultation with other entities, as well as approval of these by <i>legally competent*</i> authorities.</p> <p>Acts & Ordinances</p> <ul style="list-style-type: none"> — National Forest Policy of Sri Lanka -1995 — Forest Ordinance — Felling of Trees (Control) Act No 9 of 1951 — National Environment Act No 47 of 1980
1.4 Harvesting permits	<p>National or sub-national laws and regulations regulating procedures for issuing harvesting permits, licenses or other <i>legal*</i> documents required for specific harvesting</p>

	<p>operations. This includes the use of <i>legal</i>* methods to obtain the permits.</p> <p>Acts & Ordinances</p> <ul style="list-style-type: none"> — Felling of Trees (Control) Act No 9 of 1951 — National Forest Policy of Sri Lanka -1995 — Forest Ordinance — National Environment Act No 47 of 1980 (as contained — in Gazette Extraordinary No.772/22 dated 24 June 1993) — Mahaweli authority Art no 23 of 1979
2. Taxes and fees	
2.1 Payment of royalties and harvesting fees	<p>Legislation covering payment of all legally required <i>forest</i>* harvesting specific fees such as royalties, stumpage fees and other volume-based fees. This includes payments of the fees based on the correct classification of quantities, qualities and species.</p> <p>Acts & Ordinances</p> <ul style="list-style-type: none"> — Forest Ordinance (on stumpage charge) — Value Added Tax Act, No 14 of 2002 — Sales Tax Act <p>Gazettes and Circulars</p> <ul style="list-style-type: none"> — Extraordinary gazette No. 1303/17 dated 28-08-2013
2.2 Value added taxes and other sales taxes	<p>Legislation covering different types of sales taxes which apply to the material being sold, including the sale of material as growing forest (standing stock sales).</p> <p>Acts & Ordinances</p> <ul style="list-style-type: none"> — Value Added Tax Act, No 14 of 2002 — Sales Tax Act — NBT Act No 9 of 2009
2.3 Income and profit taxes	<p>Legislation covering income and profit taxes related to profit derived from the sale of <i>forest</i>* products and harvesting activities. This category is also related to income from the sale of timber and does not include other taxes generally applicable for companies, or to salary payments.</p> <p>Acts & Ordinances</p> <ul style="list-style-type: none"> — Profits Tax (Special Provisions) Act, No. 36 of 1964. — Inland Revenue (Regulation of Amnesty) Act
3. Timber harvesting activities	
3.1 Timber harvesting regulations	<p>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</p>

	<p>that shall be preserved during felling, etc. Establishment of skidding or hauling trails, road construction, drainage systems and bridges, etc., shall also be considered, as well as the planning and monitoring of harvesting activities. Any legally binding codes for harvesting practices shall be considered.</p> <p>Acts & Ordinances</p> <ul style="list-style-type: none"> — Forest Ordinance — National Forest Policy of Sri Lanka -1995 — National Environment Act No 47 of 1980 (as contained in Gazette Extraordinary No.772/22 dated 24 June 1993) — National Environmental Regulations under the National Environmental Act — Fauna and Flora Protection Ordinance (cap469) as amended especially by Act No 49 of 1993 <p>Signed agreements/treaties/conventions</p> <ul style="list-style-type: none"> — Convention on Biological Diversity
<p>3.2 Protected sites and species</p>	<p>International, national, and sub national treaties, laws, and regulations related to protected areas, allowable <i>forest*</i> uses and activities, and/or rare, threatened, or endangered <i>species*</i>, including their <i>habitats*</i> and potential <i>habitats*</i>.</p> <p>Acts & Ordinances</p> <ul style="list-style-type: none"> — National Environment Act No 47 of 1980 — Fauna and Flora Protection Ordinance (cap469) as amended especially by Act No 49 of 1993 — Animals Act No 29 of 1958 — Control of Pesticides act No 33 of 1980 — Fertilizer act no 21 of 1961 — National Heritage Wilderness Areas Act No 3 of 1988 <p>Signed agreements/treaties/conventions</p> <ul style="list-style-type: none"> — Convention on Biological Diversity — CITES convention - flora & fauna lists — RAMSAR Convention
<p>3.3 Environmental requirements</p>	<p>National and sub national laws and regulations related to the identification and/or protection of environmental values including but not limited to those relating to or affected by harvesting, acceptable levels for soil damage, establishment of buffer zones (e.g., along water courses, open areas and breeding sites), maintenance of retention trees on the felling site, seasonal limitations of harvesting time, environmental requirements for <i>forest*</i> machineries, use of pesticides and other chemicals, biodiversity conservation, air quality, protection and <i>restoration*</i> of</p>

	<p>water quality, operation of recreational equipment, development of non-forestry infrastructure, mineral exploration and extraction, etc.</p> <p>Acts & Ordinances</p> <ul style="list-style-type: none"> — National Environment Act No 47 of 1980 (as contained in Gazette Extraordinary No.772/22 dated 24 June 1993) — Fauna and Flora Protection Ordinance (cap469) as amended especially by Act No 49 of 1993 — Plant Protection Act No 35 of 1999 — Soil Conservation Act No 24 of 1996 — Irrigation Ordinance (Cap453) <p>Signed agreements/treaties/conventions</p> <ul style="list-style-type: none"> — Convention on Biological Diversity
<p>3.4 Health and safety</p>	<p>Legally required personal protection equipment for persons involved in harvesting activities, implementation of safe felling and transport practices, establishment of protection zones around harvesting sites, safety requirements for machinery used, and legally required safety requirements in relation to chemical usage. The health and safety requirements that shall be considered relevant to operations in the <i>forest*</i> (not office work, or other activities less related to actual forest operations).</p> <p>Acts & Ordinances</p> <ul style="list-style-type: none"> — Human Rights Commission of Sri Lanka Act, No 21 of 1996 — Employment’s Federation of Ceylon Guidelines on labour, health and safety — Annual Collective Agreements signed by each plantation sector — Factories Ordinance, 1942 <p>Signed agreements/treaties/conventions</p> <ul style="list-style-type: none"> — Sri Lanka has ratified 8 fundamental ILO conventions <ol style="list-style-type: none"> 1) Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87) 2) Right to Organise and Collective Bargaining Convention, 1949 (No. 98) 3) Forced Labour Convention, 1930 (No. 29) 4) Abolition of Forced Labour Convention, 1957 (No. 105) 5) Minimum Age Convention, 1973 (No. 138) 6) Worst Forms of Child Labour Convention, 1999 (No. 182)

	<p>7) Equal Remuneration Convention, 1951 (No. 100) 8) Discrimination (Employment and Occupation) Convention, 1958 (No. 111)</p> <p>(Source: Ratifications for Sri Lanka)</p>
<p>3.5 Legal employment</p>	<p>Legal requirements for employment of personnel involved in harvesting activities including requirements for contracts and working permits, requirements for obligatory insurance, requirements for competence certificates and other training requirements, and payment of social and income taxes withheld by the employer. Also covered are the observance of minimum working age and minimum age for personnel involved in hazardous work, legislation against forced and compulsory labor, and discrimination and freedom of association.</p> <p>Acts & Ordinances</p> <ol style="list-style-type: none"> 1. Laws on Social Security <ul style="list-style-type: none"> — Employees provident Fund Act No. 15 of 1958 — Employees Provident Fund (Special Provisions) Act — Employees Trust Fund Act No. 46 of 1980 — Employees Trust Fund (Special Provisions) Act — Payment of Gratuity Act No. 12 of 1983 2. Laws on Welfare and Well-being of Employees <ul style="list-style-type: none"> — Employment of Women, young Persons and Children Act — Maternity Benefits Ordinance — Employment of Females in Mines Act 3. Occupational safety and health and Workmen's compensation <ul style="list-style-type: none"> — Factories Ordinance, 1942 — Workmen's Compensation Ordinance 4. Laws relating to terms and conditions of Employment <ul style="list-style-type: none"> — Wages Board Ordinance — Shop and Office employees' (Regulation of Employment and Remuneration) Act — Employment of Trainees (Private Sector) Act 5. Labour relations <ul style="list-style-type: none"> — Trade Union Ordinance — Employees Councils Act — Industrial Disputes Act — Termination of Employment of Workers (Special Provisions) Act 6. Law relating to <i>Plantations</i>* and Estate labour <ul style="list-style-type: none"> — Estate Labour (Indian) Ordinance — Medical Wants Ordinance — Indian Immigrant Labour Ordinance — Minimum Wages (Indian Labour) Ordinance — Trade Union Representatives (Entry in Estates) Act — Estate Quarters (Special Provisions) Act — Allowances to Plantation Workers Act

	<ul style="list-style-type: none"> — Services Contracts Ordinance <p>7. Foreign Employment</p> <ul style="list-style-type: none"> — Sri Lanka Bureau of Foreign Employment Act <p>Signed agreements/treaties/conventions Sri Lanka has ratified on 8 fundamental ILO conventions</p> <ul style="list-style-type: none"> — 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) <p>(Source: Ratifications for Sri Lanka)</p>
<p>4. Third parties' rights</p>	
<p>4.1 Customary rights*</p>	<p>Legislation covering <i>customary rights*</i> relevant to <i>forest*</i> harvesting activities, including requirements covering the sharing of benefits and indigenous rights.</p> <p>Acts & Ordinances</p> <ul style="list-style-type: none"> — Forest Ordinance <p>Signed agreements/treaties/conventions</p> <ul style="list-style-type: none"> — Convention on Biological Diversity — ILO 169
<p>4.2 Free Prior and Informed Consent*</p>	<p>Legislation covering “<i>free prior and informed consent*</i>” in connection with the transfer of <i>forest*</i> management rights and customary rights to <i>The Organization*</i> in charge of the harvesting operation.</p> <p>Acts & Ordinances</p> <ul style="list-style-type: none"> — Land Acquisition Act No 9 of 1950 — Land Development Ordinance (Cap 464) — Land Reform Law No 1 of 1979 — Land settlement Ordinance (Cap 463)
<p>4.3 Indigenous Peoples** rights</p>	<p>Legislation that regulates the rights of <i>Indigenous Peoples*</i> as far as it is related to forestry activities. Possible aspects to consider are land <i>tenure*</i>, and rights to use certain <i>forest*</i> related resources and practice traditional activities, which may involve <i>forest*</i> lands.</p> <p>Acts & Ordinances</p> <ul style="list-style-type: none"> — Forest Ordinance — Land Development Ordinance (Cap 464) — Registration of Titles Act in 1998

	<ul style="list-style-type: none"> — Fauna and Flora Protection Ordinance (cap469) as amended especially by Act No 49 of 1993 – Related to Wanniyalaeto Sanctuary <p>Signed agreements/treaties/conventions</p> <ul style="list-style-type: none"> — Convention on Biological Diversity — ILO 169
<p>5. Trade and transport NOTE: This section covers requirements for forest* management operations as well as processing and trade</p>	
<p>5.1 Classification of species, quantities, qualities</p>	<p>Legislation regulating how harvested material is classified in terms of <i>species*</i>, volumes and qualities in connection with trade and transport.</p>
	<p>Acts & Ordinances</p> <ul style="list-style-type: none"> — <i>Forest*</i> Ordinance
<p>5.2 Trade and transport</p>	<p>All required trading and transport permits shall exist as well as legally required transport documents which accompany the transport of wood from <i>forest*</i> operations.</p>
	<p>Acts & Ordinances</p> <ul style="list-style-type: none"> — <i>Forest*</i> Ordinance — Gazette and Government Circulars — Gazette No. 1762/1 dated 11-06-2012 on Timber Transport — Env. Ministry Circular No. 17/96 dated 06-12-1996 with amendments on transportation
<p>5.3 Offshore trading and transfer pricing</p>	<p>Legislation regulating offshore trading. Offshore trading with related companies placed in tax havens, combined with artificial transfer prices is a well-known way to avoid payment of legally prescribed taxes and fees to the country of harvest and is considered to be an important source of funds that can be used for payment of bribery to the <i>forest*</i> operations and personnel involved in the harvesting operation. Many countries have established legislation covering transfer pricing and offshore trading. It should be noted that only transfer pricing and offshore trading, as far as it is legally prohibited in the country, can be included here.</p>
	<p>Acts & Ordinances</p> <ul style="list-style-type: none"> — Inland Revenue Act, No.24 of 2017 — Customs Ordinance — Import Control regulations — Exchange Control regulations
<p>5.3 Custom regulations</p>	<p>Custom legislation covering areas such as export/import licenses and product classification (codes, quantities, qualities and species).</p>
	<p>Acts & Ordinances</p> <ul style="list-style-type: none"> — Customs Ordinance

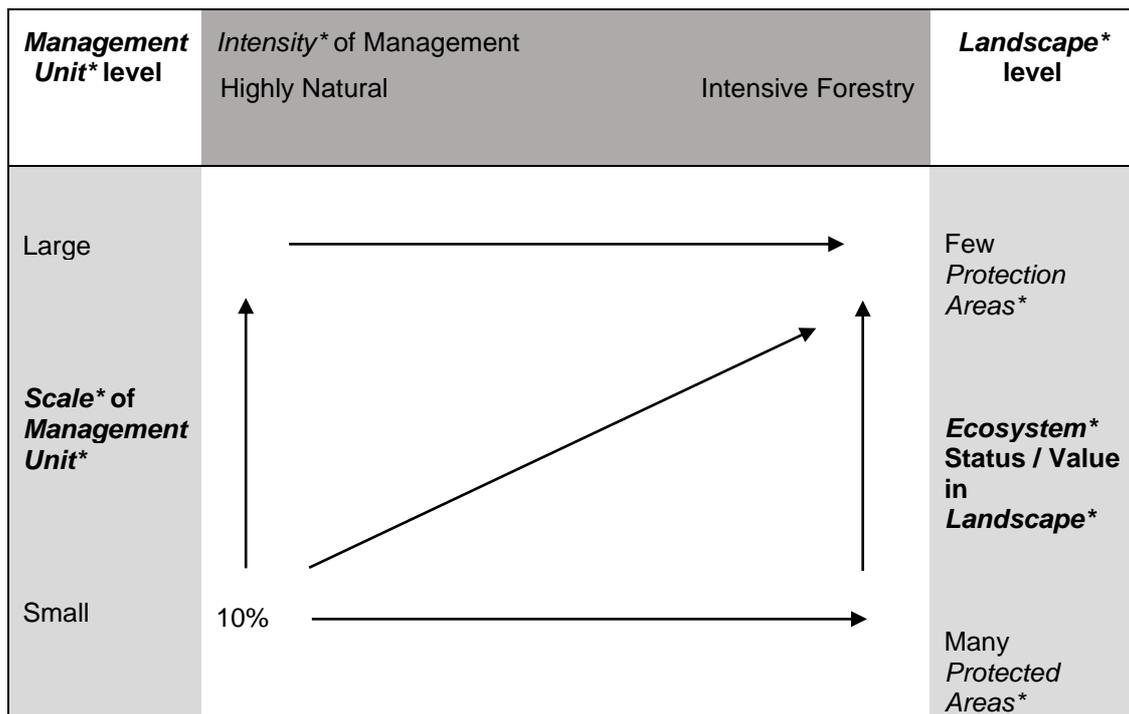
	<ul style="list-style-type: none"> — Import Control regulations — Exchange Control regulations
5.4 CITES	<p>CITES permits (the Convention on International Trade in Endangered Species of Wild Fauna and Flora, also known as the Washington Convention).</p> <p>Acts & Ordinances</p> <ul style="list-style-type: none"> — National Heritage Wilderness Areas Act No 3 of 1988 — Legal provisions of the Flora and Fauna Protection Ordinance <p>Signed agreements</p> <ul style="list-style-type: none"> — CITES convention
6. Ecosystem Services*	
	<p>Legislation covering <i>ecosystem services*</i> rights, including <i>customary rights*</i> as well as management rights that include the use of legal methods to make claims and obtain benefits and management rights related to <i>ecosystem services*</i>. National and subnational laws and regulations related to the identification, protection and payment for <i>ecosystem services*</i>. Also includes <i>legal*</i> business registration and tax registration, including relevant legal required licenses for the exploitation, payment, and claims related to <i>ecosystem services*</i> (including tourism).</p> <p>Acts & Ordinances</p> <ul style="list-style-type: none"> — <i>Forest*</i> Ordinance — Fauna and Flora Protection Ordinance
7. Other National and Administrative Requirements which apply in Sri Lanka	
Rubber	Rubber Research Institute of Sri Lanka - Advisory Circulars Handbook of Rubber
Tea	Tea Research Institute of Sri Lanka - Advisory Circulars Handbook on Tea
Coconut	Coconut Research Institute of Sri Lanka - Advisory Circulars Handbook on coconut cultivation
Other minor crops	Department of Export Agriculture of Sri Lanka - Advisory Circulars

Annex B: Training requirements for *workers** (*Principle* 2*)

Depending on the specific job responsibilities, *Workers** shall be able to:

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

1. The results of assessments, including:
 - a. Natural resources and *environmental values**, as identified in *Principle* 6* and *Principle* 9*;
 - b. Social, economic and cultural resources and condition, as identified in *Principle* 6*, *Principle* 2* to *Principle* 5* and *Principle* 9*;
 - c. Major social and environmental *risks** in the area, as identified in *Principle 6*, *Principle* 2* to *Principle* 5* and *Principle* 9*; and
 - d. 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:
 - a. *Workers**' rights, occupational health and safety, *gender equality**, as identified in *Principle* 2*;
 - b. *Indigenous Peoples**, community relations, local economic and social development, as identified in *Principle* 3*, *Principle* 4* and *Principle* 5*;
 - c. *Stakeholder engagement** and the resolution of *disputes** and grievances, as identified in *Principle* 1*, *Principle* 2* and *Principle* 7*;
 - d. Planned management activities and timelines, silvicultural systems used, typical harvesting methods and equipment, as identified in *Principle* 10*;
 - e. The rationale for harvesting rates of timber and other natural resources, as identified in *Principle* 5*.
3. Measures to *conserve** and/or *restore**:
 - a. Rare and threatened *species** and *habitats**;
 - b. *Water bodies** and *riparian zones**;
 - c. *Landscape* connectivity**, including wildlife corridors;
 - d. Declared *Ecosystem services** when FSC *ecosystem services* claims are used as identified in *Criterion* 5.1*;
 - e. *Representative Sample Areas**, as identified in *Principle* 6*; and
 - f. *High Conservation Values**, as identified in *Principle* 9*.

