



Forest Stewardship Council®



The FSC Forest Stewardship Standard for Smallholders in Thailand

FSC-STD-RAP-THA-01-2024 Plantations EN

Version for the pilot test in Thailand

Photo credit

From left to right:

Photo 1: Eucalyptus farm
(Thesis Budiarto)

Photo 2: Rubber trees
(Thesis Budiarto)

Photo 3: Smallholder
(Thesis Budiarto)

NOTE ON THIS ENGLISH VERSION:

This is the official version of the Forest Stewardship Standard that is approved by FSC International, and it is available at <https://connect.fsc.org/document-centre>. 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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A Preface

A.1 Descriptive statement of the Forest Stewardship Council (FSC)

(Informative section)

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

FSC is an international organization that provides a system for voluntary accreditation and independent third-party certification. FSC sets standards for the accreditation of Conformity Assessment Bodies (also known as Certification Bodies) that certify conformance with FSC's standards. In addition, FSC sets the standard for what are considered well managed forests that are environmentally appropriate, socially beneficial, and economically viable through the International Principles, Criteria and Indicators that are then adapted to the individual country level. This system allows certificate holders to market their products and services as FSC certified.

A.2 Development of a Regional Forest Stewardship Standard (RFSS) for Smallholders

(Informative section)

The FSC Regional Office in the Asia Pacific region undertook the development of a standard that would apply specifically to the certification needs of millions of smallholders within that region. Typically, these smallholders have limited capacity and their operations have very low impact as single management units (MUs).

The FSC Regional Forest Stewardship Standard (RFSS) for Smallholders (FSC-STD-RAP-01-2021) was developed to provide realistic, achievable Indicators relevant to the circumstances of these smallholders for their management units in the Asia-Pacific region, written in simple language that can be understood and met by the smallholder. It sets out the required elements against which FSC accredited Certification Bodies evaluate the forest management practices of smallholders within the scope (see Sections A.3 and C below) of the standard.

Development of the RFSS was led by the Policy and Standards Manager of the FSC Asia-Pacific Regional office. The standard was developed by a regional chamber-balanced Technical Advisory Group, consisted of 3 members from each of the four participating countries (India, Indonesia, Thailand and Vietnam) with one person representing each chamber. At least one of the members from each country, and in some cases more than one, served on their country's SDG to maintain communications at that level. The committee members were assisted by a standard development consultant.

Development of the RFSS was supported strongly by the FSC Community and Family Forests Program team and the Performance and Standards Unit (PSU) in Bonn and responds to direction from FSC members and Goal 2.4 in the FSC Global Strategy, 2021-2026.

The RFSS was approved by the Policy and Standards Committee (PSC) of the FSC Board of Directors in December 2020.

A.3 Application of the Regional Forest Stewardship Standard in Thailand.

(Normative section)

This standard is for use by smallholders in Thailand. It is an adaptation of the approved RFSS and is developed to pilot test the indicators in the specific circumstances in Thailand.

As defined in the approved RFSS, it is applicable for all smallholders who own or manage individual units of plantations including woodlots, orchards, or agroforestry in block, linear or strip form that are less than 20 hectares in size. This includes boundary trees or small groups of trees (see the scope table in Section C below). Smallholders also include community producers, including Indigenous or others who fulfil the criteria for small size (as above), or a cooperative or community which owns, manages and uses a forest where less than 20 hectares has been allocated to each member or family. Smallholders may be part of groups.

This standard is for rough wood, and Non-Timber Forest Products (NTFP) from plantations as listed in FSC-STD-40-004a V2-1. NTFP include latex rubber, seeds, fruits, nuts, honey and other edible products, resins and oils, rattan, bamboo and other products from smallholder's plantations. NTFP-specific indicators are developed in the following FSC Criteria – 1.3, 5.2, 6.1, 6.6, 7.1, 7.2, 8.5 and 10.7.

Smallholders or groups of smallholders including NTFPs in their certification scope shall conform with all the indicators in this standard and the applicable requirements of the respective national forest stewardship standard. Where specific NTFP indicators exist, the smallholder shall conform with them in addition.

A.4 Application of this standard for smallholders in Thailand within the Thailand FSS

(Normative section)

The Forest Stewardship Standard (FSS) for Thailand (FSC-STD-THA-01-2024 V1-0) is applicable for all sizes and types of forest MUs in Thailand, except those smaller than 20 ha. Some indicators apply only to large MUs (units of 100 ha or larger) and are identified as “Not applicable for SLIMF” in the FSS. Other indicators within the FSS apply only to “Small or Low Intensity Managed Forests” (SLIMF) which are defined as MUs up to 100 ha or within intensity thresholds specified in the FSS.

This smallholder standard is applicable to very small MUs that are less than 20 ha. Further details are outlined in the next section of the standard.

A.5 Terminology

(Normative section)

In this standard, a “smallholder” is an individual, family or government, who owns, manages, or uses plantation forests which are less than 20 hectares in size. It also includes a cooperative or a community which owns, manages and uses a plantation forest where less than 20 hectares has been allocated to each member or family.

Smallholder may also include *community producers*, including Indigenous or others who fulfil the criteria for small size (as above), and meet the requirements above. In Thailand these may include government social forestry programs including roadside plantations, block plantations, village forest, and community forest.

Smallholders may also be known by various other names – for example, woodlot owners, farmers, agriculturists, small non-industrial private forest owners, small forest enterprises,

community forestry operations, and non-timber forest product (NTFP) harvesters. Smallholders produce a wide variety of timber, non-timber and non-wood products.

Similarly, the smallholder's forest is also known by various names – for example, woodlots, plantations, tree farms, etc. In some countries, forests only refer to natural forests. For the purposes of this Standard, reference to “smallholder's forest” is used consistently to refer to all elements outlined in the scope table in Section C below. The term “smallholder's forest” is defined in the Glossary.

B Version of the standard

(Normative section)

FSC-STD-RAP-THA-01-2024. The FSC Forest Stewardship Standard for Smallholders in Thailand (version for pilot testing).

C Scope

(Normative section)

This standard shall be applied for the following scope:

Geographic region	Thailand.
Forest types	Plantations, including woodlots, orchards, farm-forestry or agroforestry in block, linear or strip form. This includes boundary trees or small groups of trees.
Ownership types	Public and private
Management scale categories (according to section 6 of FSC-STD-60-002)	Less than 20 hectares
Forest products (according to FSC-STD-40-004a)	Rough wood NTFPs, including latex rubber, seeds, fruits, nuts, honey and other edible products, resins and oils, rattan, bamboo and others

This standard does not apply to any rough wood or NTFP from natural forests. It does not include any short-rotation agricultural crops which are primarily grown while the canopy is still open.

D References

(Informative section)

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

FSC-STD-THA-01-2024	<i>The FSC Forest Stewardship Standard for Thailand</i>
FSC-POL-01-004	<i>Policy for the Association of Organizations with FSC</i>
FSC-POL-20-003	<i>The Excision of Areas from the Scope of Certification</i>
FSC-POL-30-001	<i>FSC Pesticides Policy</i>
FSC-POL-30-401	<i>FSC Certification and the ILO Conventions</i>
FSC-POL-30-602	<i>FSC Interpretation on GMOs (Genetically Modified Organisms)</i>
FSC-STD-01-002	<i>Glossary of Terms</i>
FSC-STD-01-003	<i>SLIMF Eligibility Criteria</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-DIR-20-007	<i>FSC Directive on Forest Management Evaluations</i>
FSC-GUI-60-005	<i>Promoting Gender Equality in National Forest Stewardship Standards</i>

E Explanatory Notes

(Normative section)

E.1 Note on the content of this standard for smallholders in Thailand.

The indicators in this standard for Thailand are taken from the RFSS without change. An explanation of the development of the indicators is provided in the RFSS.

Applicability Notes are provided for a number of Principles, Criteria and Indicators to explain if and how they are applicable to smallholders.

Explanatory Notes are provided throughout the Standard to assist smallholders, group managers, certificate holders, auditors and other readers to interpret the requirements. Some important explanations are also provided here.

Five Annexes are included in this Standard as Guidance. They are either copied directly from, or adapted, from Annexes in the FSS. Some Annexes in the FSS are not included here as they are very unlikely to have any relevance for smallholders. They include annexes related to, *conservation area network* conceptual diagram, conceptual framework for planning and monitoring, monitoring requirements for large units, and list of *rare and threatened species* in the country or region. If guidance is required on these matters, reference can be made to the Annexes in the FSS.

The Applicability Notes, Explanatory Notes and Annexes are non-normative. They all provide guidance to smallholders and their supporting organizations, auditors and interested readers.

Note: The non-normative status of annexes of this standard will be tested through the upcoming pilot test and might be changed (to partly or completely normative status), depending on the outcomes.

Verbal forms for the expression of provisions

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

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

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

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

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

E.2 Who is required to meet the Indicators?

In many of the indicators, the obligation to take action to meet the Indicator requirement falls directly on the smallholder. This includes all Indicators that relate to compliance with laws (Principle 1), workers’ rights (Principle 2), implementation of practices to protect the environment (Principles 6 and 9), management of the forest (Principle 10) and others.

It is recognized that some Indicator requirements in this standard will likely be beyond the capacity of an individual smallholder to meet on his or her own without help from a larger organization or external individuals for the very small area of land that the smallholder manages.

In these situations, the Indicator is written so that the smallholder can receive support and assistance from a group manager or an external body such as an NGO, a purchaser or a government agency working to assist the smallholder to undertake the actions necessary to meet the Indicator. These Indicators include those related to writing policies, procedures and commitments (Indicators 1.6.1, 1.7.1, 1.7.3, 2.6.1, 4.6.1, 8.5.1); keeping records (Indicators 1.6.3, 2.3.3, 2.6.3, 3.3.2, 4.6.2, 5.2.3, 8.5.2); identifying and consulting with Indigenous Peoples and local communities or stakeholders (Indicators 3.1.2, 3.2.1, 3.2.4, 3.3.1, 3.5.1, 4.1.2, 4.1.3, 4.1.4, 4.2.1, 4.2.3, 7.6.1, 9.2.2, 9.4.2); conserving native forests (Indicators 6.5.1, 6.5.2 and 6.5.3) and planning and monitoring (Indicators 7.3.1, 7.4.1, 8.1.1, 8.3.1).

A small number of indicators allow external entities to carry out work to assist the smallholder to meet the Indicator requirement. This includes indicators that require large-scale assessments (Indicators 3.1.1, 3.1.2, 4.1.1, 6.1.1, 6.4.1, 9.1.1, 9.2.1) that are beyond the capacity of individual smallholders and are undertaken at scales beyond the smallholder's forest but in the smallholder's location.

In some Indicators, a “*named representative*” can meet the requirement on behalf of the smallholder. These include indicators that require developing policies or keeping records (Indicators 1.6.3, 1.7.2, 1.7.3, 2.6.1, 2.6.3, 4.6.2, 7.1.1, 10.6.2, 10.7.3 and 10.7.4).

In all these above indicators, work can be undertaken by an individual, a group manager or an external organization to assist the smallholder to meet the requirement but the smallholder needs to be able to demonstrate an awareness of the work and to show that he or she is taking action if the policies, assessments and the Indicators require.

E.3 What activities do the Indicators in this standard apply to?

The indicators apply to the smallholder's forestry operations and trees on his or her land and/or land they have authorized use rights from government or other entities. The indicators apply to the production of wood and non-timber forest product from the certified units. They do not apply to farming of short rotation agricultural or animal crops on non-forest land within the holding. This is a standard for forest management, not a farming certification standard. In some situations, farming or agroforestry where trees and agricultural crops are growing together will be occurring within the forest.

E.4 Are all Principles and Criteria and IGI applicable?

All 10 FSC Principles are applicable to smallholders and all are included in this Standard. All 70 Criteria in the FSC international standard Version 5-2 are also included.

The words “scale, intensity and risk” (SIR) do not appear in any Indicators in this standard but are implicit throughout. By definition and scope, the standard applies only to very small and relatively low intensity MUs with relatively low risks as individual MUs. Thus, some of the International Generic Indicators (IGI), which were developed with much larger organizations in mind, are not appropriate for, or applicable to, smallholders and in this standard for smallholders, Indicators have been dropped for this reason. There are seven Criteria (4.3 and 4.4 in Principle 4; 5.3, 5.4 and 5.5 in Principle 5; 6.8 in Principle 6; and 8.2 in Principle 8) which are not applicable to individual smallholders because of the scale, intensity and risk of their *forestry activities*. In these Criteria, all the IGI Indicators are therefore functionally not applicable to most smallholders and have been dropped. However, in two of these Criteria (6.8 and 8.2) there may be situations where individual smallholders combine their activities with other smallholders and have a more significant impact at the larger scale and intensity. In these situations, an indicator has been added to address this specific situation.

Other Criteria in Principles 3, 4 and 9 may be determined to be not applicable if the assessments required in those Principles determine that no Indigenous Peoples, local communities or High Conservation Values are present in the location of the smallholder's forest. These Indicators are

all prefaced by “if”, and their applicability depends on the results of the assessments that the smallholder is required to have to assess their applicability to the smallholder’s property.

Many of the IGI have been adapted to greatly reduce the amount of work or limit the steps required to meet the Indicator. This reflects the low risk and the limited capacity of smallholders. The relevant Criteria must be met but the extent of work or information required to meet a specific Indicator will be determined by auditors based on the scale, intensity and risk and the context of the smallholder.

E.5 How do the Indicators apply to family members, temporary workers, employees and others who work on the smallholder’s forest?

In Principle 2, the IGI generally refers to “workers” meaning employed and self-employed persons working in the smallholder’s forest. In general, in Thailand, most workers on a smallholder’s forest are either the self-employed smallholder, his or her family members and business partners or are temporary workers hired on contract to do short-term specific tasks. In rare or unusual situations, a smallholder may have an employee or employees, so this term is also included as well. In community forests or co-operatives there may be volunteers or community members working.

Consistent with the RFSS, the term “workers” is not used in any Indicators in this smallholder standard for Thailand. That is in order to distinguish between the family members (including co-owners or business partners) and the “temporary workers”, “employees” or “volunteers” who are not family members or business associates. Most of the IGI have been adapted to refer to “temporary workers” or “employees” on the smallholder’s forest when it is intended that the requirements of the Indicator refer only to those “temporary workers” or “employees”, not to “family members” or business associates (for example, in regard to wages and terms of employment conditions). The term “family members” is used when the requirements of an Indicator also apply to a smallholder’s immediate family members (husband, wife, children) and to business partners or co-owners who are not considered “temporary workers” or “employees”. When indicators in Principle 2 apply to both family members, business associates and non-family member “temporary workers” or “employees” (for example, in regard to use of safety equipment) the indicators refer to all persons working on the forest including “employees”, “temporary workers”, “volunteers”, “family members” and business associates. Definitions of all the terms used in Principle 2 are in the Glossary.

E.6 Who does “assessments” to determine presence of Indigenous Peoples, local communities and High Conservation Value Forests (Principles 3, 4, and 9)?

Three new indicators were “added” in the RFSS to require that the smallholder has assessments that determine if Principles 3, 4 and 9 are applicable to the smallholder. The standard allows other parties to undertake these assessments on behalf of the smallholder. The other parties could be a group manager, an NGO, a purchaser, a government organization or any other party acting to assist the smallholder to do the required assessment to determine if a Criterion applies (i.e. if there are Indigenous Peoples, local communities or HCVs in the location of the individual smallholder). If the assessments indicate presence, then the indicators in those Principles are applicable for the smallholder.

In most cases, the assessments required by Indicators 3.1.1, 4.1.1 and 9.1.1 are expected to confirm that there are no Indigenous Peoples or local communities or HCVs in that location that will potentially be affected by the smallholder. In that situation, all the Indicators in these Principles are not applicable. A similar assessment is required by Indicator 6.1.1 in Principle 6. It also allows an external organization to do the “assessment of environmental values” in Criterion 6.1. However, in most cases, indicators in Principle 6 will be applicable – the assessment will limit the indicators to the specific environmental values identified in the assessment.

E.7 Does the smallholder need to consider factors outside his or her property?

The RFSS requires that the smallholder must consider:

- values or interests outside the smallholder's property that may influence the *forestry activities* that the smallholder undertakes on his or her property; and,
- activities on the smallholder's property that may impact or affect the rights or interests of others outside, but close to, his or her property.

The consideration of factors outside the smallholder's property is addressed in this standard by the use of two terms – “*in the immediate vicinity*” and “*in the smallholder's location*”. Both terms are defined in the Glossary.

The term “*immediate vicinity*” appears in 13 Indicators in 8 Criteria in Principle 6, 7, 9 and 10 (Indicators 6.1.1, 6.4.1, 6.4.2, 6.4.3, 7.1.1, 9.1.1., 9.2.1, 9.2.2, 9.3.1, 9.4.1, 9.4.2 and 10.9.1). These indicators require consideration of any values that are adjacent to, or in very close proximity to, the smallholder's forest and may be impacted by the smallholder's *forestry activities*.

The term “*smallholder's location*” appears in 27 Indicators in 13 Criteria in Principles 3, 4, 6 and 7 (Indicators 3.1.1, 3.1.2, 3.2.1, 3.2.2, 3.2.3, 3.2.4, 3.3.1, 3.3.2, 3.4.1, 3.4.2, 3.5.1, 3.6.1, 4.1.1, 4.1.2, 4.1.3, 4.1.4, 4.2.1, 4.2.2, 4.2.3, 4.5.1, 4.5.2, 4.6.1, 4.8.1, 6.5.1, 6.5.2, 6.5.3 and 7.1.1). These Indicators require the smallholder to determine if there are rights, interests or values important to Indigenous Peoples and local communities that may be affected by the smallholder's *forestry activities*, and if there are, to take actions to address those rights, interests or values. They also refer to the existence of native ecosystems close to the smallholder's forest. The “*Smallholder's location*” refers to a larger geographical area than “*immediate vicinity*” and may refer to the nearby community, region or subregion or the watershed catchment where the smallholder's forest is located.

E.8 Comments on the language used in the standard

In general, all Indicators in the RFSS and incorporated here have been shortened, and sentences simplified. Detailed lists have been removed. The language is broad to be inclusive of the specific details that are in the IGI so that an auditor can determine if the actions of a smallholder meet the Indicator in consideration of the context and the scale, intensity and risk of the individual smallholder.

Forestry words like “silviculture”, “regeneration”, and “ecologically appropriate” have been replaced with simpler terms. However, some FSC terms like “ecosystem services”, “high conservation values” and “invasive species” have been retained and are defined in the Glossary.

Indicators are consistently presented in an active, present tense as in “the smallholder complies...” or “the smallholder implements...”. This is a change from the IGI which frequently refer to documents or processes and use passive terms as in “1.1.1 Legal registration is granted...” rather than “The smallholder has a legal right...”.

The Indicators refer specifically to “the smallholder” (as FSC certificate holders or applicants) rather than “The Organization”, the term that is consistently used in the IGI.

The word “if” is used in Indicators in Principles 3, 4, 6 and 9 to indicate that a requirement to meet the Indicator is dependent on confirming that Indigenous Peoples, local communities, native ecosystems or High Conservation Values are present in the location of the smallholder's forest. It is anticipated that Indicators preceded by “if” will not be applicable to smallholders in many locations and situations and those Indicators will be not-applicable.

The word “if” is also used for indicators that are specific to non-timber forest products.

The word “shall” is not used in any Indicators. In its place the requirement is described in an

active tense.

The word “appropriate” is used as an adjective in a number of Indicators (mostly in the context of “appropriate engagement”, “appropriate consultation” or “appropriate dispute resolution” but also in “appropriate safety equipment”, “appropriate regeneration”, and “appropriate plans”). “Appropriate” means “appropriate to the scale, intensity, risk and context of the specific smallholder situation” and to the peoples and values present. This gives some flexibility to the smallholder and gives some discretion to the auditor, and therefore opens room for interpretation. “Appropriate” is an auditable term and occurs in many of the Indicators in the IGI and in almost every principle – often in the context of “culturally appropriate” – and frequently in the Guidance to Standard Developers. “Culturally appropriate” is defined in the Glossary.

