

**The FSC National Forest Stewardship Standard of Malaysia**

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1. Glossary of Terms

# 1. Preface

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

The Forest Stewardship Council A.C. (FSC) was established in 1993, as a follow-up to the United Nations Conference on Environment and Development (the Earth Summit at Rio de Janeiro, 1992) with the [mission](https://ic.fsc.org/vision-mission.12.htm) to promote environmentally appropriate, socially beneficial, and economically viable management of the world’s [forests](#Forest).

Environmentally appropriate forest management ensures that the production of timber, [non-timber products](#Non_timber_forest_products) and [ecosystem services](#Ecosystem_services) does not reduce or undermine the forest’s biodiversity, productivity, and ecological processes. Socially beneficial forest management helps both local people and society at large to enjoy long term benefits and also provides strong incentives to local people to sustain forest resources. Sustainable forest management means that forest operations are structured and managed so as to be sufficiently profitable, but not at the expense of the forest resource, the [ecosystem](#Ecosystem), or local communities. The tension between the need to generate adequate financial returns and the principles of responsible forest operations can be reduced through efforts to market the full range of forest products and services for their best value ([FSC A.C. By-Laws](file:///C:\Users\g.fanso\Downloads\1416581585_file.pdf), ratified, September 1994; last revision in June 2011).

FSC is an international organization that provides a system for voluntary accreditation and independent third-party certification. This system allows certificate holders to market their forest products and services as having met FSC standards that are environmentally appropriate, socially beneficial and economically viable. The FSC Stewardship Standards are based on the [FSC Principles and Criteria](file:///C:\Users\g.fanso\Downloads\FSC-STD-01-001%20V5-2%20EN%20(2).pdf). In addition, FSC sets standards for the accreditation of Conformity Assessment Bodies (also known as Certification Bodies) that certify compliance with FSC’s standards. Based on these standards, FSC provides a system for certification for organizations seeking to market their products as FSC certified.

1.2. Descriptive statement of the National Office

Efforts to establish a Malaysian presence for FSC began in 2002 when a small group of interested stakeholders embarked on the formation of the FSC National Initiative. In compliance with FSC requirements, a National Working Committee (NWC) was formed in 2007. Later in the year, the NWC became a legal entity following endorsement from the Malaysian Registrar of Companies, and was legally registered as Forest Stewardship (Malaysia) Sdn. Bhd. In 2009, the company name changed to Forest Sustainability (Malaysia) Sdn. Bhd. (FSM). Upon FSM’s acceptance as a FSC National Office in 2014, FSC Malaysia was launched in Kuala Lumpur on 19 November 2014 to lead the development process for a FSC National Forest Stewardship Standard to promote responsible management of forests in Malaysia, and to also deliver business and market support, quality assurance, trademark and membership services on behalf of FSC at the national level.

Further information on FSC Malaysia: [www.forestsustainability.org](http://www.forestsustainability.org)

**1.3. Descriptive statement of the Standard Development Group**

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

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| --- | --- | --- |
| Economic | | |
| Edmund Gan | Sabah Forest Industries Sdn. Bhd. | [EdmundGan@sfisb.com.my](mailto:EdmundGan@sfisb.com.my) |
| Chin Tong Tan | Independent | [tanct@envotech.com.my](mailto:tanct@envotech.com.my) |
| Environmental | | |
| Yii Tan Chang | Independent | [yiitan@peresearch.com.my](mailto:yiitan@peresearch.com.my) |
| Kanitha Krishnasamy | TRAFFIC Southeast Asia | [kanitha.krishnasamy@traffic.org](mailto:kanitha.krishnasamy@traffic.org) |
| Social | | |
| Thomas Jalong | Jaringan Orang Asal SeMalaysia (JOAS) | [rakankomuniti@gmail.com](mailto:rakankomuniti@gmail.com) |
| Si Siew Lim | Grassroots Consulting | [slim@onegrassroots.org](mailto:slim@onegrassroots.org) |

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# 2. Preamble

2.1. Purpose of the standard

This standard sets out the required elements against which FSC accredited Certification Bodies shall evaluate forest management practices within its scope (see 2.2. below). The [FSC Principles and Criteria](file:///C:\Users\g.fanso\Downloads\FSC-STD-01-001%20V5-2%20EN%20(2).pdf) (P&C) for Forest Stewardship provides an internationally recognized standard for responsible forest management. However, any international standard for forest management needs to be adapted at the regional or national level in order to reflect the diverse legal, social and geographical conditions of forests in different parts of the world.

The [FSC P&C](file:///C:\Users\g.fanso\Downloads\FSC-STD-01-001%20V5-2%20EN%20(2).pdf) therefore require indicators to be adapted to regional or national conditions in order to be implemented at the [Forest](#Forest) [Management Unit](#Management_Unit) (FMU) level.

With the approval of [*FSC-STD-60-004 V1-0 EN*](file:///C:\Users\g.fanso\Downloads\FSC-STD-60-004%20V1-0%20EN%20International%20Generic%20Indicators%20(9).pdf)the FSC *International Generic Indicators* (IGI) by the FSC Board of Directors in March 2015, the adaptation of the P&C to regional or national conditions is done using the [IGI standard](file:///C:\Users\g.fanso\Downloads\FSC-STD-60-004%20V1-0%20EN%20International%20Generic%20Indicators%20(9).pdf) as the starting point. This has the advantage to:

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

The [FSC Principles and Criteria](file:///C:\Users\g.fanso\Downloads\FSC-STD-01-001%20V5-2%20EN%20(2).pdf) together with a set of national indicators approved by FSC Policy and Standards Committee (PSC) constitute an FSC National Forest Stewardship Standard (NFSS).

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

* [*FSC-PRO-60-006 V2-0 EN*](file:///C:\Users\g.fanso\Downloads\FSC-PRO-60-006%20V2-0%20EN.pdf) *Development and Transfer of National Forest Stewardship Standards to the FSC Principles and Criteria Version 5-1;*
* [*FSC-STD-60-002*](file:///C:\Users\g.fanso\Downloads\FSC-STD-60-002_V1-0_EN_Structure+Content_National_FSS.pdf) *(V1-0) EN Structure and Content of National Forest Stewardship Standards AND*
* [*FSC-STD-60-006*](file:///C:\Users\g.fanso\Downloads\FSC-STD-60-006_V1-2_EN_Development_National_FSS.pdf) *(V1-2) EN Process requirements for the development and maintenance of National Forest Stewardship Standards.*

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

2.2. Scope of standard

This standard is applicable to all forest operations seeking FSC certification within Malaysia. The standard applies to natural and plantation forests. This standard applies at the Forest Management Unit level and is applicable to all scales and intensities of forest management operations.

2.3. Background information on standards development

The Malaysian National Forest Stewardship Standards development process was registered by the FSC Policy and Standards Unit in June 2011. The process included the development of three subsequent draft standards: draft standard 1.0 released on 17 March 2017, draft standard 2.0 released on XX XXXX 2017 and draft standard 3.0 released on XX XXXX 2017.

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

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

The draft standard 2.0 was forest tested in XXXX 2017 at X different sites covering the range of conditions in which it is applicable, including both large and small forests, and in a representative range of forest types. Forest test sites included XXX in Sarawak, XXX in Sabah and XXX in Peninsular Malaysia.

The draft standard 3.0 incorporated the comments received from stakeholders during public consultations and field testing. The draft standard 3.0 was submitted to FSC International for approval in XXXX 2017.

# 3. Version of the standard

The current version of the FSC National Forest Stewardship Standard for Malaysia is FSC-STD-MYS-01-2017 Natural and plantation forests EN. This version was formally approved by FSC International on XX XXXX XXXX and remains valid for a period of 5 years until XX XXXX XXXX.

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

# 4. Context

[Insert here a general description of the geographical area covered by the standard].

[List of members of the committee that prepared the standard].

[List of key consultants and advisors who assisted the committee].

# 5. References

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

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| FSC-POL-01-004 | Policy for the Association of Organizations with FSC |
| FSC-POL-20-003 | The Excision of Areas from the Scope of Certification |
| FSC-POL-30-001 | FSC Pesticides Policy |
| FSC-POL-30-401 | FSC Certification and the ILO Conventions |
| FSC-POL-30-602 | FSC Interpretation on GMOs (Genetically Modified Organisms) |
| FSC-STD-01-002 | Glossary of Terms |
| FSC-STD-01-003 | SLIMF Eligibility Criteria |
| FSC-STD-20-007 | Forest Management Evaluations |
| FSC-STD-30-005 | FSC Standard for Group Entities in Forest Management Groups |
| FSC-STD-60-002 | Structure and Content of National Forest Stewardship Standards |
| FSC-STD-60-006 | Development of National Forest Stewardship Standards |
| FSC-PRO-01-001 | The Development and Revision of FSC Normative Documents |
| FSC-PRO-01-005 | Processing Appeals |
| FSC-PRO-01-008 | Processing Complaints in the FSC Certification Scheme |
| FSC-PRO-01-009 | Processing Policy for Association Complaints in the FSC Certification Scheme |
| FSC-DIR-20-007 | FSC Directive on Forest Management Evaluations |
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# 6. Note on the interpretation of indicators

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

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

FSC has developed the ‘Guideline for Standard Developers for addressing risk of unacceptable activities in regard to scale and intensity’ (FSC-GUI-60-002 V1-0 D1-3 EN) to provide a generic framework for Standard Developers to:

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

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

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

However, this standard was developed with a focus on applicability to the majority of forest operations in Malaysia. Hence, there is a desire to maintain the least complex version of the standards. In addition, SIR was considered during the development of all indicators in this standard. SIR requirements will also be addressed as a priority during the next review and revision of this standard.

**6.2 High Conservation Values (HCVs)**

The National HCV Toolkit is required when applying this standard.

While the National HCV Toolkit is being updated, the following documents provided by the HCV Resource Network apply:

* HCV Guidance – These are the most current guidance documents from the Network and include the current HCV definitions. These HCV definitions override any past guidance or toolkits.
* HCV National Interpretations – These provide practical guidance on how to identify, manage and monitor HCVs at the national level.
* Governance documents – The Charter and Annual Reports for the HCV Resource Network.
* Working papers – A selection of working papers and peer-reviewed journal articles on HCV in various commodity contexts and ecosystems.

These documents are available from the HCV Resource Network website: <https://www.hcvnetwork.org/resources>. Organizations shall consider these documents when establishing their specific HCV management strategies. Certification Bodies shall use the resources provided by the HCV Resource Network to verify that The Organization’s activities are in compliance with the related indicators.

[Annex H](#Annex_H) of this standard provides an overview of possible management strategies for maintenance or enhancement of HCVs, [Annex I](#Annex_I) provides a framework for conducting HCV assessments while [Annex J](#Annex_J) provides information sources for the identification of HCVs in Malaysia.

# 7. Principles, Criteria and National Indicators

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| PRINCIPLE 1: COMPLIANCE WITH LAWS  [The Organization](#The_Organization) shall comply with all [applicable laws](#Applicable_law), regulations and nationally-[ratified](#Ratified) international treaties, conventions and agreements. (P1 P&C V4) |
| Criterion 1.1. [The Organization](#The_Organization) shall be a legally defined entity with clear, documented and unchallenged [legal registration](#Legal_registration), with written authorization from the [legally competent](#Legally_competent) authority for specific activities. (new) |
| Indicator 1.1.1. [Legal registration](#Legal_registration) to carry out all activities within the scope of the certificate is documented and there are no unresolved, substantiated challenges.  Verifiers: Memorandum and Articles of Association (M&A) citing the relevant Enactment or Act for which [The Organization](#The_Organization) was established under, and objectives and activities of [The Organization](#The_Organization). |
| Indicator 1.1.2. [Legal registration](#Legal_registration) is granted by a [legally competent](#Legally_competent) authority according to legally prescribed processes.  Verifiers:  1) For Companies and Limited Liability Partnerships – Original or certified copies of statutory documents under Companies Commission of Malaysia demonstrating:   1. Company registration 2. Shareholders and ownership 3. Address of registered office and operating hours 4. Information and contact details of directors, managers and company secretaries   2) For Government Organizations – Gazetted state or federal enactment or Act on the establishment of [The Organization](#The_Organization).  3) For Societies – Original or certified copies:   1. Registration Certificate 2. List of Registered Office Bearers 3. Constitution of Society   4) For Sole Proprietorship and Partnership – Original or certified copies of Business registration certificate. |
| Criterion 1.2. [The Organization](#The_Organization) shall demonstrate that the [legal](#Legal) status of the [Management Unit](#Management_Unit), including [tenure](#Tenure) and [use rights](#Use_rights), and its boundaries, are clearly defined. (C2.1 P&C V4) |
| Indicator 1.2.1. [Legal](#Legal) [tenure](#Tenure) to manage and use resources within the scope of the certificate is documented.  Verifiers:  1) For Sabah:   1. Sustainable Forest Management License Agreement (SFMLA) Timber License Agreement, 2. Land Titles or Land Lease Agreement for the [Management Unit](#Management_Unit), 3. Non-Timber Forest Products licenses, and 4. any other licences (i.e. ecotourism, ecosystem services and agroforestry).   2) For Sarawak:   1. Forest Timber License and/or License for Planted Forests, 2. Land Titles or Land Lease Agreement for the [Management Unit](#Management_Unit), 3. Non-Timber Forest Products licenses, and 4. any other licences (i.e. ecotourism, ecosystem services and agroforestry).   3) For Peninsular Malaysia:   1. Duly signed concession agreement and/or assignment deed in favour of [The Organization](#The_Organization), 2. Land Titles or Land Lease Agreement for the [Management Unit](#Management_Unit), 3. Non-Timber Forest Products licenses, 4. Entry Permits, 5. Harvesting Permits, and 6. any other licences (i.e. ecotourism, ecosystem services and agroforestry). |
| Indicator 1.2.2. [Legal](#Legal) [tenure](#Tenure) is granted by a [legally competent](#Legally_competent) authority according to legally prescribed processes.  Verifiers: Government Gazette for Forest Reserve and/or Permanent Reserved Forest and/or State Lands, land titles for private land. |
| Indicator 1.2.3 The boundaries of all [Management Unit](#Management_Unit)s within the scope of the certificate are clearly marked or documented and clearly shown on maps.  Verifiers: Official maps by relevant State Forestry Departments and/or Land Office or Land and Survey Department showing the boundaries of the [Management Unit](#Management_Unit). |
| Criterion 1.3. [The Organization](#The_Organization) shall have [legal](#Legal) rights to operate in the [Management Unit](#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](#Local_laws) and regulations and administrative requirements. The legal rights shall provide for harvest of products and/or supply of [ecosystem services](#Ecosystem_services) from within the Management Unit. The Organization shall pay the legally prescribed charges associated with such rights and obligations. (C1.1, 1.2, 1.3 P&C V4) |
| Indicator 1.3.1. All activities undertaken in the [Management Unit](#Management_Unit) are carried out in compliance with:  1) [Applicable laws](#Applicable_law) and regulations and administrative requirements,  2) [Legal](#Legal) and [customary rights](#Customary_rights); and  3) [Obligatory codes of practice](#Obligatory_code_of_practice).  Verifiers: Original or certified copies of trading or business licenses from local councils (where applicable).  Note: See verifiers for Indicator 1.2.1 and [Annex A](#Annex_A). |
| Indicator 1.3.2. Payment is made in a [timely manner](#Timely_manner) of all applicable legally prescribed charges connected with [forest](#Forest) management.  Verifiers: Records such as invoices, tax returns and receipts or waiver and exemptions from legally competent authorities. |
| Criterion 1.4. [The Organization](#The_Organization) shall develop and implement measures, and/or shall engage with regulatory agencies, to systematically protect the [Management Unit](#Management_Unit) from unauthorized or illegal resource use, settlement and other illegal activities. (C1.5 P&C V4) |
| Indicator 1.4.1. Unauthorized activities are identified and measures are implemented to provide [protection](#Protection) for the [Management Unit](#Management_Unit).  Note: the implementation of these measures does not limit the rights of [local communities](#Local_communities) and [indigenous peoples](#Indigenous_Peoples) consistent with P3 and P4.  Verifiers:  1) [Standard Operating Procedures](#SOPs) (see [Annex K](#Annex_K))  2) Records of all detected instances of unauthorized and/or illegal activities,  3) Field verification of boundaries marked in areas where there is a high risk of encroachment and SOP implementation,  4) Interviews with Surveillance and Enforcement Units. |
| Indicator 1.4.2. Where [protection](#Protection) is the [legal](#Legal) responsibility of regulatory bodies, a system is implemented to work with these regulatory bodies to identify, report, control and discourage unauthorized or illegal activities.  Verifiers: Records of engagement with regulatory agencies. |
| Indicator 1.4.3. If illegal or unauthorized activities are detected, measures are implemented to address them.  Verifiers:  1) Records of corrective actions taken to control the illegal activities, and  2) Interviews with Surveillance and Enforcement Units. |
| Criterion 1.5. [The Organization](#The_Organization) shall comply with the applicable [national laws](#National_laws), local laws, [ratified](#Ratified) international conventions and [obligatory codes of practice](#Obligatory_code_of_practice), relating to the transportation and trade of forest products within and from the [Management Unit](#Management_Unit), and/or up to the point of first sale. (C1.3 P&C V4) |
| Indicator 1.5.1. Compliance with applicable [national laws](#National_laws), [local laws](#Local_laws), [ratified](#Ratified) international conventions and [obligatory codes of practice](#Obligatory_code_of_practice) relating to the transportation and trade of forest products up to the point of first sale is demonstrated.  Verifiers:  1) Documents such as removal pass permit, delivery orders, invoices, bill of lading, export declaration form, timber disposal permit and others as relevant,  2) Tree tagging records and/or production records, and  3) Interviews with employees, contractors, regulatory authorities and communities.  Note: See [Annex A](#Annex_A). |
| Indicator 1.5.2 Compliance with CITES provisions is demonstrated, including through possession of certificates for harvest and trade in any CITES-listed species.  Verifiers:  1) Lists of all locally occurring timber species that are listed by CITES within the [Management Unit](#Management_Unit), and  2) Permits for harvest and trade.  Note: See [Annex A](#Annex_A). |
| Criterion 1.6. [The Organization](#The_Organization) shall identify, prevent and resolve [disputes](#Dispute) over issues of statutory or [customary law](#Customary_law), which can be settled out of court in a [timely manner](#Timely_manner), through engagement with [affected stakeholders](#Affected_stakeholder). (C2.3 P&C V4) |
| Indicator 1.6.1. A [publicly available](#Publicly_available) [dispute](#Dispute) resolution process is in place as a [Standard Operating Procedure](#SOPs); developed through [culturally appropriate](#Culturally_appropriate) [engagement](#Engaging_engagement) with [affected stakeholders](#Affected_stakeholder).  Verifiers:  1) [Standard Operating Procedures](#SOPs) (see [Annex K](#Annex_K)) for dispute resolution/settlement including related dispute identification and prevention procedures, and  2) Records of engagement with affected stakeholders. |
| Indicator 1.6.2. [Disputes](#Dispute) related to issues of [applicable laws](#Applicable_law) or [customary law](#Customary_law) that can be settled out of court are responded to in a [timely manner](#Timely_manner), and are either resolved or are in the [dispute](#Dispute) resolution process.  Verifiers:  1) Settlement agreements and/or documented cases (if any), and  2) Interviews with affected stakeholders and community liaison officer. |
| Indicator 1.6.3. Up to date records of disputes related to issues of [applicable laws](#Applicable_law) or [customary law](#Customary_law), are held including:  1) Steps taken to resolve [disputes](#Dispute);  2) Outcomes of all [dispute](#Dispute) resolution processes; and  3) Unresolved [disputes](#Dispute), the reasons they are not resolved, and how they will be resolved.  Verifiers: Settlement agreements and/or documented cases (if any). |
| Indicator 1.6.4. Operations cease in areas where [disputes](#Dispute) exist:  1) Of [substantial magnitude](#Dispute_of_substantial_magnitude); or  2) Of [substantial duration](#Dispute_of_substantial_duration); or  3) Involving a [significant](#Significant) number of interests.  Verifiers: Interviews with affected stakeholders and community liaison officer. |
| Criterion 1.7. [The Organization](#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](#Scale) and [intensity](#Intensity) of management activities and the [risk](#Risk) of corruption. (new) |
| Indicator 1.7.1. A policy is implemented that includes a commitment not to offer or receive bribes of any description.  Verifiers:  1) Written and publicly available policy, and  2) Communications materials (such as circulars, notifications, posters, etc.) regarding policy to staff, including contractors and other stakeholders. |
| Indicator 1.7.2. The policy meets or exceeds related legislation.  Verifiers:  1) Written policy, and  2) Copies of related legislation. |
| Indicator 1.7.3. The policy is [publicly available](#Publicly_available) at no cost.  Verifiers: Written and publicly available policy. |
| Indicator 1.7.4. Corrective measures are implemented if corruption does occur.  Verifiers: Records of implemented corrective measures (if any). |
| **Criterion 1.8.** [The Organization](#The_Organization) shall demonstrate a [long-term](#Longterm) commitment to adhere to the FSC [Principles](#Principle) and [Criteria](#Criterion) in the [Management Unit](#Management_Unit), and to related FSC Policies and Standards. A statement of this commitment shall be contained in a [publicly available](#Publicly_available) document made freely available. (C1.6 P&C V4) |
| **Indicator 1.8.1.** A written policy, endorsed by an individual with authority to implement the policy, includes a [long-term](#Longterm) commitment to [forest](#Forest) management practices consistent with FSC [Principles](#Principle) and [Criteria](#Criterion) and related Policies and Standards.  Verifiers:Written policy endorsed by [The Organization](#The_Organization)’s senior authorities stating [The Organization](#The_Organization)‘s long-term commitment to forest management practices consistent with the FSC Principles and Criteria, management plan. |
| **Indicator 1.8.2.** The policy is [publicly available](#Publicly_available) at no cost.  Verifiers: Written and publicly available policy. |

[**Go to Annex A.**](#Annex_A)

