



Forest Stewardship Council®



## The FSC Forest Stewardship Standard for Smallholders in India

**FSC-STD-RAP-IND-01-2022 Plantations EN**

*Version for the pilot test in India*



### **Photo credit**

From left to right:

Photo 1: Block plantation of Poplar (Suresh Gairola, FSC India Country Director)

Photo 2: Forest dependent communities (Suresh Gairola, FSC India Country Director)

Photo 3: Harvesting for supply to pulping facility (Suresh Gairola, FSC India Country Director)

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

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<b>Title</b>	The FSC Forest Stewardship Standard for Smallholders in India
<b>Document reference code</b>	FSC-STD-RAP-IND-01-2022 Plantations EN
<b>Status</b>	Approved version for pilot test in India
<b>Scope</b>	Plantations <i>(details in section A, C and E of this standard)</i>
<b>Approval date</b>	19 July 2022
<b>Approval body</b>	Performance and Standards Unit
<b>Publication date</b>	24 August 2022
<b>Effective date</b>	1 October 2022
<b>Validity period</b>	Until revised, replaced or withdrawn
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## **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.

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

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

The FSC Regional office in the Asia Pacific region undertook the development of a standard that would apply specifically to the certification needs of millions of smallholders within that region. Typically, these smallholders have limited capacity and their operations have very low impact as single management units. The FSC Regional Forest Stewardship Standard (RFSS) for Smallholders (FSC-STD-RAP-01-2021) was developed to provide realistic, achievable Indicators relevant to the circumstances of these smallholders for their management units in the Asia-Pacific region, written in simple language that can be understood and met by the smallholder. It sets out the required elements against which FSC accredited Certification Bodies evaluate the forest management practices of smallholders within the scope (see Sections A.3 and C below) of the standard.

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

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

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

### **A.3 Application of the Regional Forest Stewardship Standard in India**

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

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

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

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

### **A.4 Application of this standard for smallholders in India within the India FSS**

The Forest Stewardship Standard (FSS) for India (FSC-STD-IND-01-2022 EN) is applicable for all sizes and types of forest management units in India. Some indicators apply only to large management units (units of 100 ha or larger) and are identified as "Not applicable for SLIMF" or not identified as "SLIMF" in the FSS. These are not applicable to smallholders. Other indicators within the FSS apply only to "Small or Low Intensity Management Forests" (SLIMF) which are defined as management units less than 100 ha. Those indicators in the FSS are identified as "SLIMF" and they create a separate standard within the FSS for those small-scale forest management units that are less than 100 ha in India.

This smallholder standard is applicable to very small management units that are less than 20 ha, or managed by an individual, family, government, community or cooperatives who fulfil the criteria for small size (as above), or a cooperative or community which owns, manages and uses a forest where less than 20 hectares has been allocated to each member or family. Thus, this standard provides a different set of indicators than the SLIMF indicators for the very small units that meet these criteria.

### **A.5 Terminology**

In this standard, a "smallholder" is an individual or family who owns, manages, or uses forests which are less than 20 hectares in size that may be defined as plantations, woodlots, farm-forestry or agroforestry. Smallholder may also include *community producers*, including Indigenous or others who fulfil the criteria for small size (as above), and meet the requirements above (see Section A.4). In India, these may include government social forestry programs including roadside plantations, block plantations, village forest, and community forest.

Smallholders may also be known by various other names – for example, woodlot owners, farmers, agriculturists, small non-industrial private forest owners, small forest enterprises, community forestry operations, and non-timber forest product (NTFP) harvesters. Smallholders produce a wide variety of timber, non-timber and non-wood products.

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

## B Version of the standard

(Informative section)

FSC-STD-RAP-IND-01-2022. The FSC Forest Stewardship Standard for Smallholders in India (version for pilot testing).

## C Scope

(Normative section)

This standard shall be applied for the following scope:

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

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

## D References

(Informative section)

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

FSC-STD-IND-01-2022	<i>The FSC Forest Stewardship Standard for India</i>
FSC-POL-01-004	<i>Policy for the Association of Organizations with FSC</i>
FSC-POL-20-003	<i>The Excision of Areas from the Scope of Certification</i>
FSC-POL-30-001	<i>FSC Pesticides Policy</i>
FSC-POL-30-401	<i>FSC Certification and the ILO Conventions</i>
FSC-POL-30-602	<i>FSC Interpretation on GMOs (Genetically Modified Organisms)</i>
FSC-STD-01-002	<i>Glossary of Terms</i>
FSC-STD-01-003	<i>SLIMF Eligibility Criteria</i>
FSC-STD-20-007	<i>Forest Management Evaluations</i>
FSC-STD-30-005	<i>FSC Standard for Group Entities in Forest Management Group</i>
FSC-PRO-01-008	<i>Processing Complaints in the FSC Certification Scheme</i>
FSC-DIR-20-007	<i>FSC Directive on Forest Management Evaluations</i>
FSC-GUI-60-005	<i>Promoting Gender Equality in National Forest Stewardship Standards</i>

## E Explanatory Notes

(Normative section)

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

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

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

Explanatory Notes are provided throughout the Standard to assist smallholders, group managers, certificate holders, auditors and other readers to interpret the requirements. Some important explanation is also provided here. Minor wording additions have been added to the RFSS in Criterion 1.5 and 9.1 specifically for India.