4. Measures to assess, prevent, and mitigate negative impacts of management activities on:
 - a. *Environmental values**, as identified in *Principle* 6* and *Principle* 9*;
 - b. Declared *Ecosystem services** when FSC ecosystem services claims are used as identified in *Criterion* 5.1*;
 - c. Social Values as identified in *Principle* 2* to *Principle* 5* and *Principle* 9*;
5. A description of the monitoring program, as identified in *Principle* 8*, including:
 - a. Growth and yield, as identified in *Principle* 5*;
 - b. Declared *ecosystem services** when FSC ecosystem services claims are used as identified in *Criterion* 5.1*;
 - c. *Environmental values**, as identified in *Principle* 6*;
 - d. Operational impacts, as identified in *Principle* 10*;
 - e. *High Conservation Values**, as identified in *Principle* 9*;
 - f. Monitoring systems based on *stakeholder engagement** planned or in place, as identified in *Principle* 2* to *Principle* 5* and *Principle* 7*;
 - g. Maps describing the natural resources and land use zoning on the *Management Unit**;

ANNEX E: Conceptual Framework for Planning and Monitoring (*Principle*7*)

Sample Management Plan* Document Note: These will vary with SIR and jurisdiction	Management Plan* Revision Periodicity	Element Being Monitored (Partial List)	Monitoring Periodicity	Who Monitors This Element? Note: These will vary with SIR and jurisdiction	FSC Principle*/ Criterion*
Site Plan (Harvest Plan)	Annual	Stream 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	Forest*/Estate Manager	C5.2
		Pest and disease outbreaks	Annually, sample	Consulting Biologist / Forest/Estate Manager	
Budgeting	Annual	Expenditures	Annually	Chief Financial Officer / Estate management	P5
		Contribution to local economy	Quarterly	General Manager / Estate management	P5
Engagement* Plan	Annual	Employment statistics	Annually	General Manager / Estate management	P3, P4
		Social Agreements	Annually, or as agreed in Engagement* Plan	Social Coordinator	P3, P4
		Grievances	Ongoing	Human Resources Manager /	P2, P3, P4

				<i>Forest*</i> / Estate management staff	
5-Year <i>management plan*</i>	5 years	Wildlife populations	To be determined	<i>Forest*</i> / Estate management staff	P6
		Coarse Woody Debris	Annually	<i>Forest*</i> / Estate management staff	P10
		Free growing / regeneratio n	Annually, sample	<i>Forest*</i> / Estate management staff	
Sustainable Forestry <i>management plan*</i>	10 years	Age class distribution Size class distribution	Ten years	<i>Forest*</i> / Estate management staff	P6
		10 year Allowable Annual Cut	Annually, ten years	<i>Forest*</i> / Estate management staff / Research Institutes / Ministry of Plantations Industries / Forest Department	C5.2
<i>Ecosystem Services*</i> Certification Document	5 years	Prior to validation and verification	Prior to validation and verification	General Manager	FSC- PRO-30- 006

Annex F: 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:
 - a. The results of regeneration activities (*Criterion* 10.1*);
 - b. The use of ecologically well adapted species for regeneration (*Criterion*10.2*);
 - c. Invasiveness or other adverse impacts associated with any *alien species** within and outside the *Management Unit** (*Criterion*10.3*);
 - d. The use of *genetically modified organisms** to confirm that they are not being used (*Criterion*10.4*);
 - e. The results of *silvicultural** activities (*Criterion*10.5*);
 - f. Adverse impacts to *environmental values** from *fertilizers** (*Criterion*10.6*);
 - g. Adverse impacts from the use of *pesticides** (*Criterion*10.7*);
 - h. Adverse impacts from the use of *biological control agents** (*Criterion* 10.8*);
 - i. The impacts from *natural hazards** (*Criterion* 10.9*);
 - j. The impacts of infrastructural development, transport activities and silviculture to *rare and threatened species**, *habitats**, *ecosystems**, *landscape values**, water and soils (*Criterion*10.10*);
 - k. 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
 - l. 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:
 - a. Evidence of illegal or unauthorized activities (*Criterion* 1.4*);
 - b. Compliance with *applicable laws**, *local laws**, *ratified** international conventions and *obligatory codes of practice** (*Criterion* 1.5*);

- c. Resolution of *disputes** and grievances (*Criterion** 1.6, *Criterion** 2.6, *Criterion** 4.6);
- d. Programs and activities regarding *workers** rights (*Criterion** 2.1);
- e. *Gender equality**, sexual harassment and gender discrimination (*Criterion** 2.2);
- f. Programs and activities regarding occupational health and safety (*Criterion** 2.3);
- g. Payment of wages (*Criterion** 2.4);
- h. *Workers** training (*Criterion** 2.5);
- i. Where *pesticides** are used, the health of *workers** exposed to *pesticides** (*Criterion** 2.5 and *Criterion** 10.7);
- j. The identification of *Indigenous Peoples** and *local communities** and their *legal** and *customary rights** (*Criterion** 3.1 and *Criterion** 4.1);
- k. Full implementation of the terms in *binding agreements** (*Criterion** 3.2 and *Criterion** 4.2);
- l. *Indigenous Peoples** and community relations (*Criterion** 3.2, *Criterion** 3.3 and *Criterion** 4.2);
- m. 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);
- n. The persistence of associated values of significance to *Indigenous Peoples** (*Criterion** 3.1, *Criterion** 3.5);
- o. The use of *traditional knowledge** and *intellectual property** (*Criterion** 3.6 and *Criterion** 4.8);
- p. Local economic and social development (*Criterion** 4.2, *Criterion** 4.3, *Criterion** 4.4, *Criterion** 4.5);
- q. The production of diversified benefits and/or products (*Criterion** 5.1);
- r. The maintenance and/or enhancement of *ecosystem services** (*Criterion** 5.1);
- s. Activities to maintain or enhance *ecosystem services** (*Criterion** 5.1);

- t. Actual compared to projected annual harvests of timber and *non-timber forest products** (*Criterion** 5.2);
 - u. The use of local processing, local services and local value-added manufacturing (*Criterion** 5.4);
 - v. *Long term* economic viability** (*Criterion** 5.5); and
 - w. *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:
- a. The maintenance and/or enhancement of *ecosystem services** (*Criterion** 5.2) (when *The Organization** uses FSC *ecosystem services* claims);
 - b. *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);
 - c. *Rare and threatened species**, and the effectiveness of actions implemented to protect them and their *habitats** (*Criterion** 6.4);
 - d. *Representative sample areas** and the effectiveness of actions implemented to *conserve** and/or *restore** them (*Criterion** 6.5);
 - e. Naturally occurring *native species** and *biological diversity** and the effectiveness of actions implemented to *conserve** and/or *restore** them (*Criterion** 6.6);
 - f. Water courses, *water bodies**, water quantity and water quality and the effectiveness of actions implemented to *conserve** and/or *restore** them (*Criterion** 6.7);
 - g. *Landscape values** and the effectiveness of actions implemented to maintain and/or *restore** them (*Criterion** 6.8);
 - h. Conversion of natural *forest** to *plantations** or conversion to *non-forest** (*Criterion** 6.9);
 - i. The status of *plantations** established after 1994 (*Criterion** 6.10); and
 - j. *High Conservation Values** 1 to 4 identified in *Criterion** 9.1 and the effectiveness of actions implemented to maintain and/or enhance them.

Annex G: HCV 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 certificate holders. The 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 certificate holders, wherever occurrences of those HCVs may exist. Conversely, the *Best Available Information** for addressing those HCV interpretations may vary, depending on whether the certificate holder is a SLIMF or non-SLIMF, as indicated in the Framework.

Specific sections of this Framework are also applicable to National and Centralized National *Risk** Assessments for Controlled Wood, and to Certification Bodies and Certificate Holders seeking certification under FSC-STD-30-010 and FSC-STD-40-005. The applicable sections are: The Interpretations and Best Available Information for each HCV category; and the *Best Available Information** for Assessments for each HCV category.

Overarching *Best Available Information**

The following table shows the types of overarching *Best Available Information** (BAI) that is applicable for assessments for all HCVs, specific categories of HCV, or specific HCV elements. The purpose of listing this overarching BAI here is to avoid having to list it repetitively for each HCV in the following sections. BAI that is more specific to individual HCV Interpretations is included alongside those Interpretations in the following sections.

A. Overarching *Best Available Information for HCV Identification and Assessments**

<i>Best Available Information*</i> for Identifying and Assessing Regional or National HCV Interpretations		BAI >SLIMF	BAI 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 <i>reasonable*</i> effort and cost, subject to the scale and intensity of the management activities and the <i>Precautionary Approach*</i> . <i>High Conservation Value*</i> surveys of the <i>Management Unit*</i> ; relevant databases and maps; <i>culturally appropriate* engagement*</i> with <i>Indigenous Peoples*</i> , affected rights holders, <i>affected and interested stakeholders*</i> , and relevant local and regional experts; FSC Guidance on Free Prior and Informed Consent (2012) (or subsequent versions when approved); review of the results by knowledgeable	X	X

	expert(s) independent of <i>The Organization*</i> .		
HCV 2: Element 1, IFLs	<i>N/A: IFLs are not present in Sri Lanka.</i>		
HCV 5: Element 1, Values fundamental to local communities*	<i>Culturally appropriate* engagement* with local communities*</i> . Note this shall be the primary BAI for these elements.	X	X
HCV 5: Element 2, Values fundamental to Indigenous Peoples*	<i>Culturally appropriate* engagement* with Indigenous Peoples*</i> . Note this shall be the primary BAI for these elements.	X	X
HCV 6: Element 2, Values important to local communities*	<i>Culturally appropriate* engagement* with local communities*</i> . Note this shall be the primary BAI for these elements.	X	X
HCV 6: Element 3, Values important to Indigenous Peoples*	<i>Culturally appropriate* engagement* with Indigenous Peoples*</i> . Note this shall be the primary BAI for these elements.	X	X

B. Overarching *Best Available Information** for Development of Management Strategies

The following table shows the types of overarching *Best Available Information** (BAI) that is applicable for the development of management strategies all HCVs, specific categories of HCVs, or specific HCV elements. The purpose of listing this overarching BAI here is to avoid having to list it repetitively for each HCV in the following sections. BAI that is more specific to individual HCV Interpretations is included alongside those Interpretations in the following sections.

<i>Best Available Information*</i> for Developing Management Strategies for Regional or National HCV Interpretations		BAI >SLIMF	BAI SLIMF
All HCV Categories, All Elements	Identification of threats, using: Data, facts, documents, expert opinions, and results of field surveys or consultations with stakeholders that are most credible, accurate, complete, and/or pertinent and that can be obtained through <i>reasonable*</i> effort and cost, subject to the <i>scale*</i> and intensity of the management activities and the <i>Precautionary Approach*</i> . <i>Engagement* with Indigenous Peoples*</i> , <i>affected rights holders*</i> , affected and interested stakeholders, and experts.	X	X
HCV 5: Element 1, Values fundamental to	<i>Culturally appropriate* engagement* with local communities*</i> . Note this shall be the primary BAI for these elements. Note the “fundamentality” of the resource should be	X	X

<i>local communities*</i>	determined in collaboration with the <i>local communities*</i> .		
HCV 5: Element 2, Values fundamental to Indigenous Peoples*	<i>Culturally appropriate* engagement*</i> with <i>Indigenous Peoples*</i> . Note this shall be the primary BAI for these elements. Note the “fundamentality” of the resource should also be determined in collaboration with the <i>Indigenous peoples*</i> .	X	X
HCV 6: Element 2, Values important to local communities*	<i>Culturally appropriate* engagement*</i> with <i>local communities*</i> . Note this shall be the primary BAI for these elements. Note that “critical... importance” should be understood as an outcome of <i>engagement*</i> with the <i>local communities*</i>	X	X
HCV 6: Element 3, Values important to Indigenous Peoples*	<i>Culturally appropriate* engagement*</i> with <i>Indigenous Peoples*</i> . Note this shall be the primary BAI for these elements. Note that “critical... importance” should be understood as an outcome of <i>engagement*</i> with the <i>Indigenous Peoples*</i> .	X	X

C. Overarching *Best Available Information** for Development of Monitoring Methodologies

The following table shows the types of overarching *Best Available Information** (BAI) that is applicable for the monitoring all HCVs, specific categories of HCVs, or specific HCV elements. The purpose of listing this overarching BAI here is to avoid having to list it repetitively for each HCV in the following sections. BAI that is more specific to individual HCV Interpretations is included alongside those Interpretations in the following sections.

<i>Best Available Information*</i> for Monitoring Regional or National HCV Interpretations		BAI >SLIM F	BAI SLI MF
All HCV Categories, All Elements	<i>Engagement*</i> with rights-holders, consistent with Criteria 3.5, 4.5 and 4.7; <i>culturally appropriate* engagement*</i> with <i>Indigenous People*</i> and <i>affected*</i> and <i>interested stakeholders*</i> ; information on engaging with representatives of the <i>Indigenous Peoples*</i> and/or <i>local communities*</i> ; monitoring conducted by the <i>Indigenous Peoples*</i> and/or <i>local communities*</i> ; and <i>engagement*</i> with experts.	X	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**

A. Interpretations of HCV 1, for HCV Identification

Concentrations of *biological diversity**

HCV 1 covers *significant** concentrations of biodiversity, recognized as unique or outstanding:

- in comparison with other areas (within the country or smaller administrative areas like provinces, may be more appropriate reference units).
- through field assessments and consultations.

Any area that contains *significant** concentrations of HCV 1 species (*Rare**, *threatened** or endangered (RTE) *species** or endemic), or which contains *habitat** *critical** to the survival of these species will be an HCV area. It does not mean that any sighting or recorded presence of an RTE species would qualify as HCV, only where the concentration of species is globally, regionally or nationally significant.

It is not necessarily important to have a certain amount of *biological diversity** to qualify as an HCV 1; even a single species can be considered important enough to be an HCV 1 on its own; if the species is listed in the National Red List or on the National Protected Species list and is found in a population large enough to qualify as a concentration or significant in Sri Lanka.

As part of an initial data gathering exercise the presence of a protected area (PA) recognized by Central Environmental Authority, Forest Department and Department of Wildlife Conservation can alert the assessor to potential HCVs because it may be assumed that the PA harbours *significant** concentrations of biodiversity values. Without further information as to the quality of flora and fauna present in the PA, under the *precautionary approach**, a PA would be considered an HCV 1. In addition to *legal* protected areas**, global conservation priority sites such as Key Biodiversity Areas (KBA) (including Important Bird and Biodiversity Area (IBAs)) are also strong indicators of the potential presence of HCV 1.

Many species use a variety of *habitats** at different times of the year or at different stages in their life-history. These may include seasonal breeding sites, migration routes or corridors (latitudinal as well as altitudinal). In Sri Lanka, the time of greatest use may depend more on the ecology of the species concerned (e.g. riverine *forests** within tropical dry *forests** may be seasonally *critical* habitat** for many vertebrate species and many migratory, temperate species may be critically dependent on tropical *habitats** for parts of the year). Seasonal and ecological refuges which provide temporary breeding, roosting, hibernation, migration sites or *habitats** essential for RTE species qualify for HCV 1, even when the *habitat** is only used in extreme years.

