



Forest Stewardship Council®



The FSC Forest Stewardship Standard for India

FSC-STD-IND-01-2022 EN



Standard

Photo Credit

From Left to Right:

Photo 1. Andaman forests (Suresh Gairola, FSC India)

Photo 2. Clonal production centre (T.R. Manoharan, Independent Consultant)

Photo 3. A timber depot in India (T.R. Manoharan, Independent Consultant)

NOTE ON THIS ENGLISH VERSION:

This is the official version of the FSC Forest Stewardship Standard that is approved by FSC International Center, and it is available at 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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Title	The FSC Forest Stewardship Standard for India
Document reference code	FSC-STD-IND-01-2022 EN
Status	Approved
Scope	All forest types <i>(details in section “B.2 Scope of the standard”)</i>
Approval date	21 March 2022
Approval body	Policy and Standards Committee
Publication date	21 June 2022
Effective date	1 September 2022
Transition period¹	12 months from the effective date
Validity period	Until revised, replaced or withdrawn
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¹ The transition period is the timeline in which there is a parallel phase-in of the new version and phase-out of the old version of the standard. Six (6) months after the end of the transition period, certificates issued against the old version are considered invalid.

Table of contents

A	Preface	4
A.1	Descriptive statement of the Forest Stewardship Council (FSC)	4
A.2	Descriptive statement of the Standard Development Group	4
B	Preamble.....	5
B.1	Purpose of the standard.....	5
B.2	Scope of the standard	6
B.3	Responsibility for conformity	6
B.4	Background information on the standard development.....	7
B.5	Note on the use of indicators.....	8
B.6	Interpretations and disputes	9
C	Version of the standard	9
D	Context	9
E	References.....	14
F	Scale, intensity and risk (SIR)	14
G	Principles, criteria and indicators.....	16
	<i>PRINCIPLE* 1: COMPLIANCE WITH LAWS</i>	16
	<i>PRINCIPLE* 2: WORKERS* RIGHTS AND EMPLOYMENT CONDITIONS</i>	21
	<i>PRINCIPLE* 3: INDIGENOUS PEOPLES* RIGHTS</i>	26
	<i>PRINCIPLE* 4: COMMUNITY RELATIONS</i>	30
	<i>PRINCIPLE* 5: BENEFITS FROM THE FOREST*</i>	35
	<i>PRINCIPLE* 6: ENVIRONMENTAL VALUES* AND IMPACTS</i>	38
	<i>PRINCIPLE* 7: MANAGEMENT PLANNING</i>	45
	<i>PRINCIPLE* 8: MONITORING AND ASSESSMENT</i>	49
	<i>PRINCIPLE* 9: HIGH CONSERVATION VALUES*</i>	51
	<i>PRINCIPLE* 10: IMPLEMENTATION OF MANAGEMENT ACTIVITIES</i>	55
H	Annexes.....	61
	Annex A List of <i>applicable laws*</i> , regulations and nationally ratified international treaties, conventions and agreements	61
	Annex B Training requirements for <i>workers*</i>	69
	Annex C <i>Conservation Area Network*</i> conceptual diagram	70
	Annex D Elements of the <i>management plan*</i>	71
	Annex E Conceptual framework for planning and monitoring (for guidance).....	73
	Annex F Monitoring requirements.....	74
	Annex G National <i>High Conservation Values*</i> Framework.....	78
	Annex H List of <i>rare and threatened species*</i> in the country or region.....	98
	Annex I Glossary of terms	99

A Preface

(Informative section)

A.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** maintains the forest's biodiversity, productivity, and ecological processes. Socially beneficial forest management helps both local people and society at large to enjoy long term benefits and also provides strong incentives to local people to sustain the forest resources and adhere to long-term *management plans**. Economically viable forest management means that forest operations are structured and managed so as to be sufficiently profitable, without generating financial profit at the expense of the forest resource, the *ecosystem**, or affected communities. The tension between the need to generate adequate financial returns and the principles of responsible forest operations can be reduced through efforts to market the full range of forest products and services for their best value (FSC A.C. By-Laws, ratified, September 1994; last revision in June 2011).

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 products and services as the result of environmentally appropriate, socially beneficial and economically viable forest management. FSC also sets standards for the development and approval of FSC Stewardship Standards which are based on the FSC Principles and Criteria. In addition, FSC sets standards for the accreditation of Conformity Assessment Bodies (also known as Certification Bodies) that certify compliance with FSC's standards. Based on these standards, FSC provides a system for certification for organizations seeking to market their products as FSC certified.

A.2 Descriptive statement of the Standard Development Group

The Indian Standard Development Group (SDG) is an independent chamber-balanced group representing environmental, economic and social chambers from various organizations. The members have vast experience in their respective fields.

The following members are the final composition of SDG India at the time of submission of the Final Draft FSS to FSC International.

Environmental Chamber	Social Chamber	Economic Chamber
Prof. Prodyut Bhattacharya GGS Indraprastha University	Ms. Gitika Goswami Development Alternatives	Dr. Suneel Pandey ITC Limited

Environmental Chamber	Social Chamber	Economic Chamber
Dr. Sushil Saigal The Nature Conservancy – India	Dr. Sudhir Kumar Sharma Society for Afforestation, Research and Allied Works (SARA)	Mr. Naval Kishore Sharma IKEA India Services Pvt. Limited
Mr. Narendra Mohan WWF India	Mr. Ponkumar Ponnuswamy Building and Wood Worker's International (BWI)	Dr. Pravir Deshmukh CII-ITC Center for Sustainable Development

In addition, Ms Anushree Shukla (IKEA India Services Pvt. Limited) and Ms Rebecca Aranha,(WWF India) were also associated in the early stages of drafting of India FSS. Dr T R Manoharan, FSC International member and former National Representative chaired (non-voting) last three meetings of the Standard Development Group.

B Preamble

B.1 Purpose of the standard

(Informative section)

This standard sets out the required elements against which FSC accredited Certification Bodies shall evaluate forest management practices within the scope (see 2.2 below) of the standard.

The FSC Principles and Criteria (P&C) for Forest Stewardship provides 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 P&C therefore require the addition of indicators that are adapted to regional or national conditions in order to be implemented at the Management Unit (MU) level.

With the approval of FSC-STD-60-004 V1-0 EN the FSC International Generic Indicators (IGI) by the FSC Board of Directors in March 2015, the adaptation of the P&C to regional or national conditions is done using the IGI standard as the starting point (from 1 July 2018, the second version of this document - FSC-STD-60-004 V2-0 EN has been effective). This has the advantage 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 Forest Stewardship Standards;
- Support a faster and more efficient approval process of Forest Stewardship Standards.

The FSC Principles and Criteria together with a set of indicators approved by FSC Policy and Standards Committee (PSC) constitute an FSC Forest Stewardship Standard (FSS).

The development of FSS 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.

B.2 Scope of the standard

(Normative section)

This standard is applicable to all forest operations seeking FSC certification within India. Specifically, this standard shall be applied in the following scope:

Geographic region	India
Forest types	All forest types (including natural forests and plantations)
Ownership types	All types of ownerships, including public, private and others
Scale and intensity categories (according to section 6 of FSC-STD-60-002)	All categories of management units, including small and low intensity managed forests (SLIMFs) <i>(See section F for the applicable SLIMF eligibility criteria for this geographic region)</i>
Forest products (according to FSC-STD-40-004a)	Rough Wood NTFPs: Fruits (edible or non-edible); Sap or gland secretion: gum, resin, oils, rubber/latex; Medicinal plants; Leaves, seeds, barks, nuts, roots, grasses, ferns, lichens, flowers, mushrooms; Stem plants: bamboo, rattan.

Organizations including NTFPs in their certification scope shall conform with specific NTFP indicators (e.g. 1.3.5) and, in addition, with all other applicable indicators in the standard.

B.3 Responsibility for conformity

(Normative section)

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

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

Criteria.

This standard is to be used in conjunction with international, national and local laws and regulations.

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

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

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

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

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

B.4 Background information on the standard development

(Informative section)

The Standard Development Group (SDG) for the development of Forest Stewardship Standard (FSS) of India was established in December 2016. The SDG took part in a stakeholder identification process for each chamber. The technical drafters, in close collaboration with FSC Asia Pacific Regional Office (APRO) and relevant FSC Network Partners (NPs), developed the FSS Draft Zero and presented to the SDG. Over the course of seven months, three meetings were conducted for the SDG to discuss and debate in detail their chamber's proposals and perspectives/ opinions on the FSS. Once a working consensus of the standard was reached, the drafters collected and collated this feedback and input and prepared the standard's first draft in August 2017.

A tender for first public consultation (PC1) was issued in August 2017 by FSC India along with a copy of the standard. The standard's first draft was circulated for feedback via established communication channels along with a systematic follow up with national stakeholders including the consultative forum members. FSC India sent out a formal invitation inviting comments from all stakeholders. Stakeholders were also informed of terms, phrases, relevance of certain indicators to the standard, and other concepts which would require further discussion and inputs from them. Two-day long stakeholder workshops were conducted in Delhi (Northern region) and Hyderabad (Southern region) for an inclusive approach for soliciting stakeholders' comments. PC1 was extended from 60-day consultation period to 75-day consultation period based on the recommendations from SDG members and stakeholders.

After PC1, SDG meeting was conducted to present to the SDG, the consolidated inputs from various stakeholders. The SDG analyzed these inputs and presented their respective chamber's response to the queries raised in PC1. In addition, a day long field exposure visits to Dandeli, Karnataka, to visit small holder FSC certified farmers was conducted. The intention was to introduce the ground status of the smallholder certified farmers in India and understand the key issues faced by them during certification and continuance of certification. Having gathered all inputs, the technical drafters proceeded with formulating the standard's second draft in February 2018.

Field testing was carried out in Sambalpur forest division in Odisha (during 24-29

November 2018) and Nagaon Forest division and BTC Forest division, Kokrajhar in Assam (during 14-19 December 2018) considering high and low intensity forests respectively. The purpose was to undertake a practical test of the application of FSC-FSS India Draft 2.0 and to gain forest manager's feedback on the practical applicability of the draft standard. The methodology included on-site document review, on-site visits and stakeholders' consultation.

In March 2019, SDG meetings were conducted to gather feedback and consensus on different indicators on the forest tested FSS draft for preparing FSC-FSS Draft 3.0 for Public Consultation 2 (PC2). FSS Draft 3.0 was open for Public Consultation 2 starting from 10th April 2019 until 25th May 2019. Public Consultation 2 (PC2) was held with an aim is to introduce environmental, social and economic criteria through a theme-based presentation by experts. Discussion on High Conservation Areas and concept of Scale, Intensity and Risk (SIR) was also held.

After gathering feedback and comments from stakeholders on FSS Draft 3.0 from PC2, SDG meetings were held to drive consensus for preparation of FSS Draft 4.0. Once the consensus was reached from all the chambers, draft 4.0 was produced. The FSS Draft 4.0 (pre-approval) was sent to PSU in February 2020 for its remarks and inputs. The inputs provided by PSU were duly considered by the SDG during their meeting on 15 September 2021 and were suitably incorporated in the India FSS Draft 5.0 and Transfer Matrix. This compliance was further examined by PSU and its additional inputs were considered by SDG in its meeting on 30 October 2021. Accordingly, India FSS Draft 6.0 and Transfer Matrix were prepared and submitted to PSU in the first week of November, 2021.

B.5 Note on the use of indicators

(Normative section)

The numbering pattern followed for the indicators is as follows: Organizations managing Management Units qualifying as SLIMF (small or low-intensity managed forest(s)) shall conform with all indicators in the standard, except those indicated as "Not applicable for SLIMF". Where specific SLIMF indicators exist (marked as "SLIMF"), The Organizations above shall conform with them instead". Indicators not followed by "Not applicable for SLIMF" or "SLIMF", are applicable to all Management Units, regardless of their size or management intensity. Further information is provided in Section 6. Scale, Intensity and Risk (SIR). Some indicators include Verifiers that indicate potential sources of information or evidence that an auditor may find useful in evaluating conformity, such as records, documents, field observations or interviews. Verifiers do not define thresholds for conformity, they may be useful also for the certificate holder for finding means to demonstrate conformity with the indicators. Verifiers are not mandatory.

There are also specific words and phrases used in the writing of indicators which have designated definitions for the purpose of this standard. Such words or phrases are written in italic format followed with (*) symbol whereas the definition, the meaning and its context of interpretation for the purpose of this standard are available in the Glossary section.

Normative elements in the standard are: Scope, effective date, validity period, glossary of terms, principles, criteria, indicators, tables and annexes (as well as other addenda which might be produced in association with this standard) unless indicated otherwise.

Non-normative elements in the standard that can be used for guidance only, are: Verifiers, notes and guidance documents which might be produced in association with this standard.

Verbal forms for the expression of provisions

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

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

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

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

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

B.6 Interpretations and disputes

(Normative section)

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

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

C Version of the standard

(Informative section)

FSC-STD-IND-01-2022 EN

Prior to this version prepared for PSU review (the final draft version, called “pre-approval draft”), five draft versions of the FSS were produced. Draft 01 – prior to first public consultation (PC1), Draft 02 – after first public consultation (PC1) for field testing, Draft 03 – after field testing and before second public consultation (PC2), Draft 04 – after second public consultation (PC2) and submission to PSU, Draft 05 - after considering the remarks and inputs of PSU, and Draft 06 – after considering further remarks and inputs of PSU.

D Context

(Informative section)

India covers an area of 3,287,263 sq. km (1,269,346 sq. mi), extending from the snow-covered Himalayan heights to the tropical rain forests of the south. As the 7th largest country in the world, India is bounded by the Great Himalayas in the north, it stretches southwards and at the Tropic of Cancer, tapers off into the Indian Ocean between the Bay of Bengal on the east and the Arabian Sea on the west.

Lying entirely in the northern hemisphere, the mainland extends between latitudes 8°

4' and 37° 6' north, longitudes 68° 7' and 97° 25' east and measures about 3,214 km from north to south between the extreme latitudes and about 2,933 km from east to west between the extreme longitudes. It has a land frontier of about 15,200 km. The total length of the coastline is 7,516 km.

The mainland comprises of four regions, namely the great mountain zone, plains of the Ganga and the Indus, the desert region, and the southern peninsula. Air pollution control, energy conservation, solid waste management, oil and gas conservation, forest conservation, are some of the key environmental issues tackled by the country.

India is the tenth-most forested country in the world, as well as one of the 17 megadiverse countries. The country is home to nearly 8% of globally known flora and fauna, with forests playing an important role in biodiversity conservation. A unique facet of Indian forests is the crucial role they play in supporting livelihoods of more than 250 million people, including millions of scheduled tribe persons. The non-timber forest product (NTFP) sector is one of the largest unorganized sectors in rural India and supports the livelihoods of millions of people. India's forests contain nearly 17,156 sq. km of water bodies. Forests regulate hydrological cycles by increasing precipitation, recharging aquifers and maintaining the flow of water in rivers. The total forest cover of the country is 712,249 sq km which is 21.67% of the geographical area of the country. The tree cover is estimated as 95,027 sq km which is 2.89% of the geographical area. The total forest and tree cover is 807,276 sq km which is 24.56% of the geographical area. The total growing stock of wood is estimated 5,915 million cu.m. comprising of 4,273 million cu.m. inside forest areas and 1,642 million cu.m. outside recorded forest areas. In the three North-Eastern states of Assam, Meghalaya and Mizoram, substantial forest areas are managed by autonomous district councils.

Trees Outside Forest (TOF) which are defined as 'trees growing outside recorded forests' play a vital role in the social-economic life of rural India and generate valuable ecosystem services in urban and rural parts of the country. Timber and panel products of TOF origin have emerged as the major alternative to timber from forests and thus TOF have significantly obviated pressure from forests. TOF play a significant role in livelihood of rural and urban people of the country both economically and ecologically. *Mangifera indica*, *Azadirachta indica*, *Acacia arabica* and *Cocos nucifera* are the major species found in TOF in rural areas which are contributing most to the total growing stock, whereas *Cocos nucifera*, *Areca catechu*, *Mangifera indica* and *Azadirachta indica* are the major TOF species in the urban areas of the country. The scattered and block plantations contribute more than 90% of the TOF volume of the entire country.

First National Forest Policy (NFP) was enunciated in India in 1894 followed by NFP in 1952 and 1988. Presently NFP is under revision. NFP 1988 lays emphasis on environmental stability, forest conservation and meeting bonafide requirements of the local communities. The policy aims at conserving the natural heritage of the country by preserving natural forests along with their diverse flora and fauna, and genetic resources. One of the commitments made by India in Nationally Determined Contributions (NDCs) under Paris Agreement on climate change is creating an additional carbon Sink of 2.5 to 3.0 billion tonnes CO₂ equivalent through additional forest & tree cover by 2030. Total carbon stock in forest is estimated as 7,124 million tonnes. According to the latest assessment there is an annual increase of 21.3 million tonnes of carbon stock. Soil Organic Carbon (SOC) constitutes 56% of the total carbon stock.

