



Forest Stewardship Council®



# The FSC National Forest Stewardship Standard of Malaysia

***FSC-STD-MYS-01.1-2021 EN***



### **Photo Credit**

From Left to Right:

Photo 1: A forest reserve within the Central Forest Spine of Peninsular Malaysia, © Charmaine Chee, FSC Malaysia.

Photo 2: Malayan Tigers in Belum Temengor Forest Complex\_WW2126325\_Christopher Wong, by Christopher Wong, © WWF-Malaysia.

Photo 3: Climbing arborist “forest for life and for our future generations, we must protect them!!!”, by Mohd Shah Fitri, © Jamiluddin Jami.

### **NOTE ON THIS ENGLISH VERSION:**

*This is the official version of the FSC National Forest Stewardship Standard that is approved by FSC International Center, and it is available at [ic.fsc.org](http://ic.fsc.org). Any translation of this version is not an official translation approved by FSC International Center. 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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<sup>1</sup> The transition period is the timeline in which there is a parallel phase-in of the new version and phase-out of the old version of the standard. Six (6) months after the end of the transition period, certificates issued against the old version are considered invalid.

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## 1. Preface

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

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

Environmentally appropriate forest management ensures that the production of timber, [non-timber products](#) and [ecosystem services](#) does not reduce or undermine the forest's biodiversity, productivity, and ecological processes. Socially beneficial forest management helps both local people and society at large to enjoy long-term benefits, and also provides strong incentives to local people to sustain forest resources. Sustainable forest management means that forest operations are structured and managed to be sufficiently profitable, but not at the expense of forest resources, the [ecosystem](#) or local communities. The tension between the need to generate adequate financial returns and the principles of responsible forest operations can be reduced through efforts to market the full range of forest products and services for their best value (FSC A.C. By-Laws, ratified, September 1994; last revision in October 2017).

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

### 1.2. Descriptive statement of the National Office

Efforts to establish a Malaysian presence for FSC began in 2002 when a small group of interested stakeholders embarked on the formation of the FSC National Initiative. In compliance with FSC requirements, a National Working Committee was formed in 2007 and endorsed by the Malaysian Registrar of Companies later that year, becoming the locally registered entity for FSC in Malaysia. The entity was originally registered under the company name 'Forest Stewardship (Malaysia) Sdn. Bhd.', however in 2009, the name was changed to 'Forest Sustainability (Malaysia) Sdn. Bhd. (FSM)'. FSC Malaysia was launched in Kuala Lumpur on 19 November 2014, upon FSM's acceptance as an FSC National Office. Its immediate task was to lead the development process for an FSC National Forest Stewardship Standard, as well as promote the responsible management of forests in Malaysia; delivering business and

market support, quality assurance, and trademark and membership services on behalf of FSC at the national level.

Further information on FSC Malaysia: <https://my.fsc.org/>

### 1.3. Descriptive statement of the Standards Development Group

The development of FSC National Stewardship Standard of Malaysia officially began in June 2011, upon FSC International's approval of FSC Malaysia's application to develop a set of national standards. The Malaysian National Standards Development Group, an independent chamber-balanced group representing environmental, economic and social chambers from the three regions in Malaysia (Sabah, Sarawak and Peninsular Malaysia), was formed to develop and maintain the FSC National Forest Stewardship Standard according to FSC's standards and procedures. FSC Malaysia's National Standards Development Group (NSDG) is chaired by Anthony Sebastian ([sebastianfsc14@gmail.com](mailto:sebastianfsc14@gmail.com)), and consists of the following members:

<b>Economic Chamber</b>	
Edmund GAN	<a href="mailto:edmundgsgan@gmail.com">edmundgsgan@gmail.com</a>
Chin Tong TAN	<a href="mailto:tanct@envotech.com.my">tanct@envotech.com.my</a>
<b>Environmental Chamber</b>	
Yii Tan CHANG	<a href="mailto:yiitan@peresearch.com.my">yiitan@peresearch.com.my</a>
Kanitha KRISHNASAMY	<a href="mailto:kanitha.krishnasamy@traffic.org">kanitha.krishnasamy@traffic.org</a>
<b>Social Chamber</b>	
Thomas JALONG	<a href="mailto:rakankomuniti@gmail.com">rakankomuniti@gmail.com</a>
Si Siew LIM	<a href="mailto:slim@onegrassroots.org">slim@onegrassroots.org</a>

## 2. Preamble

### 2.1. Purpose of the standard

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

The [FSC Principles and Criteria](#), therefore, require indicators to be adapted to regional or national conditions before implementation at the [Management Unit](#) level.

In March 2015, the FSC Board of Directors approved [FSC-STD-60-004 V1-0 EN](#), a set of International Generic Indicators (IGIs) which serve as the starting point for adaptation of [FSC Principles and Criteria](#) to regional or national conditions. It aims to:

- Ensure the consistent implementation of the P&C across the globe;
- Improve and strengthen the credibility of the FSC System;
- Improve the consistency and quality of National Forest Stewardship Standards; and
- Support a faster and more efficient approval process of National Forest Stewardship Standards.

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

The development of NFSS follows the requirements set out in the following FSC normative documents:

- [FSC-PRO-60-006 \(V2-0\) EN](#) *Development and Transfer of National Forest Stewardship Standards to the FSC Principles and Criteria Version 5-1;*
- [FSC-STD-60-002 \(V1-0\) EN](#) *Structure and Content of National Forest Stewardship Standards AND*
- [FSC-STD-60-006 \(V1-2\) EN](#) *Process requirements for the development and maintenance of National Forest Stewardship Standards.*

The above documents have been developed by the FSC Performance and Standards Unit (PSU) to improve consistency and transparency in certification decisions between different Certification Bodies in the region/nation, and in different parts of the world, and thereby to enhance the credibility of the FSC certification scheme as a whole.

## 2.2. Scope of standard

This standard is applicable to all forest operations seeking FSC certification within Malaysia. The standard applies to all forest types, and is applicable at the Management Unit level, covering all scales and intensities of forest management operations. It includes timber and Non-Timber Forest Products (NTFPs). The NTFP that are within the scope of this NFSS include the following products:

- Fruits (edible or non-edible),
- Sap or gland secretion: gum, resin, latex,
- Medicinal herbs: leaves, rods, barks, roots, mushrooms, and
- Stem plants: rattan, bamboo, sap wood, heart wood.

**Note:** In order to be certifiable, NTFPs have to originate from Management Units where The Organization has demonstrated full conformance with all requirements of the Malaysian NFSS. The NSDG has ensured that all indicators in the Malaysian NFSS have been worded or defined in a way that they also refer to NTFPs.

## 2.3. Background information on standards development

The Malaysian National Forest Stewardship Standard (NFSS) development process was registered by the FSC Performance and Standards Unit in June 2011. The process included the development of three subsequent draft standards: draft standard 1.0, released on 17 March 2017; draft standard 2.0, released on 2 January 2018; and draft standard 3.0, released on 30 April 2018.

The National Standards Development Group had a total of 12 physical meetings during the standards development process. These were followed up via email and phone calls as and when necessary. Each public consultation period included physical stakeholder engagement meetings in Sabah, Sarawak and Peninsular Malaysia, where key stakeholders received updates and were asked to provide their comments and feedback on the draft standards. In addition, public announcements on the availability of draft standards were made on the FSC Malaysia website, and copies of the draft standards were distributed via email to enable receipt of specific input on the proposed national standards.

The draft standard 1.0 was distributed to members of the Consultative Forum, FSC National Initiatives and National and Regional Offices within the region, FSC-accredited certification bodies operating in the region, key stakeholder groups and the FSC Performance and Standards Unit for comments and feedback.

The draft standard 2.0 was forest-tested in September and October 2017 at two different sites: Acacia Forest Industries (AFI), an acacia and eucalyptus plantation in Sabah; and Asrama Raya, a natural forest in Terengganu, Peninsular Malaysia.

The draft standard 3.0 incorporated the comments received from stakeholders during public consultations and field testing and was submitted to FSC International for approval in April



2018. Version 1-0 of the Malaysian NFSS was approved by FSC International in August 2018 with conditions. After final amendments were made to address the conditions, the standard was published and made effective in April 2019.

Meanwhile, FSC International published the International Generic Indicators (IGI) v2-0, where requirements to implement [ILO Core Labour Conventions](#) were further elaborated, and new concepts such as [Intact Forest Landscapes](#) (IFL) and [Indigenous Cultural Landscapes](#) (ICL) were introduced. The objectives of the current revision of the Malaysian NFSS were to reflect IGI v2-0 and include NTFPs into the scope of the standards. Membership list of the National Standards Development Group that conducted the revision of this standard, remains unchanged. The first draft of this NFSS version 1-1 (FSC-STD-MYS-01.1-2021) was published for public consultation from 1 April to 31 May 2021. The second draft NFSS version 1-1 incorporated comments received from stakeholders during public consultations and was submitted to FSC International for approval on 8 July 2021.

### **3. Version of the standard**

The current version of the FSC National Forest Stewardship Standard of Malaysia is FSC-STD-MYS-01-2018 All forest types and scales EN. This version of the standards now incorporates IGI v2-0 and NTFPs within its scope. This revised version (FSC-STD-MYS-01.1-2021) was formally approved by FSC International on 20 December 2021.

The standard was developed based on the consensus of NSDG members that it has undergone sufficient consultation and forest testing, and merits approval by FSC. The standard meets the aims and objectives of NSDG members and is believed to be an important resource for the promotion of responsible forest management in Malaysia.

### **4. Context**

This standard covers the country of Malaysia, Peninsular Malaysia to the west and East Malaysia (comprising the states of Sabah and Sarawak) to the east, including numerous smaller islands surrounding both landmasses. Peninsular Malaysia is situated on the southernmost section of the Malay Peninsula, south of Thailand, north of Singapore and east of the Indonesian island of Sumatra; East Malaysia comprises most of the northern part of Borneo island, with land borders shared with Brunei to the north and Indonesian Borneo, which is to the south (adapted from [https://en.wikipedia.org/wiki/Geography\\_of\\_Malaysia](https://en.wikipedia.org/wiki/Geography_of_Malaysia)).

This standard was developed by the Malaysian Standards Development Group, chaired by Anthony Sebastian and coordinated by Si Siew Lim. Additional input was provided by the SDG's Technical Experts Panel comprising of Andrew Ng, Barney Chan, Wei Kwang Chong, Surin Sukswan, Cynthia Chin, Glen MacNair, K C Ling, Robert Ong, Mooi See Tor, Engrit Liaw and Son Kheong Yap.

## 5. References

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

FSC-POL-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-STD-60-002	<i>Structure and Content of National Forest Stewardship Standards</i>
FSC-STD-60-006	<i>Development of National Forest Stewardship Standards</i>
FSC-PRO-01-001	<i>The Development and Revision of FSC Normative Documents</i>
FSC-PRO-01-005	<i>Processing Appeals</i>
FSC-PRO-01-008	<i>Processing Complaints in the FSC Certification Scheme</i>
FSC-PRO-01-009	<i>Processing Policy for Association Complaints in the FSC Certification Scheme</i>
FSC-PRO-30-006	<i>Ecosystem Services Procedure: Impact Demonstration and Market Tools</i>
FSC-DIR-20-007	<i>FSC Directive on Forest Management Evaluations</i>

## 6. Note on the use of indicators

For each Criterion, a number of indicators are listed. Where indicators are simply numbered, with no additional letter (e.g., Indicator 1.1.1), the indicator is intended to be applicable to **all sizes** and **types of forest, including plantations**.

In some cases, additional requirements are specified that are applicable only to small or low-intensity managed forests (SLIMFs). In these cases, the indicator is preceded by the word 'SLIMF'. In instances where there is a SLIMF sub-indicator added to a certain indicator (e.g. Indicator 2.3.1 and SLIMF 2.3.1.1), only that SLIMF sub-indicator shall be used for evaluating SLIMF operations.

### 6.1 Scale, Intensity and Risk (SIR)

FSC has developed the 'Guideline for Standard Developers for addressing risk of unacceptable activities in regard to scale and intensity' (FSC-GUI-60-002 V1-0 EN) to provide a generic framework for Standard Developers to:

- Address risk of unacceptable activities in regard to scale and intensity;
- Effectively and efficiently manage risk for unacceptable negative impact in the national context;
- Recognize that risk of negative activities is a function of scale, intensity and context. Other words: SIR stands for scale +intensity + context = risk
- Recognize that SIR is primarily related to the impact of management activities and is not directly related to the category of landowner, tenure type nor the size of The Organization or Management Unit;
- Recognize that risk is the likelihood or probability of an event with negative consequences on economic, environmental and social values, combined with the severity of those consequences; and
- Recognize, through the analysis and sample indicators in the SIR Matrix, of how SIR applies to each Criterion.

The FSC Principles and Criteria Version 5 (P&C V5) introduced the concept of SIR into the FSC system. It applies all through the standard but is explicitly mentioned in Principles 7 & 8 and in the following Criteria: 1.7, 2.3, 4.3, 4.4, 4.5, 5.1, 5.4, 5.5, 6.1, 6.2, 6.3, 6.4, 6.5, 7.1, 7.2, 7.6, 8.5, 9.1, 9.3, 9.4, and 10.9.

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

As the first nationally developed FSC standard of Malaysia, stakeholders agreed that a special

focus should be placed on ensuring the standards are applicable across a wide range of forest operations given the differences in character, and conditions, of Malaysian Management Units across the country's three geographically, ecologically and politically distinct regions. Thus, stakeholder consensus was to start with the most basic version of Malaysian standards, test it over five years, and then revise it to take into account factors regarding SIR.

This standard does not differentiate its requirements based on scale, intensity, or context for the criteria. SIR was considered in the context of every indicator, but the wording was not specifically modified to reflect scale or intensity. The results of the forest-tests, conducted in two arguably small Management Units of 10,000ha and 17,000ha, indicated no substantial areas of concern with the indicators or verifiers.

The SDG commits to a full incorporation of specific stipulations and requirements of SIR in the next review and revision of the Malaysian NFSS.

The concept of Scale, Intensity and Risk is addressed at indicator level by using the global, non-modified SLIMF thresholds in terms of intensity (see FSC-STD-01-003, SLIMF eligibility criteria). However, this revised version of the NFSS of Malaysia will use a new threshold for defining small management units – 40.46 ha (or 100 acres), instead of the global default value of 100 ha. The reason for this change is that the threshold of 40.46 ha is generally considered for the identification of smallholders in Malaysia, based on the legal requirements in the country. Management units from which Non-Timber Forest Products (NTFPs) are collected or harvested shall be evaluated as 'low intensity' on the basis of the harvest rate. A management unit consisting of natural forest in which only NTFPs are harvested would, therefore, qualify as a 'low intensity' Management Unit. Plantations of Non-Timber Forest Products (e.g., oil palm plantations, cocoa plantations) shall not be considered low intensity management units within the meaning of this standard.

## 6.2 High Conservation Values (HCVs)

[Annex F](#) (National High Conservation Value Framework) of this standard provides requirements for managers to implement indicators from Principle 9 in the National Forest Stewardship Standard (NFSS) of Malaysia. FSC certificate holders, certification bodies, and others shall use this National HCV Framework as part of meeting the requirements of Principle 9. This National HCV Framework includes nationally specific designations of HCVs and sources of Best Available Information for identifying, assessing, managing and monitoring these HCVs. The HCV designations and Best Available Information provided in this Framework may not be exhaustive. Additional examples of HCV designations may exist at the national, regional or management unit scale and shall be identified by forest managers through assessments and engagement.

The following HCV resources are available from <https://my.fsc.org/en-my/resource-centre/hcv->

[resources:](#)

- Malaysian National Interpretation for the Identification of High Conservation Values – Guidance to support improved identification of HCVs in Malaysia by providing the Malaysian context for the definitions of the six HCV categories, the framework for assessing levels of threat to the HCVs, as well as relevant case studies and data sources.
- HCV Guidance – These are the most current guidance documents from the Network and include the current HCV definitions. The two key documents are the Common Guidance on Identification of HCVs and the Common Guidance on Management and Monitoring of HCVs. These HCV definitions override any past guidance or toolkits.
- HCV National Interpretations – These provide practical guidance on how to identify, manage and monitor HCVs at the national level.
- Working papers – A selection of working papers and peer-reviewed journal articles on HCV in various commodity contexts and ecosystems.

Organizations shall consider these documents when establishing their specific HCV management strategies. Certification Bodies may also refer to these resources to verify that the Organization's activities are compliant with the related indicators.

## 7. Principles, criteria and national indicators

### **PRINCIPLE\* 1: COMPLIANCE WITH LAWS**

*The Organization\** shall comply with all [applicable laws\\*](#), regulations and nationally-[ratified\\*](#) international treaties, conventions and agreements.

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

**Indicator 1.1.1.** [Legal registration](#) to carry out all activities within the scope of the certificate is documented, and there are no unresolved, substantiated challenges.

Verifiers:

- 1) Documents: Legal instruments, such as Memorandum and Articles of Association (M&A) or Constitution citing the relevant Enactment or Act under which the Organization was established for, and objectives and activities of The Organization
- 2) Checks: No evidence of any unresolved, substantiated challenges of the Organization's legal registration

**Indicator 1.1.2.** [Legal registration](#) is granted by a [legally competent](#) authority according to legally prescribed processes.

Verifiers:

- 1) For Companies and Limited Liability Partnerships – Documents: Original or certified copies of statutory documents under the Companies Commission of Malaysia demonstrating:
  - a) Company registration
  - b) Shareholders and ownership
  - c) Address of registered office
  - d) Information and contact details of directors, managers and company secretaries
- 2) For Government Organizations – Documents: Gazetted State Ordinance or Federal Act on the establishment of The Organization.
- 3) For Societies – Documents: Original or certified copies:
  - a) Registration Certificate
  - b) List of Registered Office Bearers
  - c) Constitution of Society
- 4) For Sole Proprietorship and Partnership – Documents: Original or certified copies of Business registration certificate.

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

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

Verifiers:

1) For Sabah – Documents:

- a) Sustainable Forest Management License Agreement (SFMLA), Timber License Agreement, or Timber License,
- b) Land Titles or Land Lease Agreement for the Management Unit,
- c) Non-Timber Forest Products licenses/permits (if applicable), and
- d) any other licenses/permits (i.e. ecotourism, ecosystem services, agroforestry or rubber dealers' license).

2) For Sarawak – Documents:

- a) Forest Timber License and/or License for Planted Forests,
- b) Land Titles or Land Lease Agreement for the Management Unit,
- c) Non-Timber Forest Products licenses/permits (if applicable), and
- d) any other licenses/permits (i.e. ecotourism, ecosystem services, agroforestry or rubber dealers' license).

3) For Peninsular Malaysia – Documents:

- a) Duly signed concession agreement and/or assignment deed in favour of The Organization,
- b) Land Titles or Land Lease Agreement for the Management Unit,
- c) Non-Timber Forest Products licenses/permits (i.e. Rubber Trading/Processing License, Rubber Product Manufacturing License or Rubber Nursery License) (if applicable),
- d) Entry Permits,
- e) Harvesting Permits/Licenses, Harvesting Sub-Licenses, and
- f) any other licenses/permits (i.e. ecotourism, ecosystem services, agroforestry or rubber dealers' license).

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

Verifiers:

- 1) For Forest Reserves/Permanent Reserved Forests/State Lands – Documents: Government Gazette, and
- 2) For private land – Documents: Land titles.

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

Verifiers:

- 1) Documents: Official maps by relevant State Forestry Departments and/or Land Office or Land and Survey Department showing the boundaries of the *Management Unit*.

**Criterion\* 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.

**Indicator 1.3.1.** All activities including harvesting and processing of [non-timber forest products](#) undertaken in the [Management Unit](#) are carried out in compliance with:

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

Verifiers:

- 1) Documents: Original or certified copies of trading or business licenses from local councils (where applicable).

**Note:** See verifiers for Indicator 1.2.1 and [Annex A](#) (List of applicable laws, regulations, ratified international treaties, conventions, and agreements).

**Indicator 1.3.2.** Payment is made in a [timely manner](#) of all applicable legally prescribed charges connected with [forest](#) management.

Verifiers:

- 1) Documents: Records such as invoices, tax returns and receipts or waiver and exemptions from legally competent authorities.

**Indicator 1.3.3.** Activities covered by the [management plan](#) are designed to comply with all [applicable laws](#).

Verifiers:

- 1) Documents: Management plan

**Note:** See verifiers for Indicator 1.2.1 and [Annex A](#) (List of applicable laws, regulations, ratified international treaties, conventions, and agreements).

**Criterion\* 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.

**Indicator 1.4.1.** [Unauthorized activities](#) are identified, and measures are implemented to provide [protection](#) for the [Management Unit](#).

Verifiers:



- 1) Documents:
  - a) Standard Operating Procedures (see [Annex G](#) - Guidance on Standard Operating Procedures),
  - b) Records of all detected instances of unauthorized and/or illegal activities,
- 2) Interviews: Surveillance and Enforcement Units for evidence of implemented protection measures,
- 3) Checks:
  - a) Boundaries marked in areas where there is a high risk of encroachment, and
  - b) SOP implementation.

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

Verifiers:

- 1) Documents: Records of relevant engagement with regulatory agencies.

**Indicator 1.4.3.** If [illegal or unauthorized activities](#) are detected, measures are implemented to address them.

Verifiers:

- 1) Documents: Records of actions taken by Surveillance and Enforcement Units, and
- 2) Interviews: Surveillance and Enforcement Units for evidence of implemented measures.

**Criterion\* 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.

**Indicator 1.5.1.** Compliance with applicable [national laws](#), [local laws](#), [ratified](#) international conventions and [obligatory codes of practice](#) relating to the transportation and trade of forest products including [non-timber forest products](#) up to the point of first sale is demonstrated.

Verifiers:

- 1) Documents:
  - a) Removal pass permit, delivery orders, invoices, bill of lading, export declaration form, timber disposal permit and/or others as relevant,
  - b) Tree tagging, marking records and/or production records, and
- 2) Interviews: Employees and regulatory authorities for evidence of compliance.

**Note:** See [Annex A](#) (List of applicable laws, regulations and ratified international treaties, conventions and agreements).

**Indicator 1.5.2** Compliance with CITES provisions is demonstrated, including through possession of certificates for harvest and trade (including [non-timber forest products](#)) in any CITES-listed species.

Verifiers:

1) Documents:

- a) Lists of all locally occurring timber (and non-timber, if applicable) species that are listed by CITES within the Management Unit, and
- b) Permits or licenses (for Peninsular Malaysia) for harvest and trade.

**Note:** See [Annex A](#) (List of applicable laws, regulations, ratified international treaties, conventions, and agreements).

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

**Indicator 1.6.1.** A [publicly available dispute](#) resolution process is in place as a [Standard Operating Procedure](#); developed through [culturally appropriate engagement](#) with [affected stakeholders](#).

Verifiers:

1) Documents:

- a) Standard Operating Procedures (see [Annex G](#) – Guidance on Standard Operating Procedures) for dispute resolution including related dispute identification and prevention procedures,
- b) Records of engagement with affected stakeholders, and

2) Interviews: Affected stakeholders for evidence of satisfactory engagement during the Organization's development of its dispute resolution process.

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

Verifiers:

1) Documents: Settlement agreements and/or documented cases (if any),

2) Interviews:

- a) Affected stakeholders on the timeliness of the response, and
- b) Affected stakeholders and Civil Society Organizations (CSOs) for evidence of fair negotiation and/or mediation for mutually agreed settlements.

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

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

Verifiers:

- 1) Documents:
  - a) Records of grievances,
  - b) Records of dispute resolution decisions and actions, and
  - c) Records of compensation and/or settlement agreements (if any).

**Indicator 1.6.4.** Operations cease in areas where [disputes](#) exist:

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

Verifiers:

- 1) Documents: Records of stop work orders issued by management in disputed areas, and
- 2) Interviews: Affected stakeholders and community liaison officer for evidence that operations ceased in affected areas.

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

**Indicator 1.7.1.** A policy is implemented that includes a commitment not to offer or receive bribes in money or any other form of corruption, and meets or exceeds relevant legislative requirements.

Verifiers:

- 1) Documents:
  - a) Written policy complies with the requirements,
  - b) Copies of related legislation, and
  - c) Communications materials (such as circulars, notifications, posters, etc.) regarding policy to staff, including contractors and other stakeholders.

**SLIMF 1.7.1.1.** A written or verbal declaration not to give or receive bribes in money or to engage in other forms of corruption is communicated to neighbours and customers.

Verifiers:

- 1) Documents: Communications materials (such as circulars, notifications, posters, etc.) regarding anti-bribery declaration to staff, including contractors and other stakeholders, and
- 2) Interviews: Stakeholders to demonstrate understanding of anti-bribery declaration.

**Indicator 1.7.2.** The policy is [publicly available](#) at no cost.

Verifiers:

- 1) Documents: Written and publicly available policy.

**Indicator 1.7.3.** Procedures are implemented to ensure bribery, coercion and other acts of corruption do not occur.

Verifiers:

- 1) Documents: Standard Operating Procedures (see [Annex G](#) – Guidance on Standard Operating Procedures) to prevent corruption, and
- 2) Interviews: Managers, workers and stakeholders for evidence of implementation of procedures to prevent corruption.

**Indicator 1.7.4.** Corrective measures are implemented if corruption does occur.

Verifiers:

- 1) Documents:
  - a) Records of internal investigations carried out,
  - b) Records of disciplinary actions taken,
  - c) Records of implemented corrective measures (if any), and
- 2) Interviews: Managers, workers and stakeholders for evidence of implementation of corrective measures.

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

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

Verifiers:

- 1) Documents: Written policy endorsed by The Organization's senior authorities stating The Organization's long-term commitment to forest management practices consistent with the FSC Principles and Criteria and related Policies and Standards.

**Indicator 1.8.2.** The policy is [publicly available](#) at no cost.

Verifiers:

1) Documents: Written and publicly available policy.

[Go to Annex A](#) (List of applicable laws, regulations, ratified international treaties, conventions, and agreements)

[Go to Annex G](#) (Guidance on Standard Operating Procedures)

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**PRINCIPLE\* 2: WORKERS\* RIGHTS AND EMPLOYMENT CONDITIONS**

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

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

**Indicator 2.1.1** The Organization shall not employ workers below the age of 15, or below the minimum age as stated under national or local laws or regulations - whichever age is higher.

Verifiers:

1) Documents:

- a) Employment policy/procedures,
- b) Employment records (Age Register), identity documents such as copies of birth certificates or national ID cards, and

2) Interviews and checks: No evidence (through random interviews with workers and employers/contractors/labour union representatives/regulatory authorities and field observation) of child labour.

**Note:** See Annex A (List of applicable laws, regulations, ratified international treaties, conventions, and agreements).

**Indicator 2.1.2** No person under the age of 18 is employed in hazardous or heavy work except for the purpose of training within approved national laws and regulation.

Verifiers:

1) Documents:

- a) Employment policy/procedures,
- b) Employment records (Age Register), identity documents such as copies of birth certificates or national ID cards, and

2) Interviews and checks: No evidence (through random interviews with workers and employers/contractors/labour union representatives/regulatory authorities and field observation) of persons under the age of 18 employed in hazardous or heavy work.

**Note:** See Annex A (List of applicable laws, regulations, ratified international treaties, conventions, and agreements).

**Indicator 2.1.3** Employment relationships are voluntary and based on mutual consent, without threat of a penalty.

Verifiers:

1) Documents:

- a) Wage records,
- b) Employment contracts and/or work agreements (including workers' copies),
- c) Records of salary deductions,
- d) Dispute and grievance records,
- e) Records of licensed recruitment agencies, and

2) Interviews and checks: To verify (through random interviews with workers and employers/contractors/labour union representatives/regulatory authorities and field observation) that employment relationships are voluntary and based on mutual consent, without threat of a penalty.

**Indicator 2.1.4** There is no evidence of any practices indicative of [forced or compulsory labour](#), including, but not limited to, the following:

- physical and sexual violence
- bonded labour
- withholding of wages /including payment of employment fees and or payment of deposit to commence employment
- restriction of mobility/movement
- retention of passport and identity documents
- threats of denunciation to the authorities.

Verifiers:

1) Documents:

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

2) Interviews and checks: No evidence (through random interviews with workers and employers/contractors/labour union representatives/regulatory authorities and field observation) of any practices indicative of forced or compulsory labour, including, but not limited to, the above.

**Indicator 2.1.5** [Employment and occupation](#) practices are non-[discriminatory](#).

Verifiers:

1) Documents:

- a) Wage records,
- b) Adverts for employment,
- c) Job application records,
- d) Dispute and grievance records,
- e) Job evaluation (appraisals),

<p>f) Policies and procedures,</p> <p>g) Records of employment demographic/gender ratio in job types (if available), and</p> <p>2) Interviews: No evidence (through random interviews with workers and employers/contractors/labour union representatives/regulatory authorities and field observation) of discriminatory employment and occupation practices.</p>
<p><b>Indicator 2.1.6</b> <a href="#">Workers</a> are able to establish or join <a href="#">workers' organizations</a> of their own choosing subject to the rules of the workers' organizations.</p> <p>Verifiers:</p> <p>1) Documents:</p> <p>a) Policies and procedures,</p> <p>b) Workers' organizations' written constitutions and rules (if any), and</p> <p>2) Interviews: Workers, workers' organization/labour union representatives, and management for evidence of freedom of association and that the rights of workers' organizations are respected.</p>
<p><b>Indicator 2.1.7</b> <a href="#">The Organization</a> respects the rights of workers to engage in lawful activities related to forming, joining or assisting a <a href="#">workers' organization</a>, or to refrain from doing the same; and will not discriminate or punish workers for exercising these rights.</p> <p>Verifiers:</p> <p>1) Interviews: Workers, labour union representatives and management for evidence the rights of workers to carry out the above activities are respected.</p>
<p><b>Indicator 2.1.8</b> <a href="#">The Organization</a> negotiates with lawfully established <a href="#">workers' organizations</a> and/or duly selected representatives in <a href="#">good faith</a> and with the best efforts to reach a <a href="#">collective bargaining</a> agreement.</p> <p>Verifiers:</p> <p>1) Documents: Records of negotiations/collective bargaining agreements (if any),</p> <p>2) Interviews: Workers and representatives of recognized workers organizations for evidence that <a href="#">negotiations were carried out in good faith</a> and with best efforts to reach an agreement.</p>
<p><b>Indicator 2.1.9</b> <a href="#">Collective bargaining</a> agreements are implemented where they exist.</p> <p>Verifiers:</p> <p>1) Documents: Collective bargaining agreements (if any), and</p> <p>2) Interviews: Workers and representatives of recognized workers organizations for evidence of implementation of agreements.</p>



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

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

Verifiers:

1) Documents:

- a) Organization's policy on gender equality,
- b) Documentation communicating The Organization's policy on gender equality (e.g. circulars or notification to employees, contractors etc.),
- c) Records of training and health & safety programs confirm sufficient inclusion of women, and

2) Interviews: Managers, workers (including women) and stakeholders for evidence of implementation of systems to promote gender equality and to confirm inclusion of women in training and health & safety programs.

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

Verifiers:

1) Interviews: Managers, workers and stakeholders (focusing on women) to confirm that women and men have access to the same job opportunities under the same conditions, with women being encouraged to participate in all levels of employment.

**Indicator 2.2.3.** Work typically carried out by women (nurseries, silviculture, Non-Timber Forest Product harvesting, weighing, packing, etc.) is included in training and health & safety programs to the same extent as work typically carried out by men.

Verifiers:

- 1) Documents: Documentation and records of training and health & safety programs
- 2) Interviews: Managers and workers (focusing on women) to confirm that work typically carried out by women are included in training and health & safety programs to the same extent as work typically carried out by men.

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

Verifiers:

- 1) Documents: Wage records, and
- 2) Interviews: Workers for evidence of equal pay.

**Indicator 2.2.5.** Women are paid directly and using mutually agreed methods to ensure they safely

receive and retain their wages.

Verifiers:

- 1) Documents: Wage payment records (e.g. direct bank transfer, direct payments for school fees, etc.), and
- 2) Interviews: Relevant workers (focusing on women) for evidence of safe receipt and retention of wages.