Seven Annexes are included in this Standard as guidance. They are either copied directly from, or adapted, from Annexes in the FSS. Some Annexes in the FSS are not included here as they are very unlikely to have any relevance for smallholders. Those excluded annexes are related to *conservation area network\** conceptual diagram and conceptual framework for planning and monitoring. If guidance is required on these matters, reference can be made to the Annexes in the FSS.

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

**Note:** *The non-normative status of annexes of this standard will be tested through the*

*upcoming pilot test and might be changed (to partly or completely normative status), depending on the outcomes.*

### **Verbal forms for the expression of provisions**

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

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

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

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

## **E.2 Who is required to meet the Indicators?**

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

It is recognized that some Indicator requirements in this standard will likely be beyond the capacity of an individual smallholder to meet on his or her own without help from a larger organization or external individuals for the very small area of land that the smallholder manages. In these situations, the Indicator is written so that the smallholder can receive support and assistance from a group manager or an external body such as an NGO, a purchaser or a government agency working to assist the smallholder to undertake the actions necessary to meet the Indicator. These Indicators include those related to writing policies, procedures and commitments (Indicators 1.6.1, 1.7.1, 1.7.3, 2.6.1, 4.6.1, 8.5.1); keeping records (Indicators 1.6.3, 2.3.3, 2.6.3, 3.3.2, 4.6.2, 5.2.3, 8.5.2); identifying and consulting with Indigenous Peoples and local communities or stakeholders (Indicators 3.1.2, 3.2.1, 3.2.4, 3.3.1, 3.5.1, 4.1.2, 4.1.3, 4.1.4, 4.2.1, 4.2.3, 7.6.1, 9.2.2, 9.4.2); conserving native forests (Indicators 6.5.1, 6.5.2 and 6.5.3) and planning and monitoring (Indicators 7.3.1, 7.4.1, 8.1.1, 8.3.1).

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

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

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

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

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

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

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

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

Other Criteria in Principles 3, 4 and 9 may be determined to be not applicable if the assessments required in those Principles determine that no Indigenous Peoples, local communities or High Conservation Values are present in the location of the smallholder's forest. These Indicators are all prefaced by "if", and their applicability depends on the results of the assessments that the smallholder is required to have to assess their applicability to the smallholder's property.

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

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

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

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

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

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

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

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

The RFSS requires that the smallholder must consider:

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

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

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

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

## **E.8 Comments on the language used in the standard**

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

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

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

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

The word “if” is used in Indicators in Principles 3, 4, 6 and 9 to indicate that a requirement to meet the Indicator is dependent on confirming that Indigenous Peoples, local communities, native ecosystems or High Conservation Values are present in the

location of the smallholder's forest. It is anticipated that Indicators preceded by "if" will not be applicable to smallholders in many locations and situations and those Indicators will be not-applicable.

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

The word "shall" is not used in any Indicators. In its place the requirement is described in an active tense.

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

## **E.9 Definitions**

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

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

## **E.10 Interpretations and disputes**

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

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

## F *Principles\*, criteria\* and indicators\* for smallholders in India*

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

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

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

1.1.1 *The smallholder* has evidence that confirms *the smallholder's* undisputed right to manage the forest and use the resources within the scope of the certificate.

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

1.2.1 *The smallholder* clearly shows the boundaries of his or her forest using maps, documents or other appropriate means on the ground and shows that *the smallholder* has the rights to all forest products produced on *the smallholder's forest*.

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

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

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

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

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

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

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

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

- 1.5** *The Organization\** shall comply with the *applicable national laws\**, local laws, ratified international conventions and *obligatory codes of practice\**, relating to the transportation and trade of forest products within and from the *Management Unit\**, and/or up to the point of first sale.
- 1.5.1 *The smallholder* complies with all laws related to transport and trade of forest products and *non-timber forest products* up to the point of first sale.
- Explanatory Note:** The “*applicable laws*” for transport and trade vary by country and auditors will need to be aware of the specific legislations in India.
- 1.6** *The Organization\** shall identify, prevent and resolve *disputes\** over issues of statutory or customary law\*, which can be settled out of court in a *timely manner\**, through engagement with *affected stakeholders\**.
- 1.6.1 *The smallholder* has, or can make use of, an appropriate process to quickly resolve any disputes that arise which directly involve *the smallholder*.
- 1.6.2 *The smallholder* follows the process and seeks to quickly resolve disputes that directly involve *the smallholder*.
- 1.6.3 *The smallholder* or their *named representative* keeps a record of disputes.
- 1.6.4 *The smallholder* immediately stops *forestry activities* if there are unresolved significant disputes that directly involve *the smallholder*.
- Explanatory Note:** This Criterion, along with Criterion 1.7, is an example of a situation where the requirement to meet the Indicator requirements falls on the *smallholder*, but another entity - a group manager or other organization - can provide support and assistance to the *smallholder* by preparing the processes, or procedures or documents required and can keep records on behalf of the *smallholder*. The requirement is that the *smallholder* demonstrate an awareness of the existence of a process and the requirement for records and uses them if required. The record of disputes required by Indicator 1.6.3 should include basic relevant information about the nature of the dispute and how it was resolved.
- 1.7** *The Organization\** shall publicize a commitment not to offer or receive bribes in money or any other form of corruption and shall comply with anti-corruption legislation where this exists. In the absence of anti-corruption legislation, *The Organization\** shall implement other anti-corruption measures proportionate to the *scale\** and *intensity\** of management activities and the *risk\** of corruption.
- 1.7.1 *The smallholder* makes a written commitment not to offer or receive bribes.
- 1.7.2 If requested, *the smallholder* or their *named representative* provides the commitment to a person who requests it at no cost to the requestor.
- 1.7.3 *The smallholder* has no involvement in any bribery, coercion or other acts of corruption related to *the smallholder's forest*.