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| **PRINCIPLE 2:** [**WORKERS**](#Workers)**’ RIGHTS AND EMPLOYMENT CONDITIONS**  [The Organization](#The_Organization) shall maintain or enhance the social and economic wellbeing of [workers](#Workers). (new) |
| **Criterion 2.1** [The Organization](#The_Organization) shall [uphold](#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. (C4.3 P&C V4) |
| Indicator 2.1.1. Employment practices and conditions for [workers](#Workers) demonstrate conformity with or [uphold](#Uphold) the principles and rights of work addressed in the eight ILO Core Labour Conventions as defined in the ILO Declaration on Fundamental Principles and Rights at Work (1998) and relevant Malaysian labour laws.  Verifiers:  1) Interviews with Forest Managers, workers, contractors, labour union and regulatory authorities,  2) Policies, procedures and personnel records,  3) No evidence or police/court records (through random interviews with employees / staff) showing:   1. Intimidation or reprisal in relation to employees’ freedom of association and the effective recognition of the right to collective bargaining 2. Forced or compulsory labour 3. Child labour 4. Discrimination in respect of employment and occupation   Note: See [Annex A](#Annex_A). |
| **Indicator 2.1.2.** [Workers](#Workers) are able to establish or join labour organizations of their own choosing subject to the rules of the labour organization and country concerned.  Verifiers: Interviews with workers and management. |
| **Indicator 2.1.3.** Agreements are implemented resulting from collective bargaining with recognized workers organizations.  Verifiers:  1) Agreements, and  2) Interviews with workers and representatives of recognized workers organizations. |
| **Criterion 2.2.** [The Organization](#The_Organization) shall promote [gender equality](#Gender_equality) in employment practices, training opportunities, awarding of contracts, processes of [engagement](#Engaging_engagement) and management activities. (new) |
| Indicator 2.2.1. Systems are implemented that promote [gender equality](#Gender_equality) and prevent gender discrimination in employment practices, training opportunities, awarding of contracts, processes of [engagement](#Engaging_engagement) and management activities.  Verifiers:  1) Organization’s policy on [gender equality](#Gender_equality),  2) Documentation communicating [The Organization](#The_Organization)’s policy on [gender equality](#Gender_equality) (e.g: circulars or notification to employees, contractors etc), and  3) Interviews with managers, workers and stakeholders. |
| Indicator 2.2.2. Job opportunities are open to both women and men, and women are encouraged to participate actively in all levels of employment.  Verifiers: Interviews with managers, workers and stakeholders (focusing on women). |
| Indicator 2.2.3. Work typically carried out by women (nurseries, silviculture, Non Timber Forest Product harvesting, weighing, packing, etc.) is included in training and health & safety programs to the same extent as work typically carried out by men.  Verifiers:  1) Records of training and health & safety programs, and  2) Interviews with workers (focusing on women). |
| Indicator 2.2.4. Women and men are paid the same wage when they do the same work.  Verifiers:  1) Wage records, and  2) Interviews with workers. |
| Indicator 2.2.5. Women are paid directly and using mutually agreed methods (e.g. direct bank transfer, direct payments for school fees, etc.) to ensure they safely receive and retain their wages.  Verifiers:  1) Wage payment records, and  2) Interviews with workers (focusing on women). |
| Indicator 2.2.6. Maternity leave is no less than a 60-day period after childbirth.  Verifiers:  1) Maternity leave records, and  2) Interviews with workers (focusing on women). |
| Indicator 2.2.7. Paternity leave is available and there is no penalty for taking it.  Verifiers:  1) Paternity leave records, and  2) Interviews with workers (focusing on men). |
| Indicator 2.2.8. Meetings, management committees and decision-making forums are organized to include women and men, and to facilitate the active participation of both.  Verifiers: Records and participation lists of meetings, committees and forums. |
| Indicator 2.2.9. Confidential and effective mechanisms exist for reporting and eliminating cases of sexual harassment and discrimination based on gender, marital status, parenthood or sexual orientation.  Verifiers:  1) [Standard Operating Procedures](#SOPs) (see [Annex K](#Annex_K)),  2) Case reports (if any), and  3) No evidence of discrimination on the basis of gender and sexual harassment but awareness of reporting mechanisms (through interviews with managers, workers, contractors and labour union representatives, and other relevant stakeholders). |
| Criterion 2.3. [The Organization](#The_Organization) shall implement health and safety practices to protect [workers](#Workers) from occupational safety and health hazards. These practices shall, proportionate to [scale, intensity and risk](#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. (C4.2 P&C V4) |
| Indicator 2.3.1. Health and safety practices are developed and implemented that meet or exceed the ILO Code of Practice on Safety and Health in Forestry Work.  Verifiers:  1) Circulars on laws and regulations covering health and safety of workers,  2) Interviews with Forest Managers to demonstrate understanding of relevant laws,  3) Interviews with employees/contractors of [The Organization](#The_Organization), government officers and relevant stakeholders/experts,  4) [The Organization](#The_Organization)’s occupational safety and health hazards policy, [Standard Operating Procedures](#SOPs) (see [Annex K](#Annex_K)) and/or working instructions, which are prominently displayed at work sites and in languages understandable to forest workers,  5) Field observation of workplace and machinery as well as maintenance records.  Note: See [Annex A](#Annex_A). |
| Indicator 2.3.2. [Workers](#Workers) have personal protective equipment appropriate to their assigned tasks.  Verifiers:  1) Field observation of equipment use,  2) Interviews with workers, and  3) Records of issuance of personal protective equipment. |
| Indicator 2.3.3. Use of personal protective equipment is enforced.  Verifiers:  1) Field observation of equipment use,  2) Records of disciplinary action taken against workers who fail to use their PPE (if any), and  3) Interviews with managers. |
| Indicator 2.3.4. Records are kept on health and safety practices including accident rates and lost time to accidents.  Verifiers: Records of accidents and health & safety practices, accident reports and analyses. |
| **Indicator 2.3.5.** The frequency andseverity of accidents are consistently low compared to national [forest](#Forest) industry averages.  Verifiers:  1) Records of accidents, and  2) Figures for national forest industry accident averages. |
| **Indicator 2.3.6.** The health and safety practices are reviewed and revised as required after major incidents or accidents.  Verifiers:  1) Records of accidents, and  2) Reviews/revisions of health & safety practices. |
| Criterion 2.4. [The Organization](#The_Organization) shall pay wages that meet or exceed minimum [forest](#Forest) industry standards or other recognized forest industry wage agreements or [living wages](#Living_wage), where these are higher than the [legal](#Legal) minimum wages. When none of these exist, The Organization shall through engagement with workers develop mechanisms for determining [living wages](#Living_wage). (new) |
| **Indicator 2.4.1.** Wages paid by [The Organization](#The_Organization) in all circumstances meet or exceed [legal](#Legal) minimum wage rates, where such rates exist.  Verifiers: Records of pay/salary slips of workers.  Note: See [Annex A](#Annex_A). |
| **Indicator 2.4.2.** Wages paid meet or exceed:  1) Minimum [forest](#Forest) industry standards; or  2) Other recognized [forest](#Forest) industry wage agreements; or  3) [living wages](#Living_wage) that are higher than [legal](#Legal) minimum wages.  Verifiers:  1) Records of pay/salary slips of workers,  2) Wage data and agreements from national timber industry associations and/or relevant government authorities,  3) Calculations of living wages. |
| **Indicator 2.4.3.** When no minimum wage levels exist, wages are established through [culturally appropriate](#Culturally_appropriate) [engagement](#Engaging_engagement) with [workers](#Workers) and/or [formal and informal workers organizations](#Formal_and_informal_workers_organization).  Verifiers: Records of engagement with workers and/or representatives formal and informal workers’ organizations. |
| **Indicator 2.4.4.** Wages, salaries and contracts are paid on a timely basis complying with local legislation.  Verifiers: Interviews with workers and contractors. |
| Criterion 2.5 [The Organization](#The_Organization) shall demonstrate that [workers](#Workers) have job-specific training and supervision to safely and effectively implement the [management plan](#Management_plan) and all management activities. (C7.3 P&C V4) |
| **Indicator 2.5.1.** [Workers](#Workers) have job specific training consistent with [Annex B](#Annex_B) and supervision to safely and effectively contribute to the implementation of the [management plan](#Management_plan) and all management activities.  Verifiers:  1) Records of training programmes, evaluations and attendance,  2) Skill or training certificates, and  3) Interviews with workers. |
| **Indicator 2.5.2.** Up to date training records are kept for all relevant [workers](#Workers).  Verifiers: Records of training. |
| Criterion 2.6 [The Organization](#The_Organization) through [engagement](#Engaging_engagement) with [workers](#Workers) shall have mechanisms for resolving grievances and for providing [fair compensation](#Fair_compensation) to workers for loss or damage to property, [occupational diseases](#Occupational_disease), or [occupational injuries](#Occupational_injuries) sustained while working for The Organization. |
| **Indicator 2.6.1.** A [dispute](#Dispute) resolution process is in place, developed through [culturally appropriate](#Culturally_appropriate) [engagement](#Engaging_engagement) with [workers](#Workers).  Verifiers:  1) Documented dispute resolution procedure,  2) Records of engagement with workers regarding the development of the dispute grievance procedure,  3) Interviews with forest managers, workers, and labour union representatives. |
| **Indicator 2.6.2.** [Workers](#Workers) grievances are identified and responded to and are either resolved or are in the [dispute](#Dispute) resolution process.  Verifiers:  1) Records of grievances, and  2) Interviews with managers, workers and labour union representatives. |
| **Indicator 2.6.3.** Up-to-date records of [workers](#Workers) grievances related to [workers](#Workers) loss or damage of property, [occupational diseases](#Occupational_disease) or [injuries](#Occupational_injuries) are maintained including:  1) Steps taken to resolve grievances;  2) Outcomes of all [dispute](#Dispute) resolution processes including [fair compensation](#Fair_compensation); and  3) Unresolved [disputes](#Dispute), the reasons they are not resolved, and how they will be resolved.  Verifiers: Records of grievances. |
| **Indicator 2.6.4.** [Fair compensation](#Fair_compensation) is provided to [workers](#Workers) for work-related loss or damage of property and [occupational disease](#Occupational_disease) or [injuries](#Occupational_injuries).  Verifiers:  1) Records of fair compensation paid to workers, and  2) Interviews with relevant workers. |

**[Go to Annex B.](#Annex_B)**

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| PRINCIPLE 3: [INDIGENOUS PEOPLES’](#Indigenous_Peoples) RIGHTS  [The Organization](#The_Organization) shall identify and [uphold](#Uphold) Indigenous Peoples’ [legal](#Legal) and [customary rights](#Customary_rights) of ownership, use and management of land, territories and resources affected by management activities. (P3 P&C V4) |
| Criterion 3.1. [The Organization](#The_Organization) shall identify the Indigenous Peoples that exist within the [Management Unit](#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](#Tenure), their rights of access to and use of [forest](#Forest) resources and [ecosystem services](#Ecosystem_services), their [customary rights](#Customary_rights) and legal rights and obligations that apply within the Management Unit. The Organization shall also identify areas where these rights are contested. (new) |
| Indicator 3.1.1. [Indigenous Peoples](#Indigenous_Peoples) that may be affected by management activities are identified.  Verifiers:  1) Records on methods used by [The Organization](#The_Organization) to identify all [Indigenous Peoples](#Indigenous_Peoples) that may be affected by management activities, and  2) Lists of all [Indigenous Peoples](#Indigenous_Peoples) that exist within and outside the [Management Unit](#Management_Unit) that may be affected by management activities. Lists should include key characteristics of the [Indigenous Peoples](#Indigenous_Peoples) concerned including ethnic group, number of households, population, etc. |
| Indicator 3.1.2. Through [culturally appropriate](#Culturally_appropriate) [engagement](#Engaging_engagement) with the [Indigenous Peoples](#Indigenous_Peoples) identified in 3.1.1, the following issues are documented and/or mapped:  1) Their [legal](#Legal) and [customary rights](#Customary_rights) of [tenure](#Tenure);  2) Their [legal](#Legal) and [customary](#Customary_rights) access to, and [use rights](#Use_rights), of the [forest](#Forest) resources and [ecosystem services](#Ecosystem_services);  3) Their [legal](#Legal) and [customary rights](#Customary_rights) and obligations that apply;  4) The evidence supporting these rights and obligations;  5) Areas where rights are contested between [Indigenous Peoples](#Indigenous_Peoples), governments and/or others;  6) Summary of the means by which the [legal](#Legal) and [customary rights](#Customary_rights) and contested rights, are addressed by [The Organization](#The_Organization);  7) The aspirations and goals of [Indigenous Peoples](#Indigenous_Peoples) related to management activities.  Verifiers:  1) [Community engagement strategy](#Community_Engagement_Strategy) and evidence of its implementation, through interviews and examination of records,  2) Maps and other relevant records identifying all lands or territories of [Indigenous Peoples](#Indigenous_Peoples) within the [Management Unit](#Management_Unit),  3) Records of engagement with [Indigenous Peoples](#Indigenous_Peoples) (reflecting consultation was conducted and concluded through [Indigenous Peoples](#Indigenous_Peoples) representative sign-off),  4) Records and documents identifying all key rights of [Indigenous Peoples](#Indigenous_Peoples) within the [Management Unit](#Management_Unit) to tenure, resources, customary significance, recreation, sustenance, water resources and other applicable ecosystem services,  5) Records of supporting historical documents, oral history (e.g. recordings, etc.) to support claims made by [Indigenous Peoples](#Indigenous_Peoples),  6) Records and maps of all identified areas where rights are contested. This should include historical information (e.g. settlement, usage, documentation from former government, etc.) of [Indigenous Peoples](#Indigenous_Peoples) in the area,  7) Records of consultations including at least one relevant government agency, NGO or academic expert, and  8) Interviews with [Indigenous Peoples](#Indigenous_Peoples). |
| Criterion 3.2. [The Organization](#The_Organization) shall recognize and [uphold](#Uphold) the legal and [customary rights](#Customary_rights) of [Indigenous Peoples](#Indigenous_Peoples) to maintain control over management activities within or related to the [Management Unit](#Management_Unit) to the extent necessary to protect their rights, resources and [lands and territories](#Lands_and_territories). Delegation by Indigenous Peoples of control over management activities to third parties requires [Free, Prior and Informed Consent](#Free_Prior_and_Informed_Consent). (C3.1 and 3.2 P&C V4) |
| Indicator 3.2.1. Through [culturally appropriate](#Culturally_appropriate) [engagement](#Engaging_engagement) [Indigenous Peoples](#Indigenous_Peoples) are informed when, where and how they can comment on and request modification to management activities to the extent necessary to protect their rights, resources, [lands and territories](#Lands_and_territories).  Verifiers:  1) Interviews with [Indigenous Peoples](#Indigenous_Peoples),  2) Records of engagement, and  3) Relevant sections of the management plan. |
| Indicator 3.2.2. The [legal](#Legal) and/or [customary rights](#Customary_rights) of [Indigenous Peoples](#Indigenous_Peoples) are not violated by [The Organization](#The_Organization).  Verifiers: Interviews with [Indigenous Peoples](#Indigenous_Peoples) and workers (to demonstrate knowledge of the legal and customary rights of Indigenous Peoples). |
| Indicator 3.2.3. Where evidence exists that [legal](#Legal) and/or [customary rights](#Customary_rights) of [Indigenous Peoples](#Indigenous_Peoples) related to management activities have been violated the situation is corrected, if necessary, through [culturally appropriate](#Culturally_appropriate) [engagement](#Engaging_engagement) and/or through the [dispute](#Dispute) resolution process as required in [Criteria](#Criterion) 1.6 or 4.6.  Verifiers:  1) Interviews with [Indigenous Peoples](#Indigenous_Peoples),  2) Agreements between [The Organization](#The_Organization) and [Indigenous Peoples](#Indigenous_Peoples) (if any),  3) Records of engagement and/or dispute resolution process. |
| Indicator 3.2.4. [Free, prior and informed consent](#Free_Prior_and_Informed_Consent) is granted by [Indigenous Peoples](#Indigenous_Peoples) prior to management activities that affect their identified rights through a process that includes: 1) Ensuring [Indigenous Peoples](#Indigenous_Peoples) know their rights and obligations regarding the resource; 2) Informing the [Indigenous Peoples](#Indigenous_Peoples) of the value, in economic, social and environmental terms, of the resource over which they are considering delegation of control; 3) Informing the [Indigenous Peoples](#Indigenous_Peoples) of their right to withhold or modify consent to the proposed management activities to the extent necessary to protect their rights, resources, [lands and territories](#Lands_and_territories); and  4) Informing the [Indigenous Peoples](#Indigenous_Peoples) of the current and future planned [forest](#Forest) management activities.  Verifiers:  1) Interviews with [Indigenous Peoples](#Indigenous_Peoples),  2) Agreements between [The Organization](#The_Organization) and [Indigenous Peoples](#Indigenous_Peoples), and  3) Records of engagement. |
| Criterion 3.3. In the event of delegation of control over management activities, a binding agreement between [The Organization](#The_Organization) and the [Indigenous Peoples](#Indigenous_Peoples) shall be concluded through [Free, Prior and Informed Consent](#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](#Indigenous_Peoples) of The Organization’s compliance with its terms and conditions. (new) |
| Indicator 3.3.1. Where control over management activities has been granted through [Free, Prior and Informed Consent](#Free_Prior_and_Informed_Consent) based on [culturally appropriate](#Culturally_appropriate) [engagement](#Engaging_engagement), the [binding agreement](#Binding_Agreement) contains the duration, provisions for renegotiation, renewal, termination, economic conditions and other terms and conditions.  Verifiers:  1) Binding agreement,  2) Records of engagement, and  3) Interviews with Indigenous Peoples. |
| Indicator 3.3.2. Records of [binding agreement](#Binding_Agreement) are maintained.  Verifiers: Records related to the binding agreement. |
| Indicator 3.3.3. The [binding agreement](#Binding_Agreement) contains the provision for monitoring by [Indigenous Peoples](#Indigenous_Peoples) of [The Organization](#The_Organization)’s compliance with its terms and conditions.  Verifiers:  1) Binding agreement,  2) Interviews with Indigenous Peoples,  3) Written or non-written reports from Indigenous Peoples, and  4) Documented evidence of fulfilment of conditions of the binding agreement. |
| Criterion 3.4 [The Organization](#The_Organization) shall recognize and [uphold](#Uphold) the rights, customs and culture of [Indigenous Peoples](#Indigenous_Peoples) as defined in the United Nations Declaration on the Rights of Indigenous Peoples (2007) and ILO Convention 169 (1989). (C3.2P&C V4) |
| Indicator 3.4.1. There shall be a [publicly available](#Publicly_available) declaration/policy endorsed by senior management of [The Organization](#The_Organization) explicitly stating that [The Organization](#The_Organization) shall recognize and [uphold](#Uphold) the rights, customs and culture of [Indigenous Peoples](#Indigenous_Peoples) as defined in the United Nations Declaration on the Rights of Indigenous Peoples (2007) and ILO Convention 169 (1989).  Verifiers: Declaration/policy.  Note: See [Annex A](#Annex_A). |
| Indicator 3.4.2. The rights, customs and culture of [Indigenous Peoples](#Indigenous_Peoples) as defined in UNDRIP and ILO Convention 169 are not violated by [The Organization](#The_Organization).  Verifiers:  1) Interviews with Indigenous Peoples and relevant stakeholders,  2) Interviews with the forest manager and/or relevant officer of [The Organization](#The_Organization) and/or outsourced parties,  3) Records of training delivered to relevant workers (for demonstrable understanding of UNDRIP and ILO Convention 169 relevant to Indigenous Peoples’ rights, customs and culture). |
| Indicator 3.4.3. Where evidence that rights, customs and culture of [Indigenous Peoples](#Indigenous_Peoples), as defined in UNDRIP and ILO Convention 169, have been violated by [The Organization](#The_Organization), the situation is documented including steps to [restore](#Restore_Restoration) these rights, customs and culture of [Indigenous Peoples](#Indigenous_Peoples), to the satisfaction of the rights holders.  Verifiers:  1) Interviews with Indigenous Peoples, and  2) Documentation of relevant steps taken by [The Organization](#The_Organization). |
| Criterion 3.5. [The Organization](#The_Organization), through [engagement](#Engaging_engagement) with [Indigenous Peoples](#Indigenous_Peoples), shall identify sites which are of special cultural, ecological, economic, religious or spiritual significance and for which these Indigenous Peoples hold [legal](#Legal) or [customary rights](#Customary_rights). These sites shall be recognized by The Organization and their management, and/or [protection](#Protection) shall be agreed through engagement with these Indigenous Peoples. (C3.3P&C V4) |
| Indicator 3.5.1. Sites of special cultural, ecological, economic, religious or spiritual significance for which [Indigenous Peoples](#Indigenous_Peoples) hold [legal](#Legal) or [customary rights](#Customary_rights) are identified through [culturally appropriate](#Culturally_appropriate) [engagement](#Engaging_engagement).  Verifiers:  1) Map showing sites of special cultural, ecological, economic, religious or spiritual significance and related supporting documents, and  2) Records of engagement through participatory approach with Indigenous Peoples and their representatives on the identification and mapping of sites. |
| Indicator 3.5.2. Measures to protect such sites are agreed, documented and implemented through [culturally appropriate](#Culturally_appropriate) [engagement](#Engaging_engagement) with [Indigenous Peoples](#Indigenous_Peoples). When [Indigenous Peoples](#Indigenous_Peoples) determine that physical identification of sites in documentation or on maps would threaten the value or [protection](#Protection) of the sites, then other means will be used.  Verifiers:  1) Records of engagement with Indigenous Peoples and/or relevant stakeholders,  2) Documentation of measures to protect such sites,  3) Interviews with Indigenous Peoples,  4) Management plan,  5) Operational maps,  6) Interviews with forest manager, and  7) Field verification. |
| Indicator 3.5.3. Wherever sites of special cultural, ecological, economic, religious or spiritual significance are newly observed or discovered, management activities cease immediately in the vicinity until protective measures have been agreed to with the [Indigenous Peoples](#Indigenous_Peoples).  Verifiers:  1) Interviews with the forest manager and/or relevant officer of [The Organization](#The_Organization) and/or outsourced parties,  2) Interviews with workers and records of training (to identify these sites and implement the necessary measures to protect them before the start of management activities to avoid negative impacts), and  3) Interviews with Indigenous Peoples. |