Element 1: Concentrations of *biological diversity that are *significant** at global, regional, or national levels:**

National or regional interpretations of this HCV element:	<i>Best Available Information</i>* for identifying occurrences of this interpretation:
<p>Determine if <i>forest</i>* area is adjacent to a legally gazette <i>protected area</i>*¹ or a key biodiversity area or proposed protected areas including buffers; forests that provide <i>habitats</i>* for the same biodiversity; and <i>forests</i>* that provide <i>habitat* connectivity</i>* or other supporting values.</p> <p>¹Note: Protected areas, including: Conservation Forests, Environmental Protection Areas (EPAs), Forest Reserves, National Parks, Natural Heritage Wilderness Areas, Nature Reserves, RAMSAR sites, Strict Nature Reserves, UNESCO Biosphere Reserves, and World Heritage sites (especially Central Highlands and Sinharaja). Consider also: Jungle Connectivity Corridors, Other State Forests, and Sanctuaries.</p>	<p><u>National Biodiversity Strategic Action Plan 2016-2022</u></p> <p><u>Butterfly Conservation Action Plan of Sri Lanka - 2014</u></p> <p><u>Key Biodiversity Areas and Important Bird Areas</u> An Important Bird and Biodiversity Area (IBA) is an area identified using an internationally agreed set of criteria as being globally important for the conservation of bird populations. IBA was developed and sites are identified by BirdLife International. Currently there are over 12,000 IBAs worldwide. Profile and list of IBAs in Sri Lanka: http://datazone.birdlife.org/country/sri-lanka</p> <p><u>Sri Lanka's Fifth National Report to the Convention on Biological Diversity</u></p> <p><u>UNESCO World Heritage and RAMSAR sites.</u></p> <p><u>Sri Lankan Protected area network</u> Protected areas of Sri Lanka are administrated by Department of Forest Conservation and Department of Wildlife Conservation of Sri Lanka. There are 501 protected areas in Sri Lanka. The protected areas fall under supervision Department of Forest Conservation include <i>forests</i>* defined in National Heritage Wilderness Area Act in 1988, forest reservations and production <i>forests</i>*. Strict nature reserves, national parks, nature reserves, forest corridors and sanctuaries recognized under the Flora and Fauna Protection Ordinance are managed by Department of Wildlife Conservation.</p>

	<p>List of protected areas:</p> <ol style="list-style-type: none"> 1. Protected Areas managed by the <u>Department of Wildlife Conservation</u> 2. <u>Environmental Protection Areas of Sri Lanka</u> managed by the Central Environmental Authority 3. Protected Areas managed by the <u>Forest Department of Sri Lanka</u> <p>Additional information on the protected areas</p> <ol style="list-style-type: none"> 1. Management Plan for the Maragala Mountain Range EPA 2. <u>Wilpattu</u> 3. <u>Capacity needs to manage protected areas : Asia</u> <p>Wetlands are simply <i>habitats</i>* with permanent or temporary accumulation of water with associated floral and faunal communities. Interest in wetlands initially revolved around exploitation of the associated natural resources, mainly through waterfowl hunting. These interests resulted in the Convention on Wetlands, referred to as the Ramsar Convention – an intergovernmental framework for wetland conservation, being adopted in 1971.</p> <p>Ramsar Country profile: https://www.ramsar.org/wetland/sri-lanka</p> <p>In Sri Lanka, the conservation of wetlands has been vested mostly with the wildlife sector as reflected by the Fauna and Flora Protection Ordinance of 1938 and its amendments. However, for several reasons due recognition for the importance of conserving wetlands in the country has not effectively come off the ground until recently.</p>
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	<p>National Wetland Directory of Sri Lanka: Access Here</p> <p><u>A biodiversity status profile of Anawilundawa sanctuary - a Ramsar wetland in the Western dry zone of Sri Lanka</u></p> <p><u>A biodiversity status profile of Lunama, Kalametiya wetland sanctuary</u></p> <p><u>An assessment of the status of biodiversity in the Muthurajawela Wetland sanctuary</u></p> <p><u>An assessment of the status of biodiversity in the Maduganga mangrove estuary</u></p> <p><u>Wetland conservation in Sri Lanka: proceedings of the National symposium on wetland conservation and management</u></p> <p>Global Forest Watch (GFW) is an online platform that provides data and tools for monitoring <i>forests*</i>. By harnessing cutting-edge technology, GFW allows anyone to access near real-time information about where and how <i>forests*</i> are changing around the world.</p> <p>The UNESCO has designated six cultural and two natural world heritage sites in Sri Lanka. The UNESCO World Heritage Sites are places of importance to cultural or natural heritage as described in the UNESCO World Heritage Convention. National Heritage list: http://whc.unesco.org/en/statesparties/lk</p> <p>Agencies responsible for protected areas include: Central Environmental Authority, Department of Forest</p>
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	<p>Conservation, Department of Wildlife Conservation.</p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 3. International Union for Conservation of Nature, Sri Lanka 4. Biodiversity Secretariate, Sri Lanka <p>Survey Department GIS Maps/land use maps</p>
<p>Determine if there are patches of remaining natural forest, including both secondary and especially primary forest, per the precautionary principle, pending further assessment.</p>	<p>Agencies responsible for protected areas include: Central Environmental Authority, Department of Forest Conservation, Department of Wildlife Conservation.</p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 3. International Union for Conservation of Nature, Sri Lanka 4. Biodiversity Secretariate, Sri Lanka <p>Survey Department GIS Maps</p>

Element 2: Concentrations of endemic species that are significant at global, regional, or national levels:

Endemic species are those which are only found within a restricted geographical region, which may range from a unique site or a geographical feature (such as an island, a mountain range or river basin), to a political boundary such as a province or country. Endemic and range-restricted species are particularly vulnerable to *threats** as they have a limited distribution and may have smaller populations than widespread species. Endemism only generally triggers HCV status if the population is also nationally significant. The scale of endemism (e.g. national and regional) needs to be agreed.

National or regional interpretations of this HCV element:	Best Available Information* for identifying occurrences of this interpretation
Forest patches with endemic species.	<p>For lists of endemic species, see <u>National red list of Sri Lanka, MOE (2012)</u>.</p> <p><u>Biodiversity profile 2019</u></p> <p><u>The National Red List of Sri Lanka: Assessment of the Threat Status of the Freshwater Fishes of Sri Lanka 2020</u></p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 3. International Union for Conservation of Nature, Sri Lanka 4. <u>Biodiversity Secretariate, Sri Lanka</u> <p>Additional publications</p> <ol style="list-style-type: none"> 1. <u>Orchids of Sri Lanka</u> 2. <u>A comparison of the conservation and legal status of the fauna and flora of Sri Lanka</u>
Populations of endemic species that are Vulnerable, Endangered, Critically Endangered, or Near Threatened, and/or populations of multiple endemic species.	<p>For lists of endemic species and their conservation statuses, see <u>National red list of Sri Lanka, MOE (2012)</u>.</p> <p><u>Biodiversity profile 2019</u></p> <p><u>The National Red List of Sri Lanka: Assessment of the Threat Status of the Freshwater Fishes of Sri Lanka 2020</u></p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 3. International Union for Conservation of Nature, Sri Lanka 4. Biodiversity Secretariate, Sri Lanka
Populations of point endemic species, including species not yet on official lists	For lists of endemic species and their conservation statuses, see <u>National red list of Sri Lanka, MOE (2012)</u> .

	<p><u>Biodiversity profile 2019</u></p> <p><u>The National Red List of Sri Lanka: Assessment of the Threat Status of the Freshwater Fishes of Sri Lanka 2020</u></p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 3. International Union for Conservation of Nature, Sri Lanka 4. Biodiversity Secretariate, Sri Lanka
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Element 3: Concentrations of *rare, *threatened**, or endangered *species** that are *significant** at global, regional, or national levels:**

*Rare**, *threatened** or endangered (RTE) *species** refers to species that are at risk of, undergoing or have undergone severe population decline. Although the HCV definition mentions *threatened** and endangered *species**, these are often, together with vulnerable, subsumed under the overarching term *threatened** and endangered in an IUCN Red List context.

*Rare** is scale dependent and includes species that are

- Naturally *rare**, existing only at very low densities in undisturbed *habitat**, or
- *Rare** because of human activities e.g. *habitat** destruction, overhunting, climate change
- At the limit of their natural distribution (even if they are common elsewhere)

*Threatened** and endangered *species** can include species classified by IUCN as Vulnerable (VU), Endangered (EN) and Critically Endangered (CR) at a global or regional level, or whose trade is regulated under international agreements (e.g. CITES), as well as nationally protected species.

National or regional interpretations of this HCV element:	Best Available Information* for identifying occurrences of this interpretation:
<p>Determine if <i>forest*</i> area contains any species of flora and/or fauna categorized by the National Red List of Sri Lanka as CR, EN or VU, CITES Appendix 1 or any species protected under Sri Lankan legislation.</p>	<p><u>National red list of Sri Lanka, MOE (2012).</u></p> <p><u>Biodiversity profile 2019</u></p> <p><u>The National Red List of Sri Lanka: Assessment of the Threat Status of the Freshwater Fishes of Sri Lanka 2020</u></p> <p>CITES Appendix 1</p>

	<p>Fauna and Flora Protection Ordinance of Sri Lanka</p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 3. International Union for Conservation of Nature, Sri Lanka 4. Biodiversity Secretariate, Sri Lanka
Streams and other <i>water bodies</i> * that support RTE fish, crabs, or other RTE species.	<p><u>National red list of Sri Lanka, MOE (2012).</u></p> <p><u>Biodiversity profile 2019</u></p> <p><u>The National Red List of Sri Lanka: Assessment of the Threat Status of the Freshwater Fishes of Sri Lanka 2020</u></p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 3. International Union for Conservation of Nature, Sri Lanka 4. Biodiversity Secretariate, Sri Lanka
<i>Significant</i> * occurrences of terrestrial and freshwater plant or animal species in special ecological niches or with very small populations or ranges.	<p><u>National red list of Sri Lanka, MOE (2012).</u></p> <p><u>Biodiversity profile 2019</u></p> <p><u>The National Red List of Sri Lanka: Assessment of the Threat Status of the Freshwater Fishes of Sri Lanka 2020</u></p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 3. International Union for Conservation of Nature, Sri Lanka 4. Biodiversity Secretariate, Sri Lanka
Sites with CITES listed animal or plant species.	<p>CITES (see References)</p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department

	<p>2. Department of Wildlife conservation</p> <p>3. International Union for Conservation of Nature, Sri Lanka</p> <p>4. Biodiversity Secretariate, Sri Lanka</p>
Other species of especially high conservation priority, e.g., Western purple-faced langur	<p><u>National red list of Sri Lanka, MOE (2012).</u></p> <p><u>Biodiversity profile 2019</u></p> <p><u>The National Red List of Sri Lanka: Assessment of the Threat Status of the Freshwater Fishes of Sri Lanka 2020</u></p> <p><u>Primates of Sri Lanka</u></p> <p>Consider also literature, guidelines and following expert organizations.</p> <p>1. Forest Department</p> <p>2. Department of Wildlife conservation</p> <p>3. International Union for Conservation of Nature, Sri Lanka</p> <p>4. Biodiversity Secretariate, Sri Lanka</p>

B. Assessments for HCV 1

National or regional methodologies for assessing occurrences of the HCV 1 interpretations:	<i>Best Available Information*</i> for assessing occurrences of these interpretations
For both assessments for potential HCV 1 occurrences, and assessments of HCV 1 occurrences, where <i>habitat*</i> assessments, species surveys, or biodiversity assessments are sought.	Consider the survey and assessment methods and other guidance in <u>DWC (2008)</u>
For KBAs and IBAs.	For summary descriptions of their values, see the IBA factsheets at Key Biodiversity Areas (References) and Important Bird Areas (References).
For protected areas, confirm whether policies and practices effectively protect the area and its HCVs..	Consider the biological assessments listed at IUCN SL Resource Inventories (see References)

C. Strategies for Maintaining and Enhancing HCV 1

Strategies for maintaining *High Conservation Values** may not necessarily preclude harvesting. However, the only way to maintain some *High Conservation Values** will be through protection of the *High Conservation Value Area** that supports them. Protection zones, harvest prescriptions, and/or other strategies are in place to protect threatened, endangered, endemic species, or other concentrations of *biological diversity** and the ecological communities and *habitats** upon which they depend, sufficient to prevent reductions in the extent, integrity, quality, and viability of the *habitats** and species occurrences. Where enhancement is identified as the objective measures to develop, expand, and/or restore *habitats** for such species.

National or regional strategies for maintaining and/or enhancing the HCV 1 interpretations:	Best Available Information* for management strategies for these interpretations
<p>Protection zones, harvest prescriptions, and/or other strategies to protect threatened, endangered, endemic species, or other concentrations of <i>biological diversity</i>* and the ecological communities and <i>habitats</i>* upon which they depend, sufficient to prevent reductions in the extent, integrity, quality, and viability of the <i>habitats</i>* and species occurrences.</p>	<p><u>National red list of Sri Lanka, MOE (2012).</u></p> <p><u>Biodiversity profile 2019</u></p> <p><u>The National Red List of Sri Lanka: Assessment of the Threat Status of the Freshwater Fishes of Sri Lanka 2020</u></p> <p>CITES Appendix 1</p> <p>Fauna and Flora Protection Ordinance of Sri Lanka</p> <p>National Biodiversity strategic action plan <u>(2016-2022)</u></p> <p>Sri Lanka's Fifth National Report to The Convention on Biological Diversity 2014 <u>(Reference)</u></p> <p>Consider also literature, guidelines and following expert organizations.</p> <p>2. Department of Wildlife conservation 2. International Union for Conservation of Nature, Sri Lanka 3. Biodiversity Secretariate, Sri Lanka</p>
<p>For all HCV 1 Interpretations: Where enhancement is identified as the objective, measures to develop, expand, and/or restore habitats for such species.</p>	<p><u>National red list of Sri Lanka, MOE (2012).</u></p> <p><u>Biodiversity profile 2019</u></p>

	<p><u>The National Red List of Sri Lanka: Assessment of the Threat Status of the Freshwater Fishes of Sri Lanka 2020</u></p> <p>CITES Appendix 1 Fauna and Flora Protection Ordinance of Sri Lanka</p> <p>National Biodiversity strategic action plan (<u>2016-2022</u>)</p> <p>Sri Lanka’s Fifth National Report to The Convention on Biological Diversity 2014 (<u>Reference</u>)</p> <p>Consider also literature, guidelines and following expert organizations.</p> <p>2. Department of Wildlife conservation 2. International Union for Conservation of Nature, Sri Lanka 3. Biodiversity Secretariate, Sri Lanka</p>
<p>For protected areas, montane rainforests*, and patches of natural forest: Adopt conservation plans. Restore degraded areas. Exclude road construction and intensive hydrological projects. Improve demarcations, enforcement, and educate and work with <i>local communities*</i> to prevent unauthorized roads and tracks, illegal logging, unauthorized gem mining, cardamom plantings, tea plantings, poaching, and other harmful encroachments, and to support more sustainable and low impact sources of local income. Consider purchasing and protecting adjacent intact <i>ecosystem*</i> areas. Address threats from invasive exotic species. (Per: Ekanayake, 2013; Rainforest, 2019; UNESCO, 2019; Dhakal, 2017; WWF, 2019b)</p>	<p><u>National red list of Sri Lanka, MOE (2012).</u></p> <p><u>Biodiversity profile 2019</u></p> <p><u>The National Red List of Sri Lanka: Assessment of the Threat Status of the Freshwater Fishes of Sri Lanka 2020</u></p> <p>CITES Appendix 1</p> <p>Fauna and Flora Protection Ordinance of Sri Lanka</p> <p>National Biodiversity strategic action plan (<u>2016-2022</u>)</p> <p>Sri Lanka’s Fifth National Report to The Convention on Biological Diversity 2014 (<u>Reference</u>)</p> <p>Consider also literature, guidelines and following expert organizations.</p> <p>2. Department of Wildlife conservation 2. International Union for Conservation of Nature, Sri Lanka</p>

	3. Biodiversity Secretariate, Sri Lanka
<p>For any threatened or endangered tree species, including CITES, IUCN, or nationally listed species: Mark and protect trees from harvest, control for illegal harvest, and manage the area to support the species' survival and recovery, e.g., by addressing threats to regeneration</p>	<p><u>National red list of Sri Lanka, MOE (2012).</u></p> <p><u>Biodiversity profile 2019</u></p> <p><u>The National Red List of Sri Lanka: Assessment of the Threat Status of the Freshwater Fishes of Sri Lanka 2020</u></p> <p>CITES Appendix 1</p> <p>Fauna and Flora Protection Ordinance of Sri Lanka</p> <p>National Biodiversity strategic action plan (<u>2016-2022</u>)</p> <p>Sri Lanka's Fifth National Report to The Convention on Biological Diversity 2014 (<u>Reference</u>)</p> <p>Consider also literature, guidelines and following expert organizations.</p> <p>2. Department of Wildlife conservation 2. International Union for Conservation of Nature, Sri Lanka 3. Biodiversity Secretariate, Sri Lanka</p>
<p>For endemic and rare, threatened, or endangered (RTE) species: Implement no hunting policies, except for sustainable levels of traditional harvest by <i>local communities*</i> and <i>Indigenous Peoples*</i>. Adopt controls to prevent poaching, illegal harvest, and overharvest, including in cooperation with authorities, <i>local communities*</i>, and <i>Indigenous Peoples*</i>.</p>	<p><u>National red list of Sri Lanka, MOE (2012).</u></p> <p><u>Biodiversity profile 2019</u></p> <p><u>The National Red List of Sri Lanka: Assessment of the Threat Status of the Freshwater Fishes of Sri Lanka 2020</u></p> <p>CITES Appendix 1</p> <p>Fauna and Flora Protection Ordinance of Sri Lanka</p> <p>National Biodiversity strategic action plan (<u>2016-2022</u>)</p>

	<p>Sri Lanka's Fifth National Report to The Convention on Biological Diversity 2014 (<u>Reference</u>)</p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 2. Department of Wildlife conservation 2. International Union for Conservation of Nature, Sri Lanka 3. Biodiversity Secretariate, Sri Lanka
<p>For elephants, consider the National Policy for Elephant Conservation and Management.</p>	<p>National Policy on conservation and management of wild elephants in Sri Lanka (<u>DWC</u>)</p> <p>National BD strategic action plan (<u>2016-2022</u>)</p> <p>Sri Lanka's Fifth National Report to The Convention on Biological Diversity 2014 (<u>Reference</u>)</p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 2. Department of Wildlife conservation 2. International Union for Conservation of Nature, Sri Lanka 3. Biodiversity Secretariate, Sri Lanka
<p>For waterbodies supporting RTE fish: provide buffer zones sufficient to protect water quality and quantity, and <i>habitat</i>* conditions. (Per: CU, 2015)</p>	<p>Consider the methods and guidance in BBS Manual (<u>2008</u>) and IUCN Publications.</p>

D. Monitoring for HCV 1

National or regional methodologies for monitoring occurrences of the HCV 1 interpretations:	Best Available Information* for monitoring occurrences of these interpretations:
For <i>habitat</i> * and biodiversity related monitoring: Consider the methods and guidance in DWC (2008).	<p>Consider the methods and guidance in BBS Manual (2008) and IUCN Publications.</p> <p>The following strategies can be adapted to monitor HCVs</p> <ol style="list-style-type: none"> 1. Annual species population surveys (e.g. individuals) 2. <i>Habitat</i>* quality surveys (e.g. food plants present)
For monitoring of potential impacts and of potential illegal or unauthorized activities in the forest, consider collaborative monitoring with <i>Indigenous Peoples</i> *.	<p>Consider the methods and guidance in BBS Manual (2008) and IUCN Publications.</p> <p>The following strategies can be adapted to monitor HCVs</p> <ol style="list-style-type: none"> 3. Regular monitoring patrols to Maintain HCV area boundaries 4. Regular monitoring patrols to ensure no pesticide application or chemical dumping in or near riparian buffer zones 5. Regular monitoring patrols to prevent hunting

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.

A. Interpretations of HCV 2, for HCV Identification

HCV 2 includes ecosystems and *ecosystem* mosaics that are sufficiently large and relatively undisturbed enough to support viable populations of the great majority of the naturally occurring species and (implicitly) the great majority of other environmental values occurring in such *ecosystems*.

Element 1: *Intact forest landscapes*:

An important source of information on large, undisturbed *landscape*-level *forests* comes from the World Resources Institute (WRI), which has mapped *Frontier Forests* and *Intact Forest Landscapes* (IFL) at a global and regional level since the 1990's. WRI defines an IFL as "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 10km (measured as the diameter of a circle that is entirely inscribed within the boundaries of the territory).