E.9 Definitions

All words in the Indicators in this Standard that appear in italics are defined in the Glossary.

Words in the Principles and Criteria or in the Glossary that are marked with an asterisk* are defined in the Glossary of the Principles and Criteria Version 5-2 (FSC-STD-01-001 V5-2) or in the Glossary of the International Generic Indicators (IGI) Version 2-0 (FSC-STD-60-004 V2-0).

E.10 Interpretations and disputes

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

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

F Principles, Criteria and Indicators for smallholders in Thailand

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 *The smallholder* has evidence that confirms *the smallholder's* undisputed right to manage the forest and use the resources within the scope of the 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 *The smallholder* clearly shows the boundaries of his or her forest using maps, documents or other appropriate means on the ground and shows that *the smallholder* has the rights to all forest products produced on *the smallholder's* forest.

Explanatory Note: *This Indicator refers to the boundaries of the forest for which FSC certification is sought. The only products that can claim FSC certification are the timber and non-timber forest products from that forest.*

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 *The smallholder* carries out **forestry activities** in compliance with applicable laws and regulations, administrative requirements and legal and customary rights.

1.3.2 *The smallholder* makes all required payments related to **forestry activities** within the prescribed time limits.

1.3.3 **If non-timber forest products are for human consumption or personal use such as skincare or medicine**, all applicable legal and administrative requirements for hygiene and food safety are complied with.

Explanatory Note: *Guidance about a full list of potentially applicable laws in Thailand is provided in the List of Applicable laws in Annex A.*

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 *The smallholder* uses measures to protect *the smallholder's* forest from unauthorized or illegal activities.

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 *The smallholder complies with all laws related to transport and trade of forest products and non-timber forest products up to the point of first sale.*

***Explanatory Note:** The “applicable laws” for transport and trade vary by country and auditors will need to be aware of the specific legislations in Thailand.*

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 *The smallholder has, or can make use of, an appropriate process to quickly resolve any disputes that arise which directly involve the smallholder.*

1.6.2 *The smallholder follows the process and seeks to quickly resolve disputes that directly involve the smallholder.*

1.6.3 *The smallholder or their named representative keeps a record of disputes.*

1.6.4 *The smallholder immediately stops forestry activities if there are unresolved significant disputes that directly involve the smallholder.*

***Explanatory Note:** This Criterion, along with Criterion 1.7, is an example of a situation where the requirement to meet the indicator requirements falls on the smallholder, but another entity - a group manager or other organization - can provide support and assistance to the smallholder by preparing the processes, or procedures or documents required and can keep records on behalf of the smallholder. The requirement is that the smallholder demonstrates an awareness of the existence of a process and the requirement for records and uses them if required. The record of disputes required by Indicator 1.6.3 should include basic relevant information about the nature of the dispute and how it was resolved.*

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

1.7.1 *The smallholder makes a written commitment not to offer or receive bribes.*

1.7.2 **If requested, the smallholder or their named representative provides the commitment to a person who requests it at no cost to the requestor.**

1.7.3 *The smallholder has no involvement in any bribery, coercion or other acts of corruption related to the smallholder's forest.*

- 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.

Explanatory Note: *A smallholder demonstrates the commitment (required by this criterion) by conforming with FSC Principles and Criteria and other respective requirements, when the smallholder chooses to participate in the FSC system.*

Therefore, by participating in the certification process, the smallholder is in conformity with the requirements of this criterion.

PRINCIPLE 2: WORKERS' RIGHTS AND EMPLOYMENT CONDITIONS

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

Explanatory Note: The terms “worker”, “temporary worker”, “employee”, “family member” and “volunteer” are all defined in the Glossary. The terms “worker”, “temporary worker” and “employee” refer to forest workers who receive direct financial payment through employment. They may be employed directly by the smallholder or may be employed by a contractor who is hired by the smallholder. “Family members” are direct relatives of the smallholder or business partners or co-owners and may receive compensation in various forms but are not employed or contracted to work. Business associates are non-family members who have some ownership or financial involvement with the smallholder and are not employees. “Volunteers” also work without direct financial compensation as members of a community or co-operative smallholder forest. Indicators in Principle 2 refer to some or all of these categories. Some, for example in Criterion 2.2, only apply to “temporary workers” or “employees”. Others, for example in Criterion 2.3, refer to all of “temporary workers”, “employees”, “family members” and “volunteers”.

The requirements of Principle 2 that apply to temporary workers apply whether the temporary worker is hired by the smallholder or by a separate contractor. In cases where the temporary worker works for a contractor, the smallholder is required to ensure that the Indicator requirements are met by the contractor.

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 smallholder does not have temporary workers, employees, or volunteers below the age of 15.*

2.1.1.1 *The smallholder does not allow work to interfere with the schooling of any children under the age of 15.*

2.1.1.2 *The smallholder does not allow any children under the age of 18 to perform hazardous or heavy work.*

2.1.2 *The smallholder does not force temporary workers or employees to work.*

2.1.3 *The smallholder does not discriminate in hiring temporary workers or employees.*

Explanatory Note: The numbering of Indicators 2.1.1.1 and 2.1.1.2 is required by the addition of indicators into the International Generic Indicators (FSC-STD-60-004 V2-0 EN).

Indicator 2.1.1 does not allow the smallholder to have temporary workers, employees, or volunteers under the age of 15 working on the smallholding. It does allow smallholders to have their children who are family members under the age of 15 involved in forestry activities, but Indicators 2.1.1.1 and 2.1.1.2 do not allow that participation to interfere with schooling of their children under 15, or to involve hazardous or heavy work by children under 18. In a community forest, children under 15 could accompany parents or other family members to the forest and participate in forestry activities but could not have paid employment and should not be “working” in the same way that adults are working or engaged in hazardous or heavy work.

Discrimination in Indicator 2.1.3 refers to any form of discrimination in the hiring of employees – for example, discrimination based on age, gender, ethnicity, sexual orientation – as outlined in the core conventions in the ILO Declaration

of 1998 (ILO Declaration on Fundamental Principles and Rights at Work and its Follow-up, adopted by the International Labour conference at its Eighty-sixth Session, Geneva, 18th June 1998).

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 **If the smallholder hires temporary workers or employees**, the smallholder promotes equality among men and women and prevents *discrimination* in employment.
- 2.2.2 **If the smallholder hires temporary workers or employees**, the smallholder provides job opportunities to both men and women under the same conditions, and women are encouraged to participate actively in all levels of *employment*.
- 2.2.3 *The smallholder* provides equal opportunities to all *temporary workers, employees, family members* and *volunteers* to receive training and participate in health and safety programs related to the work they do.
- 2.2.4 *The smallholder* pays women and men *temporary workers* or *employees* equally when they do the same job.
- 2.2.5 *The smallholder* pays *temporary workers* or *employees* directly using methods that *the smallholder* and the *temporary worker* or *employee* agree on.
- 2.2.6 **Unless declined**, *the smallholder* provides women *temporary workers* or *employees* in all levels of *employment* with maternity leave in accordance with national legislation but, in all cases, not less than 6 weeks maternity leave following the birth of a child.
- 2.2.7 **If requested**, *the smallholder* provides men *temporary workers* or *employees* with paternity leave with no penalty following the birth of a child.
- 2.2.8 **If the smallholder forest is a community-owned forest or a co-operative**, meetings, management committees and decision-making forums are organized to include women and men, and to facilitate the active participation of both.
- 2.2.9 **If the smallholder forest is a community-owned forest or a co-operative**, confidential and effective mechanisms exist for reporting and eliminating cases of sexual harassment and *discrimination* based on gender, marital status, parenthood or sexual orientation.

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 *The smallholder and his or her temporary workers, employees, family members, business associates and volunteers have safe work practices.*

2.3.2 *The smallholder and his or her temporary workers, employees, family members, business associates and volunteers use appropriate safety equipment.*

2.3.3 *The smallholder or their named representative keeps a record of any accidents.*

2.3.4 *The smallholder changes practices that have caused, or will likely cause, accidents in the smallholder's forest.*

2.3.5 *If hunting or other dangerous activities are part of the forestry activities, the smallholder identifies the dangerous activities and implements safety measures to protect the public where hunting or other dangerous activities related to NTFP activities are carried out.*

Explanatory Note: *The ILO Code of Practice on Safety and Health in Forestry Work provides examples of safe work practices and personal protective equipment (Table 1, page 37) appropriate for the smallholder for different forestry tasks. Auditors should consider the tasks the smallholder is doing and the equipment he or she is using to interpret the guidance provided in this Code.*

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 **If the smallholder hires temporary workers or employees, the smallholder pays temporary workers or employees at wage rates that meet or exceed any legal minimum wage.**

2.4.2 **If no legal minimum wage exists, the smallholder pays a living wage to temporary workers or employees that is agreed prior to work starting.**

2.4.3 *The smallholder makes wage and contract payments within the prescribed time limits.*

Applicability Note: *If a smallholder does not have any temporary workers or employees, Criterion 2.4 does not apply. If there is no minimum wage (2.4.1) in the country or state where the smallholder forest is located, then Indicator 2.4.2 applies. The “living wage” referred to in Indicator 2.4.2 is defined in the Glossary.*

Explanatory Note: *The terms “hires” and “wages” in Indicators 2.4.1 and 2.4.2 refer to employment. They do not apply to, or restrict, the common smallholder practice of labour exchange.*

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 *The smallholder* provides training and supervision so that *temporary workers, employees, family members, business associates* and *volunteers* can work safely and effectively in the tasks that they do.

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 **If the smallholder hires temporary workers or employees**, the smallholder has, or can make use of, an appropriate process to quickly resolve any disputes that arise with those *temporary workers* or *employees*.

2.6.2 *The smallholder* follows the process and seeks to resolve disputes or grievances with *temporary workers* or *employees*.

2.6.3 *The smallholder* or their *named representative* keeps a record of any disputes or grievances with *temporary workers* or *employees*.

2.6.4 *The smallholder* compensates *temporary workers* or *employees* for any loss or damage of property and occupational disease* or injuries related to work in *the smallholder's forest*.

Applicability Note: *If a smallholder does not have any temporary workers or employees, Criterion 2.6 does not apply.*

Explanatory Note: *As in Criterion 1.6, the requirement to meet the Indicators falls on the smallholder, but another entity - a group manager or other organization - can provide support and assistance to the smallholder by preparing the processes, or procedures or documents required and can keep records on behalf of the smallholder. The requirement is that the smallholder demonstrate an awareness of the existence of a process and the requirement for records and uses them if required. The record of disputes required by Indicator 2.6.3 should include basic relevant information about the nature of the dispute and how it was resolved.*

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.

Applicability Note: To determine if Principle 3 is applicable, the first requirement is an assessment in Criterion 3.1. If no potentially affected Indigenous Peoples are identified in the smallholder's location, Principle 3 is not applicable. If a local Indigenous Person or an Indigenous community is the smallholder, Principle 3 is not applicable.

If potentially affected Indigenous Peoples are identified in the assessment, Criteria 3.2, 3.3 and 3.4 and related Indicators are applicable.

All of the indicators refer to "forestry activities" which includes NTFP activities within the scope of the indicator.

Explanatory Note: A group manager or an external organization such as an NGO, purchaser, or government agency may assist a smallholder to conduct this assessment and to meet any requirements in Criteria 3.2, 3.3 or 3.4, if they are applicable.

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 *The smallholder has a culturally appropriate assessment, that the smallholder is aware of, to determine if there are any Indigenous Peoples in the smallholder's location that are potentially affected by the smallholder's forestry activities.*

3.1.2 **If potentially affected Indigenous Peoples are present in the smallholder's location (3.1.1), the smallholder identifies the Indigenous Peoples, their specific location, their rights and their interests in the smallholder's forest.**

Explanatory Note: The assessment to identify Indigenous Peoples may be completed by group manager or an external organization such as an NGO, purchaser, or government agency acting on behalf of, or providing assistance to the smallholder. The smallholder needs to be aware of the assessment and of any Indigenous Peoples identified, but it is not required that the smallholder undertake the assessment alone.

If no potentially affected Indigenous Peoples are identified in the smallholder's location, the remaining Criteria in Principle 3 are not applicable.

The term "smallholder's location" is defined in the Glossary.

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 If potentially affected Indigenous Peoples are present in the smallholder's location, the smallholder informs the Indigenous Peoples about the smallholder's forestry activities in the smallholder's forest and seeks their comments.

3.2.2 If potentially affected Indigenous Peoples are present in the smallholder's location, the smallholder's forestry activities do not violate any rights.

3.2.3 If potentially affected Indigenous Peoples are present in the smallholder's location, and if the smallholder has violated rights in the smallholder's forest, the smallholder uses culturally appropriate means to correct the situation.

3.2.4 If potentially affected Indigenous Peoples are present in the smallholder's location, the smallholder obtains their consent to forestry activities that affect the identified rights of the Indigenous Peoples in the smallholder's forest.

Explanatory Note: Consent means "Free, Prior and Informed Consent" as defined in the Glossary. See also FSC-GUI-30-003 FSC guidelines for the implementation of the right to free, prior and informed consent (FPIC) Version 1, 30 October 2012, pages 25 and 42, for application to smallholders.

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 If potentially affected Indigenous Peoples are present in the smallholder's location, the smallholder demonstrates that the smallholder is seeking, or has obtained consent for forestry activities in the smallholder's forest and follows the requirements of all agreements.

3.3.2 If potentially affected Indigenous Peoples are present in the smallholder's location, and if agreements are made (3.3.1), the smallholder or their named representative has a record of agreements.

Explanatory Note: If the smallholder is seeking consent at the time of certification, consent should be obtained within the first 5-year term of the certificate. It will be up to auditors working for certification bodies to determine if efforts to obtain consent have been made and if there has been significant progress.

- 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 If potentially affected *Indigenous Peoples* are present in *the smallholder's location*, *the smallholder* protects the *Indigenous Peoples* rights, customs and culture in *the smallholder's forest*.
- 3.4.2 If potentially affected *Indigenous Peoples* are present in *the smallholder's location*, and if the rights have not been protected in *the smallholder's forest*, *the smallholder* is taking steps to restore such rights, customs or culture.
- 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 If potentially affected *Indigenous Peoples* are present in *the smallholder's location*, *the smallholder* works with the *Indigenous Peoples* to identify and protect sites that are significant to the *Indigenous Peoples* in *the smallholder's forest*.
- 3.5.2 If sites that are significant to *Indigenous Peoples* are found during *forestry activities*, *the smallholder* immediately stops *forestry activities* that may affect those sites.
- 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 If potentially affected *Indigenous Peoples* are present in *the smallholder's location*, *the smallholder* does not use the traditional knowledge of the *Indigenous Peoples* for economic benefit without consent and/or compensation.
- Explanatory Note:** *In many situations, smallholders are members of the Indigenous Peoples and are entitled to use traditional knowledge in managing their smallholder forest without consent and/or compensation.*

PRINCIPLE 4: COMMUNITY RELATIONS

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

Applicability Note: Principle 4 may be determined to be not applicable if one of the following applies:

- If there are no potentially affected local communities in a smallholder's location, the rest of Principle 4 is not applicable.
- If a local community owns or collectively manages a smallholder management unit, Principle 4 is not applicable.
- If a smallholder is a member of a local community that has legal and customary rights to maintain control over forestry activities in that location, Principle 4 is not applicable.

If potentially affected local communities are identified in the assessment, all the Criteria in Principle 4, with the possible exception of Criterion 4.2 and related Indicators are applicable. A group manager or an external organization such as an NGO, purchaser, or government agency may assist a smallholder to meet those requirements.

All of the indicators refer to "forestry activities" which includes NTFP activities within the scope of the standard.

Explanatory Note: The term "local communities" is defined in the Glossary. Criterion 4.2 recognizes that some local communities, including ethnic minorities or forest dwelling communities, have long-standing legal and customary rights and may maintain some control over forestry activities on a smallholder's forest in order to maintain those rights. Other local communities do not have those legal and customary rights.

A group manager or an external organization such as an NGO, purchaser, or government agency may assist a smallholder to conduct the assessment required in Indicator 4.1.1 and to determine if Principle 4 is applicable. These organizations may assist a smallholder to meet any requirements of Principle 4, if they are applicable.

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 *The smallholder* has an appropriate assessment, that *the smallholder* is aware of, to determine if there are any local communities in *the smallholder's location* that are potentially affected by *the smallholder's forestry activities* in *the smallholder's forest*.

4.1.2 **If potentially affected local communities are present in *the smallholder's location* (4.1.1), *the smallholder* knows the local communities' legal and customary rights of tenure, access and use in *the smallholder's forest*.**

4.1.3 **If potentially affected local communities are present in *the smallholder's location*, *the smallholder* has identified the interests of the local community in *the smallholder's forestry activities* in *the smallholder's forest*.**

4.1.4 **If potentially affected local communities are present in *the smallholder's location*, *the smallholder* has identified and sought to resolve any conflicts or disputes with those local communities in *the smallholder's forest*.**

Applicability Note: *If no potentially affected local communities are identified, Principle 4 is not applicable. If a local community owns or collectively manages the smallholder management unit or if the smallholder is a member of the local community with legal and customary rights, Principle 4 is not applicable.*

Explanatory Note: *The assessment to identify local communities may be completed by a group manager or an external organization such as an NGO, purchaser, or government agency acting on behalf of, or providing assistance to, the smallholder. The smallholder needs to be aware of the assessment and of any local communities identified, but it is not required that the smallholder undertake the assessment alone. The term “smallholder’s location” is defined in the Glossary.*

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 If potentially affected local communities that have legal and customary rights to maintain control over forestry activities are present in the smallholder’s location, the smallholder consults with the local communities and obtains their comments and consent in a culturally appropriate process prior to forestry activities in the smallholder’s forest.

4.2.2 If potentially affected local communities that have legal and customary rights to maintain control over forestry activities are present in the smallholder’s location, the smallholder respects the local community rights and finds a solution for any violations caused by forestry activities in the smallholder’s forest.

4.2.3 If potentially affected local communities that have legal and customary rights to maintain control over forestry activities are present in the smallholder’s location, and if consent, required in Indicator 4.2.1, has not been granted, the smallholder is engaged in an appropriate consultation process with the local communities about forestry activities in the smallholder’s forest.

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.

Applicability Note: *There are no Indicators in Criterion 4.3 applicable to smallholders. Because of the small scale and intensity of smallholders’ forestry activities, it is not expected that an individual smallholder should provide opportunities for local communities, contractors or external suppliers, although typically they do not have resources to hire or purchase anywhere else other than their local communities.*

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

Applicability Note: There are no Indicators in Criterion 4.4 applicable to smallholders. Because of the small scale, low intensity and little socio-economic impact of smallholder's forestry activities, it is not expected that an individual smallholder implements additional activities to contribute to social and economic development of local communities.

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

4.5.1 **If local communities are present in *the smallholder's* location**, *the smallholder* avoids significant impacts of forestry activities in *the smallholder's* forest on the local communities.

4.5.2 **If local communities are present in *the smallholder's* location, and if significant impacts from the forestry activities in *the smallholder's* forest have occurred**, *the smallholder* tries to find a solution for them.

- 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 **If local communities are present in *the smallholder's* location**, *the smallholder* has, or can make use of, a culturally appropriate process to quickly resolve any disputes in *the smallholder's* forest.

4.6.2 *The smallholder* or their *named representative* keeps a record of any disputes.

4.6.3 **If there are *significant disputes* with any local communities**, *the smallholder* immediately stops forestry activities in *the smallholder's* forest.