| Criterion 3.6. [The Organization](#The_Organization) shall [uphold](#Uphold) the right of [Indigenous Peoples](#Indigenous_Peoples) to [protect](#Protection) and utilize their [traditional knowledge](#Traditional_Knowledge) and shall compensate [local communities](#Local_communities) for the utilization of such knowledge and their [intellectual property](#Intellectual_property). A [binding agreement](#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](#Free_Prior_and_Informed_Consent) before utilization takes place, and shall be consistent with the [protection](#Protection) of intellectual property rights. (C3.4 P&C V4) |
| Indicator 3.6.1. [Traditional knowledge](#Traditional_Knowledge) and [intellectual property](#Intellectual_property) are protected and are only used when the acknowledged owners of that [traditional knowledge](#Traditional_Knowledge) and [intellectual property](#Intellectual_property) have provided their [Free, Prior and Informed Consent](#Free_Prior_and_Informed_Consent) formalized through a [binding agreement](#Binding_Agreement).  Verifiers:  1) Declaration/policy by [The Organization](#The_Organization) explicitly stating that it shall recognize and uphold the rights of Indigenous Peoples to protect and utilize their traditional knowledge,  2) Records of joint utilization of traditional knowledge (if any),  3) Interviews with holders of traditional knowledge, and  4) Binding agreement. |
| Indicator 3.6.2. [Indigenous Peoples](#Indigenous_Peoples) are compensated according to the [binding agreement](#Binding_Agreement) reached through [Free, Prior and Informed Consent](#Free_Prior_and_Informed_Consent) for the use of [traditional knowledge](#Traditional_Knowledge) and [intellectual property](#Intellectual_property).  Verifiers:  1) Binding agreement, and  2) Records of engagement and compensation. |
| PRINCIPLE 4: COMMUNITY RELATIONS  [The Organization](#The_Organization) shall contribute to maintaining or enhancing the social and economic wellbeing of [local communities](#Local_communities). (P4 P&C V4) |
| Criterion 4.1. [The Organization](#The_Organization) shall identify the [local communities](#Local_communities) that exist within the [Management Unit](#Management_Unit) and those that are affected by management activities. The Organization shall then, through [engagement](#Engaging_engagement) with these local communities, identify their rights of [tenure](#Tenure), their rights of access to and use of [forest](#Forest) resources and [ecosystem services](#Ecosystem_services), their [customary rights](#Customary_rights) and [legal](#Legal) rights and obligations that apply within the Management Unit. (new) |
| Indicator 4.1.1. [Local communities](#Local_communities) that exist in the [Management Unit](#Management_Unit) and those that may be affected by management activities are identified.  Verifiers:  1) Records of methods used by [The Organization](#The_Organization) to identify all [local communities](#Local_communities) that exist within the [Management Unit](#Management_Unit), and those that are affected by its management activities, and  2) List of all [local communities](#Local_communities) that exist within the [Management Unit](#Management_Unit), or are affected by management activities. |
| Indicator 4.1.2. Through [culturally appropriate](#Culturally_appropriate) [engagement](#Engaging_engagement) with the [local communities](#Local_communities), identified in 4.1.1 the following are documented and/or mapped:  1) Their [legal](#Legal) and [customary rights](#Customary_rights) of [tenure](#Tenure);  2) Their [legal](#Legal) and [customary](#Customary_rights) access to, and [use rights](#Use_rights), of the [forest](#Forest) resources and [ecosystem services](#Ecosystem_services);  3) Their [legal](#Legal) and [customary rights](#Customary_rights) and obligations that apply;  4) The evidence supporting these rights and obligations;  5) Areas where rights are contested between [local communities](#Local_communities), governments and/or others.  6) Summary of the means by which the [legal](#Legal) and [customary rights](#Customary_rights), and contested rights are addressed by [The Organization](#The_Organization); and  7) The aspirations and goals of [local communities](#Local_communities) related to management activities.  Verifiers:  1) [Community engagement strategy](#Community_Engagement_Strategy) and evidence of its implementation, through interviews and examination of records,  2) Records of engagement with [local communities](#Local_communities),  3) Records reflect consultation was conducted and concluded through local community representative sign-off,  4) Records and documents identifying all key rights of [local communities](#Local_communities) within, and adjacent to the [Management Unit](#Management_Unit), to tenure, resources, customary significance, recreation, sustenance, water resources and other applicable ecosystem services,  5) Records of supporting historical documents, oral history (e.g. recordings, etc.) to support claims made by [local communities](#Local_communities), and  6) Interviews with [local communities](#Local_communities). |
| Criterion 4.2. [The Organization](#The_Organization) shall recognize and [uphold](#Uphold) the [legal](#Legal) and [customary rights](#Customary_rights) of [local communities](#Local_communities) to maintain control over management activities within or related to the [Management Unit](#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](#Free_Prior_and_Informed_Consent). (C2.2 P&C V4) |
| Indicator 4.2.1. Through [culturally appropriate](#Culturally_appropriate) [engagement](#Engaging_engagement), [local communities](#Local_communities) are informed of when, where and how they can comment on and request modification to management activities to the extent necessary to protect their rights.  Verifiers:  1) Records of engagement,  2) Interviews with [local communities](#Local_communities), and  3) Relevant sections of the management plan. |
| Indicator 4.2.2. The [legal](#Legal) and/or [customary rights](#Customary_rights) of [local communities](#Local_communities) to maintain control over management activities are not violated by [The Organization](#The_Organization).  Verifiers: Interviews with [local communities](#Local_communities). |
| Indicator 4.2.3. Where evidence exists that [legal](#Legal) and [customary rights](#Customary_rights) of [local communities](#Local_communities) related to management activities have been violated the situation is corrected, if necessary, through [culturally appropriate](#Culturally_appropriate) [engagement](#Engaging_engagement) and/or through the [dispute](#Dispute) resolution process in [Criteria](#Criterion) 1.6 or 4.6.  Verifiers:  1) Records of engagement,  2) Records of dispute resolution, and  3) Interviews with [local communities](#Local_communities). |
| Indicator 4.2.4. [Free, Prior and Informed Consent](#Free_Prior_and_Informed_Consent) is granted by [local communities](#Local_communities) prior to management activities that affect their identified rights through a process that includes:  1) Ensuring [local communities](#Local_communities) know their rights and obligations regarding the resource;  2) Informing the [local communities](#Local_communities) of the value, in economic, social and environmental terms, of the resource over which they are considering delegation of control;  3) Informing the [local communities](#Local_communities) of their right to withhold or modify consent to the proposed management activities to the extent necessary to protect their rights and resources; and  4) Informing the [local communities](#Local_communities) of the current and future planned [forest](#Forest) management activities.  Verifiers:  1) Agreement between [The Organization](#The_Organization) and [local communities](#Local_communities),  2) Records of engagement, and  3) Interviews with [local communities](#Local_communities). |
| Criterion 4.3. [The Organization](#The_Organization) shall provide [reasonable](#Reasonable) opportunities for employment, training and other services to [local communities](#Local_communities), contractors and suppliers proportionate to [scale](#Scale) and [intensity](#Intensity) of its management activities. (C4.1 P&C V4) |
| **Indicator 4.3.1.** [Reasonable](#Reasonable) opportunities are communicated and provided to [local communities](#Local_communities), local contractors and local suppliers for:  1) Employment,  2) Training, and  3) Other services.  Verifiers:  1) Needs assessment report,  2) Recruitment and employment records,  3) Locally distributed public job and training advertisements, and  4) Interviews with [local communities](#Local_communities), employees, contractors and suppliers on the opportunities and services provided. |
| Criterion 4.4. [The Organization](#The_Organization) shall implement additional activities, through [engagement](#Engaging_engagement) with [local communities](#Local_communities) that contribute to their social and economic development, proportionate to the [scale](#Scale), [intensity](#Intensity) and socio-economic impact of its management activities. (C4.4 P&C V4) |
| Indicator 4.4.1. Opportunities for local social and economic development are identified through [culturally appropriate](#Culturally_appropriate) [engagement](#Engaging_engagement) with [local communities](#Local_communities) and other relevant organizations.  Verifiers:  1) [The Organization](#The_Organization)’s documented programme for community relations, and  2) Records of engagement with [local communities](#Local_communities). |
| Indicator 4.4.2. Projects and additional activities are implemented and / or supported that contribute to local social and economic benefit and are proportionate to the socio-economic impact of management activities.  Verifiers:  1) Evidence of implementation of [The Organization](#The_Organization)’s programme for community relations (e.g. reports of activities, annual reports, etc.),  2) Interviews with [local communities](#Local_communities), and  3) Field observation. |
| Criterion 4.5. [The Organization](#The_Organization), through [engagement](#Engaging_engagement) with [local communities](#Local_communities), shall take action to identify, avoid and mitigate [significant](#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](#Scale_intensity_and_risk) of those activities and negative impacts. (C4.4 P&C V4) |
| **Indicator 4.5.1.** Through [culturally appropriate](#Culturally_appropriate) [engagement](#Engaging_engagement) with [local communities](#Local_communities), measures are implemented to identify, avoid and mitigate [significant](#Significant) negative social, environmental and economic impacts of management activities.  Verifiers:  1) Records of engagement,  2) Social, environmental and economic impact assessment report,  3) Interviews with affected [local communities](#Local_communities), management prescriptions identified within the management plan, and  4) Monitoring reports. |
| **Criterion 4.6**. [The Organization](#The_Organization), through [engagement](#Engaging_engagement) with [local communities](#Local_communities), shall have mechanisms for resolving grievances and providing [fair compensation](#Fair_compensation) to local communities and individuals with regard to the impacts of management activities of The Organization. (C4.5 P&CV4) |
| Indicator 4.6.1. A [publicly available](#Publicly_available) [dispute](#Dispute) resolution process is in place, developed through [culturally appropriate](#Culturally_appropriate) [engagement](#Engaging_engagement) with [local communities](#Local_communities).  Verifiers:  1) Documented dispute resolution process, or relevant section in the [Standard Operating Procedure](#SOPs) (see [Annex K](#Annex_K)) that describes the dispute resolution process, and  2) Records of engagement with [local communities](#Local_communities), and  3) Interviews with [local communities](#Local_communities). |
| Indicator 4.6.2. Grievances related to the impacts of management activities are responded to in a [timely manner](#Timely_manner), and are either resolved or are in the [dispute](#Dispute) resolution process.  Verifiers:  1) Documented process for voicing grievances from [local communities](#Local_communities),  2) Interviews with [local communities](#Local_communities), and  3) Records of dispute resolution decisions and actions. |
| Indicator 4.6.3. An up to date record of grievances related to the impacts of management activities is held including:  1) Steps taken to resolve grievances  2) Outcomes of all [dispute](#Dispute) resolution processes including [fair compensation](#Fair_compensation) to [local communities](#Local_communities) and individuals; and  3) Unresolved [disputes](#Dispute), the reasons they are not resolved, and how they will be resolved.  Verifiers:  1) Records of grievances,  2) Dispute resolution decisions and actions,  3) Records of compensation,  4) Monitoring records, and  5) Interviews with affected stakeholders. |
| Indicator 4.6.4. Operations cease in areas while [disputes](#Dispute) exist of:  1) [Substantial magnitude](#Dispute_of_substantial_magnitude);  2) [Substantial duration](#Dispute_of_substantial_duration); or  3) Involving a [significant](#Significant) number of interests.  Verifiers: Interviews with affected [local communities](#Local_communities) and community liaison officer. |
| **Criterion 4.7**[The Organization](#The_Organization), through [engagement](#Engaging_engagement) with [local communities](#Local_communities), shall identify sites which are of special cultural, ecological, economic, religious or spiritual significance, and for which these local communities hold [legal](#Legal) or [customary rights](#Customary_rights). These sites shall be recognized by The Organization, and their management and/or [protection](#Protection) shall be agreed through [engagement](#Engaging_engagement) with these local communities. (new) |
| Indicator 4.7.1. Sites of special cultural, ecological, economic, religious or spiritual significance for which [local communities](#Local_communities) hold [legal](#Legal) or [customary rights](#Customary_rights) are identified through [culturally appropriate](#Culturally_appropriate) [engagement](#Engaging_engagement) and are recognized by [The Organization](#The_Organization).  Verifiers:  1) Map showing sites of special cultural, ecological, economic, religious or spiritual significance and related supporting documents, and  2) Records of engagement with [local communities](#Local_communities) through participatory approach with and/or their representative on the identification and mapping of sites. |
| Indicator 4.7.2. Measures to protect such sites are agreed, documented and implemented through [culturally appropriate](#Culturally_appropriate) [engagement](#Engaging_engagement) with [local communities](#Local_communities). When [local communities](#Local_communities) determine that physical identification of sites in documentation or on maps would threaten the value or [protection](#Protection) of the sites, then other means will be used.  Verifiers:  1) Records of engagement with [local communities](#Local_communities) and/or relevant stakeholders,  2) Documentation of measures to protect such sites,  3) Interviews with [local communities](#Local_communities),  4) Management plan,  5) Operational maps,  6) Interviews with forest manager, and  7) Field verification. |
| Indicator 4.7.3. Whenever sites of special cultural, ecological, economic, religious or spiritual significance are newly observed or discovered, management activities cease immediately in the vicinity until protective measures have been agreed to with the [local communities](#Local_communities).  Verifiers:  1) Interviews with the forest manager and/or relevant officer of [The Organization](#The_Organization) and/or outsourced parties,  2) Interviews with workers and records of training (to identify these sites and implement the necessary measures to protect them before the start of management activities to avoid negative impacts), and  3) Interviews with [local communities](#Local_communities). |
| **Criterion 4.8** [The Organization](#The_Organization) shall [uphold](#Uphold) the right of [local communities](#Local_communities) to [protect](#Protection) and utilize their [traditional knowledge](#Traditional_Knowledge) and shall compensate local communities for the utilization of such knowledge and their [intellectual property](#Intellectual_property). A [binding agreement](#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](#Free_Prior_and_Informed_Consent) before utilization takes place, and shall be consistent with the [protection](#Protection) of intellectual property rights. (new) |
| **Indicator 4.8.1.** [Traditional knowledge](#Traditional_Knowledge) and [intellectual property](#Intellectual_property) are protected and are only used when the owners of that [traditional knowledge](#Traditional_Knowledge) and [intellectual property](#Intellectual_property) have provided their [Free, Prior and Informed Consent](#Free_Prior_and_Informed_Consent) formalized through a [binding agreement](#Binding_Agreement).  Verifiers:  1) Declaration/policy by [The Organization](#The_Organization) explicitly stating that it shall recognize and uphold the rights of local communities to protect and utilize their traditional knowledge,  2) Records of joint utilization of traditional knowledge (if any),  3) Interviews with holders of traditional knowledge, and  4) Binding agreement |
| **Indicator 4.8.2.** [Local communities](#Local_communities) are compensated according to the [binding agreement](#Binding_Agreement) reached through [Free, Prior and Informed Consent](#Free_Prior_and_Informed_Consent) for the use of [traditional knowledge](#Traditional_Knowledge) and [intellectual property](#Intellectual_property).  Verifiers:  1) Binding agreement, and  2) Records of engagement and compensation. |
| **PRINCIPLE 5: BENEFITS FROM THE FOREST**  [The Organization](#The_Organization) shall efficiently manage the range of multiple products and services of the [Management Unit](#Management_Unit) to maintain or enhance [long-term](#Longterm) economic [viability](#Economic_viability) and the range of social and environmental benefits. (P5 P&C V4) |
| **Criterion 5.1.** [The Organization](#The_Organization) shall identify, produce, or enable the production of, diversified benefits and/or products, based on the range of resources and [ecosystem services](#Ecosystem_services) existing in the [Management Unit](#Management_Unit) in order to strengthen and diversify the local economy proportionate to the [scale](#Scale) and [intensity](#Intensity) of management activities. (C5.2 and 5.4 P&C V4). |
| **Indicator 5.1.1.** The range of resources and [ecosystem services](#Ecosystem_services) that could strengthen and diversify the local economy are identified.  Verifiers:  1) Resource Survey Report,  2) Results of Survey Report incorporated into the management plan, and  3) Interviews with forest managers. |
| **Indicator 5.1.2.** Consistent with [management objectives](#Management_objective), the identified benefits and products are produced by [The Organization](#The_Organization) and/or made available for others to produce, to strengthen and diversify the local economy.  Verifiers:  1) Documentation in the management plan addressing the management of the forest for multiple benefits including both timber and non-timber products as well as ecosystem services such as watershed services, flood and erosion protection, food sources, cultural services, etc.,  2) Interviews with local communities, and  3) Data on quantity and application of timber and non-timber forest products harvested within the [Management Unit](#Management_Unit). |
| **Indicator 5.1.3.** When [The Organization](#The_Organization) makes FSC promotional claims regarding the maintenance and/or enhancement of [ecosystem services](#Ecosystem_services), [Annex C](#Annex_C) is followed regarding additional requirements. |
| **Criterion 5.2.** [The Organization](#The_Organization) shall normally harvest products and services from the [Management Unit](#Management_Unit) at or below a level which can be permanently sustained. (C5.6 P&C V4) |
| Indicator 5.2.1. [Timber harvesting levels](#Timber_harvesting_level) are based on an analysis of current [Best Available Information](#Best_Available_Information) on growth and yield; inventory of the [forest](#Forest); mortality rates; and maintenance of [ecosystem functions](#Ecosystem_function).  Verifiers:  1) Compliance report,  2) [Management Unit](#Management_Unit) compartment record book,  3) Quarterly Progress Reports,  4) Pre-felling inventory,  5) Management prescription on harvesting rates,  6) Evidence of enumerations,  7) Yield calculations and harvest planning,  8) Management plan,  9) Harvest records and plans over the management plan period,  10) Annual work plan (or annual detailed plan for Sarawak), and  11) Data analysis on Permanent Sample Plots (PSP). |
| Indicator 5.2.2. Based on the [Timber harvesting level](#Timber_harvesting_level) analysis, a maximum allowable annual cut for timber is determined that does not exceed the harvest level that can be permanently sustained including by ensuring that harvest rates do not exceed growth.  Verifiers:  1) Allowable Annual Cut section under management plan,  2) Annual work/harvesting plan,  3) Compartment record book,  4) Data analysis on Permanent Sample Plots (PSP), and  5) Interviews with forest manager. |
| Indicator 5.2.3. Actual annual harvest levels for timber are recorded and the harvest over a defined period does not exceed the allowable cut determined in 5.2.2 for the same defined period.  Verifiers:  1) Allowable Annual Cut section under management plan,  2) Annual work plan (or annual detailed plan for Sarawak)/harvesting plan,  3) Compartment record book, and  4) Interviews with forest manager. |
| Indicator 5.2.4. For extraction of commercially harvested services and [non-timber forest products](#Non_timber_forest_products) under [The Organization](#The_Organization)’s control, a sustainable harvest level is calculated and adhered to. Sustainable harvest levels are based on [Best Available Information](#Best_Available_Information).  Verifiers:  1) Compliance report,  2) [Management Unit](#Management_Unit) compartment record book,  3) Quarterly Progress Reports,  4) Pre-felling inventory,  5) Management prescription on harvesting rates,  6) Evidence of enumerations,  7) Yield calculations and harvest planning,  8) Management plan,  9) Harvest records and plans over the management plan period, and  10) Annual work plan (or annual detailed plan for Sarawak). |
| **Criterion 5.3.** [The Organization](#The_Organization) shall demonstrate that the positive and negative [externalities](#Externalities) of operations are included in the [management plan](#Management_plan). (C5.1 P&C V4) |
| Indicator 5.3.1. Costs related to preventing, mitigating or compensating for negative social and environment impacts of management activities are quantified and documented in the [management plan](#Management_plan).  Verifiers:  1) Assessment report on the negative and positive externalities of operations,  2) Social and Environmental Impact Assessment reports, and  3) Management plan. |
| Indicator 5.3.2. Benefits related to positive social and environment impacts of management activities are identified and included in the [management plan](#Management_plan).  Verifiers: Management plan. |
| **Criterion 5.4.** [The Organization](#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](#Scale_intensity_and_risk). If these are not locally available, The Organization shall make [reasonable](#Reasonable) attempts to help establish these services. (C5.2 P&C V4) |
| **Indicator 5.4.1.** Where cost, quality and capacity of non-local and local options are at least equivalent, local goods, services, processing and value-added facilities are used.  Verifiers:  1) List of available local goods and services,  2) Evidence on the use of local processing, local services and local value adding (if any), 3) Interviews with managers, and  4) Records of consultation with local communities. |
| **Indicator 5.4.2.** [Reasonable](#Reasonable) attempts are made to establish and encourage capacity where local goods, services, processing and value-added facilities are not available.  Verifiers:  1) Records on efforts taken to help establish local services (if any),  2) Field verification of the local services established, and  3) Interviews with local communities. |
| Criterion 5.5. [The Organization](#The_Organization) shall demonstrate through its planning and expenditures proportionate to [scale, intensity and risk](#Scale_intensity_and_risk), its commitment to [long-term](#Longterm) [economic viability](#Economic_viability). (C5.1 P&C V4) |
| Indicator 5.5.1. Sufficient funds are allocated to implement the [management plan](#Management_plan) in order to meet this standard and to ensure [long-term](#Longterm) [economic viability](#Economic_viability).  Verifiers: Business plan and budget to implement the management plan. |
| Indicator 5.5.2. Expenditures and investments are made to implement the [management plan](#Management_plan) in order to meet this standard and to ensure [long-term](#Longterm) [economic viability](#Economic_viability).  Verifiers:  1) Management plan,  2) Annual work plan (or annual detailed plan for Sarawak),  3) Audited income, and  4) Expenditure statement and business plan. |