Government of India has provided 'PARIVESH', a web based, role-based workflow application developed for online submission and monitoring of the proposals submitted by the proponents for seeking Environment, Forest, Wildlife and CRZ Clearances from Central, State and district level authorities.

There are about 1750 registered sawmills in the country though the actual number is

likely to be much more. The number of units for pulp, paper and paperboard is 1,185 whereas there are 2,238 units manufacturing plywood, veneer and composite wood. Important forest products in international trade include wood in rough, sawn wood, veneers, plywood, wood coal, resins, bamboos and particle board.

The country is divided into ten bio-geographic zones based on flora and fauna. About 5.03% of the geographical area is under Protected Area Network (PAN) comprising of 104 national parks, 566 wildlife sanctuaries, 97 conservation reserves and 214 community reserves. There are 51 Tiger Reserves, 16 Elephant reserves, 18 Biosphere Reserves, 46 Ramsar wetlands of international importance and 96 Important Bird Areas (IBAs) in the country, some of these areas overlapping with PAN. Rising human-wildlife conflicts are cause of concerns, particularly in forest-fringe areas.

The Government of India has not formally defined 'Indigenous Peoples' and it has not adopted the respective UN definition. Indigenous Peoples for the purpose of this FSS may be identified by the potential Certificate Holders on a case-to-case basis using various criteria including the definition given in the FSS glossary (based on the IGI definition) and this may include Scheduled Tribes among others. However, it cannot be said that Indigenous Peoples can only be found among the Scheduled Tribes in India. India boasts of an ancient civilization and the inhabitants are indigenous in the broad sense. However, Scheduled Tribes (and other forest-based dwellers) have generally a high and customary dependence on forests for their subsistence. Particularly Vulnerable Tribal Groups have been identified by the Government based on pre-agricultural level of technology, low level of literacy, economic backwardness, and a declining or stagnant population. Indigenous Peoples can therefore be identified from those peoples as well. Government has special concern and commitment for the well-being of the Scheduled Tribes (STs) who suffered in the past as a group due to their social and economic backwardness and relative isolation. Article 366 (25) of the Constitution of India defined scheduled tribes as "such tribes or tribal communities or parts of or groups within such tribes or tribal communities as are deemed under Article 342 to be Scheduled Tribes for the purposes of this constitution". Parliament may by law include in or exclude from the list of Scheduled Tribes specified in a notification issued any tribe or tribal community or part of or group within any tribe or tribal community. The official classification of Scheduled Tribes is state-wise, but for the academic purpose some scholars have classified Scheduled Tribes in India on the basis of ethnicity and location. Recognizing the special needs of STs, the Constitution of India made certain special safeguards to protect these communities from all the possible exploitation and thus ensure social justice. While Article 14 confers equal rights and opportunities to all, Article 15 prohibits discrimination against any citizen on the grounds of sex, religion, race, caste etc; Article 15(4) enjoins upon the State to make special provisions for the advancement of any socially and educationally backward classes; Article 16(4) empowers the State to make provisions for reservation in appointments or posts in favour of any backward class of citizens, which in the opinion of the State, is not adequately represented in the services under the State; Article 46 enjoins upon the State to promote with special care the educational and economic interests of the weaker sections of the people and, in particular the STs and promises to protect them from social injustice and all forms of exploitation. Further, while Article 275(1) promises grant-in-aid for promoting the welfare of STs and for raising the level of administration of the Scheduled Areas, Articles 330, 332 and 335 stipulate reservation of seats for STs in the Lok Sabha and in the State Legislative Assemblies and in services. Finally, the Constitution also empowers the State to appoint a Commission to investigate the conditions of the socially and educationally backward classes (Article 340) and to specify those Tribes or Tribal Communities deemed to be as STs (Article 342).

In India, as on 1 October 2021, an area of 106,849 hectares (with 8 Forest

Management certificates) has been certified for FSC forest management. All of these areas are plantations and presently no forest area is under FSC certification. There are 977 valid chain of custody (CoC) certificates. In the past, a number of state forest departments, forest development corporations, companies and private entities obtained FSC FM/CoC certification.

List of key consultants and advisors who assisted the SDG is as follows:

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E References

(Informative section)

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

FSC-POL-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-20-007	<i>Forest Management Evaluations</i>
FSC-STD-30-005	<i>FSC Standard for Group Entities in Forest Management Groups</i>
FSC-PRO-01-005	<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>
FSC-GUI-30-003	<i>FSC Guidelines for the implementation of the right to Free, Prior and Informed Consent (FPIC)</i>
FSC-GUI-60-005	<i>Promoting Gender Equality in National Forest Stewardship Standards</i>

F Scale, intensity and risk (SIR)

(Normative section)

A management unit is classified as SLIMF if it is less than 100 ha in area. The intensity thresholds (as the size threshold) are based on FSC-STD-01-003 V1-0 EN SLIMF Eligibility Criteria. The scale and intensity of SLIMF are given in the table below:

SLIMF eligibility criteria	Threshold (area of Management Units)
Small scale	Area less than 100 ha.
Low intensity	a) the rate of harvesting is less than 20% of the mean annual increment

	<p>(MAI)² within the total production forest area of the unit, AND</p> <p>b) EITHER the annual harvest from the total production forest area is less than 5000 cubic meters,</p> <p>c) OR the average annual harvest from the total production forest is less than 5000 m³ / year during the period of validity of the certificate as verified by harvest reports and surveillance audits.</p>
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Management units from which non-timber forest products (NTFPs) are collected or harvested shall be evaluated as 'low intensity' on the basis of the timber harvest rate. A management unit consisting of natural forest in which only NTFPs are harvested would, therefore, qualify as a 'low intensity' FMU.

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 the 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 seriousness of those consequences; and
- Recognize, through the analysis and sample indicators in the SIR Matrix, of how SIR applies to each Criterion.

The P&C V5 introduced SIR as a new concept 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.

SIR was considered during the development of all indicators in this standard. SIR requirements will also be addressed as a priority during the next review and revision of this standard.

² Where FMU-specific estimates of mean annual increment are unavailable or impractical regional estimates of growth rates for specific forest types may be used.

G Principles, criteria and indicators

(Normative section)

PRINCIPLE* 1: COMPLIANCE WITH LAWS

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

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

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

Verifier Legal registration can mean legal notifications through instruments like Indian Forest Act 1972 for notifying forest area in case of government owned Forests, Societies Registration documents, Cooperative registration document and Company's registration document in other cases, relevant permits, registrations, approvals, clearances etc.

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

Verifier Review of evidences mentioned in 1.1.1.

1.1.3 The organization has specified, in its establishment documents, its objectives and the specific activities that it shall undertake.

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

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

Verifier In case of usufruct agreements, the Organization demonstrates documented evidence of legal use rights as well as technical expertise or required skills to manage the Management Units; Land tenure and use documents.

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

Verifier Land tenure documents.

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

Verifier Land ownership documents and maps.

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

with such rights and obligations.

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

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

Verifier Consultation with management representatives and stakeholders; record of activities performed in non-compliance with applicable laws and regulations.

1.3.2 *The Organization** maintains a list of all applicable fees, transit permits, royalties, duties, taxes and other legally prescribed charges connected with the management of the forest resource.

Verifier Receipts of Registration fee and other payments.

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

Verifier Receipts for registration fee and all applicable payments.

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

Verifier *The Organization** to have a list of applicable laws with reference to activities specified in MP.

1.3.5 When *non-timber forest products** are aimed to human or animal consumption, all applicable legal and administrative requirements for hygiene and food safety are complied with.

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

1.4.1 *The Organization** has identified the threats that the *Management Units** are exposed to from unauthorised activities like illegal harvesting, hunting, fishing, trapping, collecting, settlement etc.

Verifier Identification of threats.

1.4.2 Measures are developed and implemented to provide *protection** from unauthorized or illegal activities.

Verifier Mitigation measures, records of offences and resolution, Numbers of cases booked under Forest Act or/ and with Police. Details of seizure made and persons arrested. Record of eviction of encroachments made in the past. Action taken against the staff for dereliction of duty leading to unauthorised activities in the forests.

1.4.3 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.

1.4.4 If illegal or unauthorized activities are detected, measures are

implemented to address them as per existing legal framework and they are dealt with by appropriate authorities.

Verifier Records of identified activities and measures taken.

- 1.4.5 The organization dedicates sufficient resources (human, financial, infrastructural) to detect and control illegal activities and actively work for their prevention.

Verifier Frequency of occurrence of illegal activities; There is a system of sanction posts in various ranks to manage various works. This should be taken as a measure to assess adequacy of staff in the case of Government-owned forests.

- 1.4.6 *The Organization** explores the opportunities to work with non-state agencies like Non-Governmental Organizations, Village Forest Committees, Joint Forest management Committees, gram panchayats etc., to identify, report, control and discourage unauthorized or illegal activities.

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

- 1.5.1 *The Organization** maintains an up-to-date list of national, state and local laws as well as applicable administrative/regulatory requirements related to transport and trade of forest produce.

Verifier Publications of applicable laws and regulations in the offices or camps.

- 1.5.2 Compliance with applicable *national laws**, *local laws**, *ratified** international conventions, government orders (GOs) and obligatory codes of practice* relating to the production, harvest, transportation and trade of forest products up to the point of first sale is demonstrated.

Note Any case of non-compliance would be resolved with appropriate authority.

Verifier Publications of above laws, regulation and orders that summarizes how the FME respects these including frequency and nature of non-compliance and its resolution.

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

Verifier CITES certificate, LPC etc. issued from CITES Management Authority.

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

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

Verifier Dispute resolution process.

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

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.

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.

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

1.7.1 (Not applicable for SLIMF) A policy is implemented that includes a commitment not to offer or receive bribes of any description.

Verifier Compliance with anti-corruption legislations; Organization's anti-corruption policy.

1.7.1 (SLIMF) A verbal or written declaration not to give or receive bribes is communicated to neighbours, employees, contractors and clients.

Verifier Compliance with anti-corruption legislations; Organization's anti-corruption policy.

1.7.2 The policy meets or exceeds related legislation.

Verifier Review of Policy; Prevention of Corruption Act. 1988; relevant provisions of Indian Penal Code, 1860.

1.7.3 (Not applicable for SLIMF) The policy is *publicly available** at no cost.

Verifier Web site of the Organization.

1.7.3 (SLIMF) The policy is publicly available* at no cost, upon request.

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

Verifier Complaint register, consultation with stakeholders, staff and workers.

1.7.5 (Not applicable for SLIMF) Where corruption occurs, the organization implements corrective measures including reporting a matter to appropriate authorities and taking actions against corruption activities.

1.7.5 (SLIMF) Procedures to undertake internal enquiries, whenever any incidents of corruption are reported or noticed, are established and implemented.

Verifier Review of procedures and records of incidents of corruption reported or Suspected.

1.7.6 Any organizations, contractors or suppliers of *The Organization**, if found to be engaged in corrupt or fraudulent activities, or aiding and abetting corruption, are disassociated and records for the same are maintained.

Verifier Complaint & corruption cases registers; consultation with stakeholders, staff and workers.

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

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

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

Verifier Website, interview with staff and workers.

1.8.3 *The Organization** staff have access to written or electronic copies of the applicable FSC Standards and demonstrate a general level of awareness of the standard, consistent with the level of their responsibilities.

Verifier Interview of staff; Interview of stakeholders at the time of consultation with them by the audit team.

PRINCIPLE* 2: WORKERS*' RIGHTS AND EMPLOYMENT CONDITIONS

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

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

2.1.1 The Organization* does not use child labour*.

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

2.1.1.2 In case of the employment of persons between the ages of 13 to 15 years in light work* in accordance with Child Labour (Prohibition & Regulation) Amendment Act, 2016, such employment should not interfere with schooling nor, be harmful to their health or development. Notably, where children are subject to compulsory education laws, they shall work only outside of school hours during normal day-time working hours.

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

2.1.1.4 *The Organization** has prohibited *worst forms** of *child labour**.

2.1.2 *The Organization** has eliminated all forms of forced and compulsory labour.

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

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

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

2.1.3 *The Organization** has ensured that there is no discrimination in employment and occupation.

2.1.3.1 Employment and *occupation** practices are non-discriminatory.

2.1.3.2 *The Organization** does not discriminate workers on the basis on caste, creed, religion, gender, age, region or sexual orientation.

2.1.4 *The Organization** respects freedom of association and the right to collective bargaining.

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

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

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

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

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

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

Verifier Salary register, employees engagement register, training register and interview of staff by the audit team.

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.

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.

Verifier Interviews of women staff, registered trade unions.

2.2.4 All genders are paid the same wage when they do the same work.

Verifier Salary and allowances Register.

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

Verifier Bank Payment records of office, employees passbook etc.

2.2.6 Maternity Leave and benefits are provided as per the provisions of the Maternity Benefits Act, 1961.

Verifier Leave allowance register, salary slips, etc.

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

2.2.8 Active participation of all genders is ensured and facilitated in

meetings as well as decision making forums.

Verifier Interview with staff and meeting attendance register.

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.

Verifier Interview of concerned staff, complaint register, prevention of sexual harassment and abuse policy.

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

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

2.3.2 (Not applicable for SLIMF) The organization maintains publicly available guidelines and policies covering all aspects of workplace health and safety.

Verifier Interview of stakeholders to confirm about availability of facilities for health and safety.

2.3.2 (SLIMF) The workers are made aware of the health and safety guidelines and work precautions applicable to their activities.

Verifier Training records.

2.3.3 The organization actively engages with the workers and their representative organizations to improve working conditions.

Verifier Interview of the workers, registered trade unions.

2.3.4 Workers* have personal protective equipment appropriate to their assigned tasks.

Verifier Interview of Workers, physical inspection of equipment and operations, procurement list of PPEs, registered trade unions.

2.3.5 Use of personal protective equipment is enforced.

Verifier Physical Verification on work site, training records on PPEs, interview of workers.

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

Verifier Compensation records, medical claims records, accident register, accounting of man-days.

2.3.7 The health and safety practices are reviewed and revised regularly and immediately after occurrence of major incidents or accidents.

Verifier Interview of Workers.

2.4 *The Organization shall pay wages that meet or exceed minimum forest* industry standards or other recognized forest industry wage agreements**

or living wages*, where these are higher than the **legal*** minimum wages. When none of these exist, **The Organization*** shall through **engagement*** with **workers*** develop mechanisms for determining living wages*.

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

Verifier Salary slips, receipts and other records.

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; or
- 4) State specific Daily Minimum Wage Rates; or
- 5) MGNREGA state specific daily wage rates; or
- 6) Industry recognized wage agreements in consultation with workers' representatives including payment for extra working hours; or
- 7) State Forest Schedule rates, where such rates exist.

Verifier Salary records and Interview of workers representatives, registered trade unions.

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

Verifier Wages and Salary records and Interview of workers representative.

2.4.4 Wages, salaries and contracts are paid on time.

Verifier Wages/salary records; Interview with the workers, review of applicable law/wage regulations, contract/agreement, other relevant documents/order etc.

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

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

Verifier Training records.

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

Verifier Training records.

2.5.3 The organization, in consultation with workers, their representatives and local communities, identifies and provides workers with opportunities for training and upskilling to provide avenues for improving their economic well-being.

Verifier Interview of workers and training records, registered trade unions.

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

***diseases**, or *occupational injuries** sustained while working for *The Organization**.**

2.6.1 A dispute resolution mechanism is established through culturally appropriate consultation with workers and their representatives which includes, inter alia,

- a) A mechanism for receipt of complaints, both formal as well as informal, including anonymous complaints
- b) Acknowledgement of receipt of formal complaints
- c) Process of investigation of complaints received.

Verifier Grievance disposal records and Interview of workers and their representatives.

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

Verifier Grievance register/compliant register, actions taken against grievances, feedback form, interview with workers.

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.

Verifier Records of *workers** grievances.

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

Verifier Compensation records, insurance claims, interview with worker's representatives, review of compensation mechanism.

2.6.5 *The Organization** deposes an officer of sufficient rank and seniority, to investigate objectively the grievances raised by the workers, in respect to the provisions of this Principle.

Verifier Details of ombudsman, roles & responsibilities of FME personnel, DSR mechanism.

PRINCIPLE* 3: INDIGENOUS PEOPLES* RIGHTS

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

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

3.1.1 *Indigenous Peoples** that may be affected by management activities are identified and the respective list is documented.

Verifier Office documents and list of scheduled tribes.

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**.

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

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

Note The Organization* can decide when, where and how the Indigenous Peoples* can be informed according to the requirements of Indicator 3.2.1, without compromising those requirements.

3.2.2 *The Organization** has a written commitment, signed by the top management, and publicly available, that it recognizes and respects all the legal and customary rights of indigenous peoples* identified in 3.1.1

- 3.2.3 The *legal** and *customary rights** of *Indigenous Peoples** are not violated by *The Organization**.
- 3.2.4 Where evidence exists that *legal** and *customary rights** of *Indigenous Peoples** related to management activities have been violated the situation is corrected, if necessary, through *culturally appropriate* engagement** and/or through the *dispute** resolution process as required in *Criteria** 1.6 or 4.6.
- 3.2.5 *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.