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

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

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

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

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

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

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

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

- 2.1.1 The smallholder does not have temporary workers, employees or volunteers below the age of 15.
  - 2.1.1.1 The smallholder does not allow work to interfere with the schooling of any children under the age of 15.
  - 2.1.1.2 The smallholder does not allow any children under the age of 18 to perform hazardous or heavy work.
- 2.1.2 The smallholder does not force temporary workers or employees to work.
- 2.1.3 The smallholder does not discriminate in hiring temporary workers or employees.

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

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

*and should not be “working” in the same way that adults are working or engaged in hazardous or heavy work.*

*Discrimination in Indicator 2.1.3 refers to any form of discrimination in the hiring of employees – for example, discrimination based on age, gender, ethnicity, sexual orientation – as outlined in the core conventions in the ILO Declaration of 1998 (ILO Declaration on Fundamental Principles and Rights at Work and its Follow-up, adopted by the International Labour conference at its Eighty-sixth Session, Geneva, 18th June 1998).*

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

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

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

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

practices.

- 2.3.2 *The smallholder and his or her temporary workers, employees, family members, business associates and volunteers use appropriate safety equipment.*
- 2.3.3 *The smallholder or their named representative keeps a record of any accidents.*
- 2.3.4 *The smallholder changes practices that have caused, or will likely cause, accidents in the smallholder's forest.*
- 2.3.5 If hunting or other dangerous activities are part of the *forestry activities*, the *smallholder* identifies the dangerous activities and implements safety measures to protect the public where hunting or other dangerous activities related to NTFP activities are carried out.

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

- 2.4 ***The Organization\** shall pay wages that meet or exceed minimum *forest\** industry standards or other recognized *forest\** industry wage agreements or *living wages\**, where these are higher than the *legal\** minimum wages. When none of these exist, *The Organization\** shall through *engagement\** with *workers\** develop mechanisms for determining *living wages\**.**
  - 2.4.1 **If the smallholder hires temporary workers or employees**, the smallholder pays temporary workers or employees at wage rates that meet or exceed any *legal* minimum wage.
  - 2.4.2 **If no legal minimum wage exists**, the smallholder pays a *living wage* to temporary workers or employees that is agreed prior to work starting.
  - 2.4.3 *The smallholder makes wage and contract payments within the prescribed time limits.*
- Applicability Note:* If a smallholder does not have any temporary workers or employees, Criterion 2.4 does not apply. If there is no minimum wage (2.4.1) in the country or state where the smallholder forest is located, then Indicator 2.4.2 applies. The "living wage" referred to in Indicator 2.4.2 is defined in the Glossary.**
- Explanatory Note:* The terms "hires" and "wages" in Indicators 2.4.1 and 2.4.2 refer to employment. They do not apply to, or restrict, the common smallholder practice of labour exchange.**
- 2.5 ***The Organization\** shall demonstrate that *workers\** have job-specific training and supervision to safely and effectively implement the *Management Plan\** and all management activities.**
  - 2.5.1 *The smallholder provides training and supervision so that temporary workers, employees, family members, business associates and volunteers can work safely and effectively in the tasks that they do.*

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

- 2.6.1** *If the smallholder hires temporary workers or employees, the smallholder has, or can make use of, an appropriate process to quickly resolve any disputes that arise with those temporary workers or employees.*
- 2.6.2** *The smallholder follows the process and seeks to resolve disputes or grievances with temporary workers or employees.*
- 2.6.3** *The smallholder or their named representative keeps a record of any disputes or grievances with temporary workers or employees.*
- 2.6.4** *The smallholder compensates temporary workers or employees for any loss or damage of property and occupational disease\* or injuries related to work in the smallholder's forest.*

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

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

### **PRINCIPLE\* 3: INDIGENOUS PEOPLES\*\* RIGHTS**

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

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

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

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

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

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

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

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

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

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

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

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

- 3.2.1** If potentially affected *Indigenous Peoples* are present in *the smallholder's location*, the smallholder informs the *Indigenous Peoples* about *the smallholder's forestry activities* in *the smallholder's forest* and seeks their comments.
- 3.2.2** If potentially affected *Indigenous Peoples* are present in *the smallholder's location*, the smallholder's forestry activities do not violate any rights.
- 3.2.3** If potentially affected *Indigenous Peoples* are present in *the smallholder's location*, and if *the smallholder* has violated rights in *the smallholder's forest*, the smallholder uses culturally appropriate means to correct the situation.
- 3.2.4** If potentially affected *Indigenous Peoples* are present in *the smallholder's location*, the smallholder obtains their consent to forestry activities that affect the identified rights of the *Indigenous Peoples* in *the smallholder's forest*.