**Indicator 2.2.6.** Maternity leave is no less than a 60-day period after childbirth.

Verifiers:

- 1) Documents: Maternity leave records, and
- 2) Interviews: Relevant workers (focusing on women) for evidence of maternity leave provided.

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

Verifiers:

- 1) Documents: Paternity leave records, and
- 2) Interviews: Relevant workers (focusing on men) for evidence of paternity leave provided.

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

Verifiers:

- 1) Documents: Records and participation lists of meetings, committees and forums, and
- 2) Interviews: Workers (women and men) to confirm that there is no discrimination based on gender in the context of minuted meetings, management committees and decision-making forums.

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

Verifiers:

- 1) Documents:
  - a) Standard Operating Procedures (see [Annex G](#) - Guidance on Standard Operating Procedures),
  - b) Case reports (if any), and
- 2) Interviews: Managers, workers, contractors and labour union representatives, and other relevant stakeholders for no evidence of discrimination on the basis of gender and sexual harassment and awareness of reporting mechanisms.

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

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

Verifiers:

1) Documents:

- a) Circulars on laws and regulations covering health and safety of workers,
- b) The Organization's occupational safety and health hazards policy,
- c) Standard Operating Procedures (see [Annex G](#) – Guidance on Standard Operating Procedures) and/or working instructions, which are prominently displayed at work sites and in languages understandable to forest workers,
- d) Machinery maintenance records,

2) Interviews:

- a) Forest Managers, employees and/or contractors to demonstrate understanding of relevant laws,
- b) Government officers and relevant stakeholders/resource persons for evidence that The Organization's health and safety practices meet or exceed the ILO Code of Practice, and

3) Checks: Workplace and machinery, including infrastructures.

**SLIMF 2.3.1.1:** Each worker is informed about the health and safety measures corresponding to his/her activity and these meet or exceed the ILO Code of Practice on Safety and Health in Forestry Work.

Verifiers:

1) Documents:

- a) Standard Operating Procedures (see [Annex G](#) – Guidance on Standard Operating Procedures) and/or working instructions, which are prominently displayed at work sites and in languages understandable to forest workers,
- b) Machinery maintenance records,

2) Interviews: Forest Managers, employees and/or contractors to demonstrate understanding of relevant laws and the ILO Code of Practice, and

3) Checks: Workplace and machinery, including infrastructures.

**Note:** See [Annex A](#) (List of applicable laws, regulations, ratified international treaties, conventions, and agreements).

**Indicator 2.3.2.** [Workers](#), including workers harvesting and processing [non-timber forest products](#), have personal protective equipment appropriate to their assigned tasks.

Verifiers:

- 1) Documents: Records of issuance of personal protective equipment, and
- 2) Interviews: Managers and workers for evidence of the provision of personal protective equipment.

**Indicator 2.3.3.** Use of personal protective equipment is enforced.

Verifiers:

- 1) Documents: Records of disciplinary action taken against workers who fail to use their personal protective equipment (if any),
- 2) Interviews: Managers and workers for evidence of the enforcement (of the use) of personal protective equipment, and
- 3) Checks: Personal protective equipment use by workers.

**Indicator 2.3.4.** Records are kept on health including accident rates and lost time to accidents.

Verifiers:

- 1) Documents:
  - a) Health and accident reports,
  - b) Records of accidents (Organization), and
  - c) Records of accidents (Department of Safety and Health), and
  - d) Health analyses (including accident rates and lost time to accidents).

**SLIMF 2.3.4.1.** The use of health and safety measures by [workers](#) is checked and known.

Verifiers:

- 1) Interviews: Managers and workers for evidence of the provision of personal protective equipment and knowledge of health and safety measures, and
- 2) Checks: Workplace and machinery, including infrastructures.

**Indicator 2.3.5** Safety practices are maintained and reviewed annually for revision.

Verifiers:

- 1) Documents:
  - a) Documented health & safety practices, and
  - b) Reviews/revisions of health & safety practices.

**Indicator 2.3.6.** The frequency and severity of accidents are consistently low compared to national [forest](#) industry averages.

Verifiers:

1) Documents:

- a) Health analyses (including accident, fatality and total permanent disability rates),
- b) Figures for national forest industry accident averages, and
- c) Analyses comparing the frequency and severity of accidents to national forest industry averages.

**SLIMF 2.3.6.1.** Accident level is low compared to national forest industry averages.

Verifiers:

1) Documents:

- a) Accident analyses, and
- b) Analyses comparing the frequency and severity of accidents to national forest industry averages.

**Criterion\* 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\**.

**Indicator 2.4.1.** Wages paid by *The Organization* in all circumstances meet or exceed *legal* minimum wage rates in Malaysia.

Verifiers:

1) Documents:

- a) Records of pay/salary slips of workers (including contract workers and overtime payments),
- b) Legal minimum wage rates, and

2) Interviews: Workers (including contract workers) for evidence that wages paid meet or exceed legal minimum wage rates.

**Note:** See *Annex A* (List of applicable laws, regulations, ratified international treaties, conventions, and agreements).

**Indicator 2.4.2.** Wages paid meet or exceed:

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

Verifiers:

1) Documents:

- a) Records of pay/salary slips of workers,

- b) Wage data and agreements from national timber industry associations and/or relevant government authorities, and
- c) Calculations of living wages.

**Indicator 2.4.3.** Wages, salaries and contracts are paid on a timely basis and are compliant with local legislation.

Verifiers:

- 1) Documents: Workers payment records, and
- 2) Interviews: Workers and contractors for evidence that wages, salaries and contracts are paid on a timely basis.

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

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

Verifiers:

- 1) Documents:
  - a) Records of training programmes, evaluations and attendance,
  - b) Skill or training certificates, and
- 2) Interviews: Workers for evidence of sufficient training and supervision.

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

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

Verifiers:

- 1) Documents: Records of training.

**Criterion\* 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\**.

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

Verifiers:

- 1) Documents:
  - a) Documented dispute resolution process,
  - b) Records of engagement with workers regarding the development of the dispute grievance

procedure, and

2) Interviews: Forest managers, workers and labour union representatives for evidence of implementation of a dispute resolution process and sufficient engagement (workers).

**Indicator 2.6.2.** [Workers'](#) grievances are identified and responded to and are either resolved or are in the [dispute](#) resolution process.

Verifiers:

- 1) Documents: Records of grievances, and
- 2) Interviews: Managers, workers and labour union representatives for evidence of the effectiveness of The Organization's implemented dispute resolution process.

**Indicator 2.6.3.** Up-to-date records of [workers'](#) grievances related to workers loss or damage of property, [occupational diseases](#) or [injuries](#) are maintained including:

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

Verifiers:

- 1) Documents: Records of grievances.

**Indicator 2.6.4.** [Fair compensation](#) is provided to [workers](#) for work-related loss or damage of property and [occupational disease](#) or [injuries](#).

Verifiers:

- 1) Documents: Records of fair compensation paid to workers, and
- 2) Interviews: Relevant workers for evidence that fair compensation was provided.

[Go to Annex B](#) (Training requirements for workers)

[Go to Annex G](#) (Guidance on Standard Operating Procedures)

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**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.

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

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

Verifiers:

1) Documents:

- a) Records on methods used by The Organization to identify all Indigenous Peoples that may be affected by management activities, and
- b) Lists of all Indigenous Peoples that exist within and outside the Management Unit that may be affected by management activities. Lists should include key characteristics of the Indigenous Peoples concerned including ethnic group, number of households, population, etc.

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

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

Verifiers:

- 1) Documents and interviews: Community engagement strategy and evidence of its implementation, through interviews and examination of records,
- 2) Documents:
  - a) Maps and other relevant records identifying all lands or territories of Indigenous Peoples within the Management Unit,
  - b) Records of engagement with Indigenous Peoples (reflecting consultation was conducted and



concluded through Indigenous Peoples representative sign-off),

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

3) Interviews: Indigenous Peoples and Civil Society Organizations (CSOs) for evidence of their engagement on and satisfaction with the documentation/mapping carried out.

**Criterion\* 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\\*](#).

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

Verifiers:

1) Documents:

- a) Records of engagement,
- b) Modifications to management activities requested by Indigenous Peoples, and

2) Interviews: Indigenous Peoples for evidence that they have been informed by The Organization.

**Indicator 3.2.2.** The [legal](#) and/or [customary rights](#) of [Indigenous Peoples](#) are not violated by [The Organization](#).

Verifiers:

1) Interviews:

- a) Indigenous Peoples for evidence that legal and/or customary rights have not been violated by The Organization, and
- b) Relevant workers to demonstrate awareness of the legal and customary rights of Indigenous Peoples in relation to on-the-ground management activities.

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

Verifiers:

1) Documents:

- a) Agreements between The Organization and Indigenous Peoples (if any),
- b) Records of engagement and/or dispute resolution process, and

2) Interviews: Indigenous Peoples for evidence that the situation has been satisfactorily corrected.

**Indicator 3.2.4.** [Free, Prior and Informed Consent](#) is granted by [Indigenous Peoples](#) prior to management activities that affect their identified rights through a process that includes:

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

Verifiers:

1) Documents:

- a) Agreements between The Organization and Indigenous Peoples (if any),
- b) Records of engagement/consultations including proceedings in relation to the above requirements, and

2) Interviews: Indigenous Peoples for evidence that their free, prior and informed consent has been granted.

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

Verifiers:

1) Documents:

- a) Documented mutually agreed FPIC process (if any),
- b) Records of engagement/consultations including proceedings in relation to the above requirements, and

2) Interviews: Indigenous Peoples for evidence that engagements are advancing through a mutually agreed FPIC process, in good faith and with which the community is satisfied.

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

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

Verifiers:

1) Documents:

- a) Binding agreement,
- b) Records of engagement, and

2) Interviews: Indigenous Peoples and Civil Society Organizations (CSOs) for evidence of satisfactory engagement and that free, prior and informed consent has been granted.

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

Verifiers:

1) Documents: Records related to the binding agreement.

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

Verifiers:

1) Documents:

- a) Binding agreement,
- b) Written reports or *oral records* from Indigenous Peoples,
- c) Documented evidence of fulfilment of conditions of the binding agreement, and

2) Interviews: Indigenous Peoples for evidence of fulfilment of conditions of the binding agreement.

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

**Indicator 3.4.1.** There shall be a *publicly available* declaration/policy endorsed by senior management of *The Organization* explicitly stating that 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) (UNDRIP) and ILO Convention 169 (1989).

Verifiers:

1) Documents: Declaration/policy.

**Note:** See [Annex A](#) (List of applicable laws, regulations, ratified international treaties, conventions, and agreements).

**Indicator 3.4.2.** The rights, customs and culture of [Indigenous Peoples](#) as defined in UNDRIP and ILO Convention 169 are not violated by [The Organization](#).

Verifiers:

1) Documents: Records of training delivered to relevant workers (to demonstrate understanding of UNDRIP and ILO Convention 169 relevant to Indigenous Peoples' rights, customs and culture),

2) Interviews:

- a) Indigenous Peoples and relevant stakeholders for evidence that the rights, customs and culture of Indigenous Peoples have not been violated by The Organization, and
- b) Forest manager and/or relevant officer of The Organization and/or any outsourced parties (contracted to assist the Organization in recognizing and upholding the rights of Indigenous Peoples) to demonstrate awareness of the rights, customs and culture of Indigenous Peoples as defined in UNDRIP and ILO Convention 169.

**Indicator 3.4.3.** Where evidence that rights, customs and culture of [Indigenous Peoples](#), as defined in UNDRIP and ILO Convention 169, have been violated by [The Organization](#), the situation is documented including steps to [restore](#) these rights, customs and culture of [Indigenous Peoples](#), to the satisfaction of the rights holders.

Verifiers:

1) Documents: Documentation of relevant steps taken by The Organization, and

2) Interviews: Indigenous Peoples for evidence that the situation has been documented and their rights, customs and culture are being satisfactorily restored.

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

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

Verifiers:

1) Documents:

- a) Map showing sites of special cultural, ecological, economic, religious or spiritual significance and related supporting documents, and
- b) Records of engagement through participatory approach with Indigenous Peoples and their representatives on the identification and mapping of sites.

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

Verifiers:

1) Documents:

- a) Records of engagement with Indigenous Peoples and/or relevant stakeholders,
- b) Documentation of measures to protect such sites,
- c) Operational maps,

2) Interviews:

- a) Indigenous Peoples for evidence of satisfactory engagement and implemented measures,
- b) Forest manager for evidence of implemented measures, and

3) Checks: Measures implemented on the ground to protect such sites.

**Indicator 3.5.3.** Wherever sites of special cultural, ecological, economic, religious or spiritual significance are newly observed or discovered, management activities cease immediately in the vicinity until protective measures have been agreed to with the [Indigenous Peoples](#).

Verifiers:

1) Documents:

- a) Records of training for relevant workers (to identify these sites and implement the necessary measures to protect them before the start of management activities to avoid negative impacts),
- b) Records of stop work orders issued by management when such sites are newly discovered

2) Interviews:

- a) Forest manager and/or relevant officer of The Organization and/or outsourced parties (contracted to assist the Organization in recognizing and upholding the rights of Indigenous Peoples) and relevant workers to demonstrate understanding of how to identify these sites and implement protection measures, and
- b) Indigenous Peoples for evidence of being informed when new sites are newly observed or discovered and ceased management activities.

**Criterion\* 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.

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

Verifiers:

1) Documents:

- a) Declaration/policy by The Organization explicitly stating that it shall recognize and uphold the rights of Indigenous Peoples to protect and utilize their traditional knowledge,
- b) Records of joint utilization of traditional knowledge (if any),
- c) Binding agreement, and

2) Interviews: Holders of traditional knowledge for evidence that their free, prior and informed consent has been granted.

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

Verifiers:

1) Documents:

- a) Binding agreement, and
- b) Records of engagement and compensation and/or benefit sharing.

[Go to Annex A](#) (List of applicable laws, regulations, ratified international treaties, conventions, and agreements)

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#### **PRINCIPLE\* 4: COMMUNITY RELATIONS**

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

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

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

Verifiers:

1) Documents:

- a) Records of methods used by The Organization to identify all local communities that exist within the Management Unit, and those that are affected by its management activities, and
- b) List of all local communities that exist within the Management Unit or are affected by management activities.

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

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

Verifiers:

1) Documents:

- a) *Community engagement strategy* and evidence of its implementation, through interviews and examination of records,
- b) Records of engagement with local communities,
- c) Records reflect consultation was conducted and concluded through local community representative sign-off,
- d) Records and documents identifying all key rights of local communities within, and adjacent to the Management Unit, to tenure, resources, customary significance, recreation, sustenance,

<p>water resources and other applicable ecosystem services,</p> <p>e) Records of supporting historical documents, <a href="#">oral history</a> (e.g. recordings, etc.) to support claims made by local communities, and</p> <p>2) Interviews: Local communities for evidence of their engagement on and satisfaction with the documentation/mapping carried out.</p>
<p><b>Criterion* 4.2.</b> <a href="#">The Organization*</a> shall recognize and <a href="#">uphold*</a> the <a href="#">legal*</a> and <a href="#">customary rights*</a> of <a href="#">local communities*</a> to maintain control over management activities within or related to the <a href="#">Management Unit*</a> to the extent necessary to protect their rights, resources, <i>lands and territories*</i>. Delegation by <a href="#">local communities*</a> of control over management activities to third parties requires <a href="#">Free, Prior and Informed Consent*</a>.</p>
<p><b>Indicator 4.2.1.</b> Through <a href="#">culturally appropriate engagement</a>, <a href="#">local communities</a> are informed of when, where and how they can comment on and request modification to management activities to the extent necessary to protect their rights.</p> <p>Verifiers:</p> <p>1) Documents:</p> <p>a) Records of engagement,</p> <p>b) Modifications to management activities requested by local communities, and</p> <p>2) Interviews: Local communities for evidence that they have been informed by The Organization.</p>
<p><b>Indicator 4.2.2.</b> The <a href="#">legal</a> and/or <a href="#">customary rights</a> of <a href="#">local communities</a> to maintain control over management activities are not violated by <a href="#">The Organization</a>.</p> <p>Verifiers:</p> <p>1) Interviews: Local communities for evidence that legal and/or customary rights have not been violated by The Organization.</p>
<p><b>Indicator 4.2.3.</b> Where evidence exists that <a href="#">legal</a> and <a href="#">customary rights</a> of <a href="#">local communities</a> related to management activities have been violated the situation is corrected, if necessary, through <a href="#">culturally appropriate engagement</a> and/or through the <a href="#">dispute</a> resolution process in <a href="#">Criteria</a> 1.6 or 4.6.</p> <p>Verifiers:</p> <p>1) Documents:</p> <p>a) Records of engagement,</p> <p>b) Records of dispute resolution, and</p> <p>2) Interviews: Local communities for evidence that the situation has been satisfactorily corrected.</p>
<p><b>Indicator 4.2.4.</b> <a href="#">Free, Prior and Informed Consent</a> is granted by <a href="#">local communities</a> prior to management activities that affect their identified rights through a process that includes:</p> <p>1) Ensuring local communities know their rights and obligations regarding the resource;</p>



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

Verifiers:

- 1) Documents:
  - a) Agreement between The Organization and local communities,
  - b) Records of engagement, and
- 2) Interviews: Local communities for evidence that their free, prior and informed consent has been granted.

**Indicator 4.2.5.** Where the process of [Free Prior and Informed Consent](#) has not yet resulted in an FPIC agreement, [the Organization](#) and the affected [local communities](#) are engaged in a mutually agreed FPIC process that is advancing, in [good faith](#) and with which the community is satisfied

Verifiers:

- 1) Documents:
  - a) Documented mutually agreed FPIC process (if any),
  - b) Records of engagement/consultations including proceedings in relation to the above requirements, and
- 2) Interviews: Local communities for evidence that engagements are advancing through a mutually agreed FPIC process, in good faith and with which the community is satisfied.

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

**Indicator 4.3.1.** [Reasonable](#) opportunities are communicated and provided to [local communities](#), local contractors and local suppliers for:

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

Verifiers:

- 1) Documents:
  - a) Needs assessment report,
  - b) Recruitment and employment records,
  - c) Locally distributed public job and training advertisements, and
- 2) Interviews: Local communities, employees, contractors and suppliers on the opportunities and

services provided.

**SLIMF 4.3.1.1.** Preference is given to local people and services in employment and training.

Verifiers:

- 1) Documents: Recruitment and employment records, contracts, and
- 2) Interviews: Local communities, employees, contractors and suppliers on the opportunities and services provided.

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

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

Verifiers:

- 1) Documents:
  - a) The Organization's documented programme for community relations, and
  - b) Records of engagement with local communities.

**SLIMF 4.4.1.1.** Opportunities for local social and economic development are identified and implemented.

Verifiers:

- 1) Documents: Records of engagement with local communities, and
- 2) Interviews: Local communities, employees, contractors and suppliers on the opportunities and services provided.

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

Verifiers:

- 1) Documents: Evidence of implementation of The Organization's programme for community relations (e.g. reports of activities, annual reports, etc.),
- 2) Interviews: Local communities on projects and additional activities implemented and/or supported by The Organization, and
- 3) Checks: Projects and additional activities implemented and/or supported by the Organization.

**SLIMF 4.4.2.1.** Local products and services are used by the Organization to contribute to local social

and economic benefit.

Verifiers:

- 1) Documents: Records of local products and services used (if applicable), and
- 2) Interviews: Local communities, employees, contractors and suppliers on the opportunities and services provided.

**Criterion\* 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.

**Indicator 4.5.1.** Through *culturally appropriate engagement* with *local communities*, measures are implemented to identify, avoid and mitigate *significant* negative social, environmental and economic impacts of management activities, including impacts on *non-timber forest products*.

Verifiers:

- 1) Documents:
  - a) Records of engagement,
  - b) Reports detailing social, environmental and economic impacts,
  - c) Management prescriptions, and
- 2) Interviews: Affected local communities for evidence of satisfactory engagement and implementation of measures.

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

Verifiers:

- 1) Documents:
  - a) Reports detailing social, environmental and economic impacts (if applicable),
  - b) Management prescriptions (if applicable), and
- 2) Interviews: Organization for measures implemented and affected communities for evidence of satisfactory engagement and implementation of measures.

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

Verifiers:

- 1) Documents: Records of communications (if applicable), and
- 2) Interviews: Neighbours and adjacent landowners for evidence of communications (if applicable).

**Criterion\* 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\**.

**Indicator 4.6.1.** A [publicly available dispute](#) resolution process is in place as a [Standard Operating Procedure](#), developed through [culturally appropriate engagement](#) with [local communities](#).

Verifiers:

1) Documents:

- a) Standard Operating Procedures (see [Annex G](#) – Guidance on Standard Operating Procedures) for dispute resolution including related dispute identification and prevention procedures,
- b) Publicly available dispute resolution process,
- c) Records of engagement with local communities, and

2) Interviews: Local communities for evidence of satisfactory engagement during the Organization's development of its dispute resolution mechanism.

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

Verifiers:

1) Documents:

- a) Documented process for voicing grievances from local communities,
- b) Records of dispute resolution decisions and actions, and

2) Interview: Local communities and community liaison officer on the adequacy of the implemented dispute resolution process.

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

1) Steps taken to resolve grievances

2) Outcomes of all [dispute](#) resolution processes including [fair compensation](#) to [local communities](#) and individuals; and

3) Unresolved [disputes](#), the reasons they are not resolved, and how they will be resolved.

Verifiers:

1) Documents:

- a) Records of grievances,
- b) Records of dispute resolution decisions and actions, and
- c) Records of compensation and/or settlement agreements (if any).

**Indicator 4.6.4.** Operations cease in affected areas while [disputes](#) exist of:

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

Verifiers:

- 1) Documents: Records of stop work orders issued by management in disputed areas, and
- 2) Interviews: Affected local communities and community liaison officer for evidence that operations ceased in affected areas.

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

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

Verifiers:

- 1) Documents:
  - a) Map showing sites of special cultural, ecological, economic, religious or spiritual significance and related supporting documents, and
  - b) Records of engagement with local communities through participatory approach with and/or their representative on the identification and mapping of sites.

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

Verifiers:

- 1) Documents:
  - a) Records of engagement with local communities and/or relevant stakeholders,
  - b) Documentation of measures to protect such sites,
  - c) Operational maps,
- 2) Interviews:
  - a) Local communities for evidence of satisfactory engagement and implemented measures,
  - b) Forest manager for evidence of implemented measures, and
- 3) Checks: Implementation of measures to protect such sites.

**Indicator 4.7.3.** Whenever sites of special cultural, ecological, economic, religious or spiritual significance are newly observed or discovered, management activities cease immediately in the vicinity until protective measures have been agreed to with the [local communities](#).

Verifiers:

1) Documents:

- a) Records of training for relevant workers (to identify these sites and implement the necessary measures to protect them before the start of management activities to avoid negative impacts),
- b) Records of stop work orders issued by management when such sites are newly observed or discovered, and

2) Interviews:

- a) Forest manager and/or relevant officer of The Organization and/or outsourced parties (contracted to assist the Organization in recognizing and upholding the rights of local communities) and relevant workers to demonstrate understanding of how to identify these sites and implement protection measures, and
- b) Local communities for evidence of being informed when new sites are newly observed or discovered and ceased management activities.

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

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

Verifiers:

1) Documents:

- a) Declaration/policy by The Organization explicitly stating that it shall recognize and uphold the rights of local communities to protect and utilize their traditional knowledge,
- b) Records of joint utilization of traditional knowledge (if any),
- c) Binding agreement, and

2) Interviews: Holders of traditional knowledge for evidence that their free, prior and informed consent has been granted.

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

[property.](#)

Verifiers:

1) Documents:

- a) Binding agreement, and
- b) Records of engagement and compensation and/or benefit sharing.

[Go to Annex G](#) (Guidance on Standard Operating Procedures)

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**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

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

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

Verifiers:

- 1) Documents: Resource survey report of the Management Unit,
- 2) Interviews:
  - a) Management on their understanding of resource availability, and
  - b) Local communities for information on available resources, non-timber forest products and ecosystem services to confirm management's understanding.

**SLIMF 5.1.1.1.** The Organization is aware of the range of resources and ecosystem services that could strengthen and diversify the local economy.

Verifiers:

- 1) Interviews:
  - a) Management on their understanding on resource availability, and
  - b) Local communities for information on available resources, non-timber forest products and ecosystem services to confirm management's understanding.

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

Verifiers:

- 1) Documents:
  - a) Documentation addressing the management of the forest for multiple benefits including both timber and non-timber products as well as ecosystem services such as watershed services, flood and erosion protection, food sources, cultural services, etc.,
  - b) Forest resource assessment containing data on quantity, quality and use of timber and non-timber forest products harvested as well as ecosystem services within the Management Unit by The Organization and others, and



2) Interviews: Local communities for evidence of produced benefits and products by The Organization and others.

Verifiers (SLIMF only):

1) Interviews:

- a) Management on efforts, and
- b) Local communities for evidence of produced benefits and products by The Organization and others.

**Indicator 5.1.3.** When [The Organization](#) uses FSC Ecosystem Services Claims, [The Organization](#) shall comply with applicable requirements in [FSC-PRO-30-006](#).

**Criterion\* 5.2.** [The Organization\\*](#) shall normally harvest products and services from the [Management Unit\\*](#) at or below a level which can be permanently sustained.

**Indicator 5.2.1.** [Timber harvesting levels](#) are based on an analysis of current [Best Available Information](#) on growth and yield; inventory of the [forest](#); mortality rates; and maintenance of [ecosystem functions](#).

Verifiers:

1) Documents:

- a) Compliance report,
- b) Management Unit compartment record book,
- c) Quarterly Progress Reports,
- d) Prescribed annual allowable cut,
- e) Inventory of the forest,
- f) Harvest records and plans over the management plan period,
- g) Annual work plan (or annual detailed plan for Sarawak), and
- h) Use of established forest growth models and/or growth information and/or data from Permanent Sample Plots (PSP) (that are statistically representative of the area managed) for growth and yield projection.

**Note:** Timber harvesting rates are based on an analysis that includes at a minimum:

- a) A precautionary approach that reflects the quality of information used;
- b) Up-to-date growth and yield information;
- c) Up-to-date inventory;
- d) Areas available for harvest;
- e) Volume reductions caused by mortality and decay as well as natural disturbances such as fire, insects and disease;
- f) Sensitivity analyses of the factors that apply to harvest rate calculations, with specific attention to input estimations and assumptions where data are weak;
- g) Volume and area reductions to account for protection of social, spiritual, cultural and other

values identified in P3 and P4;

- h) Volume and area reductions to account for protection of environmental values identified in P6;
- i) Management objectives identified in P7;
- j) Measures to fully maintain and/or enhance High Conservation Values identified in P9;
- k) Volume and area reductions to account for protection of values identified in P10.

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

Verifiers:

1) Documents:

- a) Allowable Annual Cut section under the management plan,
- b) Annual work plan (or annual detailed plan for Sarawak)/harvesting plan, and
- c) Compartment record book.

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

Verifiers:

1) Documents:

- a) Allowable Annual Cut section under the management plan,
- b) Annual work plan (or annual detailed plan for Sarawak)/harvesting plan, and
- c) Compartment record book showing harvest records over the defined period.

**Indicator 5.2.4.** For extraction of commercially harvested services and [non-timber forest products](#) under [The Organization](#)'s control, a sustainable harvest level is calculated and adhered to. Sustainable harvest levels are based on [Best Available Information](#).

Verifiers:

1) Documents:

- a) Compliance report,
- b) Management Unit compartment record book,
- c) Quarterly Progress Reports,
- d) Prescribed annual allowable harvest,
- e) Sustainable harvest level estimation methodology and records (for NTFPs),
- f) Inventory of the forest,
- g) Harvest records and plans over the management plan period,
- h) Annual work plan (or annual detailed plan for Sarawak), and
- i) Use of established forest growth models and/or growth information and/or data from Permanent Sample Plots (PSP) (that are statistically representative of the area managed) for growth and yield projection.

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

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

Verifiers:

1) Documents:

- a) Assessment report on the negative and positive externalities of operations, and
- b) Social and Environmental Impact Assessment reports.

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

Verifiers:

1) Documents: Documented benefits related to positive social and environment impacts of management activities.

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

**Indicator 5.4.1.** Where cost, quality and capacity of non-local and local options are at least equivalent, local goods, services, processing and value-added facilities are used (including for *non-timber forest products*, if applicable).

Verifiers:

1) Documents:

- a) List of available local goods and services,
- b) Documentation of evidence on the use of local processing, local services and local value adding (if any),
- c) Records of consultation with local communities, and

2) Interviews: Managers on efforts to use local goods, services, processing and value-added facilities.

Verifiers (SLIMF only):

1) Documents: Documentation of evidence on the use of local processing, local services and local value adding (if any), and

2) Interviews: Managers on efforts to use local goods, services, processing and value-added facilities.

**Indicator 5.4.2.** [Reasonable](#) attempts are made to establish and encourage local capacity where goods, services, processing and value-added facilities are not available.

Verifiers:

- 1) Documents: Records on efforts taken to help establish local services (if any),
- 2) Interviews: Local communities on attempts by The Organization to establish and encourage capacity, and
- 3) Checks: Local services established.

Verifiers (SLIMF only):

- 1) Interviews:
  - a) Managers on efforts to encourage local capacity development, and
  - b) Local communities on attempts by The Organization to establish and encourage capacity.

**Criterion\* 5.5.** [The Organization\\*](#) shall demonstrate through its planning and expenditures proportionate to [scale, intensity and risk\\*](#), its commitment to [long-term economic viability\\*](#).

**Indicator 5.5.1.** Sufficient funds are allocated to implement the [management plan](#) in order to meet this standard and to ensure [long-term economic viability](#).

Verifiers:

- 1) Documents:
  - a) Business plan and/or budget to implement the management plan, and
  - b) Annual work plan (or annual detailed plan for Sarawak).

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

Verifiers:

- 1) Documents: Audited income and expenditure statement to evaluate expenditures and investments made to implement the management plan

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**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.

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

**Indicator 6.1.1.** Best Available Information is used to identify environmental values within, and, where potentially affected by management activities (including management of non-timber forest products), outside of the Management Unit.

Verifiers:

1) Documents:

- a) Assessment report,
- b) Documentation on methodology of the assessment, and
- c) Records of consultations.

**Note:** Examples of sources of best available information for identifying environmental values include:

- Representative Sample Areas showing environmental values in their natural condition;
- Field surveys;
- Databases relevant to the environmental values;
- Consultation with local and regional experts;
- Culturally appropriate engagement with Indigenous Peoples, local communities and affected/interested stakeholders.

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

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

Verifiers:

1) Documents:

- a) Assessment report detailing impacts of management activities on environmental values, risks to environmental values and conservation measures to protect values,
- b) Monitoring plan, and

2) Interviews: Stakeholders and resource persons on the adequacy of The Organization's assessment of environmental values.

**SLIMF 6.1.2.1.** Assessments of environmental values are conducted with a level of detail and frequency so that:

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

Verifiers:

- 1) Documents:
  - a) Assessment report detailing impacts of management activities on environmental values and conservation measures to protect values,
  - b) Monitoring plan, and
- 2) Interviews: Stakeholders and resource persons on the adequacy of The Organization's assessment of environmental values.

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

**Indicator 6.2.1.** An [environmental impact assessment](#) identifies and assesses potential present and future impacts of management activities on [environmental values](#) and [non-timber forest products](#) from the stand level to the landscape level, prior to the start of site-disturbing activities.

Verifiers:

- 1) Documents:
  - a) Environmental Impact Assessment (EIA) report including methodology employed to conduct the assessment,
  - b) Records of consultations, and
- 2) Interviews: Stakeholders and resource persons on the adequacy of The Organization's environmental impact assessment.

**SLIMF 6.2.1.1.** Prior to implementing site-disturbing activities, an assessment is conducted to identify possible adverse impacts from planned management activities.

Verifiers:

- 1) Documents: Assessment report including methodology employed to conduct the assessment, and
- 2) Interviews: Stakeholders and resource persons on the adequacy of The Organization's assessment report.