**[Go to Annex C.](#Annex_C)**

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| PRINCIPLE 6: [ENVIRONMENTAL VALUES](#Environmental_values) AND IMPACTS  [The Organization](#The_Organization) shall maintain, [conserve](#Conservation_Protection) and/or [restore](#Restore_Restoration) [ecosystem services](#Ecosystem_services) and [environmental values](#Environmental_values) of the [Management Unit](#Management_Unit), and shall avoid, repair or mitigate negative environmental impacts. (P6 P&C V4) |
| Criterion 6.1. [The Organization](#The_Organization) shall assess [environmental values](#Environmental_values) in the [Management Unit](#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](#Scale_intensity_and_risk) of management activities, and is sufficient for the purpose of deciding the necessary [conservation](#Conservation_Protection) measures, and for detecting and monitoring possible negative impacts of those activities. (new) |
| Indicator 6.1.1. [Best Available Information](#Best_Available_Information) is used to identify [environmental values](#Environmental_values) within, and, where potentially affected by management activities, outside of the [Management Unit](#Management_Unit).  Verifiers:  1) Assessment report,  2) Documentation on methodology of the assessment, and  3) Records of consultations. |
| Indicator 6.1.2. Assessments of [environmental values](#Environmental_values) are conducted with a level of detail and frequency so that:  1) Impacts of management activities on the identified [environmental values](#Environmental_values) can be assessed as per [Criterion](#Criterion) 6.2;  2) [Risks](#Risk) to [environmental values](#Environmental_values) can be identified as per [Criterion](#Criterion) 6.2;  3) Necessary [conservation](#Conservation_Protection) measures to protect values can be identified as per [Criterion](#Criterion) 6.3; and,  4) Monitoring of impacts or environmental changes can be conducted as per [Principle](#Principle) 8.  Verifiers:  1) Monitoring plan,  2) Documentation of impacts of management activities on environmental values, risks to environmental values and conservation measures to protect values, and  3) Interviews with stakeholders and experts. |
| Criterion 6.2. Prior to the start of site-disturbing activities, [The Organization](#The_Organization) shall identify and assess the [scale, intensity and risk](#Scale_intensity_and_risk) of potential impacts of management activities on the identified [environmental values](#Environmental_values). (C6.1 P&C V4) |
| Indicator 6.2.1. An [environmental impact assessment](#Environmental_Impact_Assessment) identifies potential present and future impacts of management activities on [environmental values](#Environmental_values), from the stand level to the landscape level.  Verifiers:  1) Assessment report,  2) Methodology employed to conduct the assessment,  3) Records of consultations, and  4) Interviews with stakeholders and experts. |
| Indicator 6.2.2. The [environmental impact assessment](#Environmental_Impact_Assessment) identifies and assesses the impacts of the management activities prior to the start of site-disturbing activities.  Verifiers:  1) Assessment report,  2) Methodology employed to conduct the assessment,  3) Records of consultations, and  4) Interviews with stakeholders and experts. |
| Criterion 6.3. [The Organization](#The_Organization) shall identify and implement effective actions to prevent negative impacts of management activities on the [environmental values](#Environmental_values), and to mitigate and repair those that occur, proportionate to the [scale, intensity and risk](#Scale_intensity_and_risk) of these impacts. (C6.1 P&C V4) |
| Indicator 6.3.1. Management activities are planned and implemented to prevent negative impacts and to protect [environmental values](#Environmental_values).  Verifiers:  1) Environmental Management Plan (for Peninsular Malaysia and Sarawak) and Agreement of Environment Conditions (AEC) for Sabah, and  2) Management plan noting the identified negative impacts and management prescriptions to address them. |
| Indicator 6.3.2. Management activities prevent negative impacts to [environmental values](#Environmental_values).  Verifiers:  1) Management plan noting the identified negative impacts and management prescriptions to address them,  2) Records of consultations,  3) Interviews with stakeholders and experts,  4) Field verification, and  5) Compliance report. |
| Indicator 6.3.3. Where negative impacts to [environmental values](#Environmental_values) occur, measures are adopted to prevent further damage, and negative impacts are mitigated and/or repaired.  Verifiers:  1) Documentation of measures adopted,  2) Records of consultations,  3) Interviews with stakeholders and experts,  4) Field verification, and  5) Compliance report. |
| Criterion 6.4. [The Organization](#The_Organization) shall protect [rare species](#Rare_species) and [threatened species](#Threatened_species) and their [habitats](#Habitat) in the [Management Unit](#Management_Unit) through [conservation zones](#Conservation_zones_and_protection_areas), protection areas, [connectivity](#Connectivity) and/or (where necessary) other direct measures for their survival and viability. These measures shall be proportionate to the [scale, intensity and risk](#Scale_intensity_and_risk) of management activities and to the [conservation](#Conservation_Protection) status and ecological requirements of the rare and [threatened species](#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. (C6.2 P&C V4) |
| Indicator 6.4.1. [Best Available Information](#Best_Available_Information) is used to identify rare and [threatened species](#Threatened_species), and their [habitats](#Habitat), including CITES species (where applicable) and those listed on national, regional and local lists of rare and [threatened species](#Threatened_species) that are present or likely to be present within and adjacent to the [Management Unit](#Management_Unit).  Verifiers:  1) Documentation of methods used to identify rare and threatened species and their habitats in the [Management Unit](#Management_Unit),  2) Up-to-date list of rare and threatened species and habitats present in the [Management Unit](#Management_Unit),  3) Habitat map of rare and threatened species present in the [Management Unit](#Management_Unit), and  4) Records of consultations held with experts and relevant stakeholders in the identification of rare and threatened species. |
| Indicator 6.4.2. Potential impacts of management activities on rare and [threatened species](#Threatened_species) and their [conservation](#Conservation_Protection) status and [habitats](#Habitat) are identified and management activities are modified to avoid negative impacts.  Verifiers:  1) [Standard Operating Procedures](#SOPs) (see [Annex K](#Annex_K)) and maps identifying:   1. Conservation status of species 2. Geographic range (that extend beyond the [Management Unit](#Management_Unit)) of the rare and threatened species that have been recorded within the [Management Unit](#Management_Unit) 3. Ecological requirements (that extend beyond the [Management Unit](#Management_Unit)) of the rare and threatened species that have been recorded within the [Management Unit](#Management_Unit),   2) [Standard Operating Procedures](#SOPs) (see [Annex K](#Annex_K)) for the identification and management of:   1. Conservation Zones 2. Protection areas 3. Connectivity / wildlife corridors 4. Other identified direct measures,   3) Map of conservation zones,  4) Map of protection areas,  5) Map of connectivity / wildlife corridors,  6) Field verification of the establishment of conservation zones and protection areas,  7) Interview with forest managers, experts and relevant stakeholders on the adequacy of the conservation measures, and  8) [The Organization](#The_Organization)’s policy that the establishment of conservation zones and protected areas is the primary objective of management for rare and threatened species. |
| Indicator 6.4.3. The rare and [threatened species](#Threatened_species) and their [habitats](#Habitat) are protected, including through the provision of [conservation zones, protection areas](#Conservation_zones_and_protection_areas), [connectivity](#Connectivity), and other direct means for their survival and viability, such as species’ recovery programs.  Verifiers:  1) Records of implementation of management prescriptions for the protection of rare and [threatened species](#Threatened_species) and their [habitats](#Habitat), and  2) Interviews with experts and relevant stakeholders to comment on the adequacy of the conservation measures implemented. |
| Indicator 6.4.4. Hunting, fishing, trapping and collection of rare or [threatened species](#Threatened_species) is prevented.  Verifiers:  1) Documentation of measures to prevent hunting, fishing, trapping and collection of rare or [threatened species](#Threatened_species), and  2) Interviews with relevant stakeholders. |
| **Criterion 6.5** [The Organization](#The_Organization) shall identify and protect representative sample areas of [native ecosystems](#Natural_conditions_native_ecosystem) and/or [restore](#Restore_Restoration) them to more [natural conditions](#Natural_conditions_native_ecosystem). Where [representative sample areas](#Representative_Sample_Areas) do not exist or are insufficient, The Organization shall [restore](#Restore_Restoration) a proportion of the [Management Unit](#Management_Unit) to more [natural conditions](#Natural_conditions_native_ecosystem). The size of the areas and the measures taken for their protection or restoration, including within plantations, shall be proportionate to the [conservation](#Conservation_Protection) status and value of the [ecosystems](#Ecosystem) at the [landscape](#Landscape) level, and the [scale, intensity and risk](#Scale_intensity_and_risk) of management activities. (C6.4 and 10.5 P&C V4 and Motion 2014#7)  **NOTE:** By default, riparian zones do not qualify to be included in the Conservation Area Network. Riparian zones may however be included, if those areas fully meet the definitions of representative sample areas, conservation zones, protection areas, connectivity as exemplified by wildlife corridors, providing the riparian zones are not disproportionately represented in the Conservation Area Network. Riparian zones "created" or planted for purely functional roles, e.g. erosion control should be excluded. |
| Indicator 6.5.1. [Best Available Information](#Best_Available_Information) is used to identify [native ecosystems](#Natural_conditions_native_ecosystem) that exist, or would exist under [natural conditions](#Natural_conditions_native_ecosystem) within the [Management Unit](#Management_Unit).  Verifiers:  1) Survey reports and maps of native ecosystem areas, and  2) Records of consultations held with experts and relevant stakeholders. |
| Indicator 6.5.2. [Representative Sample Areas](#Representative_Sample_Areas) of [native ecosystems](#Natural_conditions_native_ecosystem) are protected, where they exist.  Verifiers:  1) Maps of representative sample area of native ecosystem,  2) [Standard Operating Procedures](#SOPs) (see [Annex K](#Annex_K)) and/or guidelines to protect and/or restore representative sample areas of native ecosystems in the [Management Unit](#Management_Unit),  3) Interviews with experts, and  4) Field verification. |
| Indicator 6.5.3. Where [Representative Sample Areas](#Representative_Sample_Areas) do not exist, or where existing sample areas inadequately represent [native ecosystems](#Natural_conditions_native_ecosystem), or are otherwise insufficient, a proportion of the [Management Unit](#Management_Unit) is [restored](#Restore_Restoration) to more [natural conditions](#Natural_conditions_native_ecosystem).  Verifiers:  1) Restoration plan,  2) Interviews with experts and relevant stakeholders, and  3) Field verification. |
| Indicator 6.5.4. The size of the [Representative Sample Areas](#Representative_Sample_Areas) and/or [restoration](#Restore_Restoration) areas is proportionate to the [conservation](#Conservation_Protection) status and value of the [ecosystems](#Ecosystem) at the [landscape](#Landscape) level, the size of the [Management Unit](#Management_Unit) and the [intensity](#Intensity) of [forest](#Forest) management.  Verifiers: Interviews with experts and relevant stakeholders to comment on the adequacy of the size of the Representative Sample Areas and/or restoration areas. |
| Indicator 6.5.5. For tree plantations, [Representative Sample Areas](#Representative_Sample_Areas) in combination with other components of the [conservation areas network](#Conservation_Areas_Network) comprise a minimum 10% area of the [Management Unit](#Management_Unit).  Verifiers: Documentation showing size of the [Management Unit](#Management_Unit), Representative Sample Areas and conservation areas network. |
| **Criterion 6.6.** [The Organization](#The_Organization) shall effectively maintain the continued existence of naturally occurring [native species](#Native_species) and [genotypes](#Genotype), and prevent losses of [biological diversity](#Biological_diversity), especially through [habitat](#Habitat) management in the [Management Unit](#Management_Unit). The Organization shall demonstrate that effective measures are in place to manage and control hunting, fishing, trapping and collecting. (C6.2 and C6.3 P&C V4) |
| Indicator 6.6.1. Management activities maintain the plant communities and [habitat features](#Habitat_features) found within [native ecosystems](#Natural_conditions_native_ecosystem) in which the [Management Unit](#Management_Unit) is located.  Verifiers:  1) [Standard Operating Procedures](#SOPs) (with regard to plant communities and habitats, see [Annex K](#Annex_K))  2) Management plan,  3) Interviews with forest managers, and  4) Field verification. |
| Indicator 6.6.2. Management maintains, enhances, or [restores](#Restore_Restoration) [habitat features](#Habitat_features) associated with [native ecosystems](#Natural_conditions_native_ecosystem), to support the diversity of naturally occurring species and their genetic diversity.  Verifiers:  1) [Standard Operating Procedures](#SOPs) (see [Annex K](#Annex_K)),  2) Management plan,  3) Interviews with forest managers and experts/specialists, and  4) Field verification. |
| Indicator 6.6.3. Effective measures are taken to manage and control hunting, fishing, trapping and collecting activities to ensure that naturally occurring [native species](#Native_species), their diversity within species and their natural distribution are maintained.  Verifiers:  1) [Standard Operating Procedures](#SOPs) (see [Annex K](#Annex_K)) that include:   1. Management of hunting, trapping fishing and collecting activities 2. Control measures for illegal hunting, fishing, trapping and collecting 3. Enforcement protocols in place   2) Records of enforcement actions,  3) Records on evidence of hunting, fishing, trapping and collecting within the [Management Unit](#Management_Unit), and evidence of corrective actions taken thereof,  4) Interviews with regulatory authorities, conservation organizations and other relevant stakeholders, and  5) Field verification. |
| Indicator 6.6.4. A [Standard Operating Procedure](#SOPs) to manage and control firearms, hunting, fishing, trapping, collecting and transportation of wildlife within its [Management Unit](#Management_Unit) is implemented.  Verifiers:  1) [Standard Operating Procedures](#SOPs) (that includes the above activities, see [Annex K](#Annex_K)),  2) Interviews with managers and other relevant stakeholders, and  3) Field verification. |
| Criterion 6.7. [The Organization](#The_Organization) shall [protect](#Protection) or [restore](#Restore_Restoration) natural watercourses, [water bodies](#Water_bodies), [riparian zones](#Riparian_zone) and their [connectivity](#Connectivity). The Organization shall avoid negative impacts on water quality and quantity and mitigate and remedy those that occur. (C6.5 and 10.2 P&C V4) |
| Indicator 6.7.1. [Protect](#Protection)ion measures are implemented to protect natural watercourses, [water bodies](#Water_bodies), [riparian zones](#Riparian_zone) and their [connectivity](#Connectivity), including water quantity and water quality.  Verifiers:  1) Topographical map showing natural watercourses, [water bodies](#Water_bodies), and [riparian zones](#Riparian_zone) within the [Management Unit](#Management_Unit) and surrounding areas,  2) [Standard Operating Procedures](#SOPs) (see [Annex K](#Annex_K)) and/or guidelines to protect natural water courses, water bodies, riparian zones and their connectivity,  3) Interviews with forest managers and relevant stakeholders,  4) Water quantity and quality data and associated reports, and  5) Field verification |
| Indicator 6.7.2. Where implemented [protect](#Protection)ion measures do not protect watercourses, [water bodies](#Water_bodies), [riparian zones](#Riparian_zone) and their [connectivity](#Connectivity), water quantity or water quality from impacts of [forest](#Forest) management, measures are improved.  Verifiers:  1) Field verification,  2) Interviews with relevant stakeholders, and  3) Modifications to [Standard Operating Procedures](#SOPs) and/or guidelines to protect natural water courses, water bodies, riparian zones and their connectivity. |
| Indicator 6.7.3. Where natural watercourses, [water bodies](#Water_bodies), [riparian zones](#Riparian_zone) and their [connectivity](#Connectivity), water quantity or water quality have been damaged by past activities on land and water by [The Organization](#The_Organization), [restoration activities](#Restore_Restoration) are implemented.  Verifiers:  1) Restoration plan,  2) Field verification of restoration sites, and  3) Interviews with relevant stakeholders. |
| Indicator 6.7.4. Where there is degradation to watercourses, [water bodies](#Water_bodies), water quantity and water quality caused by the activities of third parties, measures are implemented that prevent or mitigate this degradation.  Verifiers:  1) Topographical map showing all degraded watercourses and [water bodies](#Water_bodies),  2) [Standard Operating Procedures](#SOPs) (see [Annex K](#Annex_K)) and/or guidelines to prevent or mitigate degradation to watercourses, water bodies, water quantity and water quality by the activities of third parties,  3) Interviews with forest managers and relevant stakeholders,  4) Water quantity and quality data and associated reports, and  5) Field verification. |
| Criterion 6.8. [The Organization](#The_Organization) shall manage the [landscape](#Landscape) in the [Management Unit](#Management_Unit) to maintain and/or [restore](#Restore_Restoration) a varying mosaic of species, sizes, ages, spatial [scales](#Scale) and regeneration cycles appropriate for the [landscape values](#Landscape_values) in that region, and for enhancing environmental and economic [resilience](#Resilience). (C10.2 and 10.3 P&C V4) |
| Indicator 6.8.1. A varying mosaic of species, sizes, ages, spatial [scales](#Scale), and regeneration cycles is maintained appropriate to the [landscape](#Landscape).  Verifiers:  1) [Standard Operating Procedures](#SOPs) (see [Annex K](#Annex_K)),  2) Management plan,  3) Field verification,  4) Survey or inventory reports, |
| Indicator 6.8.2. The mosaic of species, sizes, ages, spatial [scales](#Scale), and regeneration cycles is [restored](#Restore_Restoration) where it has not been maintained appropriate to the [landscape](#Landscape).  Verifier:  1) [Standard Operating Procedures](#SOPs) (see [Annex K](#Annex_K)),  2) Restoration maps, and  3) Interviews with relevant experts. |
| Criterion 6.9. [The Organization](#The_Organization) shall not convert [natural forest](#Natural_forest) to [plantations](#Plantation), nor natural forests or plantations on sites directly converted from natural forest to non-[forest](#Forest) land use, except when the conversion:   1. Affects a [very limited portion](#Very_Limited_portion) of the area of the [Management Unit](#Management_Unit), and 2. Will produce clear, substantial, additional, secure long-term [conservation](#Conservation_Protection) benefits in the Management Unit, and 3. Does not damage or threaten [High Conservation Values](#High_Conservation_Value), nor any sites or resources necessary to maintain or enhance those High Conservation Values. (C6.10 P&C V4 and Motion 2014#7) |
| Indicator 6.9.1. Any [forest](#Forest) areas that are being converted (either from [plantation](#Plantation) to non-[forest](#Forest) use or from [natural forest](#Natural_forest) to [plantation](#Plantation) or non-[forest](#Forest) use) and/or are scheduled for conversion are identified.  Verifiers:  1) Management plan showing areas identified for conversion, size and types of trees involved, conversion schedule and condition of sites,  2) Plantation Development Plan (PDP), and  3) Annual Work Plan (or annual detailed plan for Sarawak). |
| Indicator 6.9.2. There is no conversion of [natural forest](#Natural_forest) to [plantation](#Plantation), nor conversion of [natural forest](#Natural_forest) to non-[forest](#Forest) land use, nor conversion of [plantation](#Plantation) on sites directly converted from [natural forest](#Natural_forest) to non-[forest](#Forest) land use, except when the conversion:  1) Affects a [very limited portion](#Very_Limited_portion) of the [Management Unit](#Management_Unit), and  2) The conversion will produce clear, substantial, additional, secure, long-term [conservation](#Conservation_Protection) benefits in the [Management Unit](#Management_Unit); and  3) Does not damage or threaten [High Conservation Values](#High_Conservation_Value), nor any sites or resources necessary to maintain or enhance those [High Conservation Values](#High_Conservation_Value).  Verifiers:  1) Management plan,  2) Long-term legal rights,  3) Plantation Development Plan (PDP),  4) Timber licence agreement,  5) Records of consultation with stakeholders,  6) [HCV assessment report](#High_Conservation_Value_report),  7) Environmental Impact Assessment report, and  8) Environmental Management Plan (Peninsular Malaysia and Sarawak), Agreement of Environment Conditions (AEC) for Sabah. |
| Criterion 6.10. [Management Units](#Management_Unit) containing [plantations](#Plantation) that were established on areas converted from [natural forest](#Natural_forest) after November 1994 shall not qualify for certification, except where:   1. Clear and sufficient evidence is provided that [The Organization](#The_Organization) was not directly or indirectly responsible for the conversion, or 2. The conversion affected a [very limited portion](#Very_Limited_portion) of the area of the Management Unit and is producing clear, substantial, additional, secure long-term [conservation](#Conservation_Protection) benefits in the Management Unit. (C10.9 P&C V4) |
| Indicator 6.10.1. Based on [Best Available Information](#Best_Available_Information), accurate data is compiled on all conversions since 1994.  Verifiers:  1) Timber licence agreement,  2) Interviews with relevant stakeholders,  3) Map of [Management Unit](#Management_Unit),  4) Management plan,  5) Records from the forest department (e.g. letter of approval for conversion, etc.),  6) Records of land ownership from the Land Office,  7) Governmental gazette,  8) Plantation Development Plan (PDP), and  9) Assessment reports. |
| Indicator 6.10.2. Areas converted from [natural forest](#Natural_forest) to [plantation](#Plantation) since November 1994 are not certified, except where:  1) [The Organization](#The_Organization) provides clear and sufficient evidence that it was not directly or indirectly responsible for the conversion; or  2) The conversion is producing clear, substantial, additional, secure, long-term [conservation](#Conservation_Protection) benefits in the [Management Unit](#Management_Unit); and  3) The total area of [plantation](#Plantation) on sites converted from [natural forest](#Natural_forest) since November 1994 is less than 5% of the total area of the [Management Unit](#Management_Unit).  Verifiers:  1) Records of converted areas since November 1994, and  2) Evidence that [The Organization](#The_Organization) was not responsible for the conversion, and/or  3) Documentation of conservation benefits, and/or  4) Data and maps showing size of [Management Unit](#Management_Unit) and converted areas since November 1994, and  5) Management plan. |

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| PRINCIPLE 7: MANAGEMENT PLANNING  [The Organization](#The_Organization) shall have a [management plan](#Management_plan) consistent with its policies and [objectives](#Objective) and proportionate to [scale, intensity and risks](#Scale_intensity_and_risk) of its management activities. The [management plan](#Management_plan_monitoring) shall be implemented and kept up to date based on monitoring information in order to promote [adaptive management](#Adaptive_management). The associated planning and procedural documentation shall be sufficient to guide staff, inform [affected stakeholders](#Affected_stakeholder) and [interested stakeholders](#Interested_stakeholder) and to justify management decisions. (P7 P&CV4) |
| Criterion 7.1. [The Organization](#The_Organization) shall, proportionate to [scale, intensity and risk](#Scale_intensity_and_risk) of its management activities, set policies (visions and values) and [objectives](#Objective) for management, which are environmentally sound, socially beneficial and economically viable. Summaries of these policies and objectives shall be incorporated into the [management plan](#Management_plan), and publicized. (C7.1a P&C V4) |
| Indicator 7.1.1. Policies (vision and values) that contribute to meeting the requirements of this standard are defined.  Verifiers: Approved policies and objectives documents. |
| Indicator 7.1.2. Specific, operational [management objectives](#Management_objective) that address the requirements of this standard are defined.  Verifiers: Evidence that policies contain environmentally sound, socially beneficial and economically viable objectives. |
| Indicator 7.1.3. Summaries of the defined policies and [management objectives](#Management_objective) are included in the [management plan](#Management_plan) and publicized.  Verifiers:  1) Summaries of policies and objectives in the management plan, and  2) Evidence of the publication of summaries of policies and objectives. |
| Criterion 7.2. [The Organization](#The_Organization) shall have and implement a [management plan](#Management_plan) for the [Management Unit](#Management_Unit) which is fully consistent with the policies and [management objectives](#Management_objective) 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](#Forest) management planning and social management planning proportionate to [scale, intensity and risk](#Scale_intensity_and_risk) of the planned activities. (C7.1 P&C V4) |
| Indicator 7.2.1. The [management plan](#Management_plan) includes management actions, procedures, strategies and measures to achieve the [management objectives](#Management_objective).  Verifiers: Approved management plan. |
| Indicator 7.2.2. The [management plan](#Management_plan) addresses the elements listed in [Annex E](#Annex_E), and is implemented.  Verifiers: Approved management plan. |
| Criterion 7.3. The [management plan](#Management_plan) shall include [verifiable targets](#Verifiable_targets) by which progress towards each of the prescribed [management objectives](#Management_objective) can be assessed. (new) |
| **Indicator 7.3.1.** [Verifiable targets](#Verifiable_targets), and the frequency that they are assessed, are established for monitoring the progress towards each [management objective](#Management_objective).  Verifiers: Verifiable targets for all prescribed objectives and baseline values for each prescribed objectives. |
| Criterion 7.4. [The Organization](#The_Organization) shall update and revise periodically the management planning and procedural documentation to incorporate the results of monitoring and evaluation, stakeholder [engagement](#Engaging_engagement) or new scientific and technical information, as well as to respond to changing environmental, social and economic circumstances. (C7.2 P&C V4) |
| **Indicator 7.4.1.** The [management plan](#Management_plan) is revised and updated periodically consistent with [Annex F](#Annex_F) to incorporate:  1) Monitoring results, including results of certification audits;  2) Evaluation results;  3) Stakeholder [engagement](#Engaging_engagement) results;  4) New scientific and technical information, and  5) Changing environmental, social, or economic circumstances.  Verifiers:  1) Documentation reflecting [The Organization](#The_Organization)’s commitment to revise and update the management plan,  2) Revisions of the management plan,  3) Monitoring and evaluation records,  4) Stakeholder engagement records,  5) Documentation of new scientific and technical information, and  6) Documentation of changing environmental, social, or economic circumstances. |
| Criterion 7.5. [The Organization](#The_Organization) shall make [publicly available](#Publicly_available) a summary of the [management plan](#Management_plan) free of charge. Excluding [confidential information](#Confidential_information), other relevant components of the [management plan](#Management_plan) shall be made available to [affected stakeholders](#Affected_stakeholder) on request, and at cost of reproduction and handling. (C7.4 P&C V4) |
| Indicator 7.5.1. A summary of the [management plan](#Management_plan) in a format comprehensible to stakeholders including maps and excluding [confidential information](#Confidential_information) is made [publicly available](#Publicly_available) at no cost.  Verifier:  1) Public summary of the management plan including maps available in the public domain,  2) Evidence of public notices of the availability of the summary, and  3) Records of requests for the summary from stakeholders. |
| Indicator 7.5.2. Relevant components of the [management plan](#Management_plan), excluding [confidential information](#Confidential_information), are available to [affected stakeholders](#Affected_stakeholder) on request at the actual costs of reproduction and handling.  Verifier: Records on the provision of additional information to affected stakeholders (if any). |
| Criterion 7.6. [The Organization](#The_Organization) shall, proportionate to [scale, intensity and risk](#Scale_intensity_and_risk) of management activities, proactively and transparently engage [affected stakeholders](#Affected_stakeholder) in its management planning and monitoring processes, and shall engage [interested stakeholders](#Interested_stakeholder) on request. (C4.4 P&C V4) |
| Indicator 7.6.1. [Culturally appropriate](#Culturally_appropriate) [engagement](#Engaging_engagement) is used to ensure that [affected stakeholders](#Affected_stakeholder) are proactively and transparently engaged in the following processes:  1) [Dispute](#Dispute) resolution processes ([Criterion](#Criterion) 1.6, [Criterion](#Criterion) 2.6, [Criterion](#Criterion) 4.6);  2) Definition of [Living wages](#Living_wage) ([Criterion](#Criterion) 2.4);  3) Identification of rights ([Criterion](#Criterion) 3.1, [Criterion](#Criterion) 4.1), sites ([Criterion](#Criterion) 3.5, [Criterion](#Criterion) 4.7) and impacts ([Criterion](#Criterion) 4.5);  4) [Local communities](#Local_communities)’ socio-economic development activities ([Criterion](#Criterion) 4.4); and  5) [High Conservation Value](#High_Conservation_Value) assessment, management and monitoring ([Criterion](#Criterion) 9.1, [Criterion](#Criterion) 9.2, [Criterion](#Criterion) 9.4).  Verifiers:  1) Records of engagement with affected stakeholders,  2) Interviews with affected stakeholders, [Management Unit](#Management_Unit) liaison officer or relevant officer, and  3) Evidence of [The Organization](#The_Organization)’s commitment to proactively and transparently engage affected stakeholders in its management planning and monitoring processes. |
| Indicator 7.6.2. [Culturally appropriate](#Culturally_appropriate) [engagement](#Engaging_engagement) is used to:  1) Determine appropriate representatives and contact points (including where appropriate, local institutions, organizations and authorities);  2) Determine mutually agreed communication channels allowing for information to flow in both directions;  3) Ensure all actors (women, youth, elderly, minorities) are represented and engaged equitably;  4) Ensure all meetings, all points discussed and all agreements reached are recorded;  5) Ensure the content of meeting records is approved; and  6) Ensure the results of all [culturally appropriate](#Culturally_appropriate) [engagement](#Engaging_engagement) activities are shared with those involved.  Verifiers: Records of engagement with stakeholders, including participation lists and meeting records. |
| Indicator 7.6.3. [Affected stakeholders](#Affected_stakeholder) are provided with an opportunity for [culturally appropriate](#Culturally_appropriate) [engagement](#Engaging_engagement) in monitoring and planning processes of management activities that affect their interests.  Verifiers: Records of engagement with affected stakeholders. |
| Indicator 7.6.4. On request, [interested stakeholders](#Interested_stakeholder) are provided with an opportunity for [engagement](#Engaging_engagement) in monitoring and planning processes of management activities that affect their interests.  Verifiers: Records of engagement with interested stakeholders. |

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| PRINCIPLE 8: MONITORING AND ASSESSMENT  [The Organization](#The_Organization) shall demonstrate that, progress towards achieving the [management objectives](#Management_objective), the impacts of management activities and the condition of the [Management Unit](#Management_Unit), are monitored and evaluated proportionate to the [scale, intensity and risk](#Scale_intensity_and_risk) of management activities, in order to implement [adaptive management](#Adaptive_management). (P8 P&C V4) |
| Criterion 8.1. [The Organization](#The_Organization) shall monitor the implementation of its [Management plan](#Management_plan), including its policies and [management objectives](#Management_objective), its progress with the activities planned, and the achievement of its [verifiable targets](#Verifiable_targets). (new) |
| **Indicator 8.1.1.** Procedures are documented and executed for monitoring the implementation of the [management plan](#Management_plan) including its policies and [management objectives](#Management_objective) and achievement of [verifiable targets](#Verifiable_targets).  Verifiers:  1) Monitoring plans, and  2) Result/records of monitoring showing the progress towards and/or achievement of verifiable targets. |
| Criterion 8.2. [The Organization](#The_Organization) shall monitor and evaluate the environmental and social impacts of the activities carried out in the [Management Unit](#Management_Unit), and changes in its environmental condition. (C8.2 P&C V4) |
| Indicator 8.2.1. The social and environmental impacts of management activities are monitored consistent with [Annex G](#Annex_G).  Verifiers:  1) Monitoring plans,  2) Monitoring results showing environmental and social impacts, and  3) Annual monitoring report. |
| Indicator 8.2.2. Changes in environmental conditions are monitored consistent with [Annex G](#Annex_G).  Verifiers:  1) [Standard Operating Procedures](#SOPs) or monitoring plans,  2) Monitoring results showing changes in environmental conditions, and  3) Annual monitoring report. |
| Criterion 8.3 [The Organization](#The_Organization) shall analyze the results of monitoring and evaluation and feed the outcomes of this analysis back into the planning process. (C8.4 P&C V4) |
| Indicator 8.3.1. [Adaptive management](#Adaptive_management) procedures are implemented so that monitoring results feed into periodic updates to the planning process and the resulting management plan.  Verifiers:  1) Analyzed results of monitoring and evaluation, and  2) Evidence of revisions in the work/management plan based on analyzed results. |
| Indicator 8.3.2. If monitoring results show non-conformities with the FSC Standard then [management objectives](#Management_objective), [verifiable targets](#Verifiable_targets) and / or management activities are revised.  Verifiers: Revisions of management objetives, verifiable targets and/or management activities in the work/management plan (if any). |
| Criterion 8.4. [The Organization](#The_Organization) shall make [publicly available](#Publicly_available) a summary of the results of monitoring free of charge, excluding [confidential information](#Confidential_information). (C8.5 P&C V4) |
| **Indicator 8.4.1.** A summary of the monitoring results consistent with [Annex G](#Annex_G), in a format comprehensible to stakeholders including maps and excluding [confidential information](#Confidential_information) is made [publicly available](#Publicly_available) at no cost.  Verifiers: Public summary of monitoring results including maps available in the public domain. |
| Criterion 8.5. [The Organization](#The_Organization) shall have and implement a tracking and tracing system proportionate to [scale, intensity and risk](#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](#Management_Unit) that are marketed as FSC certified. (C8.3 P&C V4) |
| **Indicator 8.5.1.** A system is implemented to track and trace all products that are marketed as FSC certified.  Verifiers:  1) [Standard Operating Procedures](#SOPs),  2) Documents related to the tracking system,  3) Field verification from stump to the point of change-of-custody/first sale,  4) Verification of samplings of logs, sizes and species, from log yards to stump,  5) Verification that actual volumes of logs claimed as FSC certified do not exceed the log production volumes from the [Management Unit](#Management_Unit), and  6) Verification that actual volumes of products (timber, sawn timber) claimed as FSC certified is in proportion to output volumes from the [Management Unit](#Management_Unit). |
| **Indicator 8.5.2.** Information about all products sold is compiled and documented, including:  1) Common and scientific species name;  2) Product name or description;  3) Volume (or quantity) of product;  4) Information to trace the material to the source of origin logging block;  5) Logging date;  6) If basic processing activities take place in the forest, the date and volume produced; and  7) Whether or not the material was sold as FSC certified.  Verifiers: Documentation of all products sold. |
| **Indicator 8.5.3.** Sales invoices or similar documentation are kept for a minimum of five years for all products sold with an FSC claim, which identify at a minimum, the following information:  1) Name and address of purchaser;  2) The date of sale;  3) Common and scientific species name;  4) Product description;  5) The volume (or quantity) sold;  6) Certificate code; and  7) The FSC Claim “FSC 100%” identifying products sold as FSC certified.  Verifiers: Sales invoices or similar documentation for all products sold with an FSC claim. |