Note Indicative Guidance Documents for FPIC:

1. FSC-GUI-30-003 - FSC guidelines for the implementation of the right to free, prior and informed consent (FPIC) at <https://ic.fsc.org/en/document-center/id/106>.
2. Free, Prior and Informed Consent, a Manual by Food and Agriculture Organization (FAO).

- 3.2.6 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.
- 3.2.7 Where the customary and traditional use rights have been settled legally, the Organization has in its possession the legal notifications for rights settlement and the orders from competent authorities in this regard are made publicly available.

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

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

- 3.3.2 Records of *binding agreements** are maintained.
- 3.3.3 The *binding agreement** contains the provision for *monitoring** by *Indigenous Peoples** of *The Organization**'s compliance with its terms and conditions, provisions for joint monitoring in case of any discrepancies noted, and mechanisms for dispute resolution.

Note In case where binding agreement is not possible, a signed copy of MoU can be used for purpose.

Verifier Agreements, MoU etc.

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

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

3.4.2 Where evidence that rights, customs and culture of *Indigenous Peoples**, as defined in UNDRIP, ILO Convention 169 and as granted within the Indian legal code, 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.

Verifier Interview with Tribal welfare department, tribal people, local communities and other stakeholders.

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

3.5.1 *The Organization**, through culturally appropriate engagement with *Indigenous People**, identifies sites of special cultural, ecological, social, economic, religious or spiritual significance to them.

Verifier List of sites of special cultural, social, economic, religious or spiritual significance.

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.

3.5.3 Such sites are demarcated on maps, and, where possible, in the field as well and documented in the management plan or any other appropriate document.

Verifier Site maps.

3.5.4 Forest managers and workers are trained in procedures (as per 3.5.2) for protection of such sites of special significance.

Verifier Training documents and training material.

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

Verifier Interviews with Indigenous Peoples*.

- 3.5.6 Identification of special sites of archaeological importance is communicated to the appropriate authorities and the Organization abides by any restrictions or terms of use as imposed by the said authorities for such sites.

Verifier Identification and Communication records.

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

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

Verifier Interview of owners and verification of binding agreement.

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

Verifier Interview of owners and verification of binding agreement.

- 3.6.3 *The Organization* has established and implemented procedures for Access and Benefit Sharing (ABS) with eligible Indigenous Peoples*, if its management activities come under the provisions of the Biological Diversity Act, 2002.*

Verifier Interview of owners and verification of *binding agreement**.

PRINCIPLE* 4: COMMUNITY RELATIONS

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

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

4.1.1 Local communities that exist in the *Management Unit** and/or those that may be affected by management activities (either upstream or downstream) are identified.

Verifier The organization provides the details of local communities that exist in the *Management Unit** and/or affected by management activities.

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

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

Verifier Copy of agreement/MoU/other documents containing above points 1 to 7.

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

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

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

Verifier Interview with stakeholders, records of cases and trials.

4.2.3 Where evidence exists that *legal** and *customary rights** of local communities related to management activities have been violated the

situation is corrected, if necessary, through *culturally appropriate* engagement** and/or through the *dispute** resolution process as required in *Criteria** 1.6 or 4.6.

4.2.4 *Free, prior and informed consent** is granted by *local communities** prior to management activities that affect their identified rights through a process that includes:

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

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.

Verifier Interaction with communities.

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

4.3.1 (Not applicable for SLIMF) *Reasonable** opportunities are communicated and provided to *local communities**, local contractors and local suppliers for:

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

4.3.1 (SLIMF) Qualified people in the local communities are given preferential opportunities in employment and contracting.

4.3.2 *The Organization** gives preference to local vendors of equipment and services, subject to cost considerations.

Verifier Vendors details - name, address etc.

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

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

Verifier Records of meeting with locals and interview with locals, women, youth etc.

4.4.2 (Not applicable for SLIMF) 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.

Verifier Records of meeting with locals and interview with locals, women, youth etc.

4.4.2 (SLIMF) *The Organization** supports activities that contribute to the social and economic development of the area.

Verifier Records of meeting with locals and interview with locals, women, youth etc.

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

4.5.1 (Not applicable for SLIMF) 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.

Verifier EIA-SIA Report.

4.5.1 (SLIMF) When negative social, environmental and economic impact are reported, prevention and mitigation measures are identified and implemented in consultation with local communities.

4.5.2 (Not applicable for SLIMF) *The Organization** conducts such assessment at least once during the lifetime of the management plan, or sooner if there is any significant change in management or scope and scale of operations.

Verifier EIA-SIA report and its validity.

4.5.3 *The Organization** undertakes a due process of stakeholder engagement during the social and environmental assessments, and maintains records.

Verifier List and comments of stakeholders consulted.

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

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

Verifier Organization's websites and notice boards; interview with local communities, etc.

4.6.2 The dispute resolution process has, at the minimum, the following components:

- a) Process for complaint receipt - including formal, informal or anonymous complaints
- b) Acknowledgement of complaints
- c) Time period for attending to the complaint

- d) Setting up an ombudsman authority to investigate any complaints or disputes
- e) Further steps available to the aggrieved parties in case the matter is not resolved to satisfaction.

Verifier Review of DSR process and complaint resolution process.

- 4.6.3 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.

Verifier Records of complaints/grievances addresses and their turn around time.

- 4.6.4 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.

Verifier Record of grievances and interview with local communities.

- 4.6.5 Operations cease in areas while *disputes** exist of:

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

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

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

Verifier List of sites of special cultural, ecological, social, economic, religious or spiritual significance.

- 4.7.2 Measures to map and protect such sites are agreed, documented and implemented through *culturally appropriate** *engagement** with the *local communities**. Such sites are documented, demarcated on maps, and, where possible, in the field. 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.

Verifier Management Plan, Conservation Plan and Measures taken by organization to protect special sites as identified in 4.7.1.

- 4.7.3 Forest managers and workers are trained in procedures for identification and protection of such sites of special significance.

Verifier Training documents and interview with forest managers and workers.

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

Verifier Interviews with local communities.

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

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

Verifier FPIC agreement, interview with owners of traditional knowledge.

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

Verifier Compensation records.

- 4.8.3 *The Organization** has established and implemented procedures for Access and Benefit Sharing (ABS) agreed with *local communities** and as directed by applicable laws and conventions.

PRINCIPLE* 5: BENEFITS FROM THE FOREST*

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

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

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

Note Please refer glossary for definition of *ecosystem services** and refer resources related to ForCES – Forest Certification for Ecosystem Services” at <http://forces.fsc.org/>.

Verifier List of resources and services identified.

5.1.2 (Not applicable for SLIMF) Consistent with *management objectives**, the identified benefits and products, including extraction and collection, are produced by *the Organization** and/or made available for others to produce, to strengthen and diversify the local economy.

Verifier Records relating to harvest and disposal of forest produce.

5.1.2 (SLIMF) *The Organization** engages with local stakeholders to identify and facilitate the utilization of forest resources, consistent with management objectives, to strengthen and diversify the local economy.

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

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

5.2.1 *Timber harvesting levels** are based on sustained yield principles and analysis of current Best Available Information on growth and yield; inventory of the *forest**; mortality rates; and maintenance of ecosystem functions.

Verifier Timber harvesting/extraction plan and rationale for harvesting level; approved forest management plan (for state forests); Best Available Information can be defined as total quantum of extractable forest produce, based on independent assessment methodologies or a combination of empirical data and published literature.

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.

Verifier Timber harvesting/extraction plan, AAC, MAI, and rationale for harvesting level.

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.

Verifier Production/depot records.

5.2.4 Annual harvests are determined at sustainable levels and the overall timber stock is increasing over time, until the optimum level is achieved.

Verifier Production/depot records and Management Plan objectives.

5.2.5 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**, including:

- a) Independent assessment methodologies
- b) Combination of empirical data and published literature
- c) Conservative growth and yield estimates.
- d) Working Plan prescriptions based on National Working Plan Code.

Verifier Methodology used, prescription under Working Plan, interview with forest workers, timber harvesting /extraction records.

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

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

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

Verifier Management plan, interview with stakeholders.

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

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

Verifier Product group list.

5.4.2 Reasonable* attempts are made to establish and encourage capacity where local goods, services, processing and value-added facilities are not available, subject to operational costs and quality considerations.

Verifier Interview with forest workers.

5.5 *The Organization shall demonstrate through its planning and**

expenditures proportionate to *scale, intensity and risk, its commitment to long-term* economic viability*.**

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

5.5.2 (Not applicable for SLIMF) Expenditures and investments are made to implement the management plan* to meet this standard and to ensure long-term* economic viability*.

Verifier Annual budget plan.

5.5.2 (SLIMF) *The Organization** demonstrates the long term economic viability of its management operations.

Verifier Long term budget plan.

5.5.3 (Not applicable for SLIMF) *The Organization** undertakes a periodic review of the economics of the operations, including present income generation activities, present and proposed investments, cash flow and adherence to management objectives, to ensure that the economic viability of *The Organization** is ensured in the long term.

PRINCIPLE* 6: ENVIRONMENTAL VALUES* AND IMPACTS

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

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

6.1.1 (Not applicable for SLIMF) *Best Available Information** is used to identify *environmental values** within, and, where potentially affected by management activities, outside of the *Management Unit**.

Verifier Sources used to identify environmental values.

6.1.1 (SLIMF) *The Organization** engages with local stakeholders and the MU neighbours to identify the environment values within and outside the management unit that are, or may be, affected by management activities.

6.1.2 (Not applicable for SLIMF) 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.

6.1.2 (SLIMF) *The Organization** is aware of the negative impacts of its management activities on the environmental values and the necessary mitigation/conservation measures.

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

6.2.1 (Not applicable for SLIMF) An *environmental impact assessment** identifies potential present and future impacts of management activities on *environmental values**, from the stand level to the landscape level.

Verifier EIA report.

6.2.1 (SLIMF) *The Organization** identifies negative impacts of its management activities on environmental values.

6.2.2 (Not applicable for SLIMF) The *environmental impact assessment** identifies and assesses the impacts of the management activities prior to the start of site-disturbing activities.

Verifier EIA report.

6.2.2 (SLIMF) *The Organization** paying attention to any present or potential negative impact, assesses impacts prior to the management interventions in the *Management Unit**.

6.2.3 (Not applicable for SLIMF) A mid-cycle Environmental Impact Assessment identifies impacts of the management activities during forest management operations and is undertaken at least once during the validity period of FSC certificate.

Note Mid-cycle means mid of the validity period of FSC certificate. This is required in case -

- a) any potential impacts were not identified in the initial phase or were overlooked, but became visible only once the site disturbing activities were commenced, then a mid-cycle EIA is required to take cognizance of these impacts as well, so that mitigation measures may be developed and enforced
- b) the initial EIA would have put in place certain mitigation or prevention measures to reduce or minimize the impact of forest management activities. A mid-cycle review is required to look both at the levels of implementation as well as the effectiveness of these mitigation measures.

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

6.3.1 Management activities are planned and implemented to prevent negative impacts and to protect environmental values, as mentioned in criteria 6.1.

Verifier Management Plan, Practices and Standard Operating Procedures (SOPs).

6.3.2 Management activities prevent negative impacts to environmental values*.

Verifier Management Plan, Practices and Standard Operating Procedures (SOPs), Environmental Impact Assessment (EIA) report.

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

Verifier Verification of mitigation measures taken.

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

determining the measures to be taken inside the *Management Unit*^{*}.

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

Verifier List of RTE species identified.

6.4.1 (Not applicable for SLIMF) Where information on presence of rare, threatened and endangered species, both within and adjacent to the management unit is deficient, the Organization undertakes research to identify the extent and spread of the population/ habitat of the such *rare, threatened and endangered species*^{*}, both within and adjacent to the *Management Unit*^{*}.

6.4.2 (Not applicable for SLIMF) Habitats or distribution areas of rare, threatened and endangered species within or adjacent to the Management unit are identified and demarcated in the field, marked on maps and designated as 'no go' areas, with zero anthropogenic intervention, except for conservation purposes.

6.4.2 (SLIMF) *Rare, threatened and endangered species*^{*} and their *habitats*^{*} or distribution areas within the FMU identified and marked on maps.

6.4.3 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.

Verifier Environmental Impact Assessment (EIA) report.

6.4.4 The *rare, endangered 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.

Verifier RTE protection measures, Management Plan and Field verification.

6.4.5 Hunting, fishing, trapping and collection of rare or threatened species^{*} is prohibited under Schedules 1-6 of the Wildlife (Protection) Act, 1972 and this prohibition is enforced.

Verifier Offence register, details of seizure list and arrest of offenders.

6.4.6 Workers are aware of endangered, endemic, rare and threatened species of flora and fauna found in the Management Unit and are trained in their protection and conservation.

Verifier Interview with stakeholders, Management Plan and training records.

6.5 *The Organization*^{*} shall identify and protect *Representative Sample Areas*^{*} of native *ecosystems*^{*} and/or restore^{*} them to more *natural conditions*^{*}. Where *Representative Sample Areas*^{*} do not exist or are insufficient, *The Organization*^{*} shall restore^{*} a proportion of the *Management Unit*^{*} to more *natural conditions*^{*}. The size of the areas and the measures taken for their *protection*^{*} or *restoration*^{*}, including within

plantations, shall be proportionate to the *conservation** status and value of the *ecosystems** at the *landscape** level, and the *scale, intensity and risk** of management activities.

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

Verifier Interview of local people, stakeholders, tribals, etc., review of past Management Plans.

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

Verifier Maps and details of Representative Sample Areas (RSAs).

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**.

Verifier Details of ecosystems – their natural conditions; proposed RSA management plan.

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.

Verifier Size, scale, environmental values and conservation measures for MU and RSA.

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**.

Verifier Area details of MU and RSA.

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.

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

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

Verifier Botanical studies/inventory by NGOs, researchers, different

institutions, EIA, etc. Interview with locals and forest workers.

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

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.

Verifier Botanical studies/inventory by NGOs, researchers, different institutions, EIA report, provisions under Management plan to conserve and protect local biodiversity, interview with locals and forest workers.

6.6.4 Effective measures are taken to prevent hunting, fishing, trapping and collecting activities, so as to ensure that naturally occurring *native species**, their diversity within species and their natural distribution are maintained, unless otherwise established in laws/legal/customary rights.

Verifier Offence register, field verification, complaint register, list of native flora & fauna and stakeholders' consultation.

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

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

These include, at a minimum:

- a) Establishing buffer zones to conserve water and soil at the banks of rivers and streams or around water bodies; these buffer zones are marked on the FMU maps.
- b) Avoiding significant damage to catchments within the forests
- c) Control of any soil disturbing activities in areas with slope greater than 30%
- d) Ensuring adequate vegetation cover using native vegetation or cover crops on clear felled or recently cleared areas etc.

Verifier Measures of conserving water bodies, Interview with locals and Forest workers, Maps of water bodies and field visit.

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.

Verifier Measures of conserving water bodies, Interview with locals and Forest workers, Maps of water bodies and field visit.

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.

Verifier Measures of conserving water bodies, activities of past management plan, Interview with locals and forest workers, maps of water bodies and field visit.

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

Verifier Measures of conserving water bodies, Interview with locals and forest workers, maps of water bodies and field visit.

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

6.8.1 Written guidelines for the maintenance, conservation and enhancement of biological diversity (ecosystem/landscape/species/genetic diversity) are developed and implemented.

Verifier Interview with forest workers, Management Plan prescription for regeneration activities and field visit.

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

Verifier Interview with forest workers, Management Plan prescription for regeneration activities and field visit.

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

Verifier Interview with forest workers, Management Plan prescription for regeneration activities and field visit.

6.8.4 *The Organization** incorporates conservation of native biological diversity, including species, wildlife habitats and ecological community types at stand and landscape levels.

Verifier Management Plan.

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

- a) ***Affects a very limited portion* of the area of the Management Unit*, and***
- b) ***Will produce clear, substantial, additional, secure long-term conservation* benefits in the Management Unit*, and***
- c) ***Does not damage or threaten High Conservation Values*, nor any sites or resources necessary to maintain or enhance those High Conservation Values*.***

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

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

Verifier Field verification.

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

- a) Clear and sufficient evidence is provided that *The Organization** was not directly or indirectly responsible for the conversion, or
- b) The conversion affected a *very limited portion** of the area of the *Management Unit** and is producing clear, substantial, additional, secure long-term *conservation** benefits in the *Management Unit**.

6.10.1 *The Organization** has collected *Best Available Information** and data on all conversions that have happened in the *Management Unit**, both prior to and post 1994.

Verifier Past Management Plan, details of establishment and conversion.

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**.

Verifier Review of present/past Management Plan, stakeholder consultation and Interview with forest managers & locals.

PRINCIPLE* 7: MANAGEMENT PLANNING

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

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

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

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

7.1.3 Sufficient resources are invested in management plan* development and implementation, to ensure the development of a functional, effective and implementable management plan*, containing all elements of Annex D.