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

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

- 3.3.1** If potentially affected *Indigenous Peoples* are present in *the smallholder's location*, the smallholder demonstrates that *the smallholder* is seeking, or has obtained consent for forestry activities in *the smallholder's forest* and follows the requirements of all agreements.
- 3.3.2** If potentially affected *Indigenous Peoples* are present in *the smallholder's location*, and if agreements are made (3.3.1), the smallholder or their named representative has a record of agreements.

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

- 3.4 *The Organization\** shall recognize and *uphold\** the rights, customs and culture of *Indigenous Peoples\** as defined in the United Nations Declaration on the Rights of *Indigenous Peoples\** (2007) and *ILO Convention\** 169 (1989).
- 3.4.1 If potentially affected *Indigenous Peoples* are present in *the smallholder's location*, the smallholder protects the *Indigenous Peoples* rights, customs and culture in *the smallholder's forest*.
- 3.4.2 If potentially affected *Indigenous Peoples* are present in *the smallholder's location*, and if the rights have not been protected in *the smallholder's forest*, the smallholder is taking steps to restore such rights, customs or culture.
- 3.5 *The Organization\**, through *engagement\** with *Indigenous Peoples\**, shall identify sites which are of special cultural, ecological, economic, religious or spiritual significance and for which these *Indigenous Peoples\** hold *legal\** or *customary rights\**. These sites shall\* be recognized by *The Organization\** and their management, and/or *protection\** shall\* be agreed through *engagement\** with these *Indigenous Peoples\**.
- 3.5.1 If potentially affected *Indigenous Peoples* are present in *the smallholder's location*, the smallholder works with the *Indigenous Peoples* to identify and protect sites that are significant to the *Indigenous Peoples* in *the smallholder's forest*.
- 3.5.2 If sites that are significant to *Indigenous Peoples* are found during *forestry activities*, the smallholder immediately stops *forestry activities* that may affect those sites.
- 3.6 *The Organization\** shall *uphold\** the right of *Indigenous Peoples\** to *protect\** and utilize their *Traditional Knowledge\** and shall compensate *local communities\** for the utilization of such knowledge and their *intellectual property\**. A *binding agreement\** as per Criterion\* 3.3 shall be concluded between *The Organization\** and the *Indigenous Peoples\** for such utilization through *Free, Prior and Informed Consent\** before utilization takes place, and shall be consistent with the *protection\** of *intellectual property\** rights.
- 3.6.1 If potentially affected *Indigenous Peoples* are present in *the smallholder's location*, the smallholder does not use the traditional knowledge of the *Indigenous Peoples* for economic benefit without consent and/or compensation.
- Explanatory Note:** In many situations, smallholders are members of the *Indigenous Peoples* and are entitled to use traditional knowledge in managing their *smallholder forest* without consent and/or compensation.

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

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

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

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

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

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

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

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

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

- 4.1.1 The smallholder has an appropriate assessment, that the smallholder is aware of, to determine if there are any local communities in the smallholder's location that are potentially affected by the smallholder's forestry activities in the smallholder's forest.
- 4.1.2 If potentially affected local communities are present in the smallholder's location (4.1.1), the smallholder knows the local communities' legal and customary rights of tenure, access and use in the smallholder's forest.

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

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

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

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

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

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

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

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

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

**Applicability Note:** There are no Indicators in Criterion 4.3 applicable to smallholders. Because of the small scale and intensity of smallholders' forestry activities, it is not expected that an individual

*smallholder should provide opportunities for local communities, contractors or external suppliers, although typically they do not have resources to hire or purchase anywhere else other than their local communities.*

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

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

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

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

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

- 4.6.1 If ***local communities*** are present in ***the smallholder's location***, the smallholder has, or can make use of, a culturally appropriate process to quickly resolve any disputes in ***the smallholder's forest***.
- 4.6.2 The smallholder or their named representative keeps a record of any disputes.
- 4.6.3 If there are significant disputes with any local communities, the smallholder immediately stops forestry activities in the smallholder's forest.

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

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

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

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

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

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

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

## **PRINCIPLE\* 5: BENEFITS FROM THE FOREST\***

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

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

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

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

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

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

- 5.2.1 *The smallholder* has determined a harvest level for *the smallholder's* forest resources in the *management plan*.
- 5.2.2 *The smallholder* removes forest resources at a rate that is environmentally sustainable and consistent with the *management plan*.
- 5.2.3 *The smallholder* or their *named representative* keeps a written record of forest resources removed from *the smallholder's* forest.