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| PRINCIPLE 9: HIGH CONSERVATION VALUES  [The Organization](#The_Organization) shall maintain and/or enhance the [High Conservation Values](#High_Conservation_Value) in the [Management Unit](#Management_Unit) through applying the [precautionary approach](#Precautionary_approach). (P9 P&C V4) |
| Criterion 9.1. [The Organization](#The_Organization), through [engagement](#Engaging_engagement) with [affected stakeholders](#Affected_stakeholder), [interested stakeholders](#Interested_stakeholder) and other means and sources, shall assess and record the presence and status of the following [High Conservation Values](#High_Conservation_Value) in the [Management Unit](#Management_Unit), proportionate to the [scale, intensity and risk](#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](#Biological_diversity) including endemic species, and [rare, threatened](#Rare_species) or endangered species, that are [significant](#Significant) at global, regional or national levels.  HCV 2 – [Landscape](#Landscape)-level [ecosystems](#Ecosystem) and mosaics. [Intact forest landscapes](#Intact_Forest_Landscape) and large landscape-level ecosystems and ecosystem mosaics that are [significant](#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](#Habitat). [Rare, threatened](#Threatened_species), or endangered ecosystems, habitats or refugia.  HCV 4 – [Critical](#Critical) [ecosystem services](#Ecosystem_services). Basic ecosystem services in critical situations, including [protection](#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](#Local_communities) or [Indigenous Peoples](#Indigenous_Peoples) (for livelihoods, health, nutrition, water, etc.), identified through [engagement](#Engaging_engagement) with these communities or Indigenous Peoples.  HCV 6 – Cultural values. Sites, resources, [habitats](#Habitat) and [landscapes](#Landscape) of global or national cultural, archaeological or historical significance, and/or of [critical](#Critical) cultural, ecological, economic or religious/sacred importance for the traditional cultures of [local communities](#Local_communities) or Indigenous Peoples, identified through engagement with these local communities or Indigenous Peoples. (C9.1 P&C V4 and Motion 2014#7) |
| Indicator 9.1.1. An assessment is completed using [Best Available Information](#Best_Available_Information) that records the location and status of [High Conservation Value](#High_Conservation_Value) Categories 1-6, as defined in [Criterion](#Criterion) 9.1; the [High Conservation Value Areas](#High_Conservation_Value_Areas) they rely upon, and their condition.  Note: When available, the National [High Conservation Value](#High_Conservation_Value) Toolkit shall be used.  Verifiers: [HCV assessment report](#High_Conservation_Value_report). |
| Indicator 9.1.2. The assessment uses results from [culturally appropriate](#Culturally_appropriate) [engagement](#Engaging_engagement) with [affected](#Affected_stakeholder) and [interested stakeholders](#Interested_stakeholder) with an interest in the [conservation](#Conservation_Protection) of the [High Conservation Values](#High_Conservation_Value).  Note: When available, the National [High Conservation Value](#High_Conservation_Value) Toolkit shall be used.  Verifiers:  1) [HCV assessment report](#High_Conservation_Value_report), and  2) Records of engagement with affected and interested stakeholders. |
| Criterion 9.2.[The Organization](#The_Organization) shall develop effective strategies that maintain and/or enhance the identified [High Conservation Values](#High_Conservation_Value), through [engagement](#Engaging_engagement) with [affected stakeholders](#Affected_stakeholder), [interested stakeholders](#Interested_stakeholder) and experts. (C9.2 P&C V4) |
| Indicator 9.2.1. Threats to [High Conservation Values](#High_Conservation_Value) are identified using [Best Available Information](#Best_Available_Information).  Note: When available, the National [High Conservation Value](#High_Conservation_Value) Toolkit shall be used.  Verifiers: [HCV assessment report](#High_Conservation_Value_report). |
| Indicator 9.2.2. Management strategies and actions are developed to maintain and/or enhance the identified [High Conservation Values](#High_Conservation_Value) and to maintain associated [High Conservation Value Areas](#High_Conservation_Value_Areas) prior to implementing potentially harmful management activities.  Note: When available, the National [High Conservation Value](#High_Conservation_Value) Toolkit shall be used.  Verifiers: Relevant management strategies and actions in the management plan. |
| Indicator 9.2.3. [Affected](#Affected_stakeholder) and [interested stakeholders](#Interested_stakeholder) and experts are engaged in the development of management strategies and actions to maintain and/or enhance the identified [High Conservation Values](#High_Conservation_Value).  Verifiers:  1) Relevant management strategies and actions in the management plan,  2) Records of experts’ input in the management strategies and actions,  2) Records of engagement with affected and interested stakeholders, and  3) Interviews with affected and interested stakeholders and experts. |
| Indicator 9.2.4. The strategies developed are effective to maintain and/or enhance the [High Conservation Values](#High_Conservation_Value).  Verifiers:  1) Relevant management strategies and actions in the management plan,  2) Monitoring records and results, and  3) Interviews with stakeholders consulted. |
| Criterion 9.3. [The Organization](#The_Organization) shall implement strategies and actions that maintain and/or enhance the identified [High Conservation Values](#High_Conservation_Value). These strategies and actions shall implement the [precautionary approach](#Precautionary_approach) and be proportionate to the [scale, intensity and risk](#Scale_intensity_and_risk) of management activities. (C9.3 P&C V4) |
| Indicator 9.3.1. The [High Conservation Values](#High_Conservation_Value) and the [High Conservation Value Areas](#High_Conservation_Value_Areas) on which they depend are maintained and/or enhanced, including by implementing the strategies developed.  Note: When available, the National [High Conservation Value](#High_Conservation_Value) Toolkit shall be used.  Verifiers:  1) [HCV assessment report](#High_Conservation_Value_report),  2) Monitoring records and results,  3) Interviews with forest managers,  4) Interviews with affected and interested stakeholders and experts, and  5) Field verification. |
| Indicator 9.3.2. The strategies and actions prevent damage and avoid risks to [High Conservation Values](#High_Conservation_Value), even when the scientific information is incomplete or inconclusive, and when the vulnerability and sensitivity of [High Conservation Values](#High_Conservation_Value) are uncertain.  Verifiers:  1) [HCV assessment report](#High_Conservation_Value_report),  2) Relevant management strategies and actions,  3) Monitoring records and results,  4) Interviews with forest managers,  5) Interviews with affected and interested stakeholders and experts, and  6) Field verification. |
| Indicator 9.3.3. Activities that harm [High Conservation Values](#High_Conservation_Value) cease immediately and actions are taken to [restore](#Restore_Restoration) and protect the [High Conservation Values](#High_Conservation_Value).  Verifiers:  1) Interviews with forest managers,  2) Interviews with affected and interested stakeholders and experts, and  3) Relevant records of timely actions taken to restore and protect High Conservation Values. |
| Criterion 9.4. [The Organization](#The_Organization) shall demonstrate that periodic monitoring is carried out to assess changes in the status of [High Conservation Values](#High_Conservation_Value), and shall adapt its management strategies to ensure their effective [protection](#Protection). The monitoring shall be proportionate to the [scale, intensity and risk](#Scale_intensity_and_risk) of management activities, and shall include [engagement](#Engaging_engagement) with [affected stakeholders](#Affected_stakeholder), [interested stakeholders](#Interested_stakeholder) and experts. (C9.4 P&C V4) |
| Indicator 9.4.1. A program of periodic monitoring assesses:  1) Implementation of strategies;  2) The status of [High Conservation Values](#High_Conservation_Value) including [High Conservation Value Areas](#High_Conservation_Value_Areas) on which they depend; and  3) The effectiveness of the management strategies and actions for the [protection](#Protection) of [High Conservation Value](#High_Conservation_Value) to fully maintain and/or enhance the [High Conservation Values](#High_Conservation_Value).  Note: When available, the National [High Conservation Value](#High_Conservation_Value) Toolkit shall be used.  Verifiers:  1) Monitoring program covers management strategies, High Conservation Values and feedback analysis,  2) Interviews with forest managers,  3) Interviews with affected and interested stakeholders and experts, and  4) Monitoring prescriptions. |
| Indicator 9.4.2. The monitoring program includes [engagement](#Engaging_engagement) with [affected](#Affected_stakeholder) and [interested stakeholders](#Interested_stakeholder) and experts.  Verifiers:  1) Monitoring program covers engagement with affected and interested stakeholders and experts,  2) Records of engagement with affected and interested stakeholders and experts, and  3) Interviews with affected and interested stakeholders and experts. |
| Indicator 9.4.3. The monitoring program has sufficient scope, detail and frequency to detect changes in [High Conservation Values](#High_Conservation_Value), relative to the initial assessment and status identified for each [High Conservation Value](#High_Conservation_Value).  Verifiers:  1) Monitoring program sufficient to detect changes in High Conservation Values,  2) Interviews with forest managers,  3) Interviews with affected and interested stakeholders and experts, and  4) Monitoring prescriptions. |
| Indicator 9.4.4. Management strategies and actions are adapted when monitoring or other new information shows that these strategies and actions are insufficient to ensure the maintenance and/or enhancement of [High Conservation Values](#High_Conservation_Value).  Verifiers:  1) Monitoring results and analysis,  2) Feedback analysis,  3) Monitoring reports contain recommendations for adaptation strategies, etc.,  4) Revised management strategies and actions,  5) Interviews with the forest managers, and  6) Interviews with affected and interested stakeholders and experts. |

**[Go to Annex H.](#Annex_H)**

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| PRINCIPLE 10: IMPLEMENTATION OF MANAGEMENT ACTIVITIES  Management activities conducted by or for [The Organization](#The_Organization) for the [Management Unit](#Management_Unit) shall be selected and implemented consistent with [The Organization](#The_Organization)’s economic, environmental and social policies and [objectives](#Objective) and in compliance with the Principles and Criteria collectively. (new) |
| Criterion 10.1. After harvest or in accordance with the [management plan](#Management_plan), [The Organization](#The_Organization) shall, by natural or artificial regeneration methods, regenerate vegetation cover in a timely fashion to pre-harvesting or more [natural conditions](#Natural_conditions_native_ecosystem). (new) |
| Indicator 10.1.1. Harvested sites are regenerated in a [timely manner](#Timely_manner) that:  1) Protects affected [environmental values](#Environmental_values); and  2) Is suitable to recover overall [pre-harvest](#Preharvest) or [natural forest](#Natural_forest) composition and structure.  Verifiers:  1) [Post harvesting plan](#Post_harvesting_plan), and  2) Field verification. |
| Indicator 10.1.2. Regeneration activities are implemented in a manner that:  1) For harvest of existing [plantations](#Plantation), regenerate to the vegetation cover that existed prior to the harvest or to more [natural conditions](#Natural_conditions_native_ecosystem) using ecologically well-adapted species;  2) For harvest of [natural forests](#Natural_forest), regenerate to [pre-harvest](#Preharvest) or to more [natural conditions](#Natural_conditions_native_ecosystem); or  3) For harvest of degraded [natural forests](#Natural_forest), regenerate to more [natural conditions](#Natural_conditions_native_ecosystem).  Verifiers:  1) [Post harvesting plan](#Post_harvesting_plan), and  2) Field verification. |
| Criterion 10.2.[The Organization](#The_Organization) shall use species for regeneration that are ecologically well adapted to the site and to the management [objectives](#Objective). The Organization shall use native species and local [genotypes](#Genotype) for regeneration, unless there is clear and convincing justification for using others. (C10.4 and C10.8 P&C V4) |
| Indicator 10.2.1. Species chosen for regeneration are ecologically well adapted to the site, are [native species](#Native_species) and are of local provenance, unless clear and convincing justification is provided for using non-local [genotypes](#Genotype) or non-[native species](#Native_species).  Verifiers:  1) Management plan,  2) Records of species used for regeneration,  3) Written justifications if non-local genotypes or non-native species are used, and  4) Interviews with local experts. |
| Indicator 10.2.2. Species chosen for regeneration are consistent with the regeneration objectives and with the [management objectives](#Management_objective).  Verifiers:  1) Management plan,  2) Records of species used for regeneration,  3) Scientific evidence justifying the use of non-local genotypes or non-native species, if used,  4) Interviews with local experts,  5) Records of seed and genetic material sources, and  6) Stand records. |
| Criterion 10.3. [The Organization](#The_Organization) shall only use [alien species](#Alien_species) when knowledge and/or experience have shown that any invasive impacts can be controlled and effective mitigation measures are in place. (C6.9 and C10.8 P&C V4) |
| Indicator 10.3.1. [Alien species](#Alien_species) are used only when direct experience and / or the results of scientific research demonstrate that invasive impacts can be controlled.  Verifiers:  1) Scientific evidence, published research and results of field trials, and  2) Interviews with managers, local experts and government agencies. |
| Indicator 10.3.2. [Alien species](#Alien_species) are used only when effective mitigation measures are in place to control their spread outside the area in which they are established.  Verifiers:  1) Mitigation measures in [Standard Operating Procedures](#SOPs), and  2) Interviews with managers, local experts and government agencies. |
| Indicator 10.3.3. The spread of [invasive species](#Invasive_species) introduced by [The Organization](#The_Organization) is controlled.  Verifiers:  1) Mitigation measures in [Standard Operating Procedures](#SOPs),  2) Field verification, and  3) Interviews with managers, local experts and government agencies. |
| Indicator 10.3.4. Management activities are implemented, preferably in cooperation with separate regulatory bodies where these exist, with an aim to control the invasive impacts of [alien species](#Alien_species) that were not introduced by [The Organization](#The_Organization).  Verifiers:  1) Relevant management prescriptions  2) Field verification, and  3) Interviews with managers, local experts and government agencies. |
| Criterion 10.4 [The Organization](#The_Organization) shall not use [genetically modified organisms](#Genetically_modified_organism) in the [Management Unit](#Management_Unit). (C6.8 P&C V4) |
| **Indicator 10.4.1.** [Genetically modified organisms](#Genetically_modified_organism) are not used.  Verifiers:  1) Written commitment or policy statement not to use genetically modified organisms,  2) Records of planting materials sourced and used, and  3) Evidence of [The Organization](#The_Organization)’s commitment. |
| Criterion 10.5 [The Organization](#The_Organization) shall use silvicultural practices that are ecologically appropriate for the vegetation, species, sites and [management objectives](#Management_objective). (new) |
| **Indictor 10.5.1.** Silvicultural practices are implemented that are ecologically appropriate for the vegetation, species, sites and [management objectives](#Management_objective).  Verifiers:  1) Management plan,  2) Field verification,  3) Data from Permanent Sample Plots (PSPs),  4) Interviews with forest managers,  5) Silvicultural plan and records of treatments, and  6) Records of soil and water monitoring |
| Criterion 10.6. [The Organization](#The_Organization) shall minimize or avoid the use of [fertilizers](#Fertilizer). 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](#Environmental_values), including soils. (C10.7 P&C V4 and Motion 2014#7) |
| Indicator 10.6.1. The use of [fertilizers](#Fertilizer) is minimized or avoided.  Verifiers:  1) Silvicultural plan,  2) [Standard Operating Procedures](#SOPs),  3) Policy document on fertilizer use,  4) Documented long-term strategy or plan on fertilizer use,  5) Fertilizer use records for nurseries and field operations including documentation of efforts to minimize/avoid fertilizer use e.g. time-release fertilizers, seasonal applications, etc.,  6) Monitoring reports, and  7) Interviews with managers and workers. |
| Indicator 10.6.2. When [fertilizers](#Fertilizer) are used, their ecological and economic benefits are equal to or higher than those of silvicultural systems that do not require [fertilizers](#Fertilizer).  Verifiers:  1) Research/sample plots, and  2) Scientific evidence, published research and results of field trials. |
| Indicator 10.6.3. When [fertilizers](#Fertilizer) are used, their types, rates, frequencies and site of application are documented.  Verifiers: Fertilizer use records for nurseries and field operations. |
| Indicator 10.6.4. When [fertilizers](#Fertilizer) are used, [environmental values](#Environmental_values) are protected, including through implementation of measures to prevent damage.  Verifiers:  1) Silvicultural plan,  2) [Standard Operating Procedures](#SOPs),  3) Monitoring reports (including impacts on environmental values and buffer zones that exclude the use of [fertilizers](#Fertilizer) around rare plant communities, [riparian zones](#Riparian_zone), watercourses and [water bodies](#Water_bodies)), and  4) Relevant records of measures implemented to prevent damage to environmental values (if any). |
| Indicator 10.6.5. Damage to [environmental values](#Environmental_values) resulting from [fertilizer](#Fertilizer) use is mitigated or repaired.  Verifiers:  1) Monitoring reports (including impacts on environmental values),  2) Relevant records of measures taken to mitigate or repair damage, and  3) Field verification. |
| Criterion 10.7 [The Organization](#The_Organization) shall use integrated pest management and [silviculture](#Silviculture) systems which avoid, or aim at eliminating, the use of chemical [pesticides](#Pesticide). 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. (C6.6 and C10.7 P&C V4) |
| Indicator 10.7.1. Integrated pest management, including selection of [silviculture](#Silviculture) systems, is used to avoid, or aim to eliminate, the frequency, extent and amount of chemical [pesticide](#Pesticide) applications, and result in non-use or overall reductions in applications.  Verifiers:  1) Silvicultural plan,  2) Pesticide inventory,  3) Chemical pesticides use records for nurseries and field,  4) Documented policy document and/or long-term strategy or plan for eliminating chemical pesticide application, and  5) Interviews with managers and staff. |
| Indicator 10.7.2. Chemical [pesticides](#Pesticide) prohibited by FSC’s Pesticide Policy are not used or stored in the [Management Unit](#Management_Unit) unless FSC has granted derogation.  Verifiers:  1) Pesticide inventory,  2) Chemical pesticides use records for nurseries and field, and  3) Field verification. |
| Indicator 10.7.3. Records of [pesticide](#Pesticide) usage are maintained, including trade name, active ingredient, quantity of active ingredient used, period of use, location and area of use and reason for use.  Verifiers: Chemical pesticides use records for nurseries and field. |
| Indicator 10.7.4. The use of [pesticides](#Pesticide) complies with the ILO document “Safety in the use of chemicals at work” regarding requirements for the transport, storage, handling, application and emergency procedures for cleanup following accidental spillages.  Verifiers:  1) [Standard Operating Procedures](#SOPs),  2) Field verification, and  3) Interviews with managers and workers. |
| Indicator 10.7.5. If [pesticides](#Pesticide) are used, application methods minimize quantities used, while achieving effective results, and provide effective [protection](#Protection) to surrounding [landscapes](#Landscape).  Verifiers:  1) [Standard Operating Procedures](#SOPs),  2) Field verification, and  3) Interviews with managers and workers. |
| Indicator 10.7.6. Damage to [environmental values](#Environmental_values) and human health from [pesticide](#Pesticide) use is prevented and mitigated or repaired where damage occurs.  Verifiers:  1) Monitoring reports (including impacts on environmental values and human health),  2) Relevant records of actions taken to prevent, mitigate or repair damage to environmental values and human health,  3) Field verification, and  4) Interviews with affected and interested stakeholders. |
| Indicator 10.7.7. When [pesticides](#Pesticide) are used:  1) The selected [pesticide](#Pesticide), application method, timing and pattern of use offers the least risk to humans and non-target species; and  2) Objective evidence demonstrates that the [pesticide](#Pesticide) is the only effective, practical and cost effective way to control the pest.  Verifiers:  1) Selection and application methods comply with the Malaysian Pesticide Act, and  2) Scientific evidence, published research and results of field trials. |
| Criterion 10.8. [The Organization](#The_Organization) shall minimize, monitor and strictly control the use of [biological control agents](#Biological_control_agents) in accordance with [internationally accepted scientific protocols](#Internationally_accepted_scientific_prot). When biological control agents are used, The Organization shall prevent, mitigate, and/or repair damage to [environmental values](#Environmental_values). (C6.8 P&C V4) |
| Indicator 10.8.1. The use of [biological control agents](#Biological_control_agents) is minimized, monitored and controlled.  Verifiers:  1) [Standard Operating Procedures](#SOPs),  2) Biological control agents use records,  3) Monitoring reports, and  4) Interviews with managers and workers. |
| Indicator 10.8.2. Use of [biological control agents](#Biological_control_agents) complies with [internationally accepted scientific protocols](#Internationally_accepted_scientific_prot).  Verifiers:  1) [Standard Operating Procedures](#SOPs), and  2) Internationally accepted scientific protocols for the use of biological control agents. |
| Indicator 10.8.3. The use of [biological control agents](#Biological_control_agents) is recorded including type, quantity, period, location and reason for use.  Verifiers: Records of use of biological control agents. |
| Indicator 10.8.4. Damage to [environmental values](#Environmental_values) caused by the use of [biological control agents](#Biological_control_agents) is prevented and mitigated or repaired where damage occurs.  Verifiers:  1) Monitoring reports (including impacts on environmental values),  2) Relevant records of measures taken to mitigate or repair damage, and  3) Field verification. |
| Criterion 10.9 [The Organization](#The_Organization) shall assess [risks](#Risk) and implement activities that reduce potential negative impacts from [natural hazards](#Natural_Hazards) proportionate to [scale, intensity, and risk](#Scale_intensity_and_risk). (new) |
| Indicator 10.9.1. Potential negative impacts of [natural hazards](#Natural_Hazards) on [infrastructure](#Infrastructure), [forest](#Forest) resources and communities in the [Management Unit](#Management_Unit) are assessed.  Verifiers: Risk management report. |
| Indicator 10.9.2. Management activities mitigate these impacts.  Verifiers:  1) [Standard Operating Procedures](#SOPs), and  2) Risk management report. |
| Indicator 10.9.3. The [risk](#Risk) for management activities to increase the frequency, distribution or severity of [natural hazards](#Natural_Hazards) is identified for those [hazards](#Natural_Hazards) that may be influenced by management.  Verifiers: Risk management report. |
| Indicator 10.9.4. Management activities are modified and/or measures are developed and implemented that reduce the identified [risks](#Risk).  Verifiers:  1) [Standard Operating Procedures](#SOPs) reflect modified management activities and/or measures developed to reduce identified risks,  2) Risk management report, and  3) Monitoring reports. |
| Criterion 10.10 [The Organization](#The_Organization) shall manage [infrastructural development](#Infrastructure), transport activities and [silviculture](#Silviculture) so that water resources and soils are protected, and disturbance of and damage to [rare and threatened species](#Rare_species), [habitats](#Habitat), [ecosystems](#Ecosystem) and [landscape values](#Landscape_values) are prevented, mitigated and/or repaired. (C6.5 P&C V4) |
| Indicator 10.10.1. Development, maintenance and use of [infrastructure](#Infrastructure), as well as transport activities, are managed to protect [environmental values](#Environmental_values) identified in [Criterion](#Criterion) 6.1.  Verifiers: [Standard Operating Procedures](#SOPs). |
| Indicator 10.10.2. [Silviculture](#Silviculture) activities are managed to ensure protection of the [environmental values](#Environmental_values) identified in [Criterion](#Criterion) 6.1.  Verifiers:  1) [Standard Operating Procedures](#SOPs),  2) Silvicultural plan, and  3) Field verification. |
| Indicator 10.10.3. Disturbance or damages to water courses, [water bodies](#Water_bodies), soils, [rare and threatened species](#Rare_species), [habitats](#Habitat), [ecosystems](#Ecosystem) and [landscape values](#Landscape_values) are prevented, mitigated and repaired in a [timely manner](#Timely_manner), and management activities modified to prevent further damage.  Verifiers:  1) Records of timely actions taken to prevent, mitigate or repair damage to water courses, water bodies, soils, rare and threatened species, habitats, ecosystems and landscape values, and  2) [Standard Operating Procedures](#SOPs) reflect modified management activities. |
| Criterion 10.11. [The Organization](#The_Organization) shall manage activities associated with harvesting and extraction of timber and [non-timber forest products](#Non_timber_forest_products) so that [environmental values](#Environmental_values) are conserved, merchantable waste is reduced, and damage to other products and services is avoided. (C5.3 and C6.5 P&C V4) |
| Indicator 10.11.1. Harvesting and extraction practices for timber and [non-timber forest products](#Non_timber_forest_products) are implemented in a manner that conserves [environmental values](#Environmental_values) as identified in [Criterion](#Criterion) 6.1.  Verifiers:  1) Harvesting plan,  2) Reduced Impact Logging practices (if adopted), and  3) Field verification. |
| Indicator 10.11.2. Harvesting practices optimize the use of [forest](#Forest) products and merchantable materials.  Verifiers:  1) Evidence of NTFP harvesting carried out prior to felling  2) Records of arrangement with local communities and workers on wise use of NTFPs, and  3) Records of arrangements with contractors on merchantable off-cuts. |
| Indicator 10.11.3. Sufficient amounts of dead and decaying biomass and [forest](#Forest) structure are retained to conserve [environmental values](#Environmental_values).  Verifiers: Field verification. |
| Indicator 10.11.4. Harvesting practices avoid damage to standing residual trees, residual woody debris on the ground and other [environmental values](#Environmental_values).  Verifiers:  1) Reduced Impact Logging practices including employing directional felling techniques to avoid damage, and  2) Field verification. |
| Criterion 10.12. [The Organization](#The_Organization) shall dispose of [waste materials](#Waste_materials) in an environmentally appropriate manner. (C6.7 P&C V4) |
| **Indicator 10.12.1.** Collection, clean up, transportation and disposal of all [waste materials](#Waste_materials) is done in an environmentally appropriate way that conserves [environmental values](#Environmental_values) as identified in [Criterion](#Criterion) 6.1.  Verifiers:  1) [Standard Operating Procedures](#SOPs),  2) Disposal records,  3) Field verification, and  4) Interviews with workers, contractors and relevant stakeholders. |