National or regional interpretations of this HCV element:	<i>Best Available Information</i> for identifying occurrences of this interpretation:
<i>Not applicable. Intact Forest Landscapes (IFLs) as defined in the FSC International Generic Indicators and by Global Forest Watch are not present in Sri Lanka.</i>	N/A

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:

In principle, threshold size for HCV 2 should be related to the area needed to maintain viable populations, especially of large or wide-ranging species.

National or regional interpretations of this HCV element:	<i>Best Available Information</i> for identifying occurrences of this interpretation:
Important wetlands, including RAMSAR sites, i.e.: Bundala, Maduganga, Vankalai Sanctuary, Wilpattu Wetlands Cluster,	RAMSAR (see References). Consider also the National Wetland Directory (References).

Anwilundawa Tanks Sanctuary, Kumana Wetlands Cluster.	<u>National Policy on Conservation and Sustainable Utilization of Mangrove Ecosystem in Sri Lanka</u>
Larger native forest areas that have not been affected by industrial activity, and that have successional stages, forest structures, and species composition similar to benchmark <i>forests</i> *.	Mapping and other data on forest cover, age, succession, structure, species composition, <i>habitat</i> * connectivity, anthropogenic disturbance, roadless areas, wilderness
Other <i>ecosystems</i> * recognized as nationally significant in formally recognized reports or journals, e.g., due to their biodiversity values.	<p>WILDLANKA http://journals.dwc.gov.lk/index.php/wildlanka</p> <p>Ceylon Journal of Science https://cjs.sljol.info/</p> <p>Journal of National Science Foundation http://www.nsf.ac.lk/index.php/nsf-science-magazine.html</p> <p>Sri Lanka Journal of Aquatic Sciences http://www.slafar.lk/index.php/2015-08-21-01-07-16/2015-08-21-01-08-09</p> <p>Journal of Tropical Forestry and Environment http://journals.sjp.ac.lk/index.php/jtfe</p> <p>Journal of Threatened Taxa https://www.threatenedtaxa.org/index.php/JoTT</p> <p>Other useful documents National Red List 2012 http://www.cea.lk/web/images/pdf/redlist2012.pdf</p> <p>NBSAP and CBD National Reports https://www.cbd.int/reports/search/?country=lk</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:**

National or regional interpretations of this HCV element:	<i>Best Available Information</i>* for identifying occurrences of this interpretation:
<p><i>Connectivity</i>* corridors, including between protected areas, other HCV 1 or HCV 2 occurrences, and/or refugia.</p>	<p>National BD strategic action plan (<u>2016-2022</u>)</p> <p>Sri Lanka's Fifth National Report to The Convention on Biological Diversity 2014 (<u>Reference</u>)</p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 2. International Union for Conservation of Nature, Sri Lanka 3. Biodiversity Secretariate, Sri Lanka 4. Department of Coast Conservation and Coastal Resource Management 5. Marine Environment Protection Authority 7. Central Environmental Authority
<p>Relatively intact forest <i>ecosystems</i>* in fragmented <i>landscapes</i>*.</p>	<p>National BD strategic action plan (<u>2016-2022</u>)</p> <p>Sri Lanka's Fifth National Report to The Convention on Biological Diversity 2014 (<u>Reference</u>)</p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 2. International Union for Conservation of Nature, Sri Lanka 3. Biodiversity Secretariate, Sri Lanka 4. Department of Coast Conservation and Coastal Resource Management 5. Marine Environment Protection Authority 7. Central Environmental Authority

<p><i>Forest* ecosystems* forming a landscape*-level mosaic with other vegetation types used by a diversity of species.</i></p>	<p>National BD strategic action plan (<u>2016-2022</u>)</p> <p>Sri Lanka's Fifth National Report to The Convention on Biological Diversity 2014 (<u>Reference</u>)</p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 2. International Union for Conservation of Nature, Sri Lanka 3. Biodiversity Secretariate, Sri Lanka 4. Department of Coast Conservation and Coastal Resource Management 5. Marine Environment Protection Authority 7. Central Environmental Authority
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B. Assessments for HCV 2

<p>National or regional methodologies for assessing occurrences of the HCV 2 interpretations:</p>	<p><i>Best Available Information*</i> for assessing occurrences of these interpretations:</p>
<p>For RAMSAR sites and other important wetlands.</p>	<p>Consider the methods and guidance in BBS Manual (<u>2008</u>) and IUCN Publications</p>
<p>For <i>habitat*</i> assessments, species surveys, or biodiversity assessments.</p>	<p>Consider the methods and guidance in BBS Manual (<u>2008</u>) and IUCN Publications</p>
<p>For mosaics or other HCV 2 involving the Coastal <i>Ecosystems*</i>.</p>	<p>Consider the methods and guidance in BBS Manual (<u>2008</u>) and IUCN Publications</p>

C. Strategies for Maintaining and Enhancing HCV 2

Decisions on HCV 2 management should be based on careful consideration of the *Management Unit's* position in the wider *landscape**. For example, if a *Management Unit** borders or is surrounded by PAs, or contains or borders large *landscapes** there is a very strong indication that HCV 2 is present. Development should only proceed if HCV 2 can be maintained and then operations should proceed with particular caution and in collaboration with the management of neighbouring *Management Units** or conservation priority areas.

Large *landscape** level *ecosystems** (HCV 2) are defined as *ecosystems** that are sufficiently large and undisturbed to support viable populations of the majority of

naturally occurring species. The management aim for conserving HCV 2 is to maintain large *ecosystems**, and the viable species populations that they support. In some cases, MUs may be large enough to maintain HCV 2 areas on their own, whilst in smaller MUs, maintaining HCV 2 will rely on retaining connectivity with areas in the wider *landscape**. Supporting populations of wide-ranging and apex predators will require the protection of sufficiently large, connected and/or high-quality areas of *habitat**. This includes minimizing threats such as hunting to these species, and ensuring they have sufficient prey resources.

Similarly, the maintenance of natural ecosystem processes, such as mass fruiting or migrations, can depend on maintaining *connectivity**. This generally means leaving corridors of native vegetation through MUs to connect with *ecosystems** outside the corridors must be wide enough to provide secure passage of animals and movement of plant species through natural seed dispersal. Wide-ranging species or apex predators that also classify as HCV 1 may be protected using similar management strategies (e.g. *habitat** corridors).

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

National or regional strategies for maintaining and/or enhancing the HCV 2 interpretations:	Best Available Information* for management strategies for these interpretations:
<p>For all HCV 2 Interpretations: Strategies that fully maintain the extent and intactness of the forest <i>ecosystems*</i> and the viability of their biodiversity concentrations, including plant and animal indicator species, keystone species, and/or guilds associated with large intact natural forest <i>ecosystems*</i>. 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>National BD strategic action plan (2016-2022)</p> <p>Sri Lanka’s Fifth National Report to The Convention on Biological Diversity 2014 (Reference)</p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 2. International Union for Conservation of Nature, Sri Lanka 3. Biodiversity Secretariate, Sri Lanka 4. Department of Coast Conservation and Coastal Resource Management 5. Marine Environment Protection Authority

	7. Central Environmental Authority
<p>For all HCV 2 Interpretations: Where enhancement is identified as the objective, measures to <i>restore*</i> and reconnect forest <i>ecosystems*</i>, their intactness, and habitats that support natural biological diversity are in place.</p>	<p>National BD strategic action plan (<u>2016-2022</u>)</p> <p>Sri Lanka's Fifth National Report to The Convention on Biological Diversity 2014 (<u>Reference</u>)</p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 2. International Union for Conservation of Nature, Sri Lanka 3. Biodiversity Secretariate, Sri Lanka 4. Department of Coast Conservation and Coastal Resource Management 5. Marine Environment Protection Authority 7. Central Environmental Authority
<p>For RAMSAR sites and other important wetlands: Protect from filling, pollution, vegetation removal, and invasives. Consider the National Policy on Wetlands, and the MOE 2004 Draft Strategy for Wetlands Conservation.</p>	<p>Consider the information at RAMSAR sites and National Wetland Directory (References)</p> <p>National BD strategic action plan (2016-2022)</p> <p>Sri Lanka's Fifth National Report to The Convention on Biological Diversity 2014 (Reference)</p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 2. International Union for Conservation of Nature, Sri Lanka 3. Biodiversity Secretariate, Sri Lanka 4. Department of Coast Conservation and Coastal Resource Management 5. Marine Environment Protection Authority 7. Central Environmental Authority

<p>For larger and relatively intact natural forest areas: Restore degraded areas. Exclude road construction and intensive hydrological projects. Educate and work with <i>local communities</i>* to prevent unauthorized roads and tracks, unauthorized logging and gem mining, cardamom plantings, tea plantings, poaching, and other harmful encroachments, and to support more sustainable and low impact sources of local income. Address threats from invasive exotic species. (Per: Ekanayake, 2013; Rainforest, 2019; UNESCO, 2019; Dhakal, 2017)</p>	<p>Sri Lanka's Fifth National Report to The Convention on Biological Diversity 2014 (Reference)</p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 2. International Union for Conservation of Nature, Sri Lanka 3. Biodiversity Secretariate, Sri Lanka 4. Department of Coast Conservation and Coastal Resource Management 5. Marine Environment Protection Authority 7. Central Environmental Authority
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D. Monitoring for HCV 2

<p>National or regional methodologies for monitoring occurrences of the HCV 2 interpretations:</p>	<p><i>Best Available Information</i>* for monitoring occurrences of these interpretations:</p>
<p>For habitat and biodiversity related monitoring.</p>	<p>Consider the methods and guidance in BBS Manual (<u>2008</u>) and IUCN Publications</p>

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

A. Interpretations of HCV 3, for HCV Identification

HCV 3 includes *ecosystems**, *habitats** or *refugia** of special importance because of their rarity or the level of threat that they face or their rare or unique species composition or other characteristics. To define rare *ecosystems**, one must consider the presence of similar *ecosystems** in the same biogeographic region and/or country. The size, age, structure and species composition of an ecosystem may also be important criteria. For example, an *ecosystem** that is common in one area or country may be scarce and fragmented (*rare and threatened**) in another country.

Element 1: Rare, threatened, or endangered *ecosystems**

*Ecosystems** are a “dynamic complex of plant, animal and micro-organism communities and their non-living environment interacting as a functional unit”. A practical approach is to use vegetation classifications which are easily recognizable in the field as well as satellite images, aerial photographs and other remote sensing imagery.

Sri Lanka is one of the 34 biodiversity hotspots identified in the world and has the highest biodiversity per unit area of land amongst Asian countries. This high biodiversity seen in Sri Lanka can be attributed to a wide variety of climatic, topographic and soil conditions that exist in the island that has resulted in a diverse array of aquatic and terrestrial *habitats**.

National or regional interpretations of this HCV element:	<i>Best Available Information*</i> for identifying occurrences of this interpretation:
<p>UNESCO Biosphere Reserves, i.e., Hurulu, Sinharaja, Kanneliya-Dediyagala-Nakiyadeniya (KDN), and Bundala.</p> <p>UNESCO World Heritage Sites Central Highlands of Sri Lanka (2010) Sinharaja Forest Reserve (1988)</p>	<p>UNESCO Biosphere Reserves (<u>References</u>).</p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 3. International Union for Conservation of Nature, Sri Lanka 4. Biodiversity Secretariate, Sri Lanka
<p>Old growth and primary <i>forests*</i>.</p>	<p>Primary <i>Forests*</i> (<u>References</u>) (field verification needed at <i>Management Unit</i> scale). Forest inventories and site evaluations.</p>

	<p>Sri Lanka's Fifth National Report to The Convention on Biological Diversity 2014 (Reference)</p>
<p><i>Natural forests*</i>, including patches and fragments, in the Sri Lankan Moist Forest Region. (Per: WWF, 2019)</p>	<p>WWF Global 200 Ecoregions (see References)</p> <p>Sri Lanka's Fifth National Report to The Convention on Biological Diversity 2014 (Reference)</p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 3. International Union for Conservation of Nature, Sri Lanka 4. Biodiversity Secretariate, Sri Lanka
<p>Montane evergreen forest and rainforest, including submontane forest above 1,000 m in the central massif and the Knuckles Mountains. (Per: MOE, 2011; WWF, 2019b)</p>	<p>WWF Global 200 Ecoregions (see References)</p> <p>Sri Lanka's Fifth National Report to The Convention on Biological Diversity 2014 (Reference)</p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 3. International Union for Conservation of Nature, Sri Lanka 4. Biodiversity Secretariate, Sri Lanka
<p>Other patches of natural forest, including both secondary and especially primary forest, per the precautionary principle, pending further assessment.</p>	<p>Sri Lanka's Fifth National Report to The Convention on Biological Diversity 2014 (Reference)</p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 3. International Union for Conservation of Nature, Sri Lanka 4. Biodiversity Secretariate, Sri Lanka

<p>Swamp <i>forests*</i>, including patches and fragments, in the Sri Lankan Moist Forest Region and elsewhere.</p>	<p>RAMSAR (see References). Consider also the National Wetland Directory (References).</p> <p>WWF Global 200 Ecoregions (see References)</p> <p>Sri Lanka's Fifth National Report to The Convention on Biological Diversity 2014 (<u>Reference</u>)</p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 3. International Union for Conservation of Nature, Sri Lanka 4. Biodiversity Secretariate, Sri Lanka
<p>Mangroves.</p>	<p>WWF Global 200 Ecoregions (see References)</p> <p><u>National Policy on Conservation and Sustainable Utilization of Mangrove Ecosystem in Sri Lanka</u></p> <p>Sri Lanka's Fifth National Report to The Convention on Biological Diversity 2014 (<u>Reference</u>)</p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 3. International Union for Conservation of Nature, Sri Lanka 4. Biodiversity Secretariate, Sri Lanka

Element 2: Rare, threatened, or endangered *habitats:**

Habitat is the place or type of site where a population or organism occurs (and is therefore essential for species level management). *Habitats** may be synonymous with *ecosystems** as defined above or be defined at a smaller scale – e.g. some rocky outcrops are key habitat for rare or localized plants within a forest ecosystem, and seasonal wetlands are crucial for some insect species within grasslands. *Habitats** defined at the site scale are usually too small to be significant at a national level or

above. HCV 3 focuses on higher-level ecosystem priorities which make the ecosystem rare and specific *habitats** for key species should be considered under HCV 1.

National or regional interpretations of this HCV element:	<i>Best Available Information</i>* for identifying occurrences of this interpretation:
Fragments of natural forest in the Wet Zone.	<p>Sri Lanka’s Fifth National Report to The Convention on Biological Diversity 2014 (<u>Reference</u>)</p> <p><u>Rainforest buffer zones : guidelines for protected area managers</u></p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 3. International Union for Conservation of Nature, Sri Lanka 4. Biodiversity Secretariate, Sri Lanka
<p><i>Forest</i>* types and <i>habitats</i>* now very limited in extent, other <i>habitats</i>* and habitat features that are vulnerable and/or important to HCV 1 biodiversity or species.</p>	<p>Sri Lanka’s Fifth National Report to The Convention on Biological Diversity 2014 (<u>Reference</u>)</p> <p><u>Rainforest buffer zones : guidelines for protected area managers</u></p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 3. International Union for Conservation of Nature, Sri Lanka 4. Biodiversity Secretariate, Sri Lanka

Element 3: *Refugia**:

*Refugia**: There are two types of *refugia** (or refuges) which may have an HCV (in addition to seasonal refuges considered under HCV 1):

1. Ecological *refugia**: Isolated areas which are sheltered from current changes (e.g. human threats or climatic events), and where plants and animals typical of a region may survive; and
2. Evolutionary *refugia**: areas where certain types or suites of organisms persisted during a period when climatic events (e.g. glaciations) greatly reduced habitable areas elsewhere.

Such *refugia** often support high overall species richness and significant numbers of endemic species.

National or regional interpretations of this HCV element:	Best Available Information* for identifying occurrences of this interpretation:
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.	<p>Sri Lanka's Fifth National Report to The Convention on Biological Diversity 2014 (Reference)</p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 3. International Union for Conservation of Nature, Sri Lanka 4. Biodiversity Secretariate, Sri Lanka

B. Assessments for HCV 3

National or regional methodologies for assessing occurrences of the HCV 3 interpretations:	Best Available Information for assessing occurrences of these interpretations:
For habitat assessments, species surveys, or biodiversity assessments.	Consider the methods and guidance in BBS Manual (2008) and IUCN Publications
For Biosphere Reserves	See UNESCO Biosphere Reserves (References) for summary information on the areas' values and threats.
For mangroves	Consider the methods and guidance in BBS Manual (2008) and IUCN Publications

C. Strategies for Maintaining and Enhancing HCV 3

Some HCV 3 *ecosystems** may be highly localised and only found under certain specialized conditions, which means they may be naturally fragmented. For these *ecosystems** disturbance is likely to be a particular threat. In many cases *habitats** and *ecosystems** occur as highly fragmented remnants of a previously more extensive ecosystem, which has been reduced through decades or centuries of human activities, or climate change (e.g. Pleistocene relicts). The ecosystem functionality in this case may already have been severely compromised. However, these fragments may be significant for biodiversity. When planning production activities in an area where HCV 3 fragments exist, a conservation plan should be developed to preserve the fragments,

halt the processes leading to their degradation or destruction, and aim to restore the functionality of the ecosystem.