Applicability Note This indicator does not apply to micro landholders (less than 20 hectares).

7.1.4 (Not applicable for SLIMF) Summaries of the defined policies and management objectives* are included in the management plan* and publicized.

7.1.4 (SLIMF) Summaries of the management objectives* are included in the management plan* and are available upon request.

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

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

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

Note Following attributes may also be included:

- i. Land ownership details and use rights
- ii. Site specific plans for nurseries and plantations
- iii. Responsibility matrix

Applicability Note This indicator does not apply to micro landholders (less than 20 hectares).

7.2.3 Appropriate to the scale and intensity of forest operations, the management, staff as well as contractors are trained in their roles in implementation of the *management plan**.

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

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

Note Examples of *verifiable targets** to be established include:

- Site productivity, yield of all products harvested;
- Growth rates, regeneration and condition of the vegetation;
- Composition and observed changes in the flora and fauna;
- Water quality and quantity;
- Soil erosion, compaction, fertility and carbon content;
- Wildlife populations, *biodiversity** and status of *High Conservation Values**;
- Sensitive cultural and environmental resources;
- Stakeholder satisfaction with *engagement**;
- Benefits of management operations provided to *local communities**;
- Number of *occupational accidents**;
- Area of *Intact Forest Landscape** *protected** as *Core Areas** and
- Overall *economic viability** of the *Management Unit**.

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

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

- *Monitoring** results, including results of certification audits;
- Evaluation results;
- Stakeholder *engagement** results;
- New scientific and technical information, and
- Changing environmental, social, or economic circumstances.

7.4.2 (Not applicable for SLIMF) While revising and updating the *management plan**, *The Organization* refers to the previous *management plans** with respect to outputs of management cycles, previous direction of management, major deviations from past plans as well as the results of previous plan implementation.

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

reproduction and handling.

7.5.1 (Not applicable for SLIMF) 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.

Note The public summary may be

- Displayed on the website of the organization
- Made available in the Organization office and/or site offices for public to access.

7.5.1 (SLIMF) A summary of the *management plan** and map is made available to stakeholders upon request at no cost.

7.5.2 The public summary of the *management plan** is updated as and when *management plan** changes.

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

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

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

- 1) *Dispute** resolution processes (*Criterion**1.6, *Criterion** 2.6, *Criterion** 4.6);
- 2) Definition of *Living wages** (*Criterion** 2.4);
- 3) Identification of rights (*Criterion** 3.1, *Criterion** 4.1), *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).

7.6.2 (Not applicable for SLIMF) *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.

7.6.2 (SLIMF) *The Organization** engages neighboring communities and

adjacent landowners to ensure the elements of 7.6.1 1)-5) are incorporated in the planning and management strategies.

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.

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.

7.6.5 (Not applicable for SLIMF) The Organization undertakes a process of stakeholder mapping to identify the range of affected stakeholders. *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.

PRINCIPLE* 8: MONITORING AND ASSESSMENT

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

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

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

8.1.2 Monitoring protocols and procedures are designed to be consistent with management objectives and replicable over time.

8.1.3 Written records of the results of the monitoring against pre-defined indicators are maintained.

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

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

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

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

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

Verifier Old and updated management plans.

8.3.2 *The Organization** establishes and implements a system of periodic management review of monitoring indicators in achieving the objectives of forest management.

Verifier Management plans and review records.

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

Verifier Management plan and monitoring results.

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

8.4.1 (Not applicable for SLIMF) A summary of the *monitoring** results consistent with Annex F, in a format comprehensible to stakeholders including maps and excluding *confidential information** is made *publicly available** at no cost.

8.4.1 (SLIMF) *The Organization**, upon request, makes available the results of

its monitoring to the stakeholders at no cost.

8.4.2 *The Organization** updates the public summary of monitoring results on annual basis.

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

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

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

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

- 1) Common and scientific species name;
- 2) Product name or description;
- 3) Volume (or quantity) of product;
- 4) Information to trace the material to the source of origin logging block;
- 5) Harvesting date;
- 6) Sale date
- 7) Balance summary (logged, sold, unsold inventory, balance in coupe due for felling that season)
- 8) If basic processing activities take place in the forest, the date and volume produced; and
- 9) Whether or not the material was sold as FSC certified.

Verifier Production register, depot. records and sale register.

8.5.3 Sales invoices or similar documentation and transport documents are kept for a minimum of five years for all products sold with an FSC claim (including NTFPs), 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.
- 8) Name and address of the Organization.

Verifier Sales invoices and transport documents.

PRINCIPLE* 9: HIGH CONSERVATION VALUES*

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

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

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

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

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

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

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

HCV 6 – Cultural values. Sites, resources, *habitats and *landscapes** of global or national cultural, archaeological or historical significance, and/or of *critical** cultural, ecological, economic or religious/sacred importance for the traditional cultures of *local communities** or *Indigenous Peoples**, identified through engagement with these *local communities** or *Indigenous Peoples**. (C9.1 P&C V4 and Motion 2014#7)**

9.1.1 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 (Annex G), and their condition.

Note Within the framework of **Best Available Information***, the Organization should also consult with stakeholders, researchers and government officials to identify and record the location and status of HCVs. Further, in addition to the above, the Organization should utilize the following:

- i. WWF-Proforest HCVF assessment toolkit,
- ii. Provisions in Schedule 1-6 of the Wildlife (Protection) Act, 1972
- iii. Forest Inventory data and Forest Survey of India (FSI) reports
- iv. National conservation databases
- v. State Biodiversity Document and Biodiversity Register according to Biodiversity Act, 2002

vi. FSC-GUI-30-009 High Conservation Value Guidance for Forest Managers.

9.1.2 This assessment includes identification of Intact Forest Landscapes*(IFL), as of January 1, 2017.

Note Visit <http://www.intactforests.org/concept.html> for more information. In India, The intact forest landscapes are located in the Himalayas, Andaman & Nicobar Islands, Western Ghats and Sunderbans.

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

Note Threat assessment would need to include, among other sources:

- a) Interviews with experts
- b) Stakeholder engagement
- c) National conservation databases
- d) Pre-existing management plans for the region.

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

9.2.1 Threats to *High Conservation Values** are identified using Best Available Information* (Annex G).

Verifier Consultation with stakeholders and assessment records.

Note Threat assessment would need to include, among other sources:

- a) Interviews with experts
- b) Stakeholder engagement
- c) National conservation databases
- d) Pre-existing management plans for the region.

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** (Annex G) prior to implementing potentially harmful management activities. The following order of priorities is applied with respect to the management strategies and activities for HCVs:

1. Avoidance of impacts
2. Minimization of impacts
3. Restoration/Rehabilitation of HCV attributes that had been damaged by previous management activities
4. Off-setting of irrecoverable damage by proactive conservation activities in other areas where the HCV attributes are under threat.

Verifier Management Plan and field verification.

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

Verifier Interview with affected stakeholders and field verification.

9.2.4 Management strategies are developed to *protect* Intact Forest Landscape (IFL) core areas**.

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

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

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

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

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

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

Verifier Field verification.

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.

Verifier Field verification.

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

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

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

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

9.4.1 A program of periodic *monitoring** (Annex G) 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**.

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

Verifier Interview of affected and interested stakeholders.

- 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**.

- 9.4.4 Measurable effectiveness indicators in monitoring program record the changes in the HCV attributes because of management activities, both positive and negative.

Verifier Monitoring record.

- 9.4.5 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**.

- 9.4.6 (Not applicable for SLIMF) The summary of the results of monitoring and the progress on management of the HCV attributes is made publicly available.

Verifier Monitoring results and updated records relating to HCV management.

- 9.4.6 (SLIMF) *The Organization**, on request, makes available the results of its HCV management and monitoring to affected and interested stakeholders.

- 9.4.7 The effectiveness of HCV conservation actions is measured based on the progress on the indicators outlined in 9.4.4.

Verifier Monitoring record.

PRINCIPLE* 10: IMPLEMENTATION OF MANAGEMENT ACTIVITIES

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

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

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

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

Verifier Management plan and field verification.

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**.

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

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

10.2.2 Where native species of local provenance are not found suitable, the Organization introduces non-native species and/or provenances only after documented field trials or empirical evidence demonstrates their suitability to the site as well as fulfillment of management objectives.

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

10.2.4 Information about the seed stock and/or provenance details is recorded and maintained in the *management plan** or other suitable documents.

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

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

- Verifier** Research records of alien species and consultation with the experts.
- 10.3.2 *Alien species** are used only when effective mitigation measures are in place to control their spread outside the area in which they are established.
- Verifier** Research records of alien species and consultation with the experts.
- 10.3.3 The spread of *invasive species** introduced by *The Organization** is controlled.
- 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**.
- Verifier** Study of expertise of regulatory agency.
- 10.4 The Organization* shall not use genetically modified organisms* in the Management Unit*.**
- 10.4.1 Genetically modified organisms* are not used.
- Verifier** Field verification and workers interview.
- 10.5 The Organization* shall use silvicultural practices that are ecologically appropriate for the vegetation, species, sites and management objectives*.**
- 10.5.1 Silvicultural practices are implemented that are ecologically appropriate for the vegetation, species, sites and management objectives*.
- 10.5.2 Prescriptions for the establishment, tending, maintenance and harvest of forest areas are designed and implemented with considerations for soil health and productivity.
- 10.6 The Organization* shall minimize or avoid the use of fertilizers*. When fertilizers* are used, The Organization* shall demonstrate that use is equally or more ecologically and economically beneficial than use of silvicultural systems that do not require fertilizers*, and prevent, mitigate, and/or repair damage to environmental values*, including soils.**
- 10.6.1 The use of *fertilizers** is minimized or avoided.
- Verifier** Verification of stock register.
- 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**.
- Verifier** Study of growth of plantation in two systems.
- 10.6.3 When *fertilizers** are used, their types, rates, frequencies and site of application are documented.
- Verifier** Verification of plantation journal.
- 10.6.4 When *fertilizers** are used, *environmental values** are protected, including through implementation of measures to prevent damage.

Note The respective measures should include:

- a) Designation of buffer zones around water bodies as well as critical/endangered ecosystems;
- b) imposition of spatial and temporal gaps between fertilizer application series, including repeat application of fertilizers as well as use of different types of fertilizers
- c) in agroforestry conditions, the total fertilizer load should be accounted for, including the fertilizer used for the agriculture crop in addition to the forest crop
- d) Specific measures need to be implemented to ensure that fertilizer usage does not affect food cultivation in an agroforestry system.

Verifier Efficacy study of measures to prevent damage.

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

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

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

Verifier Stock register and field verification.

10.7.2 The use of pesticides complies with FSC Pesticide Policy FSC-POL-30-001 V3-0.

Verifier Nursery, warehouses and stores.

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.

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 clean up following accidental spillages.

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

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

10.7.7 When *pesticides** are used:

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

Verifier Study of characteristics of pesticide used.

10.7.8 *The Organization** provides adequate supervision and training to all personnel and contractors in the transport, storage, manipulation and application of chemical pesticides.

Verifier Training records and stakeholders' interview.

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

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

Verifier Stock register.

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

Verifier *The Organization**'s instruction record for use of biological control agents and interview of workers.

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

Verifier Verification of nursery records.

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

Verifier Verification of nursery records.

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

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

10.9.2 (Not applicable for SLIMF) Management activities mitigate these impacts.

Note For cyclone prone areas, the organization may attempt to mitigate or reduce the impacts by proactive management activities viz.,

- 1) Establishment of windbreaks and shelterbelts
- 2) Planting along annual wind flow directions to reduce resistance
- 3) Optimized species selection e.g. selection of species like Casuarina etc. which have a very diffused and porous leaf structure, along with a propensity to bend along with the wind, reduces the extent and possibility of damage due to heavy winds during the cyclones, as opposed to other species

Verifier Records of steps taken by the management.

10.9.2 (SLIMF) Management activities attempt to mitigate these impacts.

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.

10.9.4 (Not applicable for SLIMF) Management activities are modified and/or measures are developed and implemented that reduce the identified *risks**.

Verifier Management Plan.

10.9.4 (SLIMF) *The Organization** undertakes measures to reduce the impacts from identified risks, either by itself, or in alignment with activities undertaken by local government agencies or existing mechanisms.

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

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

Verifier Records of various measures.

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

Verifier Field verification.

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

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

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

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

10.11.3 Log landings and on-site processing (if any) are kept to the smallest practical size and number, while minimizing loss to the environmental values as well as loss of productive forest area.

10.11.4 *The Organization** establishes field guidelines for in situ retention of biomass left on site (including lops and tops, leaves, stumps, small branches etc.), consistent with the nature of the species and the

terrain.

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

10.11.6 The guidelines recognize the ecological value of the biomass and its role in recycling of nutrients and are implemented.

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

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

H Annexes to a Forest Stewardship Standard

(Normative section)

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

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

NATIONAL POLICIES AND ACTION PLANS

- The Destructive Insects and Pests Act, 1914
- The Prevention of Cruelty to Animals Act, 1960
- The Customs Act, 1962
- Customs Tariff Act, 1975
- National Forest Policy, 1988
- National Forestry Action Program, 1992
- The Destructive Insects and Pests (Amendment and Validation) Act, 1992
- National Environmental Action Plan, 1993
- Customs Tariff (Identification, Assessment And Collection Of Countervailing Duty On Subsidized Articles And For Determination Of Injury) Rules, 1995
- National Zoo Policy, 1998
- National Policy and Macro-Level Action Strategy on Biodiversity, 1999
- National Agricultural Policy, 2000
- National Population Policy, 2000
- Protection of Plant Varieties and Farmers' Rights Act, 2001
- National Wildlife Conservation Strategy, 2002
- National Water Policy, 2002
- National Seeds Policy, 2002
- Plant Quarantine Order (Regulation of Import into India), 2003
- National Environment Policy, 2006
- National Action Plan on Climate Change, 2008
- National Biodiversity Strategy and Action Plan, 2008
- National Livestock Policy, 2013
- National Agroforestry Policy, 2014
- National Biodiversity Strategy and Action Plan Addendum, 2014
- National Wildlife Action Plan 2017-2031
- National Mineral Policy, 2019

- National Fisheries Policy, 2020
- National Forestry Research Plan, 2020-30
- National Biotechnology Development Strategy, 2021-25
- National Action Plan on Climate Change
- National Conservation Strategy and Policy Statement for Environment and
- The Export and Import Policy of Government of India
- National REDD+ Strategy

CENTRAL ACTS AND RULES

Forest Conservation

- The Indian Forest Act, 1927
- Indian Forest Act, 1927 (as modified by various states)
- Forest (Conservation) Act, 1980
- Forest (Conservation) Rules, 2003
- Forest (Conservation) Amendment Rules, 2004
- The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006
- The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Rules, 2007
- The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Amendment Rules, 2012
- Forest (Conservation) Amendment Rules, 2014
- Compensatory Afforestation Fund Act, 2016
- Forest (Conservation) Amendment Rules, 2017
- Compensatory Afforestation Fund Rules, 2018
- The Indian Forest (Amendment) Act, 2017

Biodiversity

- The Biological Diversity Act, 2002
- Biological Diversity Rules, 2004

Wildlife

- The Wildlife (Protection) Act, 1972
- Wild Life (Stock Declaration) Central Rules, 1973
- Wild Life (Transactions and Taxidermy) Rules, 1973

- Wild Life (Protection) Licensing (Additional Matters For Consideration) Rules, 1983
- Recognition of Zoo Rules, 1992
- Wild Life (Protection) Rules, 1991 and 1995
- National Tiger Conservation Authority (Tiger Conservation Foundation) Guidelines, 2007
- Recognition of Zoo Rules, 2009

1.