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

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

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

*Indicator 5.2.3 is applicable in all situations.*

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

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

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

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

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

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

## **PRINCIPLE\* 6: ENVIRONMENTAL VALUES\* AND IMPACTS**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

- 6.4.1** *The smallholder's assessment of environmental values (6.1.1) has identified any rare or threatened species or habitats that occur or may occur in the smallholder's forest or the immediate vicinity.*
- 6.4.2** *If rare or threatened species or habitats are identified in the smallholder's forest or the immediate vicinity (6.1.1), the smallholder's management plan (7.1.1) includes measures to protect the species or habitats in the smallholder's forest.*
- 6.4.3** *If rare or threatened species are identified in the smallholder's forest or the immediate vicinity (6.1.1), the smallholder prevents hunting, fishing, trapping and collection of rare or threatened species in the smallholder's forest.*

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

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

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

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

**Explanatory Note:** Restoration of suitable areas in the smallholder's location to more natural conditions if suitable areas exist are required

*by this indicator. “Suitable areas” include areas with some natural conditions, or some regenerating native species, already existing near by the site, and where there is no other land use threatening those conditions. Restoration might involve simply letting those areas recover, or more active intervention to protect and enhance those conditions to support their restoration.*

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

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

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

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

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

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

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

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

- 6.6.1** *The smallholder has implemented ways to control any hunting, fishing, trapping and collection activities for native species in the smallholder’s forest.*
- 6.6.2** *If hunting is part of the forestry activities, the smallholder ensures that the population levels of target species and species diversity are not threatened.*

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

- 6.7.1** *The smallholder protects the quality and quantity of water in streams, ponds and lakes, and the vegetation beside them, in the smallholder’s forest.*
- 6.7.2** *The smallholder repairs damage to streams, ponds and lakes, or the vegetation beside them, that the smallholder’s forestry activities have caused.*

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

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

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

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

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

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

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

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

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

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

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

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

## **PRINCIPLE\* 7: MANAGEMENT PLANNING**

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

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

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

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

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

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

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

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

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

- 7.2** **The Organization\*** shall have and implement a management plan\* for the Management Unit\* which is fully consistent with the policies and management objectives\* as established according to Criterion\* 7.1. The management plan\* shall describe the natural resources that exist in the Management Unit\* and explain how the plan will meet the FSC certification requirements. The management plan\* shall cover forest\* management planning and social management planning proportionate to scale, intensity and risk\* of the planned activities.
- 7.2.1 *The smallholder's management plan identifies actions and forestry activities to be taken in the smallholder's forest to meet the objectives in the management plan.*
- 7.2.2 *The smallholder implements the actions and forestry activities in the management plan.*
- 7.2.3 **If collection of non-timber forest products is included within the forestry activities,** the *management plan* describes how the specific non-timber forest products are managed and collected, based on established management practices.
- 7.2.4 **If hunting is included within the forestry activities,** the *management plan* includes elements relating to species being hunted, measures for monitoring impacts to species, and a general evaluation of the ecological impacts of hunting.
- Explanatory Note:*** “Hunting” is as defined in and in accordance with the provisions of Wildlife (Protection) Act, 1972.
- 7.3** **The management plan\*** shall include verifiable targets\* by which progress towards each of the prescribed **management objectives\*** can be assessed.
- 7.3.1 *The smallholder has ways to monitor if the objectives in the management plan are met.*
- Explanatory Note:*** Monitoring (Indicator 7.3.1) to determine if objectives are met, and review of the management plan (Indicator 7.4.1) may be done by a group manager or an external organization such as an NGO, purchaser, or government agency acting on behalf of, or providing assistance to, the smallholder. The monitoring and review should be specific to the smallholder's forest and the smallholder will need to be aware of the results, but it is not required that the smallholder undertake monitoring and review of a management plan alone.
- 7.4** **The Organization\*** shall update and revise periodically the management planning and procedural documentation to incorporate the results of monitoring and evaluation, stakeholder engagement\* or new scientific and technical information, as well as to respond to changing environmental, social and economic circumstances.
- 7.4.1 *The smallholder reviews the management plan periodically and revises the management plan if relevant circumstances change.*

- 7.5 *The Organization\** shall make *publicly available\** a summary of the *management plan\** free of charge. Excluding *confidential information\**, other relevant components of the *management plan\** shall be made available to *affected stakeholders\** on request, and at cost of reproduction and handling.
- 7.5.1 **If requested**, *the smallholder* provides public information from the *management plan* to a person who requests it at no cost to the requestor.
- 7.6 *The Organization\** shall, proportionate to *scale, intensity and risk\** of management activities, proactively and transparently engage *affected stakeholders\** in its management planning and monitoring processes, and shall engage *interested stakeholders\** on request.
- 7.6.1 *The smallholder* informs *affected* and *interested stakeholders* about management planning and monitoring.
- 7.6.2 **If requested**, *the smallholder* carries out *culturally appropriate* consultation with *affected* and *interested stakeholders*.

## **PRINCIPLE\* 8: MONITORING AND ASSESSMENT**

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

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

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

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

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

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

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

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

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

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

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

**Explanatory Note:** The smallholder may be assisted by a group manager or an external organization such as an NGO, a purchaser or a government agency acting on behalf of, or providing assistance to, the smallholder. The smallholder needs to be aware of the monitoring

*and any changes to the management plan, but it is not required that the smallholder alone undertake the monitoring and planning.*

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

- 9.3.1 If *High Conservation Values* are identified in *the smallholder's forest or immediate vicinity* (9.1.1), the smallholder implements

strategies and actions in *the smallholder's forest* that maintain and/or enhance the identified *High Conservation Values*.