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

National or regional strategies for maintaining and/or enhancing the HCV 3 interpretations:	<i>Best Available Information*</i> for management strategies for these interpretations:
Strategies that fully maintain the extent and integrity of rare or threatened <i>ecosystems*</i> , <i>habitats*</i> , or refugia.	<p>National BD strategic action plan (<u>2016-2022</u>)</p> <p>Sri Lanka's Fifth National Report to The Convention on Biological Diversity 2014 (<u>Reference</u>)</p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 2. International Union for Conservation of Nature, Sri Lanka 3. Biodiversity Secretariate, Sri Lanka 4. Department of Coast Conservation and Coastal Resource Management 5. Marine Environment Protection Authority 7. Central Environmental Authority
Where enhancement is identified as the objective, measures to restore and/or develop rare or threatened <i>ecosystems*</i> , <i>habitats*</i> , or refugia are in place.	<p>National BD strategic action plan (<u>2016-2022</u>)</p> <p>Consider literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 2. International Union for Conservation of Nature, Sri Lanka 3. Biodiversity Secretariate, Sri Lanka 4. Department of Coast Conservation and Coastal Resource Management 5. Marine Environment Protection Authority 7. Central Environmental Authority

<p>For primary <i>forests*</i>, old growth, montane rainforest, other patches of natural forest in all regions, and fragments of natural forest in the Wet Zone: Adopt conservation plans. Restore degraded areas. Exclude road construction and intensive hydrological projects. Educate and work with <i>local communities*</i> to prevent unauthorized roads and tracks, unauthorized logging and gem mining, cardamom plantings, tea plantings, poaching, and other harmful encroachments, and to support more sustainable and low impact sources of local income. Address threats from invasive exotic species. (Per: Ekanayake, 2013; Rainforest, 2019; UNESCO, 2019; Dhakal, 2017; WWF, 2019b)</p>	<p>National BD strategic action plan (<u>2016-2022</u>)</p> <p>Consider literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 2. International Union for Conservation of Nature, Sri Lanka 3. Biodiversity Secretariate, Sri Lanka 4. Department of Coast Conservation and Coastal Resource Management 5. Marine Environment Protection Authority 7. Central Environmental Authority
<p>For mangroves: Work with <i>local communities*</i> to protect mangroves and find alternative sources of fuelwood and charcoal.</p>	<p><i>Culturally appropriate* engagement* with the local communities*</i>.</p> <p>Consider also literature, guidelines and following expert organizations.</p> <ol style="list-style-type: none"> 1. Forest Department 2. Department of Wildlife conservation 3. International Union for Conservation of Nature, Sri Lanka 4. Biodiversity Secretariate, Sri Lanka 5. Department of Coast Conservation and Coastal Resource Management 6. Marine Environment Protection Authority 7. Central Environmental Authority

D. Monitoring for HCV 3

National or regional methodologies for monitoring occurrences of the HCV 3 interpretations:	Best Available Information* for monitoring occurrences of these interpretations:
For <i>habitat*</i> and biodiversity related monitoring.	<p>Consider the methods and guidance in BBS Manual (2008) and IUCN Publications</p> <p>The following strategies can be adapted to monitor HCVs</p> <ol style="list-style-type: none"> 1. Regular monitoring patrols to maintain HCV area boundaries 2. Annual vegetation surveys (indicator species surveys, vegetation structure measurements) 3. Encroachment/logging monitoring patrols 4. Invasive species monitoring using survey data from strategic monitoring

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.**

A. Interpretations of HCV 4, for HCV Identification

Ecosystem services are the benefits people obtain from *ecosystems**, including provisioning services such as food and water; regulating services such as regulation of floods, drought, land degradation, and disease; cultural services such as recreational, spiritual, religious and other nonmaterial benefits; and supporting services such as soil formation and nutrient cycling; and cultural services such as recreational, spiritual, religious and other nonmaterial benefits. Such basic services become HCV 4 in *critical** situation

An ecosystem service is *critical** where a disruption of that service poses a *threat** of severe, catastrophic or cumulative negative impacts on the welfare, health or survival of *local communities**, on the functioning of important infrastructure (roads, dams, reservoirs, hydroelectric schemes, irrigation systems, buildings, etc.), or on other HCVs.

The concept of *critical** situations relates to:

1. Cases where loss of or major damage to an ecosystem service would cause serious prejudice or suffering to recipients of the service either immediately or periodically (e.g. regulation of water provision during *critical** drought periods), or
2. Cases where there are no viable, readily available or affordable alternatives (e.g. pumps and wells) that can be relied on if the service fails.

An area may be considered HCV 4 if it is protecting or providing one of these services in a *critical** situation. For example, a *forest** may provide a function in regulating the flow of water within a catchment. This service may be considered *critical** when people are dependent on the water for drinking or irrigation, or where the regulation of water flow guarantees the existence of fishing grounds or agricultural land on which the local people are dependent.

Similarly, a forest area may provide a vital function in stabilizing slopes above a settlement, or, in the upper reaches of an important stream catchment. This service may be *critical** when disturbing operations would lead to drastic soil erosion with impacts on people's property or livelihoods. Maintaining intact grassland may be considered essential where loss of soil cover in arid conditions is likely to lead to serious erosion and desertification.

Some freshwater systems are *critical** for helping to purify water. *Critical** protection against destructive fire is likely to occur in fire-prone areas, which contain or are adjacent to human settlements, important cultural sites, protected areas or other HCVs, and where the natural ecosystem is a barrier to fire. In these examples, what defines the value is the existence of people who are making use of, or depend on, an environmental service.

Element 1: Water catchments in *critical situations:**

HCV 4 may apply to river and stream regulation in natural catchments where these water supplies are *critical** for human uses including drinking water, cooking, washing and irrigation and, fishing, and there are no viable or readily available alternatives. These services can be disrupted by poor practices even in well-located production sites, e.g. if a *Management Unit** produces point or nonpoint source pollution or dams a stream. Virtually all activities on the terrestrial *landscape** will affect downstream freshwaters – it is just a matter of how much and how far.

National or regional interpretations of this HCV element	<i>Best Available Information</i>* for identifying occurrences of this interpretation:
<p><i>Forests</i>* that comprise more than 50% of a major watershed, or more than 25% of a watershed <i>critical</i>* for collection of potable water and/or regulating water flow to urban areas or wetlands.</p>	<p>Hydrological maps, GIS maps by Department of Irrigation, Water Resources Board and Survey Department of Sri Lanka.</p> <p>Consider also literature, databases and following expert organizations.</p> <ol style="list-style-type: none"> 1. International Water Management Institute 2. Department of Irrigation, Sri Lanka 2. Water Resources Board, Sri Lanka 4. Irrigation Management Division, Ministry of Mahaweli, Agriculture, Irrigation & Rural Development
<p>Rivers, streams, their sources (e.g., springs, wetlands), and other water sources relied upon by <i>Indigenous Peoples</i>* and/or <i>local communities</i>* for drinking water, irrigation, or other daily uses, or that are otherwise a priority for water provisioning.</p>	<p>Hydrological maps, GIS maps by Department of Irrigation, Water Resources Board and Survey Department of Sri Lanka.</p> <p>Consider also literature, databases and following expert organizations.</p> <ol style="list-style-type: none"> 1. International Water Management Institute 2. Department of Irrigation, Sri Lanka 2. Water Resources Board, Sri Lanka 4. Irrigation Management Division, Ministry of Mahaweli, Agriculture, Irrigation & Rural Development <p>For an online directory of important wetlands, see also National Wetland Directory, Sri Lanka</p>
<p>RAMSAR sites.</p>	<p>RAMSAR (References)</p>

	For an online directory of important wetlands, see also National Wetland Directory , Sri Lanka
Water sources and <i>water bodies</i> *that play a <i>critical</i> * role in providing <i>habitats</i> *, fresh water, or water quality regulation for estuaries, coral reefs, or freshwater or coastal fisheries.	<p>Hydrological maps, GIS maps by Department of Irrigation, Water Resources Board and Survey Department of Sri Lanka.</p> <p>Consider also literature, databases and following expert organizations.</p> <ol style="list-style-type: none"> 1. International Water Management Institute 2. International Union for Conservation of Nature, Sri Lanka 3. Department of Irrigation, Sri Lanka 4. Department of Coast Conservation and Coastal Resource Management 5. Marine Environment Protection Authority <p>Moreover, <i>culturally appropriate</i>* <i>engagement</i>* with the <i>Indigenous Peoples</i>* can be used to identify HCVs</p>

Element 2: Control of erosion of vulnerable soils and slopes in *critical situations:**

HCV 4 occurs in areas that contain natural vegetation types (e.g. forest or native grasslands) in good condition that help to prevent erosion, landslip and degradation, where such events would have a *critical** impact on people or the environment. Such impacts might be catastrophic (landslides) or pernicious and difficult to reverse (gradual loss of soil fertility and land productivity). Surface erosion causes the loss of top-soil, which leads to decreasing land productivity; in drylands it can also causes dust storms, dune formation and desertification. Landslides and ravines reduce the area of productive lands, damage infrastructure, endanger human lives, change a watershed’s hydrology characteristics, and increase sediment loads, which causes siltation of water bodies and irrigation channels. This is particularly important for farming and fishing communities, and for freshwater or coastal biodiversity.

National or regional interpretations of this HCV element:	<i>Best Available Information</i>* for identifying occurrences of this interpretation:
Landslide and flood prone areas, including but not limited to those with runouts likely to affect populated areas.	Maps of steep or, unstable soils, flood risk maps issued by National Building Research Organization (NBRO). Site specific risk assessments.

	<p>Consider also statistics, databases and following expert organizations.</p> <ol style="list-style-type: none"> 1. Disaster Management Center, Sri Lanka 2. Department of Meteorology
<p>Erosion prone areas, e.g., forest areas on slopes of 30% or greater, and/or with erodible or loose forest soils.</p>	<p>Soil maps, maps of erodible soils.</p> <p>Consider also statistics, databases and following expert organizations.</p> <ol style="list-style-type: none"> 1. Disaster Management Center, Sri Lanka 2. Department of Meteorology

Element 3: Other ecosystem services* in critical* situations:

National or regional interpretations of this HCV element:	Best Available Information* for identifying occurrences of this interpretation:
<p>Storm buffering and water quality protection provided by mangroves.</p>	<p>Consider also literature, databases and following expert organizations.</p> <ol style="list-style-type: none"> 1. International Water Management Institute 2. International Union for Conservation of Nature, Sri Lanka 3. Department of Irrigation, Sri Lanka 4. Department of Coast Conservation and Coastal Resource Management 5. Marine Environment Protection Authority
<p>Climate regulation, e.g., carbon storage and sequestration, e.g., in natural forests*, forest soils, and mangroves.</p>	<p>Consider literature, databases and following expert organizations.</p> <ol style="list-style-type: none"> 1. International Water Management Institute 2. International Union for Conservation of Nature, Sri Lanka 3. Department of Irrigation, Sri Lanka 4. Department of Coast Conservation and Coastal Resource Management 5. Marine Environment Protection Authority
<p>Recreational opportunities in Parks and other public forests* near urban centers.</p>	<p>Consider land use maps, literature and databases.</p>
<p>Provision of food, water, and shelter to local communities* and Indigenous Peoples*. (See also HCV 5)</p>	<p><i>Culturally appropriate* engagement* with the local communities*.</i></p>

Low-impact tourism in locales where communities and <i>Indigenous Peoples</i> * have few other opportunities for ecologically sustainable revenue generation.	<i>Culturally appropriate* engagement*</i> with the <i>local communities*</i> . Also, consider land use maps, literature and databases.
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B. Assessments for HCV 4

The identification of *critical** services and situations requires consultations with local stakeholders who may be directly affected, and with others who may have local or specialist information, including local authorities, geographers and hydrologists. The assessor or manager should consider whether relevant regulations and guidelines on slope protection and water course management are being observed and if there are any slope/ catchment areas that are particularly significant to local people. It is then necessary to consider whether current regulations and restrictions for such areas effectively protect its conservation value. This is a difficult judgment that may mean management that goes beyond legal requirements. Expert opinion should be sought, and consultations held before a final decision on the presence of this value is made.

National or regional methodologies for assessing occurrences of the HCV 4 interpretations:	<i>Best Available Information*</i> for assessing occurrences of these interpretations:
For water catchments <i>critical*</i> to <i>local communities*</i> or <i>Indigenous Peoples*</i> .	Hydrological maps, GIS maps by Department of Irrigation, Water Resources Board and Survey Department of Sri Lanka. Consider also literature, databases and following expert organizations. 1. International Water Management Institute 2. Department of Irrigation, Sri Lanka 2. Water Resources Board, Sri Lanka 4. Irrigation Management Division, Ministry of Mahaweli, Agriculture, Irrigation & Rural Development For an online directory of important wetlands, see also National Wetland Directory, Sri Lanka <i>Culturally appropriate* engagement*</i> with the <i>local communities*</i> .
For the provision of food, water, and shelter to <i>local communities*</i> and <i>Indigenous Peoples*</i> .	<i>Culturally appropriate* engagement*</i> with the <i>local communities*</i> . Also, consider land use maps, literature and databases.
For RAMSAR sites and other wetland ecosystems*	RAMSAR (References)

	For an online directory of important wetlands, see also National Wetland Directory , Sri Lanka
For various ecosystem services.	The FSC Ecosystem Services Procedure

C. Strategies for Maintaining and Enhancing HCV 4

If an MU is upstream of communities that rely on water from that catchment for basic needs, or if this value would be jeopardized by increased risk of flooding or other disturbances (e.g. mudslides), then production activities should be designed with the utmost caution, especially where clearing of natural vegetation is involved. In high risk situations, hydrologists, soil scientists, and other experts should be consulted in the development of a *management plan**, and conversion may only be possible if substantial safeguards are put in place (e.g. large riparian buffers, no conversion on steep slopes). Alternatively, in a non-conversion forestry context fewer safeguards may be required, assuming the intensity and scale of timber extraction is low. In general, stream disturbances should be avoided to the greatest extent possible. Any production activity will affect streams, but good management practices can at least reduce impacts.

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

National or regional strategies for maintaining and/or enhancing specific HCV 4 interpretations:	Best Available Information* for management strategies for these interpretations:
For water catchments of importance to <i>local communities</i> * located within or downstream of the <i>Management Unit</i> *, and areas within the unit that are particularly unstable or susceptible to erosion: 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.	HCV Common Guidance for Management and Monitoring Maps of steep or, unstable soils, flood risk maps issued by National Building Research Organization (NBRO). Site specific risk assessments. Consider also statistics, databases and following expert organizations. 1. Disaster Management Center, Sri Lanka 2. Department of Meteorology

For rivers, streams, springs, and wetlands: Delineate and map buffers in which logging, uprooting, chemical spraying, and equipment use are excluded (except for equipment at approved crossings).	Hydrological maps, GIS maps by Department of Irrigation, Water Resources Board and Survey Department of Sri Lanka. Consider also literature, databases and following expert organizations. 1. International Water Management Institute 2. Department of Irrigation, Sri Lanka 2. Water Resources Board, Sri Lanka 4. Irrigation Management Division, Ministry of Mahaweli, Agriculture, Irrigation & Rural Development
For RAMSAR sites: See the strategies at HCV 2.	RAMSAR (References) For an online directory of important wetlands, see also National Wetland Directory , Sri Lanka
For erosion prone slopes >30%: Preclude or restrict timber harvest, uprooting, and road construction.	Maps of steep or, unstable soils, flood risk maps issued by National Building Research Organization (NBRO). Site specific risk assessments.
For climate regulation: Strategies to maintain or enhance carbon sequestration and storage are in place.	Consider literature, databases and following expert organizations. 1. International Union for Conservation of Nature, Sri Lanka 3. Climate Change Secretariat

D. Monitoring for HCV 4

National or regional methodologies for monitoring occurrences of the HCV 4 interpretations:	<i>Best Available Information</i>* for monitoring occurrences of these interpretations:
For water quality and quantity, soils, and other <i>ecosystem services</i> *.	See Annex F of this document for basic factors to consider monitoring The following strategies can be adapted to monitor HCVs 1. Regular monitoring patrols to maintain HCV area boundaries 2. Regular monitoring patrols to prevent forest/vegetation clearance on slopes 3. Soil erosion monitoring (e.g. surface run-off tests) 4. Monitoring sedimentation levels 5. Surveys of vegetation structures key to preventing erosion (e.g. ground cover, tree cover)

	<p>6. Operational monitoring of HCV 4 forest quality</p> <p>8. Cases of illicit clearing</p>
<p>Include in FMP the identification of any specific features that may act as barriers to fire, and prescriptions for managing these areas. Natural barriers could include water courses, ridges or gullies. Intact natural forest may also act as a natural barrier. Particular attention should be paid to the maintenance of the water table in vulnerable areas.</p>	<p><u>Fire Management Working Papers</u> Global Forest Resources Assessment 2005 – Report on fires in the South Asian Region</p> <p>Forest and Land Fire Prevention in Sri Lanka (<u>IFFN No. 20 – March 1999</u>)</p> <p>See Annex D for basic elements in the FMP</p>
<p>Monitor the frequency of fires in previously identified fire-prone areas.</p>	<p>See Annex F of this document for basic factors to consider monitoring</p>

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**.**

A. Interpretations of HCV 5, for HCV Identification

HCV 5 refers to sites and resources that are fundamental for satisfying the basic necessities of local and *Indigenous Peoples**. The role of the HCV assessment is to characterize the level of dependence on the resource and to provide management recommendations for how to mitigate negative impacts on local people's livelihoods.

A site or resource is fundamental for satisfying basic necessities if the services it provides are irreplaceable (i.e. if alternatives are not readily accessible or affordable), and if its loss or damage would cause serious suffering or prejudice to affected stakeholders. Basic necessities in the context of HCV 5 may cover any or all of the provisioning services of the environment including tangible materials that can be consumed, exchanged or used directly in manufacture, and which form the basis of daily life. The degree of dependence on HCV 5 resources may alter rapidly due to changes in the area such as the creation or repair of a road, improved communication infrastructure or an influx of migrants. It is important to ensure that HCV 5 resources are adequately identified considering the significance, criticality and importance of resources through *culturally appropriate* engagement** with *Indigenous Peoples** and *local communities**. Particular attention should be given to areas where whole communities or significant portions of them are heavily dependent on forest *ecosystems** for their livelihoods, or where *Indigenous Peoples** and *local communities** are dependent on Indigenous or traditionally managed *ecosystems**. *Free, Prior Informed Consent (FPIC)** process should be used to define measures to maintain or enhance these values.