Explanatory Note: As in Criteria 1.6 and 2.6, the requirement to meet the Indicators falls on the smallholder, but another entity - a group manager or other organization - can provide support and assistance to the smallholder by preparing the processes, or procedures or documents required and can keep records on behalf of the smallholder. The requirement is that the smallholder demonstrate an awareness of the existence of a process and the requirement for records and uses them if required. The record of disputes required by Indicator 4.6.2 should include basic relevant information about the nature of the dispute and how it was resolved.

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 Based on culturally appropriate consultation, *the smallholder* identifies and protects *sites that are significant* to the local communities in *the smallholder's forest*.

4.7.2 If *sites that are significant* to the local communities are found during *forestry activities*, *the smallholder* immediately stops *forestry activities* that may affect those *sites*.

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 If *local communities* are identified in *the smallholder's location*, *the smallholder* does not use the traditional knowledge of the local communities for economic benefit without consent and/or compensation.

Explanatory Note: *In some situations, smallholders will be members of the local community and entitled to use traditional knowledge in managing their own forest without consent and/or compensation.*

PRINCIPLE 5: BENEFITS FROM THE FOREST

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

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 If the *smallholder* makes FSC promotional claims regarding the maintenance and/or enhancement of ecosystem services, the *smallholder* follows the Ecosystem Services Procedure (FSC-PRO-30-006 V1-0 and FSC-GUI-30-006 V1-0).

Explanatory Note: The term “ecosystem services” refers to all the benefits that are provided by a healthy environment – clean water, food and medicine, cultural values and regulation of climate and erosion, for example. The term is defined in the Glossary.

Ecosystem services are no longer part of the FSC forest management standard. If a smallholder wishes to make promotional claims regarding maintenance and/or enhancement of ecosystem services, they must follow the procedures described in FSC-PRO-30-006 V1-0 Ecosystem Services Procedure: Impact Demonstration and Market Tools and FSC-GUI-30-006 V1-0 Guidance for Demonstrating Ecosystem Services Impacts.

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 The *smallholder* has determined a harvest level for the *smallholder’s* forest resources in the management plan.

5.2.2 The *smallholder* removes forest resources at a rate that is environmentally sustainable and consistent with the management plan.

5.2.3 The *smallholder* or their *named representative* keeps a written record of forest resources removed from the *smallholder’s* forest.

Applicability Note: This Criterion applies to harvesting of timber and non-timber forest products.

Most smallholder timber harvesting activities in Southeast Asia involve short-rotation species which are planted, clear cut in a very few years, and then coppiced or quickly replanted. In these situations, there is no “sustainable timber harvest”, or “environmentally sustainable rate of harvest”. Indicators 5.2.1 and 5.2.2 are not applicable to these short-rotation plantations.

In situations where Indicators 5.2.1 and 5.2.2 are applicable, the information required to be included in the smallholder’s management plan is in Principle 7.

Indicator 5.2.3 is applicable in all situations.

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

Applicability Note: *There are no Indicators in Criterion 5.3 applicable to smallholders. Because of the small scale and low intensity of smallholders' forestry activities, it is not expected that the smallholder creates positive or negative externalities except on a small scale and short impact.*

- 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.

Applicability Note: *There are no Indicators in Criterion 5.4 applicable to smallholders. Smallholders are often families or community groups, and because of the small scale and low intensity of all smallholders' forestry activities, it is not expected that the smallholder makes attempts to use local processing, local services or local value-added facilities, although in reality, that is what they do while trying to earn a living.*

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

Applicability Note: *There are no indicators in Criterion 5.5 applicable to smallholders. Because of the small scale and low intensity of smallholders' forestry activities, it is not expected that the smallholder needs to demonstrate long-term commitment to economic viability.*

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 *The smallholder* has an *environmental assessment*, that *the smallholder* is aware of, that identifies *environmental values* in *the smallholder's forest* and the *immediate vicinity*.

6.1.2 **If hunting is part of the forestry activities**, the proposed level of hunting does not threaten the population of the target species in the long-term.

Explanatory Note: *The assessment of environmental values may be completed by a group manager or an external organization such as an NGO, purchaser, or government agency acting on behalf of or providing assistance to the smallholder. The smallholder needs to be aware of the assessment and of any values identified, but it is not required that the smallholder alone undertakes the assessment.*

For smallholders an appropriate assessment could be a simple checklist or a document or a map prepared for the smallholder's forest by a group manager or an external organization.

The term "immediate vicinity" is defined in the Glossary.

"Hunting" is as defined in and in accordance with the provisions of Wildlife (Protection) Act, 1972.

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 The assessment of environmental values (6.1.1) identifies any potential impacts that might be caused by the *forestry activities* in *the smallholder's forest*.

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 *The smallholder* carries out *forestry activities* in ways that do not have negative impacts on identified values in *the smallholder's forest* (6.1.1) and the *immediate vicinity*.

6.3.2 If negative impacts occur as a result of the *smallholder's forestry activities*, *the smallholder* changes practices and makes reasonable efforts to repair damage.

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 *The smallholder's* assessment of environmental values (6.1.1) has identified any rare or threatened species or habitats that occur or may occur in *the smallholder's forest* or the *immediate vicinity*.

6.4.2 **If rare or threatened species or habitats are identified in *the smallholder's forest* or the *immediate vicinity* (6.1.1), *the smallholder's* management plan (7.1.1) includes measures to protect the species or *habitats* in *the smallholder's forest*.**

6.4.3 **If rare or threatened species are identified in *the smallholder's forest* or the *immediate vicinity* (6.1.1), *the smallholder* prevents hunting, fishing, trapping and collection of rare or threatened species in *the smallholder's forest*.**

Explanatory Note: A group manager or an external organization such as an NGO, purchaser, or government agency may assist *the smallholder* to identify if there are any rare or threatened species in the immediate vicinity of the *smallholder's forest*. If any are identified in the immediate vicinity, they may assist in developing measures to protect those species or habitats. *The smallholder* needs to be aware of the assessment and of any species and habitats identified, and of the measures to protect them but is not required to undertake the assessment alone.

The term "immediate vicinity" is defined in the Glossary.

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 *The smallholder* assists in identifying and protecting representative sample areas of native ecosystems where those exist in *the smallholder's forest* or in *the smallholder's location*.

6.5.2 Where representative sample areas of native ecosystems do not exist in *the smallholder's forest* or *the smallholder's location*, *the smallholder* works with others to facilitate regeneration and restoration of suitable areas in *the smallholder's location* to more natural conditions if suitable areas exist.

Explanatory Note: Restoration of suitable areas in the smallholder's location to more natural conditions if suitable areas exist are required by this indicator. "Suitable areas" include areas with some natural conditions, or some regenerating native species, already existing nearby the site, and where there is no other land use threatening those conditions. Restoration might involve simply letting those areas recover, or more active intervention to protect and enhance those conditions to support their restoration.

6.5.3 *The smallholder*, if part of a group entity, to the extent possible, works with others to achieve the target of maintaining a minimum of 10% of the native ecosystems in *the smallholder's location* in representative sample areas through conservation or restoration of native ecosystems.

Applicability Note: Indicator 6.5.3 is applicable only for those smallholders which operate within group entities.

Explanatory Note: Criterion 6.5 requires all applicants for FSC certification to protect native ecosystems or to restore representative suitable areas to more natural conditions. Native ecosystems include natural forests but also other ecosystems such as wetlands or open grasslands that are native to that location. The three Indicators in Criterion 6.5 are applicable ONLY IF there are native ecosystems present in the smallholder's forest or in the smallholder's location, OR if opportunities exist to restore areas in the smallholder's forest or in the smallholder's location to more natural conditions. If native ecosystems or opportunities for restoration do not exist in the smallholder's forest or the smallholder's location, Criterion 6.5 is not applicable.

The FSC Interpretation Notes INT-STD-01-001_09 and INT-STD-20-007_45 (found in Interpretations of the Normative Framework, 12th February, 2019) provide interpretation and guidance for this Criterion specific to smallholders. The Interpretation Notes state that the minimum 10% requirement for protection or restoration can be met at a group level, and can be met outside the smallholder's forests (if the management unit is smaller than 50 ha) or outside a group's forests. INT-STD-01-001_09 states that the areas outside the forest must be in the same forest landscape. However, these interpretations and the minimum 10% requirement only apply if native ecosystems or opportunities for restoration exist. Further guidance about the minimum 10% requirement is provided in Principle 6, Annex D, Conservation Area Network Conceptual Diagram on page 41 in the International Generic Indicators (FSC-STD-60-004 V2-0).

The Indicators for smallholders presented here do not require that the smallholder set aside 10% of the smallholder's forest or any of the smallholder's forest. They require the smallholder, or organizations assisting the smallholder, to identify any native ecosystems (including any natural forest) that exist in the smallholder's forest. If any native ecosystems exist, the smallholder is required to achieve a target of protecting a minimum of 10% of those native ecosystems in representative sample areas in, or in the location of, the smallholder's forest. This can be achieved in the smallholder's forest or outside it, but in most circumstances will be outside the smallholder's forest. Where natural ecosystems do not exist, the smallholder is expected to work with or assist others to restore a suitable area in the location to more natural conditions, if those opportunities exist.

The term "smallholder's location" is defined in the Glossary. The term "to the extent possible" in Indicator 6.5.3 will reflect a combination of the extent of native ecosystems available for protection in the location, the potential for restoration when they do not exist, the capacity of the smallholder, based on the size of the smallholder's forest, and the resources available.

As in other Criteria in Principle 6, it is anticipated that a group manager or an external organization such as an NGO, purchaser, or government agency may assist the smallholder to interpret and meet these requirements.

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 *The smallholder has implemented ways to control any hunting, fishing, trapping and collection activities for native species in the smallholder's forest.*

6.6.2 **If hunting is part of the forestry activities**, *the smallholder ensures that the population levels of target species and species diversity are not threatened.*

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 *The smallholder protects the quality and quantity of water in streams, ponds and lakes, and the vegetation beside them, in the smallholder's forest.*

6.7.2 *The smallholder repairs damage to streams, ponds and lakes, or the vegetation beside them, that the smallholder's forestry activities have caused.*

Explanatory Note: *The smallholder is responsible for avoiding impacts from forest activities within his or her forest and for repairing any damage that his or her activities have caused. He or she is not responsible for preventing impacts caused by his or her neighbours or others on nearby land or required to repair damage caused by any neighbour or other party on nearby properties.*

Examples of measures to protect the quality and quantity of water in streams, ponds and lakes include buffer zones, maintenance of native vegetation, avoidance of trails or roads and measures to prevent sedimentation.

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*.

Explanatory Note: *The activities of most individual smallholders within the scope of this standard are at such a small scale and low intensity that they do not affect landscape values in the region or affect environmental or economic resilience as described in Criterion 6.8. Thus, for most smallholders, Criterion 6.8 is not applicable. However in some situations, individual smallholders' farms are contiguous with a number of other similar smallholders, and the smallholder's forestry activities are conducted together with those other smallholders on units that are much larger than 20 hectares. In these situations, when individual smallholders combine their activities with other smallholders, they can affect landscape values, for example when the combined operations result in a large clearcut and a uniform regenerating stand of a single age and a single species after harvest. In situations where the individual smallholder participates in these larger scale activities with multiple other smallholders, Indicator 6.8.1 is applicable.*

6.8.1 *The smallholder avoids undertaking forestry activities with other smallholders that result in large scale landscape level disturbance or the establishment of large uniform forests within a landscape.*

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 *The smallholder does not convert natural forest to plantation.*

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 If *the smallholder's forest* is a plantation that was converted from *natural forest*, *the smallholder* shows that either:

- a) the forest was converted to plantation prior to November 1994; or
- b) it was not converted by *the current smallholder*.

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 *The smallholder* or their *named representative* has, and *the smallholder* is aware of, a management plan for *the smallholder's forest*. The management plan identifies,

- any timber or non-timber forest products produced in *the smallholder's forest*; and,
- any *environmental values* (6.1.1) that are found in *the smallholder's forest* or in the *immediate vicinity of the smallholder's forest*; and,
- any interests or values important to Indigenous Peoples (3.1.2) or local communities (4.1.3) in *the smallholder's location*.

7.1.2 *The smallholder's* management plan sets *objectives*, including harvesting *objectives* for the production of timber and non-timber forest products and objectives for the protection of environmental values in *the smallholder's forest*.

Explanatory Note: *In Thailand FSS, Annex E on “elements on management plan” does not apply to micro landholders (less than 20 hectares). Therefore, corresponding Annex B in this standard only provides guidance about the requirements in Principle 7 and is not normative.*

The management plan is expected to be a simple document specific to the smallholder's forest. It should set objectives for protection of environmental values or interests that are found within and in the “immediate vicinity of the smallholder's forest, and for values or interests within the “immediate vicinity” that are important to Indigenous Peoples or local communities in the smallholder's location.

A management plan may be prepared by a group manager or an external organization such as an NGO, purchaser, or government agency acting on behalf of, or providing assistance to, the smallholder. The smallholder will need to be aware of the plan and of any values and interests identified, but it is not required that the smallholder undertake preparation of a simple management plan alone.

The terms “management plan”, “immediate vicinity” and “smallholder's location” are defined in the Glossary. Guidance about possible elements of a management plan is provided in Annex B.

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 smallholder's* management plan identifies actions and *forestry activities* to be taken in *the smallholder's forest* to meet the objectives in the management plan.

7.2.2 *The smallholder* implements the actions and *forestry activities* in the management plan.

7.2.3 **If collection of non-timber forest products is included within the *forestry activities***, the management plan describes how the specific non-timber forest products are managed and collected, based on established management practices.

7.2.4 **If hunting is included within the *forestry activities***, the management plan includes elements relating to species being hunted, measures for monitoring impacts to species, and a general evaluation of the ecological impacts of hunting.

Explanatory Note: "Hunting" is as defined in and in accordance with the provisions of Wildlife (Protection) Act, 1972.

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 *The smallholder* has ways to monitor if the objectives in the management plan are met.

Explanatory Note: *Monitoring (Indicator 7.3.1) to determine if objectives are met, and review of the management plan (Indicator 7.4.1) may be done by a group manager or an external organization such as an NGO, purchaser, or government agency acting on behalf of, or providing assistance to, the smallholder. The monitoring and review should be specific to the smallholder's forest and the smallholder will need to be aware of the results, but it is not required that the smallholder undertake monitoring and review of a management plan alone.*

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 smallholder* reviews the management plan periodically and revises the management plan if relevant circumstances change.

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 **If requested**, *the smallholder* provides public information from the management plan to a person who requests it at no cost to the requestor.

- 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 *The smallholder* informs affected and interested stakeholders about management planning and monitoring.
- 7.6.2 **If requested**, *the smallholder* carries out culturally appropriate consultation with affected and interested stakeholders.

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 *The smallholder* monitors implementation of the management plan, including social and environmental impacts.

Explanatory Note: *The smallholder may be assisted by a group manager or an external organization such as an NGO, purchaser, or government agency acting on behalf of, or providing assistance to, the smallholder. The smallholder needs to be aware of the monitoring but it is not required that the smallholder alone undertake the monitoring.*

The term “management plan” is defined in the Glossary. Guidance about possible monitoring requirements is provided in Annex C.

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.

Applicability Note: *The activities of most individual smallholders within the scope of this standard are at such a small scale and low intensity that they do not cause environmental or social impacts or change environmental conditions as described in Criterion 8.2. Thus, for most smallholders, Criterion 8.2 is not applicable. However, in some situations, individual smallholders’ farms are contiguous with a number of other similar smallholders, and the smallholder’s forestry activities are conducted together with those other smallholders on units that are much larger than 20 hectares. In these situations, the combined activities of smallholders working together can have environmental and social impacts. In situations where the individual smallholder participates in these larger scale activities with multiple other smallholders, Indicator 8.2.1 is applicable.*

Explanatory Note: *A group manager or an external organization such as an NGO, purchaser, or government agency may assist the smallholder to undertake monitoring to meet Indicator 8.2.1.*

8.2.1 *The smallholder* monitors social and environmental impacts of forestry activities when they are carried out with other *smallholders* that are adjacent and create a larger operational unit than the scope of this standard covers.

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 *The smallholder* periodically improves the management plan based on monitoring results.

Explanatory Note: *The smallholder may be assisted by a group manager or an external organization such as an NGO, a purchaser or a government agency acting on behalf of, or providing assistance to, the smallholder. The smallholder needs to be aware of the monitoring and any changes to the management plan, but it is not required that the smallholder alone undertake the monitoring and planning.*

The frequency of monitoring and revision of the management plan depends on the smallholder's production cycle and the management objectives.

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

8.4.1 **If requested**, *the smallholder* provides results of monitoring to a person who requests them at no cost to the requestor.

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 *The smallholder* or their *named representative* has a system to track all products from *the smallholder's forest* that are sold as FSC certified to the smallest land unit.

8.5.2 *The smallholder* or their *named representative* keeps a record of all FSC certified products sold, including product name, purchaser, amount, source, date, and certificate code for a minimum of five years.

Explanatory note: *The smallholder is responsible for keeping records of the FSC products sold to meet Indicator 8.5.2. The smallholder may be assisted by a group manager or an external organization such as an NGO, purchaser, or government agency acting on behalf of, or providing assistance to, the smallholder and named by the smallholder.*

8.5.3 **If hunting or honey collection is part of the forestry activities and FSC NTFP certification is sought**, *the smallholder* demonstrates that at least 50% of the pollen for honey came from, or 50% of an animal's lifespan was lived on, the certified management unit.

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*.

Applicability Note: To determine if Principle 9 is applicable, the first requirement is an assessment of high conservation values in, or in the immediate vicinity of, the smallholder's forest in Criterion 9.1. If no high conservation values are identified, Principle 9 is not applicable.

If High Conservation Values are identified in the assessment, Criteria 9.2, 9.3 and 9.4 and related Indicators are applicable. A group manager or an external organization such as an NGO, purchaser, or government agency may assist a smallholder to meet those requirements. See Annex D (Strategies for maintaining High Conservation Values) for further details

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

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

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

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

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

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

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

9.1.1 The smallholder has an HCV assessment, that the smallholder is aware of, that identifies any High Conservation Values (Categories 1-6) in the smallholder's forest or the immediate vicinity and any threats to those High Conservation Values.

9.1.2 The assessment of High Conservation Values (9.1.1) is based on best available information and appropriate engagement with interested stakeholders.

Applicability Note: An assessment that meets Indicator 9.1.1 and 9.1.2 must be completed, but if no High Conservation Values are identified, the remaining Indicators in Principle 9, except for Indicator 9.3.2, are not applicable.

Explanatory Note: *The assessment of high conservation values may be completed by an external entity or organization such as a group manager, an NGO, a purchaser or a government agency, acting on behalf of, or providing assistance to, the smallholder. The smallholder needs to be aware of the assessment and of any values identified, but it is not required that the smallholder alone undertake the assessment. If High Conservation Values are identified, the external organization may assist the smallholder to develop strategies in Indicator 9.2.1.*

An assessment is carried out by a person or organization with knowledge of High Conservation Values and sufficient knowledge of the local area to determine if High Conservation Values are present. It identifies both High Conservation Values and threats to those values. For smallholders, such an assessment could be a simple checklist of documents or a map prepared for the smallholder's forest by a group manager or an external organization. The assessment is carried out at a scale that allows determination of values in the immediate vicinity of the smallholder's forest and includes culturally appropriate consultation with knowledgeable local people.

FSC-GUI-30-009 "HCV Guidance for Forest Managers could be used to identify, manage and monitor HCV in Thailand. The document "Meeting the RSPO Certification Requirements for the Management and Monitoring of High Conservation Values", August 2013 may also provide some guidance that is useful to smallholders. Guidance about high conservation value areas identification, strategies and monitoring is provided in the Thailand HCV framework in Annex E.