# 8. Annexes to a Forest Stewardship Standard

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

The following is the minimum list of applicable laws, regulations and nationally-ratified international treaties, conventions and agreements, in FSC-STD-60-004 (International Generic Indicators).

|  |  |
| --- | --- |
| 1. Legal\* rights to harvest | |
| 1.1 Land tenure\* and management rights | Legislation covering land tenure\* rights, including customary rights\* as well as management rights, that includes the use of legal\* methods to obtain tenure\* rights and management rights. It also covers legal\* business registration and tax registration, including relevant legally required licenses. |
| Sabah  (Federal list)   * Federal Constitution   (State list)   * Sabah State Constitution * Environment Protection Enactment, 2002   + Environment Protection (Prescribed Activities) (Environmental Impact Assessment) Order, 2005 * Forest Enactment, 1968   + Forest Rules, 1969 * Interpretation (Definition of Native) Ordinance, 1952 * Land Ordinance, 1930 (Sabah Cap. 68) * Native Court Enactment, 1992   + Native Court (Native Customary Laws) Rules, 1995 * Sabah Parks Ordinance, 1962 * State Cultural Heritage (Conservation) Enactment, 1997 * All *adat* recognised and enforceable by the Native Courts, including relevant decisions of the Civil Courts |
| Sarawak  (Federal list)   * Federal Constitution   (State list)   * Sarawak State Constitution * Forests Ordinance, 2015 (Cap. 71)   + Forest Rules, 1973 * Interpretation Ordinance (Cap. 61) * Land Code (Cap. 81) * National Parks and Nature Reserves Ordinance, 1998 * Native Courts Ordinance, 1992   + Native Courts Rules, 1993 * Native Customs (Declaration) Ordinance, 1996 * Natural Resources and Environment Ordinance (Cap. 84)   + Natural Resources and Environment (Prescribed Activities) Order, 1994 * Sarawak Cultural Heritage Ordinance, 1993 * All adat codified under the Native Customs (Declaration) Ordinance, 1996 and any other adat recognised and enforceable by the Native Courts under the Native Courts Ordinance, 1992 and the Native Courts Rules, 1993 * Decisions of the Civil Courts pertaining to legal or customary tenure or use rights |
| Peninsular Malaysia  (Federal list)   * Aboriginal Peoples Act, 1954 including relevant decisions of the Civil Courts * Human Rights Commission of Malaysia Act, 1999 * Land Conservation Act, 1960 * National Forestry Act, 1984 * National Land Code, 1965 * National Parks Act, 1980   (State list)   * State Forest Enactments * State Forest Rules * Johor State Park Corporation Enactment, 1989 (Johor only) * Perak State Park Corporation Enactment, 2001 (Perak only) * Selangor State Parks Corporation Enactment, 2005 (Selangor only) |
| International Treaties   * United Nations Convention on Biological Diversity, 1992 – Articles 1-19   + Cartagena Protocol on Biosafety to the Convention on Biological Diversity, 2000 * United Nations Declaration on Rights of Indigenous Peoples, 2007 * International Tropical Timber Agreement, 1994 – Chapters I and VII |
| 1.2 Concession licenses | Legislation regulating procedures for issuing forest\* concession licenses, including the use of legal\* methods to obtain concession licenses. |
| Sabah  (State list)   * Environment Protection Enactment, 2002   + Environment Protection (Prescribed Activities) (Environmental Impact Assessment) Order, 2005 * Forest Enactment, 1968   + Forest Rules, 1969 * Land Ordinance, 1930 (Sabah Cap. 68) |
| Sarawak  (State list)   * Natural Resources and Environment Ordinance (Cap. 84) * Natural Resources and Environment (Prescribed Activities) Order, 1994 * Forests Ordinance, 2015 (Cap. 71)   + Forest Rules, 1973 * Land Code (Cap. 81) |
| Peninsular Malaysia   * Environmental Quality Act, 1974   + Environmental Quality (Scheduled Wastes) Regulations, 2005   + Environmental Quality (Prescribed Premises) (Scheduled Wastes Treatment and Disposal Facilities) Regulations, 1989   (State list)   * State Forest Enactments * State Forest Rules |
| International Treaties   * International Tropical Timber Agreement, 1994 – Chapters I and VII |
| 1.3 Management and harvesting planning | Any national or sub-national legal\* requirements for Management planning, including conducting forest\* inventories, having a forest\* management plan\* and related planning and monitoring, impact assessments, consultation with other entities, as well as approval of these by legally competent\* authorities. |
| Sabah  (State list)   * Environment Protection Enactment, 2002   + Environment Protection (Prescribed Activities) (Environmental Impact Assessment) Order, 2005 * Forest Enactment, 1968   + Forest Rules, 1969 |
| Sarawak  (Federal list)   * Environmental Quality Act, 1974   + Environmental Quality (Scheduled Wastes) Regulations, 2005   + Environmental Quality (Prescribed Premises) (Scheduled Wastes Treatment and Disposal Facilities) Regulations, 1989   (State list)   * Forests Ordinance, 2015 (Cap. 71)   + Forest Rules, 1973 * Natural Resources and Environment Ordinance (Cap. 84)   + Natural Resources and Environment (Prescribed Activities) Order, 1994 |
| Peninsular Malaysia   * Environmental Quality Act, 1974   + Environmental Quality (Scheduled Wastes) Regulations, 2005   + Environmental Quality (Prescribed Premises) (Scheduled Wastes Treatment and Disposal Facilities) Regulations, 1989   (State list)   * State Forest Enactments * State Forest Rules |
| International Treaties   * International Tropical Timber Agreement, 1994 – Chapters I and VII |
| 1.4 Harvesting permits | National or sub-national laws and regulations regulating procedures for issuing harvesting permits, licenses or other legal\* documents required for specific harvesting operations. This includes the use of legal\* methods to obtain the permits. |
| Sabah  (Federal list)   * International Trade in Endangered Species Act, 2008   (State list)   * Forest Enactment, 1968   + Forest Rules, 1969 * Wildlife Conservation Enactment, 1997 |
| Sarawak  (Federal list)   * International Trade in Endangered Species Act, 2008   (State list)   * Forests Ordinance, 2015 (Cap. 71)   + Forest Rules, 1973 * Wild Life Protection Ordinance, 1998 |
| Peninsular Malaysia  (Federal list)   * National Forestry Act 1984 * Wildlife Conservation Act, 2010 * International Trade in Endangered Species Act, 2008   (State list)   * State Forest Enactments * State Forest Rules |
| 2. Taxes and fees | |
| 2.1 Payment of royalties and harvesting fees | Legislation covering payment of all legally required forest\* harvesting specific fees such as royalties, stumpage fees and other volume-based fees. This includes payments of the fees based on the correct classification of quantities, qualities and species. |
| Sabah  (State list)   * Forest Enactment, 1968   + Forest Rules, 1969 |
| Sarawak  (State list)   * Forests Ordinance, 2015 (Cap. 71)   + Forest Rules, 1973 |
| Peninsular Malaysia  (Federal list)   * National Forestry Act, 1984   (State list)   * State Forest Enactments * State Forest Rules |
| 2.2 Value added taxes and other sales taxes | Legislation covering different types of sales taxes which apply to the material being sold, including the sale of material as growing forest\* (standing stock sales). |
| Sabah  (State list)   * Forest Enactment, 1968   + Forest Rules, 1969 |
| Sarawak  (State list)   * Forests Ordinance, 2015 (Cap. 71)   + Forest Rules, 1973 |
| Peninsular Malaysia  (Federal list)   * National Forestry Act, 1984   (State list)   * State Forest Enactments * State Forest Rules |
| 2.3 Income and profit taxes | Legislation covering income and profit taxes related to profit derived from the sale of forest\* products and harvesting activities. This category is also related to income from the sale of timber and does not include other taxes generally applicable for companies and is not related to salary payments. |
| Sabah  (State list)   * Forest Enactment, 1968   + Forest Rules, 1969 |
| Sarawak  (State list)   * Forests Ordinance, 2015 (Cap. 71)   + Forest Rules, 1973 |
| Peninsular Malaysia  (Federal list)   * National Forestry Act, 1984   (State list)   * State Forest Enactments * State Forest Rules |
| 3. Timber harvesting activities | |
| 3.1 Timber harvesting regulations | Any legal\* requirements for harvesting techniques and technology including selective cutting, shelter wood regenerations, clear felling, transport of timber from the felling site, seasonal limitations, etc. Typically, this includes regulations on the size of felling areas, minimum age and/or diameter for felling activities, and elements that shall\* be preserved during felling, etc. Establishment of skidding or hauling trails, road construction, drainage systems and bridges, etc., shall\* also be considered as well as the planning and monitoring of harvesting activities. Any legally binding codes for harvesting practices shall\* be considered. |
| Sabah  (State list)   * Forest Enactment, 1968   + Forest Rules, 1969 |
| Sarawak  (State list)   * Forests Ordinance, 2015 (Cap. 71)   + Forest Rules, 1973 |
| Peninsular Malaysia  (Federal list)   * National Forestry Act, 1984   (State list)   * State Forest Enactments * State Forest Rules |
| International Treaties   * International Tropical Timber Agreement, 1994 – Chapters I and VII |
| 3.2 Protected sites and species | International, national, and sub national treaties, laws, and regulations related to protected areas, allowable forest\* uses and activities, and/or rare, threatened, or endangered species, including their habitats\* and potential habitats\*. |
| Sabah  (Federal list)   * International Trade in Endangered Species Act, 2008 * Fisheries Act, 1985     (State list)   * Biodiversity Enactment, 2000 * Environment Protection Enactment, 2002   + Environment Protection (Prescribed Activities) (Environmental Impact Assessment) Order, 2005 * Forest Enactment, 1968   + Forest Rules, 1969 * Sabah Parks Ordinance, 1962 * State Cultural Heritage (Conservation) Enactment, 1997 * Wildlife Conservation Enactment, 1997 |
| Sarawak  (Federal list)   * International Trade in Endangered Species Act, 2008 * Fisheries Act, 1985     (State list)   * Land Code (Cap. 81) * National Parks and Nature Reserves Ordinance, 1998 * Forests Ordinance, 2015 (Cap. 71)   + Forest Rules, 1973 * Sarawak Biodiversity Centre Ordinance, 1997   + Sarawak Biodiversity Regulations, 2004   + Sarawak Biodiversity (Fees) Notification, 2003 * Sarawak Cultural Heritage Ordinance, 1993 * Wild Life Protection Ordinance, 1998 (Cap. 26)   + Wild Life Protection Rules, 1998 |
| Peninsular Malaysia  (Federal list)   * International Trade in Endangered Species Act, 2008 * National Parks Act, 1980 * Wildlife Conservation Act, 2010 * National Physical Plan 2010 * Fisheries Act, 1985 |
| International Treaties   * United Nations Convention on Biological Diversity, 1992 – Articles 1-19 * Cartagena Protocol on Biosafety to the Convention on Biological Diversity, 2000 * Convention on Wetlands of International Importance Especially as Waterfowl Habitat, 1971 – Articles 1-6 * International Tropical Timber Agreement, 1994 – Chapters I and VII * Convention on International Trade in Endangered Species of Wild Fauna and Flora, 1973 – Articles I-X |
| 3.3 Environmental requirements | National and sub national laws and regulations related to the identification and/or protection\* of environmental values\* including but not limited to those relating to or affected by harvesting, acceptable levels for soil damage, establishment of buffer zones (e.g., along water courses, open areas and breeding sites), maintenance of retention trees on the felling site, seasonal limitations of harvesting time, environmental requirements for forest\* machineries, use of pesticides\* and other chemicals, biodiversity conservation\*, air quality, protection\* and restoration\* of water quality, operation of recreational equipment, development of non-forestry infrastructure\*, mineral exploration and extraction, etc. |
| Sabah  (Federal list)   * Environmental Quality Act, 1974   + Environmental Quality (Scheduled Wastes) Regulations, 2005   + Environmental Quality (Prescribed Premises) (Scheduled Wastes Treatment and Disposal Facilities) Regulations, 1989   (State list)   * Forest Enactment, 1968   + Forest Rules, 1969 * Environment Protection Enactment, 2002   + Environment Protection (Prescribed Activities) (Environmental Impact Assessment) Order, 2005 * Land Ordinance, 1930 (Sabah Cap. 68) * Wildlife Conservation Enactment, 1997 * Water Resources Enactment, 1998 |
| Sarawak  (Federal list)   * Environmental Quality Act, 1974   + Environmental Quality (Scheduled Wastes) Regulations, 2005   + Environmental Quality (Prescribed Premises) (Scheduled Wastes Treatment and Disposal Facilities) Regulations, 1989   (State list)   * Forests Ordinance, 2015 (Cap. 71)   + Forest Rules, 1973 * Land Code (Cap. 81) * Natural Resources and Environment Ordinance (Cap. 84)   + Natural Resources and Environment (Prescribed Activities) Order, 1994 * Sarawak Rivers Ordinance, 1993 (Cap. 4) and Regulations * Water Ordinance, 1994 and Regulations * Wild Life Protection Ordinance, 1998 (Cap. 26) |
| Peninsular Malaysia  (Federal list)   * Environmental Quality Act, 1974   + Environmental Quality (Scheduled Wastes) Regulations, 2005   + Environmental Quality (Prescribed Premises) (Scheduled Wastes Treatment and Disposal Facilities) Regulations, 1989 * Factories and Machineries Act, 1967 * Land Conservation Act, 1960 * National Forestry Act, 1984 * National Land Code, 1965 * Pesticides Act, 1974 * Waters Act, 1920 * Wildlife Conservation Act, 2010 * (State list)   (State list)   * State Forest Enactments * State Forest Rules |
| International Treaties   * United Nations Convention on Biological Diversity, 1992 – Articles 1-19   + Cartagena Protocol on Biosafety to the Convention on Biological Diversity, 2000 * Convention on Wetlands of International Importance Especially as Waterfowl Habitat, 1971 – Articles 1-6 * International Tropical Timber Agreement, 1994 – Chapters I and VII * United Nations Framework Convention on Climate Change, 1992 – Articles 1-6 |
| 3.4 Health and safety | Legally required personal protection\* equipment for persons involved in harvesting activities, implementation of safe felling and transport practices, establishment of protection\* zones around harvesting sites, safety requirements for machinery used, and legally required safety requirements in relation to chemical usage. The health and safety requirements that shall\* be considered relevant to operations in the forest\* (not office work, or other activities less related to actual forest\* operations). |
| Sabah  (Federal list)   * Factories and Machineries Act, 1967 * Occupational Safety and Health Act, 1994   + Occupational Safety and Health (Notification of Accident, Dangerous Occurrence, Occupational Poisoning and Occupational Diseases) Regulations, 2004   + Occupational Safety and Health (Use and Standard of Exposure of Chemicals Hazardous to Health) Regulations, 2000 * Pesticides Act, 1974 |
| Sarawak  (Federal list)   * Factories and Machineries Act, 1967 * Occupational Safety and Health Act, 1994   + Occupational Safety and Health (Notification of Accident, Dangerous Occurrence, Occupational Poisoning and Occupational Diseases) Regulations, 2004   + Occupational Safety and Health (Use and Standard of Exposure of Chemicals Hazardous to Health) Regulations, 2000 * Pesticides Act, 1974 |
| Peninsular Malaysia  (Federal list)   * Factories and Machineries Act, 1967 * Occupational Safety and Health Act, 1994   + Occupational Safety and Health (Notification of Accident, Dangerous Occurrence, Occupational Poisoning and Occupational Diseases) Regulations, 2004   + Occupational Safety and Health (Use and Standard of Exposure of Chemicals Hazardous to Health) Regulations, 2000 * Pesticides Act, 1974 |
| International Treaties   * ILO Code of Practice on Safety and Health in Forestry Work * Occupational Safety and Health in Logging Operations, 2004 |
| 3.5 Legal\* employment | Legal\* requirements for employment of personnel involved in harvesting activities including requirements for contracts and working permits, requirements for obligatory insurance, requirements for competence certificates and other training requirements, and payment of social and income taxes withheld by the employer. Also covered are the observance of minimum working age and minimum age for personnel involved in hazardous work, legislation against forced and compulsory labor, and discrimination and freedom of association. |
| Sabah  (Federal list)   * Employees Provident Fund Act, 1991 * Employees’ Social Security Act, 1969   + Employees’ Social Security (General) Regulations, 1971 * Human Rights Commission of Malaysia Act, 1999 * Industrial Relations Act, 1967 * Trade Unions Act, 1959 (Act 262) * Workmen’s Compensation Act, 1952 * (State list) * Labour Ordinance (Sabah Cap. 67) * Minimum Wages Order, 2016 |
| Sarawak  (Federal list)   * Employees Provident Fund Act, 1991 * Employees’ Social Security Act, 1969   + Employees’ Social Security (General) Regulations, 1971 * Human Rights Commission of Malaysia Act, 1999 * Industrial Relations Act, 1967 * Trade Unions Act, 1959 (Act 262) * Workmen’s Compensation Act, 1952 * Minimum Wages Order, 2016   (State list)   * Labour Ordinance (Sarawak Cap. 76) |
| Peninsular Malaysia  (Federal list)   * Employees Provident Fund Act, 1991 * Employees’ Social Security Act, 1969   + Employees’ Social Security (General) Regulations, 1971 * Human Rights Commission of Malaysia Act, 1999 * Industrial Relations Act, 1967 * Trade Unions Act, 1959 (Act 262) * Workmen’s Compensation Act, 1952 * Employment Act, 1955 * Minimum Wages Order, 2016 |
| International Treaties   * International Labour Organization (ILO) Conventions   + Convention No. 29: Forced Labour Convention, 1930 - Articles 1 and 2   + Convention No. 87: The Freedom of Association and Protection of the Right to Organise Convention, 1948 - Articles 2, 3, 5 and 11   + Convention No. 98: The Right to Organise and Collective Bargaining Convention, 1949 - Articles 1 and 2   + Convention No. 100: Equal Remuneration Convention, 1951 - The Right to Equal Pay - Articles 1-4   + Convention No. 105: Abolition of Forced Labour Convention, 1957 - Articles 1 and 2   + Convention No. 111: Discrimination (Employment and Occupation) Convention, 1958 - The Right to Equal Treatment - Articles 1-5   + Convention No. 138: Minimum Age for Admission to Employment, 1973   + Convention No. 182: Worst Form of Child Labour, 1999 |
| 4. Third parties’ rights | |
| 4.1 Customary rights\* | Legislation covering customary rights\* relevant to forest\* harvesting activities, including requirements covering the sharing of benefits and indigenous rights. |
| Sabah  (Federal list)   * Federal Constitution * Human Rights Commission of Malaysia Act, 1999   (State list)   * Sabah State Constitution * Interpretation (Definition of Native) Ordinance, 1952 * Native Court Enactment, 1992   + Native Court (Native Customary Laws) Rules, 1995 * All *adat* recognised and enforceable by the Native Courts, including relevant decisions of the Civil Courts |
| Sarawak  (Federal list)   * Federal Constitution * Human Rights Commission of Malaysia Act, 1999   (State list)   * Sarawak State Constitution * Interpretation Ordinance (Cap. 61) * Native Courts Ordinance, 1992   + Native Courts Rules, 1993 * Native Customs (Declaration) Ordinance, 1996 * Land Code (Cap. 81) * Forest Ordinance, 2015 (Cap. 71) * Notification in Sarawak Gazette * All *adat* codified under the Native Customs (Declaration) Ordinance, 1996 and any other *adat* recognised and enforceable by the Native Courts under the Native Courts Ordinance, 1992 and the Native Courts Rules, 1993 * Decisions of the Civil Courts pertaining to legal or customary tenure or use rights |
| Peninsular Malaysia  (Federal list)   * Federal Constitution * Human Rights Commission of Malaysia Act, 1999 * Aboriginal Peoples Act, 1954 including relevant decisions of the Civil Courts |
| International Treaties   * International Tropical Timber Agreement, 1994 – Chapters I and VII * United Nations Declaration on Rights of Indigenous Peoples, 2007 |
| 4.2 Free Prior and Informed Consent\* | Legislation covering “free prior and informed consent” in connection with the transfer of forest\* management rights and customary rights\* to The Organization\* in charge of the harvesting operation. |
| Sabah  (Federal list)   * Federal Constitution * Human Rights Commission of Malaysia Act, 1999   (State list)   * Sabah State Constitution * Interpretation (Definition of Native) Ordinance, 1952 * Native Court Enactment, 1992   + Native Court (Native Customary Laws) Rules, 1995 * All *adat* recognised and enforceable by the Native Courts, including relevant decisions of the Civil Courts |
| Sarawak  (Federal list)   * Federal Constitution * Human Rights Commission of Malaysia Act, 1999   (State list)   * Sarawak State Constitution * Interpretation Ordinance (Cap. 61) * Native Courts Ordinance, 1992   + Native Courts Rules, 1993 * Native Customs (Declaration) Ordinance, 1996 * All *adat* codified under the Native Customs (Declaration) Ordinance, 1996 and any other *adat* recognised and enforceable by the Native Courts under the Native Courts Ordinance, 1992 and the Native Courts Rules, 1993 * Decisions of the Civil Courts pertaining to legal or customary tenure or use rights |
| Peninsular Malaysia  (Federal list)   * Federal Constitution * Human Rights Commission of Malaysia Act, 1999 * Aboriginal Peoples Act, 1954 including relevant decisions of the Civil Courts |
| International Treaties   * United Nations Declaration on Rights of Indigenous Peoples, 2007 * International Tropical Timber Agreement, 1994 – Chapters I and VII |
| 4.3 Indigenous Peoples’\* rights | Legislation that regulates the rights of Indigenous Peoples\* as far as it is related to forestry activities. Possible aspects to consider are land tenure\*, and rights to use certain forest\* related resources and practice traditional activities, which may involve forest\* lands. |
| Sabah  (Federal list)   * Federal Constitution * Human Rights Commission of Malaysia Act, 1999   (State list)   * Sabah State Constitution * Interpretation (Definition of Native) Ordinance, 1952 * Native Court Enactment, 1992   + Native Court (Native Customary Laws) Rules, 1995 * All *adat* recognised and enforceable by the Native Courts, including relevant decisions of the Civil Courts |
| Sarawak  (Federal list)   * Federal Constitution * Human Rights Commission of Malaysia Act, 1999   (State list)   * Sarawak State Constitution * Interpretation Ordinance (Cap. 61) * Native Courts Ordinance, 1992   + Native Courts Rules, 1993 * Native Customs (Declaration) Ordinance, 1996 * Land Code (Cap. 81) * Forest Ordinance, 2015 (Cap. 71) * Notification in Sarawak Gazette * All *adat* codified under the Native Customs (Declaration) Ordinance, 1996 and any other *adat* recognised and enforceable by the Native Courts under the Native Courts Ordinance, 1992 and the Native Courts Rules, 1993 * Decisions of the Civil Courts pertaining to legal or customary tenure or use rights |
| Peninsular Malaysia  (Federal list)   * Federal Constitution * Human Rights Commission of Malaysia Act, 1999 * Aboriginal Peoples Act, 1954 including relevant decisions of the Civil Courts |
| International Treaties   * United Nations Convention on Biological Diversity, 1992 – Articles 1-19 * International Tropical Timber Agreement, 1994 – Chapters I and VII * United Nations Declaration on Rights of Indigenous Peoples, 2007 |
| 5. Trade and transport  NOTE: This section covers requirements for forest\* management operations as well as processing and trade. | |
| 5.1 Classification of species, quantities, qualities | Legislation regulating how harvested material is classified in terms of species, volumes and qualities in connection with trade and transport. |
| Sabah  (Federal lists)   * International Trade in Endangered Species Act, 2008   (State lists)   * Forest Enactment, 1968   + Forest Rules, 1969 |
| Sarawak  (Federal lists)   * International Trade in Endangered Species Act, 2008     (State lists)   * Forests Ordinance, 2015 (Cap. 71)   + Forest Rules, 1973 |
| Peninsular Malaysia  (Federal list)   * National Forestry Act, 1984 * International Trade in Endangered Species Act, 2008   (State list)   * State Forest Enactments * State Forest Rules |
| International Treaties   * International Tropical Timber Agreement, 1994 – Chapters I and VII * Convention on International Trade in Endangered Species of Wild Fauna and Flora, 1973 – Articles I-X |
| 5.2 Trade and transport | All required trading and transport permits shall\* exist as well as legally required transport documents which accompany the transport of wood from forest\* operations. |
| Sabah  (State lists)   * Forest Enactment, 1968   + Forest Rules, 1969 |
| Sarawak  (State lists)   * Forests Ordinance, 2015 (Cap. 71)   + Forest Rules, 1973 |
| Peninsular Malaysia  (Federal list)   * National Forestry Act, 1984   (State list)   * State Forest Enactments * State Forest Rules |
| 5.3 CITES | CITES permits (the Convention on International Trade in Endangered Species of Wild Fauna and Flora, also known as the Washington Convention). |
| Sabah   * Biodiversity Enactment, 2000 * Wildlife Conservation Enactment, 1997 |
| Sarawak   * Sarawak Biodiversity Centre Ordinance, 1997   + Sarawak Biodiversity Regulations, 2004   + Sarawak Biodiversity (Fees) Notification, 2003 * Wild Life Protection Ordinance, 1998 (Cap. 26)   + Wild Life Protection Rules, 1998 |
| Peninsular Malaysia   * International Trade in Endangered Species Act, 2008 * Wildlife Conservation Act, 2010 |
| International Treaties   * United Nations Convention on Biological Diversity, 1992 – Articles 1-19   + Cartagena Protocol on Biosafety to the Convention on Biological Diversity, 2000 * International Tropical Timber Agreement, 1994 – Chapters I and VII * Convention on International Trade in Endangered Species of Wild Fauna and Flora, 1973 – Articles I-X |
| 6. Ecosystem Services | |
|  | Legislation covering ecosystem services\* rights, including customary rights\* as well as management rights that include the use of legal\* methods to make claims and obtain benefits and management rights related to ecosystem services\*. National and subnational laws and regulations related to the identification, protection and payment for ecosystem services\*. Also includes legal\* business registration and tax registration, including relevant legal\* required licenses for the exploitation, payment, and claims related to ecosystem services\* (including tourism). |
| Sabah   * Environmental Quality Act, 1974   + Environmental Quality (Scheduled Wastes) Regulations, 2005   + Environmental Quality (Prescribed Premises) (Scheduled Wastes Treatment and Disposal Facilities) Regulations, 1989   (State list)   * Environment Protection Enactment, 2002   + Environment Protection (Prescribed Activities) (Environmental Impact Assessment) Order, 2005 * Forest Enactment, 1968   + Forest Rules, 1969 * Interpretation (Definition of Native) Ordinance, 1952 * Native Court Enactment, 1992   + Native Court (Native Customary Laws) Rules, 1995 * Water Resources Enactment, 1998 * All *adat* recognised and enforceable by the Native Courts, including relevant decisions of the Civil Courts |
| Sarawak   * Environmental Quality Act, 1974   + Environmental Quality (Scheduled Wastes) Regulations, 2005   + Environmental Quality (Prescribed Premises) (Scheduled Wastes Treatment and Disposal Facilities) Regulations, 1989   (State list)   * Forests Ordinance, 2015 (Cap. 71)   + Forest Rules, 1973 * Interpretation Ordinance (Cap. 61 * Native Courts Ordinance, 1992   + Native Courts Rules, 1993 * Native Customs (Declaration) Ordinance, 1996 * Natural Resources and Environment Ordinance (Cap. 84)   + Natural Resources and Environment (Prescribed Activities) Order, 1994 * Sarawak Biodiversity Centre Ordinance, 1997   + Sarawak Biodiversity Regulations, 2004   + Sarawak Biodiversity (Fees) Notification, 2003 * Sarawak Rivers Ordinance, 1993 (Cap. 4) and Regulations * Water Ordinance, 1994 and Regulations * All *adat* codified under the Native Customs (Declaration) Ordinance, 1996 and any other *adat* recognised and enforceable by the Native Courts under the Native Courts Ordinance, 1992 and the Native Courts Rules, 1993 * Decisions of the Civil Courts pertaining to legal or customary tenure or use rights |
| Peninsular Malaysia   * Environmental Quality Act, 1974   + Environmental Quality (Scheduled Wastes) Regulations, 2005   + Environmental Quality (Prescribed Premises) (Scheduled Wastes Treatment and Disposal Facilities) Regulations, 1989 * Aboriginal Peoples Act, 1954 including relevant decisions of the Civil Courts * Land Conservation Act, 1960 * National Forestry Act, 1984 * National Parks Act, 1980 * Waters Act, 1920 * Wildlife Conservation Act, 2010 |
| International Treaties   * United Nations Convention on Biological Diversity, 1992 – Articles 1-19   + Cartagena Protocol on Biosafety to the Convention on Biological Diversity, 2000 * Convention on Wetlands of International Importance Especially as Waterfowl Habitat, 1971 – Articles 1-6 * International Tropical Timber Agreement, 1994 – Chapters I and VII * United Nations Framework Convention on Climate Change, 1992 – Articles 1-6 * United Nations Declaration on Rights of Indigenous Peoples, 2007 |