*Local communities** and/or *Indigenous Peoples**s should play a key role in proposing and identifying potential HCVs through a participative process. When evaluating sites and resources as HCV 5 it is necessary to consult widely and ensure that participatory mapping and social surveys include representatives from minority, vulnerable and marginalized groups. *Local communities** need to be involved in a consultative process and agree to decisions through an *FPIC** process. This means that any decision or consent derived should be made without coercion or intimidation, with all relevant information provided and prior to commencement of any damaging activities or operations. In addition to local consultation, experts, local authorities and NGOs can provide helpful information and context.

The importance of natural resources to *local communities** can be characterized by the intensity of use, length of use, quality of use and legitimacy of claims. The designation and maintenance of an HCV 5 site or resource is only one element of what should be a wider rights-based approach to responsible land management, including appropriate impact assessment, consultative processes and negotiation.

Element 1: Sites and resources fundamental for satisfying the basic necessities of *local communities (for livelihoods, health, nutrition, water, etc.):**

National or regional interpretations of this HCV element:	<i>Best Available Information</i>* for identifying occurrences of this interpretation:
Rivers, streams, their sources (e.g., springs, wetlands), and other sources of water for drinking, other daily use, or irrigation.	<i>Culturally appropriate* engagement*</i> with the <i>local communities</i> *. Survey Department Landuse or GIS maps.
Fisheries for subsistence in <i>local communities</i> * (not inclusive of poaching, wildlife hunting for non-local trade, or unsustainable harvest levels).	<i>Culturally appropriate* engagement*</i> with the <i>local communities</i> *.
Growing areas and plants used for subsistence or traditional medicine by <i>local communities</i> * (not inclusive of illegal logging or harvest).	<i>Culturally appropriate* engagement*</i> with the <i>local communities</i> *.
Other sites and resources from which <i>local communities</i> * satisfy basic needs, including sources for sustainable, legal levels of harvest of fuelwood, building materials.	<i>Culturally appropriate* engagement*</i> with the <i>local communities</i> *.
Sites and resources for sustainable levels of <i>NTFP</i> * cultivation, harvest, and related revenue generation by <i>local communities</i> *.	<i>Culturally appropriate* engagement*</i> with the <i>local communities</i> *.

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

National or regional interpretations of this HCV element:	<i>Best Available Information</i>* for identifying occurrences of this interpretation:
Rivers, streams, their sources (e.g., springs, wetlands), and other sources of water for drinking, other daily use, or irrigation.	<i>Culturally appropriate* engagement*</i> with the <i>Indigenous Peoples</i> *. Survey Department Landuse or GIS maps.
Hunting grounds and wildlife, and fisheries and fish, for subsistence (not inclusive of wildlife hunting for non-local trade, or unsustainable harvest levels).	<i>Culturally appropriate* engagement*</i> with the <i>Indigenous Peoples</i> *.
Growing areas and plants used for subsistence or traditional medicinal use (not inclusive of unsustainable harvest). Examples include wild honey and hive trees, fruits, nuts, yams, other wild plants.	<i>Culturally appropriate* engagement*</i> with the <i>Indigenous Peoples</i> *.
Other sites and resources from which <i>Indigenous People</i> * satisfy basic needs, including but not limited to: sources for sustainable harvest of fuelwood and	<i>Culturally appropriate* engagement*</i> with the <i>Indigenous Peoples</i> *.

building materials (e.g wattle, daub, thatch), caves used as domiciles, plants used for hunting and fishing.	
Sites and resources for sustainable levels of <i>NTFP</i> * cultivation, harvest, and related revenue generation by <i>Indigenous Peoples</i> *.	<i>Culturally appropriate* engagement* with the Indigenous Peoples*.</i>

B. Assessments for HCV 5

National or regionally appropriate methodologies and *Best Available Information** for assessments for HCV 5

National or regional methodologies for assessing occurrences of the HCV 5 interpretations:	<i>Best Available Information*</i> for assessing occurrences of these interpretations:
Conduct multi-stakeholder consultations between <i>local communities*</i> and <i>forest*</i> and local authorities to identify and protect specific locations in the <i>forest*</i> through a <i>culturally appropriate* engagement*</i>	<i>Culturally appropriate* engagement* with the local communities* and Indigenous Peoples*.</i>
Consider participatory mapping with <i>local communities*</i> and <i>Indigenous Peoples*</i> .	<i>Culturally appropriate* engagement* with the local communities* and Indigenous Peoples*.</i>
In addition to sites currently used by <i>Indigenous Peoples*</i> , assessments should consider areas that previously were important sources of HCV 5 values to <i>Indigenous Peoples*</i> .	<i>Culturally appropriate* engagement* with the local communities* and Indigenous Peoples*.</i>
Consider whether specific levels and practices of hunting, fishing, fuelwood harvest, <i>NTFP*</i> harvest, grazing, and other forest utilization are sustaining the resource, and also avoiding harm to biodiversity and other HCVs.	<i>Culturally appropriate* engagement* with the local communities* and Indigenous Peoples*.</i>

C. Strategies for Maintaining and Enhancing HCV 5

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

National or regional strategies for maintaining and/or enhancing the HCV 5 interpretations:	Best Available Information for management strategies for these interpretations:
Strategies to protect the community's and/or <i>Indigenous Peoples</i> * needs in relation to the <i>Management Unit</i> * are developed in cooperation with representatives and members of <i>local communities</i> * and <i>Indigenous Peoples</i> *.	<i>Culturally appropriate* engagement* with the local communities* and Indigenous Peoples*.</i>
For resources and values important to <i>Indigenous Peoples</i> *, ensure the <i>Indigenous Peoples</i> * are allowed free and safe access.	<i>Culturally appropriate* engagement* with the local communities* and Indigenous Peoples*.</i>
For sites and resources related to <i>Indigenous Peoples</i> *, strategies will need to be based on <i>FPIC</i> * and <i>engagement*</i> , and not assume that existing laws or practices recognize or respect <i>Indigenous Peoples</i> * or their rights.	<i>Culturally appropriate* engagement* with the local communities* and Indigenous Peoples*.</i>
For rivers, streams, and other water sources: See also the strategies at HCV 4.	<i>Culturally appropriate* engagement* with the local communities* and Indigenous Peoples*.</i>
Strategies do not include maintaining specific levels or practices of fuelwood harvest, <i>NTFP</i> * harvest, or other forest utilization that do not sustain the resource or that harm biodiversity or other HCVs.	<i>Culturally appropriate* engagement* with the local communities* and Indigenous Peoples*.</i>

D. Monitoring for HCV 5

Methodologies and *Best Available Information** for monitoring programs for HCV 5

National or regional methodologies for monitoring occurrences of the HCV 5 interpretations:	Best Available Information for monitoring occurrences of these interpretations:
<p>Monitoring conducted by the <i>local communities</i>* and the <i>Indigenous Peoples</i>*, or using methodologies otherwise developed in cooperation with the communities and the <i>Indigenous Peoples</i>* through <i>culturally appropriate engagement</i>*.</p>	<p><i>Culturally appropriate* engagement*</i> with the <i>local communities</i>* and <i>Indigenous Peoples</i>*.</p> <p>The following strategies can be adapted to monitor HCVs</p> <ol style="list-style-type: none"> 1. Regular monitoring patrols to maintain HCV area boundaries 2. Community interviews to assess company compliance with management plan/prescriptions. 3. Community interviews on collection patterns and level of resource dependence 4. Species/habitat surveys to assess abundance levels of collected <i>NTFPs</i>* 5. If <i>NTFPs</i>* are used for basic income – surveys on livelihood status can be conducted 6. Community interviews on collection intensity or evidence of external commercial collectors 7. Surveys of <i>NTFP</i>* species to quantify 8. Opportunistic observations of commercial collection by noncommunity members

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**.**

A. Interpretations of HCV 6, for HCV Identification

Sites, resources, *habitats** or *landscapes** which are significant at the national or provincial level are likely to have widely recognized historical, religious or spiritual importance and in many cases will have an official designation by the Sri Lankan government or international agencies (i.e.UNESCO). Occasionally, new sites or resources of extraordinary cultural significance may be discovered through exploration of sites for development (e.g. ancient caves, burial sites); these can qualify as HCV 6 based on expert and stakeholder opinion, without an official designation.

The significance, criticality and importance of sites, resources and *habitats** must be identified through *culturally appropriate** engagement with *Indigenous Peoples** and *local communities**.

Element 1: Sites, resources, *habitats and *landscapes** of global or national cultural, archaeological or historical significance:**

National or regional interpretations of this HCV element:	<i>Best Available Information</i>* for identifying occurrences of this interpretation:
World Heritage sites.	UNESCO World Heritage sites
Other internationally or nationally important cultural, archaeological, or historical sites, resources, <i>habitats</i> *, or <i>landscapes</i> *	Department of Archaeology. Consider also other literature, databases and following expert organizations. 1. Central Cultural Fund 2. Department of National Museums 3. Postgraduate Institute of Archology, Colombo 4. Royal Aseatic Society, Colombo

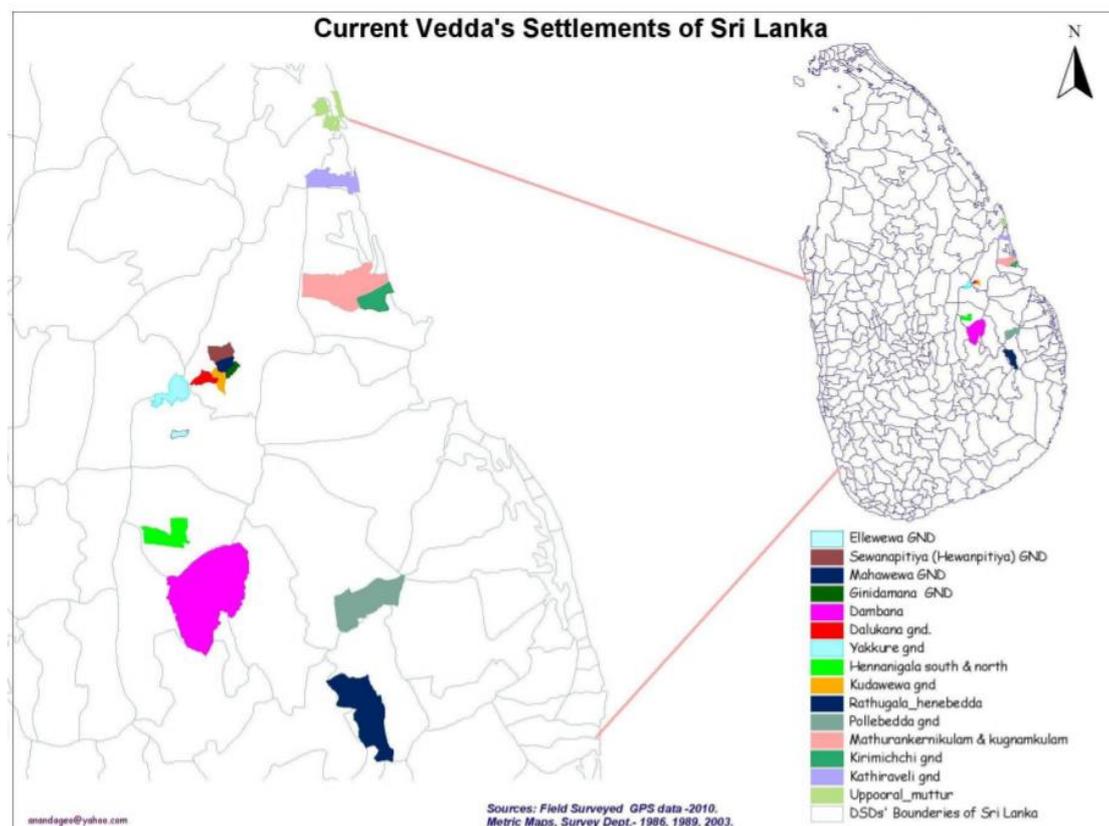
Element 2: Sites, resources, *habitats and *landscapes** of *critical** cultural, ecological, economic or religious/sacred importance for the traditional cultures of *local communities**:**

National or regional interpretations of this HCV element:	<i>Best Available Information</i>* for identifying occurrences of this interpretation:
Cemeteries, temples, and traditional religious sites.	<i>Culturally appropriate</i> * <i>engagement</i> * with the <i>local communities</i> *.
Rock formations, caves, rock carvings, special trees, and other sites, resources, <i>habitats</i> *, or <i>landscapes</i> * of cultural, ecological, economic, or religious/sacred importance to <i>local communities</i> *.	<i>Culturally appropriate</i> * <i>engagement</i> * with the <i>local communities</i> *.

Element 3: Sites, resources, *habitats and *landscapes** of *critical** cultural, ecological, economic or religious/sacred importance for the traditional cultures of *Indigenous Peoples**:**

Certain communities are so closely bound to the forest that it is highly likely that the *forests** are *critical** to their traditional cultural identity. Often *Indigenous Peoples** are confused with numerical minorities that are from minority religions and ethnicities. However *Indigenous Peoples** are widely different from mere ethnic or religious minorities and have a separate set of inalienable rights. Minorities in this sense are those who are numerically less than the majority people; but the indigenous community in this sense is those who are treated as unique people not subject to the modern civilization while at the same time follow their dominant culture.

In Sri Lanka we can find one such community, specially called 'Veddas or Wanniya-laeto('forest-dwellers')'. Sinhala-speaking Veddas are found primarily in the southeastern part of the country, especially in the vicinity of Bintenne in Uva District. There are also Sinhala-speaking Veddas who live in Anuradhapura District in the North Central Province. Another group, often termed East Coast Veddas, is found in coastal areas of the Eastern Province, between Batticaloa and Trincomalee. These Veddas have adopted Tamil. The Sinhala speaking East Coast Veddas, are called Panama Veddas. They live just south of Batticaloa.



The following references can be used to identify the locations and rights of indigenous communities in Sri Lanka.

1. Sri Lanka's Indigenous Wanniya-laeto: A Case History
2. Socio- Anthropological Research Project on Vedda Community in Sri Lanka
3. Indigenous People in Sri Lanka
4. Indigenous Communities in Sri Lanka: The Veddahs
5. The Veddas of Sri Lanka
6. The Rights of *Indigenous Peoples** In Sri Lanka
7. Veddas: The First People of Sri Lanka

8. Veddas - now only a household name

National or regional interpretations of this HCV element:	Best Available Information* for identifying occurrences of this interpretation:
Wild beehives and trees, caves used as burial sites, caves previously used as domiciles, carved stone food storage caches, hollow trees used as food caches, cave art.	<i>Culturally appropriate* engagement* with the Indigenous Peoples*.</i>
Other <i>forest*</i> sites and resources, <i>habitats*</i> , or <i>landscapes*</i> of cultural, ecological, economic, or religious/sacred importance to <i>Indigenous Peoples*</i> , including but not limited to plants, animals, and sites used for traditional ceremonies.	<i>Culturally appropriate* engagement* with the Indigenous Peoples*.</i>

B. Assessments for HCV 6

National or regionally appropriate methodologies and Best Available Information* for assessments for HCV 6:

National or regional methodologies for assessing occurrences of the HCV 6 interpretations:	Best Available Information for assessing occurrences of these interpretations:
Conduct multi-stakeholder consultations between <i>local communities*</i> and forest and local authorities to identify and protect specific locations in the <i>forest*</i> according to their traditional cultural, ecological, economic or religious importance.	<i>Culturally appropriate* engagement* with the Indigenous Peoples* and local communities*.</i>
For Interpretations for Elements 2 and 3, HCVs important to <i>local communities*</i> and <i>Indigenous Peoples*</i> : Consider interactive mapping with the <i>local communities*</i> and the <i>Indigenous Peoples*</i>	<i>Culturally appropriate* engagement* with the Indigenous Peoples* and local communities*.</i> An area that possesses values important for the cultural identity of a local community should be mapped using thematic maps with geographic coordinates, but original data collection and sketch mapping should involve <i>local communities*</i> in a participative fashion. This is necessary to confirm accuracy of maps and precise location of important sites. This system of mapping will reduce likelihood of bias or disagreements that may occur in the absence of a participative approach.
In addition to sites currently used by <i>Indigenous Peoples*</i> , assessments should consider areas that previously were important sources of HCV 6	<i>Culturally appropriate* engagement* with the Indigenous Peoples*.</i>

values to <i>Indigenous Peoples</i> *. (Per: Minority Rights, 2019)	
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C. Strategies for Maintaining and Enhancing HCV 6

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

National or regional strategies for maintaining and/or enhancing the HCV 6 interpretations:	Best Available Information* for management strategies for these interpretations:
For HCV occurrences related to <i>Indigenous Peoples</i> * and/or <i>local communities</i> *: Strategies to protect the cultural values are developed in cooperation with representatives and members of the <i>local communities</i> * and the <i>Indigenous Peoples</i> *.	<i>Culturally appropriate* engagement*</i> with the <i>Indigenous Peoples</i> *. Refer: 1. Socio- Anthropological Research Project on Vedda Community in Sri Lanka 2. The Rights of <i>Indigenous Peoples</i> * In Sri Lanka
For resources and values important to <i>Indigenous Peoples</i> *, ensure the <i>Indigenous Peoples</i> * are allowed free and safe access. (Per: Minority Rights, 2019)	<i>Culturally appropriate* engagement*</i> with the <i>Indigenous Peoples</i> *. Refer: 1. Socio- Anthropological Research Project on Vedda Community in Sri Lanka 2. The Rights of <i>Indigenous Peoples</i> * In Sri Lanka
For sites and resources related to <i>Indigenous Peoples</i> *, strategies will need to be based on FPIC and <i>engagement*</i> , and not assume that existing laws or practices recognize or respect <i>Indigenous Peoples</i> * or their rights.	<i>Culturally appropriate* engagement*</i> with the <i>Indigenous Peoples</i> *. 1. Socio- Anthropological Research Project on Vedda Community in Sri Lanka 2. The Rights of <i>Indigenous Peoples</i> * In Sri Lanka

D. Monitoring for HCV 6

National or regional methodologies for monitoring occurrences of the HCV 6 interpretations:	Best Available Information* for monitoring occurrences of these interpretations:
For HCV occurrences related to <i>local communities</i> *: Monitoring conducted by the <i>local communities</i> *, or using methodologies otherwise developed in cooperation with the communities through <i>culturally appropriate* engagement*</i> .	<i>Culturally appropriate* engagement*</i> with the <i>local communities</i> *. The following strategies can be adapted to monitor HCVs 1. Regular monitoring to ensure that the site has not been disturbed

	<ol style="list-style-type: none"> 2. Interviews with community leaders to determine if the site value has been maintained 3. Checking that workers are aware of the site value and location and the need to treat the area with respect
<p>For HCV occurrences related to <i>Indigenous Peoples</i>[*]: Monitoring conducted by the <i>Indigenous Peoples</i>[*], or using methodologies otherwise developed in cooperation with the <i>Indigenous Peoples</i>[*] through <i>culturally appropriate</i>[*] <i>engagement</i>[*].</p>	<p><i>Culturally appropriate</i>[*] <i>engagement</i>[*] with the <i>Indigenous Peoples</i>[*].</p> <p>The following strategies can be adapted to monitor HCVs</p> <ol style="list-style-type: none"> 4. Regular monitoring to ensure that the site has not been disturbed 5. Interviews with community leaders to determine if the site value has been maintained 6. Checking that workers are aware of the site value and location and the need to treat the area with respect

Additional references

- a. Guidance to Standard Development Groups Developing National High Conservation Value Frameworks (FSC-GUI-60-009 V1.0)
- b. Template for National High Conservation Value Frameworks (FSC-GUI-60-009a V1-0)
- c. HCV Guidance for Forest Managers (FSC-GUI-30-009 V1.0)

Annex H: Glossary of Terms

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

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

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

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

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

- *Local communities**
- *Indigenous Peoples**
- *Workers**
- *Forest** dwellers
- Neighbors
- Downstream landowners
- Local processors
- Local businesses
- *Tenure** and *use rights** holders, including landowners
- Organizations authorized or known to act on behalf of *affected stakeholders**, for example social and environmental NGOs, labor unions, etc. (Source: FSC-STD-01-001 V5-2).