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 If *High Conservation Values* are identified in *the smallholder's forest or immediate vicinity (9.1.1)*, the smallholder develops appropriate strategies to maintain and/or enhance the identified High Conservation Values in *the smallholder's forest*.

9.2.2 If *High Conservation Values* are identified in *the smallholder's forest or immediate vicinity (9.1.1)*, the smallholder seeks advice in developing strategies (9.2.1) from affected and interested stakeholders and experts.

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 **If High Conservation Values are identified in *the smallholder's forest or immediate vicinity (9.1.1)*, the smallholder** implements strategies and actions in *the smallholder's forest* that maintain and/or enhance the identified High Conservation Values.

9.3.2 *The smallholder* immediately stops *forestry activities* that might damage any new High Conservation Values that are found during *forestry activities* in *the smallholder's forest*.

Applicability Note: *Indicators 9.1.1 and 9.1.2 require that an assessment is completed, but if no High Conservation Values are identified, Indicator 9.3.1 is not applicable. However, Indicator 9.3.2 requires that forestry activities must stop if any new HCVs, not identified in the assessment, are found.*

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 **If High Conservation Values are identified in *the smallholder's forest or immediate vicinity (9.1.1)*, the smallholder** periodically monitors the High Conservation Values and the implementation of plans to maintain and/or enhance the values in *the smallholder's forest*.

9.4.2 **If High Conservation Values are identified in *the smallholder's forest or immediate vicinity (9.1.1)*, the smallholder** consults with *customary rights and use rights holders, stakeholders* and experts about monitoring results and adapts the management strategies accordingly.

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 *The smallholder* promptly replants or regrows trees on harvested sites using native species or appropriate non-native species that have been used locally in the past or are shown to be non-invasive in the local area.

Explanatory Note: *Non-native species are those species that did not occur naturally in the smallholder's location. They are species that have been imported from elsewhere. In many situations those non-native species have become locally common and have adapted to local environments and are not harmful to the local environment. Thus, locally known species may include non-native species if those species are present in the smallholder's location and are known to be non-invasive.*

"Invasive" refers to non-native species that spread rapidly and that compete with, and have negative impacts on, the local native species.

The terms "native", "non-native" and "invasive" are defined in the Glossary.

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 *The smallholder* follows the objectives in the management plan for planting or growing trees.

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 *The smallholder* does not use non-native invasive species.

10.3.2 **If requested by regulatory bodies**, *the smallholder* co-operates in programs to control invasive impacts of non-native species growing in *the smallholder's forest*.

Explanatory Note: *The term "invasive" is defined in the Glossary.*

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

10.4.1 *The smallholder* does not use genetically modified organisms in the *smallholder's forest*.

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

10.5.1 *The smallholder* uses appropriate practices to plant or grow trees.

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 smallholder minimizes or avoids not-natural fertilizer use in the smallholder's forest.*

10.6.2 *The smallholder or their named representative keeps a record of the types and rates and places where not-natural fertilizers are used in the smallholder's forest.*

10.6.3 *The smallholder protects environmental values when fertilizers are used in the smallholder's forest.*

10.6.4 *The smallholder repairs any environmental damage resulting from the use of fertilizers in the smallholder's forest.*

Explanatory Note: *This Criterion and IGI Indicators refer to “fertilizers”. For the purposes of this Standard, “not-natural fertilizers” are defined in the Glossary as “mineral” or “not natural” fertilizers, often referred to as “synthetic” or “chemical” or “inorganic” fertilizers. The Indicators in this Criterion do not prevent the use of “organic” fertilizers, such as animal waste or composted plant material or other organic waste in the smallholder's forest.*

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 *The smallholder minimizes or avoids the use of chemical pesticides in the smallholder's forest.*

10.7.2 *The smallholder does not use or store any chemical pesticides prohibited by FSC policy in the smallholder's forest.*

10.7.3 **If chemical pesticides are used** *in the smallholder's forest, the smallholder or their named representative keeps a record of the types and rates and places where chemical pesticides are used.*

10.7.4 **If chemical pesticides are used** *in the smallholder's forest, the smallholder or their named representative transports and stores them safely.*

10.7.5 **If chemical pesticides are used** *in the smallholder's forest, the smallholder uses them in ways that reduce risks to people and the environment.*

10.7.6 **If chemical pesticides are used** *in the smallholder's forest, the smallholder provides an appropriate reason for the choice over non-chemical alternatives.*

10.7.7 **If production of honey or fruit or any other edible non-timber forest products is included within the forestry activities**, chemical pesticides are not used *in the smallholder's forest.*

Explanatory Note: *The ILO 1993 document “Safety in the Use of Chemicals at Work” provides guidance on the safe storage, transport and use of pesticides including the use of personal protective equipment during application of chemical pesticides.*

- 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 smallholder minimizes or avoids the use of biological control agents in the smallholder's forest.*
- 10.8.2 **If biological control agents are used** in the *smallholder's forest*, the *smallholder* uses them in appropriate ways.
- Explanatory Note:** *The reference to using biological control agents in "appropriate ways" includes complying with internationally accepted scientific protocols and preventing environmental damage.*
- 10.8.3 **If biological control agents are used** in the *smallholder's forest*, the *smallholder* or their *named representative* keeps a record of the types, amount and places where biological control agents are used.
- Explanatory Note:** *The term "biological control agents" is defined in the Glossary. They are organisms that are used to control insects or pests or other organisms that are harmful to the forest resources.*
- 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 *The smallholder carries out forestry activities in ways that reduce the risk of fire and other natural hazards in the smallholder's forest and the immediate vicinity.*
- 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 *The smallholder builds roads and/or trails and transports material in ways that protect environmental values identified in Criterion 6.1.*
- 10.10.2 *The smallholder immediately repairs any damage to watercourses, soils or threatened species or habitats caused by the smallholder's forestry activities.*

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 *The smallholder* protects environmental values, including standing trees and woody debris, in harvesting and removing timber and non-timber products.

10.11.2 *The smallholder* uses, or allows others to use, the full variety of products resulting from harvesting.

10.11.3 *The smallholder* leaves some dead and decaying biomass on harvested sites to conserve *environmental values*.

Explanatory Note: *Retention of trees, woody debris and dead and decaying biomass is important to prevent soil erosion and protect habitat for birds and small mammals.*

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

10.12.1 *The smallholder* collects, transports and disposes of waste in appropriate ways.

G Annexes

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

Explanatory Note: This annex is copied without change from The FSC Forest Stewardship Standard for Thailand.

The following is the minimum list of applicable laws, regulations and nationally-ratified international treaties, conventions and agreements:

1. Legal rights to harvest	
1.1. Land tenure and management rights	<p>Legislation covering land <i>tenure</i> rights, including customary rights as well as management rights, that includes the use of legal methods to obtain <i>tenure</i> rights and management rights. It also covers legal business registration and tax registration, including relevant legally required licenses.</p> <ul style="list-style-type: none"> • National Reserved Forests Act B.E. 2507 (No. 4) B.E. 2559 • Forest plantation act, B.E. 2535 (No. 2) B.E. 2558 • Forest Act, B.E. 2484 (No. 8) B.E. 2562 • National Land Policy Committee Act, B.E. 2562 (2019) • Rubber Authority of Thailand Act, B.E. 2558 (2015) • Land and buildings tax act, BE 2562 (2019) • “Ratchaphatsadu” Land Act, B.E. 2518 (1975) • Community Forest Act B.E. 2562 (2019) • Land Lease for Agriculture Act, B.E. 2524 (1981)
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. Bribery, corruption and nepotism are particularly well-known issues that are connected with concession licenses.</p> <p>National Reserved Forests Act B.E. 2507 (No. 4) B.E. 2559</p>
1.3. Management and harvesting planning	<p>Any national or sub-national legal 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 legally <i>competent</i> authorities.</p> <ul style="list-style-type: none"> • National Land Policy Committee Act, B.E. 2562 (2019) • Forest Act, B.E. 2484 (No. 8) B.E. 2562 • National Park Act B.E. 2562 (2019) • Community Forest Act B.E. 2562 (2019) • National Reserved Forests Act B.E. 2507 (No. 4) B.E. 2559 • Rubber Authority of Thailand Act, B.E. 2558 (2015)
1.4. Harvesting permits	<p>National or sub-national laws and regulations regulating procedures for issuing harvesting permits, licenses or other legal documents required for specific harvesting operations. This includes the use of legal methods to obtain the permits. Corruption is a well-known issue that is connected with the issuing of harvesting permits.</p> <ul style="list-style-type: none"> • Rubber Authority of Thailand Act, B.E. 2558 (2015) • FOREST PLANTATION ACT, B.E. 2535 (No. 2) B.E. 2558 • Community Forest Act B.E. 2562 (2019)

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. Incorrect classification of <i>forest</i> products is a well-known issue that is often combined with bribery of officials in charge of controlling the classification.</p> <ul style="list-style-type: none"> • Land and Buildings Tax Act, B.E. 2562 (2019) • Forest Act, B.E. 2484 (No. 8) B.E. 2562 • National Reserved Forests Act B.E. 2507 (No. 4) B.E. 2559
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 <i>forest</i> (standing stock sales).</p> <ul style="list-style-type: none"> • Act Promulgating the Revenue Code, B.E. 2481. (1938)
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 and is not related to salary payments.</p> <ul style="list-style-type: none"> • Land Code Promulgating Act, BE 2497 (1954) • Act Promulgating the Revenue Code, B.E. 2481. (1938)
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, <i>minimum age</i> and/or diameter for felling activities, and elements that shall be preserved during felling, etc. Establishment of skidding or hauling trails, road construction, drainage systems and bridges, etc., shall also be considered as well as the planning and monitoring of harvesting activities. Any legally binding codes for harvesting practices shall be considered.</p> <ul style="list-style-type: none"> • Forest Act, B.E. 2484 (No. 8) B.E. 2562 • National Reserved Forests Act B.E. 2507 (No. 4) B.E. 2559 • Forest plantation act, B.E. 2535 (No. 2) B.E. 2558 • Chain Saws Act, B.E. 2545 (2002) • Land Transport Act, BE 2522 (1979) • Enhancement and Conservation of the National Environmental Quality Act, B.E. 2535 (1992) • Motor Vehicle Act, BE 2522 (1979) • Land Lease for Agriculture Act, B.E. 2524 (1981) • Land Code Promulgating Act, BE 2497 (1954) <p>Typically, this includes regulations on the size of felling areas, minimum age and/or diameter for felling activities, and elements that <i>shall</i> be preserved during felling, etc. Establishment of skidding or hauling trails, road construction, drainage systems and bridges, etc., <i>shall</i> also be considered as well as the planning and monitoring of harvesting activities. Any legally binding codes for harvesting practices <i>shall</i> be considered.</p> <ul style="list-style-type: none"> • Enhancement and Conservation of the National Environmental Quality Act, B.E. 2535 (1992) • Land Excavation and Land Filling. Act B.E. 2543

	<ul style="list-style-type: none"> • Forest plantation act, B.E. 2535 (No. 2) B.E. 2558
<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 species, including their <i>habitats</i> and potential <i>habitats</i>.</p> <ul style="list-style-type: none"> • Forest Act, B.E. 2484 (No. 8) B.E. 2562 • National Reserved Forests Act B.E. 2507 (No. 4) B.E. 2559 • National Park Act, B.E. 2562 (2019) • Wildlife Conservation and Protection Act B.E. 2562 (2019) • Marine and coastal resources management promotion act, B.E. 2558 (2015) • Plant Variety Protection Act B.E. 2542 (1999) • The Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)
<p>3.3. Environmental requirements</p>	<p>National and sub national laws and regulations related to the identification and/or <i>protection</i> of <i>environmental values</i> 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 <i>pesticides</i> and other chemicals, biodiversity <i>conservation</i>, air quality, <i>protection</i> and <i>restoration</i> of water quality, operation of recreational equipment, development of non-forestry <i>infrastructure</i>, mineral exploration and extraction, etc.</p> <ul style="list-style-type: none"> • Enhancement and Conservation of the National Environmental Quality Act, B.E. 2535 (1992) • Hazardous Substance Act B.E. 2535 (1992) and its amendments
<p>3.4. Health and safety</p>	<p>Legally required personal <i>protection</i> equipment for persons involved in harvesting activities, implementation of safe felling and transport practices, establishment of <i>protection</i> 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 <i>forest</i> operations).</p> <ul style="list-style-type: none"> • Public Health Act, B.E. 2535 (1992) Amendment B.E. 2550 (2007) • Occupational Safety, Health and Environment Act B.E. 2535 (1992) Amendment B.E. 2554 (2011) • International Labor Organization (ILO) • Labour Protection Act B.E. 2541 (1998) and its amendments • Land Transport Act, BE 2522 (1979) • Hazardous Substance Act B.E. 2535 (1992) and its amendments • Beasts of burden act, B.E. 2482 (1939)
<p>3.5. Legal employment</p>	<p>Legal requirements for <i>employment</i> 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 <i>minimum age</i> for personnel involved in <i>hazardous work</i>, legislation against forced and compulsory labor, and <i>discrimination</i> and freedom of association.</p> <ul style="list-style-type: none"> • Labor Relations Act, B.E. 2518 (1975)

	<ul style="list-style-type: none"> • State Enterprise Labor Relations Act B.E. 2534 (1991) • Foreigners' Working Management Emergency Decree, (No.1) B.E. 2560 (2017) • Foreigners' Working Management Emergency Decree, (No.2) B.E. 2561 (2018) • Labor Protection Act, B.E. 2541 (1998) and its amendments • Ministerial Regulation Concerning Labour Protection in Agricultural Work B.E.2557 (2014) • Social Security Act, B.E. 2533 (1990) Amendment B.E. 2558 (2015) • Anti Human Trafficking Act, B.E. 2551 (2008) • Compulsory Education Act, BE 2545 (2002) • Gender Equality Act, B.E. 2558 (2015)
4. Third parties' rights	
4.1. Customary rights	<p>Legislation covering customary rights relevant to <i>forest</i> harvesting activities, including requirements covering the sharing of benefits and indigenous rights.</p> <ul style="list-style-type: none"> • Constitution of the Kingdom of Thailand, Sections 43 and 57 • Cabinet Resolution on Restoration of Sea People's Way of Life, 2 June B.E. 2553 (2010) • Enhancement and Conservation of the National Environmental Quality Act, B.E. 2535 (1992)
4.2. Free Prior and Informed Consent	<p>Legislation covering “free prior and informed consent” 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> <ul style="list-style-type: none"> • Declaration on the Rights of Indigenous Peoples • Convention No. 169 concerning Indigenous and Tribal Peoples in Independent Countries of the International Labor Organization
4.3. Indigenous Peoples' rights	<p>Legislation that regulates the rights of Indigenous Peoples as far as it is related to <i>forestry activities</i>. 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> <ul style="list-style-type: none"> • Cabinet Resolution on Restoration of Sea People's Way of Life, 2 June B.E. 2553 (2010) • Constitution of the Kingdom of Thailand, Sections 43 and 57
5. Trade and transport	
<p>NOTE: This section covers requirements for forest management operations as well as processing and trade.</p>	
5.1. Classification of species, quantities, qualities	<p>Legislation regulating how harvested material is classified in terms of species, volumes and qualities in connection with trade and transport. Incorrect classification of harvested material is a well-known method to reduce or avoid payment of legally prescribed taxes and fees.</p> <ul style="list-style-type: none"> • Forest Plantation Act, B.E. 2535 (No. 2) B.E. 2558 • Forest Act, B.E. 2484 (No. 8) B.E. 2562
5.2. Trade and transport	<p>All required trading and transport permits shall exist as well as legally required transport documents which accompany the transport of wood from <i>forest</i> operations.</p> <ul style="list-style-type: none"> • Forest plantation act, B.E. 2535 (No. 2) B.E. 2558

	<ul style="list-style-type: none"> • Forest Act, B.E. 2484 (No. 8) B.E. 2562
<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 forest operations and personnel involved in the harvesting operation. Many countries have established legislation covering transfer pricing and offshore trading. It should be noted that only transfer pricing and offshore trading, as far as it is legally prohibited in the country, can be included here.</p> <ul style="list-style-type: none"> • United Nations Convention on Contracts for the International Sale of Goods • Foreign business act, B.E.2542 (1999) • Revenue Code Amendment Act (No. 47) B.E. 2561 (2018)
<p>5.4. Custom regulations</p>	<p>Custom legislation covering areas such as export/import licenses and product classification (codes, quantities, qualities and species).</p> <ul style="list-style-type: none"> • Business Registration Act, BE 2499 (1956) • Export And Import of Goods Act, B.E. 2522 (No. 2) B.E. 2558 • Forest Act, B.E. 2484 (No. 8) B.E. 2562 • Rubber Authority of Thailand Act, B.E. 2558 (2015)
<p>5.5. CITES</p>	<p>CITES permits (the Convention on International Trade in Endangered Species of Wild Fauna and Flora, also known as the Washington Convention).</p> <ul style="list-style-type: none"> • CITES; http://checklist.cites.org/#/en • UCN; https://www.iucnredlist.org/ <p>For Thailand, examples of references sources are</p> <ul style="list-style-type: none"> • List of wildlife in according to Wildlife Preservation and Protection Act, B.E.2562 <p>http://chm-thai.onep.go.th/mobilesite/data.php</p>
<p>6. Due diligence / due care</p>	
<p>6.1. Due diligence / due care procedures</p>	<p>Legislation requiring due diligence/due care procedures, including, e.g., due diligence/due care systems, declaration obligations, and/or the keeping of trade related documents, etc.</p> <ul style="list-style-type: none"> • Forest plantation act, B.E. 2535 (No. 2) B.E. 2558 • Forest Act, B.E. 2484 (No. 8) B.E. 2562 • Plant Variety Protection Act B.E. 2542 (1999)
<p>7. Ecosystem Services</p>	
<p>Legislation covering ecosystem services rights, including customary rights as well as management rights that include the use of legal methods to make claims and obtain benefits and management rights related to ecosystem services. National and subnational laws and regulations related to the identification, protection and payment for ecosystem services. Also includes legal business registration and tax registration, including relevant legal required licenses for the exploitation, payment, and claims related to ecosystem services (including tourism).</p> <ul style="list-style-type: none"> • Community Forest Act B.E. 2562 (2019) • Enhancement and Conservation of the National Environmental Quality Act, B.E. 2535 (1992) • National Park Act, B.E. 2562 (2019) • National Reserved Forests Act B.E. 2507 (No. 4) B.E. 2559 	

- Forest Act, B.E. 2484 (No. 8) B.E. 2562
- Wildlife Conservation and Protection Act B.E. 2562 (2019)
- Forest plantation act, B.E. 2535 (No. 2) B.E. 2558

Annex B Training requirements for workers

Explanatory Note: *This annex is copied without change from The FSC Forest Stewardship Standard for Thailand.*

Workers shall be able to:

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

Annex C Elements of the Management plan

Explanatory Note: *This annex is copied without changes from Annex E of The FSC Forest Stewardship Standard (FSS) for Thailand. This Annex provides support and guidance for fulfilling the requirements of Principle 7 of this standard.*

1. The results of assessments, including:
 - Natural resources and environmental values, as identified in Principle 6 and Principle 9;
 - Social, economic and cultural resources and condition, as identified in Principle 6, Principle 2 to Principle 5 and Principle 9;
 - Intact Forest Landscapes and core areas*, as identified in Principle 9; (refer to the Global Forest watch website as one source for identifying IFL identification)
 - Indigenous cultural landscapes, as identified with affected rights holders in Principle 3 and Principle 9;
 - Major social and environmental risks in the area, as identified in Principle 6, Principle 2 to Principle 5 and Principle 9; and
 - 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:
 - Workers' rights, occupational health and safety, gender equality, as identified in Principle 2;
 - Indigenous Peoples, community relations, local economic and social development, as identified in Principle 3, Principle 4 and Principle 5;
 - Stakeholder engagement and the resolution of disputes and grievances, as identified in Principle 1, Principle 2 and Principle 7;
 - Planned management activities and timelines, silvicultural systems used, typical harvesting methods and equipment, as identified in Principle 10;
 - The rationale for harvesting rates of timber and other natural resources, as identified in Principle 5.
3. Measures to conserve and/or restore:
 - Rare and threatened species and habitats;
 - Water bodies and riparian zones;
 - Landscape connectivity, including wildlife corridors;
 - Ecosystem services when FSC ecosystem services claims are used as identified in Criterion 5.1;
 - Representative Sample Areas, as identified in Principle 6; and
 - High Conservation Values, as identified in Principle 9.
4. Measures to assess, prevent, and mitigate negative impacts of management activities on:
 - Environmental values, as identified in Principle 6 and Principle 9;
 - Ecosystem services when FSC ecosystem services claims are used as identified in Criterion 5.1;
 - Social Values and Indigenous cultural landscapes, as identified in Principle 2 to Principle 5 and Principle 9; and

- Intact Forest Landscapes and core areas, as identified in Principle 9.
5. A description of the monitoring program, as identified in Principle 8, including:
- Growth and yield, as identified in Principle 5;
 - Ecosystem services when FSC ecosystem services claims are used as identified in Criterion 5.1;
 - Environmental values, as identified in Principle 6;
 - Operational impacts, as identified in Principle 10;
 - High Conservation Values, as identified in Principle 9;
 - Monitoring systems based on stakeholder engagement planned or in place, as identified in Principle 2 to Principle 5 and Principle 7;
 - Maps describing the natural resources and land use zoning on the Management Unit;
 - Description of the methodology to assess and monitor any development and land use options allowed in Intact Forest Landscapes and core areas including their effectiveness in implementing the precautionary approach;
 - Description of the methodology to assess and monitor any development and land use options allowed in Indigenous cultural landscapes including their effectiveness in implementing the precautionary approach; and
 - Global Forest Watch map, or more accurate national or regional map, describing the natural resources and land use zoning on the Management Unit, including the Intact Forest Landscapes core areas.