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

**Indicator 6.3.1.** Management activities are planned and implemented to prevent negative impacts and to protect *environmental values* and *non-timber forest products*.

Verifiers:

1) Documents:

- a) Environmental Impact Assessment (EIA) report,
- b) Environmental Management Plan (EMP) (for Peninsular Malaysia), EIA Report Approval Certificate with signed Undertaking and specific terms and conditions as stated in Annex 1 (for Sarawak) or Agreement of Environment Conditions (AEC) (for Sabah), and
- c) Documentation of identified negative impacts and management prescriptions to address them.

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

Verifiers:

1) Documents:

- a) Documentation of identified negative impacts and management prescriptions to address them,
- b) Records of consultations,
- c) Compliance report,

2) Interviews: Stakeholders and resource persons on the adequacy of The Organization's management activities in preventing negative impacts to environmental values and non-timber forest products, and

3) Checks: Implemented activities to prevent negative impacts to environmental values and non-timber forest products.

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

Verifiers:

1) Documents:

- a) Documentation of negative impacts occurred, and associated measures adopted,
- b) Records of consultations,
- c) Compliance report,

2) Interviews: Stakeholders and resource persons on the adequacy of The Organization's adopted

measures and mitigation and/or repair efforts, and

3) Checks: Adopted measures and mitigation and/or repair of negative impacts.

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

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

Verifiers:

1) Documents:

- a) Documentation of methods used to identify rare and threatened species and their habitats in the Management Unit,
- b) Up-to-date list of rare and threatened species and habitats present in the Management Unit,
- c) Habitat map of rare and threatened species present in the Management Unit, and
- d) Records of consultations held with resource persons and relevant stakeholders in the identification of rare and threatened species.

**Note:** Examples of sources of best available information for identifying rare and threatened species and their habitats include:

- Field surveys;
- Databases relevant to rare and threatened species and their habitats;
- Consultation with local and regional experts.

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

Verifiers:

1) Documents:

- a) Standard Operating Procedures (see [Annex G](#) – Guidance on Standard Operating Procedures) and maps identifying:
  - i) Conservation status of species,
  - ii) Geographic range (that extend beyond the Management Unit) of the rare and



- threatened species that have been recorded within the Management Unit,
- iii) Ecological requirements (that extend beyond the Management Unit) of the rare and threatened species that have been recorded within the Management Unit,
- b) Standard Operating Procedures (see [Annex G](#) – Guidance on Standard Operating Procedures) for the identification and management of:
- i) Conservation Zones.
  - ii) Protection areas,
  - iii) Connectivity/wildlife corridors,
  - iv) Other identified direct measures,
- c) Maps of conservation zones, protection areas and connectivity/wildlife corridors,
- d) The Organization's policy that the establishment of conservation zones and protected areas is the primary objective of management for rare and threatened species,
- 2) Interviews: Forest managers, resource persons and relevant stakeholders on the adequacy of the conservation measures, and
- 3) Checks: Establishment of conservation zones and protection areas.

**SLIMF 6.4.2.1.** Management activities are designed or modified to avoid negative impacts to rare and threatened species, and their habitats.

Verifiers:

- 1) Documents:
- a) Standard Operating Procedures/Work Instructions,
  - b) Maps of conservation zones, protection areas and connectivity/wildlife corridors,
- 2) Interviews: Forest managers, resource persons and relevant stakeholders on the adequacy of the conservation measures, and
- 3) Checks: Establishment of conservation zones and protection areas.

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

Verifiers:

- 1) Documents: Records of implementation of management prescriptions for the protection of rare and threatened species and their habitats, and
- 2) Interviews: Resource persons and relevant stakeholders on the adequacy of the conservation measures implemented.

**Indicator 6.4.4.** Hunting, fishing, trapping and collection of rare or [threatened species](#), including [non-timber forest products](#), is prevented.

Verifiers:

- 1) Documents: Standard Operating Procedures (see [Annex G](#) – Guidance on Standard Operating Procedures) documenting measures to prevent hunting, fishing, trapping and collection of rare or threatened species, including non-timber forest products, and
- 2) Interviews: Relevant stakeholders on the adequacy of the prevention measures implemented.

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

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

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

Verifiers:

- 1) Documents:
  - a) Survey reports and maps of native ecosystem areas, and
  - b) Records of consultations held with resource persons and relevant stakeholders.

**Note:** Examples of sources of best available information for identifying native ecosystems that exist or would exist under natural conditions include:

- Representative Sample Areas showing native ecosystems in their natural condition;
- Field surveys;
- Databases relevant to native ecosystems;
- Consultation with local and regional experts;
- Culturally appropriate engagement with Indigenous Peoples, local communities and affected/interested stakeholders.

**Indicator 6.5.2. [Representative Sample Areas](#) of [native ecosystems](#)** are protected, where they exist.

Verifiers:

- 1) Documents:
  - a) Maps of representative sample area of native ecosystem,
  - b) Standard Operating Procedures (see [Annex G](#) – Guidance on Standard Operating

Procedures) and/or guidelines to protect and/or restore Representative Sample Areas of native ecosystems in the Management Unit,

- 2) Interviews: Resource persons on the adequacy of implemented protection measures, and
- 3) Checks: Protected Representative Sample Areas of native ecosystems.

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

Verifiers:

- 1) Documents:
  - a) Assessment of restoration needs,
  - b) Restoration plan,
- 2) Interviews: Resource persons and relevant stakeholders on the adequacy of implemented restoration measures, and
- 3) Checks: Proportion of the Management Unit restored in accordance to the restoration plan.

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

Verifiers:

- 1) Documents:
  - a) Assessment of restoration needs,
  - b) Restoration plan,
  - c) Documentation on the size of Representative Sample Areas and/or restoration areas,
- 2) Interviews: Resource persons and relevant stakeholders to comment on the adequacy of the size of the Representative Sample Areas and/or restoration areas, and
- 3) Checks: Size of the Representative Sample Areas and/or restoration areas is in accordance to the restoration plan.

**Indicator 6.5.5.** [Representative Sample Areas](#) in combination with other components of the [conservation areas network](#) comprise a minimum 10% area of the [Management Unit](#).

Verifiers:

- 1) Documents: Documentation showing size of the Management Unit, Representative Sample Areas and conservation areas network, including any relevant maps.

**Criterion\* 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.

**Indicator 6.6.1.** Management activities maintain the plant communities and [habitat features](#) found within [native ecosystems](#) in which the [Management Unit](#) is located.

Verifiers:

- 1) Documents: Standard Operating Procedures (with regard to plant communities and habitats, see [Annex G](#) – Guidance on Standard Operating Procedures),
- 2) Interviews: Forest managers on The Organization’s efforts to maintain plant communities and habitat features, and
- 3) Checks: Plant communities and habitat features maintained.

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

Verifiers:

- 1) Documents:
  - a) Previous management plans and/or records of previous activities by past management (detailing the elimination of native plant communities or habitat features),
  - b) Standard Operating Procedures (with regard to re-establishing such habitats, see [Annex G](#) – Guidance on Standard Operating Procedures),
- 2) Interview: Forest managers on the Organization’s efforts to re-establish previously eliminated plant communities or habitat features,
- 3) Checks: Sites containing habitat features are being re-established.

**Indicator 6.6.3.** Management maintains, enhances, or [restores habitat features](#) associated with [native ecosystems](#), to support the diversity of naturally occurring species and their genetic diversity.

Verifiers:

- 1) Documents: Standard Operating Procedures (see [Annex G](#) – Guidance on Standard Operating Procedures),
- 2) Interview:
  - a) Forest managers on the Organization’s efforts to maintain, enhance or restore habitat features,
  - b) Resource persons/specialists on the adequacy of The Organization’s efforts to maintain, enhance or restore habitat features, and
- 3) Checks: Sites containing habitat features are maintained, enhanced or restored.

**Indicator 6.6.4.** Effective measures are taken and a [Standard Operating Procedure](#) is implemented to manage and control firearms, hunting, fishing, trapping, collecting and transportation (of wildlife) activities within its [Management Unit](#) to ensure that naturally occurring [native species](#) (including [non-timber forest products](#)), their diversity within species and their natural distribution are maintained.

Verifiers:

1) Documents:

- a) Standard Operating Procedures (see [Annex G](#) – Guidance on Standard Operating Procedures) that include:
  - i) Management of firearms, hunting, trapping fishing, collecting and transportation (of wildlife) activities,
  - ii) Control measures for illegal hunting, fishing, trapping and collecting,
  - iii) Enforcement protocols in place,
- b) Records of enforcement actions,
- c) Records on evidence of firearm use, hunting, fishing, trapping, collecting and transportation (of wildlife) activities within the Management Unit, and evidence of corrective actions taken thereof,

2) Interviews:

- a) Managers on implemented measures,
- b) Regulatory authorities, conservation organizations and other relevant stakeholders on the effectiveness of implemented measures, and

3) Checks: Measures to manage and control firearms, hunting, fishing, trapping, collecting and transportation (of wildlife) activities.

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

**Indicator 6.7.1.** Effective measures are implemented to protect natural watercourses, [water bodies](#), [riparian zones](#) and their [connectivity](#), including water quantity and water quality.

Verifiers:

1) Documents:

- a) Topographical map showing natural watercourses, water bodies, and riparian zones within the Management Unit and surrounding areas with descriptions,
- b) Water quantity and quality data and associated reports,
- c) Documented measures, Standard Operating Procedures (see [Annex G](#) – Guidance on Standard Operating Procedures) and/or guidelines to protect or restore natural water courses, water bodies, riparian zones and their connectivity,
- d) Modified measures (as required) effectively protect natural watercourses, water bodies, riparian zones and their connectivity,

2) Interviews:

- a) Forest managers on implemented protection measures
- b) Relevant stakeholders on the adequacy of implemented protection measures, and

3) Checks: Implemented (and improved) measures to protect natural watercourses, water bodies,

riparian zones and their connectivity.

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

Verifiers:

1) Documents:

- a) Topographical map showing all degraded watercourses and water bodies,
- b) Water quantity and quality data and associated reports,
- c) Restoration plan,
- d) Standard Operating Procedures (see [Annex G](#) – Guidance on Standard Operating Procedures) and/or guidelines to protect or restore natural water courses, water bodies, riparian zones and their connectivity,

2) Interviews:

- a) Forest manager on implemented restoration activities,
- b) Relevant stakeholders on the adequacy of implemented restoration activities, and

3) Checks: Restoration activities/sites.

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

Verifiers:

1) Documents:

- a) Topographical map showing all degraded watercourses and water bodies,
- b) Water quantity and quality data and associated reports,
- c) Restoration plan,
- d) Standard Operating Procedures (see [Annex G](#) – Guidance on Standard Operating Procedures) and/or guidelines to protect or restore natural water courses, water bodies, riparian zones and their connectivity,

2) Interviews:

- a) Forest manager on implemented restoration activities,
- a) Relevant stakeholders on the adequacy of implemented restoration activities, and

3) Checks: Restoration activities/sites.

**Indicator 6.7.4.** Where there is degradation to watercourses, [water bodies](#), water quantity and water quality caused by the activities of third parties, measures are implemented that prevent or mitigate this degradation.

Verifiers:

1) Documents:

- a) Topographical map showing all degraded watercourses and water bodies,
- b) Water quantity and quality data and associated reports,
- c) Standard Operating Procedures (see [Annex G](#) – Guidance on Standard Operating Procedures) and/or guidelines to prevent or mitigate degradation to watercourses, water bodies, water quantity and water quality by the activities of third parties,

2) Interviews:

- a) Forest managers on implemented prevention and mitigation measures,
- b) Relevant stakeholders on the adequacy of implemented prevention and mitigation measures, and

3) Checks: Implemented prevention and mitigation measures.

**Criterion\* 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\**.

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

Verifiers:

1) Documents:

- a) Standard Operating Procedures (see [Annex G](#) – Guidance on Standard Operating Procedures),
- b) Survey or inventory reports,

2) Interviews: Relevant resource persons on the adequacy of efforts, and

3) Checks: Sites for evidence of the maintenance of varying mosaic of species, sizes, ages, spatial scales, and regeneration cycles.

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

Verifiers:

1) Documents:

- a) Restoration plan,
- b) Restoration maps,

2) Interviews: Relevant resource persons on the adequacy of restoration efforts, and

3) Checks: Restoration sites (if any).

**Criterion\* 6.9.** *The Organization\** shall not convert *natural forests\** to *plantations\**, nor *natural forests\** or *plantations\** on sites directly converted from *natural forests\** 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](#)\*.

**Indicator 6.9.1.** There is no conversion of [natural forest](#) to [plantation](#), nor conversion of natural forest to non-[forest](#) land use, nor conversion of plantation on sites directly converted from natural forest to non-forest land use, except when the conversion:

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

Verifiers:

1) Documents:

- a) Long-term legal rights,
- b) Plantation Development Plan (PDP), including maps of conversion area(s) within the Management Unit,
- c) Timber licence agreement,
- d) Records of consultation with stakeholders,
- e) [HCV assessment report](#), and
- f) Environmental Impact Assessment (EIA) report.

**Indicator 6.9.2.** Any [forest](#) areas that are being converted (either from [plantation](#) to non-forest use or from [natural forest](#) to plantation or non-forest use) and/or are scheduled for conversion are identified.

Verifiers:

1) Documents:

- a) Documentation of areas identified for conversion, size and types of trees involved, conversion schedule and condition of sites,
- b) Plantation Development Plan (PDP), including maps of conversion area(s) within the Management Unit, and
- c) Annual Work Plan (or annual detailed plan for Sarawak).

**Criterion\* 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*\*.

**Indicator 6.10.1.** Based on [Best Available Information](#), accurate data is compiled on all conversions since 1994.

Verifiers:

1) Documents:

- a) Timber licence agreement,
- b) Map of Management Unit, including maps of conversion area(s) within the Management Unit,
- c) History and background section of the management plan,
- d) Records from the forest department (e.g. letter of approval for conversion, etc.),
- e) Records of land ownership from the Land Office,
- f) Governmental gazette,
- g) Plantation Development Plan (PDP),
- h) Assessment reports,
- i) Records of forest areas allocated for forest plantation development prior to 1994, and

2) Interviews: Relevant stakeholders on the accuracy of data provided by The Organization.

**Indicator 6.10.2.** Areas converted from [natural forest](#) to [plantation](#) since November 1994 are not certified, except where:

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

Verifiers:

1) Documents:

- a) Records of converted areas since November 1994, and
- b) Evidence that The Organization was not responsible for the conversion, and/or
- c) Documentation of conservation benefits, and/or
- d) Data and maps showing size of Management Unit and converted areas since November 1994, and
- e) Records of forest areas allocated for forest plantation development prior to 1994.

[Go to Annex C](#) (Conservation Area Network Conceptual Diagram)

[Go to Annex G](#) (Guidance on Standard Operating Procedures)

**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.

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

**Indicator 7.1.1.** Policies (vision and values, including those related to *non-timber forest products*, if applicable) that contribute to meeting the requirements of this standard are defined.

Verifiers:

1) Documents: Approved policies and objectives documents.

**Indicator 7.1.2.** Specific, operational *management objectives* (including those for *non-timber forest products*, if applicable) that address the requirements of this standard are defined.

Verifiers:

1) Documents: Evidence that policies contain environmentally sound, socially beneficial and economically viable objectives.

**Indicator 7.1.3.** Summaries of the defined policies and *management objectives* (including those for *non-timber forest products*, if applicable) are included in the *management plan* and publicized.

Verifiers:

1) Documents:

- a) Summaries of policies and objectives in the management plan, and
- b) Evidence of the publication of summaries of policies and objectives.

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

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

Verifiers:

1) Documents: Approved management plan contains management actions, procedures, strategies and measures to achieve the management objectives.

**Note:** [Annex D](#) (Elements of The Management Plan) provides guidance on elements of the management plan.

**Indicator 7.2.2.** The [management plan](#) (including those for [non-timber forest products](#), if applicable) is in accordance with Management Plan Guidelines and is implemented.

Verifiers:

1) Documents: Approved management plan is in accordance with [Annex D](#) (Elements of The Management Plan), and

2) Interviews: Forest manager to verify implementation of the management plan.

**Note:** [Annex D](#) (Elements of The Management Plan) provides guidance on elements of the management plan.

**Criterion\* 7.3.** The [management plan](#)\* shall include [verifiable targets](#)\* by which progress towards each of the prescribed [management objectives](#)\* can be assessed.

**Indicator 7.3.1.** [Verifiable targets](#), and the frequency that they are assessed, are established for monitoring the progress towards each [management objective](#).

Verifiers:

1) Documents: Documented verifiable targets for all prescribed objectives and baseline values for each prescribed objective in the management plan.

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

**Indicator 7.4.1.** The [management plan](#) is revised and updated periodically to incorporate:

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

Verifiers:

1) Documents:

- a) Documentation reflecting The Organization's commitment to revise and update the

- management plan consistent with,
- b) Revisions of the management plan,
  - c) Monitoring and evaluation records,
  - d) Stakeholder engagement records,
  - e) Documentation of new scientific and technical information, and
  - f) Documentation of changing environmental, social, or economic circumstances.

**Note:** [Annex D](#) (Elements of The Management Plan) provide guidance on elements of the management plan.

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

**Indicator 7.5.1.** A summary of the [management plan](#) in a format comprehensible to stakeholders including maps and excluding [confidential information](#) is made [publicly available](#) at no cost.

Verifier:

1) Documents:

- a) Public summary of the management plan including maps available in the public domain and in a language appropriate to Indigenous Peoples and local communities in the area,
- b) Evidence of public notices of the availability of the summary, and
- c) Records of requests for the summary from stakeholders.

**Indicator 7.5.2.** Relevant components of the [management plan](#), excluding [confidential information](#), are available to [affected stakeholders](#) on request at the actual costs of reproduction and handling.

Verifier:

1) Documents: Records on the provision of additional information to affected stakeholders (if any).

**Criterion\* 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.

**Indicator 7.6.1.** [Culturally appropriate engagement](#) is used to ensure that [affected stakeholders](#) are proactively and transparently engaged in the following processes:

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

Verifiers:

- 1) Documents: Records of engagement with affected stakeholders, and
- 2) Interview: Affected stakeholders, Management Unit liaison officer or relevant officer for evidence of The Organization's efforts to proactively and transparently engage affected stakeholders in its management planning and monitoring processes.

**Indicator 7.6.2.** [Culturally appropriate engagement](#) is used to:

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

Verifiers:

- 1) Documents: Records of engagement with stakeholders, including participation lists and meeting records.

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

Verifiers:

- 1) Documents: Records of engagement with [affected rights holders](#) and [affected stakeholders](#).

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

Verifiers:

- 1) Documents: Records of engagement with interested stakeholders.

[Go to Annex D](#) (Elements of The Management Plan).

**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\**.

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

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

Verifiers:

1) Documents:

- a) Monitoring plans including documentation on collaborations with external parties to carry out monitoring (if any), and
- b) Result/records of monitoring showing the progress towards and/or achievement of verifiable targets.

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

**Indicator 8.2.1.** The social and environmental impacts of management activities (including those related to *non-timber forest products*, if applicable) are monitored.

Verifiers:

1) Documents:

- a) Monitoring plans,
- b) Monitoring results showing environmental and social impacts such as Environmental Monitoring Report (EMR), Environmental Compliance Report (ECR) (for Sabah), or Environmental Compliance Audit (ECA) (for Sarawak), and
- c) Annual monitoring report.

Verifiers (SLIMF only):

1) Documents:

- a) Monitoring plans (for NTFPs, if applicable), and
- b) Monitoring results showing environmental and social impacts such as Environmental Monitoring Report (EMR), Environmental Compliance Report (ECR) (for Sabah), or Environmental Compliance Audit (ECA) (for Sarawak).

**Note:** [Annex E](#) (Monitoring Requirements) provides guidance on monitoring requirements.

**Indicator 8.2.2.** Changes in environmental conditions are monitored.

Verifiers:

1) Documents:

- a) Monitoring plans,
- b) Monitoring results showing changes in environmental conditions, and
- c) Annual monitoring report.

Verifiers (SLIMF only):

1) Documents:

- a) Monitoring plans, and
- b) Monitoring results showing changes in environmental conditions.

**Note:** [Annex E](#) (Monitoring Requirements) provides guidance on monitoring requirements.

**Criterion\* 8.3** [The Organization\\*](#) shall analyze the results of monitoring and evaluation and feed the outcomes of this analysis back into the planning process.

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

Verifiers:

1) Documents:

- a) Analyzed results of monitoring and evaluation, and
- b) Evidence of periodic revisions in the work plan based on analyzed results.

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

Verifiers:

1) Documents: Revisions of management objectives, verifiable targets and/or management activities in the work plan (if any).

**Criterion\* 8.4.** [The Organization\\*](#) shall make [publicly available\\*](#) a summary of the results of monitoring free of charge, excluding [confidential information](#).

**Indicator 8.4.1.** A summary of the monitoring results in a format comprehensible to stakeholders including maps and excluding [confidential information](#) is made [publicly available](#) at no cost.

Verifiers:

1) Documents: Public summary of monitoring results consistent with [Annex E](#) (Monitoring Requirements) including maps available in the public domain and in a language appropriate to Indigenous Peoples and local communities in the area.

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

**Indicator 8.5.1.** A system is implemented to track and trace all products (including [non-timber forest products](#)) that are marketed as FSC certified. As part of that:

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

Verifiers:

1) Documents:

- a) Standard Operating Procedures (see [Annex G](#) – Guidance on Standard Operating Procedures),
- b) Documents related to the tracking system,
- c) Records of all products sold,
- d) Verification that actual volumes of logs claimed as FSC certified do not exceed the log production volumes from the Management Unit,
- e) Verification that actual volumes of products (timber, sawn timber, non-timber forest products) claimed as FSC certified is in proportion to output volumes from the Management Unit,
- f) FSC transaction data,
- g) Results of fibre testing (if any),

2) Checks:

- a) Verification of products from stump to the point of change-of-custody/first sale,
- b) Verification of samplings of logs, sizes and species, from log yards to stump, and
- c) Verification of samplings of non-timber forest products.

**Indicator 8.5.2.** Information about all products (including [non-timber forest products](#)) sold is compiled and documented, including:

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

Verifiers:

- 1) Documents: Documentation of all products sold.



**Indicator 8.5.3.** Sales invoices or similar documentation are kept for a minimum of five years for all products (including [non-timber forest products](#)) sold with an FSC claim, which identify at a minimum, the following information:

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

Verifiers:

- 1) Documents: Sales invoices or similar documentation for all products sold with an FSC claim.

[Go to Annex E](#) (Monitoring Requirements)

[Go to Annex G](#) (Guidance on Standard Operating Procedures)

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**PRINCIPLE\* 9: HIGH CONSERVATION VALUES**

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

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

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

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

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

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

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

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

**Indicator 9.1.1.** *The Organization* shall demonstrate a commitment to adequately resource and comprehensively assess the *Management Unit* for *High Conservation Values*.

Verifiers:

1) Documents: Documentation of resources allocated for the assessment of HCVs and the implementation of management strategies and actions.

**Indicator 9.1.2.** An assessment is completed using *Best Available Information* that records the location and status of *High Conservation Value* Categories 1-6, as defined in *Criterion* 9.1; the *High Conservation Value Areas* they rely upon, and their condition.

Verifiers:

1) Documents: *HCV assessment report* incorporates the requirements described above.

Verifiers (SLIMF only):

1) Documents: Documentation on assessment of HCVs.

**Note:** [Annex F](#) (National High Conservation Value Framework) provides requirements on HCVs.

**Indicator 9.1.3.** This assessment includes identification of [Intact Forest Landscapes](#), as of January 1, 2017.

Verifiers:

1) Documents: HCV assessment report that incorporates the requirements described above.

**Indicator 9.1.4.** The assessment uses results from [culturally appropriate engagement](#) with [affected rights holders](#) and [affected](#) and [interested stakeholders](#) with an interest in the [conservation](#) of the [High Conservation Values](#).

Verifiers:

1) Documents:

- a) [HCV assessment report](#) that uses results from engagements, and
- b) Records of culturally appropriate engagement with affected rights holders and affected and interested stakeholders.

**Note:** [Annex F](#) (National High Conservation Value Framework) provides requirements on HCVs.

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

**Indicator 9.2.1.** Threats to [High Conservation Values](#) are identified using [Best Available Information](#).

Verifiers:

1) Documents: [HCV assessment report](#).

Verifiers (SLIMF only):

1) Documents: Documentation on assessment of HCVs.

**Note:** [Annex F](#) (National High Conservation Value Framework) provides requirements on HCVs.

**Indicator 9.2.2.** Management strategies and actions are developed to maintain and/or enhance the identified [High Conservation Values](#) and to maintain associated [High Conservation Value Areas](#) prior to implementing potentially harmful management activities.

Verifiers:

1) Documents:

- a) HCV Management and Monitoring Plan and/or relevant management strategies and actions,

and

- b) HCV monitoring records and results corresponding to the HCV Management and Monitoring Plan, and other relevant reports such as Environmental Monitoring Report (EMR), Environmental Compliance Report (ECR) (for Sabah), or Environmental Compliance Audit (ECA) (for Sarawak).

**Note:** [Annex F](#) (National High Conservation Value Framework) provides requirements on HCVs.

**Indicator 9.2.3.** [Affected rights holders](#), [affected](#) and [interested stakeholders](#) and resource persons are engaged in the development of management strategies and actions to maintain and/or enhance the identified [High Conservation Values](#).

Verifiers:

1) Documents:

- a) Records of stakeholders and/or resource persons' input in the management strategies and actions,
- b) Records of engagement with affected rights holders, affected and interested stakeholders and resource persons, and

2) Interviews: Affected rights holders, affected and interested stakeholders and resource persons on the adequacy of engagement.

**Note:** [Annex F](#) (National High Conservation Value Framework) provides requirements on HCVs.

**Indicator 9.2.4.** Management strategies are developed to [protect core areas](#).

Verifiers:

1) Documents: HCV Management and Monitoring Plan and/or relevant management strategies and actions.

**Indicator 9.2.5.** The [vast majority](#) of each [Intact Forest Landscape](#) is designated as [core area](#).

Verifiers:

1) Documents: HCV Management and Monitoring Plan and/or relevant management strategies and actions.

**Indicator 9.2.6.** The strategies developed are effective to maintain and/or enhance the [High Conservation Values](#).

Verifiers:

1) Documents:

- a) HCV Management and Monitoring Plan and/or relevant management strategies and actions,
- b) HCV monitoring records and results corresponding to the HCV Management and Monitoring Plan, and other relevant reports such as Environmental Monitoring Report (EMR),

Environmental Compliance Report (ECR) (for Sabah), or Environmental Compliance Audit (ECA) (for Sarawak), and

2) Interviews: Affected and interested stakeholders and resource persons on the effectiveness of the strategies developed.

**Note:** [Annex F](#) (National High Conservation Value Framework) provides requirements on HCVs.

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

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

Verifiers:

1) Documents:

- a) [HCV assessment report](#),
- b) HCV monitoring records and results corresponding to the HCV Management and Monitoring Plan, and other relevant reports such as Environmental Monitoring Report (EMR), Environmental Compliance Report (ECR) (for Sabah), or Environmental Compliance Audit (ECA) (for Sarawak),

2) Interviews:

- a) Forest managers on implemented strategies,
- b) Affected and interested stakeholders and resource persons on the effectiveness of implemented strategies, and

3) Checks: HCV sites.

**Note:** [Annex F](#) (National High Conservation Value Framework) provides requirements on HCVs.

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

Verifiers:

1) Document:

- a) [HCV assessment report](#),
- b) Relevant management strategies and actions,
- c) HCV monitoring records and results corresponding to the HCV Management and Monitoring Plan, and other relevant reports such as Environmental Monitoring Report (EMR), Environmental Compliance Report (ECR) (for Sabah), or Environmental Compliance Audit (ECA) (for Sarawak),

2) Interviews:

- a) Forest managers on implemented strategies and actions,
  - b) Affected and interested stakeholders and resource persons on the effectiveness of implemented strategies and actions, and
- 3) Checks: HCV sites.

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

Verifiers:

- 1) Interviews: Affected and interested stakeholders and resource persons on the protection of core areas.
- 2) Checks: Core areas.

**Indicator 9.3.4.** Activities that harm High Conservation Values cease immediately and actions are taken to restore and protect the High Conservation Values.

Verifiers:

- 1) Documents:
  - a) Records of stop work orders issued by management when activities that harm High Conservation Values are detected,
  - b) Relevant records of timely actions taken to restore and protect High Conservation Values,
  - c) Restoration plan, and
- 2) Interviews:
  - a) Forest managers on restoration and protection actions, and
  - b) Affected and interested stakeholders and resource persons for evidence of ceased activities.

**Criterion\* 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.

**Indicator 9.4.1.** A program of periodic monitoring assesses:

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

Verifiers:

- 1) Documents:
  - a) Monitoring program covers management strategies, High Conservation Values and feedback

analysis,

- b) HCV monitoring records and results corresponding to the HCV Management and Monitoring Plan, and other relevant reports such as Environmental Monitoring Report (EMR), Environmental Compliance Report (ECR) (for Sabah), or Environmental Compliance Audit (ECA) (for Sarawak), and

2) Interviews: Forest managers on implementation of the monitoring program.

**Note:** [Annex F](#) (National High Conservation Value Framework) provides requirements on HCVs.

**Indicator 9.4.2.** The monitoring program includes [engagement](#) with [affected rights holders](#), [affected](#) and [interested stakeholders](#) and resource persons.

Verifiers:

1) Documents:

- a) Records of stakeholders and/or resource persons' input in the monitoring program,
- b) Records of engagement with affected rights holders, affected and interested stakeholders and resource persons, and

2) Interviews: [Affected rights holders](#), affected and interested stakeholders and resource persons on the adequacy of engagement.

**Note:** [Annex F](#) (National High Conservation Value Framework) provides requirements on HCVs.

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

Verifiers:

1) Documents:

- a) Monitoring program sufficient to detect changes in High Conservation Values,
- b) HCV monitoring records and results corresponding to the HCV Management and Monitoring Plan, and other relevant reports such as Environmental Monitoring Report (EMR), Environmental Compliance Report (ECR) (for Sabah), or Environmental Compliance Audit (ECA) (for Sarawak),

2) Interviews:

- a) Forest managers on the monitoring program, and
- b) Affected and interested stakeholders and resource persons on the adequacy of the monitoring program.

**Indicator 9.4.4.** Management strategies and actions are adapted when monitoring or other new information shows that these strategies and actions are insufficient to ensure the maintenance and/or enhancement of [High Conservation Values](#).

Verifiers:

1) Documents:

- a) HCV monitoring records and results corresponding to the HCV Management and Monitoring Plan, and other relevant reports such as Environmental Monitoring Report (EMR), Environmental Compliance Report (ECR) (for Sabah), or Environmental Compliance Audit (ECA) (for Sarawak),
- b) Analysis of monitoring results,
- c) Feedback analysis,
- d) Monitoring reports contain recommendations for adaptation strategies, etc.,
- e) Revised management strategies and actions,

2) Interviews:

- a) Forest managers on adaptation of management strategies and actions, and
- b) Interviews with affected and interested stakeholders and resource persons for evidence that management strategies and actions have been adapted.

[Go to Annex F](#) (National High Conservation Value Framework).

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**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.

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

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

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

Verifiers:

- 1) Documents:
  - a) Pre-harvesting plan/comprehensive harvesting plan,
  - b) Post-harvesting assessment,
  - c) *Post-harvesting plan*/silviculture plan, and
- 2) Checks: Regeneration sites.

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

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

Verifiers:

- 1) Documents: Regeneration activities accurately reflected in the annual work plan (or annual detailed plan for Sarawak), and
- 2) Checks: Regeneration sites.

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

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

Verifiers:

- 1) Documents:
  - a) Annual work plan (or annual detailed plan for Sarawak),

- b) Records of species used for regeneration,
  - c) Written justifications if non-local genotypes or non-native species are used,
  - d) Records of seed and genetic material sources,
  - e) Stand records,
- 2) Interviews: Local resource persons on the suitability of species chosen for regeneration, and
- 3) Checks: Species used for regeneration.