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

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

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

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

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

## **PRINCIPLE\* 10: IMPLEMENTATION OF MANAGEMENT ACTIVITIES**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

10.8.1 The smallholder minimizes or avoids the use of biological control agents in the smallholder's forest.

10.8.2 If biological control agents are used in the smallholder's forest, the smallholder uses them in appropriate ways.

**Explanatory Note:** The reference to using biological control agents in "appropriate ways" includes complying with internationally accepted scientific protocols and preventing environmental damage.

10.8.3 If biological control agents\* are used in the smallholder's forest, the smallholder or their named representative keeps a record of the types, amount and places where biological control agents are used.

**Explanatory Note:** The term "biological control agents" is defined in the Glossary. They are organisms that are used to control insects or pests or other organisms that are harmful to the forest resources.

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

10.9.1 The smallholder carries out forestry activities in ways that reduce the risk of fire and other natural hazards in the smallholder's forest and the immediate vicinity.

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

10.10.1 The smallholder builds roads and/or trails and transports material in ways that protect environmental values identified in Criterion 6.1.

10.10.2 The smallholder immediately repairs any damage to watercourses, soils or threatened species or habitats caused by the smallholder's forestry activities.

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

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

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

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

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

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

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

## **G Annexes**

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

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

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

#### **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

#### **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 Regulation) 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 Construction 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, 1952
- 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\***

***Explanatory Note:*** This annex is copied directly without change from The FSC Forest Stewardship Standard for India. It provides guidance for training requirements for workers and is not normative.

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 Elements of the Management Plan\***

**Explanatory Note:** This annex is copied directly without change from Annex D of The FSC Forest Stewardship Standard (FSS) for India except section 6 on National Working Plan Code. In FSS for India, Annex D on “Elements of Management Plan” does not apply to micro landholders (less than 20 hectares). This Annex here provides guidance about the requirements in Principle 7 and is not normative.

- 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*\* 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\**

## Annex D Monitoring requirements

**Explanatory Note:** This annex is adapted from The FSC Forest Stewardship Standard for India. It provides guidance about the monitoring requirements in Principle 8.

Part A of the Annex F in the FSS has been removed as it is only applicable for large (i.e. non-SLIMF) operations in India:

Part B of the Annex F in the FSS is copied directly without change (except that the Criteria that are not applicable (e.g. 5.3) have been removed). It is applicable to SLIMF operations (less than 100 ha) and therefore includes smallholders less than 20 ha.

### PART B (only applicable for SLIMF operation)

- 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 4.5);
  - 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. *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 Values\** 1 to 4 identified in Criterion\* 9.1 and the effectiveness of actions implemented to maintain and/or enhance them.

## Annex E      ***High Conservation Values\**** Framework

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

### 1      Introduction

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

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

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

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

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

#### 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 *forest\* Management Unit\** developed in cooperation with representatives and members of *local communities\** and *indigenous peoples\**.

HCV 6 – Strategies to protect the cultural values 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.

**Note:** SLIMF identification of HCV refer to FSC step-by-step guide “Good practice guide to meeting FSC certification requirements for biodiversity and High Conservation Values Forest in Small and Low Intensity Managed Forest”.

*In any case, The Organization\* has to review its HCV status in conformance with the latest available guidance and/or toolkit. Newly identified HCV attribute(s) are included within the established HCV planning and monitoring.*

**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.wienvis.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, crating 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 km<sup>2</sup> (50,000 ha) and a minimal width of 10 km (measured as the diameter of a circle that is entirely inscribed within the boundaries of the territory).

- 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](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/cri\\_8228.aspx](http://www.wiienvis.nic.in/Database/cri_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 ensue 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 Organization's\* 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 F      List of rare and threatened species\* in the country or region**

***Explanatory Note:*** This annex is copied directly without change from The FSC Forest Stewardship Standard for India. It provides guidance on rare and threatened species in India and is not normative.

- 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.wienvis.nic.in/Database/ScheduleSpeciesDatabase\\_7969.aspx](http://www.wienvis.nic.in/Database/ScheduleSpeciesDatabase_7969.aspx)
- 3) Endemic and threatened plant taxa of India  
[http://bsienvis.nic.in/Database/E\\_3942.aspx](http://bsienvis.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 G      Glossary of terms

**Explanatory Note:** This Glossary includes all the terms defined in the Glossary of the RFSS and India FSS. The sources of the definitions are copied from the RFSS. An additional Note is provided for the term “*Indigenous Peoples*” based on the definition in the Glossary of India FSS.

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

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.

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

**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).

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

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

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

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

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

**Binding Agreement:** A deal or pact, written or not, which is compulsory to its signatories and enforceable by law. Parties involved in the agreement do so freely and accept it voluntarily.