Annex D Monitoring requirements

Explanatory Note: This annex is adapted from The FSC Forest Stewardship Standard for Thailand, Annex G. It provides guidance on the monitoring requirements in Principle 8.

Part A of the Annex G of the FSS has not been included here, as it is only applicable for large (i.e. non-SLIMF) operations in Thailand.

Part B of the Annex G of the FSS (applicable to SLIMF operations) is copied without change, except that the Criteria that are not applicable (e.g. 5.3) have not been included.

1) Monitoring in 8.2.1 is sufficient to identify and describe the environmental impacts of management activities, including where applicable:

- Invasiveness or other adverse impacts associated with any alien species within and outside the Management Unit (Criterion 10.3);
- The results of silvicultural activities (Criterion 10.5);
- Adverse impacts to environmental values from fertilizers (Criterion 10.6);
- Adverse impacts from the use of pesticides (Criterion 10.7);
- The impacts from natural hazards (Criterion 10.9);
- 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);

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

- Compliance with Applicable laws, local laws, ratified international conventions and Obligatory codes of practice (Criterion 1.5);
- Resolution of disputes and grievances (Criterion 1.6, Criterion 2.6, Criterion 4.6);
- Programs and activities regarding workers' rights (Criterion 2.1);
- Gender equality, Sexual harassment and gender *discrimination* (Criterion 2.2);
- Programs and activities regarding occupational health and safety (Criterion 2.3);
- Payment of wages (Criterion 2.4);
- Worker Training (Criterion 2.5);
- Where pesticides are used, the health of workers exposed to pesticides (Criterion 2.5 and Criterion 10.7);
- Full implementation of the terms in binding agreements (Criterion 3.2 and Criterion 4.2);
- Indigenous Peoples and community relations (Criterion 3.2, Criterion 3.3 and Criterion 4.2);
- 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);
- Local economic and social development (Criterion 4.2, Criterion 4.3, Criterion 4.4, Criterion 4.5);
- The production of diversified benefits and / or products (Criterion 5.1);
- Actual compared to projected annual harvests of timber and non-timber forest products (Criterion 5.2);
- Long term economic viability (Criterion 5.5); and
- 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:

- 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);
- Rare and threatened species, and the effectiveness of actions implemented to protect them and their habitats(Criterion 6.4)
- Naturally occurring native species and biological diversity and the effectiveness of actions implemented to conserve and/or restore them (Criterion 6.6);
- Water courses, water bodies, water quantity and water quality and the effectiveness of actions implemented to conserve and/or restore them (Criterion 6.7);
- High Conservation Values 1 to 4 identified in Criterion 9.1 and the effectiveness of actions implemented to maintain and/or enhance them.

Annex E High Conservation Values Framework

Explanatory Note: *This annex is copied without change from The FSC Forest Stewardship Standard for Thailand. It provides guidance about the requirements in Principle 9 to assess high conservation values, develop strategies to maintain high conservation values if they exist, and to monitor implementation. The term “HCV assessment” is defined in the Glossary.*

1. Introduction

Since the High Conservation Value (HCV) approach was first developed by the Forest Stewardship Council (FSC), it has proven useful for identifying and managing environmental and social values in production landscapes. HCV is now widely used in certification standards (forestry, agriculture and aquatic systems) and more generally for resource use and conservation planning. In recent years there has been growing concern amongst members of the HCV Resource Network (HCVRN), HCV practitioners and other interested parties, that the approach has not been applied consistently across different natural resource sectors or geographies.

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.

In the HCV framework, following documents have been referred to:

- Common Guidance for the identification of High Conservation Values’, developed by the HCV Resource Network (2013)
- Common guidance for the management and monitoring of High Conservation values, developed by the HCV Resource Network (2014).

FSC certificate holders are advised to refer to those two documents, in addition to this HCV framework, to obtain further details on HCV identification, management and monitoring, where needed.

The overarching strategies for maintaining HCVs are outlined below:

- HCV 1 – Protection zones, harvest prescriptions, and/or other strategies to protect threatened, endangered, endemic species, or other concentrations of biological diversity and the ecological communities and habitats upon which they depend, sufficient to prevent reductions in the extent, integrity, quality, and viability of the habitats and species occurrences. Where enhancement is identified as the objective, measures to develop, expand, and/or restore habitats for such species are in place.
- HCV 2 – Strategies that fully maintain the extent and intactness of the forest ecosystems and the viability of their biodiversity concentrations, including plant and animal indicator species, keystone species, and/or guilds associated with large intact natural forest ecosystems. Examples include protection zones and set-aside areas, with any commercial activity in areas that are not set-aside being limited to low-intensity operations that fully maintain forest structure, composition, regeneration, and disturbance patterns at all times. Where enhancement is identified as the objective, measures to restore and reconnect forest ecosystems, their intactness, and habitats that support natural biological diversity are in place.
- HCV 3 – Strategies that fully maintain the extent and integrity of rare or threatened ecosystems, habitats, or refugia. Where enhancement is identified as the objective, measures to restore and/or develop rare or threatened ecosystems, habitats, or

refugia are in place.

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

HCV 5 – Strategies to protect the community’s and/or Indigenous Peoples’ needs in relation to the Management Unit are developed in cooperation with representatives and members of local communities and Indigenous Peoples.

HCV 6 – Strategies to protect the cultural values are developed in cooperation with representatives and members of local communities and Indigenous Peoples.

Section 1. 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.

Overarching Best Available Information for Assessments

Best Available Information for Identifying and Assessing National HCV Designations	
All HCV Categories: All Elements	<ul style="list-style-type: none"> • Data, facts, documents, expert opinions, and results of field surveys or consultations with stakeholders that are most credible, accurate, complete, and/or pertinent and that can be obtained through reasonable effort and cost, subject to the scale and intensity of the management activities and the Precautionary Approach. • High Conservation Value surveys of the MU; relevant databases and maps; culturally appropriate engagement with Indigenous Peoples, affected rights holders, affected and interested stakeholders, and relevant local and regional experts; FSC-GUI-30-003 FSC Guidelines for the Implementation of the Right to Free, Prior and Informed Consent (FPIC) (2021) (or subsequent versions when approved); review of the results by knowledgeable expert(s) independent of The Organization.
HCV 2: Element 1, IFLs	<ul style="list-style-type: none"> • Global Forest Watch Intact Forest Landscapes maps www.globalforestwatch.org , or other maps based on a more recent and accurate Intact Forest Landscapes inventory using a refined methodology.
HCV 5: Element 1, Values fundamental to local communities	<ul style="list-style-type: none"> • Culturally appropriate engagement with local communities. Note this shall be the primary BAI for these elements.
HCV 5: Element 2, Values fundamental to Indigenous Peoples	<ul style="list-style-type: none"> • Culturally appropriate engagement with Indigenous Peoples. Note this shall be the primary BAI for these elements. • Engagement with local administrative organization/agencies to determine the existence of Indigenous people.
HCV 6: Element 2, Values important to local communities	<ul style="list-style-type: none"> • Culturally appropriate engagement with local communities. Note this shall be the primary BAI for these elements.

HCV 6: Element 3, Values important to Indigenous Peoples

- Culturally appropriate engagement with Indigenous Peoples. Note this shall be the primary BAI for these elements.

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 for 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.

Best Available Information for Developing Management Strategies for National HCV Designations	
All HCV Categories, All Elements	<ul style="list-style-type: none"> • Identification of threats, using: Data, facts, documents, expert opinions, and results of field surveys or consultations with stakeholders that are most credible, accurate, complete, and/or pertinent and that can be obtained through reasonable effort and cost, subject to the scale and intensity of the management activities and the Precautionary Approach. • Engagement with Indigenous Peoples, affected rights holders, affected and interested stakeholders, and experts. • Engagement with local administrative organization/agencies to determine the existence of Indigenous people.
HCV 5: Element 1, Values fundamental to local communities	<ul style="list-style-type: none"> • Culturally appropriate engagement with local communities. Note this shall be the primary BAI for these elements. Note the “fundamentality” of the resource should be determined in collaboration with the local communities.
HCV 5: Element 2, Values fundamental to Indigenous Peoples	<ul style="list-style-type: none"> • Culturally appropriate engagement with Indigenous Peoples. Note this shall be the primary BAI for these elements. Note the “fundamentality” of the resource should also be determined in collaboration with the Indigenous peoples.
HCV 6: Element 2, Values important to local communities	<ul style="list-style-type: none"> • Culturally appropriate engagement with local communities. Note this shall be the primary BAI for these elements. Note that “critical... importance” should be understood as an outcome of engagement with the local communities
HCV 6: Element 3, Values important to Indigenous Peoples	<ul style="list-style-type: none"> • Culturally appropriate engagement with Indigenous Peoples. Note this shall be the primary BAI for these elements. Note that “critical... importance” should be understood as an outcome of engagement with the Indigenous Peoples.

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 of 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.

Best Available Information for Monitoring Regional or National HCV Designations	
All HCV Categories, All Elements	<ul style="list-style-type: none"> Engagement with rights-holders, consistent with Criteria 3.5, 4.5 and 4.7; culturally appropriate engagement with Indigenous Peoples and affected and interested stakeholders; information on engaging with representatives of the Indigenous Peoples and/or local communities; monitoring conducted by the Indigenous Peoples and/or local communities; and engagement with experts. The consulting of monitoring data from government agencies (DNP, Conservation associations, Birdlife, zoological and research organisations).

Section 2.

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: Identification of HCV 1. Description of Best Available Information in Thailand for identifying HCV1. (See also the Overarching BAI, Section A.)

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

National designations of this HCV element	Best Available Information to identify this HCV designation
Protected areas, under the Thailand Department of National Parks (DNP), The Thailand Royal Forest Department (RFD), including: nature reserves; forest reserves; natural parks; nature monuments; resource management areas; closed or controlled areas; World Heritage Sites; lands with conservation deeds; marine protected areas with mangroves or forest components; areas protected by Indigenous Peoples and local communities, including Community Conservation Areas, areas covered by community based resource management agreements.	<ul style="list-style-type: none"> CITES implementation reports for Thailand https://cites.org/eng/parties/country-profiles/th/reports Species listed in Appendixes I and II of CITES; http://checklist.cites.org https://www.iucnredlist.org/search/list?query=Thailand&searchType=species Thailand Red Data list https://www.pangolinsg.org/wp-content/uploads/sites/4/2018/06/Nabhitabhata_Chan_ard_2005_Thailand-Red-Data-Book_Mammals-et-al..pdf Office for Natural Resources and Environmental Policies and Planning (ONEP) https://www.onep.go.th/ The world bird database https://avibase.bsc-eoc.org/checklist.jsp?region=TH List of Protected areas in Thailand https://www.protectedplanet.net/country/THA List and Maps of Key Biodiversity area (KBA) https://www.keybiodiversityareas.org/sites/search Species listed by WWF as flagship http://wwf.panda.org/knowledge_hub/endangered_species/ Species listed by BirdLife Internationa Habitat maps (by DNP) Distribution of HCV spp (by DNP) (if any) https://www.rspo.org/geo-rspo

	<ul style="list-style-type: none"> • http://www.keybiodiversityareas.org/site/mapsearch
<p>Forests adjacent to protected areas and proposed protected areas, including buffers; forests that provide habitats for the same biodiversity; and forest that provide habitat connectivity or other supporting values.</p>	<p>See above and section A overarching BAI and the following</p> <ul style="list-style-type: none"> • CITES implementation reports for Thailand https://cites.org/eng/parties/country-profiles/th/reports • Species listed in Appendixes I and II of CITES; http://checklist.cites.org • https://www.iucnredlist.org/search/list?query=Thailand&searchType=species • Thailand Red Data list https://www.pangolinsg.org/wp-content/uploads/sites/4/2018/06/Nabhitabhata_Chan_ard_2005_Thailand-Red-Data-Book_Mammals-et-al..pdf • Office for Natural Resources and Environmental Policies and Planning (ONEP) https://www.onep.go.th/ • The world bird database https://avibase.bsc-eoc.org/checklist.jsp?region=TH • List of Protected areas in Thailand https://www.protectedplanet.net/country/THA • List and Maps of Key Biodiversity area (KBA) https://www.keybiodiversityareas.org/sites/search • Species listed by WWF as flagship http://wwf.panda.org/knowledge_hub/endangered_species/ • Species listed by BirdLife International • Habitat maps (by DNP or researchers) • Distribution of HCV spp (by DNP) (if any) • https://www.rspo.org/geo-rspo <p>http://www.keybiodiversityareas.org/site/mapsearch</p> <ul style="list-style-type: none"> • List of individual Heritage Trees by the ministry of culture (www.m-culture.go.th)
<p>Critical temporal concentrations of biodiversity, e.g.: fish spawning sites including mangrove forests, and high and low water refuges in woodlands, wetlands, and floodplains.</p>	<p>See above and section A overarching BAI and the following</p> <ul style="list-style-type: none"> • CITES implementation reports for Thailand https://cites.org/eng/parties/country-profiles/th/reports • Species listed in Appendixes I and II of CITES; http://checklist.cites.org • https://www.iucnredlist.org/search/list?query=Thailand&searchType=species • Thailand Red Data list https://www.pangolinsg.org/wp-content/uploads/sites/4/2018/06/Nabhitabhata_Chan_ard_2005_Thailand-Red-Data-Book_Mammals-et-al..pdf • Office for Natural Resources and Environmental Policies and Planning (ONEP) https://www.onep.go.th/ • The world bird database https://avibase.bsc-eoc.org/checklist.jsp?region=TH • List of Protected areas in Thailand https://www.protectedplanet.net/country/THA • List and Maps of Key Biodiversity area (KBA) https://www.keybiodiversityareas.org/sites/search • Species listed by WWF as flagship http://wwf.panda.org/knowledge_hub/endangered_species/ • Species listed by BirdLife International • Habitat maps (by DNP) • Distribution of HCV spp (by DNP) (if any) • https://www.rspo.org/geo-rspo

	http://www.keybiodiversityareas.org/site/mapsearch
<p>Other concentrations of biodiversity, e.g.: unlogged lowland forests; remnant natural forests in degraded landscapes; mangroves, streams, and swamps (for both fresh and saltwater fish diversity).</p>	<p>See above and section A overarching BAI and the following</p> <ul style="list-style-type: none"> • CITES implementation reports for Thailand https://cites.org/eng/parties/country-profiles/th/reports • Species listed in Appendixes I and II of CITES; http://checklist.cites.org • https://www.iucnredlist.org/search/list?query=Thailand&searchType=species • Thailand Red Data list https://www.pangolinsg.org/wp-content/uploads/sites/4/2018/06/Nabhitabhata_Chan_ard_2005_Thailand-Red-Data-Book_Mammals-et-al..pdf • Office for Natural Resources and Environmental Policies and Planning (ONEP) https://www.onep.go.th/ • The world bird database https://avibase.bsc-eoc.org/checklist.jsp?region=TH • List of Protected areas in Thailand https://www.protectedplanet.net/country/THA • List and Maps of Key Biodiversity area (KBA) https://www.keybiodiversityareas.org/sites/search • Species listed by WWF as flagship http://wwf.panda.org/knowledge_hub/endangered_species/ • Species listed by BirdLife International • Habitat maps (by DNP) • Distribution of HCV spp (by DNP) (if any) • https://www.rspo.org/geo-rspo <p>http://www.keybiodiversityareas.org/site/mapsearch</p>
<p>Terrestrial animal species examples in Thailand would include.</p> <p>White-eyed River-Martin (Pseudochelidon sirintarae),</p> <p>Javan Rhinoceros (Rhinoceros sondaicus),</p> <p>Sumatran Rhinoceros (Dicerorhinus sumatrensis),</p> <p>Kouprey (Bos sauveli),</p> <p>Wild water buffalo (Bubalus bubalis),</p> <p>Brow-antlered Deer (Cervus eldi),</p> <p>Schomburgk's deer (Cervus schomburki),</p> <p>Chinese goral (Naemorhedus griseus),</p> <p>Gurney's Pitta (Pitta gurneyi)</p> <p>Sarus crane (Grus Antigone),</p> <p>Marbled cat (Pardofelis marmorata),</p>	<p>See above and section A overarching BAI and the following</p> <ul style="list-style-type: none"> • CITES implementation reports for Thailand https://cites.org/eng/parties/country-profiles/th/reports • Species listed in Appendixes I and II of CITES; http://checklist.cites.org • https://www.iucnredlist.org/search/list?query=Thailand&searchType=species • Thailand Red Data list https://www.pangolinsg.org/wp-content/uploads/sites/4/2018/06/Nabhitabhata_Chan_ard_2005_Thailand-Red-Data-Book_Mammals-et-al..pdf • Office for Natural Resources and Environmental Policies and Planning (ONEP) https://www.onep.go.th/ • The world bird database https://avibase.bsc-eoc.org/checklist.jsp?region=TH • List of Protected areas in Thailand https://www.protectedplanet.net/country/THA • List and Maps of Key Biodiversity area (KBA) https://www.keybiodiversityareas.org/sites/search • Species listed by WWF as flagship http://wwf.panda.org/knowledge_hub/endangered_species/ • Species listed by BirdLife International • Habitat maps (by DNP) • Distribution of HCV spp (by DNP) (if any) • https://www.rspo.org/geo-rspo <p>http://www.keybiodiversityareas.org/site/mapsearch</p>

<p>Malayan tapir (<i>Tapirus indicus</i>), Fea's muntjac (<i>Muntiacus feai</i>), Serow (<i>Capricornis sumatraensis</i>), Helmeted hornbill (<i>Rhinoplax vigil</i>) Regal crab (<i>Thaiphusa Sirikit</i>), Pangolin (<i>Manis culionensis</i>), Elephant, Tiger, Guar, Banteng, Guar, Bear.</p>	
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Element 2: Concentrations of endemic species that are *significant* at global, regional, or national levels:

National designations of this HCV element	Best Available Information to identify this HCV designation
<p>Known hotspots for endemic flora or fauna in Thailand.</p> <p>Examples of such hotspots include the following.</p> <p>For Amphibians & Reptiles: Thung Yai Naresuan, Kaeng Krachan, Huai Yai, Sakaerat, Khao Sip Ha Chan.</p> <p>For Birds: Hala-Bala, Khao Luang, Kaeng Krachan, Khao Pra Bang Kram, Khao Sok, Laem Pak, Si Phang Nga, Thung Yai Naresuan, Khao Yai, Huai Kha Khaeng.</p> <p>For mammals: Hui Kha Khaeng, Khao Yai, Thung Yai Naresuan, Kuiburi.</p> <p>See Tantipisanuh et al for more information. The listed hotspots are mostly Wildlife Sanctuaries of National parks. While it is not highly anticipated that FSC certification will take place in these forests, it is important to have these hotspots listed in the HCV for operations on the same landscapes as the parks and sanctuaries so that they can see example of naturally occurring ecosystems.</p> <p>As government policies evolve, it is not guaranteed that the ban on logging natural forest will remain. In the event that this is lifted, the hotspots listed here will serve as an example of what and where to look for HCVs by The Organisation.</p>	<p>For lists of endemic animal species, see IUCN Red List. Some examples of endemic and near-endemic mammal and bird species are also provided in WWF (2018).</p>

Element 3: Concentrations of rare, threatened, or endangered species that are significant at global, regional, or national levels:

National designation of this HCV element:	<i>Best Available Information</i> for identifying occurrences of this element.:
Significant occurrences of terrestrial and freshwater plant or animal species listed by the IUCN Red List as Vulnerable, Endangered, Critically Endangered, or Near Threatened. Including occurrences of: any Critically Endangered species, more than 1% of a listed species' population, several or more listed species, and/or sites important for the long-term survival of species susceptible to logging impacts.	IUCN Red List.
Forests with CITES listed animal or plant species, including forests with at least three breeding pairs of CITES Annex I animals, at least five trees/ha of CITES Annex I trees, or five small plants or shrubs/ha of CITES Annex I plants.	CITES (see References)

B. Assessments for HCV 1 (See also the Overarching BAI, Section A.; the methodologies listed in the table below are also applicable to Elements 2 and 3 of HCV 1)

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

National methodologies for assessing occurrences of the HCV 1 Designations	<i>Best Available Information</i> for assessing occurrences of this element:
For protected areas: confirm whether policies and practices effectively protect the forest and its HCVs, including by excluding logging, mining, and other industrial activity where such exclusions are consistent with the protected area's mandate.	See above and section A overarching BAI
For areas protected that include local communities and Indigenous Peoples confirm whether policies and practices effectively protect the forest and its HCVs, including by excluding logging, mining, and other industrial activity where such exclusions are consistent with the protected area's mandate	Indigenous Peoples and local communities, including but not limited to: Trust Boards for Community Conservation Areas; community chiefs; councils of chiefs. (See also HCV 6)
For Biodiversity Hotspots: The same as above. That is confirm whether policies and practices effectively protect the forest and its HCVs, including by excluding logging, mining, and other industrial activity where such exclusions are consistent with the protected area's mandate	For a basic description of the Hotspot, its values and threats, see above
For KBAs and IBAs : confirm whether policies and practices effectively protect the forest and its HCVs, including by excluding logging, mining, and other industrial activity where such exclusions are consistent with the protected area's mandate	For summary descriptions of their values and threats, see the links at Key Biodiversity Areas (References) and Important Bird Areas (References).

For Endemic Bird Areas and RTE birds: confirm whether policies and practices effectively protect the forest and its HCVs, including by excluding logging, mining, and other industrial activity where such exclusions are consistent with the protected area's mandate	For summary descriptions of some bird species, their status, ranges, and threats, see Endemic Bird Areas (References).
For RTE species: confirm whether policies and practices effectively protect the forest and its HCVs, including by excluding logging, mining, and other industrial activity where such exclusions are consistent with the protected area's mandate	Field surveys by experts are required for all natural forest MUs, given the inadequacy of existing information on species' presence. Surveys may focus on mammals, birds, frogs, reptiles, and higher order vascular plants. Consult experts in Thailand and the region on the species' conservation needs and best practices.
For freshwater fish: confirm whether policies and practices effectively protect the forest and its HCVs, including by excluding logging, mining, and other industrial activity where such exclusions are consistent with the protected area's mandate	See Boseto et al (2007), regarding the sustainability of fishing practices for spawning and juvenile fish.
For additional guidance in identifying and assessing other examples of HCV 1 that may exist in the MU, consider: FSC (2020a) and HCVRN (2013) (e.g., Chapter 2, Best Practice Considerations for HCV Assessments, and Chapter 3.1, Identification of HCV 1)	See above and section A overarching BAI

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

See methodologies under 1 above

Element 3: Concentrations of rare, threatened, or endangered species that are *significant* at global, regional, or national levels:

See methodologies under 1 above

C. Strategies for Maintaining and Enhancing HCV 1 (See also the Overarching BAI, Section B.)

Management strategies for HCV 1:

National strategies for maintaining and/or enhancing the HCV 1 Designations	Best Available Information for management strategies for these elements:
For all HCV 1 elements: Protection zones, harvest prescriptions, and/or other strategies to protect threatened, endangered, endemic species, or other concentrations of biological diversity and the ecological communities and habitats upon which they depend, sufficient to prevent reductions in the extent, integrity, quality, and viability of the habitats and species occurrences.	See also the Overarching BAI, Section A and also B.
For all HCV 1 elements: Measures are put in place to maintain Protection zones, harvest prescriptions, and/or other strategies to protect threatened, endangered, endemic species, or other concentrations of biological diversity and the ecological communities and habitats upon which they depend, sufficient to prevent reductions in the extent, integrity, quality, and	See also the Overarching BAI, Section A and also B. Local Experts,

<p>viability of the habitats and species occurrences in collaboration with the local Experts, Research Institutes and/ or with relevant NGOs.</p>	<p>Research Institutes and/ or with relevant NGOs.</p>
<p>For all HCV 1: Where enhancement is identified as the objective, measures to develop, expand, and/or restore habitats for such species are put in place in collaboration with the local Experts, Research Institutes and/ or with relevant NGOs.</p>	<p>See also the Overarching BAI, Section A and also B. Local Experts, Research Institutes and/ or with relevant NGOs.</p>
<p>Examples of protection measures: (i) Do not encroach or destroy habitats of RTE species (ii) No illegal hunting or collecting of RTE (iii) No use of invasive species (iv) clearly mark the boundary/area of HCV (v) communicate with public about HCV</p> <p>HCV 1.1, 1.2 and 1.3:</p> <ul style="list-style-type: none"> • Setting up a discussion platform with the managers of adjacent protected areas and other affected and interested stakeholders to elaborate and implement joint management measures. • Providing information and conducting an awareness raising on national hunting regulations and practices • Elaborating internal rules and regulation to ensure respect for national antipoaching laws • Identifying and protecting specific corridors for the displacement of elephants • Elaborating and implementing a control system for the surveillance and monitoring of the MU against illegal harvesting and poaching • Implementing reduced impact logging techniques <p>HCV 1.4:</p> <ul style="list-style-type: none"> • Clearly mark out boundaries and/ or include sensible/ fragile sites (HCV 1.4) in the conservation area network • Information and awareness raising on national regulations related to HCV 1.4 • Implementation of reduced impact logging techniques that ensure the protection of HCV1.4 	<p>See also the Overarching BAI, Section A and also B.</p>
<p>For any threatened or endangered tree species, including CITES, IUCN, or nationally listed species: Mark and protect trees from harvest, and control for illegal harvest.</p>	<p>See also the Overarching BAI, Section A and also B.</p>
<p>For endemic and rare, threatened, or endangered (RTE) wildlife: Implement no hunting and fishing policies, including for <i>employees</i> and contractors, except for sustainable levels of traditional harvest by local communities and Indigenous Peoples; adopt controls to prevent poaching and overharvest; help educate <i>employees</i>, contractors, and local communities about wildlife values and sustainable harvest and fishing practices.</p>	<p>See also the Overarching BAI, Section A and also B.</p>
<p>For endemic and RTE wildlife: Establish and demarcate reserves and conservation zone.</p>	<p>See also the Overarching BAI, Section A and also B.</p>

D. Monitoring for HCV 1 (See also the Overarching BAI, Section C.)

Methodologies and Best Available Information for monitoring programs for HCV 1:

National methodologies for monitoring occurrences of the HCV 1 Designations	Best Available Information for monitoring occurrences of these elements:
<ul style="list-style-type: none"> • Patrolling reports during a monitoring activity. The report describe condition of RTE species • Record illegal activities related to RTE • Inventory of the RTE • Records of invasive species (if any) • Assessment of the consultation with managers of adjacent protected areas and affected and interested stakeholders • Monthly assessment of the surveillance effort against illegal harvesting and poaching • Annual assessment of the abundance of protected wildlife species • Monthly assessment of the intensity of poaching in the MU • Annual assessment of the internal cases of non-respect for antipoaching rules • Annual assessment of the sensitization efforts on wildlife protection <p>Examples of monitoring indicators:</p> <ul style="list-style-type: none"> - Number of meetings held per year - Abundance indices of protected species - Number of poaching indices per Km controlled - Number of cases of non-respect for antipoaching rules - Number of workers that attended the sensitization meetings per year 	<p>See also the Overarching BAI, Section C.</p>

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

A. Elements of HCV 2, for HCV Identification (See also the Overarching BAI, Section A.)

Element 1: Intact Forest Landscapes:

National or regional Designations of this HCV element:	Best Available Information for identifying occurrences of this element:
<p><i>Intact Forest Landscapes</i> (IFLs).</p>	<p>IFL maps for 2017; see Global Forest Watch. (www.globalforestwatch.org) or other maps based on a:</p> <ul style="list-style-type: none"> - Mapping and other data on forest cover, age, succession, structure, species composition, habitat connectivity, anthropogenic disturbance, etc.

	<ul style="list-style-type: none"> - Consultation with relevant local and regional experts/ Research Institutes and/ or ENGOs. - IUCN Protected Area classification of a Wilderness Area https://www.worldheritagesite.org/connection/HighBiodiversity+Wilderness+Area - IUCN & Critical Ecosystem Partnership Fund (CEPF) data https://www.cepf.net/ourwork/ biodiversity-hotspots - Annex H of FSC International Generic Indicators version 2-0 (FSC-STD-60-004 v2-0) - FSC Frequently asked questions on the advice note for motion 65-V1-3, July 2018 - Intact Forest Landscapes as defined in the FSC International Generic Indicators. See more recent and accurate IFL inventory using a refined methodology. <p>Legally declared conservation areas (National parks, arboretum, parks, non-hunting area, wildlife sanctuary)</p>
<p>Example of IFLs in Thailand include Huai Kahaeng wildlife sanctuary, Tung Yai Naraesuan, Khao Yai National Parks.</p>	<p>(See also the Overarching BAI, Section A.)</p>

Element 2: Large landscape-level ecosystems that are significant at global, regional or national levels, and that contain viable populations of the great majority of the naturally occurring species in natural patterns of distribution and abundance:

National or regional Designations of this HCV element:	Best Available Information for identifying occurrences of this element:
<p>Forests recognized as being regionally significant at the bioregion or larger scale in formally recognized reports or peer-reviewed journals, due to the unusual landscape-scale biodiversity values provided by size and condition of the forest relative to regional forest land cover and land use trends.</p>	<p>Mapping and other data on forest cover, age, succession, structure, species composition, <i>habitat</i> connectivity, anthropogenic disturbance, roadless areas, wilderness.</p>
<p>Large area, especially in the northern, southern, eastern and western parts of Thailand where the vegetation conditions is not disturbed</p>	<p>Map in website about IFL https://www.globalforestwatch.org/map?map.. Conservation maps in the country http://www.dnp.go.th/wildlife_it/main_m.asp</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 Designations of this HCV element:	<i>Best Available Information</i> for identifying occurrences of this element:
Ridge-to-Reef ecosystems, including but not limited to those containing mangrove, freshwater swamp, and freshwater stream components.	See also the Overarching BAI, Section A.
Other areas important as biological connectivity corridors, e.g., forests that provide habitat connectivity between larger forest areas, protected areas, biodiversity concentrations, and/or refugia	Mapping and other data on forest cover, age, succession, structure, species composition, <i>habitat</i> connectivity, anthropogenic disturbance, IFLs, protected areas, etc.
Other forest ecosystems forming a landscape-level mosaic with other vegetation types used by a diversity of species, e.g., forest “islands” within floodplains.	<i>(See also the Overarching BAI, Section A.)</i>

B. Assessments for HCV 2 *(See also the Overarching BAI, Section A.)*

National or regionally appropriate methodologies and *Best Available Information* for assessments for HCV 2:

National or regional methodologies for assessing occurrences of the HCV 2 Designations:	<i>Best Available Information</i> for assessing occurrences of these elements:
For guidance in assessing <i>Intact Forest Landscapes</i> , consider: Annex H of FSC (2017) and FSC (2020b).	See also the Overarching BAI, Section A.
For additional guidance in identifying and assessing other examples of HCV 2 that may exist in the MU, consider: FSC (2020a) and HCVRN (2013) (e.g., Chapter 2, Best Practice Considerations for HCV Assessments, and Chapter 3.2, Identification of HCV 2).	See also the Overarching BAI, Section A

C: Strategies for Maintaining and Enhancing HCV 2

Management strategies for HCV 2: (See also the *Overarching BAI, Section B.*)

National or regional strategies for maintaining and/or enhancing the HCV 2 Designations:	Best Available Information for management strategies for these elements:
<p>For all HCV 2: Strategies that fully maintain the extent and intactness of the <i>forest ecosystems</i> and the viability of their biodiversity concentrations, including plant and animal indicator species, keystone species, and/or guilds associated with large intact <i>natural forest ecosystems</i>. Examples include <i>protection</i> 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 <i>forest</i> structure, composition, regeneration, and disturbance patterns at all times.</p>	<p>(See also the <i>Overarching BAI, Section B.</i>)</p>
<p>Strategies that fully maintain the extent and intactness of the forest ecosystems and the viability of their biodiversity concentrations, including plant and animal indicator species, keystone species, and/or guilds associated with large intact natural forest ecosystems are developed in collaboration with the local Experts, Research Institutes and/ or with relevant NGOs.</p>	<p>See also the <i>Overarching BAI, Section B.</i></p>
<p>For all HCV 2: Where enhancement is identified as the <i>objective</i>, measures to <i>restore</i> and reconnect <i>forest ecosystems</i>, their intactness, and <i>habitats</i> that support natural <i>biological diversity</i> are developed in collaboration with the local Experts, Research Institutes and/ or with relevant NGOs.</p>	<p>See also the <i>Overarching BAI, Section B.</i></p>
<p>For IFLs: The core area of each <i>Intact Forest Landscape</i> within the <i>Management Unit</i> is protected, comprising at least 80% of the <i>Intact Forest Landscapes</i> within the <i>Management Unit</i>. See also Annex H of FSC (2017) and relevant indicators under Criterion 9.2 in this standard</p>	<p>See also the <i>Overarching BAI, Section B.</i></p>
<p>Examples of protection measures:</p> <ul style="list-style-type: none"> • Putting to place protection zones and set-aside areas, with no commercial logging • Designate core areas of IFLs, develop and implement protection measures (see relevant indicators in Criterion 9.2) • Implement stricter reduce impact logging technics in case of harvesting in IFL or other HCV 2 areas (reduction of road densities), outside the <i>core areas</i> • Limitation of road width and matching of the dimensions of the road network to the season and exploitable resource. • Strengthening of the measures to combat poaching and illegal harvesting • Encroaching and up-taking land to covert from natural conditions is not allowed. • Marking boundary of HCV area • Communication with communities and publics • Public relation 	<p>See also the <i>Overarching BAI, Section B.</i></p>

D. Monitoring for HCV 2

Methodologies and *Best Available Information* for monitoring programs for HCV 2: (See also the *Overarching BAI*, Section C.)

National or regional methodologies for monitoring occurrences of the HCV 2 Designations:	<i>Best Available Information</i> for monitoring occurrences of these elements:
<ul style="list-style-type: none"> Annual assessment of the damages caused by forest harvesting activities (tree felling, log trail paths, roads opening etc..) in the annual harvesting area Monitoring of deforestation and other disturbances using satellite imagery, drones and other tool 	(See also the <i>Overarching BAI</i> , Section C.)
For guidance in monitoring IFLs, consider: FSC (2020b).	(See also the <i>Overarching BAI</i> , Section C.)
For additional guidance, consider: FSC (2020a) and HCVRN (2014) (e.g., Part 3).	(See also the <i>Overarching BAI</i> , Section C.)
Examples of monitoring indicators: <ul style="list-style-type: none"> Average largeness of roads Total surfaces affected by harvesting roads Report patrolling results. The report describe condition of monitoring area. 	(See also the <i>Overarching BAI</i> , Section C.)

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

A. Elements of HCV 3, for HCV Identification (See also the *Overarching BAI*, Section A.)

Element 1: Rare, threatened, or endangered ecosystems:

National or regional Designations of this HCV element:	<i>Best Available Information</i> for identifying occurrences of this element:
Unlogged lowland and coastal forests; primary or old growth forests; other rainforest and lowland forest; lower montane forests; mangroves and swamp forests; forests on karst or ultrabasic soils.	Habitat assessments, conservation plans, recovery plans, and other published reports by governments, research institutions, or conservation organizations. World Heritage Sites Biosphere Reserve (UNESCO-MAB) sites; https://whc.unesco.org/en/statesparties/cm Lists and Maps of Protected Marine Areas (PMAs); wetland ecosystem, developed by ONEP Field survey Man and Biosphere Reserve (MAB) by UNESCO Ramsar Site Watershed classification by Thailand Royal Forest Department https://www.arcgis.com/apps/MapJournal/index.html?appid=d0bf880092a64a60a630f4c487e20a5f
Natural forest remnants in degraded landscapes, including mature forests, remaining primary forests, and relatively undisturbed forest fragments.	See above and also the <i>Overarching BAI</i> , Section A

Forests vulnerable to climate change or isolation on mountaintops, e.g., high montane forests and other forests in areas of low relief or in fragmented landscapes.	See above and also the Overarching BAI, Section A
UNESCO Biosphere Reserves or Ecosystems on the IUCN Red List, if any are designated in the future.	UNESCO Biosphere Reserves and IUCN Red List of Ecosystems (References)

Element 2: Rare, threatened, or endangered habitats:

National or regional Designations of this HCV element:	Best Available Information for identifying occurrences of this element:
Forest types and habitats now very limited in extent.	See above and also the Overarching BAI, Section A
Other habitats and <i>habitat features</i> that are vulnerable and/or important to HCV 1 biodiversity or species.	See above and also the Overarching BAI, Section A
Other rare, threatened, or endangered habitats	See above and also the Overarching BAI, Section A
<i>(Note the RTE ecosystems listed above are also likely to be RTE habitats.)</i>	See above and also the Overarching BAI, Section A
Examples include: Pru-To-Daeng, Pru-Kuan-khi-sean; Nong-bong-kai forest in wetland ecosystem: often found phagnum sp.	See above and also the Overarching BAI, Section A

Element 3: Refugia:

National or regional Designations of this HCV element:	Best Available Information for identifying occurrences of this element:
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.	See above and also the Overarching BAI, Section A
<i>(Note that protected areas listed at HCV 1 may also be refugia)</i>	See above and also the Overarching BAI, Section A
Examples in Thailand include, low-land, flood plain, muddy puddles, water courses (both man-made, natural conditions), wet area where water is standing permanently or temporary, wet area where water flow and standing, wet land also include sweet water and brackish water area, intertidal zone up to 6 meters depth	See above and also the Overarching BAI, Section A

B. Assessments for HCV 3 (See also the Overarching BAI, Section A.)

National or regionally appropriate methodologies and Best Available Information for assessments for HCV 3:

National or regional methodologies for assessing occurrences of the HCV 3 elements:	Best Available Information for assessing occurrences of these elements:
For guidance in identifying and assessing other examples of HCV 3 that may exist in the MU, consider: FSC (2020a) and HCVRN (2013) (e.g., Chapter 2, Best Practice Considerations for HCV Assessments, and Chapter 3.3, Identification of HCV 3).	See above and also the Overarching BAI, Section A

C: Strategies for Maintaining and Enhancing HCV 3 (See also the Overarching BAI, Section B.)