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Critical: The concept of criticality or fundamentality in Principal 9 and HCVs relates to irreplaceability and to cases where loss or major damage to this HCV would cause serious prejudice or suffering to *affected stakeholders**. An *ecosystem service** is considered to be critical (HCV 4) where a disruption of that service is likely to cause, or poses a threat of, severe negative impacts on the welfare, health or survival of *local communities**, on the environment, on HCVs, or on the functioning of *significant infrastructure** (roads, dams, buildings etc.). The notion of criticality here refers to the importance and risk for natural resources and environmental and socio-economic values (Source: FSC-STD-01-001 V5-2).

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

Culturally appropriate [mechanisms]: Means/approaches for outreach to target groups that are in harmony with the customs, values, sensitivities, and ways of life of the target audience (Source: FSC-STD-60-004 V2-0).

Customary law: Interrelated sets of *customary rights** may be recognized as customary law. In some jurisdictions, customary law is equivalent to statutory law, within its defined area of competence and may replace the statutory law for defined ethnic or other social groups. In some jurisdictions customary law complements

statutory law and is applied in specified circumstances (Source: FSC-STD-01-001 V5-2, based on N.L. Peluso and P. Vandergeest. 2001. Genealogies of the political forest and customary rights in Indonesia, Malaysia and Thailand, Journal of Asian Studies 60(3):761–812).

Customary rights: Rights which result from a long series of habitual or customary actions, constantly repeated, which have, by such repetition and by uninterrupted acquiescence, acquired the force of a law within a geographical or sociological unit (Source: FSC-STD-01-001 V5-2).

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

Dispute: for the purpose of the IGI, this is an expression of dissatisfaction by any person or organization presented as a complaint to *The Organization**, relating to its management activities or its conformity with the FSC Principles and Criteria, where a response is expected (Source: FSC-STD-01-001 V5-2, based on FSC-PRO-01-005 V3-0 Processing Appeals).

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

- Affects the *legal** or *customary rights** of *Indigenous Peoples** and *local communities**;
- Where the negative impact of management activities is of such a *scale** that it cannot be reversed or mitigated;
- Physical violence;
- Destruction of property;
- Presence of military bodies;
- Acts of intimidation against *forest** *workers** and *stakeholders** (Source: FSC-STD-60-004 V2-0).

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

Economic viability: The capability of developing and surviving as a relatively independent social, economic or political unit. Economic viability may require but is not synonymous with profitability (Source: FSC-STD-01-001 V5-2, based on the definition provided on the website of the European Environment Agency).

Eco-regional: Large unit of land or water containing a geographically distinct assemblage of species, natural communities, and environmental conditions (Source: FSC-STD-60-004 V2-0, based on WWF Global 200. http://www.panda.org/about_our_earth/ecoregions/about/what_is_an_ecoregion/).

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

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

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

- provisioning services such as food, *forest** products and water;
- regulating services such as regulation of floods, drought, land degradation, air quality, climate and disease;
- supporting services such as soil formation and nutrient cycling; and
- cultural services and cultural values such as recreational, spiritual, religious and other non-material benefits (Source: FSC-STD-01-001 V5-2, based on R. Hassan, R. Scholes and N. Ash. 2005. Ecosystems and Human Well-being: Synthesis. The Millennium Ecosystem Assessment Series. Island Press, Washington DC).

Employment and Occupation: includes access to vocational training, access to employment and to particular occupations, and terms and conditions of employment (Source: FSC-STD-60-004 V2-0, based on International Labour Organization (ILO) Convention 111, 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 Impact Assessment (EIA): Systematic process used to identify potential environmental and social impacts of proposed projects, to evaluate alternative approaches, and to design and incorporate appropriate prevention, mitigation, management and monitoring measures (Source: FSC-STD-01-001 V5-2, based on Environmental impact assessment, guidelines for FAO field projects. Food and agriculture organization of the United Nations (FAO). Rome).

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

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

The actual worth attributed to these elements depends on human and societal perceptions (Source: FSC-STD-01-001 V5-2).

Externalities: The positive and negative impacts of activities on stakeholders that are not directly involved in those activities, or on a natural resource or the environment, which do not usually enter standard cost accounting systems, such that the market prices of the products of those activities do not reflect the full costs or benefits (Source: FSC-STD-01-001 V5-2).

Fair compensation: Remuneration that is proportionate to the magnitude and type of services rendered by another party or of the harm that is attributable to the first party (Source: FSC-STD-60-004 V2-0).

Fertilizer: Mineral or organic substances, most commonly N, 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).

Forced or compulsory labour: work or service exacted from any person under the menace of any penalty and for which the said person has not offered himself/ herself voluntarily (Source: FSC-STD-60-004 V2-0, based on International Labour Organization (ILO) Convention 29, Article 2.1).

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

Formal and informal workers organization: association or union of *workers**, whether recognized by law or by *The Organization** or neither, which have the aim of promoting *workers** rights and to represent *workers** in dealings with *The Organization** particularly regarding working conditions and compensation (Source: FSC-STD-60-004 V2-0).

Fragmentation: The process of dividing *habitat*s* into smaller patches, which results in the loss of original *habitat**, loss in *connectivity**, reduction in patch size, and increasing isolation of patches. *Fragmentation** is considered to be one of the single most important factors leading to loss of native species, especially in forested *landscapes**, and one of the primary causes of the present extinction crisis. In

reference to *Intact Forest Landscapes**, the *fragmentation** of concern is understood to be that caused by human industrial activities. (Source: 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).

Habitat: The place or type of site where an organism or population occurs (Source: FSC-STD-60-004 V2-0, based on the Convention on Biological Diversity (CBD), Article 2).

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

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

- Forest openings attributable to natural disturbances;
- Nesting sites;
- Small *wetlands**, bogs, fens;
- Ponds;
- Areas for procreation;
- Areas for feeding and shelter, including seasonal cycles of breeding;
- Areas for migration;
- Areas for hibernation (Source: FSC-STD-60-004 V2-0).

Hazardous work (in the context of child labour): any work which is likely to jeopardize children's physical, mental or moral health, should not be undertaken by anyone under the age of 18 years. Hazardous *child** labour is work in dangerous, or unhealthy conditions that could result in a *child** being killed or injured/maimed (often permanently) and/or made ill (often permanently) as a consequence of poor safety and health standards and working arrangements. In determining the type of hazard *child** labour referred to under (Article 3(d) of the Convention No 182, and in identifying where they exist, consideration should be given, inter alia, to

- Work which exposes children to physical, psychological or sexual abuse;
- Work underground, under water at dangerous heights or in confined spaces;
- Work with dangerous machinery, equipment and tools, or which involves the manual handling or transport of heavy loads;
- Work in unhealthy environment which may, for examples, expose children to hazardous substances, agents or processes, or to temperatures, noise levels, or vibrations damaging to their health;
- Work under particularly difficult conditions such as work for long hours or during the night or work where the *child** is unreasonably confined to the premises of the employer (Source: FSC-STD-60-004 V2-0, based on International Labour Organization (ILO), 2011: IPEC Mainstreaming Child labour concerns in education sector plans and Programmes, Geneva, 2011& ILO Handbook on Hazardous child labour, 2011).

Heavy work (in the context of child labour): refers to work that is likely to be harmful or dangerous to children's health (Source: FSC-STD-60-004 V2-0, based on FSC report on generic criteria and indicators based on International Labour Organization (ILO) Core Conventions principles, 2017).

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

- **HCV1:** Species Diversity. Concentrations of *biological diversity** including endemic species, and rare, *threatened or endangered** species, that are *significant** at global, regional or national levels.
- **HCV 2:** Landscape-level *ecosystems** and mosaics. *Intact Forest Landscapes**, large landscape-level *ecosystems** and *ecosystem** mosaics that are *significant** at global, regional or national levels, and that contain viable populations of the great majority of the naturally occurring species in natural patterns of distribution and abundance.
- **HCV 3:** *Ecosystems** and *habitats**. Rare, threatened, or endangered *ecosystems**, *habitats** or *refugia**.
- **HCV 4:** *Critical* ecosystem services**. Basic *ecosystem services** in *critical** situations, including *protection** of water catchments and control of erosion of vulnerable soils and slopes.
- **HCV 5:** Community needs. Sites and resources fundamental for satisfying the basic necessities of *local communities** or *Indigenous Peoples** (for example

for livelihoods, health, nutrition, water), identified through *engagement** with these communities or *Indigenous Peoples**.

- **HCV 6:** Cultural values. Sites, resources, habitats and *landscapes** of global or national cultural, archaeological or historical significance, and/or of *critical** cultural, *ecological**, economic or religious/sacred importance for the traditional cultures of *local communities** or *Indigenous Peoples**, identified through *engagement** with these *local communities** or *Indigenous Peoples** (Source: based on FSC-STD-01-001 V5-2).

High Conservation Value Areas: Zones and physical spaces which possess and/or are needed for the existence and maintenance of identified *High Conservation Values** (Source: FSC-STD-60-004 V2-0).

High grading: High grading is a tree removal practice in which only the best quality, most valuable timber trees are removed, often without regenerating new tree seedlings or removing the remaining poor quality and suppressed understory trees and, in doing so, degrading the ecological health and commercial value of the forest. High grading stands as a counterpoint to sustainable resource management (Source: FSC-STD-60-004 V2-0, based on Glossary of Forest Management Terms. North Carolina Division of Forest Resources. March 2009).

ILO Core (Fundamental) Conventions: these are labour standards that cover fundamental principles and rights at work: freedom of association and the effective recognition of the right to *collective bargaining**; the elimination of all forms of *forced or compulsory labour**; the effective abolition of *child** labour; and the elimination of *discrimination** in respect of *employment and occupation**. The eight Fundamental Conventions are:

- Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87)
- Right to Organise and Collective Bargaining Convention, 1949 (No. 98)
- Forced Labour Convention, 1930 (No. 29)
- Abolition of Forced Labour Convention, 1957 (No. 105)
- Minimum Age Convention, 1973 (No. 138)
- Worst Forms of Child Labour Convention, 1999 (No. 182)
- Equal Remuneration Convention, 1951 (No. 100)
- *Discrimination** (Employment and Occupation) Convention, 1958 (No. 111) (Source: FSC-STD-60-004 V2-0, based on FSC report on generic criteria and indicators based on International Labour Organization (ILO) Core Conventions principles, 2017).

ILO Declaration on Fundamental Principles and Rights at Work and its Followup, adopted by the International Labour conference at its Eighty-sixth Session, Geneva, 18th June 1998 (Annex revised 15 June 2010): is a resolute reaffirmation of ILO principles (art 2) which declares that all Members, even if they have not ratified the Conventions in question, have an obligation, arising from the very fact of membership in the organization, to respect, to promote and to realize, in *good faith** and in accordance with the Constitution, the principles concerning the fundamental rights which are the subject of those Conventions, namely:

- Freedom of association and the effective recognition of the right to *collective bargaining**;
- The elimination of all forms of *forced or compulsory labour**;
- The effective abolition of *child** labour; and

- The elimination of *discrimination** in respect of *employment and occupation** (Source: FSC-STD-60-004 V2-0, based on FSC report on generic criteria and indicators based on International Labour Organization (ILO) Core Conventions principles, 2017).

Indicator: A quantitative or qualitative variable which can be measured or described, and which provides a means of judging whether a *Management Unit** complies with the requirements of an *FSC Criterion**. *Indicators** and the associated thresholds thereby define the requirements for responsible *forest** management at the level of the *Management Unit** and are the primary basis of forest evaluation (Source: FSC-STD-60-004 V2-0).

Indigenous cultural landscapes: *Indigenous cultural landscapes** are living landscapes to which *Indigenous Peoples** attribute environmental, social, cultural and economic value because of their enduring relationship with the land, water, fauna, flora and spirits and their present and future importance to their cultural identity. An *Indigenous cultural landscape** is characterized by features that have been maintained through *long-term** interactions based on land-care knowledge, and adaptive livelihood practices. They are landscapes over which *Indigenous Peoples** exercise responsibility for stewardship (Source: FSC-STD-60-004 V2-0).

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

- The key characteristic or *Criterion** is self-identification as *Indigenous Peoples** at the individual level and acceptance by the community as their member;
- Historical continuity with pre-colonial and/or pre-settler societies;
- Strong link to territories and surrounding natural resources;
- Distinct social, economic or political systems;
- Distinct language, culture and beliefs;
- Form non-dominant groups of society;
- Resolve to maintain and reproduce their ancestral environments and systems as distinctive peoples and communities (Source: FSC-STD-01-001 V5-2, adapted from United Nations Permanent Forum on Indigenous, Factsheet 'Who are Indigenous Peoples' October 2007; United Nations Development Group, 'Guidelines on Indigenous Peoples' Issues' United Nations 2009, United Nations Declaration on the Rights of Indigenous Peoples, 13 September 2007).

Industrial activity: Industrial forest and resource management activities such as road building, mining, dams, urban development and timber harvesting (Source: FSC-STD-60-004 V2-0).

Infrastructure: In the context of *forest** management, roads, bridges, culverts, log landings, quarries, impoundments, buildings and other structures required in the course of implementing the *management plan** (Source: FSC-STD-60-004 V2-0).

Intact Forest Landscape: a territory within today's global extent of *forest** cover which contains forest and non-forest ecosystems minimally influenced by human economic activity, with an area of at least 500 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).

Intellectual property: Practices as well as knowledge, innovations and other creations of the mind (Source: FSC-STD-01-001 V5-2, based on the Convention on Biological Diversity (CBD), Article 8(j); and World Intellectual Property Organization. What is Intellectual Property? WIPO Publication No. 450(E)).

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

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

- *Conservation*^{*} organizations, for example environmental NGOs;
- Labor (rights) organizations, for example labor unions;
- Human rights organizations, for example social NGOs;
- Local development projects;
- Local governments;
- National government departments functioning in the region;
- FSC National Offices;
- Experts on particular issues, for example *High Conservation Values*^{*} (Source: FSC-STD-01-001 V5-2).

Internationally accepted scientific protocol: A predefined science-based procedure which is either published by an international scientific network or union, or referenced frequently in the international scientific literature (Source: FSC-STD-01-001 V5-2).

Lands and territories: For the purposes of the Principles and Criteria these are lands or territories that *Indigenous Peoples*^{*} or *local communities*^{*} have traditionally owned, or customarily used or occupied, and where access to natural resources is vital to the sustainability of their cultures and livelihoods (Source: FSC-STD-60-004 V2-0, based on World Bank safeguard OP 4.10 *Indigenous Peoples*^{*}, section 16 (a). July 2005.).

Landscape: A geographical mosaic composed of interacting *ecosystems*^{*} resulting from the influence of geological, topographical, soil, climatic, biotic and human interactions in a given area (Source: FSC-STD-60-004 V2-0, based on International Union for Conservation of Nature (IUCN). Glossary definitions as provided on IUCN website).

Landscape values: Landscape values can be visualized as layers of human perceptions overlaid on the physical *landscape*^{*}. Some landscape values, like economic, recreation, subsistence value or visual quality are closely related to physical *landscape*^{*} attributes. Other *landscape*^{*} values such as intrinsic or spiritual value are more symbolic in character and are influenced more by individual perception or social construction than physical *landscape*^{*} attributes (Source: FSC-STD-60-004 V2-0, based on website of the Landscape Value Institute).

Legal: In accordance with primary legislation (national or local laws) or secondary legislation (subsidiary regulations, decrees, orders, etc.). 'Legal' also includes rule-based decisions made by legally competent agencies where such decisions flow

directly and logically from the laws and regulations. Decisions made by legally competent agencies may not be legal if they do not flow directly and logically from the laws and regulations and if they are not rule-based but use administrative discretion (Source: FSC-STD-01-001 V5-2).

Legally competent: Mandated in law to perform a certain function (Source: FSC-STD-01-001 V5-2).

Legal registration: National or local *legal** license or set of permissions to operate as an enterprise, with rights to buy and sell products and/or services commercially. The license or permissions can apply to an individual, a privately-owned enterprise or a publicly-owned corporate entity. The rights to buy and sell products and/or services do not carry the obligation to do so, so *legal** registration applies also to Organizations operating a *Management Unit** without sales of products or services; for example, for unpriced recreation or for conservation of biodiversity or habitat (Source: FSC-STD-01-001 V5-2).