**Indicator 10.2.2.** Species chosen for regeneration are consistent with the regeneration objectives and with the [management objectives](#).

Verifiers:

1) Documents:

- a) Records of species used for regeneration, and
- b) Documented regeneration and management objectives.

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

**Indicator 10.3.1.** [Alien species](#), including [non-timber forest products](#), are used only when direct experience and/or the results of scientific research demonstrate that invasive impacts can be controlled.

Verifiers:

- 1) Documents: Scientific evidence, published research, results of field trials, and
- 2) Interviews: Managers, local resource persons and government agencies on the use of alien species.

**Indicator 10.3.2.** [Alien species](#), including [non-timber forest products](#), are used only when effective mitigation measures are in place to control their spread outside the area in which they are established.

Verifiers:

- 1) Documents: Mitigation measures in Standard Operating Procedures (see [Annex G](#) - Guidance on Standard Operating Procedures),
- 2) Interviews:
  - a) Managers on mitigation measures, and
  - b) Local resource persons and government agencies on the effectiveness of mitigation measures.

**Indicator 10.3.3.** The spread of [invasive species](#) introduced by [The Organization](#) is controlled.

Verifiers:

- 1) Documents: Mitigation measures in Standard Operating Procedures (see [Annex G](#) - Guidance on Standard Operating Procedures),
- 2) Interviews: Local resource persons and government agencies on the effectiveness of efforts to control the spread of invasive species, and
- 3) Checks: Spread of invasive species controlled.

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

Verifiers:

- 1) Documents: Relevant management prescriptions,
- 2) Interviews: Managers, local resource persons and government agencies on implemented management activities to control the spread of invasive species, and
- 3) Checks: Implementation of management activities to control alien species.

**Criterion\* 10.4** [The Organization\\*](#) shall not use [genetically modified organisms\\*](#) in the [Management Unit\\*](#).

**Indicator 10.4.1.** [Genetically modified organisms](#) are not used by [The Organization](#).

Verifiers:

- 1) Documents:
  - a) Written commitment or policy statement not to use genetically modified organisms, and
  - b) Records of planting materials sourced and used.

**Criterion\* 10.5** [The Organization\\*](#) shall use [silvicultural\\*](#) practices that are ecologically appropriate for the vegetation, species, sites and [management objectives\\*](#).

**Indicator 10.5.1.** Silvicultural practices are implemented that are ecologically appropriate for the vegetation, species, sites and [management objectives](#).

Verifiers:

- 1) Documents:
  - a) Monitoring records, results and reports (including records of soil and water monitoring) such as Environmental Monitoring Report (EMR), Environmental Compliance Report (ECR) (for Sabah), or Environmental Compliance Audit (ECA) (for Sarawak),
  - b) Data from Permanent Sample Plots (PSPs),
  - c) Silvicultural plan and records of treatments,
- 2) Interviews: Forest managers on implemented silviculture practices,
- 3) Checks: Silvicultural practices

**Criterion\* 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.

**Indicator 10.6.1.** The use of [fertilizers](#) is minimized or avoided.

Verifiers:

1) Documents:

- a) Silvicultural plan,
- b) Standard Operating Procedures (see [Annex G](#) - Guidance on Standard Operating Procedures),
- c) Policy document on fertilizer use,
- d) Documented long-term strategy or plan on fertilizer use,
- e) Fertilizer use records for nurseries and field operations including documentation of efforts to minimize/avoid fertilizer use e.g. time-release fertilizers, seasonal applications, etc.,
- f) Monitoring records, results and reports such as Environmental Monitoring Report (EMR), Environmental Compliance Report (ECR) (for Sabah), or Environmental Compliance Audit (ECA) (for Sarawak), and

2) Interviews: Managers and relevant workers on demonstrate awareness of The Organization's minimization or avoidance of fertilizer use practices.

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

Verifiers:

1) Documents: Scientific evidence, published research and results of field trials.

**Indicator 10.6.3.** When [fertilizers](#) are used, their types, rates, frequencies and site of application are documented.

Verifiers:

1) Documents: Fertilizer use records for nurseries and field operations.

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

Verifiers:

1) Documents:

- a) Silvicultural plan,
- b) Standard Operating Procedures (see [Annex G](#) - Guidance on Standard Operating

Procedures),

- c) Monitoring records, results and reports (including impacts on environmental values and buffer zones that exclude the use of fertilizers around rare plant communities, riparian zones, watercourses and water bodies) such as Environmental Monitoring Report (EMR), Environmental Compliance Report (ECR) (for Sabah), or Environmental Compliance Audit (ECA) (for Sarawak), and
- d) Relevant records of measures implemented to prevent damage to environmental values (if any).

**Indicator 10.6.5.** Damage to [environmental values](#) resulting from [fertilizer](#) use is mitigated or repaired.

Verifiers:

1) Documents:

- a) Monitoring records, results and reports (including impacts on environmental values) such as Environmental Monitoring Report (EMR), Environmental Compliance Report (ECR) (for Sabah), or Environmental Compliance Audit (ECA) (for Sarawak),
- b) Relevant records of measures taken to mitigate or repair damage, and

2) Checks: Implementation of mitigation measures.

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

**Indicator 10.7.1.** Integrated pest management, including selection of [silviculture](#) systems, is used to avoid, or aim to eliminate, the frequency, extent and amount of chemical [pesticide](#) applications, and result in non-use or overall reductions in applications over time.

Verifiers:

1) Documents:

- a) Integrated pest management plan/silvicultural plan,
- b) Pesticide inventory, records of chemical pesticide use in nurseries and field,
- c) Policy document and/or long-term strategy or plan for eliminating chemical pesticide application, and

2) Interviews: Managers and staff on implementation of integrated pest management plan to avoid or aim to eliminate chemical pesticide applications.

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

Verifiers:

1) Documents:

- a) Pesticide inventory fulfils requirements above including checks on FSC derogations (if applicable),
- b) Records of chemical pesticide use in nurseries and field, and

2) Checks: No evidence of the use or storage of prohibited chemical pesticides.

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

Verifiers:

1) Documents: Records of chemical pesticide use in nurseries and field.

**Indicator 10.7.4.** The use of [pesticides](#) complies with the ILO document “Safety in the use of chemicals at work” regarding requirements for the transport, storage, handling, application and emergency procedures for cleanup following accidental spillages.

Verifiers:

1) Documents:

- a) Standard Operating Procedures (see [Annex G](#) - Guidance on Standard Operating Procedures),
- b) Records of chemical pesticide use,

2) Interviews:

- a) Managers to demonstrate compliance with the ILO document regarding pesticide use and effectiveness of pesticide application methods,
- b) Relevant workers to demonstrate awareness of requirements for the transport, storage, handling, application and emergency procedures for cleanup following accidental spillages, and

3) Checks: Pesticide transport, storage, handling and application as well as measures to protect surrounding landscapes.

**Indicator 10.7.5.** If [pesticides](#) are used, application methods minimize quantities used, while achieving effective results and providing effective [protection](#) to surrounding [landscapes](#).

Verifiers:

1) Documents:

- a) Standard Operating Procedures (see [Annex G](#) - Guidance on Standard Operating Procedures),
- b) Records of chemical pesticide use,

2) Interviews: Managers on pesticide application methods,

3) Checks: Pesticide application in the field achieves effective results and provides effective protection to surrounding landscapes.

**Indicator 10.7.6.** Damage to [environmental values](#), [non-timber forest products](#), and human health from [pesticide](#) use is prevented and mitigated or repaired where damage occurs.

Verifiers:

1) Documents:

- a) Monitoring records, results and reports (including impacts on environmental values, NTFPs and human health) such as Environmental Monitoring Report (EMR), Environmental Compliance Report (ECR) (for Sabah), or Environmental Compliance Audit (ECA) (for Sarawak),
- b) Relevant occupational health & safety/accident records,
- c) Relevant records of actions taken to prevent, mitigate or repair damage to environmental values and human health,

2) Interviews: Affected and interested stakeholders on the adequacy of damage prevention and mitigation or repair efforts, and

3) Checks: Preventive measures and implementation of mitigation/repair activities.

**Indicator 10.7.7.** When [pesticides](#) are used:

1) The selected [pesticide](#), application method, timing and pattern of use offers the least risk to humans, [non-timber forest products](#), and non-target species; and

2) Objective evidence demonstrates that the [pesticide](#) is the only effective, practical and cost-effective way to control the pest.

Verifiers:

1) Documents:

- a) Selection and application methods comply with the Malaysian Pesticide Act, and
- b) Scientific evidence, published research and results of field trials.

**Criterion\* 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\\*](#).

**Indicator 10.8.1.** The use of [biological control agents](#) is minimized, monitored and controlled.

Verifiers:

1) Documents:

- a) Standard Operating Procedures (see [Annex G](#) - Guidance on Standard Operating Procedures),
- b) Biological control agents use records,
- c) Monitoring records, results and reports such as Environmental Monitoring Report (EMR), Environmental Compliance Report (ECR) (for Sabah), or Environmental Compliance Audit

<p>(ECA) (for Sarawak), and</p> <p>2) Interviews: Managers and relevant workers to demonstrate awareness of measures to minimize, monitor and strictly control the use of biological control agents.</p>
<p><b>Indicator 10.8.2.</b> Use of <a href="#">biological control agents</a> complies with <a href="#">internationally accepted scientific protocols</a>.</p> <p>Verifiers:</p> <p>1) Documents: Standard Operating Procedures (see <a href="#">Annex G</a> - Guidance on Standard Operating Procedures) for the use of biological control agents complies with internationally accepted scientific protocols.</p>
<p><b>Indicator 10.8.3.</b> The use of <a href="#">biological control agents</a> is recorded including type, quantity, period, location and reason for use.</p> <p>Verifiers:</p> <p>1) Documents: Records of use of biological control agents.</p>
<p><b>Indicator 10.8.4.</b> Damage to <a href="#">environmental values</a> and <a href="#">non-timber forest products</a> caused by the use of <a href="#">biological control agents</a> is prevented and mitigated or repaired where damage occurs.</p> <p>Verifiers:</p> <p>1) Documents:</p> <ul style="list-style-type: none"> <li>a) Monitoring records, results and reports (including impacts on environmental values and NTFPs) such as Environmental Monitoring Report (EMR), Environmental Compliance Report (ECR) (for Sabah), or Environmental Compliance Audit (ECA) (for Sarawak),</li> <li>b) Relevant records of measures taken to mitigate or repair damage, and</li> </ul> <p>2) Checks: Preventive measures and implementation of mitigation/repair activities.</p>
<p><b>Criterion* 10.9</b> <i>The Organization*</i> shall assess <i>risks*</i> and implement activities that reduce potential negative impacts from <i>natural hazards*</i> proportionate to <i>scale, intensity, and risk*</i>.</p>
<p><b>Indicator 10.9.1.</b> Potential negative impacts of <a href="#">natural hazards</a> on <a href="#">infrastructure</a>, <a href="#">forest</a> resources and communities in the <a href="#">Management Unit</a> are assessed.</p> <p>Verifiers:</p> <p>1) Documents: Risk management report.</p>
<p><b>Indicator 10.9.2.</b> Management activities mitigate these impacts.</p> <p>Verifiers:</p> <p>1) Documents: Standard Operating Procedures (see <a href="#">Annex G</a> - Guidance on Standard Operating</p>



Procedures), and

2) Checks: Management activities mitigate potential negative impacts.

**Indicator 10.9.3.** The [risk](#) for management activities to increase the frequency, distribution or severity of [natural hazards](#) is identified for those [hazards](#) that may be influenced by management.

Verifiers:

1) Documents: Risk management report.

**Indicator 10.9.4.** Management activities are modified and/or measures are developed and implemented that reduce the identified [risks](#).

Verifiers:

1) Documents:

- a) Standard Operating Procedures (see [Annex G](#) - Guidance on Standard Operating Procedures) reflect modified management activities and/or measures developed to reduce identified risks,
- b) Risk management report, and
- c) Monitoring reports.

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

**Indicator 10.10.1.** Development, maintenance and use of [infrastructure](#), as well as transport activities, are managed to protect [environmental values](#) and [non-timber forest products](#) identified in [Criterion](#) 6.1.

Verifiers:

1) Documents: Standard Operating Procedures (see [Annex G](#) - Guidance on Standard Operating Procedures).

**Indicator 10.10.2.** [Silviculture](#) activities are managed to ensure protection of the [environmental values](#) and [non-timber forest products](#) identified in [Criterion](#) 6.1.

Verifiers:

1) Documents:

- a) Standard Operating Procedures (see [Annex G](#) - Guidance on Standard Operating Procedures),
- b) Silvicultural plan, and

2) Checks: Silviculture activities.

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

Verifiers:

1) Documents:

- a) Records of timely actions taken to prevent, mitigate or repair damage to water courses, water bodies, soils, rare and threatened species, habitats, ecosystems, NTFPs and landscape values, and
- b) Standard Operating Procedures (see [Annex G](#) - Guidance on Standard Operating Procedures) reflect modified management activities.

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

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

Verifiers:

- 1) Documents: Harvesting plan, and
- 2) Checks: Harvesting and extraction practices.

**Indicator 10.11.2.** Harvesting practices optimize the use of [forest](#) products and merchantable materials, consistent with applicable laws and regulations.

Verifiers:

- 1) Documents: Records of arrangement with local communities, contractors and/or workers on wise use of non-timber forest products and merchantable off-cuts, and
- 2) Checks: Evidence of non-timber forest product harvesting carried out prior to felling.

**Indicator 10.11.3.** Dead and decaying biomass and [forest](#) structure are retained and managed to conserve [environmental values](#), in accordance with regulatory requirements for natural forests and plantations.

Verifiers:

- 1) Documents: Regulatory documents, and
- 2) Checks: Retention of sufficient amounts of dead and decaying biomass and forest structure.

**Indicator 10.11.4.** Harvesting practices in [natural forests](#) avoid damage to standing residual trees, dead and decaying woody debris on the ground and other environmental values.

Verifiers:

1) Checks:

- a) Retention of sufficient amounts of dead and decaying biomass and forest structure, and
- b) Harvest operations adopt practices (including RIL) to avoid damage.

**Criterion\* 10.12.** *The Organization\** shall dispose of [waste materials\\*](#) in an environmentally appropriate manner.

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

Verifiers:

1) Documents:

- a) Standard Operating Procedures (see [Annex G](#) - Guidance on Standard Operating Procedures),
- b) Disposal records,

2) Interviews:

- a) Relevant workers and contractors (for waste disposal) to demonstrate awareness of environmentally appropriate ways of handling waste materials,
- b) Relevant stakeholders on the adequacy of waste handling practices, and

3) Checks: Waste collection, clean up, transportation and disposal practices.

[Go to Annex G](#) (Guidance on Standard Operating Procedures)

*[The rest of this page has been intentionally left blank]*

## 8. Annexes to a Forest Stewardship Standard

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

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

1. Legal* rights to harvest	
1.1 Land tenure* and management rights	<p>Legislation covering land tenure* rights, including customary rights* as well as management rights, that includes the use of legal* methods to obtain tenure* rights and management rights. It also covers legal* business registration and tax registration, including relevant legally required licenses.</p>
	<p><u>Sabah</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• Federal Constitution</li> </ul> <p>(State list)</p> <ul style="list-style-type: none"> <li>• Sabah State Constitution</li> <li>• Environment Protection Enactment, 2002               <ul style="list-style-type: none"> <li>◦ Environment Protection (Prescribed Activities) (Environmental Impact Assessment) Order, 2005</li> </ul> </li> <li>• Forest Enactment, 1968               <ul style="list-style-type: none"> <li>◦ Forest Rules, 1969</li> </ul> </li> <li>• Interpretation (Definition of Native) Ordinance, 1952</li> <li>• Land Ordinance, 1930 (Sabah Cap. 68)</li> <li>• Native Court Enactment, 1992               <ul style="list-style-type: none"> <li>◦ Native Court (Native Customary Laws) Rules, 1995</li> </ul> </li> <li>• Parks Enactment, 1984</li> <li>• Sabah Parks Ordinance, 1962</li> <li>• State Cultural Heritage (Conservation) Enactment, 1997</li> <li>• All <i>adat</i> recognised and enforceable by the Native Courts, including relevant decisions of the Civil Courts</li> </ul>
	<p><u>Sarawak</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• Federal Constitution</li> </ul> <p>(State list)</p> <ul style="list-style-type: none"> <li>• Sarawak State Constitution</li> <li>• Forests Ordinance, 2015 (Cap. 71)               <ul style="list-style-type: none"> <li>◦ Forest Rules, 1973</li> <li>◦ Sarawak Forest Policy, 2019</li> </ul> </li> <li>• Interpretation Ordinance (Cap. 61)</li> <li>• Land Code (Cap. 81)</li> <li>• Land Title</li> <li>• License for Forest Management Unit</li> <li>• National Parks and Nature Reserves Ordinance, 1998</li> <li>• Native Courts Ordinance, 1992               <ul style="list-style-type: none"> <li>◦ Native Courts Rules, 1993</li> </ul> </li> <li>• Native Customs (Declaration) Ordinance, 1996</li> <li>• Natural Resources and Environment Ordinance (Cap. 84)               <ul style="list-style-type: none"> <li>◦ Natural Resources and Environment (Audit) Rules, 2008</li> <li>◦ Natural Resources and Environment (Prescribed Activities) Order, 1994</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>• Sarawak Cultural Heritage Ordinance, 1993</li> <li>• All <i>adat</i> codified under the Native Customs (Declaration) Ordinance, 1996; and any other <i>adat</i> recognised and enforceable by the Native Courts under the Native Courts Ordinance, 1992; and the Native Courts Rules, 1993</li> <li>• Decisions of the Civil Courts pertaining to legal or customary tenure or use rights</li> <li>• Notification in Sarawak Government Gazette</li> <li>• Contractual agreement with local communities with legal or customary tenure or use rights for the use of land</li> </ul> <p><u>Peninsular Malaysia</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• Aboriginal Peoples Act, 1954 including relevant decisions of the Civil Courts</li> <li>• Human Rights Commission of Malaysia Act, 1999</li> <li>• Land Conservation Act, 1960</li> <li>• National Forestry Act, 1984</li> <li>• National Land Code, 1965</li> <li>• National Parks Act, 1980</li> </ul> <p>(State list)</p> <ul style="list-style-type: none"> <li>• State Forest Enactments</li> <li>• State Forest Rules</li> <li>• Johor State Park Corporation Enactment, 1989 (Johor only)</li> <li>• Perak State Park Corporation Enactment, 2001 (Perak only)</li> <li>• Selangor State Parks Corporation Enactment, 2005 (Selangor only)</li> </ul> <p><u>International Treaties</u></p> <ul style="list-style-type: none"> <li>• United Nations Convention on Biological Diversity, 1992 – Articles 1-19 <ul style="list-style-type: none"> <li>◦ Cartagena Protocol on Biosafety to the Convention on Biological Diversity, 2000</li> </ul> </li> <li>• United Nations Declaration on Rights of Indigenous Peoples, 2007</li> <li>• International Tropical Timber Agreement, 1994 – Chapters I and VII</li> </ul>
<p><b>1.2 Concession licenses</b></p>	<p>Legislation regulating procedures for issuing forest* concession licenses, including the use of legal* methods to obtain concession licenses.</p> <p><u>Sabah</u> (State list)</p> <ul style="list-style-type: none"> <li>• Environment Protection Enactment, 2002 <ul style="list-style-type: none"> <li>◦ Environment Protection (Prescribed Activities) (Environmental Impact Assessment) Order, 2005</li> </ul> </li> <li>• Forest Enactment, 1968 <ul style="list-style-type: none"> <li>◦ Forest Rules, 1969</li> </ul> </li> <li>• Land Ordinance, 1930 (Sabah Cap. 68)</li> </ul> <p><u>Sarawak</u> (State list)</p> <ul style="list-style-type: none"> <li>• Natural Resources and Environment Ordinance, 1993 (Cap. 84) <ul style="list-style-type: none"> <li>◦ Natural Resources and Environment (Audit) Rules, 2008</li> </ul> </li> <li>• Natural Resources and Environment (Prescribed Activities) Order, 1994</li> <li>• Forests Ordinance, 2015 (Cap. 71) <ul style="list-style-type: none"> <li>◦ Forest Rules, 1973</li> <li>◦ Sarawak Forest Policy, 2019</li> </ul> </li> <li>• Land Code (Cap. 81)</li> <li>• License for Forest Management Unit</li> </ul> <p><u>Peninsular Malaysia</u></p> <ul style="list-style-type: none"> <li>• Environmental Quality Act, 1974 <ul style="list-style-type: none"> <li>◦ Environmental Quality (Scheduled Wastes) Regulations, 2005</li> <li>◦ Environmental Quality (Prescribed Premises) (Scheduled Wastes Treatment and Disposal Facilities) Regulations, 1989</li> </ul> </li> </ul>

	<p>(State list)</p> <ul style="list-style-type: none"> <li>• State Forest Enactments</li> <li>• State Forest Rules</li> </ul>
	<p><u>International Treaties</u></p> <ul style="list-style-type: none"> <li>• International Tropical Timber Agreement, 1994 – Chapters I and VII</li> </ul>
<b>1.3 Management and harvesting planning</b>	<p>Any national or sub-national legal* requirements for Management planning, including conducting forest* inventories, having a forest* management plan* and related planning and monitoring, impact assessments, consultation with other entities, as well as approval of these by legally competent* authorities.</p>
	<p><u>Sabah</u> (State list)</p> <ul style="list-style-type: none"> <li>• Environment Protection Enactment, 2002 <ul style="list-style-type: none"> <li>○ Environment Protection (Prescribed Activities) (Environmental Impact Assessment) Order, 2005</li> </ul> </li> <li>• Forest Enactment, 1968 <ul style="list-style-type: none"> <li>○ Forest Rules, 1969</li> </ul> </li> </ul>
	<p><u>Sarawak</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• Environmental Quality Act, 1974 <ul style="list-style-type: none"> <li>○ Environmental Quality (Scheduled Wastes) Regulations, 2005</li> <li>○ Environmental Quality (Prescribed Premises) (Scheduled Wastes Treatment and Disposal Facilities) Regulations, 1989</li> </ul> </li> </ul> <p>(State list)</p> <ul style="list-style-type: none"> <li>• Forests Ordinance, 2015 (Cap. 71) <ul style="list-style-type: none"> <li>○ Forest Rules, 1973</li> <li>○ Sarawak Forest Policy, 2019</li> </ul> </li> <li>• Natural Resources and Environment Ordinance, 1993 (Cap. 84) <ul style="list-style-type: none"> <li>○ Natural Resources and Environment (Audit) Rules, 2008</li> <li>○ Natural Resources and Environment (Prescribed Activities) Order, 1994</li> </ul> </li> </ul>
	<p><u>Peninsular Malaysia</u></p> <ul style="list-style-type: none"> <li>• Environmental Quality Act, 1974 <ul style="list-style-type: none"> <li>○ Environmental Quality (Scheduled Wastes) Regulations, 2005</li> <li>○ Environmental Quality (Prescribed Premises) (Scheduled Wastes Treatment and Disposal Facilities) Regulations, 1989</li> </ul> </li> </ul> <p>(State list)</p> <ul style="list-style-type: none"> <li>• State Forest Enactments</li> <li>• State Forest Rules</li> </ul>
	<p><u>International Treaties</u></p> <ul style="list-style-type: none"> <li>• International Tropical Timber Agreement, 1994 – Chapters I and VII</li> </ul>
<b>1.4 Harvesting permits</b>	<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.</p>
	<p><u>Sabah</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• International Trade in Endangered Species Act, 2008</li> </ul> <p>(State list)</p> <ul style="list-style-type: none"> <li>• Forest Enactment, 1968 <ul style="list-style-type: none"> <li>○ Forest Rules, 1969</li> </ul> </li> <li>• Wildlife Conservation Enactment, 1997</li> </ul>
	<p><u>Sarawak</u></p>

	<p>(Federal list)</p> <ul style="list-style-type: none"> <li>• International Trade in Endangered Species Act, 2008</li> </ul> <p>(State list)</p> <ul style="list-style-type: none"> <li>• Forests Ordinance, 2015 (Cap. 71) <ul style="list-style-type: none"> <li>○ Forest Rules, 1973</li> <li>○ Sarawak Forest Policy, 2019</li> </ul> </li> <li>• Wild Life Protection Ordinance, 1998</li> </ul>
	<p><u>Peninsular Malaysia</u></p> <p>(Federal list)</p> <ul style="list-style-type: none"> <li>• National Forestry Act 1984</li> <li>• Wildlife Conservation Act, 2010</li> <li>• International Trade in Endangered Species Act, 2008</li> </ul> <p>(State list)</p> <ul style="list-style-type: none"> <li>• State Forest Enactments</li> <li>• State Forest Rules</li> </ul>
<b>2. Taxes and fees</b>	
<b>2.1 Payment of royalties and harvesting fees</b>	<p>Legislation covering payment of all legally required forest* harvesting specific fees such as royalties, stumpage fees and other volume-based fees. This includes payments of the fees based on the correct classification of quantities, qualities and species.</p>
	<p><u>Sabah</u></p> <p>(State list)</p> <ul style="list-style-type: none"> <li>• Forest Enactment, 1968 <ul style="list-style-type: none"> <li>○ Forest Rules, 1969</li> </ul> </li> </ul>
	<p><u>Sarawak</u></p> <p>(State list)</p> <ul style="list-style-type: none"> <li>• Forests Ordinance, 2015 (Cap. 71) <ul style="list-style-type: none"> <li>○ Forest Rules, 1973</li> <li>○ Sarawak Forest Policy, 2019</li> </ul> </li> </ul>
	<p><u>Peninsular Malaysia</u></p> <p>(Federal list)</p> <ul style="list-style-type: none"> <li>• National Forestry Act, 1984</li> </ul> <p>(State list)</p> <ul style="list-style-type: none"> <li>• State Forest Enactments</li> <li>• State Forest Rules</li> </ul>
<b>2.2 Value added taxes and other sales taxes</b>	<p>Legislation covering different types of sales taxes which apply to the material being sold, including the sale of material as growing forest* (standing stock sales).</p>
	<p><u>Sabah</u></p> <p>(State list)</p> <ul style="list-style-type: none"> <li>• Forest Enactment, 1968 <ul style="list-style-type: none"> <li>○ Forest Rules, 1969</li> </ul> </li> </ul>
	<p><u>Sarawak</u></p> <p>(State list)</p> <ul style="list-style-type: none"> <li>• Forests Ordinance, 2015 (Cap. 71) <ul style="list-style-type: none"> <li>○ Forest Rules, 1973</li> <li>○ Sarawak Forest Policy, 2019</li> </ul> </li> </ul>
	<p><u>Peninsular Malaysia</u></p> <p>(Federal list)</p> <ul style="list-style-type: none"> <li>• National Forestry Act, 1984</li> </ul>

	<p>(State list)</p> <ul style="list-style-type: none"> <li>• State Forest Enactments</li> <li>• State Forest Rules</li> </ul>
<b>2.3 Income and profit taxes</b>	<p>Legislation covering income and profit taxes related to profit derived from the sale of forest* products and harvesting activities. This category is also related to income from the sale of timber, and does not include other taxes generally applicable for companies, or to salary payments.</p>
	<p><u>Sabah</u> (State list)</p> <ul style="list-style-type: none"> <li>• Forest Enactment, 1968 <ul style="list-style-type: none"> <li>○ Forest Rules, 1969</li> </ul> </li> </ul>
	<p><u>Sarawak</u> (State list)</p> <ul style="list-style-type: none"> <li>• Forests Ordinance, 2015 (Cap. 71) <ul style="list-style-type: none"> <li>○ Forest Rules, 1973</li> <li>○ Sarawak Forest Policy, 2019</li> </ul> </li> </ul>
	<p><u>Peninsular Malaysia</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• National Forestry Act, 1984</li> </ul> <p>(State list)</p> <ul style="list-style-type: none"> <li>• State Forest Enactments</li> <li>• State Forest Rules</li> </ul>
<b>3. Timber harvesting activities</b>	
<b>3.1 Timber harvesting regulations</b>	<p>Any legal* requirements for harvesting techniques and technology including selective cutting, shelter wood regenerations, clear felling, transport of timber and NTFP from the felling/harvesting site, seasonal limitations, etc. Typically, this includes regulations on the size of felling/harvesting areas, minimum age and/or diameter for felling/harvesting activities, and elements that shall* be preserved during felling/harvesting, etc. Establishment of skidding or hauling trails, road construction, drainage systems and bridges, etc., shall* also be considered, as well as the planning and monitoring of harvesting activities. Any legally binding codes for harvesting practices shall* be considered.</p>
	<p><u>Sabah</u> (State list)</p> <ul style="list-style-type: none"> <li>• Forest Enactment, 1968 <ul style="list-style-type: none"> <li>○ Forest Rules, 1969</li> </ul> </li> </ul>
	<p><u>Sarawak</u> (State list)</p> <ul style="list-style-type: none"> <li>• Forests Ordinance, 2015 (Cap. 71) <ul style="list-style-type: none"> <li>○ Forest Rules, 1973</li> <li>○ Sarawak Forest Policy, 2019</li> </ul> </li> </ul>
	<p><u>Peninsular Malaysia</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• National Forestry Act, 1984</li> </ul> <p>(State list)</p> <ul style="list-style-type: none"> <li>• State Forest Enactments</li> <li>• State Forest Rules</li> </ul>
	<p><u>International Treaties</u></p>



	<ul style="list-style-type: none"> <li>• International Tropical Timber Agreement, 1994 – Chapters I and VII</li> </ul>
<b>3.2 Protected sites and species</b>	<p>International, national, and sub national treaties, laws, and regulations related to protected areas, allowable forest* uses and activities, and/or rare, threatened, or endangered species, including their habitats* and potential habitats*.</p> <hr/> <p><u>Sabah</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• International Trade in Endangered Species Act, 2008</li> <li>• Fisheries Act, 1985</li> <li>• National Policy on Biological Diversity, 2016-2025</li> </ul> <p>The Master List of Protected Areas in Malaysia, 2019 (State list)</p> <ul style="list-style-type: none"> <li>• Biodiversity Enactment, 2000</li> <li>• Environment Protection Enactment, 2002 <ul style="list-style-type: none"> <li>o Environment Protection (Prescribed Activities) (Environmental Impact Assessment) Order, 2005</li> </ul> </li> <li>• Forest Enactment, 1968 <ul style="list-style-type: none"> <li>o Forest Rules, 1969</li> </ul> </li> <li>• Parks Enactment, 1984</li> <li>• State Cultural Heritage (Conservation) Enactment, 1997</li> <li>• Wildlife Conservation Enactment, 1997</li> <li>• Sabah Inland Fisheries and Aquaculture Enactment, 2003</li> <li>• Land Ordinance, 1930</li> </ul> <hr/> <p><u>Sarawak</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• International Trade in Endangered Species Act, 2008</li> <li>• Fisheries Act, 1985</li> <li>• National Policy on Biological Diversity, 2016-2025</li> </ul> <p>The Master List of Protected Areas in Malaysia, 2019 (State list)</p> <ul style="list-style-type: none"> <li>• Land Code, 1958 (Cap. 81)</li> <li>• Sarawak Forest Policy, 2019</li> <li>• National Parks and Nature Reserves Ordinance, 1998</li> <li>• Forests Ordinance, 2015 (Cap. 71) <ul style="list-style-type: none"> <li>o Forest Rules, 1973</li> </ul> </li> <li>• Sarawak Biodiversity Centre Ordinance, 1997 <ul style="list-style-type: none"> <li>o Sarawak Biodiversity Regulations, 2004</li> <li>o Sarawak Biodiversity (Fees) Notification, 2003</li> </ul> </li> <li>• A Master Plan for Wildlife in Sarawak</li> <li>• Orangutan Strategic Action Plan: Trans-boundary Biodiversity Conservation Area</li> <li>• Sarawak Cultural Heritage Ordinance, 1993</li> <li>• Wild Life Protection Ordinance, 1998 (Cap. 26) <ul style="list-style-type: none"> <li>o Wild Life Protection Rules, 1998</li> </ul> </li> </ul>