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

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

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

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

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

Tenure: The legal right to manage a forest management unit (e.g., title, long-

term lease, concession) is held at the communal level, AND

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

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

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

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

**Note:** *The forest can be either located in a communal forest and/or on individually-assigned plots, as long as the right to use the forest is communally held (e.g., this is the case for Mexican ejidos, Brazilian sustainable development reserves). (Source: FSC-ADV-50-003).*

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

**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. Vandergheest. 2001. Genealogies of the political forest and customary rights in Indonesia, Malaysia and Thailand, Journal of Asian Studies 60(3):761–812).

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

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

**Dispute:** An expression of dissatisfaction by any person or organization presented as a complaint relating to its forestry activities or its conformity with the FSC Principles and Criteria, where a response is expected. (Source: based on FSC-PRO-01-005 V3-0 Processing Appeals)

**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/](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: FSC-STD-60-004 V2-0)

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

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

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

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

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

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

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

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

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

The actual worth attributed to these elements depends on human and societal perceptions.

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

**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, P<sub>2</sub>O<sub>5</sub> and K<sub>2</sub>O, which are applied to soil for the purpose of enhancing plant growth.

**Fibre Testing:** a suite of wood identification technologies used to identify the family, genus, species and origin of solid wood and fibre based products

**Focal species:** Species whose requirements for persistence define the attributes that must be present if that landscape is to meet the requirements of the species that occur there (Source: Lambeck, R., J. 1997. Focal Species: A multi-species Umbrella for Nature Conservation. Conservation Biology vol. 11 (4): 849-856.).

**Forced or compulsory labour:** work or service exacted from any person under the menace of any penalty and for which the said person has not offered himself/ herself voluntarily (Source: ILO Convention 29, Article 2.1)

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

**Fertilizer:** Mineral or organic substances, most commonly N, P<sub>2</sub>O<sub>5</sub> and K<sub>2</sub>O, which are applied to soil for the purpose of enhancing plant growth. (Source: FSC-STD-60-004 V-2)

**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)

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

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

**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. Stritholt 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)

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

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

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

- Old commercial and non-commercial trees whose age noticeably exceeds the average age of the main canopy;
- Trees with special ecological value;

- Vertical and horizontal complexity;
- Standing dead trees;
- Dead fallen wood;
- Forest openings attributable to natural disturbances;
- Nesting sites;
- Small wetlands, bogs, fens;
- Ponds;
- Areas for procreation;
- Areas for feeding and shelter, including seasonal cycles of breeding;
- Areas for migration;
- Areas for hibernation.

**Hazardous work:** (in the context of *child\** labour): Any work which is likely to jeopardize children's physical, mental or moral health, should not be undertaken by anyone under the age of 18 years. Hazardous *child\** labour is work in dangerous, or unhealthy conditions that could result in a *child\** being killed or injured/maimed (often permanently) and/or made ill (often permanently) as a consequence of poor safety and health standards and working arrangements.

In determining the type of hazard child labour referred to under (Article 3(d) of the Convention No 182, and in identifying where they exist, consideration should be given, *inter alia*, to

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

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

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

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

- HCV1 - Species Diversity. Concentrations of *biological diversity\** including endemic species, and rare, *threatened or endangered\** species, that are significant at global, regional or national levels.
- HCV 2 - Landscape-level ecosystems and mosaics. Intact forest landscapes and large landscape-level *ecosystems\** and ecosystem mosaics that are significant at global, regional or national levels, and that contain viable populations of the great majority of the naturally occurring species in natural patterns of distribution and abundance.

- HCV 3 - Ecosystems and habitats. Rare, threatened, or endangered ecosystems, *habitats\** or *refugia\**.
- HCV 4 - Critical ecosystem services. Basic *ecosystem services\** in critical situations, including protection of water catchments and control of erosion of vulnerable soils and slopes.
- HCV 5 - Community needs. Sites and resources fundamental for satisfying the basic necessities of local communities or *Indigenous Peoples\** (for example for livelihoods, health, nutrition, water), identified through engagement with these communities or Indigenous Peoples.
- HCV 6 - Cultural values. Sites, resources, habitats and *landscapes\** of global or national cultural, archaeological or historical significance, and/or of critical cultural, ecological, economic or religious/sacred importance for the traditional cultures of local communities or Indigenous Peoples, identified through engagement with these local communities or Indigenous Peoples.

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

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

**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).

**Hunting:** "hunting", with its grammatical variations and cognate expressions, includes:

- (a) killing or poisoning of any wild animal or captive animal and every attempt to do so;
- (b) capturing, coursing, snaring, trapping, driving or baiting any wild or captive animal and every attempt to do so;
- (c) injuring or destroying or taking any part of the body of any such animal or, in the case of wild birds or reptiles, damaging the eggs of such birds or reptiles, or disturbing the eggs or nests of such birds or reptiles;

**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.

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

**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 (explanation copied directly from FSS Glossary of Terms).*

**Intact Forest Landscape:** a territory within today's global extent of forest cover which contains forest and non-forest ecosystems minimally influenced by human economic activity, with an area of at least 500 km<sup>2</sup> (50,000 ha) and a minimal width of 10 km (measured as the diameter of a circle that is entirely inscribed within the boundaries of the territory) (Source: Intact Forests / Global Forest Watch. Glossary definition as provided on Intact Forest website. 2006-2014).