Light work: *national laws** or regulations may permit the employment or work of persons 13 to 15 years of age on light work which is- a) not likely to be harmful to their health or development; and b) not such as to prejudice their attendance at school, their participation in vocational orientation or training programmes approved by the competent authority or their capacity to benefit from the instruction received (Source: FSC-STD-60-004 V2-0, based on International Labour Organization (ILO) 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).

National laws: The whole suite of primary and secondary laws (acts, ordinances, statutes, decrees), which is applicable to a national territory, as well as secondary regulations, and tertiary administrative procedures (rules / requirements) that derive their authority directly and explicitly from these primary and secondary laws (Source: FSC-STD-01-001 V5-2).

Native species: Species, subspecies, or lower taxon, occurring within its natural range (past or present) and dispersal potential (that is, within the range it occupies naturally or could occupy without direct or indirect introduction or care by humans) (Source: FSC-STD-01-001 V5-2, based on Convention on Biological Diversity (CBD). Invasive Alien Species Programme. Glossary of Terms as provided on CBD website).

Natural conditions/native ecosystem: For the purposes of the Principles and Criteria and any applications of *restoration** techniques, terms such as 'more *natural conditions**', '*native ecosystem**' provide for managing sites to favor or *restore** *native species** and associations of *native species** that are typical of the locality, and for managing these associations and other *environmental values** so that they form *ecosystems** typical of the locality. Further guidelines may be provided in FSC Forest Stewardship Standards (Source: FSC-STD-01-001 V5-2).

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

'*Natural forest**' includes the following categories:

- *Forest** affected by harvesting or other disturbances, in which trees are being or have been regenerated by a combination of natural and artificial regeneration with species typical of *natural forests** in that site, and where many of the above-ground and below-ground characteristics of the natural forest are still present. In boreal and north temperate *forests** which are

naturally composed of only one or few tree species, a combination of natural and artificial regeneration to regenerate *forest** of the same *native species**, with most of the principal characteristics and key elements of *native ecosystems** of that site, is not by itself considered as conversion to plantations;

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

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

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

FSC has not developed quantitative thresholds between different categories of *forests** in terms of area, density, height, etc. FSC Forest Stewardship Standards may provide such thresholds and other guidelines, with appropriate descriptions or examples. Pending such guidance, areas dominated by trees, mainly of *native species**, may be considered as *natural forest**.

Thresholds and guidelines may cover areas such as:

- Other vegetation types and non-*forest** communities and *ecosystems** included in the *Management Unit**, including grassland, bushland, *wetlands**, and open woodlands;
- Very young pioneer or colonizing regeneration in a primary succession on new open sites or abandoned farmland, which does not yet contain many of the principal characteristics and key elements of *native ecosystems**. This may be considered as *natural forest** through ecological progression after the passage of years;
- Young natural regeneration growing in *natural forest** areas may be considered as *natural forest**, even after logging, clear-felling or other disturbances, since many of the principal characteristics and key elements of *native ecosystems** remain, above-ground and below-ground;
- Areas where deforestation and *forest** degradation have been so severe that they are no longer 'dominated by trees' may be considered as non-*forest**, when they have very few of the principal above-ground and below-ground characteristics and key elements of *natural forests**. Such extreme degradation is typically the result of combinations of repeated and excessively heavy logging, grazing, farming, fuelwood collection, hunting, fire, erosion, mining, settlements, *infrastructure**, etc. FSC Forest Stewardship Standards may help to decide when such areas should be excised from the *Management Unit**, should be restored towards more *natural conditions**, or may be converted to other land uses (Source: FSC-STD-01-001 V5-2).

Natural Hazards: disturbances that can present *risks** to social and *environmental values** in the *Management Unit** but that may also comprise important *ecosystem*

*functions**; examples include drought, flood, fire, landslide, storm, avalanche, etc (Source: FSC-STD-60-004 V2-0).

Non-timber forest products (NTFP): All products other than timber derived from the *Management Unit** (Source: FSC-STD-01-001 V5-2).

Objective: The basic purpose laid down by *The Organization** for the *forest** enterprise, including the decision of policy and the choice of means for attaining the purpose (Source: FSC-STD-60-004 V2-0, based on F.C. Osmaston. 1968. *The Management of Forests*. Hafner, New York; and D.R. Johnston, A.J. Grayson and R.T. Bradley. 1967. *Forest Planning*. Faber & Faber, London).

Obligatory code of practice: A manual or handbook or other source of technical instruction which *The Organization** must implement by law (Source: FSC-STD-01-001 V5-2).

Occupational accident: An occurrence arising out of, or in the course of, work which results in fatal or non-fatal injury (Source: FSC-STD-01-001 V5-2, based on International Labour Organization (ILO). Bureau of Library and Information Services. ILO Thesaurus as provided on ILO website).

Occupational disease: Any disease contracted as a result of an exposure to *risk** factors arising from work activity (Source: FSC-STD-01-001 V5-2, based on International Labour Organization (ILO). Bureau of Library and Information Services. ILO Thesaurus as provided on ILO website).

Occupational injuries: Any personal injury, disease or death resulting from an occupational accident (Source: FSC-STD-01-001 V5-2, based on International Labour Organization (ILO). Bureau of Library and Information Services. ILO Thesaurus as provided on ILO website).

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

Peatland: Is constituted by flooded and soggy areas, with large accumulations of organic material, covered by a layer of poor vegetation associated with a certain degree of acidity, and which presents a characteristic amber color (Source: FSC-STD-60-004 V2-0, based on Aguilar, L. 2001. *About Fishermen, Fisherwomen, Oceans and tides*. IUCN. San Jose (Costa Rica)).

Pesticide: Any substance or preparation prepared or used in protecting plants or wood or other plant products from pests; in controlling pests; or in rendering such pests harmless. This definition includes insecticides, rodenticides, acaricides, molluscicides, larvaecides, fungicides and herbicides (Source: FSC-STD-01-001 V5-2).

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

- Areas which would initially have complied with this definition of ‘plantation’ but which, after the passage of years, contain many or most of the principal characteristics and key elements of *native ecosystems**, may be classified as *natural forests**.
- Plantations managed to *restore** and enhance biological and *habitat** diversity, structural complexity and *ecosystem functionality** may, after the passage of years, be classified as natural forests.
- Boreal and north temperate *forests** which are naturally composed of only one or few tree species, in which a combination of natural and artificial regeneration is used to regenerate *forest** of the same *native species**, with most of the principal characteristics and key elements of *native ecosystems** of that site, may be considered as *natural forest**, and this regeneration is not by itself considered as conversion to *plantations** (Source: FSC-STD-01-001 V5-2).

Precautionary approach: An approach requiring that when the available information indicates that management activities pose a threat of severe or irreversible damage to the environment or a threat to human welfare, *The Organization** will take explicit and effective measures to prevent the damage and avoid the *risks** to welfare, even when the scientific information is incomplete or inconclusive, and when the vulnerability and sensitivity of *environmental values** are uncertain (Source: FSC-STD-01-001 V5-2, based on Principle 15 of Rio Declaration on Environment and Development, 1992, and Wingspread Statement on the Precautionary Principle of the Wingspread Conference, 23–25 January 1998).

Pre-harvest [condition]: The diversity, composition, and structure of the *forest** or plantation prior to felling timber and appurtenant activities such as road building (Source: FSC-STD-60-004 V2-0).

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

Protection: See definition of *Conservation** (Source: FSC-STD-60-004 V2-0).

Protection Area: See definition of Conservation Zone (Source: FSC-STD-60-004 V2-0).

Publicly available: In a manner accessible to or observable by people generally (Source: FSC-STD-60-004 V2-0, based on Collins English Dictionary, 2003 Edition).

Rare species: Species that are uncommon or scarce, but not classified as threatened. These species are located in geographically restricted areas or specific *habitats**, or are scantily scattered on a large scale. They are approximately equivalent to the IUCN (2001) category of Near Threatened (NT), including species that are close to qualifying for, or are likely to qualify for, a threatened category in the near future. They are also approximately equivalent to imperiled species (Source: FSC-STD-60-004 V2-0, based on International Union for Conservation of Nature (IUCN). 2001. IUCN Red List Categories and Criteria: Version 3.1. IUCN Species Survival Commission. IUCN. Gland, Switzerland and Cambridge, UK).

Ratified: The process by which an international law, convention or agreement (including multilateral environmental agreement) is legally approved by a national legislature or equivalent *legal** mechanism, such that the international law, convention

or agreement becomes automatically part of national law or sets in motion the development of national law to give the same *legal** effect (Source: FSC-STD-01-001 V5-2).

Reasonable: Judged to be fair or appropriate to the circumstances or purposes, based on general experience (Source: FSC-STD-60-004 V2-0, based on Shorter Oxford English Dictionary).

Refugia: An isolated area where extensive changes, typically due to changing climate or by disturbances such as those caused by humans, have not occurred and where plants and animals typical of a region may survive (Source: FSC-STD-60-004 V2-0, based on Glen Canyon Dam, Adaptive Management Program Glossary as provided on website of Glen Canyon Dam website).

Representative Sample Areas: Portions of the *Management Unit** delineated for the purpose of conserving or restoring viable examples of an *ecosystem** that would naturally occur in that geographical region (Source: FSC-STD-60-004 V2-0).

Resilience: The ability of a system to maintain key functions and processes in the face of stresses or pressures by either resisting or adapting to change. Resilience can be applied to both ecological systems and social systems (Source: FSC-STD-60-004 V2-0, based on International Union for Conservation of Nature (IUCN) World Commission on Protected Areas (IUCN-WCPA). 2008. Establishing Marine Protected Area Networks – Making it Happen. Washington D.C.: IUCN-WCPA National Oceanic and Atmospheric Administration and The Nature Conservancy.).

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

*The Organization** is not necessarily obliged to restore those *environmental values** that have been affected by factors beyond the control of *The Organization**, for example by natural disasters, by climate change, or by the legally authorized activities of third parties, such as public *infrastructure**, mining, hunting or settlement. FSC-POL-20-003 The Excision of Areas from the Scope of Certification describes the processes by which such areas may be excised from the area certified, when appropriate (Source: FSC-STD-01-001 V5-2).

*The Organization** is also not obliged to restore *environmental values** that may have existed at some time in the historic or pre-historic past, or that have been negatively affected by previous owners or organizations. However, *The Organization** is expected to take reasonable measures to mitigate, control and prevent environmental degradation which is continuing in the *Management Unit** as a result of such previous impacts (Source: FSC-STD-01-001 V5-2).

Riparian zone: Interface between land and a *water body**, and the vegetation associated with it (Source: FSC-STD-60-004 V2-0).

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

Scale: A measure of the extent to which a management activity or event affects an *environmental value** or a *Management Unit**, in time or space. An activity with a small or low spatial scale affects only a small proportion of the *forest** each year, an activity with a small or low temporal scale occurs only at long intervals (Source: FSC-STD-01-001 V5-2).

Scale, intensity and risk: See individual definitions of the terms 'scale', 'intensity', and 'risk' (Source: FSC-STD-60-004 V2-0).

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

- A designation, classification or recognized *conservation** status, assigned by an international agency such as IUCN or Birdlife International;
- A designation by national or regional authorities, or by a responsible national *conservation** organization, on the basis of its concentration of biodiversity;
- A voluntary recognition by the manager, owner or *The Organization**, on the basis of available information, or of the known or suspected presence of a significant biodiversity concentration, even when not officially designated by other agencies.

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

Silviculture: The art and science of controlling the establishment, growth, composition, health and quality of *forests** and woodlands to meet the targeted diverse needs and values of landowners and society on a sustainable basis (Source: FSC-STD-01-001 V5-2, based on Nieuwenhuis, M. 2000. Terminology of Forest Management. IUFRO World Series Vol. 9. IUFRO 4.04.07 SilvaPlan and SilvaVoc).

Stakeholder: See definitions for 'affected stakeholder' and 'interested stakeholder' (Source: FSC-STD-01-001 V5-2).

Tenure: Socially defined agreements held by individuals or groups, recognized by *legal** statutes or customary practice, regarding the 'bundle of rights and duties' of ownership, holding, access and/or usage of a particular land unit or the associated resources there within (such as individual trees, plant species, water, minerals, etc.) (Source: FSC-STD-01-001 V5-2, based on International Union for Conservation of Nature (IUCN). Glossary definitions provided on IUCN website).

Threat: An indication or warning of impending or likely damage or negative impacts (Source: FSC-STD-60-004 V2-0, based on Oxford English Dictionary).

Threatened species: Species that meet the IUCN (2001) criteria for Vulnerable (VU), Endangered (EN) or Critically Endangered (CR), and are facing a high, very high or extremely high *risk** of extinction in the wild. These categories may be re-interpreted

for FSC purposes according to official national classifications (which have *legal** significance) and to local conditions and population densities (which should affect decisions about appropriate conservation measures) (Source: FSC-STD-60-004 V2-0, based on International Union for Conservation of Nature (IUCN). 2001. IUCN Red List Categories and Criteria: Version 3.1. IUCN Species Survival Commission. IUCN. Gland, Switzerland and Cambridge, UK).

Timber harvesting level: The actual harvest quantity executed on *the Management Unit**, tracked by either volume (e.g. cubic meters or board feet) or area (e.g. hectares or acres) metrics for the purpose of comparison with calculated (maximum) allowable harvest levels (Source: FSC-STD-60-004 V2-0).

Timely manner: As promptly as circumstances reasonably allow; not intentionally postponed by *The Organization**; in compliance with *applicable laws**, contracts, licenses or invoices (Source: FSC-STD-60-004 V2-0).

Traditional Knowledge: Information, know-how, skills and practices that are developed, sustained and passed on from generation to generation within a community, often forming part of its cultural or spiritual identity (Source: FSC-STD-60-004 V2-0, based on the definition by the World Intellectual Property Organization (WIPO). Glossary definition as provided under Policy / Traditional Knowledge on the WIPO website).

Traditional peoples: Traditional peoples are social groups or peoples who do not self-identify as indigenous and who affirm rights to their lands, *forests** and other resources based on long established custom or traditional occupation and use (Source: FSC-STD-60-004 V2-0, Forest Peoples Programme (Marcus Colchester, 7 October 2009).

Transaction verification: Verification by certification bodies and/or Accreditation Services International (ASI) that FSC output claims made by certificate holders are accurate and match with the FSC input claims of their trading partners (Source: FSC-STD-40-004 V3-0).

Uphold: To acknowledge, respect, sustain and support (Source: FSC-STD-01-001 V5-2).

Use rights: Rights for the use of resources of the Management Unit that can be defined by local custom, mutual agreements, or prescribed by other entities holding access rights. These rights may restrict the use of particular resources to specific levels of consumption or particular harvesting techniques (Source: FSC-STD-01-001 V5-2).

Vast majority: 80% of the total area of *Intact Forest Landscapes** within the *Management Unit** as of January 1, 2017. The *vast majority** also meets or exceeds the minimum definition of *Intact Forest Landscape** (Source: FSC-STD-60-004 V2-0).

Verifiable targets: Specific goals, such as desired future *forest** conditions, established to measure progress towards the achievement of each of the *management objectives**. These goals are expressed as clear outcomes, such that their attainment can be verified and it is possible to determine whether they have been accomplished or not (Source: FSC-STD-60-004 V2-0).

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

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

- Hazardous waste, including chemical waste and batteries;
- Containers;
- Motor and other fuels and oils;
- Rubbish including metals, plastics and paper; and
- Abandoned buildings, machinery and equipment (Source: FSC-STD-60-004 V2-0).

Water bodies (including water courses): Seasonal, temporary, and permanent brooks, creeks, streams, rivers, ponds, and lakes. Water bodies include riparian or wetland systems, lakes, swamps, bogs and springs (Source: FSC-STD-60-004 V2-0).

Wetlands: Transitional areas between terrestrial and aquatic systems in which the water table is usually at or near the surface or the land is covered by shallow water (Source: FSC-STD-60-004 V2-0, based on Cowardin, L.M., Carter, V., Golet, F.C., Laroe, E.T. 1979. Classification of Wetlands and Deepwater Habitats of the United States. DC US Department: Washington).

Under the Ramsar Convention, wetlands can include tidal mudflats, natural ponds, marshes, potholes, wet meadows, bogs, *peatlands**, freshwater swamps, mangroves, lakes, rivers and even some coral reefs (Source: FSC-STD-60-004 V2-0, based on International Union for Conservation of Nature (IUCN), No Date, IUCN Definitions – English).

Workers: All employed persons including public employees as well as ‘self-employed’ persons. This includes part-time and seasonal employees, of all ranks and categories, including laborers, administrators, supervisors, executives, contractor employees as well as self-employed contractors and sub-contractors (Source: FSC-STD-60-004 V2-0, based on International Labor Organization (ILO) Convention 155, Occupational Safety and Health Convention, 1981).

Workers’ organization: any organization of *workers** for furthering and defending the interest of *workers** (adapted from ILO Convention 87, Article 10). It is important to note that rules and guidance on composition of workers’ organization vary from country to country, especially in relation to those who are considered as rank and file members, as well those who are deemed to have power to “hire and fire”. Workers’ organizations tend to separate association between those who can “hire and fire” and those who cannot (Source: FSC-STD-60-004 V2-0, based on report on generic criteria and indicators based on International Labour Organization (ILO) Core Conventions principles, 2017).

Worst forms of *child labour:** comprises a) all forms of slavery or practices similar to slavery, such as the sale and trafficking of children, debt bondage and serfdom and forced labour, including forced or compulsory recruitment of children for use in armed conflict; b) the use, procuring or offering of a *child** for prostitution, for the production of pornography or for pornographic performance; c) the use, procuring or offering of a *child** for illicit activities, in particular for production and trafficking of drugs as defined

in the relevant international treaties; d) work which, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morals of children (Source: FSC-STD-60-004 V2-0, based on International Labour Organization (ILO) Convention 182, Article 3).



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