	<p><u>Peninsular Malaysia</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• International Trade in Endangered Species Act, 2008</li> <li>• National Parks Act, 1980</li> <li>• Wildlife Conservation Act, 2010</li> <li>• National Physical Plan, 2010</li> <li>• Fisheries Act, 1985</li> <li>• National Policy on Biological Diversity, 2016-2025</li> <li>• National Forestry Act, 1984, and relevant State Forestry Enactments</li> <li>• National Land Code, 1965</li> </ul> <p>The Master List of Protected Areas in Malaysia, 2019 (State list)</p> <ul style="list-style-type: none"> <li>• Perak State Parks Corporation Enactment, 2001</li> <li>• Johor National Parks Corporation Enactment, 1989</li> <li>• Selangor Waters Management Authority Enactment, 1999</li> <li>• CFS 1: Master Plan for Ecological Linkages</li> <li>• CFS 2: Master Plan for Ecological Linkages</li> <li>• National Tiger Action Plan for Malaysia, 2008-2020</li> </ul> <p><u>International Treaties</u></p> <ul style="list-style-type: none"> <li>• United Nations Convention on Biological Diversity, 1992 – Articles 1-19</li> <li>• Cartagena Protocol on Biosafety to the Convention on Biological Diversity, 2000</li> <li>• Convention on Wetlands of International Importance Especially as Waterfowl Habitat, 1971 – Articles 1-6</li> <li>• International Tropical Timber Agreement, 1994 – Chapters I and VII</li> <li>• Convention on International Trade in Endangered Species of Wild Fauna and Flora, 1973 – Articles I-X</li> </ul>
<p><b>3.3 Environmental requirements</b></p>	<p>National and sub national laws and regulations related to the identification and/or protection* of environmental values* including but not limited to those relating to or affected by harvesting, acceptable levels for soil damage, establishment of buffer zones (e.g., along water courses, open areas and breeding sites), maintenance of retention trees on the felling site, seasonal limitations of harvesting time, environmental requirements for forest* machineries, use of pesticides* and other chemicals, biodiversity conservation*, air quality, protection* and restoration* of water quality, operation of recreational equipment, development of non-forestry infrastructure*, mineral exploration and extraction, etc.</p> <p><u>Sabah</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• Environmental Quality Act, 1974 <ul style="list-style-type: none"> <li>○ Environmental Quality (Scheduled Wastes) Regulations, 2005</li> <li>○ Environmental Quality (Prescribed Premises) (Scheduled Wastes Treatment and Disposal Facilities) Regulations, 1989</li> </ul> </li> </ul> <p>(State list)</p> <ul style="list-style-type: none"> <li>• Forest Enactment, 1968 <ul style="list-style-type: none"> <li>○ Forest Rules, 1969</li> </ul> </li> <li>• Environment Protection Enactment, 2002 <ul style="list-style-type: none"> <li>○ Environment Protection (Prescribed Activities) (Environmental Impact Assessment) Order, 2005</li> </ul> </li> <li>• Land Ordinance, 1930 (Sabah Cap. 68)</li> <li>• Wildlife Conservation Enactment, 1997</li> <li>• Sabah Water Resources Enactment, 1998</li> </ul> <p><u>Sarawak</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• Environmental Quality Act, 1974 <ul style="list-style-type: none"> <li>○ Environmental Quality (Scheduled Wastes) Regulations, 2005</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>o Environmental Quality (Prescribed Premises) (Scheduled Wastes Treatment and Disposal Facilities) Regulations, 1989</li> </ul> <p>(State list)</p> <ul style="list-style-type: none"> <li>• Forests Ordinance, 2015 (Cap. 71) <ul style="list-style-type: none"> <li>o Forest Rules, 1973</li> </ul> </li> <li>• Land Code (Cap. 81)</li> <li>• Natural Resources and Environment Ordinance (Cap. 84) <ul style="list-style-type: none"> <li>o Natural Resources and Environment (Audit) Rules, 2008</li> <li>o Natural Resources and Environment (Prescribed Activities) Order, 1994</li> </ul> </li> <li>• Sarawak Rivers Ordinance, 1993 (Cap. 4) and Regulations</li> <li>• Water Ordinance, 1994 and Regulations</li> <li>• Wild Life Protection Ordinance, 1998 (Cap. 26)</li> </ul> <hr/> <p><u>Peninsular Malaysia</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• Environmental Quality Act, 1974 <ul style="list-style-type: none"> <li>o Environmental Quality (Scheduled Wastes) Regulations, 2005</li> <li>o Environmental Quality (Prescribed Premises) (Scheduled Wastes Treatment and Disposal Facilities) Regulations, 1989</li> </ul> </li> <li>• Factories and Machineries Act, 1967</li> <li>• Land Conservation Act, 1960</li> <li>• National Forestry Act, 1984</li> <li>• National Land Code, 1965</li> <li>• Pesticides Act, 1974</li> <li>• Waters Act, 1920</li> <li>• Wildlife Conservation Act, 2010</li> <li>• (State list)</li> </ul> <p>(State list)</p> <ul style="list-style-type: none"> <li>• State Forest Enactments</li> <li>• State Forest Rules</li> </ul> <hr/> <p><u>International Treaties</u></p> <ul style="list-style-type: none"> <li>• United Nations Convention on Biological Diversity, 1992 – Articles 1-19 <ul style="list-style-type: none"> <li>o Cartagena Protocol on Biosafety to the Convention on Biological Diversity, 2000</li> </ul> </li> <li>• Convention on Wetlands of International Importance Especially as Waterfowl Habitat, 1971 – Articles 1-6</li> <li>• International Tropical Timber Agreement, 1994 – Chapters I and VII</li> <li>• United Nations Framework Convention on Climate Change, 1992 – Articles 1-6</li> </ul>
<p><b>3.4 Health and safety</b></p>	<p>Legally required personal protection* equipment for persons involved in harvesting activities, implementation of safe felling and transport practices, establishment of protection* zones around harvesting sites, safety requirements for machinery used, and legally required safety requirements in relation to chemical usage. The health and safety requirements that shall* be considered relevant to operations in the forest* (not office work, or other activities less related to actual forest* operations).</p> <hr/> <p><u>Sabah</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• Factories and Machineries Act, 1967</li> <li>• Occupational Safety and Health Act, 1994 <ul style="list-style-type: none"> <li>o Occupational Safety and Health (Notification of Accident, Dangerous Occurrence, Occupational Poisoning and Occupational Diseases) Regulations, 2004</li> <li>o Occupational Safety and Health (Use and Standard of Exposure of Chemicals Hazardous to Health) Regulations, 2000</li> </ul> </li> <li>• Pesticides Act, 1974</li> </ul>

	<p><u>Sarawak</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• Factories and Machineries Act, 1967</li> <li>• Occupational Safety and Health Act, 1994 <ul style="list-style-type: none"> <li>○ Occupational Safety and Health (Notification of Accident, Dangerous Occurrence, Occupational Poisoning and Occupational Diseases) Regulations, 2004</li> <li>○ Occupational Safety and Health (Use and Standard of Exposure of Chemicals Hazardous to Health) Regulations, 2000</li> </ul> </li> <li>• Pesticides Act, 1974</li> <li>• Workmen's Compensation Act, 1952</li> </ul> <p><u>Peninsular Malaysia</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• Factories and Machineries Act, 1967</li> <li>• Occupational Safety and Health Act, 1994 <ul style="list-style-type: none"> <li>○ Occupational Safety and Health (Notification of Accident, Dangerous Occurrence, Occupational Poisoning and Occupational Diseases) Regulations, 2004</li> <li>○ Occupational Safety and Health (Use and Standard of Exposure of Chemicals Hazardous to Health) Regulations, 2000</li> </ul> </li> <li>• Pesticides Act, 1974</li> </ul> <p><u>International Treaties</u></p> <ul style="list-style-type: none"> <li>• ILO Code of Practice on Safety and Health in Forestry Work</li> <li>• Occupational Safety and Health in Logging Operations, 2004</li> </ul>
<p><b>3.5 Legal* employment</b></p>	<p>Legal* requirements for employment of personnel involved in harvesting activities including requirements for contracts and working permits, requirements for obligatory insurance, requirements for competence certificates and other training requirements, and payment of social and income taxes withheld by the employer. Also covered are the observance of minimum working age and minimum age for personnel involved in hazardous work, legislation against forced and compulsory labor, and discrimination and freedom of association.</p> <p><u>Sabah</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• Employees Provident Fund Act, 1991</li> <li>• Employees' Social Security Act, 1969 <ul style="list-style-type: none"> <li>○ Employees' Social Security (General) Regulations, 1971</li> </ul> </li> <li>• Human Rights Commission of Malaysia Act, 1999</li> <li>• Industrial Relations Act, 1967</li> <li>• Trade Unions Act, 1959 (Act 262)</li> <li>• Workmen's Compensation Act, 1952</li> <li>• (State list)</li> <li>• Labour Ordinance (Sabah Cap. 67)</li> <li>• Minimum Wages Order, 2016</li> </ul> <p><u>Sarawak</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• Employees Provident Fund Act, 1991</li> <li>• Employees' Social Security Act, 1969 <ul style="list-style-type: none"> <li>○ Employees' Social Security (General) Regulations, 1971</li> </ul> </li> <li>• Human Rights Commission of Malaysia Act, 1999</li> <li>• Industrial Relations Act, 1967</li> <li>• Trade Unions Act, 1959 (Act 262)</li> <li>• Workmen's Compensation Act, 1952</li> <li>• Minimum Wages Order, 2016</li> </ul> <p>(State list)</p> <ul style="list-style-type: none"> <li>• Labour Ordinance, 1952 (Sarawak Cap. 76)</li> </ul>

	<p><u>Peninsular Malaysia</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• Employees Provident Fund Act, 1991</li> <li>• Employees' Social Security Act, 1969 <ul style="list-style-type: none"> <li>◦ Employees' Social Security (General) Regulations, 1971</li> </ul> </li> <li>• Human Rights Commission of Malaysia Act, 1999</li> <li>• Industrial Relations Act, 1967</li> <li>• Trade Unions Act, 1959 (Act 262)</li> <li>• Workmen's Compensation Act, 1952</li> <li>• Employment Act, 1955</li> <li>• Children and Young Persons (Employment) Act, 1966</li> <li>• Minimum Wages Order, 2016</li> </ul> <p><u>International Treaties</u></p> <ul style="list-style-type: none"> <li>• International Labour Organization (ILO) Conventions <ul style="list-style-type: none"> <li>◦ Convention No. 29: Forced Labour Convention, 1930 - Articles 1 and 2</li> <li>◦ Convention No. 87: The Freedom of Association and Protection of the Right to Organise Convention, 1948 - Articles 2, 3, 5 and 11</li> <li>◦ Convention No. 98: The Right to Organise and Collective Bargaining Convention, 1949 - Articles 1 and 2</li> <li>◦ Convention No. 100: Equal Remuneration Convention, 1951 - The Right to Equal Pay - Articles 1-4</li> <li>◦ Convention No. 105: Abolition of Forced Labour Convention, 1957 - Articles 1 and 2</li> <li>◦ Convention No. 111: Discrimination (Employment and Occupation) Convention, 1958 - The Right to Equal Treatment - Articles 1-5</li> <li>◦ Convention No. 138: Minimum Age for Admission to Employment, 1973</li> <li>◦ Convention No. 182: Worst Form of Child Labour, 1999</li> </ul> </li> </ul>
<p><b>4. Third parties' rights</b></p>	
<p><b>4.1 Customary rights*</b></p>	<p>Legislation covering customary rights* relevant to forest* harvesting activities, including requirements covering the sharing of benefits and indigenous rights.</p> <p><u>Sabah</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• Federal Constitution</li> <li>• Human Rights Commission of Malaysia Act, 1999</li> </ul> <p>(State list)</p> <ul style="list-style-type: none"> <li>• Sabah State Constitution</li> <li>• Interpretation (Definition of Native) Ordinance, 1952</li> <li>• Native Court Enactment, 1992 <ul style="list-style-type: none"> <li>◦ Native Court (Native Customary Laws) Rules, 1995</li> </ul> </li> <li>• All <i>adat</i> recognised and enforceable by the Native Courts, including relevant decisions of the Civil Courts</li> </ul> <p><u>Sarawak</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• Federal Constitution</li> <li>• Human Rights Commission of Malaysia Act, 1999</li> </ul> <p>(State list)</p> <ul style="list-style-type: none"> <li>• Sarawak State Constitution</li> <li>• Interpretation Ordinance (Cap. 61)</li> <li>• Native Courts Ordinance, 1992 <ul style="list-style-type: none"> <li>◦ Native Courts Rules, 1993</li> </ul> </li> <li>• Native Customs (Declaration) Ordinance, 1996</li> <li>• Land Code, 1958 (Cap. 81)</li> <li>• Forest Ordinance, 2015 (Cap. 71)</li> </ul>

	<ul style="list-style-type: none"> <li>• Notification in Sarawak Gazette</li> <li>• All customary laws/<i>adat</i> laws codified under the Native Customs (Declaration) Ordinance, 1996 and any other established customs of the communities recognised and enforceable by the Native Courts under the Native Courts Ordinance, 1992 and the Native Courts Rules, 1993</li> <li>• Decisions of the Civil Courts pertaining to legal or customary tenure or use rights</li> </ul> <p><u>Peninsular Malaysia</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• Federal Constitution</li> <li>• Human Rights Commission of Malaysia Act, 1999</li> <li>• Aboriginal Peoples Act, 1954 (including relevant decisions of the Civil Courts)</li> </ul> <p><u>International Treaties</u></p> <ul style="list-style-type: none"> <li>• International Tropical Timber Agreement, 1994 – Chapters I and VII</li> <li>• United Nations Declaration on Rights of Indigenous Peoples, 2007</li> </ul>
<p><b>4.2 Free Prior and Informed Consent*</b></p>	<p>Legislation covering “free prior and informed consent” in connection with the transfer of forest* management rights and customary rights* to The Organization* in charge of the harvesting operation.</p> <p><u>Sabah</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• Federal Constitution</li> <li>• Human Rights Commission of Malaysia Act, 1999</li> </ul> <p>(State list)</p> <ul style="list-style-type: none"> <li>• Sabah State Constitution</li> <li>• Interpretation (Definition of Native) Ordinance, 1952</li> <li>• Native Court Enactment, 1992 <ul style="list-style-type: none"> <li>◦ Native Court (Native Customary Laws) Rules, 1995</li> </ul> </li> <li>• All <i>adat</i> recognised and enforceable by the Native Courts, including relevant decisions of the Civil Courts</li> </ul> <p><u>Sarawak</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• Federal Constitution</li> <li>• Human Rights Commission of Malaysia Act, 1999</li> </ul> <p>(State list)</p> <ul style="list-style-type: none"> <li>• Sarawak State Constitution</li> <li>• Interpretation Ordinance (Cap. 61)</li> <li>• Native Courts Ordinance, 1992 <ul style="list-style-type: none"> <li>◦ Native Courts Rules, 1993</li> </ul> </li> <li>• Native Customs (Declaration) Ordinance, 1996</li> <li>• All <i>adat</i> codified under the Native Customs (Declaration) Ordinance, 1996 and any other <i>adat</i> recognised and enforceable by the Native Courts under the Native Courts Ordinance, 1992 and the Native Courts Rules, 1993</li> <li>• Decisions of the Civil Courts pertaining to legal or customary tenure or use rights</li> </ul> <p><u>Peninsular Malaysia</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• Federal Constitution</li> <li>• Human Rights Commission of Malaysia Act, 1999</li> <li>• Aboriginal Peoples Act, 1954 including relevant decisions of the Civil Courts</li> </ul> <p><u>International Treaties</u></p> <ul style="list-style-type: none"> <li>• United Nations Declaration on Rights of Indigenous Peoples, 2007</li> <li>• International Tropical Timber Agreement, 1994 – Chapters I and VII</li> </ul>

<p><b>4.3 Indigenous Peoples** rights</b></p>	<p>Legislation that regulates the rights of Indigenous Peoples* as far as it is related to forestry activities. Possible aspects to consider are land tenure*, and rights to use certain forest* related resources and practice traditional activities, which may involve forest* lands.</p> <hr/> <p><u>Sabah</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• Federal Constitution</li> <li>• Human Rights Commission of Malaysia Act, 1999</li> </ul> <p>(State list)</p> <ul style="list-style-type: none"> <li>• Sabah State Constitution</li> <li>• Interpretation (Definition of Native) Ordinance, 1952</li> <li>• Native Court Enactment, 1992 <ul style="list-style-type: none"> <li>◦ Native Court (Native Customary Laws) Rules, 1995</li> </ul> </li> <li>• All <i>adat</i> recognised and enforceable by the Native Courts, including relevant decisions of the Civil Courts</li> </ul> <hr/> <p><u>Sarawak</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• Federal Constitution</li> <li>• Human Rights Commission of Malaysia Act, 1999</li> </ul> <p>(State list)</p> <ul style="list-style-type: none"> <li>• Sarawak State Constitution</li> <li>• Interpretation Ordinance (Cap. 61)</li> <li>• Native Courts Ordinance, 1992 <ul style="list-style-type: none"> <li>◦ Native Courts Rules, 1993</li> </ul> </li> <li>• Native Customs (Declaration) Ordinance, 1996</li> <li>• Land Code, 1958 (Cap. 81)</li> <li>• Forest Ordinance, 2015 (Cap. 71)</li> <li>• Notification in Sarawak Gazette</li> <li>• All customary laws / <i>adat</i> laws codified under the Native Customs (Declaration) Ordinance, 1996 and any other established customs of communities recognised and enforceable by the Native Courts under the Native Courts Ordinance, 1992 and the Native Courts Rules, 1993</li> <li>• Decisions of the Native Courts and Civil Courts pertaining to legal or customary tenure or use rights</li> <li>• Notification in Sarawak Government Gazette</li> </ul> <hr/> <p><u>Peninsular Malaysia</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• Federal Constitution</li> <li>• Human Rights Commission of Malaysia Act, 1999</li> <li>• Aboriginal Peoples Act, 1954 including relevant decisions of the Civil Courts</li> </ul> <hr/> <p><u>International Treaties</u></p> <ul style="list-style-type: none"> <li>• United Nations Convention on Biological Diversity, 1992 – Articles 1-19</li> <li>• International Tropical Timber Agreement, 1994 – Chapters I and VII</li> <li>• United Nations Declaration on Rights of Indigenous Peoples, 2007</li> </ul>
<p><b>5. Trade and transport</b></p> <p><b>NOTE: This section covers requirements for forest* management operations as well as processing and trade.</b></p>	
<p><b>5.1 Classification of species, quantities, qualities</b></p>	<p>Legislation regulating how harvested material is classified in terms of species, volumes and qualities in connection with trade and transport.</p> <hr/> <p><u>Sabah</u> (Federal lists)</p> <ul style="list-style-type: none"> <li>• International Trade in Endangered Species Act, 2008</li> </ul>

	<p>(State lists)</p> <ul style="list-style-type: none"> <li>• Forest Enactment, 1968 <ul style="list-style-type: none"> <li>○ Forest Rules, 1969</li> </ul> </li> </ul>
	<p><u>Sarawak</u> (Federal lists)</p> <ul style="list-style-type: none"> <li>• International Trade in Endangered Species Act, 2008</li> </ul> <p>(State lists)</p> <ul style="list-style-type: none"> <li>• Forests Ordinance, 2015 (Cap. 71) <ul style="list-style-type: none"> <li>○ Forest Rules, 1973</li> <li>○ Sarawak Forest Policy, 2019</li> </ul> </li> </ul>
	<p><u>Peninsular Malaysia</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• National Forestry Act, 1984</li> <li>• International Trade in Endangered Species Act, 2008</li> <li>• Wildlife Conservation Act, 2010</li> </ul> <p>(State list)</p> <ul style="list-style-type: none"> <li>• State Forest Enactments</li> <li>• State Forest Rules</li> </ul>
	<p><u>International Treaties</u></p> <ul style="list-style-type: none"> <li>• International Tropical Timber Agreement, 1994 – Chapters I and VII</li> <li>• Convention on International Trade in Endangered Species of Wild Fauna and Flora, 1973 – Articles I-X</li> </ul>
<b>5.2 Trade and transport</b>	<p>All required trading and transport permits shall* exist as well as legally required transport documents which accompany the transport of wood and NTFP from forest* operations.</p>
	<p><u>Sabah</u> (State lists)</p> <ul style="list-style-type: none"> <li>• Forest Enactment, 1968 <ul style="list-style-type: none"> <li>○ Forest Rules, 1969</li> </ul> </li> </ul>
	<p><u>Sarawak</u> (State lists)</p> <ul style="list-style-type: none"> <li>• Forests Ordinance, 2015 (Cap. 71) <ul style="list-style-type: none"> <li>○ Forest Rules, 1973</li> <li>○ Sarawak Forest Policy, 2019</li> </ul> </li> </ul>
	<p><u>Peninsular Malaysia</u> (Federal list)</p> <ul style="list-style-type: none"> <li>• National Forestry Act, 1984</li> <li>• Wildlife Conservation Act, 2010</li> </ul> <p>(State list)</p> <ul style="list-style-type: none"> <li>• State Forest Enactments</li> <li>• State Forest Rules</li> </ul>
<b>5.3 CITES</b>	<p>CITES permits (the Convention on International Trade in Endangered Species of Wild Fauna and Flora, also known as the Washington Convention).</p>
	<p><u>Sabah</u></p> <ul style="list-style-type: none"> <li>• Biodiversity Enactment, 2000</li> <li>• Wildlife Conservation Enactment, 1997</li> </ul>
	<p><u>Sarawak</u></p> <ul style="list-style-type: none"> <li>• Sarawak Biodiversity Centre Ordinance, 1997 <ul style="list-style-type: none"> <li>○ Sarawak Biodiversity Regulations, 2004</li> </ul> </li> </ul>



	<ul style="list-style-type: none"> <li>○ Sarawak Biodiversity (Fees) Notification, 2003</li> <li>• Wild Life Protection Ordinance, 1998 (Cap. 26) <ul style="list-style-type: none"> <li>○ Wild Life Protection Rules, 1998</li> </ul> </li> </ul> <p><u>Peninsular Malaysia</u></p> <ul style="list-style-type: none"> <li>• International Trade in Endangered Species Act, 2008</li> <li>• Wildlife Conservation Act, 2010</li> </ul> <p><u>International Treaties</u></p> <ul style="list-style-type: none"> <li>• United Nations Convention on Biological Diversity, 1992 – Articles 1-19 <ul style="list-style-type: none"> <li>○ Cartagena Protocol on Biosafety to the Convention on Biological Diversity, 2000</li> </ul> </li> <li>• International Tropical Timber Agreement, 1994 – Chapters I and VII</li> <li>• Convention on International Trade in Endangered Species of Wild Fauna and Flora, 1973 – Articles I-X</li> </ul>
<b>6. Ecosystem Services</b>	
	<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> <p><u>Sabah</u></p> <ul style="list-style-type: none"> <li>• Environmental Quality Act, 1974 <ul style="list-style-type: none"> <li>○ Environmental Quality (Scheduled Wastes) Regulations, 2005</li> <li>○ Environmental Quality (Prescribed Premises) (Scheduled Wastes Treatment and Disposal Facilities) Regulations, 1989</li> <li>○ National Policy on Biological Diversity, 2016-2025</li> </ul> </li> </ul> <p>(State list)</p> <ul style="list-style-type: none"> <li>• Environment Protection Enactment, 2002 <ul style="list-style-type: none"> <li>○ Environment Protection (Prescribed Activities) (Environmental Impact Assessment) Order, 2005</li> </ul> </li> <li>• Forest Enactment, 1968 <ul style="list-style-type: none"> <li>○ Forest Rules, 1969</li> </ul> </li> <li>• Interpretation (Definition of Native) Ordinance, 1952</li> <li>• Native Court Enactment, 1992 <ul style="list-style-type: none"> <li>○ Native Court (Native Customary Laws) Rules, 1995</li> </ul> </li> <li>• Sabah Biodiversity Enactment, 2000</li> <li>• Sabah Water Resources Enactment, 1998</li> <li>• All <i>adat</i> recognised and enforceable by the Native Courts, including relevant decisions of the Civil Courts</li> </ul> <p><u>Sarawak</u></p> <ul style="list-style-type: none"> <li>• Environmental Quality Act, 1974 <ul style="list-style-type: none"> <li>○ Environmental Quality (Scheduled Wastes) Regulations, 2005</li> <li>○ Environmental Quality (Prescribed Premises) (Scheduled Wastes Treatment and Disposal Facilities) Regulations, 1989</li> <li>○ National Policy on Biological Diversity, 2016-2025</li> </ul> </li> </ul> <p>(State list)</p> <ul style="list-style-type: none"> <li>• Forests Ordinance, 2015 (Cap. 71) <ul style="list-style-type: none"> <li>○ Forest Rules, 1973</li> <li>○ Sarawak Forest Policy, 2019</li> </ul> </li> <li>• Interpretation Ordinance (Cap. 61)</li> <li>• Native Courts Ordinance, 1992 <ul style="list-style-type: none"> <li>○ Native Courts Rules, 1993</li> </ul> </li> <li>• Native Customs (Declaration) Ordinance, 1996</li> </ul>

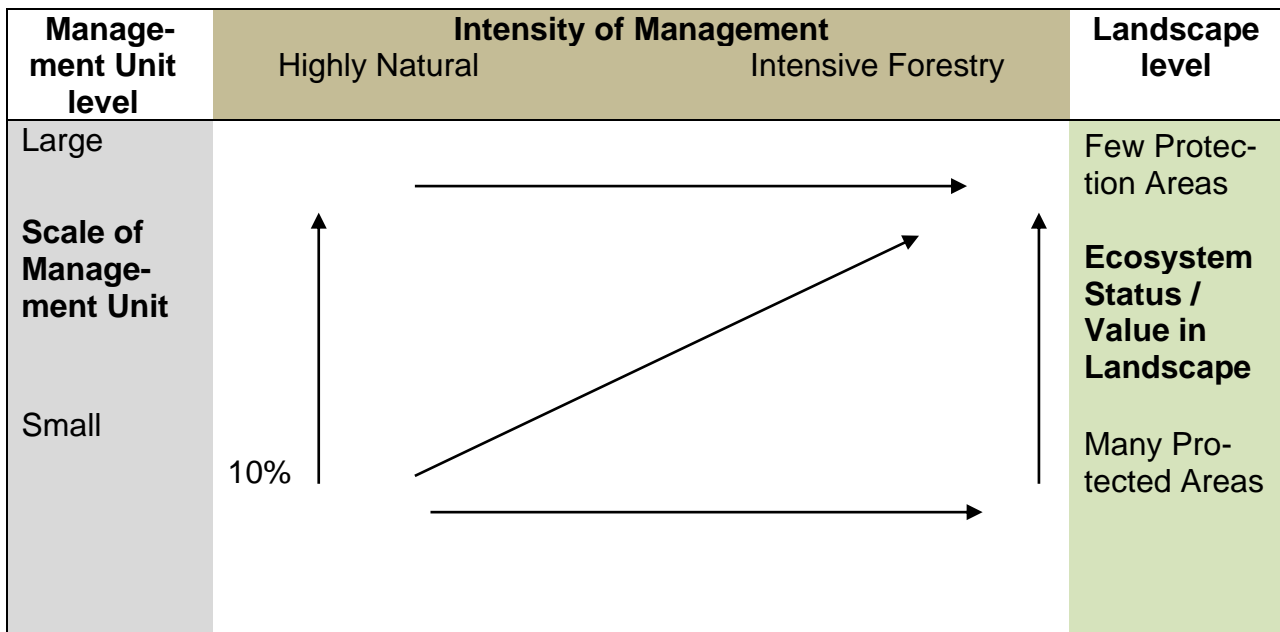
	<ul style="list-style-type: none"> <li>• Natural Resources and Environment Ordinance (Cap. 84) <ul style="list-style-type: none"> <li>◦ Natural Resources and Environment (Audit) Rules, 2008</li> <li>◦ Natural Resources and Environment (Prescribed Activities) Order, 1994</li> </ul> </li> <li>• Sarawak Biodiversity Centre Ordinance, 1997 <ul style="list-style-type: none"> <li>◦ Sarawak Biodiversity Regulations, 2004</li> <li>◦ Sarawak Biodiversity (Fees) Notification, 2003</li> </ul> </li> <li>• Sarawak Rivers Ordinance, 1993 (Cap. 4) and Regulations</li> <li>• Water Ordinance, 1994 and Regulations</li> <li>• All <i>adat</i> codified under the Native Customs (Declaration) Ordinance, 1996 and any other <i>adat</i> recognised and enforceable by the Native Courts under the Native Courts Ordinance, 1992 and the Native Courts Rules, 1993</li> <li>• Decisions of the Civil Courts pertaining to legal or customary tenure or use rights</li> </ul>
	<p><u>Peninsular Malaysia</u></p> <ul style="list-style-type: none"> <li>• Environmental Quality Act, 1974 <ul style="list-style-type: none"> <li>◦ Environmental Quality (Scheduled Wastes) Regulations, 2005</li> <li>◦ Environmental Quality (Prescribed Premises) (Scheduled Wastes Treatment and Disposal Facilities) Regulations, 1989</li> </ul> </li> <li>• National Physical Plan, 2010</li> <li>• National Water Resources Study Review, 2000-2050, and local and structure plans</li> <li>• Aboriginal Peoples Act, 1954, including relevant decisions of the Civil Courts</li> <li>• Land Conservation Act, 1960</li> <li>• National Forestry Act, 1984</li> <li>• National Parks Act, 1980</li> <li>• Waters Act, 1920</li> <li>• Wildlife Conservation Act, 2010</li> <li>• National Policy on Biological Diversity, 2016-2025</li> <li>• CFS I: Master Plan for Ecological Linkages</li> <li>• CFS 2: Master Plan for Ecological Linkages</li> </ul>
	<p><u>International Treaties</u></p> <ul style="list-style-type: none"> <li>• United Nations Convention on Biological Diversity, 1992 – Articles 1-19 <ul style="list-style-type: none"> <li>◦ Cartagena Protocol on Biosafety to the Convention on Biological Diversity, 2000</li> </ul> </li> <li>• Convention on Wetlands of International Importance Especially as Waterfowl Habitat, 1971 – Articles 1-6</li> <li>• International Tropical Timber Agreement, 1994 – Chapters I and VII</li> <li>• United Nations Framework Convention on Climate Change, 1992 – Articles 1-6</li> <li>• United Nations Declaration on Rights of Indigenous Peoples, 2007</li> </ul>

## Annex B: Training requirements for workers

Depending on their specific work responsibilities, relevant workers shall be able to:

- Implement forest activities to comply with applicable legal requirements (Criterion 1.5);
- Understand the content, meaning and applicability of the eight ILO Core Labour Conventions (Criterion 2.1);
- Recognize and report on instances of sexual harassment and gender discrimination (Criterion 2.2);
- Safely handle and dispose of hazardous substances to ensure that use does not pose health risks (Criterion 2.3);
- Carry out their responsibilities for particularly dangerous jobs or jobs entailing a special responsibility (Criterion 2.5);
- Identify where Indigenous Peoples have legal and customary rights related to management activities (Criterion 3.2);
- Identify and implement applicable elements of UNDRIP and ILO Convention 169 (Criterion\* 3.4);
- 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);
- Identify where local communities have legal and customary rights related to management activities (Criterion 4.2);
- Carry out social, economic and *environmental impact assessments\** and develop appropriate mitigation measures (Criterion\* 4.5);
- Implement activities related to the maintenance and/or enhancement of declared ecosystem services\* when FSC Ecosystem Services Claims are used (Criterion\* 5.1);
- Handle, apply and store pesticides\* (Criterion\* 10.7); and/or
- Implement procedures for cleaning up spills of waste materials\* (Criterion\* 10.12).