Coastal regulation zone

- CRZ Notification, 2011

Environmental clearance – general

- Environmental Impact Assessment Notification-2006

Environment protection

- The Environment (Protection) Act, 1986
- Wetlands (Conservation and Management) Rules, 2010
- Guidelines for Declaration of Eco-Sensitive Zones around National Parks and Wildlife Sanctuaries, 2011

Air pollution

- The Air (Prevention and Control of Pollution) Act 1981

Water pollution

- The Water (Prevention and Control of Pollution) Cess Act, 1977
- The Water (Prevention and Control of Pollution) Act 1974

Noise pollution

- The Noise Pollution and Abatement Act, 1972

National Green Tribunal

- National Green Tribunal Act, 2010

Public liability insurance

- The Public Liability Insurance Act 1991

Land acquisition and relief & rehabilitation

- Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013

Arbitration and alternative dispute resolution

- Arbitration and Conciliation Act, 1996

Labour, wages and industrial relations

- The Workmen's Compensation Act, 1923
- The Trade Unions Act, 1926
- The Payment of Wages Act, 1936
- The Children (Pledging of Labour) Act 1938
- The Employers' Liability Act, 1938
- The Weekly Holidays Act, 1942
- The Industrial Employment (Standing Orders) Act, 1946
- The Mica Mines Labour Welfare Fund Act, 1946
- The Industrial Disputes Act, 1947
- Dock Workers (Regulation of Employment) Act, 1948
- The Employees' State Insurance Act, 1948
- The Factories Act, 1948
- The Minimum Wages Act, 1948
- The Plantation Labour Act, 1951
- The Employees' Provident Fund and Miscellaneous Provisions Act, 1952
- The Working Journalists and Other Newspapers Employees (Conditions of Service) and Miscellaneous Provisions Act, 1955
- Merchant Shipping Act, 1958
- Working Journalists (Fixation of Rates of Wages Act, 1958
- The Employment Exchange (Compulsory Notification of Vacancies) Act, 1959
- The Apprentices Act, 1961
- The Maternity Benefit Act, 1961
- The Motor Transport Workers Act, 1961
- The Personal Injuries (Emergency Provisions) Act, 1962
- The Personal Injuries (Compensation Insurance) Act, 1963
- The Payment of Bonus Act, 1965
- The Beedi and Cigar Workers (Conditions of Employment) Act, 1966
- The Contract Labour (Regulation and Abolition) Act, 1970
- The Limestone and Dolomite Mines Labour Welfare Fund Act, 1972
- The Payment of Gratuity Act, 1972

- Sales Promotion Employees Act, 1976
- The Beedi Workers Welfare Cess Act, 1976
- The Beedi Workers Welfare Fund Act, 1976
- The Bonded Labour System (Abolition) Act, 1976
- The Equal Remuneration Act, 1976
- The Iron Ore Mines, Manganese Ore Mines and Chrome Ore Mines Labour Welfare (Cess) Act, 1976
- The Iron Ore Mines, Manganese Ore Mines and Chrome Ore Mines Labour Welfare Fund Act, 1976
- The Sales Promotion Employees (Conditions of Service) Act, 1976
- The Inter-State Migrant Workmen (Regulation of Employment and Conditions of Service) Act, 1979
- The Cine Workers and Cinema Theatre Workers (Regulation of Employment) Act, 1981
- The Cine Workers Welfare Fund Act, 1981
- The Cine Workers Welfare (Cess) Act, 1981
- Dangerous Machines (Regulation) Act, 1983
- The Dock Workers (Safety, Health and Welfare) Act, 1986
- The Child and Adolescent Labour (Prohibition and Begulatbn) Act, 1986
- The Labour Laws (Exemption from Furnishing Returns and Maintaining Registers by Certain Establishments) Act, 1988
- The Building and Other Construction Workers Cess Act, 1996
- The Building and Other Constructions Workers' (Regulation of Employment and Conditions of Service) Act, 1996
- Dock Workers (Regulation of Employment) (Inapplicability to Major Ports) Act, 1997
- Private Security Agencies (Regulation) Act, 2005
- Unorganized Workers Social Security Act, 2008

Mining

- The Mines Act, 1952
- The Mines and Minerals (Development and Regulation) Act, 1957
- The Mines and Minerals (Development and Regulation) Amendment Act, 2015

Coal mining

- Coal Mines Provident Fund and Miscellaneous Provisions Act, 1948
- Mines & Minerals (Development & Regulation) Act, 1957
- Coal Bearing Areas Acquisition & Development Act, 1957

- The Coking Coal Mines (Emergency Provisions) Act, 1971
- The Coking Coal Mines (Nationalization) Act, 1972
- The Coal Mines (Nationalization) Act, 1973
- The Coal Mines (Taking Over of Management) Act, 1973
- The Coking & Non Coking Coal Mines (Nationalization) Amendment Act, 1973
- Coal Mines (Conservation & Development) Act, 1974The Coal Mines (Nationalization) Amendment Act, 1976
- The Coal Mines Nationalization Laws (Amendment) Act, 1978
- The Coal Mines Nationalization Law (Amendment) Act, 1986
- The Coal India (Regulation of Transfers and Validation) Act, 2000

Atomic energy and atomic minerals mining

- The Atomic Energy Act, 1962
- The Civil Liability for Nuclear Damage Act, 2010

Other relevant laws and rules

- The Destructive Insects and Pests Act, 1914
- The Insecticides Act, 1968
- The Insecticides Rules, 1971
- Marine Products Export Development Authority Act, 1972
- Marine Products Export Development Authority Rules, 1972
- The Destructive Insects and Pests (Amendment and Validation) Act, 1992
- Plant Quarantine Order, 2003 (Consolidated version)
- Model Agricultural Produce Market Committee Act, 2003
- Model Agricultural Produce Market Committee Rules, 2007
- The Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013
- The Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Rules, 2013
- The Farmers Produce Trade and Commerce (Promotion and Facilitation) Act 2020
- The Farmers' Produce Trade and Commerce (Promotion and Facilitation) Rules, 2020
- The Farmers Empowerment and Protection Agreement On Price Assurance and Farm Services Act, 2020
- Foreign Trade (Development & Regulation) Act, 1992
- National Working Plan Code, 2014

INTERNATIONAL TREATIES, CONVENTIONS AND AGREEMENTS

- Convention Relative to the Preservation of Fauna and Flora in their Natural State, 1933
- International Plant Protection Convention, 1951
- International Convention for the Prevention on Pollution of the Sea by Oil, 1954
- The Antarctica Treaty, 1959
- Convention Concerning the Protection of the World Cultural and Natural Heritage, 1971
- Convention on Wetlands of International Importance, Especially as Waterfowl Habitat, 1971
- Convention on International Trade in Endangered Species of Wild Fauna and Flora, 1973
- Convention on the Conservation of Migratory Species of Wild Animals, 1979
- Convention on the Conservation of Antarctica Marine Living Resources, 1980
- United Nations Convention on the Law of the Sea, 1982
- Convention on Early Notification of a Nuclear Accident, 1986
- Protocol on Substances That Deplete the Ozone Layer, Montreal, 1987
- Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal, 1989
- Convention on the Prior Informed Procedure for Certain Hazardous Chemicals and Pesticides in International Trade, 1990
- Amendments to the Montreal Protocol on Substances that Deplete the Ozone Layer, London, 1990
- Protocol on Environmental Protection to the Antarctica Treaty, 1991
- Convention on Biological Diversity, Rio de Janeiro, 1992
- United Nations Framework Convention on Climate Change, 1992
- United Nations Framework Convention on Climate Change – ratified 1993
- International Tropical Timber Agreement, 1994
- Agreement relating to the Implementation of Part XI of the UNCLOS 1982, 1994
- Convention to Combat Desertification in those Countries Experiencing Serious Drought and/or Desertification, Particularly in Africa, 1994
- Protocol to the United Nations Convention on Climate Change, 1997
- Cartagena Protocol on Biosafety, 2000
- Convention on Biological Diversity – ratified 1994; Cartagena Protocol on Biosafety – ratified 2003
- Stockholm Convention on Persistent Organic Pollutants – ratified 2006
- International Tropical Timber Organization – ratified 2008
- UN Framework Convention on Climate Change: Paris Agreement - ratified 2016

INTERNATIONAL LABOUR ORGANIZATION

The following information is from India's Ministry of Labour and Employment's website <https://labour.gov.in/lcandilasdivision/india-ilo> accessed on 1 September, 2021

Core Conventions of the ILO: The eight Core Conventions of the ILO (also called fundamental/human rights conventions) are:

- Forced Labour Convention (No. 29)
- Abolition of Forced Labour Convention (No.105)
- Equal Remuneration Convention (No.100)
- Discrimination (Employment Occupation) Convention (No.111)
- Minimum Age Convention (No.138)
- Worst forms of Child Labour Convention (No.182)

(The above Six have been ratified by India)

- Freedom of Association and Protection of Right to Organised Convention (No.87)
- Right to Organise and Collective Bargaining Convention (No.98)

(These two have not been ratified by India)

Other ILO information

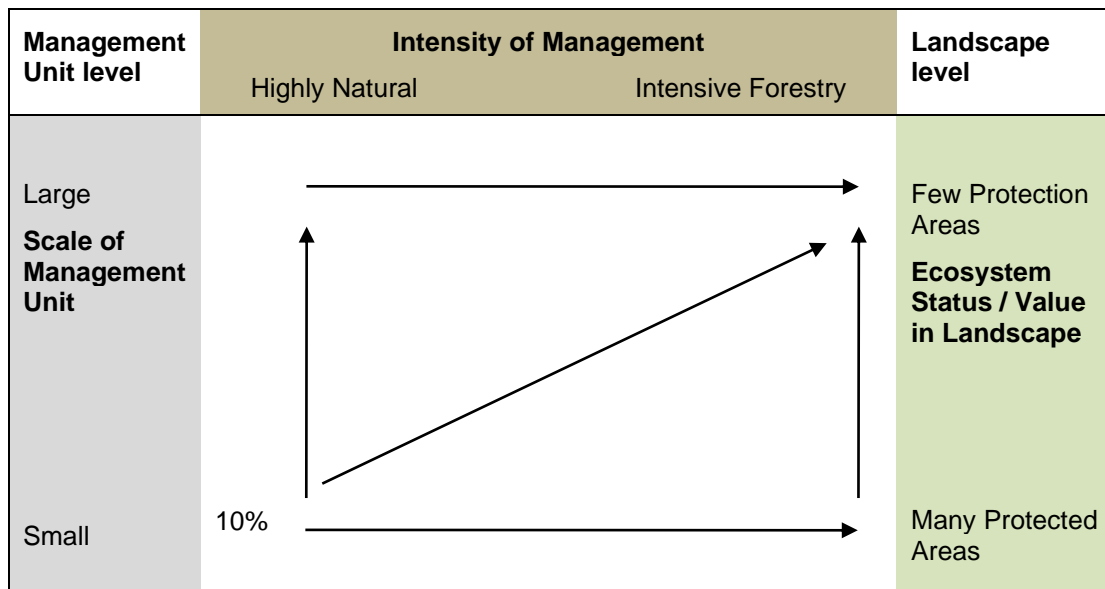
- A full list of ILO Conventions ratified by India can be accessed at: <https://labour.gov.in/lcandilasdivision/india-ilo>
- Safety and health in forestry work (ILO. Safety and health in forestry work: An ILO code of practice Geneva, International Labour Office, 1998. ISBN 92-2-110826-0.

Annex B Training requirements for *workers**

Workers shall be able to:

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

Annex C *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**

Applicability Note Annex D does not apply to micro landholders (less than 20 hectares)

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

- identified in *Criterion* 5.1*;
- iii. Social Values and *Indigenous cultural landscapes**, as identified in Principle 2 to Principle 5 and Principle 9.
 - 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. *Ecosystem services** when FSC ecosystem services claims are used as identified in *Criterion* 5.1*;
 - iii. *Environmental values**, as identified in Principle 6
 - iv. Operational impacts, as identified in Principle 10;
 - v. *High Conservation Values**, as identified in Principle 9;
 - vi. Monitoring systems based on stakeholder *engagement** planned or in place, as identified in Principle 2 to Principle 5 and Principle 7;
 - vii. Maps describing the natural resources and land use zoning on the *Management Unit**.
 - viii. Description of the methodology to assess and *monitor** any development and land use options allowed in *Intact Forest Landscapes** and *core areas** including their effectiveness in implementing the *precautionary approach**;
 - ix. Description of the methodology to assess and *monitor** any development and land use options allowed in *Indigenous cultural landscapes** including their effectiveness in implementing the *precautionary approach**; and
 - x. Global Forest Watch map, or more accurate national or regional map, describing the natural resources and land use zoning on the Management Unit*, including the *Intact Forest Landscapes* core areas**
6. National Working Plan Code

Annex E Conceptual framework for planning and monitoring (for guidance)

Sample Management Plan* Document Note: These will vary with SIR and jurisdiction	Management Plan* Revision Periodicity	Element Being Monitored (Partial List)	Monitoring Periodicity	Who Monitors This Element? Note: These will vary with SIR and jurisdiction	FSC Principle* / Criterion*
Site Plan (Harvest Plan)	Annual	Creek crossings	When in the field and annually	Operational staff	P10
		Roads	When in the field and annually	Operational staff	P10
		Retention patches	Annually sample	Operational staff	P6, P10
		Rare Threatened and Endangered species	Annually	Consulting Biologist	P6
		Annual harvest levels	Annually	Woodlands Manager	C5.2
		Insect disease outbreaks	Annually, sample	Consulting Biologist / Ministry of Forests	
Budgeting	Annual	Expenditures	Annually	Chief Financial Officer	P5
		Contribution to local economy	Quarterly	General Manager	P5
Engagement* Plan	Annual	Employment statistics	Annually	General Manager	P3, P4
		Social Agreements	Annually, or as agreed in Engagement* Plan	Social Coordinator	P3, P4
		Grievances	Ongoing	Human Resources Manager	P2, P3, P4
5-Year management plan*	5 years	Wildlife populations	To be determined	Ministry of Environment	P6
		Coarse Woody Debris	Annually	Ministry of Forests	P10
		Free growing / regeneration	Annually, sample		
Sustainable Forestry management plan*	10 years	Age class distribution Size class distribution	Ten years	Ministry of Environment	P6
		10 year Allowable Annual Cut	Annually, ten years	Ministry of Forests / Woodlands manager	C5.2
Ecosystem Services Certification Document	5 years	Prior to validation and verification	Prior to validation and verification	General Manager	FSC-PRO-30-006

Annex F Monitoring requirements

PART A (only applicable for large (i. e. non-SLIMF) operation):

The Monitoring requirements include monitoring of the elements mentioned in the Management Plan and those as outlined below:

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

- x. The identification of *Indigenous Peoples** and *local communities** and their *legal** and *customary rights** (Criterion 3.1 and Criterion 4.1);
 - xi. Full implementation of the terms in *binding agreements** (Criterion 3.2 and Criterion 4.2);
 - xii. *Indigenous Peoples** and community relations (Criterion 3.2, Criterion 3.3 and Criterion 4.2);
 - xiii. *Protection** of sites of special cultural, ecological, economic, religious or spiritual significance to *Indigenous Peoples** and *local communities** (Criterion 3.5 and Criterion 4.7);
 - xiv. The persistence of *Indigenous cultural landscapes** and associated values of significance to *Indigenous Peoples** (Criterion* 3.1, Criterion* 3.5)
 - xv. The use of *traditional knowledge** and *intellectual property** (Criterion 3.6 and Criterion 4.8);
 - xvi. Local economic and social development (Criterion 4.2, Criterion 4.3, Criterion 4.4, Criterion 4.5);
 - xvii. The production of diversified benefits and/or products (Criterion 5.1);
 - xviii. The maintenance and/or enhancement of *ecosystem services** (Criterion 5,1);
 - xix. Activities to maintain or enhance *ecosystem services** (Criterion 5.1);
 - xx. Actual compared to projected annual harvests of timber and *non-timber forest products** (Criterion 5.2);
 - xxi. The use of local processing, local services and local value added manufacturing (Criterion 5.4);
 - xxii. Long term* economic viability* (Criterion 5.5); and
 - xxiii. *High Conservation Values** 5 and 6 identified in Criterion 9.1.
3. Monitoring procedures in 8.2.2 are sufficient to identify and describe changes in environmental conditions including where applicable:
- i. The maintenance and/or enhancement of *ecosystem services** (Criterion 5.2) (when *The Organization** uses FSC ecosystem services claims, makes FSC promotional claims regarding the provision of *ecosystem services**, or receives payment for the provision of ecosystem services);
 - ii. *Environmental values** and *ecosystem functions** including carbon sequestration and storage (Criterion* 6.1); including the effectiveness of actions identified and implemented to prevent, mitigate and repair negative impacts to *environmental values** (Criterion 6.3);
 - iii. *Rare and threatened species**, and the effectiveness of actions implemented to protect them and their *habitats** (Criterion 6.4);
 - iv. *Representative sample areas** and the effectiveness of actions implemented to *conserve** and/or *restore** them (Criterion 6.5);
 - v. Naturally occurring *native species** and *biological diversity** and the effectiveness of actions implemented to *conserve** and/or *restore** them (Criterion 6.6);
 - vi. Water courses, *water bodies**, water quantity and water quality and the effectiveness of actions implemented to *conserve* and/or *restore** them (Criterion 6.7);

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

PART B (only applicable for small (i. e. SLIMF) operation):

The Monitoring requirements include monitoring of the elements mentioned in the Management Plan and those as outlined below:

1. Monitoring in 8.2.1 is sufficient to identify and describe the environmental impacts of management activities, including where applicable:
 - i. The results of regeneration activities (*Criterion** 10.1);
 - ii. The use of ecologically well adapted species for regeneration (*Criterion** 10.2);
 - iii. Invasiveness or other adverse impacts associated with any *alien species** within and outside the *Management Unit** (Criterion 10.3);
 - iv. The results of silvicultural activities (Criterion 10.5);
 - v. Adverse impacts to *environmental values** from *fertilizers** (Criterion 10.6);
 - vi. Adverse impacts from the use of *pesticides** (Criterion 10.7);
 - vii. The impacts from *natural hazards** (Criterion 10.9);
 - viii. The impacts of harvesting and extraction of timber on *non-timber forest products**, *environmental values**, merchantable wood waste and other products and services (Criterion 10.11);
2. Monitoring in 8.2.1 is sufficient to identify and describe social impacts of management activities, including where applicable:
 - i. Compliance with *applicable laws**, *local laws**, *ratified** international conventions and obligatory codes of practice (Criterion 1.5);
 - ii. Resolution of *disputes** and grievances (Criterion 1.6, Criterion 2.6, Criterion 4.6);
 - iii. Programs and activities regarding *workers*** rights (Criterion 2.1);
 - iv. *Gender equality**, sexual harassment and gender discrimination (Criterion 2.2);
 - v. Programs and activities regarding occupational health and safety (Criterion 2.3);
 - vi. Payment of wages (Criterion 2.4);
 - vii. *Workers*** training (Criterion 2.5);
 - viii. Where *pesticides** are used, the health of *workers** exposed to pesticides (Criterion 2.5 and Criterion 10.7);

- ix. Full implementation of the terms in *binding agreements** (Criterion 3.2 and Criterion 4.2);
 - x. *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);
 - xi. Local economic and social development (Criterion 4.2, Criterion 4.3, Criterion 4.4, Criterion 4.5);
 - xii. The production of diversified benefits and/or products (Criterion 5.1);
 - xiii. Actual compared to projected annual harvests of timber and *non-timber forest products** (Criterion 5.2);
 - xiv. The use of local processing, local services and local value added manufacturing (Criterion 5.4);
 - xv. *High Conservation Values** 5 and 6 identified in Criterion 9.1.
3. Monitoring procedures in 8.2.2 are sufficient to identify and describe changes in environmental conditions including where applicable:
- i. *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);
 - ii. *Rare and threatened species**, and the effectiveness of actions implemented to protect them and their *habitats** (Criterion 6.4);
 - iii. Naturally occurring *native species** and *biological diversity** and the effectiveness of actions implemented to *conserve** and/or *restore** them (Criterion 6.6);
 - iv. Water courses, *water bodies**, water quantity and water quality and the effectiveness of actions implemented to conserve and/or *restore** them (Criterion 6.7);
 - v. [High Conservation Value](#)*High Conservation Values** 1 to 4 identified in Criterion* 9.1 and the effectiveness of actions implemented to maintain and/or enhance them.