Management strategies for HCV 3:

National or regional strategies for maintaining and/or enhancing the HCV 3 elements:	Best Available Information for management strategies for these elements:
For all HCV 3: Strategies that fully maintain the extent and integrity of rare or threatened ecosystems, habitats, or refugia.	(See also the Overarching BAI, Section B.)
For all HCV 3: Where enhancement is identified as the objective, measures to restore and/or develop rare or threatened ecosystems, habitats, or refugia are in place.	(See also the Overarching BAI, Section B.)
For all HCV 3: Exclude logging, road construction, and other operations, except for low intensity RIL that does not significantly impact ecosystems and habitats, that does not reduce irreplaceable values (e.g., isolation of refugia), and that does not increase the likelihood of indirect impacts (e.g., by providing access to invasive species or subsequent commercial activity).	(See also the Overarching BAI, Section B.)
For all HCV 3: Adopt measures to prevent unauthorized or illegal logging by other companies or their contractors, e.g., improved boundary demarcations, patrols, and collaborative monitoring with local communities and Indigenous Peoples.	(See also the Overarching BAI, Section B.)
For all HCV 3: Adopt measures to address threats from invasive exotic species, poaching, and unsustainable harvest of wildlife, fish, and NTFPs, e.g., the strategies for endemic and RTE species at HCV 1. (Per WWF, 2005; others)	(See also the Overarching BAI, Section B.)
For all HCV3: Where encroachment of clearings for subsistence agriculture is a threat, work with local communities to identify and adopt solutions, e.g., identifying more suitable areas for forest gardens, limiting the intensity and impact of farming practices, supporting alternative food sources where the encroachment is driven less by traditional practices and more by food insecurity, etc.	(See also the Overarching BAI, Section B.)
In unlogged lowland and coastal forests, primary or old growth forests, mangroves and swamp forests, and forests on karst or ultrabasic soils: Per the precautionary principle, and the rarity and/or threatened status of these HCVs, they should generally be protected from logging, road construction, and other forestry operations.	(See also the Overarching BAI, Section B.)

<p>Examples of protection measures:</p> <ul style="list-style-type: none"> • Marking out of HCV 3 identified on the field and implementation of protection measures • Integration of HCV 3 identified into the conservation network • Putting in place and implementing a mechanism for the surveillance of conservation areas • Sensitization of the neighbouring communities on the importance of conservation areas 	<p><i>(See also the Overarching BAI, Section B.)</i></p>
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D. Monitoring for HCV 3 *(See also the Overarching BAI, Section C.)*

Methodologies and Best Available Information for monitoring programs for HCV 3:

National or regional methodologies for monitoring occurrences of the HCV 3 elements:	Best Available Information for monitoring occurrences of these elements:
For monitoring guidance, consider: FSC (2020a) and HCVRN (2014) (e.g., Part 3).	. See a the Overarching BAI, Section C
Assessment of the effort made in the sensitization of the communities on HCV 3 areas (every 6 months) Assessment of the effort put in the renewal of HCV 3 area boundaries (every 6 month)	See the Overarching BAI, Section C
Examples of monitoring indicators: <ul style="list-style-type: none"> • Annual number of meetings/ total number of villages • Annual number of HCV 3 sites controlled/ total number of HCV 3 sites. 	See the Overarching BAI, Section C

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. Elements of HCV 4, for HCV Identification *(See also the Overarching BAI, Section A.)*

Element 1: Water catchments in critical situations:

National or regional sub-elements of this HCV:	Best Available Information for identifying occurrences of this element:
Watersheds, streams, rivers, and other water sources, including their riparian corridors and buffers, relied upon by Indigenous Peoples or local communities for drinking water, irrigation, or other daily uses.	Culturally appropriate engagement with local communities and Indigenous Peoples (LCIPs) and affected and interested stakeholders. Consultation with relevant local and regional experts. Exploitation of relevant databases and maps of the landscape and MU including management plan
Forests that comprise more than 25% of a watershed critical for collection of potable water and/or regulating water flow to urban areas.	<i>(See also the Overarching BAI, Section A.)</i>

Rivers, streams, swamps, and mangroves, including their riparian corridors and buffers, critical to spawning or juvenile fish (e.g., snappers, some reef fish) or reef ecosystems.	(See also the Overarching BAI, Section A.)
<p>Examples of HCV4 critical ecosystem services in Thailand</p> <ul style="list-style-type: none"> - Water catchments, main drinking water sources, fragile soils that are vulnerable to erosion, very steep slope areas (between 45-50%). - watershed area class 1 defined by ONEP (office of Natural Resources and Environmental Policy and Planning) ; DNP, Department of Mineral Resources - watershed classification maps defined by Department of Mineral Resources -> if in the Management Unit are felled under watershed class 1 or 2, the MU is considered as HCV 	(See also the Overarching BAI, Section A.)

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

National or regional sub-elements of this HCV:	Best Available Information for identifying occurrences of this element:
Forests in landslide and flood prone areas, including those with runouts likely to affect populated areas.	(See also the Overarching BAI, Section A.)

Element 3: Other ecosystem services in critical situations:

National or regional sub-elements of this HCV:	Best Available Information for identifying occurrences of this element:
Forest types susceptible to fire, e.g., monsoon forest, swamp and peat forest, plantations.	(See also the Overarching BAI, Section A.)
Provision of fisheries, other food sources, wood sources, and storm, wave, and saltwater intrusion buffering by mangrove forests.	(See also the Overarching BAI, Section A.)
Provision of food, water, and shelter to local communities and Indigenous Peoples. (See HCV 5)	(See also the Overarching BAI, Section A.)
Areas of low-impact tourism in locales where communities and Indigenous Peoples have few other opportunities for ecologically sustainable revenue generation.	(See also the Overarching BAI, Section A.)

B. Assessments for HCV 4 (See also the Overarching BAI, Section A.)

National or regionally appropriate methodologies and Best Available Information for assessments for HCV 4:

National or regional methodologies for assessing occurrences of the HCV 4 elements:	Best Available Information for assessing occurrences of these elements:
For guidance in identifying and assessing other examples of HCV 4 that may exist in the MU, consider: FSC (2020a) and HCVRN (2013) (e.g., Chapter 2, Best Practice Considerations for HCV Assessments, and Chapter 3.4, Identification of HCV 4). Consider also the FSC Ecosystem Services Procedure (FSC, 2017b).	(See also the Overarching BAI, Section A.)

C: Strategies for Maintaining and Enhancing HCV 4 (See also the Overarching BAI, Section B.)

Management strategies for HCV 4:

National or regional strategies for maintaining and/or enhancing the HCV 4 elements:	Best Available Information for management strategies for these elements:
Strategies to protect any water catchments of importance to local communities located within or downstream of the MU, 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.	(See also the Overarching BAI, Section B.)
Where enhancement is identified as the objective, measures to restore water quality and quantity are in place.	(See also the Overarching BAI, Section B.)
Where identified HCV 4 ecosystem services include climate regulation, strategies to maintain or enhance carbon sequestration and storage are in place.	(See also the Overarching BAI, Section B.)
For water sources for local communities, Indigenous Peoples, or urban areas: Logging should be excluded. For other water catchments designated as HCV, logging and other activities are limited to RIL practices, to protect water quality and <i>aquifer</i> recharge.	(See also the Overarching BAI, Section B.)
For slopes and soils vulnerable to erosion or compaction: Harvest does not utilize wheeled or ground based skidding, or high lead or skyline cable logging.	(See also the Overarching BAI, Section B.)
For flood-prone rivers (e.g., in floodplains): Consider designating wider buffer zones, to ensure the presence of riparian vegetation when river channels shift.	(See also the Overarching BAI, Section B.)
For mangroves: Consider the recommendations of the MESCAL and MARSH projects.	(See also the Overarching BAI, Section B.)
For forests susceptible to fire: Work with local communities to educate about fire risks and minimize ignition risks. In plantations, a fire break buffer zone is also provided.	(See also the Overarching BAI, Section B.)
Examples of protection measures:	(See also the Overarching

<ul style="list-style-type: none"> • Forbid harvesting on areas with slopes of more than 35%. • Integrate sanctions for manipulation of pollutants near water sources (60m security distance to be respected) • Establishment of small check dams using natural material like rocks to withhold water longer in the catchment. 	BAI, Section B.)
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D. Monitoring for HCV 4 (See also the *Overarching BAI, Section C.*)

Methodologies and Best Available Information for monitoring programs for HCV 4:

National or regional methodologies for monitoring occurrences of the HCV 4 elements:	Best Available Information for monitoring occurrences of these elements:
<p>Compilation and analysis of post-harvest data related to the respect for measures that forbid harvesting on very steep slopes, water course banks by monitoring team.</p> <p>Compilation and analysis of data on the sanctions inflicted for the manipulation of pollutants near water sources.</p>	See also the <i>Overarching BAI, Section C</i>
For critical water catchments, and soils vulnerable to erosion or compaction: Monitoring programs include monitoring of downstream sedimentation and potential impacts to water sources and fish populations.	See also the <i>Overarching BAI, Section C</i>
For water quality and quantity, soils, and other ecosystem services: See Annex D of FSC (2017b) for basic factors to consider monitoring.	See also the <i>Overarching BAI, Section C</i>
For additional guidance, consider: FSC (2020a) and HCVRN (2014) (e.g., Part 3).	See also the <i>Overarching BAI, Section C</i>
<p>Examples of monitoring indicators:</p> <ul style="list-style-type: none"> • Surface area impacted by harvesting near water courses/ total surface area controlled • Surface area of very steep slope areas harvested/ total surface area controlled 	See also the <i>Overarching BAI, Section C</i>

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. Elements of HCV 5, for HCV Identification (See also the *Overarching BAI, Section A.*)

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

National or regional sub-elements of this HCV:	Best Available Information for identifying occurrences of this element:
Sources of water for drinking, other daily use, or irrigation; growing areas and plants used for subsistence or traditional medicine; hunting grounds and fisheries for subsistence; sources for sustainable levels of harvest of fuelwood or building materials; other sites and resources used	<p>Primary BAI: Culturally appropriate engagement with the local communities. (Supplemental BAI may include databases, maps, and community development organizations and professionals.)</p> <p>Socio-economic studies,</p> <p>Management inventories and participative cartography</p>

<p>at sustainable levels to satisfy basic needs. <i>(Not inclusive of poaching, wildlife hunting for non-local trade, recreational hunting, or unsustainable harvest levels, or extensive, unsustainable gardening practices, e.g., overly short rotations or conversion of other HCV sites.)</i></p>	<p>maps</p> <p>Map of natural rivers by MEKONG http://www.tnmc-is.org/</p> <p>Map of community forests http://forestinfo.forest.go.th/fCom_map.aspx</p>
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Element 2: Sites and resources fundamental for satisfying the basic necessities of Indigenous Peoples (for livelihoods, health, nutrition, water, etc.):

National or regional sub-elements of this HCV:	Best Available Information for identifying occurrences of this element:
<p>Watersheds, rivers, streams, and other sources of water for drinking, other daily use, or irrigation, including wells, bores, springs, and dip holes adjacent to rivers.</p>	<p>Primary BAI: Culturally appropriate engagement with the Indigenous Peoples.</p>
<p>Hunting grounds and wildlife, and fisheries and fish, for subsistence. <i>(Not inclusive of poaching, wildlife hunting for non-local trade, recreational hunting, or unsustainable harvest levels.)</i></p>	<p>Primary BAI: Culturally appropriate engagement with the Indigenous Peoples.</p>
<p>Gardening sites, and other growing areas and plants used for traditional subsistence or traditional medicinal use. <i>(Not inclusive of unsustainable crop rotations or overly intensive or extensive gardening in other sensitive HCV sites.)</i> Examples of medicinal plants include but are not limited to: conconut oil, ylang-ylang, heartleaf hempvine, tropical almond, betel nut, great morinda, mile-a-minute vine, milky pine bark, oesai leaf, paw paw.</p>	<p>Primary BAI: Culturally appropriate engagement with the Indigenous Peoples. (For examples of relevant plants, consider also Henderson et al (1988) and Furusawa et al (2014).)</p>
<p>Other sites and resources from which Indigenous People satisfy basic needs, including but not limited to: sources for sustainable levels of harvest of fuelwood (from secondary forests), canoe trees, and building materials, e.g., sago palm leaves, rattan, white beech, mangroves, vitex, fluegga tree, <i>securinoga flexuosa</i>, arecoid palm, bamboo.</p>	<p>Primary BAI: Culturally appropriate engagement with the Indigenous Peoples. (For examples of relevant tree species, consider also Furusawa et al (2014).)</p>
<p>Sites and resources for sustainable levels of NTFP cultivation, harvest, and related revenue generation by Indigenous Peoples, e.g., rattan and rattan products, ngali nuts, honey, handicrafts, coconut oil biodiesel, kava, dried fruits, sandalwood, plantation timbers, low-impact eco-tourism, carbon-offsets.</p>	<p>Primary BAI: Culturally appropriate engagement with the Indigenous Peoples. (For eco-tourism opportunities, see also the Ministry of Tourism.)</p>

B. Assessments for HCV 5 (See also the Overarching BAI, Section A.)

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 elements:	Best Available Information for assessing occurrences of these elements:
For all HCV 5 elements: Use culturally appropriate engagement, per the Overarching BAI, Section A.	The local communities and Indigenous Peoples.
For all HCV 5: Use participatory mapping with local communities and Indigenous Peoples.	<i>(See also the Overarching BAI, Section A.)</i>
For all HCV 5: Assessments also consider whether specific levels and practices of hunting, fishing, NTFP harvest, and other forest utilization are sustaining the resource, and also avoiding harm to biodiversity and other HCVs.	<i>(See also the Overarching BAI, Section A.)</i>
For additional guidance on assessing HCV 5, consider: FSC (2020a) and HCVRN (2013) (e.g., Chapter 2, Best Practice Considerations for HCV Assessments, and Chapter 3.5, Identification of HCV 5).	<i>(See also the Overarching BAI, Section A.)</i>

C: Strategies for Maintaining and Enhancing HCV 5 (See also the Overarching BAI, Section B.)

Management strategies for HCV 5:

National or regional strategies for maintaining and/or enhancing the HCV 5 elements:	Best Available Information for management strategies for these elements:
For all HCV 5 elements: Strategies to protect the community's and/or Indigenous Peoples' needs in relation to the MU are developed in cooperation with representatives and members of local communities and Indigenous Peoples.	The local communities and Indigenous Peoples, per the Overarching BAI.
For all HCV 5: Strategies may include protection of specific sites, reserve areas, designation of buffer zones, etc. HCV occurrences should generally be mapped and also marked in the field prior to any nearby timber harvest or other operations. Operational plan mapping or other methods may be used in lieu of field marks to protect the secrecy of medicinal plant sites or other secret sites.	<i>(See also the Overarching BAI, Section A.)</i>
For all HCV 5: Strategies do not include maintaining specific levels or practices of hunting, fishing, gardening, NTFP harvest, or other forest utilization that do not sustain the resource or that harm biodiversity or other HCVs. Where gardening or other practices threaten riparian forests or other HCV occurrences, work with local communities and Indigenous Peoples to identify and support more sustainable management practices or alternative sites <i>(see also the strategies for HCV 3)</i> .	<i>(See also the Overarching BAI, Section A.)</i>
For all HCV 5: For sites and resources related to Indigenous Peoples, strategies will need to be based on FPIC and engagement, and not assume that existing practices in Thailand consistently recognize or respect Indigenous Peoples' rights.	<i>(See also the Overarching BAI, Section A.)</i>
For medicinal tree species in harvest areas: Notify and provide access to Indigenous Peoples and local communities, to harvest seeds or medicinal	<i>(See also the Overarching BAI,</i>

material, prior to logging.	<i>Section A.)</i>
For canoe trees: Harvest may be conducted with or on behalf of Indigenous Peoples or members of local communities.	<i>(See also the Overarching BAI, Section A.)</i>
<p>Examples of protection measures:</p> <ul style="list-style-type: none"> • Set up seasonal and annual concertation meetings with IPLCs and other affected and interested stakeholders • Execute detailed mapping of the adjacent affected villages and HCV 5 in the Management Unit before harvesting commences. • Support the administration in the implementation of antipoaching measures for HCV 5 resources 	<i>(See also the Overarching BAI, Section A.)</i>

D. Monitoring for HCV 5 *(See also the Overarching BAI, Section C.)*

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

National or regional methodologies for monitoring occurrences of the HCV 5 elements:	<i>Best Available Information</i> for monitoring occurrences of these elements:
<p>Monitoring conducted through procedures developed in cooperation with the communities through culturally appropriate engagement.</p> <ul style="list-style-type: none"> • Annual monitoring analysis on the number of villages consulted on the use of HCV 5 • Annual monitoring analysis on the level of protection of HCV 5 	<i>(See also the Overarching BAI, Section A.)</i>
<p>Monitoring conducted by the local communities and the Indigenous Peoples, or using methodologies otherwise developed in cooperation with the communities and the Indigenous Peoples through culturally appropriate engagement.</p>	<i>(See also the Overarching BAI, Section A.)</i>
<p>Examples of monitoring indicators include:</p> <ul style="list-style-type: none"> - Number of villages consulted/ total number of villages - Number of HCV 5 trees preserved/ total number of HCV 5 trees counted. 	<i>(See also the Overarching BAI, Section A.)</i>

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. Elements of HCV 6, for HCV Identification *(See also the Overarching BAI, Section A.)*

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

National or regional sub-elements of this HCV:	<i>Best Available Information</i> for identifying occurrences of this element:
Internationally or nationally important cultural, archaeological, or historical sites, resources, habitats, or landscapes, e.g., World War II	Socio-economic studies, participatory mapping, culturally appropriate engagement with local communities, consultation with relevant local and regional experts.

<p>relics.</p> <p>Examples include:</p> <p>Sukhothai Ancient City, Pra-na-korn Sri Ayuttaya Ancient City, Ban Chiang Historical sites, funeral sites, grave yards, Pae-Muang-Phi</p>	<p>World Heritage List https://whc.unesco.org/en/statesparties/cm</p>
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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 sub-elements of this HCV:	<i>Best Available Information</i> for identifying occurrences of this element:
Sites, resources, habitats, or landscapes of cultural, ecological, economic, or religious/sacred importance to local communities.	Primary BAI: Culturally appropriate engagement with the local communities. (Supplemental BAI may include databases, maps, and experts, e.g., community development organizations.)

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

National or regional sub-elements of this HCV:	<i>Best Available Information</i> for identifying occurrences of this element:
Shrines, stone terraces, stone or coral faced platforms, walls, historical village sites, and other archaeological sites, including those which demark traditional territories and land use rights for Indigenous Peoples	Culturally appropriate engagement with the Indigenous Peoples.
Other sites, resources, habitats, or landscapes of cultural, ecological, economic, or religious/sacred importance to Indigenous Peoples.	Culturally appropriate engagement with the Indigenous Peoples.