## Annex C: Conservation Area Network Conceptual Diagram



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

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

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

## Annex D: Elements of The Management Plan

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

4. Measures to assess, prevent, and mitigate negative impacts of management activities on:
  - i. [Environmental values and non-timber forest products](#), as identified in Principle 6 and Principle 9;
  - ii. Declared [Ecosystem services](#) as identified in Criterion 5.1;
  - iii. Social Values and [Indigenous cultural landscapes](#), as identified in Principle 2 to Principle 5 and Principle 9.
  - iv. [Intact Forest Landscapes](#) and [core areas](#), as identified in Principle 9
5. A description of the monitoring program, as identified in Principle 8, including:
  - i. Growth and yield, as identified in Principle 5;
  - ii. Declared [Ecosystem services](#) as identified in Criterion 5.1;
  - iii. [Environmental values and non-timber forest products](#), as identified in Principle 6
  - iv. Operational impacts, as identified in Principle 10;
  - v. [High Conservation Values](#), as identified in Principle 9;
  - vi. Monitoring systems based on stakeholder [engagement](#) planned or in place, as identified in Principle 2 to Principle 5 and Principle 7;
  - vii. Maps describing the natural resources and land use zoning on the [Management Unit](#).
  - viii. Description of the methodology to assess and [monitor](#) any development and land use options allowed in [Intact Forest Landscapes](#) and [core areas](#) including their effectiveness in implementing the [precautionary approach](#);
  - ix. Description of the methodology to assess and [monitor](#) any development and land use options allowed in [Indigenous cultural landscapes](#) including their effectiveness in implementing the [precautionary approach](#); and
  - x. Global Forest Watch map, or more accurate national or regional map, describing the natural resources and land use zoning on the [Management Unit](#), including the [Intact Forest Landscapes](#) and [core areas](#).

## Conceptual Framework for Planning and Monitoring

<b>Sample Management plan* Document</b> <b>Note: These will vary with SIR and jurisdiction</b>	<b>Management plan* Revision Periodicity</b>	<b>Element Being Monitored (Partial List)</b>	<b>Monitoring Periodicity</b>	<b>Who Monitors This Element?</b> <b>(Note: These will vary with SIR and jurisdiction)</b>	<b>FSC Principle* / Criterion*</b>
Site Plan (Harvest Plan)	Annual	Stream crossings	When in the field and annually	Operational staff	P10
		Roads	When in the field and annually	Operational staff	P10
		Retention patches	Annually sample	Operational staff	P6, P10
		Rare Threatened and Endangered species	Annually	Consulting Biologist	P6
		Annual harvest levels	Annually	Forest Manager	C5.2
		Insect disease outbreaks	Annually, sample	Consulting Biologist / Forest Departments	
Budgeting	Annual	Expenditures	Annually	Chief Financial Officer	P5
		Contribution to local economy	Quarterly	General Manager	P5
Engagement* Plan	Annual	Employment statistics	Annually	General Manager	P3, P4
		Social Agreements	Annually, or as agreed in <i>Engagement*</i> Plan	Social Coordinator	P3, P4
		Grievances	Ongoing	Human Resources Manager	P2, P3, P4

<b>Sample Management plan* Document</b> <b>Note: These will vary with SIR and jurisdiction</b>	<b>Management plan* Revision Periodicity</b>	<b>Element Being Monitored (Partial List)</b>	<b>Monitoring Periodicity</b>	<b>Who Monitors This Element? (Note: These will vary with SIR and jurisdiction)</b>	<b>FSC Principle* / Criterion*</b>
5-Year management plan*	5 years	Wildlife populations	To be determined	Wildlife Departments	P6
		Coarse Woody Debris	Annually	Forest Departments	P10
		Free growing / regeneration	Annually, sample		
Sustainable Forestry management plan*	10 years	Age class distribution Size class distribution	Ten years	Forest Departments	P6
		10-year Allowable Annual Cut	Annually, ten years	Forest Departments / Forest Manager	C5.2
Ecosystem Services Certification Document	5 years	Prior to validation and verification	Prior to validation and verification	General Manager	<a href="#">C5.1</a>



## Annex E: Monitoring Requirements

1. Monitoring in 8.2.1 is sufficient to identify and describe the environmental impacts of management activities, including where applicable:
  - a. The results of regeneration activities (Criterion 10.1);
  - b. The use of ecologically well adapted species for regeneration (Criterion 10.2);
  - c. Invasiveness or other adverse impacts associated with any [alien species](#) within and outside the [Management Unit](#) (Criterion 10.3);
  - d. The use of [genetically modified organisms](#) to confirm that they are not being used (Criterion 10.4);
  - e. The results of silvicultural activities (Criterion 10.5);
  - f. Adverse impacts to [environmental values](#) from [fertilizers](#) (Criterion 10.6);
  - g. Adverse impacts from the use of [pesticides](#) (Criterion 10.7);
  - h. Adverse impacts from the use of [biological control agents](#) (Criterion 10.8);
  - i. The impacts from [natural hazards](#) (Criterion 10.9);
  - j. The impacts of infrastructural development, transport activities and silviculture to [rare and threatened species](#), [habitats](#), [ecosystems](#), [landscape values](#), water and soils (Criterion 10.10);
  - k. The impacts of harvesting and extraction of timber on [non-timber forest products](#), [environmental values](#), merchantable wood waste and other products and services (Criterion 10.11); and
  - l. Environmentally appropriate disposal of [waste materials](#) (Criterion\* 10.12).
  
2. Monitoring in 8.2.1 is sufficient to identify and describe social impacts of management activities, including where applicable:
  - a. Evidence of illegal or [unauthorized activities](#) (Criterion 1.4);
  - b. Compliance with [applicable laws](#), [local laws](#), [ratified](#) international conventions and obligatory codes of practice (Criterion 1.5);
  - c. Resolution of [disputes](#) and grievances (Criterion 1.6, Criterion 2.6, Criterion 4.6);
  - d. Programs and activities regarding workers' rights (Criterion 2.1);
  - e. [Gender equality](#), sexual harassment and gender discrimination (Criterion 2.2);
  - f. Programs and activities regarding occupational health and safety (Criterion 2.3);
  - g. Payment of wages (Criterion 2.4);
  - h. [Workers'](#) training (Criterion 2.5);
  - i. Where [pesticides](#) are used, the health of [workers](#) exposed to pesticides (Criterion 2.5 and Criterion 10.7);
  - j. The identification of [Indigenous Peoples](#) and [local communities](#) and their [legal](#) and [customary rights](#) (Criterion 3.1 and Criterion 4.1);

- k. Full implementation of the terms in [binding agreements](#) (Criterion 3.2 and Criterion 4.2);
  - l. [Indigenous Peoples](#) and community relations (Criterion 3.2, Criterion 3.3 and Criterion 4.2);
  - m. [Protection](#) of sites of special cultural, ecological, economic, religious or spiritual significance to [Indigenous Peoples](#) and [local communities](#) (Criterion 3.5 and Criterion 4.7);
  - n. The persistence of [Indigenous cultural landscapes](#) and associated values of significance to [Indigenous Peoples](#) (Criterion 3.1, Criterion 3.5);
  - o. The use of [traditional knowledge](#) and [intellectual property](#) (Criterion 3.6 and Criterion 4.8);
  - p. Local economic and social development (Criterion 4.2, Criterion 4.3, Criterion 4.4, Criterion 4.5);
  - q. The production of diversified benefits and/or products (Criterion 5.1);
  - r. The maintenance and/or enhancement of [ecosystem services](#) (Criterion 5.1);
  - s. Activities to maintain or enhance ecosystem services (Criterion 5.1);
  - t. Actual compared to projected annual harvests of timber and [non-timber forest products](#) (Criterion 5.2);
  - u. The use of local processing, local services and local value-added manufacturing (Criterion 5.4);
  - v. [Long term economic viability](#) (Criterion 5.5); and
  - w. [High Conservation Values](#) 5 and 6 identified in Criterion 9.1.
3. Monitoring procedures in 8.2.2 are sufficient to identify and describe changes in environmental conditions including where applicable:
- a. The maintenance and/or enhancement of [ecosystem services](#) (Criterion 5.2) (when [The Organization](#) makes FSC promotional claims regarding the provision of [ecosystem services](#), or receives payment for the provision of ecosystem services);
  - b. [Environmental values](#) and [ecosystem functions](#) including carbon sequestration and storage (Criterion\* 6.1); including the effectiveness of actions identified and implemented to prevent, mitigate and repair negative impacts to [environmental values](#) (Criterion 6.3);
  - c. [Rare and threatened species](#), and the effectiveness of actions implemented to protect them and their [habitats](#) (Criterion 6.4);
  - d. [Representative sample areas](#) and the effectiveness of actions implemented to [conserve](#) and/or [restore](#) them (Criterion 6.5);
  - e. Naturally occurring [native species](#) and [biological diversity](#) and the effectiveness of actions implemented to [conserve](#) and/or [restore](#) them (Criterion 6.6);
  - f. Water courses, [water bodies](#), water quantity and water quality and the effectiveness of actions implemented to conserve and/or [restore](#) them (Criterion 6.7);

- g. [Landscape values](#) and the effectiveness of actions implemented to maintain and/or restore them (Criterion 6.8);
- h. Conversion of [natural forest](#) to [plantations](#) or conversion to non-forest (Criterion 6.9);
- i. The status of plantations established after 1994 (Criterion 6.10); and
- j. [High Conservation Values](#) 1 to 4 identified in Criterion 9.1 and the effectiveness of actions implemented to maintain and/or enhance them.

## Annex F: National High Conservation Value Framework

This National High Conservation Value (HCV) Framework includes elements that contribute to achieving the requirements of Principle 9 of this NFSS.

### Section 1

#### Overarching Best Available Information (BAI) for Assessments

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.

Best Available Information for Identifying and Assessing National HCV Designations	
<b>All HCV Categories: All Elements</b>	<ul style="list-style-type: none"><li>• 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.</li><li>• HCV surveys of the Management Unit; relevant databases and maps; culturally appropriate engagement with Indigenous Peoples, <u>affected rights holders</u>, affected, and interested stakeholders, and relevant local and regional experts; FSC-GUI-30-003 Guidelines for the Implementation of the Right to Free, Prior and Informed Consent (FSC, 2021) (or subsequent versions when approved); review of the results by knowledgeable expert(s) independent of The Organization.</li><li>• Traditional Ecological Knowledge</li><li>• Published and unpublished reports by government agencies, research institutions, or conservation organizations. Key guidance documents:<ul style="list-style-type: none"><li>○ Common Guidance for the Identification of HCVs (Brown <i>et al.</i>, 2013)</li><li>○ Malaysian National Interpretation for the Identification of HCVs (HCV Malaysia Toolkit Steering Committee, 2018)</li></ul></li></ul>

<b>HCV 2: Element 1, Intact Forest Landscapes (IFLs)</b>	<ul style="list-style-type: none"> <li>• Global Forest Watch Intact Forest Landscapes maps (2017)<sup>2</sup>, or other maps based on a more recent and accurate Intact Forest Landscapes inventory using a refined methodology.</li> <li>• Mapping and other data on forest cover, age, succession, structure, species composition, habitat connectivity, anthropogenic disturbance, roadless areas and wilderness areas.</li> </ul>
<b>HCV 4, Element 1, Element 2</b>	<ul style="list-style-type: none"> <li>• Department of Survey and Mapping Malaysia's database of map resources</li> </ul>
<b>HCV 5: Element 1, Values fundamental to local communities</b>	<ul style="list-style-type: none"> <li>• Culturally appropriate engagement with local communities. Note this shall be the primary BAI for these elements.</li> <li>• Databases, maps, and government listings of local communities located within the MU or relying on forest areas within the MU.</li> <li>• Data from participatory mapping with local communities.</li> </ul>
<b>HCV 5: Element 2, Values fundamental to Indigenous Peoples</b>	<ul style="list-style-type: none"> <li>• Culturally appropriate engagement with Indigenous Peoples. Note this shall be the primary BAI for these elements.</li> <li>• Databases, maps, and government listings of Indigenous Peoples located within the MU or relying on forest areas within the MU.</li> <li>• Data from participatory mapping with Indigenous Peoples.</li> <li>• Data from Indigenous Peoples' organisations.</li> </ul>
<b>HCV 6: Element 2, Values important to local communities</b>	<ul style="list-style-type: none"> <li>• Culturally appropriate engagement with local communities. Note this shall be the primary BAI for these elements.</li> <li>• Databases, maps, resource inventories and government listings of archaeological, historical, religious, and cultural sites.</li> <li>• Data from participatory mapping with local communities.</li> </ul>
<b>HCV 6: Element 3, Values important to Indigenous Peoples</b>	<ul style="list-style-type: none"> <li>• Culturally appropriate engagement with Indigenous Peoples. Note this shall be the primary BAI for these elements</li> <li>• Databases, maps, resource inventories and government listings of archaeological, historical, religious, and cultural sites.</li> <li>• Data from participatory mapping with Indigenous Peoples.</li> <li>• Data from Indigenous Peoples' organisations</li> </ul>

<sup>2</sup> The maps are accessible at [www.globalforestwatch.org](http://www.globalforestwatch.org)

A. Overarching Best Available Information (BAI) for Development of Management Strategies

The following table shows the types of overarching BAI that is applicable for the development of management strategies for all HCVs, specific categories of HCVs, or specific HCV elements.

Best Available Information for Developing Management Strategies for National HCV Designations	
<b>All HCV Categories: All Elements</b>	<ul style="list-style-type: none"> <li>• 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.</li> <li>• Engagement with Indigenous Peoples, <u>affected rights holders</u>, affected and interested stakeholders, and experts.</li> <li>• Records and documents identifying key rights of Indigenous Peoples/local communities within and around the MU pertaining to tenure, resources, customary significance, etc.</li> <li>• Agreements between the Organisation and Indigenous Peoples/local communities (if any).</li> <li>• Land cover analysis using GIS and involving remote sensing data sets such as forest cover, hydrology, topography etc.</li> <li>• Published reports by governments, research institutions, or conservation organisations.</li> <li>• The Organisation’s management prescriptions and standard operating procedures (SOPs).</li> <li>• Key guidance documents:               <ul style="list-style-type: none"> <li>○ Common Guidance for the Management &amp; Monitoring of HCVs (Brown &amp; Senior, 2014)</li> <li>○ Malaysian National Interpretation for the Management &amp; Monitoring of HCVs (in progress)</li> </ul> </li> </ul>
<b>HCV 5: Element 1, Values fundamental to local communities</b>	<ul style="list-style-type: none"> <li>• 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.</li> <li>• Data from participatory mapping with local communities.</li> <li>• Records of engagement through participatory approach with local communities and their representatives on the identification and mapping of sites.</li> </ul>

<p><b>HCV 5: Element 2, Values fundamental to Indigenous Peoples</b></p>	<ul style="list-style-type: none"> <li>• 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.</li> <li>• Data from participatory mapping with Indigenous Peoples.</li> <li>• Records of engagement through participatory approach with Indigenous Peoples and their representatives on the identification and mapping of sites.</li> </ul>
<p><b>HCV 6: Element 2, Values important to local communities</b></p>	<ul style="list-style-type: none"> <li>• 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.</li> <li>• Data from participatory mapping with local communities.</li> </ul>
<p><b>HCV 6: Element 3, Values important to Indigenous Peoples</b></p>	<ul style="list-style-type: none"> <li>• 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.</li> <li>• Data from participatory mapping with Indigenous Peoples.</li> </ul>

B. Overarching Best Available Information (BAI) for Development of Monitoring Methodologies

<p><b>Best Available Information for Monitoring National HCV Designations</b></p>	
<p><b>All HCV Categories: All Elements</b></p>	<ul style="list-style-type: none"> <li>• Engagement with rights holders, consistent with Criteria 3.5, 4.5 and 4.7.</li> <li>• Culturally appropriate engagement with Indigenous Peoples and affected and interested stakeholders.</li> <li>• Information on engaging with representatives of the Indigenous Peoples and/or local communities.</li> <li>• Monitoring conducted by the Indigenous Peoples and/or local communities, and engagement with experts.</li> <li>• Land cover analysis using GIS and involving remote sensing data sets such as forest cover, hydrology, topography etc.</li> <li>• The Organisation’s data reports etc. from strategic, operational and threat monitoring activities.</li> </ul>

	<ul style="list-style-type: none"> <li>• Key guidance documents: <ul style="list-style-type: none"> <li>○ Common Guidance for the Management &amp; Monitoring of HCVs (Brown &amp; Senior, 2014)</li> <li>○ Malaysian National Interpretation for the Management &amp; Monitoring of HCVs (in progress)</li> </ul> </li> </ul>
<b>HCVs 1, 3: all elements</b>	<ul style="list-style-type: none"> <li>• Reports from national and state forest inventories specifically on the presence and distribution of RTE plant species, and forest types.</li> </ul>

## 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

<b>National designations of this HCV element</b>	<b>Best Available Information to identify this HCV designation</b>
<b>Element 1: Concentrations of biological diversity that are significant at global, regional, or national levels;</b>	
<b>Protected areas defined by national government (proxy for concentration of biodiversity) and policy documents</b>	<ul style="list-style-type: none"> <li>• Protected areas listed in the Master List of Protected Areas in Malaysia and on the UNEP-WCMC Protected Planet site<sup>3</sup></li> </ul>
<b>Biodiversity conservation areas recognised by reputable international bodies and any proposed area for the designation</b>	<ul style="list-style-type: none"> <li>• Ramsar sites</li> <li>• ASEAN Heritage Parks</li> <li>• UNESCO World Heritage (natural) sites</li> </ul>
<b>Global conservation priority sites</b>	<ul style="list-style-type: none"> <li>• Key Biodiversity Areas</li> <li>• Important Bird &amp; Biodiversity Areas</li> <li>• Important Plant Areas</li> <li>• Alliance for Zero Extinction (AZE) sites</li> </ul>
<b>Priority areas as identified in government action plans for individual species conservation</b>	<ul style="list-style-type: none"> <li>• Government action plans for single species for example Malayan tiger (<i>Panthera tigris</i>) (DWNP, 2008), the Asian elephant (<i>Elephas maximus</i>) in Peninsular Malaysia (DWNP, 2013); Bornean orangutan (<i>Pongo pygmaeus</i>) (SWD, 2010) and</li> </ul>

<sup>3</sup> <https://www.protectedplanet.net/en>



	Bornean elephant (SWD, 2020)
<b>Environmentally Sensitive Areas (ESAs) for Peninsular Malaysia</b>	<ul style="list-style-type: none"> <li>National Physical Plan for Peninsular Malaysia (DTCP, 2014)</li> </ul>
<b>Element 2: Concentrations of endemic species that are significant at global, regional, or national levels;</b>	
<b>Areas where endemic species are present</b>	<ul style="list-style-type: none"> <li>Expert opinion</li> <li>Published and unpublished reports by government agencies, research institutions, or conservation organisations related to distribution of endemic species.</li> </ul>
<b>Element 3: Concentrations of rare, threatened, or endangered species that are significant at global, regional, or national level</b>	
<b>Areas that harbour significant population of species with a conservation status of Vulnerable (VU) and above based on information gathered through sources of BAI in Section 1.</b>	<ul style="list-style-type: none"> <li>IUCN Red List of Threatened Species</li> <li>Malaysian Red List of Threatened Species (available for certain taxa as listed below): <ul style="list-style-type: none"> <li>Red List of Mammals for Peninsular Malaysia (DWNP, 2017)</li> <li>Malaysia Plant Red List: Peninsular Malaysian Dipterocarpaceae (Chua <i>et al.</i>, 2010)</li> <li>Sarawak Plant Red List: Dipterocarpaceae Series I: <i>Dipterocarpus</i>, <i>Dryobalanops</i> &amp; <i>Shorea</i> (Julia <i>et al.</i>, 2017)</li> <li>Sarawak Plant Red List: Dipterocarpaceae Series II: <i>Anisoptera</i>, <i>Cotylelobium</i>, <i>Hopea</i>, <i>Parashorea</i>, <i>Upuna</i> &amp; <i>Vatica</i> (Julia &amp; Vilma, 2017)</li> </ul> </li> </ul>
<b>Any area that contains significant concentrations of HCV 1 species (RTE or endemic), or which contains habitat critical to the survival of these species.</b>	
<b>Localities that are particularly important because they harbour temporal concentrations of migratory birds</b>	<ul style="list-style-type: none"> <li>List of IBA sites in Malaysia</li> </ul>
<b>Locations of natural mineral saltlicks frequented by wildlife</b>	<ul style="list-style-type: none"> <li>Expert opinion</li> <li>Published and unpublished reports by government agencies, research institutions, or conservation organisations</li> </ul>

B. Assessments for HCV 1

Assessment methods for these HCV designations	Best Available Information to assess these HCV designations
<b>Element 1: Concentrations of biological diversity that are significant at global, regional, or national levels;</b>	
<b>Protected areas defined by national laws and regulations</b>	<ul style="list-style-type: none"> <li>Protected area in Malaysia, as defined by the Protected Areas Master List are proxies for significant concentrations of biological diversity, but this must be corroborated with other indicators (rarity, threatened status, endemism) as the protection status alone is not enough.</li> </ul>
<b>Biodiversity conservation areas recognised by reputable international bodies and any proposed area for the designation Global conservation priority sites</b>	<ul style="list-style-type: none"> <li>Internationally recognised biodiversity conservation sites (Ramsar sites, ASEAN Heritage Parks, IUCN World Heritage sites) are proxies for significant concentrations of biological diversity, but this must be corroborated with other indicators (rarity, threatened status, endemism).</li> </ul>
<b>Element 2: Concentrations of endemic species that are significant at global, regional, or national levels;</b>	
<b>A species needs to be both endemic and rare, or endemic and threatened (VU and above) AND be present in nationally significant it to be considered as a HCV1 species except for hyper endemism</b>	<ul style="list-style-type: none"> <li>Further guidance on this is provided in the Malaysian National Interpretation (MYNI) for the Identification of HCVs.</li> </ul>
<b>Element 3: Concentrations of rare, threatened, or endangered species that are significant at global, regional, or national level</b>	
<b>Only species with a conservation status of Vulnerable (VU) and above in either the IUCN Red List or the national red lists are considered to be threatened</b>	<ul style="list-style-type: none"> <li>Malaysian red lists of threatened species should be given precedence over the IUCN Red List for the corresponding taxa.</li> </ul>
<b>A species does not need to be endemic to be rare as it may be found (or even common) outside of Malaysia but rare within the country. HCV 1 presence based on the</b>	<ul style="list-style-type: none"> <li>Based on best available science and expert opinion, including traditional ecological knowledge (TEK).</li> </ul>

<p>consideration of rarity alone should only be accepted if there is strong evidence that the species is very rare.</p>	
<p>Localities that are particularly important because they harbour temporal concentrations of migratory waterbirds</p>	<ul style="list-style-type: none"> <li>Repeat field assessment should be conducted during a different time of the year, but if that is not possible, consultation with relevant experts and a thorough review of secondary data is necessary to fill in data gaps.</li> </ul>

C. Strategies for Maintaining and Enhancing HCV 1

<p>Strategies for maintaining these HCV designations</p>	<p>Best Available Information for strategies to maintain these HCV designations</p>
<p>All Elements</p>	
<p>The appropriate spatial scale (size), shape and location of conservation areas required are dependent on the target RTE species. And needs for plant species differ significantly from animal species</p>	<ul style="list-style-type: none"> <li>Government action plans for single species for example Malayan tiger (<i>Panthera tigris</i>), the Asian elephant (<i>Elephas maximus</i>) in Peninsular Malaysia; Bornean orangutan (<i>Pongo pygmaeus</i>) and Bornean elephant</li> </ul>
<p>For large-ranging species, such as the Asian elephant or the Malayan tiger, the MU is unlikely to be sufficiently large and therefore it may be necessary to set aside an ecological corridor for wildlife movement.</p>	<ul style="list-style-type: none"> <li>WWF-Malaysia's Guidelines on the Better Management Practices for the Mitigation and Management of Human-Elephant Conflict in and around Oil-Palm Plantations in Indonesia and Malaysia (Chong &amp; Dayang Norwana, 2005)</li> <li>Malaysian National Strategy for Plant Conservation.</li> <li>Consultation with technical experts and scientists</li> </ul>
<p>For RTE plants, if it is not possible to conserve (set aside) all the areas where the relevant species occur within the MU, expert opinion should be sought to determine the minimum viable size of the habitat that would sustain the species in the long term</p>	
<p>The implementation of appropriate conservation measures to mitigate key threats related to habitat size and quality.</p>	
<p>For both plant and animal species,</p>	

<p>translocation of the RTE species to a more secure site should only be considered as a final resort, and only after consultation with relevant stakeholders including the government agencies that have the authority</p>	
<p>The translocation of wildlife should not result in an increase of human-wildlife conflicts at the release site that will have negative impacts on the safety of local communities and livelihoods.</p>	

D. Monitoring HCV 1

Monitoring for these HCV designations	Best Available Information for monitoring these HCV designations
All Elements	
Remote monitoring of forest cover and deforestation as a proxy for RTE species habitat availability.	<ul style="list-style-type: none"> <li>• Global Forest Watch<sup>4</sup></li> </ul>
Instead of conducting comprehensive biodiversity assessments regularly, organisations can focus on selected species as indicators	<ul style="list-style-type: none"> <li>• The HCV assessment report should contain recommendations by the HCV assessor on which species to focus on as indicators for monitoring.</li> <li>• Consultation with technical experts</li> </ul>
Field-based strategic and threat monitoring e.g., monitoring patrols to detect threats to HCV 1, SMART patrolling, camera-trapping, Forest Integrity Assessment (FIA)	<ul style="list-style-type: none"> <li>• Spatial Monitoring and Reporting Tool (SMART): <a href="https://smartconservationtools.org/">https://smartconservationtools.org/</a></li> <li>• ZSL's HCV Threat Monitoring Protocol: <a href="https://hcvnetwork.org/library/hcv-threat-monitoring-protocol/">https://hcvnetwork.org/library/hcv-threat-monitoring-protocol/</a></li> <li>• Forest Integrity Assessment (FIA) tool: <a href="https://hcvnetwork.org/library/forest-integrity-assessment-tool/">https://hcvnetwork.org/library/forest-integrity-assessment-tool/</a></li> </ul>
Threat monitoring using Drone/UAV	<ul style="list-style-type: none"> <li>• Koh &amp; Wich (2012)'s paper on the use of drones for</li> </ul>

<sup>4</sup> Available online: <http://www.globalforestwatch.org/>

	<p>conservation monitoring</p> <ul style="list-style-type: none"> <li>Engage technical experts</li> </ul>
<b>Other monitoring guidance</b>	<ul style="list-style-type: none"> <li>FSC (2020)</li> </ul>

### Section 3

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. Identification of HCV 2

<b>National designations of this HCV element</b>	<b>Best Available Information to identify this HCV designation</b>
<b>Element 1: Intact Forest Landscapes</b>	
<b>Areas recognised as Intact Forest Landscapes as shown in the relevant IFL and WRI websites</b>	<ul style="list-style-type: none"> <li>The online IFL map available at <a href="http://www.intactforests.org">http://www.intactforests.org</a></li> <li>Global Forest Watch <a href="http://www.globalforestwatch.org/">http://www.globalforestwatch.org/</a></li> </ul>
<b>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</b>	
<b>Relatively intact ecosystems, where ecological processes and functions are wholly or relatively unaffected by human activities</b>	<ul style="list-style-type: none"> <li>Peninsular Malaysia – any area which is within the Central Forest Spine (CFS) or part of a Primary Linkage (PL) or Secondary Linkage (SL) as defined in the latest available version of the CFS Master Plan (DTCP, 2009).</li> </ul>
	<ul style="list-style-type: none"> <li>Sabah – any area which is part of the Heart of Borneo area within the state.</li> </ul>
	<ul style="list-style-type: none"> <li>Sarawak – any area which is part of the Heart of Borneo area within the state, roughly corresponding to the areas surrounding the Sarawak-Kalimantan border</li> </ul>
<b>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</b>	
<b>Ecological linkages between large</b>	<ul style="list-style-type: none"> <li>Peninsular Malaysia – any area which is part of a</li> </ul>

<p><b>forest complexes that are critically needed to maintain viable population</b></p>	<p>Primary Linkage (PL) or Secondary Linkage (SL) as defined in the latest available version of the CFS Master Plan.</p> <ul style="list-style-type: none"> <li>• Sabah – any area which is part of the Ecolinc corridor connecting Crocker Range Park with Kinabalu Park, ecological linkages between Maliau Basin, Danum Valley and Imbak Canyon, and along the Kinabatangan River which provides a critical “ridge to reef” linkage in the Eastern part of Sabah and the gazetted Totally Protected Areas (TPAs).</li> <li>• Sarawak – any area which is part of the Heart of Borneo area within the state.</li> </ul>
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B. Assessments for HCV 2

<p><b>Assessments methods for these HCV designations</b></p>	<p><b>Best Available Information to assess these HCV designations</b></p>
<p><b>All elements</b></p>	
<p><b>Desktop review of remote sensing data available on online platforms</b></p>	<ul style="list-style-type: none"> <li>• The online IFL map</li> <li>• Global Forest Watch</li> </ul>
<p><b>Review of key government reference documents and maps</b></p>	<ul style="list-style-type: none"> <li>• Latest available National Physical Plan</li> <li>• Latest available Central Forest Spine Master Plan</li> <li>• Latest available Heart of Borneo implementation plan/workplan</li> <li>• Consultation with key government agencies such as the Town &amp; Country Planning Department, the federal and state ministries in charge of natural resources and the relevant state forestry departments.</li> </ul>

C. Strategies for Maintaining and Enhancing HCV 2

<p><b>Strategies for maintaining these HCV designations</b></p>	<p><b>Best Available Information for strategies to maintain these HCV designations:</b></p>
<p><b>All elements</b></p>	

<b>The Organisation needs to engage other stakeholders in the wider landscape outside of the MU</b>	<ul style="list-style-type: none"> <li>List of stakeholders maintained by the Organisation</li> </ul>
<b>The Organisation should maintain corridors of natural vegetation within the MU to connect with conservation areas within the MU or with ecosystems outside. These ecological corridors must be wide enough to allow the effective movement of animals and plant dispersal.</b>	<ul style="list-style-type: none"> <li>Scientific papers, technical reports, manuals etc. on the design of ecological corridors</li> <li>Consultation with technical experts</li> </ul>
<b>Human-wildlife conflict mitigation</b>	<ul style="list-style-type: none"> <li>Scientific papers, technical reports, manuals etc. on human-wildlife conflict mitigation e.g. WWF-Malaysia's Guidelines on the Better Management Practices for the Mitigation and Management of Human-Elephant Conflict in and around Oil-Palm Plantations in Indonesia and Malaysia (Chong &amp; Dayang Norwana, 2005)</li> <li>Consultation with technical experts</li> </ul>

D. Monitoring HCV 2

<b>Monitoring for these HCV designations</b>	<b>Best Available Information for monitoring these HCV designations</b>
<b>All elements</b>	
<b>Remote monitoring of forest cover and detection of deforestation</b>	<ul style="list-style-type: none"> <li>WRI's Global Forest Watch: <a href="https://www.globalforestwatch.org/">https://www.globalforestwatch.org/</a></li> <li>Hutanwatch.org</li> </ul>
<b>Field-based strategic and threat monitoring e.g., monitoring patrols to detect threats to HCV 2, SMART patrolling, camera-trapping, Forest Integrity Assessment (FIA)</b>	<ul style="list-style-type: none"> <li>Spatial Monitoring and Reporting Tool (SMART): <a href="https://smartconservationtools.org/">https://smartconservationtools.org/</a></li> <li>ZSL's HCV Threat Monitoring Protocol: <a href="https://hcvnetwork.org/library/hcv-threat-monitoring-protocol/">https://hcvnetwork.org/library/hcv-threat-monitoring-protocol/</a></li> <li>Forest Integrity Assessment (FIA) tool: <a href="https://hcvnetwork.org/library/forest-integrity-assessment-tool/">https://hcvnetwork.org/library/forest-integrity-assessment-tool/</a></li> </ul>
<b>Threat monitoring using drone/UAV</b>	<ul style="list-style-type: none"> <li>Engage technical experts</li> </ul>