Annex G National *High Conservation Values** Framework

1. Introduction

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

Strategies for maintaining *High Conservation Values** may not necessarily preclude harvesting. However, the only way to maintain some *High Conservation Values** will be through *protection** of the *High Conservation Value Area** that supports them.

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

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

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

Overall strategies for maintaining High Conservation Values

HCV 1 – Protection zones, harvest prescriptions, and/or other strategies to protect threatened, endangered, endemic species, or other concentrations of *biological diversity** and the ecological communities and *habitats** upon which they depend, sufficient to prevent reductions in the extent, integrity, quality, and viability of the *habitats** and species occurrences. Where enhancement is identified as the *objective**, measures to develop, expand, and/or *restore** *habitats** for such species are in place.

HCV 2 – Strategies that fully maintain the extent and intactness of the *forest** *ecosystems** and the viability of their biodiversity concentrations, including plant and animal indicator species, keystone species, and/or guilds associated with large intact natural *forest** *ecosystems**. Examples include *protection** zones and set-aside areas, with any commercial activity in areas that are not set-aside being limited to low *intensity** operations that fully maintain forest structure, composition, regeneration, and disturbance patterns at all times. Where enhancement is identified as the *objective**, measures to *restore** and reconnect *forest** *ecosystems**, their intactness, and *habitats** that support natural *biological diversity** are in place.

HCV 3 – Strategies that fully maintain the extent and integrity of rare or threatened *ecosystems**, *habitats**, or *refugia**. Where enhancement is identified as the *objective**, measures to *restore** and/or develop rare or threatened *ecosystems**, *habitats**, or *refugia* are in place.

HCV 4 – Strategies to protect any water catchments of importance to *local*

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

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

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

2. The High Conservation Value approach

The FSC developed the HCV concept as part of its standard (Principle 9) to ensure maintenance of significant or critical environmental and social values in the context of forest certification. Since its origin in forestry, the HCV concept has been adopted by other certification schemes and by other organisations and institutions that aim to maintain and/ or enhance significant and critical environmental and social values as part of responsible management. HCVs demand a greater degree of protection to ensure their long-term maintenance, particularly if they may be negatively impacted by practices undertaken in logging concessions, agricultural plantations or other production sites. This involves greater efforts to identify them, through more intensive assessments and stakeholder consultation, through greater attention to deciding and implementing appropriate management measures, and through monitoring both the implementation and effectiveness of these measures.

2.1 Identification

Identification involves interpreting what the six HCV definitions mean in the local or national context and deciding which HCVs are present in the area of interest (e.g. management unit (MU), plantation, etc.) or which HCVs in the wider landscape may be negatively impacted by project activities (e.g. impacts on water or wetland HCVs may occur well beyond the MU or plantation border). This is done through an HCV assessment which consists of stakeholder consultation, an analysis of existing information and the collection of additional information where necessary. HCV assessments should result in a clear report on the presence or absence of values, their location, status and condition, and as far as possible should provide information on areas of habitat, key resources, and critical areas that support the values. This will be used to develop management recommendations to ensure that HCVs are maintained and/or enhanced.

2.2 Management

HCV Management Areas are areas in a site, MU or landscape for which appropriate

management decisions must be taken and implemented in order to maintain or enhance an HCV. For purposes of mapping and planning, it is necessary to distinguish between the locations of HCVs, which may be quite small and sometimes confidential (e.g. breeding colonies or sacred trees) and the management areas where appropriate decisions and actions are needed, sometimes over larger areas. Designing a management regime for HCVs should include investigation of existing and potential threats (e.g. threats from proposed management activities, such as logging operations or plantation establishment, or from external activities such as hunting, illegal logging or construction of a new road or dam) and establishment of management requirements. This can include delineating areas that need total protection and identifying areas that can be used for production provided that management is consistent with maintaining or enhancing HCVs (e.g. anti-poaching controls or fire management policies).

2.3 Monitoring

A monitoring regime should be established to ensure that management practices effectively maintain and/or enhance the HCVs over time. The monitoring regime needs to translate the strategic objectives of the management regime into operational objectives. Appropriate indicators for these operational objectives must be chosen to assess the status of the HCVs, and thresholds for action to ensure that the HCVs are maintained or enhanced. Indicators and thresholds for action are likely to be site and/or region-specific.

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.

Identification of HCV 1

- 1) Description of Best Available Information in the country for identifying HCV1:
National Parks, Wildlife Sanctuaries, Conservation reserves, Community Reserves, Biosphere Reserves, Eco-Sensitive Areas, Ramsar Sites (<http://www.wiienvi.nic.in>), IUCN Red List, National Biodiversity Authority, State Biodiversity Boards, Indian Council of Forestry research and Education, Wildlife Institute of India, Bombay Natural History Society, WWF, Centre for Science and Environment Zoological Survey of India (ZSI) and Botanical Survey of India (BSI).
- 2) Description of stakeholders:
Ministry of Environment Forest & Climate Change, Wildlife Crime Control Bureau, State Forest Departments, Indigenous Peoples, local communities, CITES, IUCN, ENVIS, environmental NGOs (e.g. working at the national and regional/local levels), universities and research institutes.
- 3) Description of culturally appropriate engagement for identifying HCVs:
The protected areas and eco-sensitive zones are declared under Wildlife (Protection) Act, 1972 and The Environment (Protection) Act, 1986 after following due process of law including public consultations. Culturally appropriate engagement is done through public announcements at the village level, personal communications with community/village representatives, etc.
- 4) Examples of rare/threatened / endangered species in the country:
Areas/ under protected area network declared by Government of India and State Governments, Schedule I to V species as listed in Wildlife (Protection) Act, 1972, IUCN endangered species list, CITES species list (Appendix-I).
- 5) Geographic areas where HCV1 is likely present:
Countrywide in areas of protected area network (PAN), eco-sensitive zones and areas notified by Government of India.
- 6) Maps of HCV1 areas in the country:
Ministry of Environment, Forest and Climate Change, Government of India, State Forest Departments, Wildlife Institute of India and Forest Survey of India have the maps and records for protected areas, Zoological Survey of India have detailed maps and distribution of faunal species and Botanical Survey of India have detailed maps and distribution of flora in India.
- 7) Threats to HCV1 areas in the country:
Unsustainable harvesting, conversion of area for mining and industrial activities, poaching, shifting cultivation, introduction of exotic/invasive species, climate change and pollution.

The following would qualify as HCV 1

- A high overall species richness, diversity or uniqueness within a defined area when compared with other sites within the same biogeographic area.
- Populations of multiple endemic or RTE species.
- Important populations or a great abundance of individual endemic or RTE species, representing a substantial proportion of the regional, national or global population which are needed to maintain viable populations either:
- Year-round (e.g., key habitat for a specific species) or,
- Seasonally, including migratory corridors, sites for breeding, roosting or hibernation, or refuges from disturbance.
- Small populations of individual endemic or RTE species, in cases where the national, regional or global survival of that species is critically dependent on the area in question (such species are likely to be restricted to a few remaining areas of habitat, and to be classified as EN or CR on the IUCN Red List). In these cases, there is often a consensus (among many stakeholders) that every surviving individual is globally significant (e.g. flagship species such as Indian Rhino).
- Sites with significant RTE species richness, or populations (including temporary concentrations) of priority species approaching those of key protected areas or other priority sites (e.g. KBAs) within the same biogeographic boundary.
- Particularly important genetic variants, sub-species or varieties

(Source: Common guidance for identification of High Conservation Values, HCV Resource Network, 2013).

Strategies for maintaining HCV 1

- 1) Gazette Notifications are available regarding the Protected Area Network (PAN) including national parks, wildlife sanctuaries, conservation reserves, community reserves, wetlands of international importance (Ramsar Sites), eco-sensitive zones (ESZ), eco-sensitive areas (ESA) and biosphere reserves.
- 2) Protected Area Network (PAN) is maintained and managed in accordance with the prescriptions of Management Plans which are approved by Chief Wildlife Wardens of the state. The main thrust of management includes conservation and improvement of biodiversity and ecological functions.
- 3) National Wildlife Action Plan (NWAP) 2017-2031 focuses on preservation of genetic diversity and sustainable development. The NWAP has five components, 17 themes, 103 conservation actions and 250 projects. The five components are – strengthening and promoting the integrated management of wildlife and their habitats; adaptation to climate change and promoting integrated sustainable management of aquatic biodiversity in India; promoting eco-tourism, nature education and participatory management; strengthening wildlife research and monitoring of development of human resources in wildlife conservation and enabling policies and resources for conservation of wildlife in India. The Plan helps to mainstream biodiversity conservation in development planning processes.

The key highlights of NWAP 2017-2031 are:

- The plan is based on the premise that essential ecological processes that are governed or strongly moderated by ecosystems are essential for food

production, health and other aspects of human survival and sustainable development.

- It also keeps in focus the intrinsic value of nature and its manifold components. The maintenance of these ecosystems, which can be termed as 'Life Support System', is considered vital for all societies regardless of their stage of development.
 - It also emphasizes on two other aspects of nature conservation viz. Preservation of genetic diversity and sustainable utilization of species and ecosystems, which have a direct bearing on our scientific advancement and support to millions of rural communities.
 - The plan adopts a landscape approach in conservation of all wildlife i.e. uncultivated flora and undomesticated fauna that have an ecological value to the ecosystem and to mankind irrespective of where they occur
 - It accords special emphasis to the recovery of threatened species of wildlife while conserving their habitats which include terrestrial, inland aquatic, coastal and marine ecosystems.
 - It underlines the fact that despite being one of 17 mega biodiversity countries of the world, national planning has not taken serious note of adverse ecological consequences of reduction and degradation of wilderness areas from the pressures of population, commercialization and development projects. Accordingly, the plan has brought to focus the alarming erosion of our natural heritage comprising of rivers, forests, grasslands, mountains, wetlands, coastal and marine habitats, arid lands and deserts.
- 4) The biodiversity in the forest areas is maintained and improved through the implementation of working plans for the divisions, which are prepared by technically competent forest officials and approved by Government of India after detailed examination and scrutiny at various levels.
 - 5) Biological Diversity Act, 2002 provides for biodiversity conservation, sustainable utilization of biological resources and benefit sharing with local communities. With its three tier system of National Biodiversity Authority at national level, State Biodiversity Boards at state level and Biodiversity Management Committees at village levels. It covers entire geographical areas including forest areas with government, private forests, plantations etc.
 - 6) The criteria for equitable benefit sharing with the local communities have been laid out in Biological Diversity Rules, 2004 framed by Government of India.
 - 7) The State Government, in consultation with the Central Government, may frame rules for the management and conservation of all the biodiversity heritage sites.
 - 8) The Central Government may, in consultation with the National Biodiversity Authority, designate institutions as repositories for different categories of biological resources. The repositories shall keep in safe custody the biological material including voucher specimens deposited with them.
 - 9) Special schemes have been launched by Government of India from time to time for threatened and endangered species of flora and fauna including endemic species. Some of the important schemes include Project Tiger, Project Elephant, Project Snow Leopard, Project Great Indian Bustard etc.
 - 10) Specialized organization like Wildlife Institute of India, Botanical Survey of India, Zoological Survey of India, Indian Council of Forestry Research and Education etc. have been established by Government of India for biodiversity conservation and enhancement in the country including research, documentation, effective management, capacity building etc. Similarly, state

governments and private sector have large number of institutions working for biodiversity conservation in the country.

- 11) Harvesting in protected areas is prohibited except in case where it is beneficial for habitat management. Outside protected areas, harvestings in forests are done in accordance with the prescriptions of approved management plans or working plans. In addition, there are regulations in place for harvesting and transport of trees outside forests.
- 12) National Working Plan Code – 2014
- 13) National Forestry Research Plan 2020-30
- 14) Different stakeholders will be suitably involved in the management.

Monitoring of HCV 1

- 1) When developing and implementing a monitoring program, *Indigenous peoples**, *local communities**, *affected stakeholders**, *interested stakeholders** and experts shall be given the opportunity to be involved, review monitoring results, conduct field inspections to check quality of the monitoring program, and suggest improvement to the monitoring system.
- 2) Obligation to *The Organization** to provide for periodical monitoring in the *Management Plan** on the status of biodiversity within the management area of *The Organization**.
- 3) Obligation to *The Organization** to implement surveillance on the presence of threats to HCV.
- 4) Obligation to *The Organization** to conduct revision or modification of respective strategies and actions, if results of monitoring show that these strategies and actions are insufficient to ensure the maintenance and/or enhancement of HCV1
- 5) National Working Plan Code – 2014 provides for strong monitoring and evaluation mechanisms. It includes monitoring by Government of India especially on following points:
 - Process of working plan preparation for the entire state/UT is staggered over a period of 10 years and the revision of working plans does not get accumulated;
 - Preparation of the working plan is carried out according to prescribed procedure, i.e. consultations, field visits, PWPR, writing of working plan, preparation/updating of maps, writing/editing of compartment histories, and prescription of control forms;
 - The working plan prescriptions are being followed and the system of annual updating of compartment histories and control forms is in place;
 - The removal should not exceed the increment normally, except to facilitate natural regeneration. This can be monitored through field visits, reports and allocation/utilization of funds provided in the budget for plantations and silvicultural operations.
- 6) For maintenance, conservation and enhancement of biodiversity, the Code provides that:
 - Periodic monitoring of river flow pattern with reference to annual rainfall/duration of flow may be provided to show the status of improvements, if any.
 - Details of wetlands in the forest areas along with maps may be provided for periodic monitoring using remote sensing technology. No reduction in

wetlands from the base year, should be ensured. Addition of new wetlands and water bodies may be provided.

- Periodic monitoring of water level with respect to annual rainfall should be provided for the status of ground water assessment.
 - Details of aquifers to monitor their sustainability.
 - Monitoring and evaluation parameters may be provided for all the prescriptions of the plan as control forms.
 - Regeneration plots may be established to study the regeneration status of important species. Data should be collected on population dynamics of seedlings, saplings and young trees. By marking them and monitoring their status periodically, finding out the conditions in which a species regenerates best and creating those conditions can make the working plan effective with regards to forest sustainability
- 7) A separate chapter for monitoring, assessment and reporting is to be provided in each working plan consisting of control forms and deviation statements.
- 8) National Wildlife Action Plan 2017-2031 has laid emphasis on monitoring and evaluation. It provides that basic information and knowledge is required on little known species, ecosystems and priority landscapes for conservation planning and monitoring. Some of the basic steps required in this direction include setting up weather monitoring stations in protected areas; developing a web-enabled National Wildlife Information System giving regular updates on the PA coverage, status of species and habitats; publishing high resolution maps in GIS domain on vegetation and land use using satellite imagery; mapping distributions of selected species of plants and animals of ecological and conservation importance; determining abundances or relative abundances of target species of plants and animals; documenting the effects of management interventions such as habitat restoration, creating waterholes or removal of invasive species; determining the efficacy of enhanced protection efforts towards population of target species and their habitats; assessing ecosystem services from Pas, patterns of flow of goods and services, dependence of local communities on these services; developing strategies for reducing park-people conflicts and sustaining ecological services.
- 9) National Wildlife Action Plan 2017-2031 provides for developing institutional mechanisms to monitor the populations of endangered species and their habitats in all biogeographic regions of the country.
- 10) National Wildlife Action Plan 2017-2031 has identified priority projects for strengthening research and monitoring in the country.