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

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

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

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

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

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

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

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

**Living wage:** The level of wages sufficient to meet the basic living needs of an average-sized family in a particular economy. (Source: FSC-STD-01-001 V5-2)

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

**Location:** See Smallholder’s location.

**Long-term:** The timescale of the forest owner or manager as manifested by the objectives of the management plan, the rate of harvesting, and the commitment to maintain permanent forest cover. The length of time involved will vary according to the context and ecological conditions and will be a function of how long it takes a given ecosystem to recover its natural structure and composition following harvesting or disturbance or to produce mature or primary conditions. (Source: FSC-STD-60-004 V2-0)

**Management plan:** The collection of documents, reports, records and maps that describe, justify and regulate the activities carried out by any manager, staff or organization within or in relation to the Management Unit, including statements of objectives and policies. (Source: FSC-STD-01-001 V5-2)

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

- all facilities and area(s) within or adjacent to this spatial area or areas

- under legal title or management control of, or operated by or on behalf of smallholder, for the purpose of contributing to the management objectives; and
- all facilities and area(s) outside, and not adjacent to this spatial area or areas and operated by or on behalf of the smallholder, solely for the purpose of contributing to the management objectives.
- (Source: FSC-STD-01-001 V5-2)

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

**Native Ecosystems:** 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)

**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 hazards:** Disturbances that can present risks to social and environmental values in the Management Unit but that may also comprise important ecosystem functions; examples include drought, flood, fire, landslide, storm, avalanche, etc. (Source: FSC-STD 60-004 V2-0)

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

'Natural forest' includes the following categories:

- Forest affected by harvesting or other disturbances, in which trees are being or have been regenerated by a combination of natural and artificial regeneration with species typical of natural forests in that site, and where many of the above-ground and below-ground characteristics of the natural forest are still present. In boreal and north temperate forests which are naturally composed of only one or few tree species, a combination of natural and artificial regeneration to regenerate forest of the same native species, with most of the principal characteristics and key elements of native ecosystems of that site, is not by itself considered as conversion to plantations.
- Natural forests which are maintained by traditional silvicultural practices

including natural or assisted natural regeneration.

- Well-developed secondary or colonizing forest of native species which has regenerated in non-forest areas.
- The definition of 'natural forest' may include areas described as wooded ecosystems, woodland and savanna.

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. (Source: FSC-STD-01-001 V5-2. For a full explanation of this definition, refer to the India FSS or FSC-STD-01-001 V5-2)

**Non-native species:** Species that have been introduced into new areas that have not historically been part of their native range. (**New**)

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

**Not-natural fertilizer:** A chemical, synthetic or not-natural substance, most commonly N, P<sub>2</sub>O<sub>5</sub> and K<sub>2</sub>O, which is applied to soil for the purpose of enhancing plant growth. These do not include natural fertilizers such as manure or dung. (Source: adapted from FSC-STD-60-004 V2-0).

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

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

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

- Areas which would initially have complied with this definition of 'plantation' but which, after the passage of years, contain many or most of the principal characteristics and key elements of native ecosystems, may be classified as natural forests.
- Plantations managed to restore and enhance biological and habitat diversity, structural complexity and ecosystem functionality may, after the passage of years, be classified as natural forests.

- Boreal and north temperate forests which are naturally composed of only one or few tree species, in which a combination of natural and artificial regeneration is used to regenerate forest of the same native species, with most of the principal characteristics and key elements of native ecosystems of that site, may be considered as natural forest, and this regeneration is not by itself considered as conversion to plantations. (Source: FSC-STD-01-001 V5-2; )
- Areas under agroforestry, farm forestry, social forestry, bund plantations, linear plantations, bamboo & rubber plantations.

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

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

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

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

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

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

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

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

**The Smallholder:** An individual or family who owns, manages, or uses forests which are considered "small", compared with others in their region. Smallholder also includes *community producers*, including Indigenous Peoples, or others who fulfil the

smallholder criterion for small size OR a co-operative or community who own, manage and use a forest in which less than 20 ha has been allocated to a member or family. Smallholders are known by various names – for example, woodlot owners, family foresters, small non-industrial private forest owners, small forest enterprises, community forestry operations, and non-timber forest product (NTFP) harvesters. Smallholders produce a wide variety of timber, non-timber and non-wood products. **(New)**

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

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

**Stakeholder:** See affected stakeholder and interested stakeholder.

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

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

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

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

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

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

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

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

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

- Hazardous waste, including chemical waste and batteries;
- Containers;
- Motor and other fuels and oils;
- Rubbish including metals, plastics and paper; and
- Abandoned buildings, machinery and equipment.

(Source: FSC-STD 60-004 V2-0)

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

**Worker:** All employed persons including public employees as well as 'self-employed' persons. This includes part-time and seasonal employees, of all ranks and categories, including laborers, administrators, supervisors, executives, contractor employees as well as self-employed contractors and sub-contractors. (Source: FSC-STD-01-001 V5-2)



Forest Stewardship Council®

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