## Section 4

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

### A. Interpretations and Best Available Information for HCV 3

National designations of this HCV element	Best Available Information to identify this HCV designation
<b>Element 1: Rare, threatened, or endangered ecosystems</b>	
<b>Presence and distribution of natural ecological/vegetation types</b>	<ul style="list-style-type: none"> <li>• Vegetation maps</li> <li>• GIS modelling (based on soil type, elevation and climate)</li> <li>• Reports from national and state forest inventories specifically on the distribution of forest types</li> </ul>
<b>Ecosystem identified as threatened or vulnerable in Malaysia</b>	<ul style="list-style-type: none"> <li>• The MYNI for HCV Identification (2018) includes a brief summary of an analysis of threatened ecosystems in Peninsular Malaysia conducted as part of a collaborative project between the (then) Ministry of Natural Resources &amp; Environment and the Danish International Development Assistance (DANIDA) on biodiversity Mainstreaming. The critically endangered ecosystem types identified in this analysis are:               <ul style="list-style-type: none"> <li>○ Mangrove forest</li> <li>○ Beach vegetation</li> <li>○ Peat swamp forest</li> <li>○ Limestone vegetation</li> <li>○ Vegetation on ultrabasic soil</li> <li>○ Heath vegetation</li> </ul> </li> <li>• Sabah and Sarawak: Information and data from state agencies on the conservation status of ecosystems found in those states.</li> <li>• Consultation with technical experts.</li> </ul>
<b>Element 2: Rare, threatened, or endangered habitats</b>	
Same as the above	



<b>Element 3: Refugia</b>	
<b>The MYNI for HCV Identification defined refugia as “a place where a declining entity is making a last stand” and two types of refugia were described i.e., ecological refugia and evolutionary refugia.</b>	<ul style="list-style-type: none"> <li>As not much information is readily available on the presence of refugia, the key information source is consultation with technical experts.</li> </ul>

B. Assessments for HCV 3

<b>Assessment methods for these HCV designations</b>	<b>Best Available Information to assess this HCV designation</b>
<b>All elements</b>	
<b>The use of vegetation classifications or ecological types which are easily recognisable in the field as well as satellite images, aerial photographs and other remote sensing imagery is a practical approach</b>	<ul style="list-style-type: none"> <li>Major vegetation/ecological types in Malaysia and their distribution in Peninsular Malaysia, Sabah and Sarawak by Kiew <i>et al.</i> (2010), Soepadmo &amp; Wong (1995)</li> </ul>
<b>Threat status of ecosystem types present in Malaysia</b>	<ul style="list-style-type: none"> <li>Data from previous analysis of threatened ecosystems in Malaysia e.g., as described in the MYNI for HCV Identification (HCV Malaysia Toolkit Steering Committee, 2018)</li> <li>Consultation with technical experts on threatened ecosystem type in Malaysia</li> </ul>

C. Strategies for Maintaining and Enhancing HCV 3

<b>Strategies for maintaining these HCV designations</b>	<b>Best Available Information to maintain this HCV designation</b>
<b>All elements</b>	
<b>The Organisation is required to maintain the characteristic ecological processes and any unique attributes of RTE sites</b>	<ul style="list-style-type: none"> <li>Consultation with technical experts</li> </ul>
<b>In many cases HCV 3 habitats or ecosystems will require complete</b>	

protection in a conservation area as the management response	
In preparing a HCV management plan where HCV 3 fragments exist, the key aim should be protect the remaining fragments, address threats of their degradation or destruction, and (where applicable) restore the functionality of the ecosystem	

D. Monitoring for HCV 3

Monitoring for these HCV designations	Best Available Information to monitor this HCV designation
All elements	
Remote monitoring of forest cover and detection of deforestation	<ul style="list-style-type: none"> <li>Global Forest Watch: <a href="https://www.globalforestwatch.org/">https://www.globalforestwatch.org/</a></li> </ul>
Field-based monitoring e.g., monitoring patrols to detect threats to HCV 3, SMART patrolling, camera-trapping, Forest Integrity Assessment (FIA)	<ul style="list-style-type: none"> <li>Spatial Monitoring and Reporting Tool (SMART): <a href="https://smartconservationtools.org/">https://smartconservationtools.org/</a></li> <li>ZSL's HCV Threat Monitoring Protocol: <a href="https://hcvnetwork.org/library/hcv-threat-monitoring-protocol/">https://hcvnetwork.org/library/hcv-threat-monitoring-protocol/</a></li> <li>Forest Integrity Assessment (FIA) tool: <a href="https://hcvnetwork.org/library/forest-integrity-assessment-tool/">https://hcvnetwork.org/library/forest-integrity-assessment-tool/</a></li> </ul>
Threat monitoring using drone/UAV	<ul style="list-style-type: none"> <li>Koh &amp; Wich (2012)'s paper on the use of drones for conservation monitoring</li> <li>Engage technical experts</li> </ul>

**Section 5**

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. Identification of HCV 4

<b>National designations of this HCV element</b>	<b>Best Available Information to identify this HCV designation</b>
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<b>Element 1: Water catchments in critical situations</b>	
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<p><b>A water catchment may be considered to serve a critical situation:</b></p> <ul style="list-style-type: none"> <li>• when people are dependent on the water for drinking or irrigation</li> <li>• where the regulation of water flow guarantees the existence of fishing grounds or agricultural land on which the local people are dependent</li> <li>• where there are no viable or readily available alternatives.</li> </ul>	<ul style="list-style-type: none"> <li>• A list of water intake points and their catchment areas can be found in Schedule 6 of the Environmental Quality (Industrial Effluent) Regulations 2009 (P.U. (A) 434) of the Environmental Quality Act 1974.</li> <li>• Permanent Reserved Forests (PRFs) gazetted for water protection under the National Forestry Act 1984 for Peninsular Malaysia and the Sabah Forestry Enactment 1984, as listed in the Protected Areas Master List.</li> <li>• Water catchment areas gazetted under relevant state laws including (but not limited to) the Selangor Waters Management Authority (LUAS) Enactment 1999 (LUAS), the Johor Water Enactment 1921 Johor, the Sabah Water Resources Enactment 1998 and the Sarawak Water Ordinance 1994.</li> <li>• For Peninsular Malaysia, the presence of Environmentally Sensitive Areas (ESAs) as defined in the National Physical Plan, especially areas indicated as being within dam (reservoir) catchment areas for public drinking water supply, whether or not legally gazetted as such.</li> <li>• Data, reports, expert opinion etc. on water catchment areas important for maintaining the ecosystem health of extensive or important wetlands, fish nurseries and spawning grounds, or sensitive coastal ecosystems (e.g., mangrove forests, coral reefs etc.).</li> <li>• Consultation with technical experts e.g., hydrologists</li> </ul>
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<b>Element 2: Control of erosion of vulnerable soils and slopes in critical situations</b>	
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<p><b>Areas defined by state governments that contain natural vegetation types (e.g., forest) in good condition that help to prevent erosion and landslip where such events would have a critical impact on people or the environment.</b></p>	<ul style="list-style-type: none"> <li>• Permanent Reserved Forests (PRFs) as classified under section 10(1) of gazetted for soil protection under the National Forestry Act 1984 or the Sabah Forest Enactment 1968, as listed in the Master List of Protected Areas in Malaysia.</li> <li>• Soil, topography, rainfall and other relevant maps available from the Department of Survey and Mapping</li> </ul>
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Steep or mountainous areas, or areas of high rainfall, where the risk of catastrophic erosion or landslides is high to people living in the surrounding area.	<p>Malaysia's database of map resources</p> <ul style="list-style-type: none"> <li>• Maps and reports of geological surveys conducted in different areas are available from the Department of Mineral and Geoscience.</li> </ul>
Area where there is naturally low soil fertility, especially on sandy, peaty or fragile soils, where land clearance, drainage, use of heavy machinery or other intensive land use might affect soil structure and fertility.	<ul style="list-style-type: none"> <li>• GIS analysis involving remote sensing data sets and other data sources on location of steep slopes, vulnerable soils etc.</li> <li>• Consultation with technical experts e.g., geologists, soil scientists, civil engineers etc.</li> </ul>
Areas identified in policy documents as critically important for soil and nutrient conservation	<ul style="list-style-type: none"> <li>• National Physical Plan (NPP) (DTCP, 2014), National Coastal Zone Physical Plan (NPP-CZ) (DTCP, 2012), relevant structure and local plans</li> </ul>
<b>Element 3: Other ecosystem services in critical situations:</b>	
Key nesting/roosting/feeding sites for pollinators of crops critically important for subsistence or livelihoods of local communities or for the maintenance of RTE species and ecosystems e.g., Tualang/Mengaris/Tapang ( <i>Koompassia excelsa</i> ) trees for bees, and caves with roosting sites for bats	<ul style="list-style-type: none"> <li>• Consultation with technical experts e.g., ecologists.</li> <li>• Consultation with local communities.</li> </ul>
Wetland and other areas important for regulating and supporting services related to water filtration, prevention of seawater intrusion, prevention of abrasion/coastal erosion and flood mitigation.	<ul style="list-style-type: none"> <li>• NPP, NPP-CZ, relevant structure, and local plans</li> <li>• Consultation with technical experts e.g., ecologists.</li> </ul>

B. Assessments for HCV 4

<b>Assessment methods for these HCV designations</b>	<b>Best Available Information to assess this HCV designation</b>
<b>Element 1: Water catchments in critical situations</b>	

<p><b>If the ecosystem services provided by the water catchment is of critical importance for communities within the MU or downstream of it, HCV presence is assumed in line with the precautionary approach.</b></p>	<ul style="list-style-type: none"> <li>• Consultation with: <ul style="list-style-type: none"> <li>○ local authorities and government agencies</li> <li>○ technical specialists such as ecologists, hydrologists etc.</li> <li>○ local communities to determine their use and dependence on water resources and potential environmental impacts from the proposed activities in the MU</li> <li>○ relevant organisations working on community development with relevant local communities.</li> </ul> </li> <li>• Scientific papers, technical reports, maps etc. on the presence of critical water catchments within the MU.</li> <li>• Participatory community mapping of drinking water intake points and other critical water resources within the MU and downstream of it.</li> <li>• GIS analysis involving remote sensing data sets and other data sources on location watershed areas, hydrology topography etc.</li> </ul>
<p><b>Results of available hydrological studies and analysis of topography and hydrological maps showing that a particular area is the catchment or watershed area of a local community water supply system, whether or not the area is gazetted as a protection forest</b></p>	
<p><b>Element 2: Control of erosion of vulnerable soils and slopes in critical situations</b></p>	
<p><b>If the ecosystem services provided by the soil protection area is of critical importance for communities within the proposed management unit or downstream of it, HCV presence is assumed in line with the precautionary approach.</b></p>	<ul style="list-style-type: none"> <li>• Scientific papers, technical reports, maps etc. on the distribution of vulnerable soils and steep slopes within the MU.</li> <li>• GIS analysis involving remote sensing data sets and other data sources on location of steep slopes, vulnerable soils etc. within the MU.</li> <li>• Field observations/surveys of steep slopes, vulnerable soils etc.</li> <li>• Consultation with: <ul style="list-style-type: none"> <li>○ local authorities and government agencies</li> <li>○ specialists such as geologists, soil scientists, ecologists, hydrologists etc.</li> <li>○ local communities to determine their vulnerability to soil erosion and landslides, and potential environmental impacts from the proposed</li> </ul> </li> </ul>

	<p>activities in the MU</p> <ul style="list-style-type: none"> <li>○ relevant organisations (e.g., NGOs) working with the local communities</li> </ul>
<p><b>Element 3: Other ecosystem services in critical situations:</b></p>	
<p><b>The assessor should determine if there is any important nesting, roosting or feeding sites of pollinators within the MU and surrounding landscape that may be impacted by activities in the MU</b></p>	<ul style="list-style-type: none"> <li>• Field observations on presence of roosting sites for key pollinators etc.</li> <li>• Scientific papers, technical reports etc. on the presence of roosting sites for key pollinators within the MU.</li> <li>• Consultation with: <ul style="list-style-type: none"> <li>○ local authorities and government agencies</li> <li>○ specialists such as ecologists, wildlife biologist, entomologists etc.</li> <li>○ local communities to determine their use and dependence on pollination services and potential environmental impacts from the proposed activities in the MU.</li> <li>○ relevant organisations (e.g., NGOs) working with the local communities.</li> </ul> </li> </ul>

C. Strategies for Maintaining and Enhancing HCV 4

<p><b>Strategies for maintaining these HCV designations</b>      <b>Best Available Information for strategies to maintain these HCV designations</b></p>	
<p><b>Element 1: Water catchments in critical situations</b></p>	
<p><b>If a MU is upstream of communities that rely on waterways flowing through the MU for basic needs, or upstream of critical ecosystems that depend on the maintenance of good water flows (e.g., mangrove forest), the production activities should be planned with adequate river buffers covered with natural vegetation. The size of buffer zones should comply</b></p>	<ul style="list-style-type: none"> <li>• Peninsular Malaysia: Guidelines for Rivers and River Reserves produced by DID (2011) specify widths of river reserves based on the width of the river.</li> <li>• Sabah: Sabah Forestry Department requires a river reserve of 30m on each side for rivers exceeding 5m width and 5m on each side for rivers less than 5m width, within forest reserves in the State. Within alienated land and state land in Sabah, the width of the river reserve as stipulated by DID (Sabah) depends on</li> </ul>

<b>with existing national or state legislations and guidelines</b>	<p>the width of the river (EPD, 2012).</p> <ul style="list-style-type: none"> <li>The Ministry of Natural Resources &amp; Environments' guidance on Managing Biodiversity in the Riparian Zone (NRE, 2009).</li> </ul>
<b>Element 2: Control of erosion of vulnerable soils and slopes in critical situations</b>	
<b>No production activities allowed on vulnerable soils and steep slopes within the MU</b>	<ul style="list-style-type: none"> <li>Scientific papers, technical reports, manuals etc. on protection of steep slopes and vulnerable soils in Malaysia and the tropics</li> <li>Consultation with technical experts</li> </ul>
<b>Element 3: Other ecosystem services in critical situations</b>	
<b>Important nesting, roosting or feeding sites of pollinators within the MU should be protected e.g., Tualang/Mengaris/Tapang (<i>Koompassia excelsa</i>) trees for bees, and caves with roosting sites for bats</b>	<ul style="list-style-type: none"> <li>Scientific papers, technical reports, manuals etc. on the conservation of pollinators</li> <li>Consultation with technical experts</li> </ul>

D. Monitoring for HCV 4

<b>Monitoring for these HCV designations</b>	<b>Best Available Information for monitoring these HCV designations</b>
<b>All elements</b>	
<b>Remote monitoring of forest cover and detection of deforestation</b>	<ul style="list-style-type: none"> <li>Global Forest Watch: <a href="https://www.globalforest-watch.org/">https://www.globalforest-watch.org/</a></li> </ul>
<b>Field-based monitoring e.g., monitoring patrols to detect threats to HCV 4, SMART patrolling, camera-trapping, Forest Integrity Assessment (FIA)</b>	<ul style="list-style-type: none"> <li>Spatial Monitoring and Reporting Tool (SMART): <a href="https://smartconservationtools.org/">https://smartconservationtools.org/</a></li> <li>ZSL's HCV Threat Monitoring Protocol: <a href="https://hcvnetwork.org/library/hcv-threat-monitoring-protocol/">https://hcvnetwork.org/library/hcv-threat-monitoring-protocol/</a></li> <li>Forest Integrity Assessment (FIA) tool: <a href="https://hcvnetwork.org/library/forest-integrity-assessment-tool">https://hcvnetwork.org/library/forest-integrity-assessment-tool</a></li> </ul>
<b>Threat monitoring using drone/UAV</b>	<ul style="list-style-type: none"> <li>Koh &amp; Wich (2012)'s paper on the use of drones for</li> </ul>

	<p>conservation monitoring</p> <ul style="list-style-type: none"> <li>Engage technical experts</li> </ul>
<b>Element 1: Water catchments in critical situations</b>	
<b>Water quality monitoring</b>	<ul style="list-style-type: none"> <li>Relevant guidelines, manuals on water quality testing</li> </ul>

## Section 6

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. Identification of HCV 5

<b>National designations of this HCV element</b>	<b>Best Available Information for monitoring these HCV designations</b>
<b>Element 1: Sites and resources fundamental for satisfying the basic necessities of local communities (for livelihoods, health, nutrition, water, etc.):</b>	
<b>Presence of NTFPs/natural resources (including from non-forested sources) that are fundamental for satisfying basic necessities of local communities</b>	<ul style="list-style-type: none"> <li>Scientific papers, technical reports etc. on the rights, use and dependence of local communities on natural resources within the MU.</li> <li>Consultation with: <ul style="list-style-type: none"> <li>Relevant local authorities and government agencies</li> <li>specialists such as sociologists, ethnobotanists, NTFP experts etc.</li> <li>local communities to determine their rights, use and dependence on natural resources, and potential environmental impacts from the proposed activities in the MU.</li> <li>relevant organisations (e.g., NGOs) working with the local communities</li> </ul> </li> </ul>
<b>Element 2: Sites and resources fundamental for satisfying the basic necessities of Indigenous Peoples (for livelihoods, health, nutrition, water, etc.):</b>	
<b>Presence of NTFPs/natural resources (Including from non-</b>	<ul style="list-style-type: none"> <li>Scientific papers, technical reports etc. on the rights, use and dependence of Indigenous Peoples on natural</li> </ul>



<p><b>forested sources) that are fundamental for satisfying basic necessities of Indigenous Peoples</b></p>	<p>resources within the MU.</p> <ul style="list-style-type: none"> <li>• Consultation with: <ul style="list-style-type: none"> <li>○ Relevant local authorities and government agencies</li> <li>○ specialists such as sociologists, ethnobotanists, NTFP experts etc.</li> <li>○ Indigenous Peoples to determine their rights, use and dependence on natural resources, and potential environmental impacts from the proposed activities in the MU</li> <li>○ relevant organisations (e.g., NGOs) working with the Indigenous Peoples</li> </ul> </li> <li>• Data on indigenous communities from (where relevant): <ul style="list-style-type: none"> <li>○ Jabatan Kemajuan Orang Asli/Department of Orang Asli Development (JAKOA)</li> <li>○ Majlis Adat Istiadat Sarawak/Council for Customs and Traditions:</li> <li>○ Majlis Hal Ehwal Anak Negeri Sabah</li> <li>○ Sabah Cultural Board</li> <li>○ Borneo Resources Institute (BRIMAS)</li> <li>○ Centre for Orang Asli Concerns (COAC)</li> <li>○ Kadazan Dusun Cultural Association (KDCA)</li> <li>○ PACOS Trust</li> <li>○ Sarawak Dayak Iban Association (SADIA)</li> <li>○ Jaringan Orang Asal Se-Malaysia (JOAS)</li> </ul> </li> </ul>
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B. Assessments for HCV 5

Assessments methods for these HCV designations	Best Available Information to assess these HCV designations
<b>All Elements</b>	
<p><b>When evaluating sites and resources as HCV 5 it is necessary to consult widely and ensure that participatory mapping and social surveys include representatives from minority and vulnerable groups, including women</b></p>	<ul style="list-style-type: none"> <li>• Consultation with:               <ul style="list-style-type: none"> <li>○ relevant local authorities and government agencies</li> <li>○ specialists such as sociologists, ethnobotanists, NTFP experts, etc.</li> <li>○ local communities/Indigenous Peoples to determine their dependence on natural resources, and</li> <li>○ potential environmental impacts from the proposed activity in the MU</li> <li>○ relevant organisations (e.g., NGOs) working with the local communities/Indigenous Peoples</li> </ul> </li> <li>• Participatory community mapping</li> <li>• GIS analysis involving remote sensing data sets and other data sources e.g., on location of NTFP resources, location of community water collection points etc.</li> <li>• Field observations of local community/Indigenous Peoples use of natural resources (hunting, fishing, harvesting of NTFPs) etc.</li> </ul>
<p><b>HCV assessor should understand the concepts of common law and Native Customary Rights and take note of existing rights including user rights on natural resources or areas within the management unit. Native Customary Claims should be identified prior to any development to avoid future conflicts or even legal cases.</b></p>	

C. Strategies for maintaining and enhancing HCV 5

Strategies for maintaining these HCV designations	Best Available Information to maintain these HCV designations
<b>All Elements</b>	
<p><b>Organisation should negotiate with the local communities/Indigenous Peoples about access and use rights to different sites and resources</b></p>	<ul style="list-style-type: none"> <li>• What is considered to be an adequate level of protection for an HCV 5 site should be based on an FPIC process with the relevant local</li> </ul>

through a process of FPIC.	<p>community/Indigenous People</p> <ul style="list-style-type: none"> <li>Relevant NGOs, cultural organisations and experts (e.g., on handicraft) may need to be consulted in order to the increase the value NTFP products and access markets that are beyond the normal reach of local communities/Indigenous Peoples.</li> </ul>
Appropriate management measures (e.g., proper demarcation, signage, regular patrolling) may need to be taken to ensure the HCV 5 area is protected from encroachment or damage.	
Where feasible, Organisations should engage with local communities/Indigenous Peoples to implement sustainable harvesting of NTFPs from within the MU. As there is a risk that NTFPs may become depleted due to over-harvesting, there is a need to ensure that the harvesting does not threaten other HCVs (e.g., HCV 1 and HCV 3) while at the same time ensure an additional source of livelihood for local communities/Indigenous Peoples	
In some cases, rather than allowing for the harvesting of NTFPs within the MU, the Organisation may choose to support the alternative sourcing of NTFPs e.g., rattan farming	

D. Monitoring for HCV 5

Monitoring for these HCV designations	Best Available Information to monitor these HCV designations
<b>All Elements</b>	
Field-based monitoring to detect threats to HCV 5, e.g., SMART patrolling, camera-trapping, Forest Integrity Assessment (FIA)	<ul style="list-style-type: none"> <li>Spatial Monitoring and Reporting Tool (SMART): <a href="https://smartconservationtools.org/">https://smartconservationtools.org/</a></li> <li>ZSL's HCV Threat Monitoring Protocol: <a href="https://hcvnetwork.org/library/hcv-threat-monitoring-protocol/">https://hcvnetwork.org/library/hcv-threat-monitoring-protocol/</a></li> <li>Forest Integrity Assessment (FIA) tool: <a href="https://hcvnetwork.org/library/forest-integrity-">https://hcvnetwork.org/library/forest-integrity-</a></li> </ul>

	<u>assessment-tool</u>
<b>Threat monitoring using drone/UAV</b>	<ul style="list-style-type: none"> <li>• Koh &amp; Wich (2012)'s paper on the use of drones for conservation monitoring</li> <li>• Engage technical experts</li> </ul>

## Section 7

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. Identification of HCV 6

<b>National designations of this HCV element</b>	<b>Best Available Information to identify this HCV designation</b>
<b>All Elements</b>	
<b>International – areas/cultural practices with World Heritage status</b>	<ul style="list-style-type: none"> <li>• UNESCO World Heritage (cultural) sites</li> </ul>
<b>National – areas/cultural practices with national or state heritage values</b>	<ul style="list-style-type: none"> <li>• National Heritage sites</li> </ul>
<b>Local – areas/cultural practices of significant values that are determined by the local communities/Indigenous Peoples themselves.</b>	<ul style="list-style-type: none"> <li>• Consultation with local communities/Indigenous Peoples on presence of sites such as megaliths, religious or sacred sites, burial grounds, geological sites/formations, resources needed for making traditional tools and cultural items, sacred trees, sites where traditional ceremonies or historical events take place; or traditional practices being retained by local communities etc.</li> <li>• Data on traditional customs, cultural practices etc. from: <ul style="list-style-type: none"> <li>○ Government agencies – e.g., Jabatan Kemajuan Orang Asli/ Department of Orang Asli Development (JAKOA); Majlis Adat Istiadat Sarawak/Council for Customs and Traditions; Majlis Hal Ehwat Anak Negeri Sabah; Sabah Cultural Board</li> <li>○ NGOs – e.g., Borneo Resources Institute</li> </ul> </li> </ul>

	(BRIMAS); Centre for Orang Asli Concerns (COAC); Kadazan Dusun Cultural Association (KDCA); PACOS Trust; Sarawak Dayak Iban Association (SADIA); Jaringan Orang Asal Se-Malaysia (JOAS)
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B. Assessments for HCV 6

Assessments methods for these HCV designations	Best Available Information to assess these HCV designations
<b>All elements</b>	
<p><b>New sites or resources of extraordinary cultural significance may be discovered (e.g., ancient burial sites or prehistoric cave art).</b></p> <p><b>Assessors need to ensure that all claims are established through an FPIC process. The authenticity of cultural sites identified should be verified by the cultural authorities of local communities, or government directives concerning archaeological/cultural sites and resource</b></p>	<ul style="list-style-type: none"> <li>• Consultation with: <ul style="list-style-type: none"> <li>○ anthropologists, historians, archaeologists, cultural experts, museum authorities and other relevant government agencies on the presence of cultural values in the management unit and surrounding landscape</li> <li>○ local communities to determine the presence and location of cultural values and potential environmental impacts from the proposed activity in the management unit</li> <li>○ relevant organisations working on community development with the communities in question (or other similar communities in the area)</li> </ul> </li> <li>• Participatory community mapping</li> <li>• GIS mapping of cultural values</li> <li>• Field observations of traditional practices, cultural sites, etc</li> </ul>

C. Strategies for Maintaining and Enhancing HCV 6

Strategies for maintaining these HCV designations	Best Available Information for strategies to maintain these HCV designations
<b>All Elements</b>	

<p><b>Organisation needs to engage with the relevant local communities/Indigenous Peoples via an FPIC process to determine the management strategies for HCV 6 that are adequate and appropriate to maintain or enhance the cultural values present in the MU</b></p>	<ul style="list-style-type: none"> <li>• Consultation with: <ul style="list-style-type: none"> <li>○ local communities/Indigenous Peoples</li> <li>○ anthropologists, historians, archaeologists, cultural experts, museum authorities and other relevant government agencies</li> <li>○ relevant organisations (e.g., NGOs) working with the local communities/Indigenous Peoples.</li> </ul> </li> </ul>
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D. Monitoring for HCV 6

<b>Monitoring for these HCV designations</b>	<b>Best Available Information for monitoring these HCV designations</b>
<b>All Elements</b>	
<p><b>Field-based monitoring to detect threats to HCV 5, e.g., SMART patrolling, camera-trapping, Forest Integrity Assessment (FIA)</b></p>	<ul style="list-style-type: none"> <li>• Spatial Monitoring and Reporting Tool (SMART): <a href="https://smartconservationtools.org/">https://smartconservationtools.org/</a></li> <li>• ZSL's HCV Threat Monitoring Protocol: <a href="https://hcvnetwork.org/library/hcv-threat-monitoring-protocol/">https://hcvnetwork.org/library/hcv-threat-monitoring-protocol/</a></li> <li>• Forest Integrity Assessment (FIA) tool: <a href="https://hcvnetwork.org/library/forest-integrity-assessment-tool">https://hcvnetwork.org/library/forest-integrity-assessment-tool</a></li> </ul>
<p><b>Threat monitoring using drone/UAV</b></p>	<ul style="list-style-type: none"> <li>• Koh &amp; Wich (2012)'s paper on the use of drones for conservation monitoring</li> <li>• Engage technical experts</li> </ul>

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## **Annex G: Guidance on Standard Operating Procedures (SOPs)**

An SOP is a written set of step-by-step instructions on how an internal employee should complete a specific task or process. Its purpose is to ensure the successful outcome of the activity and to make sure the outcome is consistent regardless of who completes the activity.

An SOP document generally comprises of 3 main parts:

- Rationale/background/objective
- Procedures/instructions
- References/glossary of terms used

These main parts can be further elaborated according to the following headings:

- Scope
- Safety and the environment
- Operational description
- Control
- Training
- Operational checklist

Best practices for managing SOPs:

- Formally assign responsibility for each SOP (including updating, etc.) to a specific employee/supervisor
- Set up a system to monitor each SOP to ensure it stays current and relevant. Request that employees report needed changes, updates, or concerns to their supervisor
- Assign approved versions of SOPs a version number, and ensure SOPs are version-controlled documents
- Schedule annual reviews of SOPs or whenever necessitated by certain events like accidents

Best practices for implementing SOPs:

- Training: Employees must be fully aware of the procedures and follow them consistently. Well-designed training sessions on SOPs include hands-on opportunities, where employees use the process as documented, and interactivity, where employees' questions are addressed, to ensure that they know what will be required of them
- Communication: Posters and laminated cards communicating key elements of the SOP (usually in pictorial form) placed in strategic areas ensure key elements of SOPs can be easily viewed by employees
- Monitoring: Verify that SOPs are followed consistently through regular monitoring
- Frequency: Evaluate SOPs on a periodic basis to make sure it stays current. SOP

documentation should be updated and redistributed regularly.