B. Assessments for HCV 6 (See also the Overarching BAI, Section A.)

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 elements:	<i>Best Available Information</i> for assessing occurrences of these elements:
For all HCV 6: For guidance in identifying and assessing more specific examples of HCV 6 that may exist in the MU, consider: FSC (2020a) and HCVRN (2013) (e.g., Chapter 3.6, Identification of HCV 6).	The local communities and Indigenous Peoples.
For guidance in identifying and assessing more specific examples of HCV 6 that may exist in the MU, consider: FSC (2020a) and HCVRN (2013) (e.g., Chapter 3.6, Identification of HCV 6).	(See also the Overarching BAI, Section A.)

C: Strategies for Maintaining and Enhancing HCV 6 (See also the Overarching BAI, Section B.)

Management strategies for HCV 6:

National or regional strategies for maintaining and/or enhancing the HCV 6 elements:	Best Available Information for management strategies for these elements:
For all HCV 6: Strategies may include protection of specific sites, reserve areas, designation of buffer zones, etc. HCV occurrences should generally be mapped and also marked in the field prior to any nearby timber harvest or other operations.	<i>(See also the Overarching BAI, Section A.)</i>
For HCV occurrences related to Indigenous Peoples and/or local communities: Strategies to protect the cultural values are developed in cooperation with representatives and members of the local communities and the Indigenous Peoples.	The local communities and Indigenous Peoples
For sites and resources related to Indigenous Peoples: Strategies will need to be based on FPIC and engagement, and not assume that existing practices in the Solomon Islands consistently recognize or respect Indigenous Peoples' rights.	<i>(See also the Overarching BAI, Section A.)</i>
For HCV occurrences identified due to global or national significance: Strategies are based on Best Available Information and considered effective for maintaining and/or enhancing the HCV.	<i>(See also the Overarching BAI, Section A.)</i>

D. Monitoring for HCV 6 (See also the Overarching BAI, Section C.)

Methodologies and Best Available Information for monitoring programs for HCV 6:

National or regional methodologies for monitoring occurrences of the HCV 6 elements:	Best Available Information for monitoring occurrences of these elements:
For HCV occurrences related to local communities: Monitoring conducted by the local communities, or using methodologies otherwise developed in cooperation with the communities through culturally appropriate engagement.	Local traditional communities.
For HCV occurrences related to Indigenous Peoples: Monitoring conducted by the Indigenous Peoples, or using methodologies otherwise developed in cooperation with the Indigenous Peoples through culturally appropriate engagement.	Indigenous Peoples
For additional guidance, consider: FSC (2020a) and HCVRN (2014) (e.g., Part 3)	

Examples of Relevant Stakeholders and Experts

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

Environmental Stakeholders:

- Department of National Park, Wildlife, and Plant Conservation (DNP), Royal Forest Department (RFD), Regional Office of DNPs, Regional office of RFD

- Academics: e.g., Kasetsart University, Faculty of Forestry, Songkhla University (Faculty of Natural Resources) University of Mahidol (Faculty of Environment and Resources Study and Faculty of Science), King Mongkut's University of Technology Thonburi (School of Bioresources and Technology), etc.

Indigenous Peoples Organizations:

- Princess Maha Chakri Siridhorn Anthropology Center (SAC)
- UNESCO Bangkok
- RECOFTC

Social Stakeholders and Community Development Organizations:

- RECOFTC
- Bank of Agricultural and Agricultural Cooperatives (in the area)
- Rubber Authority of Thailand (RAOT) (in the area)
- Local administration authorities

Other Expert Organizations – Environmental:

- World Wildlife Fund, Thailand
- Wildlife Conservation Society, Thailand
- Bird Conservation Society of Thailand
- Zoological Park Organization of Thailand
- National Science Museum
- Queen Sirikit Botanic Garden

Other Expert Organizations – Social:

- Fine Art Department, Ministry of Culture
- Princess Maha Chakri Siridhorn Anthropology Center (SAC)
- Geological Society of Thailand
- Archaeological Faculty, Silpakorn University
- Faculty of Social Sciences and Humanities, Mahidol University
- Faculty of Humanities, Faculty of Social Sciences, Chaing Mai University
- Abbots of the temples/mosques in the areas
- UNESCO Bangkok

Government Agencies:

- Provincial Offices of the Ministry of Natural Resources and Environment (MNRE)
- DNP representative in the areas (e.g., national parks, wildlife sanctuaries, non-hunting areas)
- Community Development Department, (Ministry of Interior)
- Fine Art Department, Ministry of Culture
- Provincial Governor Office
- District Shariff
- Department of Social Development and Welfare, Ministry of Social Development and Human Security)
- Department of Mineral Resources (MNRE)
- Department of Water Resources (MNRE)

Annex F Glossary of terms

NOTE: This Glossary included definitions for all terms in italics in Indicators in this Regional Forest Stewardship Standard for Smallholders. It is developed specifically for this standard. It also includes many of the terms in the Principles and Criteria with an asterisk. This Glossary includes both new definitions created for this standard and definitions from existing FSC normative documents or other documents.

Please also refer to FSC-STD-01-002 FSC Glossary of Terms October 2017 and to glossaries found in FSC-STD-01-001 V5-2 (FSC Principles and Criteria) and FSC-STD-60-004 V2-0 (International Generic Indicators) for terms with an asterisk in the Principles or Criteria.

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.

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).

Agro-forestry: Agroforestry is the term for land-use systems and technologies in which woody perennials (such as trees, shrubs, palms or bamboos) and agricultural crops or animals are deliberately grown on the same parcel of land in some form of spatial and temporal arrangement.
Source: FAO.

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

Applicable law: Means applicable to *smallholder* 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: based on FSC-STD-01-001 V5-2)

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

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

Biological Control Agent: Organisms used to eliminate or regulate the population of other organisms. (**Source:** FSC-STD-60-004 V2-0 Based on FSC-STD-01-001 V4-0 and World Conservation Union (IUCN). Glossary definitions as provided on IUCN website).

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

Business associates: Non-*family members* who have some ownership as a business partner or financial involvement with the *smallholder* and are not *employees*. (**New**)

Child: Any person under the age of 18. **Source:** ILO Convention 182, Article 2.

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.

Consent: The free, prior and informed *consent* of Indigenous Peoples and/or local *communities*, as defined in FSC-STD 60-004 V2-0 EN, provided through a *culturally* appropriate process. (**New**)

Community Producer: A forest management unit complying with the following tenure AND management criteria:

Tenure: The legal right to manage a forest management unit (e.g., title, long-term lease, concession) is held at the communal level, AND

- i) the community members must be either Indigenous Peoples or traditional peoples, OR
- ii) the forest management unit meets the *smallholder* eligibility criterion.

Management: The community actively manages the forest management unit through a concerted effort (e.g., under a communal forest management plan) OR the community authorizes management of the forest by others (e.g., resource manager, contractors, forest products company).

If the community authorizes management of the forest by others, criterion 1 and either criterion 2 or 3 must be met:

1. The community's own representative institution has legal responsibility for the harvesting operations, AND
2. The community performs the harvesting operations OR
3. The community's own representative institution is responsible for the forest management decisions, and follows and monitors the operations.

NOTE: The forest can be either located in a communal forest and/or on individually-assigned plots, as long as the right to use the forest is communally held (e.g., this is the case for Mexican ejidos, Brazilian sustainable development reserves).

Source: FSC- FSC-ADV-50-003

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

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

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*.

Core area: The portion of each *Intact Forest Landscape* designated to contain the most important cultural and ecological values. Core areas are managed to exclude *industrial activity*. Core Areas meet or exceed the definition of *Intact Forest Landscape*.

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

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

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

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

Discrimination: Includes- a) any distinction, exclusion or preference made on the basis of race, colour, sex, religion, political opinion, national extraction, social origin, sexual orientation, which has the effect of nullifying or impairing equality of opportunity or treatment in *employment* or occupation; b) such other distinction, exclusion or preference which has the effect of nullifying or impairing equality of opportunity or treatment in *employment* or occupation as may be determined by the Member concerned after consultation with representative employers' and workers' organization where such exist, and with other appropriate bodies. (Source: adapted from 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: An expression of dissatisfaction by any person or organization presented as a complaint relating to its *forestry activities* or its conformity with the FSC Principles and Criteria, where a response is expected. **Source:** based on FSC-PRO-01-005 V3-0 Processing Appeals.

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

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

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

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

- Provisioning services such as food, forest products and water;
- Regulating services such as regulation of floods, drought, land degradation, air quality, climate and disease;
- Supporting services such as soil formation and nutrient cycling; and,
- Cultural services and cultural values such as recreational, spiritual, religious and other non-material benefits. **Source:** FSC-STD-60-004 V2-0.

Employ: To retain, and pay for, work services that are provided by a person who is not a relative or a *family member* of the *smallholder* and not a business partner or co-owner. **(New)**

Employee: See also “*Family member*”, “*Volunteer*” and “*Worker*”. For the purposes of this Regional Forest Stewardship Standard for *Smallholders*, “*Employee*” and “*Worker*” refer to persons who are employed and paid directly for work on the *smallholder’s forest*. Typically, they are not relatives or *family members* of the *smallholder* and are hired and paid to carry out work under the direction and supervision of the *smallholder*. The terms “*Employee*” and “*Worker*” do not include:

- *Family members* and relatives who participate in work on the *smallholder’s forest* but who are not paid a wage for this work; or
- *Volunteers* from a local community or other organization who participate in work as members of a community or co-operatively owned smallholding but are not paid a wage for their contributions to the community benefit; or
- Business partners, *business associates* or co-owners. **(New)**

Employment: A work relationship between a smallholder and an individual that is not based on a family relationship with the *smallholder* or on participation in the management of a community-owned or co-operatively owned small-holding as a *volunteer* member of the community or organization but is based on payment, usually monetary, for labour or services, provided to the *smallholder* by the individual. **(New)**

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

Environmental Assessment: A simple Environmental Impact Assessment in the form of a checklist, or a document or a map.

Environmental Impact Assessment: Systematic process used to identify potential environmental and social impacts of proposed projects, to evaluate alternative approaches, and to design and incorporate appropriate prevention, mitigation, management and monitoring measures. **Source:** Based on Environmental Impact Assessment Guidelines for FAO Field Projects, Food and Agriculture Organization of the United Nations (FAO) Rome. FSC-STD-01-001 v 5-2.

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

- Ecosystem functions (including carbon sequestration and storage);
- Biological diversity;
- Water resources;
- Soils;
- Atmosphere;
- Landscape values (including cultural and spiritual values).

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

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.

Family members: Immediate *family members* and close relatives who benefit directly from the forest management unit. Typically, they live on, or in close proximity to, the smallholding and work on the *smallholder* unit with the owner to benefit from food, accommodation, or the revenues shared from products sourced from the forest management unit, but are not paid a wage. The term also includes co-owners or business partners. *Family members* are not “*Employees*” or “*Workers*”. **(New)**

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 V-2.

Forest: A tract of land dominated by trees (Derived from FSC Guidelines for Certification Bodies, Scope of Forest Certification, Section 2.1 first published in 1998, and revised as FSC-GUI-20-200 in 2005, and revised again in 2010 as FSC-DIR-20-007 FSC Directive on Forest Management Evaluations, ADVICE-20-007-01). **Source:** FSC-STD-01-001 V5-2. For the purposes of this standard only, this term also refers to plantations, woodlots, agro-forestry areas, and orchards due to the small scale of the scope and the reality that *smallholders* rely on their land for a significant percentage of their annual revenue needs.

Forest products: For the purposes of this standard, forest products are defined as any “natural” raw material or commodity produced from the certified forest, to include, but not limited to; wood, sap, bark, leaves/needles, latex rubber, forest plants or fungi, fruit, honey, nuts, etc. Certifiable FSC timber and non-timber forest products are listed in FSC-STD-40-004a V2-1. **(New)**

Forestry activities: All activities carried out by a *smallholder* to manage or use trees in the natural forest or plantations, including cutting and removing trees or other products, building roads or other infrastructure, planting or thinning trees, disposing of waste products or using pesticides, fertilizers or other materials. For the purposes of this standard, it also means any activities carried out by a *smallholder* to manage or use any other *non-timber forest products* originating from the management unit. **(New)**

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

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

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

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

Group entity: The group entity is the entity representing the forest properties (*smallholders*) that constitute a group for the purpose of FSC forest management certification. The group entity applies for group certification and finally holds the forest management certificate. The group entity is responsible to the certification body for ensuring that the requirements of the FSC Principles and Criteria for Forest Stewardship are met in all forest properties participating in the group. The group entity may be an individual (e.g. a resource manager), a cooperative body, an owner association, or other similar legal entity. **Source:** FSC-STD-30-005 V1-1.

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

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

- Old commercial and non-commercial trees whose age noticeably exceeds the average age of the main canopy;
- Trees with special ecological value;
- Vertical and horizontal complexity;
- Standing dead trees;
- Dead fallen wood;
- Forest openings attributable to natural disturbances;
- Nesting sites;
- Small wetlands, bogs, fens;
- Ponds;

- Areas for procreation;
- Areas for feeding and shelter, including seasonal cycles of breeding;
- Areas for migration;
- Areas for hibernation.

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: ILO, 2011: IPEC Mainstreaming Child labour concerns in education sector plans and Programmes, Geneva, 2011 & ILO Handbook on Hazardous child labour, 2011)

HCV Assessment: One carried out by a person or organization with knowledge of High Conservation Values and sufficient knowledge of the local area to determine if High Conservation Values are present. It identifies both High Conservation Values and threats to those values. For *smallholders*, this could be a simple checklist of documents or a map prepared for the *smallholder's* forest by a group manager or an external organization. The assessment is carried out at a scale that allows determination of values in the *immediate vicinity* of the *smallholder's* forest and includes culturally appropriate consultation with knowledgeable local people.

Heavy work: (in the context of child labour): Refers to work that is likely to be harmful or dangerous to children's health. (Source: FSC report on generic criteria and indicators based on 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 and large landscape-level *ecosystems* and ecosystem mosaics that are significant at global, regional or national levels, and that contain viable populations of the great majority of the naturally occurring species in natural patterns of distribution and abundance.
- HCV 3 - Ecosystems and habitats. Rare, threatened, or endangered ecosystems, *habitats* or *refugia*.

- HCV 4 - Critical ecosystem services. Basic ecosystem services in critical situations, including protection of water catchments and control of erosion of vulnerable soils and slopes.
- HCV 5 - Community needs. Sites and resources fundamental for satisfying the basic necessities of local communities or Indigenous Peoples (for 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:** FSC-STD-01-001 V5-2.

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

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

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

Immediate vicinity: In very close proximity to, as in adjacent to, very close to or nearby the *smallholder's forest*. This refers to values or specific features that occur within that close proximity. It does not, therefore, include all the values or features that might be within a protected area for example where the boundary of that area is distant from the *smallholder's forest*. **(New)**

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

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

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

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

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

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

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

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.

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

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

IUCN website)

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

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

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-01-001 V5-2.

Local communities: Communities of any size that are in or close to the location of the *smallholder's* forest, and also those that are close enough to have a significant impact on the economy or the environmental values of *smallholder's* forest or to have their economies, rights or environments significantly affected by the *forestry activities* or the biophysical aspects of the Management Unit. **Source:** FSC-STD-01-001 V5-2.

Location: See *Smallholder's location*.

Long-term: The timescale 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-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 *smallholder*, 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 smallholder*, solely for the purpose of contributing to the management objectives. **Source:** FSC-STD-01-001 V5-2.

Minimum age: of the child is not less than 14 years as defined in Child Labour (Prohibition & Regulation) Amendment Act, 2016 or such age as may be specified in the Right of Children to Free and Compulsory Education Act, 2009, whichever is more. No such child shall be employed or permitted to work in any occupation or process' subject to exceptions given in the Acts. No adolescent (14-18 years) shall be employed or permitted to work in any of the hazardous occupations or processes set forth in the Schedule of the Act. **Named representative:** An individual or organization freely chosen and identified by the *smallholder* as the person

representing them in carrying out forest management, including the development of any policies and keeping of records. **(New)**

Named representative: An individual or organization freely chosen and identified by the *smallholder* as the person representing them in carrying out forest management, including the development of any policies and keeping of records. **(New)**

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

Natural 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 savanna.

(Source: FSC-STD-01-001 V5-2. For a full explanation of this definition, refer to the Thailand FSS or 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-native species: Species that have been introduced into new areas that have not historically been part of their native range. **(New)**

Non-timber forest products (NTFP): All forest products except timber, including other materials obtained from trees such as resins and leaves, as well as any other plant and animal products. Examples include, but are not limited to seeds, fruits, nuts, honey, palm trees, ornamental plants and other forest products originating from a forest matrix. **Source:** FSC-STD-40-004a V2-1. For a *smallholder*, NTFP includes both non-timber wood products from the *smallholder’s* forest, including rattan and bamboo, and non-timber non-wood products like latex rubber, fruits, nuts, honey, game, and many other products. A full list of FSC non-timber forest products is found in FSC-STD-40-004a V2-1.

Not-natural fertilizer: A chemical, synthetic or not-natural substance, most commonly N, P2O5 and K2O, which is applied to soil for the purpose of enhancing plant growth. These do not include

natural fertilizers such as manure or dung. **Source:** Adapted from FSC-STD-60-004 V2-0.

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

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

Plantation: Any 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;)
- Areas under agroforestry, farm forestry, social forestry, bund plantations, linear plantations, bamboo & rubber plantations.

Public information: Information about the *smallholder's* forest which is available from public sources. **(New)**

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

Reasonable: Judged to be fair or appropriate to the circumstances or purposes, based on general experience (Source: Shorter Oxford English Dictionary). Source: FSC-STD-60-004 V1-0.

Representative Sample Areas (RSA): 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 EN.

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 *forestry 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.

Significant: Includes social, economic, cultural or environmental values or impacts. **(New)**

Significant disputes: Disputes of a substantial magnitude; substantial duration as defined in the Glossary of FSC-STD 60-004 V2-0.; or involving a significant number of interests. **(New)**

Sites that are significant: Sites of special cultural, ecological, economic, religious or spiritual significance for Indigenous Peoples, local communities or others that are within the property of the *smallholder* or sufficiently close to the property that the sites or their values are impacted by the operations of the *smallholder*. **(New)**

Smallholder: An individual or family who owns, manages, or uses forests which are considered “small” compared with others in their region. *Smallholder* also includes *community producers*, including Indigenous Peoples, or others who fulfil the *smallholder* criterion small size OR a co-operative or community who own, manage and use a forest in which less than 20 ha has been allocated to a member or family. *Smallholders* are known by various names – for example, woodlot owners, family foresters, small non-industrial private forest owners, small forest enterprises, community forestry operations, and non-timber forest product (NTFP) harvesters. *Smallholders* produce a wide variety of timber, non-timber and non-wood products. **(New)**

Smallholder’s forest: The forest that is within the *smallholder’s* land holding. It may also be referred to as a plantation or a woodlot or a tree farm in some countries. **(New)**

Smallholder’s location: The community, region, or subregion or watershed catchment area where the *smallholder’s* forest is located and where Indigenous Peoples or local communities might have interests in the *smallholder’s* forest or where native ecosystems might exist. **(New)**

Stakeholder: See affected stakeholder and interested stakeholder.

Temporary worker: A worker either hired directly by the *smallholder*, or hired by a contractor hired by the *smallholder* to carry out a short-term specific task on the *smallholder’s* forest. **(New)**

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

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

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

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

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

Volunteer: A member of a community or an organization who donates time to work on the *smallholder's* forest or a forest that is owned by the community or a co-operative. *Volunteers* are not “*Employees*” or “*Workers*”. **(New)**

Vicinity: See *immediate vicinity*. **(New)**

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.

Woodlot: A parcel of a woodland or forest capable of small-scale production of forest products (such as wood fuel, sap for maple syrup, sawlogs, and pulpwood) as well as recreational uses like bird watching, bushwalking, and wildflower appreciation. **Source:** Wikipedia.

Worker: 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-01-001 V5-2.



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Standard