Frequency or periodicity of monitoring depends on regions and sites and other factors.

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.

Identification of HCV 2

- 1) Description of Best Available Information in the country for identifying HCV2:
International definition as per the guidance documents of HCV Resources Network (2013 and 2014) for identification and management of forests with HCV.
- 2) Description of stakeholders:
Ministry of Environment Forest & Climate Change, Wildlife Crime Control Bureau, State Forest Departments, CITES, IUCN, Ministry of Tourism, Indigenous Peoples, local communities, environmental NGOs (e.g. working at the national and regional/local levels), universities and research institutes. Culturally appropriate engagement is done through public announcements at the village level, personal communications with community/village representatives, etc.
- 3) Examples of HCV2 areas in the country:
The Himalayan Mountain Range, The Indo-Gangetic Plains, The Central Highlands, The Thar Desert: The Eastern Ghats, The Western Ghats, The Coastal Plains, The Islands (Andaman & Nicobar, and Lakshadweep Islands). Tiger Reserves, Elephant Reserves, Ramsar Wetlands
- 4) Geographic areas where IFLs or other types of HCV2 is likely present:
In India the likely states are Himachal Pradesh, Jammu & Kashmir, Ladakh, Arunachal Pradesh, Mizoram, Nagaland, Manipur, Karnataka, Maharashtra, Kerala.
- 5) Maps of HCV2 areas in the country:
GSI/FSI have readily available maps, Ministry of Tourism, each state has its own landscape maps.
- 6) Threats to HCV2 areas in the country:
Climate Change causing change in landscapes, fragmentation of habitats, conversion of area for mining and industrial activities, poaching, shifting cultivation, introduction of exotic/invasive species, deforestation, forest converted for human settlements.

The following would qualify as HCV 2:

- Intact Forest Landscape (IFL) which is a territory within today's global extent of forest cover which contains forest and non-forest ecosystems minimally influenced by human economic activity, with an area of at least 500 km² (50,000 ha) and a minimal width of 10 km (measured as the diameter of a circle that is entirely inscribed within the boundaries of the territory).
- Large areas (e.g. could be greater than 50,000 ha, but this is not a rule) that

are relatively far from human settlement, roads or other access. Especially if they are among the largest such areas in a particular country or region.

- Smaller areas that provide key landscape functions such as connectivity and buffering (e.g. protected area buffer zone or a corridor linking protected areas or high quality habitat together). These smaller areas are only considered HCV 2 if they have a role in maintaining larger areas in the wider landscape.
- Large areas that are more natural and intact than most other such areas and which provide habitats of top predators or species with large range requirements.

(Source: Common guidance for identification of High Conservation Values, HCV Resource Network, 2013)

Strategies for maintaining HCV2

- 1) As per gazette notifications, the areas are considered under high conservation and hence the industrial activities are mostly restricted. Such ecosystems are being managed and will continue to be managed under various national laws and legislations including Wildlife (Protection) Act, National Wildlife Action Plan (2017-2031) and IUCN Biodiversity guidelines for forest landscape restoration opportunities assessments. These measures are applicable to all forests regardless of ownership.
- 2) *The Organization** to avoid all direct or indirect intrusion on *core area** of IFL. Example of direct intrusion includes logging, forest conversion to plantation, and infrastructure development such as road, channel, or settlement on *core area** and its buffer zone.
- 3) *The Organization** will use *Best Available Information** and solicit input from experts when developing management strategies and actions. Management strategies shall be developed with appropriate measures for protecting *core area**, and addressing identified threats.
- 4) This means that strategies will maintain the extent and intactness of the forest ecosystems and the viability of their biodiversity concentrations, including plant and animal indicator species, keystone species, and/or guilds associated with large intact *natural forest** ecosystems.
- 5) Industrial activities are restricted and will continue to be restricted inside forest areas following the provisions of Forest (Conservation) Act, Wildlife (Protection) Act and other relevant laws. Ecosystem and Landscape restoration will be as per the Working Plans and Management Plans.
- 6) Government of India programs for conservation of these landscapes to be strictly implemented. Biodiversity guidelines for forest landscape restoration opportunities assessments will be followed. This will be applicable to all identified landscapes irrespective of the ownership.
- 7) Restoration of degraded habitat to ensure functioning of support for biological diversity. This may include action to: 1) restore habitat or ecosystem that are damaged, 2) rehabilitation through planting of suitable species, 3) reclamation or replanting of open ex-mining area, 4) restoration through natural succession, and 5) maintain the size and presence of natural corridor to allow movement of flora and fauna between patches.
- 8) The core area of each *Intact Forest Landscape** within the *Management Unit** is protected, comprising at least 80% of the Intact Forest Landscapes within the Management Unit:

- 9) This provision will be implemented in the core area of each *Intact Forest Landscape** within the *Management Unit**. The guidelines of Government of India and respective State Governments in this regard will be strictly followed.
- 10) Different stakeholders will be suitably involved in the management.
- 11) IFL areas which fall outside of Core Areas (i.e. 20% or less of IFL within a Management Unit) have still to be managed in a way (e.g. restricted logging and other types of forest use) that HCV2 values are maintained in these forests.

Monitoring HCV 2

- 1) When developing and implementing a monitoring program, *Indigenous peoples**, *local communities**, *affected stakeholders**, *interested stakeholders** and experts shall be given the opportunity to be involved, review monitoring results, conduct field inspections to check quality of the monitoring program, and suggest improvement to the monitoring system.
- 2) Obligation to *The Organization** to provide for periodical monitoring in the *Management Plan** on the status of biodiversity and HCV2 in general within the management area of *The Organization**
- 3) Obligation to *The Organization** to implement surveillance on the presence of threats to HCV.
- 4) Obligation to *The Organization** to conduct revision or modification of respective strategies and actions, if results of monitoring show that these strategies and actions are insufficient to ensure the maintenance and/or enhancement of HCV2.

Frequency or periodicity of monitoring depends on regions and sites and other factors.

HCV3 – Ecosystems* and habitats*. Rare*, threatened*, or endangered ecosystems*, habitats* or refugia*.

Identification of HCV3

- 1) Description of Best Available Information in the country for identifying HCV3:
List available for protected areas (<http://www.moef.nic.in/downloads/public-information/protected-area-network.pdf>) wildlife corridor.
- 2) Description of stakeholders:
Ministry of Environment Forest & Climate Change, Wildlife Crime Control Bureau, State Forest Departments, CITES, IUCN, Ministry of Tourism, Indigenous Peoples, local communities, environmental NGOs (e.g. working at the national and regional/local levels), universities and research institutes. Culturally appropriate engagement is done through public announcements at the village level, personal communications with community/village representatives, etc.
- 3) Examples of HCV3 ecosystems and habitats in the country:
Tiger reserves, Elephant reserves.
- 4) Geographic areas where HCV3 is likely present:
Countrywide in Tiger Reserves, Elephant Reserves and species-specific areas protected under Wildlife (Protection) Act, 1972.
- 5) Maps of HCV3 areas in the country:
Wildlife Institute of India, Zoological Survey of India and State Forest Departments have detailed maps of wildlife areas. Botanical Survey of India and Forest Survey of India have detailed maps of flora distribution in India.
- 6) Threats to HCV3 areas in the country:
Conversion of area for mining and industrial activities, poaching, shifting cultivation, introduction of exotic/invasive species, deforestation, unsustainable harvesting, pollution, increase in the number of tourists.

The following would qualify as HCV 3:

Ecosystems that are:

- Naturally rare because they depend on highly localized soil types, locations, hydrology or other climatic or physical features, such as riverine forests in arid zones.
- Anthropogenically rare, because the extent of the ecosystem has been greatly reduced by human activities compared to their historic extent, such as natural seasonally flooded grasslands on rich soils, or fragments of primary forests in regions where almost all primary forests have been eliminated.
- Threatened or endangered (e.g. rapidly declining) due to current or proposed operations.
- Classified as threatened in national or international systems (such as the IUCN Red List of Ecosystems).

(Source: Common guidance for identification of High Conservation Values, HCV Resource Network, 2013)

Strategies for maintaining HCV3

- 1) *The Organization** to follow provisions of Biological Diversity Act, 2002, Wildlife (Protection) Act, 1972 and IUCN guidelines irrespective of the ownership of the area. *The Organization** to follow management prescriptions of Wildlife Management Plans and Working Plans.
- 2) Management prescriptions for HCV 3 must be sufficient to maintain the current condition and any unique attributes of rare or endangered ecosystems within the *Management Unit** or nearby and likely to be affected by off-site impacts of *Management Unit** operations. The prevention of off-site impacts can be done partly by ensuring there are no changes to water courses and water quality/quantity from *Management Unit**, as well as by maintaining buffer zones.
- 3) Habitats of rare and threatened species are protected, including (where needed) by implementing conservation zones, protection areas, wildlife corridors, and other related systems.
- 4) If the vulnerability of a HCV is uncertain, *The Organization** implements measures to prevent damage and avoid risks to HCV.
- 5) *The Organization** will restore the degraded habitat condition to ensure support for biological diversity. This may include action to:
 - restoration of habitats or ecosystems that are damaged,
 - rehabilitation through planting of suitable species,
 - reclamation or replanting of open ex-mining area.
- 6) 5.2.6 Different stakeholders will be suitably involved in the management.

Monitoring HCV3

- 1) Wildlife Management Plan, forest managers, common Guidance for the management and monitoring of HCV, HCV Manager's Guide FSC-GD-30-009 V1-0 D1 EN.
- 2) When developing and implementing a monitoring program, *Indigenous peoples**, *local communities**, *affected stakeholders**, *interested stakeholders** and experts shall be given the opportunity to be involved, review monitoring results, conduct field inspections to check quality of the monitoring program, and suggest improvement to the monitoring system.
- 3) Obligation to *The Organization** to *periodically* implement monitoring on the status of biodiversity within the management area of *The Organization**.
- 4) Obligation to *The Organization** to implement surveillance on the presence of threats to HCV.
- 5) Obligation to *The Organization** to conduct revision or modification of respective strategies and actions, if results of monitoring show that these strategies and actions are insufficient to ensure the maintenance and/or enhancement of HCV3.

Frequency or periodicity of monitoring depends on regions and sites and other factors.

HCV4 – Critical* ecosystem services*. Basic ecosystem services* in critical* situations, including protection* of water catchments and control of erosion of vulnerable soils and slopes.

Identification of HCV4

- 1) Description of Best Available Information in the country for identifying HCV4:
Wildlife Conservation (including species and habitats) using geospatial techniques, ENVIS Centre on Wildlife & Protected Areas, <https://indiawris.gov.in/wris/#/>, Forest Survey of India, Ministry of Water Resources.
- 2) Description of stakeholders:
Ministry of Environment, Forest & Climate Change, Ministry of Agriculture, State Forest Departments, Irrigation Departments, Agriculture departments, CITES, IUCN, Ministry of Tourism, Indigenous Peoples, local communities, environmental NGOs (e.g. working at the national and regional/local levels), universities and research institutes. Culturally appropriate engagement is done through public announcements at the village level, personal communications with community/village representatives, etc.
- 3) Examples of HCV4 critical ecosystem services in the country:
http://www.wiienvis.nic.in/Database/ramsar_wetland_sites_8224.aspx
- 4) Geographic areas where HCV4 is likely present:
Countrywide in the Himalayan ranges, Western Ghats, Eastern Ghats, Indo-Gangetic plains.
- 5) Maps of HCV4 areas in the country:
Maps available with Geological Survey of India/Forest Survey of India, State Watershed Agencies, State Forest Departments, All India Soil and Land Use Survey, Indian Council of Agricultural Research
- 6) Threats to HCV4 areas in the country:
Industrial activities, change in the flow pattern due to floods and excessive rainfall, shifting cultivation, change in resources use patterns, improper watershed management, deforestation.

The following would qualify as HCV 4:

Ecosystem services, in critical situations, related to:

- Managing extreme flow events, including vegetated riparian buffer zones or intact floodplains.
- Maintaining downstream flow regimes.
- Maintaining water quality characteristics.
- Fire prevention and protection
- Protection of vulnerable soils, aquifers and fisheries
- Provision of clean water, for example where local communities depend on

natural rivers and springs for drinking water, or where natural ecosystems play an important role in stabilizing steep slopes. These two values frequently occur together and the area which provides the critical services (water provision and erosion control) may overlap partially or completely.

- Protection against winds, and the regulation of humidity, rainfall and other climatic elements.
- Pollination services, for example exclusive pollination of subsistence crops provided by native bees for smallholders. The pollinators are dependent on the presence of suitable forest habitat and do not survive in purely agricultural landscapes.

Including areas such as:

- Forests, wetlands and other ecosystems which provide a protective barrier against destructive fires that could threaten communities, infrastructure or other HCVs.
- Groundwater recharge zones
- Grasslands providing buffering against flooding or desertification

(Source: Common guidance for identification of High Conservation Values, HCV Resource Network, 2013)

Strategies for maintaining HCV4

- 1) Adopting Integrated Watershed Management Programme guidelines and Integrated Mission for Sustainable Development (IMSD) Govt. of India. Applicable to all forests regardless the ownership.
- 2) National Wetland Conservation Programme (NWCP), G.S.R 1203(E) Wetlands (Conservation and Management) Rules, 2017. Integrated Watershed Management Programme guidelines. Applicable to all forests regardless the ownership.
- 3) National Wetland Conservation Programme (NWCP), G.S.R 1203(E) Wetlands (Conservation and Management) Rules, 2017. Applicable to all forests regardless the ownership.
- 4) National Wetland Conservation Programme (NWCP), G.S.R 1203(E) Wetlands (Conservation and Management) Rules, 2017. Applicable to all forests regardless the ownership.
- 5) Different stakeholders will be suitably involved in the management.

Monitoring HCV4

- 1) When developing and implementing a monitoring program, *Indigenous peoples**, *local communities**, *affected stakeholders**, *interested stakeholders** and experts shall be given the opportunity to be involved, review monitoring results, conduct field inspections to check quality of the monitoring program, and suggest improvement to the monitoring system.
- 2) Obligation to *The Organization** to *periodically* implement monitoring on the status of biodiversity within the management area of *The Organization**.

- 3) Obligation to *The Organization** to implement surveillance on the presence of threats to HCV.
- 4) Obligation to *The Organization** to conduct revision or modification of respective strategies and actions, if results of monitoring show that these strategies and actions are insufficient to ensure the maintenance and/or enhancement of HCV.
- 5) Monitoring parameters mentioned in National Wetland Conservation Programme (NWCP), G.S.R 1203(E) Wetlands (Conservation and Management) Rules, 2017; Forest managers, Common Guidance for the Management and Monitoring of HCV, HCV Manager's Guide FSC-GD-30-009 V1-0 D1 EN.

Frequency or periodicity of monitoring depends on regions and sites and other factors.

HCV5 – 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.

Identification of HCV5

1) Description of Best Available Information in the country for identifying HCV5:

ENVIS Centre on Wildlife & Protected Areas
(http://www.wiienvis.nic.in/Database/cr1_8228.aspx) National Bank for
Agriculture and Rural Development (NABARD).

The full assessment of HCV5 can be done in four steps:

- Identify subgroups within the local community based on factors considered important,
- Identify the level of dependence of these subgroups on the forest,
- Identify the availability of alternative resources for meeting family needs,
- Assess whether the use of the forest or other ecosystems is being done sustainably and its use does not conflict with other HCVs.

2) Description of stakeholders:

Local communities, Indigenous Peoples, Gram Panchayats, State Rural Livelihood Mission (State Government Initiatives). Culturally appropriate engagement is done through public announcements at the village level, personal communications with community/village representatives, etc.

3) Examples of HCV5 sites and resources fundamental for local communities in the country:

Areas where local communities depend for NTFP and timber produce.

4) Geographic areas where HCV5 is likely present:

Countrywide in community reserves, joint forest management (JFM) areas, community forest management (CFM) areas and areas under Forest Rights Act (FRA), 2006. This may include both, Indigenous Peoples and non-Indigenous Peoples.

5) Maps of HCV5 areas in the country:

Available on request with State Forest Departments, district administration, rural development departments and National Bank for Agriculture and Rural Development (NABARD).

6) Threats to HCV5 areas in the country:

Over exploitation of resources, urbanization, unsustainable use of resources.