Guidance on the content/elements of SOPs required in the FSC standards:

No	Relevant Indicator	Objective of the SOP	Elements of the SOP
1	1.4.1	To systematically protect the Management Unit from unauthorized or illegal resource use, settlement and other illegal activities.	<ul style="list-style-type: none"> <li>• Identification of potential threats and illegal activities for the Management Unit</li> <li>• Identification of areas where there is high risk of encroachment</li> <li>• Database of local regulatory bodies</li> <li>• Procedures for maintenance of boundary markers, surveillance, enforcement and record-keeping activities</li> </ul>
2	1.6.1 4.6.1	To 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.	<ul style="list-style-type: none"> <li>• Procedures for identification, prevention and resolution of disputes</li> <li>• Procedures for record-keeping and documentation of dispute cases</li> <li>• References to applicable and customary laws</li> <li>• References to available tools for management of disputes</li> <li>• Procedures for ceasing operations where disputes exist</li> <li>• Procedures for engaging affected stakeholders</li> <li>• Role and responsibility of community liaison officer</li> </ul>
3	1.7.3	To ensure bribery, coercion and other acts of corruption do not occur and corrective measures are implemented if corruption does occur.	<ul style="list-style-type: none"> <li>• Procedures for carrying out internal investigations</li> <li>• Procedures for implementing disciplinary actions</li> <li>• Procedures for implementing corrective measures</li> <li>• Procedures for record-keeping of internal investigations carried out, disciplinary actions taken, and implemented corrective measures</li> <li>• References to applicable laws</li> <li>• References to available tools for preventing corruption</li> <li>• References to relevant company policies</li> </ul>

4	2.2.9	To report and eliminate cases of sexual harassment and discrimination based on gender, marital status, parenthood or sexual orientation through confidential and effective mechanisms.	<ul style="list-style-type: none"> <li>• Procedures for identifying cases of sexual harassment and discrimination</li> <li>• Effective and confidential mechanisms and avenues for reporting on sexual harassment and discrimination cases</li> </ul>
5	2.3.1	Health and safety practices to protect workers from occupational safety and health hazards.	<ul style="list-style-type: none"> <li>• General requirements and procedures related to: <ul style="list-style-type: none"> <li>○ General health and safety principles, legal framework, roles and responsibilities</li> <li>○ Safety requirements for tools, machines and hazardous chemicals</li> <li>○ Work clothing and personal protective equipment</li> <li>○ Testing and certification of equipment</li> <li>○ First aid, emergency rescue and occupational health service</li> <li>○ Shelters, housing and nutrition</li> <li>○ Reporting, recording, notification and investigation of occupational accidents and disease</li> </ul> </li> <li>• Technical guidelines for safety and health at the forestry worksite covering general provisions, silviculture, harvesting and high-risk operations</li> <li>• References to the Organization's occupational safety and health hazards policy</li> <li>• References to laws and regulations covering health and safety of workers</li> <li>• References to ILO Code of Practice on Safety and Health in Forestry Work</li> </ul>

6	6.4.2	<p>To 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.</p>	<ul style="list-style-type: none"> <li>• Methodology for identifying rare and threatened species and their habitats in the Management Unit</li> <li>• Database of relevant resource persons</li> <li>• References to relevant information sources</li> <li>• References to list of rare and threatened species and habitats present in the Management Unit</li> <li>• Procedures and references to maps for identifying: <ul style="list-style-type: none"> <li>○ conservation status of species</li> <li>○ geographic range (that extend beyond the Management Unit) of the rare and threatened species that have been recorded within the Management Unit</li> <li>○ ecological requirements (that extend beyond the Management Unit) of the rare and threatened species that have been recorded within the Management Unit</li> </ul> </li> <li>• Procedures for the identification and management of: <ul style="list-style-type: none"> <li>○ conservation zones</li> <li>○ protection areas</li> <li>○ connectivity/wildlife corridors</li> <li>○ other identified direct measures</li> </ul> </li> <li>• Procedures for identifying potential impacts of management activities on rare and threatened species and their conservation status and habitats</li> <li>• Procedures for modifying management activities to avoid negative impacts</li> <li>• Reference to the Organization's policy that the establishment of conservation zones and protected areas is the primary objective of management for rare and threatened species</li> <li>• Procedures for monitoring effectiveness of protection measures implemented</li> </ul>
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7	6.4.4	To manage and control firearms, hunting, fishing, trapping and collecting activities to ensure that naturally occurring native species, their diversity within species and their natural distribution are maintained.	<ul style="list-style-type: none"> <li>• Procedures for: <ul style="list-style-type: none"> <li>○ managing firearms, hunting, trapping, fishing and collecting activities</li> <li>○ controlling illegal use of firearms, hunting, fishing, trapping and collecting activities</li> <li>○ enforcement</li> </ul> </li> <li>• Database of relevant regulatory authorities and conservation organizations</li> <li>• References to applicable national and/or international regulations on protection, hunting and trade in animal species or parts</li> </ul>
8	6.5.2	To identify and protect representative sample areas of native ecosystems and/or restore them to more natural conditions.	<ul style="list-style-type: none"> <li>• Procedures for identifying native ecosystems that exist, or would exist under natural conditions within the Management Unit</li> <li>• Database of resource persons</li> <li>• References to best available information</li> <li>• References to relevant survey reports and maps</li> <li>• Procedures for protecting and/or restoring representative sample areas of native ecosystems in the Management Unit</li> <li>• References to restoration plans</li> <li>• References to other components of the conservation areas network of the Management Unit</li> </ul>
9	6.6.1 6.6.2 6.6.3	To maintain the plant communities and maintain, enhance or restore habitat features found within native ecosystems in which the Management Unit is located.	<ul style="list-style-type: none"> <li>• Procedures for maintaining the plant communities</li> <li>• Procedures for maintaining, enhancing or restoring habitat features</li> <li>• References to restoration plans</li> <li>• References to database and maps of plant communities and habitat features found within native ecosystems in which the Management Unit is located</li> <li>• Database of resource persons/specialists</li> </ul>

10	6.7.1 6.7.2 6.7.3 6.7.4	To protect or restore natural watercourses, water bodies, riparian zones and their connectivity as well as to avoid negative impacts on water quality and quantity and mitigate and remedy those that occur.	<ul style="list-style-type: none"> <li>• References to topographical maps showing natural watercourses, water bodies, and riparian zones within the Management Unit and surrounding areas</li> <li>• References to water quantity and quality data and associated reports</li> <li>• Procedures to protect natural water courses, water bodies, riparian zones and their connectivity</li> <li>• Procedures for modifying measures if ineffective</li> <li>• Procedures for restoring natural watercourses, water bodies, riparian zones and their connectivity, water quality and quantity that have been damaged by past activities and/or third parties on land and water</li> <li>• Procedures for monitoring effectiveness of implemented measures</li> <li>• References to restoration plans</li> </ul>
11	6.8.1	To 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	<ul style="list-style-type: none"> <li>• Procedures for maintaining a varying mosaic of species, sizes, ages, spatial scales, and regeneration cycles appropriate to the landscape</li> <li>• References to relevant survey or inventory reports</li> <li>• Procedures for restoring a mosaic of species, sizes, ages, spatial scales, and regeneration cycles</li> <li>• References to restoration plans</li> <li>• Database of relevant resource persons</li> </ul>
12	8.5.1	To track and trace all products that are marketed as FSC certified.	<ul style="list-style-type: none"> <li>• Procedures for documenting and keeping records of: <ul style="list-style-type: none"> <li>○ log production volumes</li> <li>○ volumes of logs claimed as FSC certified</li> <li>○ volumes of products (timber, sawn timber and non-timber forest products) claimed as FSC certified</li> <li>○ sales of products with an FSC claim</li> </ul> </li> <li>• References to the overall tracking and tracing system</li> </ul>

13	10.3.2 10.3.3	To implement effective mitigation measures to control the spread of alien and/or invasive species outside the area in which they are established.	<ul style="list-style-type: none"> <li>• Procedures for implementing mitigation measures to control the spread of alien and/or invasive species outside the area in which they are established</li> <li>• References to relevant scientific evidence, published research and results of field trials</li> <li>• Database of relevant local experts and government agencies</li> <li>• Procedures to control the invasive impacts of alien species that were not introduced by The Organization</li> </ul>
14	10.6.1 10.6.4	To minimize or avoid the use of fertilizers. When fertilizers are used, protect and prevent damage to environmental values.	<ul style="list-style-type: none"> <li>• Procedures for: <ul style="list-style-type: none"> <li>○ recording and documenting the use of fertilizers for nurseries and field operations</li> <li>○ implementing measures to minimize/avoid fertilizer use e.g. time-release fertilizers, seasonal applications, etc.</li> </ul> </li> <li>• Procedures for: <ul style="list-style-type: none"> <li>○ implementing and recording measures implemented to prevent damage to environmental values because of fertilizer use</li> <li>○ mitigating or repairing damage to environmental values</li> </ul> </li> <li>• References to silvicultural plans, the Organization's policy and documented long-term strategy or plan on</li> </ul>

15	10.7.4	To prevent, mitigate, and/or repair damage to environmental values and human health when pesticides are used.	<ul style="list-style-type: none"> <li>• Procedures for: <ul style="list-style-type: none"> <li>○ maintaining pesticide inventories</li> <li>○ recording and documenting the use of pesticides for nurseries and field operations</li> <li>○ transporting pesticides</li> <li>○ storing pesticides</li> <li>○ handling pesticides</li> <li>○ applying pesticides where methods, timings and patterns of use minimize quantities used, while achieving effective results, provide effective protection to surrounding landscapes and offers the least risk to humans and non-target species</li> <li>○ implementing emergency procedures for cleanup following accidental spillages</li> <li>○ preventing, mitigating or repairing damage to environmental values and human health</li> </ul> </li> <li>• References to the ILO document “Safety in the use of chemicals at work,” FSC’s Pesticide Policy and Malaysian Pesticide Act</li> <li>• References to relevant scientific evidence, published research and results of field trials</li> <li>• References to the Organization’s policy and documented long-term strategy or plan for eliminating</li> </ul>
16	10.8.1 10.8.2	To minimize, monitor and control the use of biological control agents while complying with internationally accepted scientific protocols.	<ul style="list-style-type: none"> <li>• Procedures for: <ul style="list-style-type: none"> <li>○ using biological control agents</li> <li>○ minimizing, monitoring and controlling the use of biological control agents</li> <li>○ recording the type, quantity, period, location and reason for use</li> <li>○ monitoring</li> <li>○ preventing, mitigating or repairing damage to environmental values caused using biological control agents</li> </ul> </li> <li>• References to internationally accepted scientific</li> </ul>



17	10.9.1 10.9.3	To reduce identified risks and mitigate negative impacts from natural hazards on infrastructure, forest resources and communities.	<ul style="list-style-type: none"> <li>• Procedures for: <ul style="list-style-type: none"> <li>○ reducing identified risks</li> <li>○ mitigating negative impacts from natural hazards on infrastructure, forest resources and communities</li> <li>○ monitoring effectiveness of and modifying management activities and/or measures developed to reduce identified risks</li> </ul> </li> </ul>
18	10.10.1 10.10.2 10.10.3	To 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	<ul style="list-style-type: none"> <li>• Procedures for: <ul style="list-style-type: none"> <li>○ managing the development, maintenance and use of infrastructure, as well as transport activities, to protect environmental values</li> <li>○ managing silviculture activities to ensure protection of the environmental values</li> <li>○ preventing, mitigating or repairing any damage to water courses, water bodies, soils, rare and threatened species, habitats, ecosystems and landscape values</li> <li>○ modifying management activities for the purposes of preventing further damage to environmental values</li> </ul> </li> <li>• References to relevant silvicultural plans and</li> </ul>
19	10.12.1	Collection, clean up, transportation and disposal of all waste materials is done in an environmentally appropriate way that conserves	<ul style="list-style-type: none"> <li>• Environmentally appropriate procedures for collecting, cleaning up, transporting and disposing all waste materials</li> <li>• Procedures for maintaining disposal records</li> <li>• Database of contractors and relevant authorities</li> </ul>

## 9. FSC Glossary of Terms

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

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

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

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

**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).

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

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

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

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

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

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

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

**Child:** Any person under the age of 18 (C182, Article 2).

**Collective bargaining:** A voluntary negotiation process between employers or employers' organization and workers' organization\*, with a view to the regulation of terms and conditions of employment by means of collective agreements (C98, Article 4).

**Community Engagement Strategy:** Engagement strategy that should include:

- Determination of the representatives & contact points (in each Indigenous Peoples community) for the various activities in which their engagement is required, including where appropriate, local institutions, organizations and authorities;
- Establishment of a mutually agreed, culturally appropriate communication channel

with each Indigenous Peoples community, allowing for information to flow in both directions;

- Ensuring that all groups are equally represented and included;
- Using the agreed channels to communicate all related information;
- Recording all meetings, all points discussed, and all agreements reached;
- Approval of the content of meeting records; and
- Sharing of the results of all engagement activities with Indigenous Peoples to gain their formal approval of the content and intended use before proceeding.

**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. Confidential information includes sensitive information, for example, locations of salt licks, nesting grounds, etc., where putting such information in the public domain may expose the Management Unit to illegal hunters or poachers.

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

**Connectivity:** A measure of how connected or spatially continuous a corridor, network, or matrix is. The fewer gaps, the higher the connectivity. Related to the structural connectivity concept; functional or behavioral connectivity refers to how connected an area is for a process, such as an animal moving through different types of landscape elements. 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\**.

**Conservation zones and protection areas:** Defined areas that are designated and managed primarily to safeguard species, habitats, ecosystems, natural features or other site-specific values because of their natural environmental or cultural values, or for purposes of monitoring, evaluation or research, not necessarily excluding other management activities. For the purposes of the Principles and Criteria, these terms are used interchangeably, without implying

that one always has a higher degree of conservation or protection than the other. The term 'protected area' is not used for these areas, because this term implies *legal*<sup>\*</sup> or official status, covered by national regulations in many countries. In the context of the Principles and Criteria, management of these areas should involve active conservation, not passive protection (Source: FSC-STD-01-001 V5-2).

**Corruption:** Form of dishonest or unethical conduct by a person entrusted with a position of authority, often to acquire personal benefit. Corruption may include many activities including bribery and embezzlement, though it may also involve practices that are legal in many countries (Source: Wikipedia). Other corrupt practices include fraud, collusion, coercion, theft, extortion and blackmail.

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

**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*<sup>\*</sup> infrastructure (roads, dams, buildings etc.). The notion of criticality here refers to the importance and risk for natural resources and environmental and socio-economic values (Source: FSC-STD-01-001 V5-2).

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

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

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

**Customary rights:** Rights which result from a long series of habitual or customary actions, constantly repeated, which have, by such repetition and by uninterrupted acquiescence, acquired the force of a law within a geographical or sociological unit (Source: FSC-STD-01-001 V4-0).

**Discrimination:** includes - a) any distinction, exclusion or preference made on the basis of race, colour, sex, religion, political opinion, national extraction, social origin or 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' organizations\*, where such exist, and with other appropriate bodies (adapted from C111, Article1). 'Sexual orientation' was added to the definition provided in C111, as it has been identified as an additional type of discrimination\* which may occur.

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

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

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

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

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

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

**Ecosystem function:** An intrinsic ecosystem characteristic related to the set of conditions and processes whereby an ecosystem maintains its integrity (such as primary productivity, food chain, biogeochemical cycles). Ecosystem functions include such processes as decomposition, production, nutrient cycling, and fluxes of nutrients and energy. For FSC purposes, this definition includes ecological and evolutionary processes such as gene flow and disturbance regimes, regeneration cycles and ecological seral development (succession) stages. (Source: based on R. Hassan, R. Scholes and N. Ash. 2005. Ecosystems and Human Well-being:

Synthesis. The Millennium Ecosystem Assessment Series. Island Press, Washington DC; and R.F. Noss. 1990. Indicators for monitoring biodiversity: a hierarchical approach. Conservation Biology 4(4):355–364).

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

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

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

**Employment and Occupation:** Includes access to vocational training, access to employment and to particular occupations, and terms and conditions of employment (C111, Article 1.3).

**Engaging / engagement:** The process by which *The Organization\** communicates, consults and/or provides for the participation of interested and/or affected stakeholders ensuring that their concerns, desires, expectations, needs, rights and opportunities are considered in the establishment, implementation and updating of the *management plan\** (Source: FSC-STD-01-001 V5-2).

**Environmental Impact Assessment (EIA):** Systematic process used to identify potential environmental and social impacts of proposed projects, to evaluate alternative approaches, and to design and incorporate appropriate prevention, mitigation, management and monitoring measures (Source: based on Environmental impact assessment, guidelines for FAO field projects. Food and agriculture organization of the United Nations (FAO). Rome, FSC-STD-01-001 V5-2).

**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).

**Externalities:** The positive and negative impacts of activities on stakeholders that are not directly involved in those activities, or on a natural resource or the environment, which do not

usually enter standard cost accounting systems, such that the market prices of the products of those activities do not reflect the full costs or benefits (Source: FSC-STD-01-001 V5-2).

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

**Fertilizer:** Mineral or organic substances, most commonly N, P<sub>2</sub>O<sub>5</sub> and K<sub>2</sub>O, which are applied to soil for the purpose of enhancing plant growth.

**Fibre Testing:** A suite of wood identification technologies used to identify the family, genus, species and origin of solid wood and fibre based products.

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

**Forced or compulsory labour:** Work or service exacted from any person under the menace of any penalty and for which the said person has not offered himself/ herself voluntarily (C 29, Article 2.1).

**Forest:** A tract of land dominated by trees (Source: FSC-STD-01-001 V5-2. Derived from FSC Guidelines for Certification Bodies, Scope of Forest Certification, Section 2.1 first published in 1998, and revised as FSC-GUI-20-200 in 2005 and revised again in 2010 as FSC-DIR-20-007 FSC Directive on Forest Management Evaluations, ADVICE-20-007-01).

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

**Fragmentation:** The process of dividing habitats into smaller patches, which results in the loss of original habitat, loss in connectivity, reduction in patch size, and increasing isolation of patches. *Fragmentation\** is considered to be one of the single most important factors leading to loss of native species, especially in forested landscapes, and one of the primary causes of the present extinction crisis. In reference to *Intact Forest Landscapes\**, the *fragmentation\** of concern is understood to be that caused by human industrial activities. (Source: adapted from: Gerald E. Heilman, Jr. James R. Strittholt Nicholas C. Slosser Dominick A. Dellasala, BioScience (2002) 52 (5): 411-422.)

**Free, Prior, and Informed Consent (FPIC):** A *legal\** condition whereby a person or community can be said to have given consent to an action prior to its commencement, based upon a clear appreciation and understanding of the facts, implications and future consequences of that action, and the possession of all relevant facts at the time when consent is given. Free, prior and informed consent includes the right to grant, modify, withhold or withdraw approval (Source: based on the Preliminary working paper on the principle of Free, Prior and Informed



Consent of Indigenous Peoples (...) (E/CN.4/Sub.2/AC.4/2004/4 8 July 2004) of the 22nd Session of the United Nations Commission on Human Rights, Sub-commission on the Promotion and Protection of Human Rights, Working Group on Indigenous Populations, 19–23 July 2004).

**FSC Transaction:** Purchase or sale of products with FSC claims on sales documents (Source: ADV-40-004-14).

**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).

**Good faith:** A process of engagement where the parties make every effort to reach an agreement, conduct genuine and constructive negotiations, avoid delays in negotiations, respect agreements concluded and under development, and give sufficient time to discuss and settle disputes (Source: adapted from Motion 40:2017).

**Good Faith in negotiation:** The Organization\* (employer) and workers' organizations\* make every effort to reach an agreement, conduct genuine and constructive negotiations, avoid unjustified delays in negotiations, respect agreements concluded and give sufficient time to discuss and settle collective disputes (Source: Gerning B, Odero A, Guido H (2000), Collective Bargaining: ILO Standards and the Principles of the Supervisory Bodies. International Labour Office, Geneva).

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

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

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

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

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

**Hazardous work (in the context of child labour):** any work which is likely to jeopardise 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 (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 environments which may, for example, 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).

**Heavy work (in the context of child labour):** refers to work which 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, large landscape-level *ecosystems\** and ecosystem mosaics that are *significant\** at global, regional or national levels, and that contain viable populations of the great majority of the naturally occurring species in natural patterns of distribution and abundance.

- HCV 3: Ecosystems and habitats. Rare, threatened, or endangered ecosystems, *habitats\** or *refugia\**.
- HCV 4: Critical ecosystem services. Basic *ecosystem services\** in critical situations, including protection of water catchments and control of erosion of vulnerable soils and slopes.
- HCV 5: Community needs. Sites and resources fundamental for satisfying the basic necessities of local communities or *Indigenous Peoples\** (for example for livelihoods, health, nutrition, water), identified through engagement with these communities or *Indigenous Peoples\**.
- HCV 6: Cultural values. Sites, resources, habitats and *landscapes\** of global or national cultural, archaeological or historical significance, and/or of critical cultural, ecological, economic or religious/sacred importance for the traditional cultures of local communities or *Indigenous Peoples\**, identified through engagement with these local communities or *Indigenous Peoples\**.

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

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

**High Conservation Value assessment report:** The purpose of the report is to give a clear overview of the findings and management decisions, and provide sufficient information for an expert third party to be able to judge whether the identification process and consultation has been adequate to justify management decisions. This should be done in a clear and consistent way, and generally include a final peer review and consultation process to guarantee quality control. All HCV assessment reports should be prepared by licensed HCV assessors under the HCV Assessor Licensing Scheme (ALS) created by the HCV Resource Network and contain the following elements:

- Executive summary: Key findings of the report, including a summary table and maps of the HCVs found in the assessment area and their extent and an overview of the management options identified in order to maintain them.
- Introduction: Overview of the assessment area, background information on the land use manager and scope and purpose of the HCV assessment.
- HCV methodology: The methodology used in the assessment, including:
  - I. Information on the assessment team (this can be a summary of expertise, rather than the names of individuals – CVs should also be included in an annex),
  - II. The data sources used including any data collected specifically for the assessment, and
  - III. Stakeholder consultation processes including a list of stakeholders contacted.
- Landscape context and conservation significance of the assessment area.
- HCVs identified: Each HCV should be clearly described and the decision on

presence or absence should be explained and justified. For each HCV identified as present or potentially present, the location and distribution (e.g. a map) and status should be described, accompanied by a clear explanation of how these conclusions were reached. It is often useful to put detailed analytical data and reports as annexes with the key findings in the main text. All issues raised during the consultation process, and the way in which they influenced the outcome, should be noted.

- Management and monitoring requirements: The specific management objectives and measures to be taken for each HCV should be described (including mapped HCV management areas where appropriate). This should explicitly take into account the landscape context, threat assessment and threat management or mitigation options, giving sufficient detail to show how the value will be maintained or enhanced. There should be a clear record of the consultation process used to develop the HCV management options including any issues raised and how they were resolved. Again, the use of maps is recommended wherever appropriate, while detailed information can be put in annexes.
- Annexes: References to data used (including primary data collected in the field), qualifications of HCV team and reviewers, records of stakeholder consultation, and summary of peer review reports.

Peer review process: The draft HCV report should be subject to review by one or more independent third-party experts prior to being made public. The objective of the peer review is to ensure quality control. A summary of the peer review report(s) should be placed in the annex of the public document, which includes the reviewer's recommendations, and justification for actions taken in response (accepting or rejecting recommendations).

Public availability: A public summary of the report should be made available, which contains all the information which relates to the identification of HCVs or which is relevant to the public understanding of management decisions on HCVs. The summary report may exclude:

- Commercially sensitive information which is not relevant to HCV identification or management, and
- Sensitive information which could be misused by the public (e.g. nesting sites of rare birds, burial sites at risk from grave robbers, etc.).

A draft of the report with recommended HCV management actions should be open for consultation with a wider audience, for a defined period, and the final version should be publicly available (Source: based on Good practice guidelines for High Conservation Value assessments, ProForest, July 2008).

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

North Carolina Division of Forest Resources. March 2009).

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

- Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87)
- Right to Organise and Collective Bargaining Convention, 1949 (No. 98)
- Forced Labour Convention, 1930 (No. 29)
- Abolition of Forced Labour Convention, 1957 (No. 105)
- Minimum Age Convention, 1973 (No. 138)
- Worst Forms of Child Labour Convention, 1999 (No. 182)
- Equal Remuneration Convention, 1951 (No. 100)
- Discrimination (Employment and Occupation) Convention, 1958 (No. 111)

(Source: FSC report on generic criteria and indicators based on ILO Core Conventions principles, 2017).

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

- Freedom of association and the effective recognition of the right to *collective bargaining\**;
- The elimination of all forms of *forced or compulsory labour\**;
- The effective abolition of *child\** labour; and
- The elimination of *discrimination\** in respect of *employment and occupation\**.

(Source: FSC report on generic criteria and indicators based on ILO Core Conventions principles, 2017).

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

**Indigenous cultural landscapes:** *Indigenous cultural landscapes\** are living landscapes to which *Indigenous Peoples\** attribute environmental, social, cultural and economic value because of their enduring relationship with the land, water, fauna, flora and spirits and their

present and future importance to their cultural identity. An *Indigenous cultural landscape*\* is characterized by features that have been maintained through long-term interactions based on land-care knowledge, and adaptive livelihood practices. They are landscapes over which *Indigenous Peoples*\* exercise responsibility for stewardship. **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).

**Industrial activity:** Industrial forest and resource management activities such as road building, mining, dams, urban development and timber harvesting.

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

**Intact Forest Landscape:** a territory within today's global extent of forest cover which contains forest and non-forest ecosystems minimally influenced by human economic activity, with an area of at least 500 km<sup>2</sup> (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)

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

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

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

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

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

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

**Legally competent:** Mandated in law to perform a certain function (Source: FSC-STD-01-001 V5-2). Legally competent authorities are regulatory agencies that are bound by their gazette

powers.

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

**Legal status:** The way in which the *Management Unit*\* is classified according to law. In terms of tenure, it means the category of tenure, such as communal land or leasehold or freehold or State land or government land, etc. If the *Management Unit*\* is being converted from one category to another (for example, from State land to communal indigenous land) the status includes the current position in the transition process. In terms of administration, legal status could mean that the land is owned by the nation as a whole, is administered on behalf of the nation by a government department and is leased by a government Ministry to a private sector operator through a concession (Source: FSC-STD-01-001 V5-2).

**Light work:** *National laws*\* or regulations may permit the employment or work of persons 13 to 15 years of age on light work which is - a) not likely to be harmful to their health or development; and b) not such as to prejudice their attendance at school, their participation in vocational orientation or training programmes approved by the competent authority or their capacity to benefit from the instruction received (Source: ILO Convention 138, Article 7).

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

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

**Local laws:** The whole suite of primary and secondary laws (acts, ordinances, statutes, decrees) which is limited in application to a particular geographic district within a national territory, as well as secondary regulations, and tertiary administrative procedures (rules / requirements) that derive their authority directly and explicitly from these primary and secondary laws. Laws derive authority ultimately from the Westphalian concept of sovereignty of the Nation State (Source: FSC-STD-01-001 V5-2).

**Local provenance:** Many native plants occur across a broad geographic range. However,



within that range, different populations of a particular species may change slightly to become specifically adapted to local conditions and individual habitats. Different populations containing local genetic variations are called provenances. It is important to preserve these different provenances, as each provenance is unique (Source: Native Plants Society – Australia).

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

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

**Management plan:** The collection of documents, reports, records and maps that describe, justify and regulate the activities carried out by any manager, staff or organization within or in relation to the *Management Unit*<sup>\*</sup>, including statements of objectives and policies (Source: FSC-STD-01-001 V5-2).

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

**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*<sup>\*</sup>. This area or areas include(s):

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

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

**Managerial control:** Responsibility of the kind defined for corporate directors of commercial enterprises in national commercial law and treated by FSC as applicable also to public sector organizations (Source: FSC-STD-01-001 V5-2).

**Minimum age (of employment):** is not less than the age of finishing compulsory education, and which in any case, should not be less than 15 years. However, a country, whose economy and educational facilities are insufficiently developed, may initially specify a minimum age of 14 years. National laws<sup>\*</sup> may also permit the employment of 13-15-year-olds in light work<sup>\*</sup> which is neither prejudicial to school attendance, nor harmful to a child's<sup>\*</sup> health or development. The ages 12-13 can apply for light work<sup>\*</sup> in countries that specify a minimum age of 14 (C 138,

Article 2).

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

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

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

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

'Natural forest' includes the following categories:

- Forest affected by harvesting or other disturbances, in which trees are being or have been regenerated by a combination of natural and artificial regeneration with species typical of natural forests in that site, and where many of the above-ground and below-ground characteristics of the natural forest are still present. In boreal and north temperate forests which are naturally composed of only one or few tree species, a combination of natural and artificial regeneration to regenerate forest of the same native species, with most of the principal characteristics and key elements of native ecosystems of that site, is not by itself considered as conversion to plantations;
- Natural forests which are maintained by traditional silvicultural practices including natural or assisted natural regeneration;
- Well-developed secondary or colonizing forest of native species which has regenerated in non-forest areas;
- The definition of 'natural forest' may include areas described as wooded ecosystems, woodland and savannah.

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

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

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

Thresholds and guidelines may cover areas such as:

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

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

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

**Non-round log output:** Any timber that has been subject to any manufacturing process and includes boards, planks, scathings, veneer and plywood and also sawn flitches, barks and cants.

**Non-timber forest products (NTFP):** All products other than timber derived from the

*Management Unit\** (Source: FSC-STD-01-001 V5-2).

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

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

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

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

**Occupational injuries:** Any personal injury, disease or death resulting from an occupational accident (Source: International Labour Organization (ILO). Bureau of Library and Information Services. ILO Thesaurus as provided on ILO website).

**Oral record/history:** The collection and study of historical information about individuals, families, important events, or everyday life using audiotapes, videotapes, or transcriptions of planned interviews (Source: Wikipedia).

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

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

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

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

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

descriptions or examples, such as:

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

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

**Post-harvesting plan:** A plan of activities to be implemented after harvesting operations, which would normally include cross drain installation, bridge and culvert removal, landing reshaping, post-harvest inventory and silvicultural treatments where necessary.

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

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

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

**Protection:** See definition of Conservation.

**Protection Area:** See definition of Conservation Zone.

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

**Rare species:** Species that are uncommon or scarce, but not classified as threatened. These species are located in geographically restricted areas or specific habitats or are scantily scattered on a large scale. They are approximately equivalent to the IUCN (2001) category of Near Threatened (NT), including species that are close to qualifying for, or are likely to qualify

for, a threatened category in the near future. They are also approximately equivalent to imperiled species (Source: based on IUCN. (2001). IUCN Red List Categories and Criteria: Version 3.1. IUCN Species Survival Commission. IUCN. Gland, Switzerland and Cambridge, UK).

**Ratified:** The process by which an international law, convention or agreement (including multilateral environmental agreement) is legally approved by a national legislature or equivalent *legal\** mechanism, such that the international law, convention or agreement becomes automatically part of national law or sets in motion the development of national law to give the same *legal\** effect (Source: FSC-STD-01-001 V5-2).

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

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

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

**Remuneration:** Includes the ordinary, basic or minimum wage or salary and any additional emoluments whatsoever payable directly or indirectly, whether in cash or in kind, by the employer to the worker and arising out of the *workers\** employment (Source: ILO Convention 100, Article1a).

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

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

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

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

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

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

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

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

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

**Significant:** Sufficiently great or important to be worthy of attention; noteworthy.

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

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

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

**Silviculture:** The art and science of controlling the establishment, growth, composition, health and quality of forests and woodlands to meet the targeted diverse needs and values of landowners and society on a sustainable basis (Source: Nieuwenhuis, M. 2000. Terminology

of Forest Management. IUFRO World Series Vol. 9. IUFRO 4.04.07 SilvaPlan and SilvaVoc).

**Stakeholder:** See definitions for 'affected stakeholder' and 'interested stakeholder'.

**Standard Operating Procedures:** (or) SOPs are a set of procedures, standing orders, protocols, guidelines or step-by-step instructions compiled by an organization to help workers carry out routine operations. SOPs aim to achieve efficiency, quality output and uniformity of performance, while reducing miscommunication and failure to comply to industry regulations (Source: adapted from Wikipedia).

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

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

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

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

**Timber harvesting level:** The actual harvest quantity executed on *the Management Unit*, tracked by either volume (e.g. cubic meters or board feet) or area (e.g. hectares or acres) metrics for the purpose of comparison with calculated (maximum) allowable harvest levels. Calculations of timber harvesting levels shall be based on an analysis that includes at a minimum:

- A precautionary approach that reflects the quality of information used;
- Up-to-date growth and yield information;
- Up-to-date inventory;
- Areas available for harvest;
- Volume reductions caused by mortality and decay as well as natural disturbances such as fire, insects and disease;
- Sensitivity analyses of the factors that apply to harvest rate calculations, with specific attention to input estimations and assumptions where data are weak;
- Volume and area reductions to account for protection of social, spiritual, cultural



- and other values identified in P3 and P4;
- Volume and area reductions to account for protection of environmental values identified in P6;
- Management objectives identified in P7;
- Measures to fully maintain and/or enhance High Conservation Values identified in P9;
- Volume and area reductions to account for protection of values identified in P10.

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

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

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

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

**Unauthorized activities:** Examples of unauthorized activities include illegal harvesting, hunting, fishing, trapping, collecting, settlement, etc.

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

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

**Vast majority:** 80% of the total area of *Intact Forest Landscapes\** within the *Management Unit\** as of January 1, 2017. The *vast majority\** also meets or exceeds the minimum definition of *Intact Forest Landscape\**.

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

**Verifiers:** Specify source of the information for the measurements or verification specified in the indicators. In other words, verifiers or means of verification indicate how to acquire evidence

that the objectives have been met and/or where to find proof, which will provide the data/information required for fulfilling each indicator. In these standards, verifiers are generally grouped under 3 types:

- Documents: Includes sighting and examination of the contents of documents to verify compliance,
- Interviews: Includes asking questions and assessing answers to demonstrate awareness and/or understanding of specific subjects, and
- Checks: Includes field observations of physical sites and practices on the ground.

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

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

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

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

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

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

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

Under the Ramsar Convention, wetlands can include tidal mudflats, natural ponds, marshes, potholes, wet meadows, bogs, peatlands, freshwater swamps, mangroves, lakes, rivers and even some coral reefs (Source: IUCN, No Date, IUCN Definitions – English).

**Workers:** All employed persons including public employees as well as 'self-employed' persons. This includes part-time, temporary and seasonal employees, of all ranks and categories, including laborers, administrators, supervisors, executives, manager, contractor employees as well as self-employed contractors and sub-contractors (Source: ILO Convention C155 Occupational Safety and Health Convention, 1981).

**Workers' organization:** Any organization of *workers*\* for furthering and defending the interest of *workers*\* must be duly established under the laws of Malaysia. It is important to note that rules and guidance on composition of workers' organization vary from country to country, especially in relation to those who are considered as rank and file members, as well those who are deemed to have power to "hire and fire". Workers' organizations tend to separate association between those who can "hire and fire" and those who cannot (Source: FSC report on generic criteria and indicators based on ILO Core Conventions principles, 2017).



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