Annex B: Training requirements for workers

Workers shall be able to:

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

Annex C: Additional Requirements for Ecosystem Services.

For the certification of ecosystem services, all other requirements in this Standard continue to apply. Receiving payment, or making claims, for ecosystem services is voluntary. This Annex and accompanying normative and guidance documents describe the requirements and methods for certifying the maintenance of ecosystem services as the basis for promotional claims for improved market access to ecosystem service payments.

There is overlap between the management and monitoring activities for environmental values and those for ecosystem services. When The Organization makes FSC promotional claims regarding the maintenance and/or enhancement of ecosystem services, additional management and monitoring requirements shall apply to ensure credibility of claims and demonstration of impacts.

The “FSC Guidance for Maintaining and Enhancing Ecosystem Services” (to be developed) provides guidance for the identification of ecosystem services, management strategies and activities for their maintenance and enhancement.

The “FSC Procedure for Demonstrating the Impact of Forest Stewardship on Ecosystem Services” (to be developed) describes requirements for evaluating the outcomes and impacts of activities to maintain and/or enhance the provision of ecosystem services. The Procedure also describes how the results of impact evaluation shall be used as the basis for FSC promotional claims that The Organization may make for the provision of ecosystem services, according to FSC’s applicable trademark requirements.

1. General Indicators
2. A [publicly available](#Publicly_available) Ecosystem Services Certification Document is developed and includes:
3. A declaration of the [ecosystem services](#Ecosystem_services) for which a promotional claim is being or will be made;
4. A description of the current condition of the declared ecosystem services;
5. [Legal](#Legal) [tenure](#Tenure) to manage, use and/or receive payments for declared ecosystem services;
6. [Management objectives](#Management_objective) related to maintenance and/or enhancement of declared ecosystem services;
7. [Verifiable targets](#Verifiable_targets) related to maintenance and/or enhancement of declared ecosystem services;
8. Management activities and strategies related to declared ecosystem services;
9. Areas within and outside of the [Management Unit](#Management_Unit) that contribute to the declared ecosystem services;
10. Threats to the declared ecosystem services within and outside of the [Management Unit](#Management_Unit);
11. A description of management activities to reduce the threats to declared ecosystem services within and outside of the [Management Unit](#Management_Unit);
12. A description of the methodology used to evaluate the impacts of management activities on the declared ecosystem services within and outside of the [Management Unit](#Management_Unit), based on the FSC Procedure for Demonstrating the Impact of Forest Stewardship on Ecosystem Services;
13. A description of monitoring results related to the implementation of management activities and strategies related to the maintenance and/or enhancement of declared ecosystem services;
14. A description of results of the evaluation of impacts of activities and threats on the declared ecosystem services;
15. A list of communities and other organizations involved in activities related to the declared ecosystem services; and
16. A summary of [culturally appropriate](#Culturally_appropriate) [engagement](#Engaging_engagement) with [Indigenous Peoples](#Indigenous_Peoples) and [local communities](#Local_communities), related to the declared ecosystem services including ecosystem services access and use, and benefit sharing, consistent with Principle 3 and Principle 4.
17. The results of the evaluation of impacts demonstrate that verifiable targets for the maintenance and/or enhancement of the declared ecosystem services are met or exceeded; and
18. The results of the evaluation of impacts demonstrate no negative impacts from management activities on the declared ecosystem services within or outside of the [Management Unit](#Management_Unit).
19. Management indicators

For each specific declared ecosystem service, the following Management Indicators shall be used as the basis for developing indicators at the national or regional level.

1. All services
2. Management indicators for all Ecosystem Services ensure:
3. [Peatlands](#Peatland) are not drained;
4. [Wetlands](#Wetlands), peatlands or natural [grasslands](#Grassland) are not converted to [plantations](#Plantation) or any other land use;
5. Areas converted from wetlands, peatlands or natural grasslands to plantation since November 1994 are not certified, except where
   * 1. [The Organization](#The_Organization) provides clear and sufficient evidence that it was not directly or indirectly responsible for the conversion; or
     2. The conversion is producing clear, substantial, additional, secure, [long-term](#Longterm) conservation benefits in the [Management Unit](#Management_Unit); and
     3. The total area of plantation on sites converted since November 1994 is less than 5% of the total area of the [Management Unit](#Management_Unit).
6. Knowledgeable experts independent of The Organization confirm the effectiveness of management strategies and actions to maintain and/or enhance the identified [High Conservation Value areas.](#High_Conservation_Value_Areas)
7. Carbon Sequestration and Storage
8. In addition to requirements to maintain [environmental values](#Environmental_values) in Principle 6, and Principle 9 when promotional claims are made regarding carbon sequestration and storage, the following are demonstrated:
9. [Forests](#Forest) are identified to be protected due to their carbon stocks, according to the FSC Guidance for Maintaining and Enhancing Ecosystem Services.
10. Management activities maintain, enhance or [restore](#Restore_Restoration) carbon storage in the forest; including through forest [protection](#Protection) and reduced impact logging practices for carbon, as described in the FSC Guidance for Maintaining and Enhancing Ecosystem Services.
11. [**Biological Diversity**](#Biological_diversity) [**Conservation**](#Conservation_Protection)
12. In addition to provisions to protect biological diversity in Principle 6 and Principle 9, when promotional claims are made regarding [biological diversity](#Biological_diversity) [conservation](#Conservation_Protection), the following are demonstrated:
13. Management activities maintain, enhance or [restore](#Restore_Restoration):
14. [Rare](#Rare_species) and [threatened species](#Threatened_species) and their [habitats](#Habitat), including through the provision of [conservation zones](#Conservation_zones_and_protection_areas), protection areas, [connectivity](#Connectivity), and other direct means for their survival and viability; and
15. Natural landscape-level characteristics, including forest\* diversity, composition and structure.
16. The [conservation area network](#Conservation_Areas_Network), and conservation areas outside the [Management Unit](#Management_Unit):
17. Represents the full range of [environmental values](#Environmental_values) in the [Management Unit](#Management_Unit);
18. Has sufficient size or functional connectivity, to support natural processes;
19. Contains the full range of habitats present for [focal species](#Focal_species) and rare and [threatened species](#Threatened_species); and
20. Has sufficient size or functional connectivity with other suitable habitat to support viable populations of focal species including rare and threatened species\* in the region.
21. Knowledgeable experts independent of The Organization confirm the sufficiency of the conservation area network.
22. Watershed Services
23. In addition to measures to protect water in Principle 6 and measures to reduce the impact from [natural hazards](#Natural_Hazards) in Principle 10, where promotional claims are made regarding watershed services:
24. An assessment identifies:
25. Hydrological features and connections, including permanent and temporary [water bodies](#Water_bodies), watercourses, and [aquifers](#Aquifer);
26. Domestic water needs for [Indigenous Peoples](#Indigenous_Peoples) and [local communities](#Local_communities) within and outside of the [Management Unit](#Management_Unit) that may be impacted by management activities;
27. Areas of [water stress](#Water_stress) and [water scarcity](#Water_scarcity); and
28. Consumption of water by [The Organization](#The_Organization) and other users.
29. Measures are implemented to maintain, enhance or [restore](#Restore_Restoration) permanent and temporary [water bodies](#Water_bodies), watercourses, and [aquifers](#Aquifer);
30. Chemicals, waste and sediment are not discharged into [water bodies](#Water_bodies), watercourses or aquifers; and
31. Management activities and strategies respect universal access to water, as defined in the UN resolution on the human right to water and sanitation
32. Soil Conservation
33. In addition to measures related to soil in Principle6 and Principle 10, where promotional claims are made regarding soil conservation, the following are demonstrated:
34. Vulnerable or high risk soils are identified, including thin soils, soils with poor drainage and subject to water logging, and soils prone to compaction, erosion, instability and run-off;
35. Measures are implemented to reduce compaction, erosion and landslides;
36. Management activities maintain, enhance or restore soil fertility and stability; and
37. Chemicals and waste are not discharged into soil.
38. Recreational Services

Recreational services are often provided by third parties and not by [The Organization](#The_Organization). As a result, these third parties shall follow all other requirements in this Standard.

1. In addition to measures to assess, prevent, and mitigate negative impacts of management activities on social values identified in Principle 2 to Principle 5 and Principle 9, where promotional claims are made regarding recreational services, the following are demonstrated:
2. Measures are implemented to maintain, enhance or [restore](#Restore_Restoration):
3. Areas of importance for recreation and tourism including site attractions, archaeological sites, trails, areas of high visual quality and areas of cultural or historical interest; and
4. Populations of species that are a tourist attraction.
5. The rights, customs and culture of [Indigenous Peoples](#Indigenous_Peoples) and [local communities](#Local_communities) are not violated by tourism activities;
6. In addition to health and safety practices in Criterion 2.3, practices are implemented to protect the health and safety of tourism customers;
7. Health and safety plans and accident rates are publicly available in recreational areas and areas of interest to the tourism sector; and
8. A summary is provided of activities that demonstrate prevention of discrimination based on gender, age, ethnicity, religion, sexual orientation or disability.

Annex D: Conservation Area Network Conceptual Diagram

|  |  |  |
| --- | --- | --- |
| **Management Unit level** | **Intensity of Management**  Highly Natural Intensive Forestry | **Landscape level** |
| Large  **Scale of Management Unit**  Small | 10% | Few Protection Areas  **Ecosystem Status / Value in Landscape**  Many Protected Areas |

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

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

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

Annex E: Elements of the management plan

* 1. The results of assessments, including:
     1. Natural resources and [environmental values](#Environmental_values), as identified in Principle 6 and Principle 9;
     2. Social, economic and cultural resources and condition, as identified in Principle 6, Principle 2 to Principle 5 and Principle 9;
     3. Major social and environmental risks in the area, as identified in Principle 6, Principle 2 to Principle 5 and Principle 9; and
     4. The maintenance and/or enhancement of [ecosystem services](#Ecosystem_services) for which promotional claims are made as identified in Criterion 5.1 and [Annex C](#Annex_C).
  2. Programs and activities regarding:

1. [Workers’](#Workers) rights, occupational health and safety, [gender equality](#Gender_equality), as identified in Principle 2;
2. [Indigenous Peoples](#Indigenous_Peoples), community relations, local economic and social development, as identified in Principle 3, Principle 4 and Principle 5;
3. Stakeholder [engagement](#Engaging_engagement) and the resolution of [disputes](#Dispute) and grievances, as identified in Principle 1, Principle 2 and Principle 7;
4. Planned management activities and timelines, silvicultural systems used, typical harvesting methods and equipment, as identified in Principle 10;
5. The rationale for harvesting rates of timber and other natural resources, as identified in Principle 5.
   1. Measures to [conserve](#Conservation_Protection) and/or [restore](#Restore_Restoration):
6. [Rare and threatened species](#Rare_species) and [habitats](#Habitat);
7. [Water bodies](#Water_bodies) and [riparian zones](#Riparian_zone);
8. [Landscape](#Landscape) [connectivity](#Connectivity), including wildlife corridors;
9. Declared [ecosystem services](#Ecosystem_services) as identified in Criterion 5.1, and [Annex C](#Annex_C);
10. [Representative Sample Areas](#Representative_Sample_Areas), as identified in Principle 6; and
11. [High Conservation Values](#High_Conservation_Value), as identified in Principle 9.
    1. Measures to assess, prevent, and mitigate negative impacts of management activities on:
12. [Environmental values](#Environmental_values), as identified in Principle 6 and Principle 9;
13. Declared [Ecosystem services](#Ecosystem_services) as identified in Criterion 5.1 and [Annex C](#Annex_C);
14. Social Values, as identified in Principle 2 to Principle 5 and Principle 9.
    1. A description of the monitoring program, as identified in Principle 8, including:
15. Growth and yield, as identified in Principle 5;
16. Declared [Ecosystem services](#Ecosystem_services) as identified in Criterion 5.1 and [Annex C](#Annex_C);
17. [Environmental values](#Environmental_values), as identified in Principle 6
18. Operational impacts, as identified in Principle 10;
19. [High Conservation Values](#High_Conservation_Value), as identified in Principle 9;
20. Monitoring systems based on stakeholder [engagement](#Engaging_engagement) planned or in place, as identified in Principle 2 to Principle 5 and Principle 7;
21. Maps describing the natural resources and land use zoning on the [Management Unit](#Management_Unit).

**Annex F: Conceptual Framework for Planning and Monitoring**

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

**Annex G: Monitoring Requirements**

1. Monitoring in 8.2.1 is sufficient to identify and describe the environmental impacts of management activities, including where applicable:
2. The results of regeneration activities (Criterion 10.1);
3. The use of ecologically well adapted species for regeneration (Criterion 10.2);
4. Invasiveness or other adverse impacts associated with any [alien species](#Alien_species) within and outside the [Management Unit](#Management_Unit) (Criterion 10.3);
5. The use of [genetically modified organisms](#Genetically_modified_organism) to confirm that they are not being used (Criterion 10.4);
6. The results of silvicultural activities (Criterion 10.5);
7. Adverse impacts to [environmental values](#Environmental_values) from [fertilizers](#Fertilizer) (Criterion 10.6);
8. Adverse impacts from the use of [pesticides](#Pesticide) (Criterion 10.7);
9. Adverse impacts from the use of [biological control agents](#Biological_control_agents) (Criterion 10.8);
10. The impacts from [natural hazards](#Natural_Hazards) (Criterion 10.9);
11. The impacts of infrastructural development, transport activities and silviculture to [rare and threatened species](#Rare_species), [habitats](#Habitat), [ecosystems](#Ecosystem), [landscape values](#Landscape_values), water and soils (Criterion 10.10);
12. The impacts of harvesting and extraction of timber on [non-timber forest products](#Non_timber_forest_products), [environmental values](#Environmental_values), merchantable wood waste and other products and services (Criterion 10.11); and
13. Environmentally appropriate disposal of [waste materials](#Waste_materials) (Criterion\* 10.12).
14. Monitoring in 8.2.1 is sufficient to identify and describe social impacts of management activities, including where applicable:
15. Evidence of illegal or unauthorized activities (Criterion 1.4);
16. Compliance with [applicable laws](#Applicable_law), [local laws](#Local_laws), [ratified](#Ratified) international conventions and obligatory codes of practice (Criterion 1.5);
17. Resolution of [disputes](#Dispute) and grievances (Criterion 1.6, Criterion 2.6, Criterion 4.6);
18. Programs and activities regarding workers’ rights (Criterion 2.1);
19. [Gender equality](#Gender_equality), sexual harassment and gender discrimination (Criterion 2.2);
20. Programs and activities regarding occupational health and safety (Criterion 2.3);
21. Payment of wages (Criterion 2.4);
22. [Workers](#Workers)*’* training (Criterion 2.5);
23. Where [pesticides](#Pesticide) are used, the health of [workers](#Workers) exposed to pesticides (Criterion 2.5 and Criterion 10.7);
24. The identification of [Indigenous Peoples](#Indigenous_Peoples) and [local communities](#Local_communities) and their [legal](#Legal) and [customary rights](#Customary_rights) (Criterion 3.1 and Criterion 4.1);
25. Full implementation of the terms in [binding agreements](#Binding_Agreement) (Criterion 3.2 and Criterion 4.2);
26. [Indigenous Peoples](#Indigenous_Peoples) and community relations (Criterion 3.2, Criterion 3.3 and Criterion 4.2);
27. [Protection](#Protection) of sites of special cultural, ecological, economic, religious or spiritual significance to [Indigenous Peoples](#Indigenous_Peoples) and [local communities](#Local_communities) (Criterion 3.5 and Criterion 4.7);
28. The use of [traditional knowledge](#Traditional_Knowledge) and [intellectual property](#Intellectual_property) (Criterion 3.6 and Criterion 4.8);
29. Local economic and social development (Criterion 4.2, Criterion 4.3, Criterion 4.4, Criterion 4.5);
30. The production of diversified benefits and/or products (Criterion 5.1);
31. The maintenance and/or enhancement of [ecosystem services](#Ecosystem_services) (Criterion 5,1);
32. Activities to maintain or enhance ecosystem services (Criterion 5.1);
33. Actual compared to projected annual harvests of timber and [non-timber forest products](#Non_timber_forest_products) (Criterion 5.2);
34. The use of local processing, local services and local value added manufacturing (Criterion 5.4);
35. [Long term](#Longterm) [economic viability](#Economic_viability) (Criterion 5.5); and
36. [High Conservation Values](#High_Conservation_Value) 5 and 6 identified in Criterion 9.1.
37. Monitoring procedures in 8.2.2 are sufficient to identify and describe changes in environmental conditions including where applicable:
38. The maintenance and/or enhancement of [ecosystem services](#Ecosystem_services) (Criterion 5.2) (when [The Organization](#The_Organization) makes FSC promotional claims regarding the provision of [ecosystem services](#Ecosystem_services), or receives payment for the provision of ecosystem services);
39. [Environmental values](#Environmental_values) and [ecosystem functions](#Ecosystem_function) 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](#Environmental_values) (Criterion 6.3);
40. [Rare and threatened species](#Rare_species), and the effectiveness of actions implemented to protect them and their [habitats](#Habitat) (Criterion 6.4);
41. [Representative sample areas](#Representative_Sample_Areas) and the effectiveness of actions implemented to [conserve](#Conservation_Protection) and/or [restore](#Restore_Restoration) them (Criterion 6.5);
42. Naturally occurring [native species](#Native_species) and [biological diversity](#Biological_diversity) and the effectiveness of actions implemented to [conserve](#Conservation_Protection) and/or [restore](#Restore_Restoration) them (Criterion 6.6);
43. Water courses, [water bodies](#Water_bodies), water quantity and water quality and the effectiveness of actions implemented to conserve and/or [restore](#Restore_Restoration) them (Criterion 6.7);
44. [Landscape values](#Landscape_values) and the effectiveness of actions implemented to maintain and/or restore them (Criterion 6.8);
45. Conversion of [natural forest](#Natural_forest) to [plantations](#Plantation) or conversion to non-forest (Criterion 6.9);
46. The status of plantations established after 1994 (Criterion 6.10); and
47. [High Conservation Values](#High_Conservation_Value) 1 to 4 identified in Criterion 9.1 and the effectiveness of actions implemented to maintain and/or enhance them.