The following would qualify as HCV 5:

The following are the examples of FCV6 if they are determined to be fundamental for satisfying basic needs

- NTFPs such as nuts, berries, mushrooms medicinal plants, rattan

- Fuel for household cooking, lighting and heating
- Building materials (poles, thatching, timber)
- Fodder for livestock and seasonal grazing
- Water sources necessary for drinking water and sanitation

(Source: Common guidance for identification of High Conservation Values, HCV Resource Network, 2013)

Strategies for maintaining HCV5

- 1) Collaboration with JFMC, CFM, SHGs, Forest department, Rural development department and Ministry of Tribal Welfare and its institutions.
- 2) *The Organization** may integrate the management of areas with high biodiversity – to ensure availability of food, medicinal, and cultural sources, without violating the requirements of this standard (including its HCV framework) as well as respective laws and regulations of India.
- 3) Precautionary approach in the management is required if the objective of *The Organization** is to conserve forest areas critical for meeting the basic needs, where the community has no other alternatives.
- 4) *The Organization** must communicate and consult intensively with local communities as the main user of the area and other relevant stakeholders.
- 5) Different stakeholders will be suitably involved in the management.

Monitoring HCV5

- 1) When developing and implementing a monitoring program, *Indigenous peoples** and *local communities** shall be given the opportunity to be involved, review monitoring results, conduct field inspections to check quality of the monitoring program, and suggest improvement to the monitoring system. The monitoring of HCV 5 shall ensure the protection of its function as critical for communities' basic needs.
- 2) Obligation to *The Organization** to implement periodic monitoring on the important function of sustaining local communities to meet basic needs within *The Organization's* management unit**.
- 3) Obligation to *The Organization** to implement protection and surveillance of HCV present from the existing threat and disturbances.
- 4) Obligation to *The Organization** to conduct revision or modification of respective strategies and actions, if results of monitoring show that these strategies and actions are insufficient to ensure the maintenance and/or enhancement of HCV5

Frequency or periodicity of monitoring depends on regions and sites and other factors.

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**.**

Identification of HCV 6

Description of Best Available Information in the country for identifying HCV6:

HCV6 areas are critical for maintaining the cultural identity of local communities. HCV 6 concerns areas that play an important role in the traditional cultural identity of local communities, where a particular area is needed to fulfill their cultural needs. The relationship between a community and an area can be rooted in ideas, concepts, norms, values, activities, and activity patterns, as well as features of the environment/natural resources/objects. Together, these features form the basis of a collective behavior of a community and that define the relationship between a community and an area. At smaller spatial scales of an ecosystems or sub-component, HCV6 may be present as sacred forests or sites where traditional ceremonies are held.

Best Available Information is also available at the websites of Ministry of Environment, Forest and Climate Change, Ministry of Culture and Ministry of Tourism.

1) Description of stakeholders:

Tourism department, local communities, Indigenous Peoples, state government. Culturally appropriate engagement is done through public announcements at the village level, personal communications with community/village representatives, etc.

2) Examples of HCV6 significant cultural values in the country:

Taj Trapezium, Heritage sites

3) Geographic areas where HCV6 is likely present:

Countrywide in sacred groves, UNESCO World Heritage Sites, Archeological Survey of India (ASI) protected monuments, pilgrimage sites, places of worship, burial grounds

4) Maps of HCV6 areas in the country:

Maps available on request from UNESCO, New Delhi Office (<https://en.unesco.org/fieldoffice/newdelhi>), Ministry of Culture, Ministry of Environment, Forest and Climate Change, State Forest Department, State Culture department, State Tourism Department.

5) Threats to HCV6 areas in the country:

Communal riots, destructive tourism, converting forests for commercial purposes, resettlement

The following would qualify as HCV 6:

- Sites recognized as having high cultural value within national policy and legislation.
- Sites with official designation by national government and/or an international agency like UNESCO.

- Sites with recognized and important historical or cultural values, even if they remain unprotected by legislation.
- Religious or sacred sites, burial grounds or sites at which traditional ceremonies take place that have importance to local or indigenous people.
- Plant or animal resources with totemic values or used in traditional ceremonies.

(Source: Common guidance for identification of High Conservation Values, HCV Resource Network, 2013)

Strategies for maintaining HCV6

- 1) *The Organization** may integrate the management of areas with high biodiversity – to ensure availability of food, medicinal, and cultural sources, without violation of the requirements of this standard (including its HCV framework) as well as respective laws and regulations of India.
- 2) Precautionary approach in the management is required if the objective of *The Organization** is to conserve forest areas critical for meeting the basic needs, where the community has no other alternatives.
- 3) *The Organization** must communicate and consult intensively with local communities as the main user of the area and other relevant stakeholders.
- 4) *The Organization** promotes sustainable ecotourism.
- 5) *The Organization** follow applicable UNESCO guidelines for world heritage and sustainable tourism programme (<https://whc.unesco.org/en/tourism/>), Ecotourism policy of Government of India and State Governments.
- 6) Different stakeholders will be suitably involved in the management.

Monitoring HCV6

- 1) When developing and implementing a monitoring program, *Indigenous peoples** and *local communities** shall be given the opportunity to be involved, review monitoring results, conduct field inspections to check quality of the monitoring program, and suggest improvement to the monitoring system. The monitoring of HCV 6 shall ensure the protection of its function as critical for cultural identity of local communities.
- 2) Obligation to *The Organization** to implement periodic monitoring on the important function of cultural identity of local communities within *The Organizations* management unit**.
- 3) Obligation to *The Organization** to implement surveillance on the presence of threats to HCV.
- 4) Obligation to *The Organization** to conduct revision or modification of respective strategies and actions, if results of monitoring show that these strategies and actions are insufficient to ensure the maintenance and/or enhancement of HCV6.
- 5) Different stakeholders will be suitably involved in the monitoring.

Frequency or periodicity of monitoring depends on regions and sites and other factors.

Annex H List of *rare and threatened species in the country or region**

1. The IUCN Red List of threatened species

<https://www.iucnredlist.org/>

2. Wild animals and bird species protected under Wildlife (Protection) Act, 1972

http://www.wiienviis.nic.in/Database/ScheduleSpeciesDatabase_7969.aspx

3. Endemic and threatened plant taxa of India

http://bsienviis.nic.in/Database/E_3942.aspx

4. Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)

<https://cites.org/eng/disc/text.php>

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

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

Affected Rights Holder: Persons and groups, including *Indigenous Peoples**, *traditional peoples** and *local communities** with legal or *customary rights** whose *free, prior and informed consent** is required to determine management decisions.

Affirmative action: A policy or a program that seeks to redress past discrimination through active measures to ensure equal opportunity, as in education and employment

(Source: FSC report on generic criteria and indicators based on ILO Core Conventions principles, 2017).

Alien species: A species, subspecies or lower taxon, introduced outside its natural past or present distribution; includes any part, gametes, seeds, eggs, or propagules of such species that might survive and subsequently reproduce (Source: 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 14 (ILO Convention 182, Article 2 and Child Labour (Prohibition and Regulation Act, 1986) (adapted for the FSS of India).

Child Labour: The term “child labour” is often defined as work that deprives children of their childhood, their potential and their dignity, and that is harmful to physical and mental development. It refers to work that:

- is mentally, physically, socially or morally dangerous and harmful to children; and
 - interferes with their schooling by:
 - depriving them of the opportunity to attend school;
 - obliging them to leave school prematurely; or
 - requiring them to attempt to combine school attendance with excessively long and heavy work.
- (Source: ILO)

As per Child Labor (Prohibition and Regulation Act) 1986; A “Child” is defined as a

person who has not completed the age of 14 years. The act prohibits the engagement of children in certain employments and regulates the conditions of work of children in certain other employments. It excludes sections pertaining to toiling of children in certain sectors, especially unorganized sectors including agriculture, as well as household work. (Source: <https://clc.gov.in/clc/acts-rules/child-labour-prohibition-and-regulation-act-1986#Definitions>)

Collective bargaining: a voluntary negotiation process between employers or employers' organization and workers' organization*, with a view to the regulation of terms and conditions of employment by means of collective agreements (Source: ILO Convention 98, Article 4).

Confidential information: Private facts, data and content that, if made publicly available, might put at risk *The Organization**, its business interests or its relationships with stakeholders, clients and competitors.

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** or official status, covered by national regulations in many countries. In the context of the Principles and Criteria, management of these areas should involve active conservation, not passive protection' (Source: FSC-STD-01-001 V5-2).

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

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

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

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

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 V5-2 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, *sexual orientation**, which has the effect of nullifying or impairing equality of opportunity or treatment in employment or occupation; b) such other distinction, exclusion or preference which has the effect of nullifying or impairing equality of opportunity or treatment in employment or occupation as may be determined by the Member concerned after consultation with representative employers' and *workers' organization** where such exist, and with other appropriate bodies (Source: adapted from ILO Convention 111, Article 1). **Sexual orientation** was added to the definition provided in Convention 111, as it has been identified as an additional type of discrimination which may occur.

Dispute: for the purpose of the IGI, this is an expression of dissatisfaction by any person or organization presented as a complaint to *The Organization**, relating to its management activities or its conformity with the FSC Principles and Criteria, where a response is expected (Source: 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) (Source: 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**.

Due consideration: To give such weight or significance to a particular factor as under the circumstances it seems to merit, and this involves discretion (Source: Black's Law Dictionary, 1979).

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

Eco-regional: Large unit of land or water containing a geographically distinct assemblage of species, natural communities, and environmental conditions (Source: WWF Global 200. http://wwf.panda.org/about_our_earth/ecoregions/about/what_is_an_ecoregion/).

Ecosystem: A dynamic complex of plant, animal and micro-organism communities and their non-living environment interacting as a functional unit (Source: 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 (Source: ILO Convention 111, Article 1.3).

Engaging / engagement: The process by which The Organization communicates, consults and/or provides for the participation of interested and/or affected stakeholders ensuring that their concerns, desires, expectations, needs, rights and opportunities are considered in the establishment, implementation and updating of the *management plan** (Source: FSC-STD-01-001 V5-2).

Environmental Impact Assessment (EIA): Systematic process used to identify potential environmental and social impacts of proposed projects, to evaluate alternative approaches, and to design and incorporate appropriate prevention, mitigation, management and monitoring measures (Source: 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).

Equal remuneration* for men and women workers* for work of equal value: refers to rates of remuneration established without discrimination* based on sex (Source: ILO Convention 100, Article 1b).

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, P₂O₅ and K₂O, 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 (Source: ILO Convention 29, Article 2.1)

Forest: Forest in Indian context and for the implementation of FSC FSS can be any of the following:

- i. 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).
- ii. Forest area means, the area recorded as “Forest” in government records in India

- iii. The word forest must be understood according to its dictionary meaning “a large area of land covered with trees and plants, usually larger than a wood, or the trees and plants themselves” (Source: Cambridge Dictionary)

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 jeopardize children's physical, mental or moral health, should not be undertaken by anyone under the age of 14 years. Hazardous *child** labour is work in dangerous, or unhealthy conditions that could result in a *child** being killed or injured/maimed (often permanently) and/or made ill (often permanently) as a consequence of poor safety and health standards and working arrangements. In determining the type of hazard child labour referred to under (Article 3(d) of the Convention No 182, and in identifying where they exist, consideration should be given, inter alia, to

- Work which exposes children to physical, psychological or sexual abuse;
- Work underground, under water at dangerous heights or in confined spaces;
- Work with dangerous machinery, equipment and tools, or which involves the manual handling or transport of heavy loads;
- Work in unhealthy environment which may, for examples, expose children to hazardous substances, agents or processes, or to temperatures, noise levels, or vibrations damaging to their health;
- Work under particularly difficult conditions such as work for long hours or during the night or work where the *child** is unreasonably confined to the premises of the employer

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

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

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

- **HCV1:** Species Diversity. Concentrations of *biological diversity** including endemic species, and *rare, threatened or endangered** species, that are

- significant at global, regional or national levels.
- **HCV 2:** Landscape-level ecosystems and mosaics. Intact Forest Landscapes, 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 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 Committee on Freedom of Association: A Governing Body Committee set up

in 1951, for the purpose of examining complaints about violations of freedom of association, whether or not the country concerned had ratified the relevant conventions. Is composed of an independent chairperson and three representatives each of governments, employers, and *workers**. If it decides to receive the case, it establishes the facts in dialogue with the government concerned. If it finds that there has been a violation of freedom of association standards or principles, it issues a report through the Governing Body and makes recommendations on how the situation could be remedied. Governments are subsequently requested to report on the implementation of its recommendations (Source: FSC report on generic criteria and indicators based on ILO Core Conventions principles, 2017).

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

Note: India has not adopted the UN definition for Indigenous People.

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 km² (50,000 ha) and a minimal width of 10 km (measured as the diameter of a circle that is entirely inscribed within the boundaries of the territory) (Source: Intact Forests / Global Forest Watch. Glossary definition as provided on Intact Forest website. 2006-2014).

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

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

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

- Conservation organizations, for example environmental NGOs;
- Labor (rights) organizations, for example labor unions;
- Human rights organizations, for example social NGOs;
- Local development projects;
- Local governments;
- National government departments functioning in the region;
- FSC National Offices;
- Experts on particular issues, for example High Conservation Values.

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

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).

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). For India, the legal registration for Management Units shall be the formal communication from the respective state government. Other possible areas under the scope of a certificate may include private forests/plantations, farm forestry, agro-forestry, bund plantation, NHAI plantation etc., for which applicable legal registration document will be the land ownership document and/or legally valid agreement with the land owner.

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).

Long-term: The time-scale of the forest owner or manager as manifested by the objectives of the management plan*, the rate of harvesting, and the commitment to maintain permanent forest cover. The length of time involved will vary according to the context and ecological conditions, and will be a function of how long it takes a given ecosystem to recover its natural structure and composition following harvesting or disturbance, or to produce mature or primary conditions (Source: FSC-STD-01-002 V1-0 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, 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**. The results of the monitoring activities are utilized in the implementation of *adaptive management**.

Management Unit: A spatial area or areas submitted for FSC certification with clearly defined boundaries managed to a set of explicit long term management objectives which are expressed in a *management plan**. This area or areas include(s):

- all facilities and area(s) within or adjacent to this spatial area or areas under *legal** title or management control of, or operated by or on behalf of The Organization, for the purpose of contributing to the management objectives; and
- all facilities and area(s) outside, and not adjacent to this spatial area or areas and operated by or on behalf of *The Organization**, solely for the purpose of contributing to the management objectives.

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

Managerial control: Responsibility of the kind defined for corporate directors of commercial enterprises in national commercial law, and treated by FSC as applicable also to public sector organizations (Source: FSC-STD-01-001 V5-2).

Minimum age (of employment): of the child is not less than 14 years as defined in Child Labour (Prohibition & Regulation) Amendment Act, 2016 or such age as may be specified in the Right of Children to Free and Compulsory Education Act, 2009,

whichever is more. No such child shall be employed or permitted to work in any occupation or process' subject to exceptions given in the Acts. No adolescent (14-18 years) shall be employed or permitted to work in any of the hazardous occupations or processes set forth in the Schedule of the Act. .

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, should be restored towards more natural conditions, or may be converted to other land uses.

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

Thresholds and guidelines may cover areas such as:

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

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

Natural Hazards: disturbances that can present risks to social and *environmental values** in the *Management Unit** but that may also comprise important ecosystem functions; examples include drought, flood, fire, landslide, storm, avalanche, etc.

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).

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: Any 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; adapted for the FSS for India)
- Areas under agroforestry, farm forestry, social forestry, bund plantations, linear plantations, bamboo & rubber plantations.

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 V5-2).

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, Article 1a).

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’.

Scheduled Tribes: Such tribes or tribal communities or parts of or groups within such tribes or tribal communities as are deemed under article 342 to be Scheduled Tribes for the purposes of Indian Constitution.

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

- A designation, classification or recognized conservation status, assigned by an international agency such as IUCN or Birdlife International;
- A designation by national or regional authorities, or by a responsible national conservation organization, on the basis of its concentration of biodiversity;
- A voluntary recognition by the manager, owner or 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'.

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.

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: FSC-STD-40-004 V3-0).

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

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

Vast majority: 80% of the total area of *Intact Forest Landscapes** within the *Management Unit** as of January 1, 2017. The vast *majority** also meets or exceeds the minimum definition of *Intact Forest Landscape**.

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.

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

Very limited portion of core area: The area affected shall not exceed 0.5% of the area of the *core area** in any one year, nor affect a total of more than 5% of the area of the *core area**.

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 and seasonal employees, of all ranks and categories, including laborers, administrators, supervisors, executives, contractor employees as well as self-employed contractors and sub-contractors (Source: ILO Convention C155 Occupational Safety and Health Convention, 1981).

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

Worst forms of *child labour:** comprises a) all forms of slavery or practices similar to slavery, such as the sale and trafficking of children, debt bondage and serfdom and forced labour, including forced or compulsory recruitment of children for use in armed conflict; b) the use, procuring or offering of a *child** for prostitution, for the production of pornography or for pornographic performance; c) the use, procuring or offering of a *child** for illicit activities, in particular for production and trafficking of drugs as defined in the relevant international treaties; d) work which, by its nature or the circumstances in which it is carried out, is likely to harm the health, safety or morals of children (Source: ILO Convention 182, Article 3).



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