Annex H: Strategies for maintaining High Conservation Values

Strategies for maintaining [High Conservation Values](#High_Conservation_Value) may not necessarily preclude harvesting. However, the only way to maintain some [High Conservation Values](#High_Conservation_Value) will be [through protection](#Protection) of the [High Conservation Value Area](#High_Conservation_Value_Areas) that supports them.

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

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

HCV 3 – Strategies that fully maintain the extent and integrity of rare or threatened [ecosystems](#Ecosystem), [habitats](#Habitat), or [refugia](#Refugia). Where enhancement is identified as the [objective](#Objective), measures to [restore](#Restore_Restoration) and/or develop rare or threatened [ecosystems](#Ecosystem), [habitats](#Habitat), or refugia are in place.

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

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

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

Annex I: HCV Framework

|  |
| --- |
| **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: 2. Description of interested and affected stakeholders: 3. Description of culturally appropriate engagement for identifying HCVs: 4. Examples of rare/threatened / endangered species in the country 5. Geographic areas where HCV1 is likely present: 6. Maps of HCV1 areas in the country: 7. Threats to HCV1 areas in the country: |
| **STRATEGIES FOR MAINTAINING HCV1**   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. 2. Where enhancement is identified as the *objective\**, measures to develop, expand, and/or *restore\* habitats*\* for such species are in place. |
| **MONITORING HCV1** |
| **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: 2. Description of interested and affected stakeholders: 3. Examples of HCV2 areas in the country: 4. Geographic areas where IFLs or other types of HCV2 is likely present:   IFLs are present in Angola, Argentina, Australia, Belize, Bhutan, Bolivia, Brazil, Brunei, Cambodia, Cameroon, Canada, Central African Republic, Chile, China, Colombia, Congo DRC, Costa Rica, Cote d'Ivoire, Dominican Rep, Ecuador, Equatorial Guinea, Ethiopia, Finland, French Guiana, Gabon, Georgia, Guatemala, Guyana, Honduras, India, Indonesia, Japan, Kazakhstan, Laos, Liberia, Madagascar, Malaysia, Mexico, Mongolia, Myanmar, New Zealand, Nicaragua, Nigeria, Norway, Panama, Papua N Guinea, Paraguay, Peru, Philippines, Repl. Congo, Russia, Solomon Islands, Suriname, Sweden, Tanzania, Thailand, Uganda, United States, Venezuela and Vietnam.  See IFL shape files: [https://www.dropbox.com/s/o4icmu9uujn3nvw/IFL\_final\_data\_UMD\_20150121.zip?dl](https://www.dropbox.com/s/o4icmu9uujn3nvw/IFL_final_data_UMD_20150121.zip?dl=0)  =0  In the absence of a robust process, reliable science and consensus orientated outcome connected to the implementation of Motion 65 (GA2014), the default IFL protection threshold shall be 80% of the of the *Intact Forest Landscapes\** within the *Management Unit*   1. Maps of HCV2 areas in the country: 2. Threats to HCV2 areas in the country: | |
| **STRATEGIES FOR MAINTAINING HCV2**   1. 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\**. 2. 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. 3. 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*.* | |
| 4) 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\* (Motion 65, GA2014)1. | |
| MONITORING HCV2 | |
| 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: 2. Description of Interested and affected stakeholders: 3. Examples of HCV4 critical ecosystem services in the country: 4. Geographic areas where HCV4 is likely present: 5. Maps of HCV4 areas in the country: 6. Threats to HCV4 areas in the country: |
| STRATEGIES FOR MAINTAINING HCV4   1. 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. 2. 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. 3. Where enhancement is identified as the objective\*, measures to restore\* water quality and quantity are in place. 4. Where identified HCV 4 ecosystem services\* include climate regulation, strategies to maintain or enhance carbon sequestration and storage are in place. |
| MONITORING HCV4 |
| **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: 2. Description of Interested and affected stakeholders: 3. Examples of HCV3 ecosystems and habitats in the country: 4. Geographic areas where HCV3 is likely present: 5. Maps of HCV3 areas in the country: 6. Threats to HCV3 areas in the country: |
| **STRATEGIES FOR MAINTAINING HCV3**  *1)* Strategies that fully maintain the extent and integrity of rare or threatened  *ecosystems\**, *habitats*\*, or *refugia\*.*  2) Where enhancement is identified as the *objective\**, measures to *restore\** and/or develop rare or threatened *ecosystems\**, *habitats*\*, or *refugia\** are in place*.* |
| **MONITORING HCV3** |
| **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: 2. Description of Interested and affected stakeholders: 3. Examples of HCV5 sites and resources fundamental for local communities in the country: 4. Geographic areas where HCV5 is likely present: 5. Maps of HCV5 areas in the country: 6. Threats to HCV5 areas in the country: |
| **STRATEGIES FOR MAINTAINING HCV5**  1) Strategies to protect the community’s and/or *Indigenous Peoples’\** needs in relation to the *Management Unit\** are developed in cooperation with representatives and members of *local communities\** and *Indigenous Peoples\**. |
| **MONITORING HCV5** |
| **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**   1. Description of Best Available Information in the country for identifying HCV6: 2. Description of Interested and affected stakeholders: 3. Examples of HCV6 *significant*\* cultural values in the country: 4. Geographic areas where HCV6 is likely present: 5. Maps of HCV6 areas in the country: 6. Threats to HCV6 areas in the country: |
| **STRATEGIES FOR MAINTAINING HCV6**  1) Strategies to protect the cultural values are developed in cooperation with representatives and members of *local communities\** and *Indigenous Peoples\**. |
| **MONITORING HCV6** |

Annex J: **Information sources for the identification of HCVs in Malaysia**

**1. Protected areas**

Protected Planet is an online platform where users can access statistics and download data on protected areas for information-based decision making, policy development, and business and conservation planning. It's managed by the United Nations Environment Programme's World Conservation Monitoring Centre (UNEP-WCMC) with support from IUCN and its World Commission on Protected Areas (WCPA).

Country profile and list of protected areas: <https://www.protectedplanet.net/country/MY>

Malaysia's Second National Physical Plan (2010 - 2020) provides a long-term strategic framework for national spatial planning and includes measures required to shape the direction and pattern of land use, biodiversity conservation and development in Peninsular Malaysia. The Physical Plan is a set of guidelines for federal and state governments to control development and land administration. The Physical Plan includes measures to tackle climate change and conserve natural resources and biological resources in the country, including establishing carbon sinks for sequestration, establishing sustainable forest and water management, and a Central Forest Spine to link key ecological areas in Peninsular Malasia. The Plan complements the Five Year Economic Development Plan as it provides the spatial dimension to the sectoral distribution of natural resources in the country.

Download the Second National Physical Plan:

<http://www.townplan.gov.my/download/National%20Physical%20Plan(kecik).pdf>

**2. Biodiversity**

The Biodiversity A-Z website provides concise and authoritative information about biodiversity in an accessible and simple manner. Content is presented in the form of articles, factsheets and definitions. It is presented by UNEP-WCMC.

Country profile listing: 1) Protected Areas, 2) Biodiversity Designations, 3) Conventions and Treaties, and 4) Other Membership: <http://biodiversitya-z.org/content/malaysia>

The Convention on Biological Diversity (CBD), known informally as the Biodiversity Convention, is a multilateral treaty. The Convention has three main goals: 1) Conservation of biological diversity (or biodiversity), 2) Sustainable use of its components, and 3) Fair and equitable sharing of benefits arising from genetic resources. In other words, its objective is to develop national strategies for the conservation and sustainable use of biological diversity. It is often seen as the key document regarding sustainable development.

Country profile: <https://www.cbd.int/countries/?country=my>

**3. Convention of Wetlands of International Importance (RAMSAR)**

The Ramsar Convention is an international treaty for the conservation and sustainable use of wetlands. It is also known as the Convention on Wetlands.

Contry profile: <http://www.ramsar.org/wetland/malaysia>

Ramsar Sites Information Service: <https://rsis.ramsar.org/>

**4. Important Bird Areas (IBAs)**

An Important Bird and Biodiversity Area (IBA) is an area identified using an internationally agreed set of criteria as being globally important for the conservation of bird populations. The program was developed and sites are identified by BirdLife International. Currently there are over 12,000 IBAs worldwide.

Country profile and list of IBAs in Malaysia: <http://www.birdlife.org/datazone/country/malaysia>

**5. Global Forest Watch**

Global Forest Watch (GFW) is an open-source web application to monitor global forests in near real-time. GFW is an initiative of the World Resources Institute (WRI), with partners including Google, USAID, the University of Maryland (UMD), Esri, and many other academic, non-profit, public, and private organizations.

Country profile: <http://www.globalforestwatch.org/country/MYS>

**6. Lists of rare, threatened and endangered species**

The IUCN Red List of Threatened Species (also known as the IUCN Red List or Red Data List), founded in 1964, is the world's most comprehensive inventory of the global conservation status of biological species. The International Union for the Conservation of Nature (IUCN) is the world's main authority on the conservation status of species. A series of Regional Red Lists are produced by countries or organizations, which assess the risk of extinction to species within a political management unit.

[www.iucnredlist.org/](http://www.iucnredlist.org/)

The International Trade in Endangered Species Act 2008 is a Malaysian law enacted to implement the Convention on International Trade in Endangered Species of Wild Fauna and Flora.

Download:

<https://www.nre.gov.my/ms-my/Biodiversiti/Akta/Peraturan%20Pendaftaran-BI.pdf>

The Wildlife Conservation Act 2010 (Second Schedule: Totally Protected Wildlife) provides a list of protected wildlife species in Peninsular Malaysia.

Download:

<https://selangorhijau.files.wordpress.com/2011/10/wildlife-conservation-act-2010-act716.pdf>

The Wildlife Conservation Enactment 1997 and the Wild Life Protection Ordinance 1998 are regional legislation enforced only in the state of Sabah and Sarawak respectively. Its aim is to protect the endangered species of fauna and flora in the region as well as control international trade of these species. It also details specific punishments for those that break the rules and regulations put forth in the enactment.

Download Wildlife Conservation Enactment 1997:

<http://www.lawnet.sabah.gov.my/Lawnet/SubsidiaryLegislation/WildlifeConservation1997(Regulations1998).pdf>

Download Wild Life Protection Ordinance 1998:

<https://www.sarawakforestry.com/pdf/laws/wildlife_protection_ordinance98_chap26.pdf>

**7. UNESCO World Heritage Sites**

The UNESCO (United Nations Educational, Scientific and Cultural Organization) has designated four World Heritage Sites in Malaysia. The UNESCO World Heritage Sites are places of importance to cultural or natural heritage as described in the UNESCO World Heritage Convention.

<http://whc.unesco.org/en/statesparties/my>

**8. WWF Global 200 Ecoregions**

The Global 200 is the list of ecoregions identified by WWF as priorities for conservation. According to WWF, an ecoregion is defined as a "relatively large unit of land or water containing a characteristic set of natural communities that share a large majority of their species dynamics, and environmental conditions." The WWF assigns a conservation status to each ecoregion in the Global 200: critical or endangered; vulnerable; and relatively stable or intact. Over half of the ecoregions in the Global 200 are rated endangered.

Ecoregions in Malaysia:

1. [Borneo Lowland and Montane Forests](http://wwf.panda.org/about_our_earth/ecoregions/borneo_lowland_forests.cfm)
2. [Greater Sundas Mangroves](http://wwf.panda.org/about_our_earth/ecoregions/greater_sundas_mangroves.cfm)
3. Kayah-Karen / Tenasserim Moist Forests
4. [Kinabalu Montane Scrub](http://wwf.panda.org/about_our_earth/ecoregions/kinabalu_montane_scrub.cfm)
5. [Peninsular Malaysian Lowland and Mountain Forests](http://wwf.panda.org/about_our_earth/ecoregions/malaysian_lowland_forests.cfm)
6. [Sulu-Sulawesi Seas](http://wwf.panda.org/about_our_earth/ecoregions/sulu_sulawesi_seas.cfm)
7. [Sundaland Rivers and Swamps](http://wwf.panda.org/about_our_earth/ecoregions/sundaland_rivers_swamps.cfm)

**9. Human Rights Commission of Malaysia (SUHAKAM)**

SUHAKAM is the national human rights institution of Malaysia. It was established by the Malaysian Parliament under the Human Rights Commission of Malaysia Act 1999, Act 597, and began its work in April 2000. Its mandate is to promote human rights education, advise on legislation and policy, and conduct investigations. The SUHAKAM website provides links to various publications covering human rights and social issues in Malaysia: <http://www.suhakam.org.my/>.

**Annex K: Guidance on Standard Operating Procedures (SOPs)**

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

An SOP document generally comprises of 3 main parts:

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

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

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

Best practices for managing SOPs:

* Set up a system to monitor each SOP to ensure it stays current and relevant. Request that employees report needed changes, updates, or concerns to their supervisor
* Assign approved versions of SOPs a version number and ensure SOPs are version-controlled documents
* Schedule annual reviews of SOPs or whenever necessitated by certain events like accidents

Best practices for implementing SOPs:

* Training: Employees must be fully aware of the procedures and follow them consistently. Well-designed training sessions on SOPs include hands-on opportunities, where employees use the process as documented, and interactivity, where employees’ questions are addressed, to ensure that they know what will be required of them
* Communication: Posters and laminated cards communicating key elements of the SOP (usually in pictorial form) placed in strategic areas ensure key elements of SOPs can be easily viewed by employees
* Monitoring: Verify that SOPs are followed consistently through regular monitoring
* Frequency: Evaluate SOPs on a periodic basis to make sure it stays current. SOP documentation should be updated and redistributed regularly.

Guidance on the content/elements of SOPs required in the FSC standards:

|  |  |  |  |
| --- | --- | --- | --- |
| **No** | **Relevant Criterion /**  **Indicator** | **Objective of the SOP** | **Elements of the SOP** |
| 1 | C1.4  1.4.1 | To systematically protect the Management Unit from unauthorized or illegal resource use, settlement and other illegal activities. | * Identification of potential threats and illegal activities for the Management Unit * Identification of areas where there is high risk of encroachment * Database of local regulatory bodies * Procedures for maintenance of boundary markers, surveillance, enforcement and record-keeping activities |
| 2 | C1.6  4.6.1 | To identify, prevent and resolve disputes over issues of statutory or customary law, which can be settled out of court in a timely manner, through engagement with affected stakeholders. | * Procedures for identification, prevention and resolution of disputes * Procedures for record-keeping and documentation of dispute cases * References to applicable and customary laws * References to available tools for management of disputes * Procedures for ceasing operations where disputes exist * Procedures for engaging affected stakeholders * Role and responsibility of community liaison officer |
| 3 | 2.2.9 | To report and eliminate cases of sexual harassment and discrimination based on gender, marital status, parenthood or sexual orientation through confidential and effective mechanisms. | * Procedures for identifying cases of sexual harassment and discrimination * Effective and confidential mechanisms and avenues for reporting on sexual harassment and discrimination cases |
| 4 | 2.3.1 | Health and safety practices to protect workers from occupational safety and health hazards. | * General requirements and procedures related to:   + General health and safety principles, legal framework, roles and responsibilities   + Safety requirements for tools, machines and hazardous chemicals   + Work clothing and personal protective equipment   + Testing and certification of equipment   + First aid, emergency rescue and occupational health service   + Shelters, housing and nutrition   + Reporting, recording, notification and investigation of occupational accidents and disease * Technical guidelines for safety and health at the forestry worksite covering general provisions, silviculture, harvesting and high-risk operations * References to the Organization’s occupational safety and health hazards policy * References to laws and regulations covering health and safety of workers * References to ILO Code of Practice on Safety and Health in Forestry Work |
| 5 | C6.4  6.4.2 | To protect rare species and threatened species and their habitats in the Management Unit through conservation zones, protection areas, connectivity and/or (where necessary) other direct measures for their survival and viability. | * Methodology for identifying rare and threatened species and their habitats in the Management Unit * Database of relevant experts * References to relevant information sources * References to list of rare and threatened species and habitats present in the Management Unit * Procedures and references to maps for identifying:   + conservation status of species   + geographic range (that extend beyond the Management Unit) of the rare and threatened species that have been recorded within the Management Unit   + ecological requirements (that extend beyond the Management Unit) of the rare and threatened species that have been recorded within the Management Unit * Procedures for the identification and management of:   + conservation zones   + protection areas   + connectivity / wildlife corridors   + other identified direct measures * Procedures for identifying potential impacts of management activities on rare and threatened species and their conservation status and habitats * Procedures for modifying management activities to avoid negative impacts * Reference to the Organization’s policy that the establishment of conservation zones and protected areas is the primary objective of management for rare and threatened species * Procedures for monitoring effectiveness of protection measures implemented |
| 6 | C6.5  6.5.2 | To identify and protect representative sample areas of native ecosystems and/or restore them to more natural conditions. | * Procedures for identifying native ecosystems that exist, or would exist under natural conditions within the Management Unit * Database of experts * References to best available information * References to relevant survey reports and maps * Procedures for protecting and/or restoring representative sample areas of native ecosystems in the Management Unit * References to restoration plans * References to other components of the conservation areas network of the Management Unit |
| 7 | 6.6.1  6.6.2 | To maintain the plant communities and maintain, enhance or restore habitat features found within native ecosystems in which the Management Unit is located. | * Procedures for maintaining the plant communities * Procedures for maintaining, enhancing or restoring habitat features * References to restoration plans * References to database and maps of plant communities and habitat features found within native ecosystems in which the Management Unit is located * Database of experts/specialists |
| 8 | 6.6.3  6.6.4 | To manage and control firearms, hunting, fishing, trapping and collecting activities to ensure that naturally occurring native species, their diversity within species and their natural distribution are maintained. | * Procedures for:   + managing firearms, hunting, trapping, fishing and collecting activities   + controlling illegal use of firearms, hunting, fishing, trapping and collecting activities   + enforcement * Database of relevant regulatory authorities and conservation organizations * References to applicable national and/or international regulations on protection, hunting and trade in animal species or parts |
| 9 | C6.7  6.7.1  6.7.2  6.7.4 | To protect or restore natural watercourses, water bodies, riparian zones and their connectivity as well as to avoid negative impacts on water quality and quantity and mitigate and remedy those that occur. | * References to topographical maps showing natural watercourses, water bodies, and riparian zones within the Management Unit and surrounding areas * References to water quantity and quality data and associated reports * Procedures to protect natural water courses, water bodies, riparian zones and their connectivity * Procedures for modifying measures if ineffective * Procedures for restoring natural watercourses, water bodies, riparian zones and their connectivity, water quality and quantity that have been damaged by past activities and/or third parties on land and water * Procedures for monitoring effectiveness of implemented measures * References to restoration plans |
| 10 | C6.8  6.8.1  6.8.2 | To manage the landscape in the Management Unit to maintain and/or restore a varying mosaic of species, sizes, ages, spatial scales and regeneration cycles appropriate for the landscape values in that region, and for enhancing environmental and economic resilience. | * Procedures for maintaining a varying mosaic of species, sizes, ages, spatial scales, and regeneration cycles appropriate to the landscape * References to relevant survey or inventory reports * Procedures for restoring a mosaic of species, sizes, ages, spatial scales, and regeneration cycles * References to restoration plans * Database of relevant experts |
| 11 | 8.5.1 | To track and trace all products that are marketed as FSC certified. | * Procedures for documenting and keeping records of:   + log production volumes   + volumes of logs claimed as FSC certified   + volumes of products (timber and sawn timber) claimed as FSC certified   + sales of products with an FSC claim * References to the overall tracking and tracing system |
| 12 | 10.3.2  10.3.3 | To implement effective mitigation measures to control the spread of alien and/or invasive species outside the area in which they are established. | * Procedures for implementing mitigation measures to control the spread of alien and/or invasive species outside the area in which they are established * References to relevant scientific evidence, published research and results of field trials * Database of relevant local expects and government agencies * Procedures to control the invasive impacts of alien species that were not introduced by The Organization * Procedures to monitor effectiveness of mitigation measures |
| 13 | 10.6.1  10.6.4 | To minimize or avoid the use of fertilizers. When fertilizers are used, protect and prevent damage to environmental values. | * Procedures for:   + recording and documenting the use of fertilizers for nurseries and field operations   + implementing measures to minimize/avoid fertilizer use e.g. time-release fertilizers, seasonal applications, etc. * Procedures for:   + implementing and recording measures implemented to prevent damage to environmental values because of fertilizer use   + mitigating or repairing damage to environmental values * References to silvicultural plans, the Organization’s policy and documented long-term strategy or plan on fertilizer use * References to relevant monitoring reports, scientific evidence, published research and results of field trials |
| 14 | 10.7.4  10.7.5 | To prevent, mitigate, and/or repair damage to environmental values and human health when pesticides are used. | * Procedures for:   + maintaining pesticide inventories   + recording and documenting the use of pesticides for nurseries and field operations   + transporting pesticides   + storing pesticides   + handling pesticides   + applying pesticides where methods, timings and patterns of use minimize quantities used, while achieving effective results, provide effective protection to surrounding landscapes and offers the least risk to humans and non-target species   + implementing emergency procedures for cleanup following accidental spillages   + preventing, mitigating or repairing damage to environmental values and human health * References to the ILO document “Safety in the use of chemicals at work,” FSC’s Pesticide Policy and Malaysian Pesticide Act * References to relevant scientific evidence, published research and results of field trials * References to the Organization’s policy and documented long-term strategy or plan for eliminating chemical pesticide application |
| 15 | 10.8.1  10.8.2 | To minimize, monitor and control the use of biological control agents while complying with internationally accepted scientific protocols. | * Procedures for:   + using biological control agents   + minimizing, monitoring and controlling the use of biological control agents   + recording the type, quantity, period, location and reason for use   + monitoring   + preventing, mitigating or repairing damage to environmental values caused by the use of biological control agents * References to internationally accepted scientific protocols for the use of biological control agents |
| 16 | 10.9.2  10.9.4 | To reduce identified risks and mitigate negative impacts from natural hazards on infrastructure, forest resources and communities. | * Procedures for:   + reducing identified risks   + mitigating negative impacts from natural hazards on infrastructure, forest resources and communities   + monitoring effectiveness of and modifying management activities and/or measures developed to reduce identified risks * References to risk management reports |
| 17 | C10.10 | To manage infrastructural development, transport activities and silviculture so that water resources and soils are protected, and disturbance of and damage to rare and threatened species, habitats, ecosystems and landscape values are prevented, mitigated and/or repaired. | * Procedures for:   + managing the development, maintenance and use of infrastructure, as well as transport activities, to protect environmental values   + managing silviculture activities to ensure protection of the environmental values   + preventing, mitigating or repairing any damage to water courses, water bodies, soils, rare and threatened species, habitats, ecosystems and landscape values   + modifying management activities for the purposes of preventing further damage to environmental values * References to relevant silvicultural plans and records/documents relating to water resources, soils, rare and threatened species, habitats, ecosystems and landscape values |
| 18 | C10.12  10.12.1 | Collection, clean up, transportation and disposal of all waste materials is done in an environmentally appropriate way that conserves environmental values | * Environmentally appropriate procedures for collecting, cleaning up, transporting and disposing all waste materials * Procedures for maintaining disposal records * Database of contractors and relevant authorities |

# **9. FSC Glossary of Terms**

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

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

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

**Adaptive management**: A systematic process of continually improving management policies and practices by learning from the outcomes of existing measures (Source: Based on World Conservation Union (IUCN). Glossary definitions as provided on IUCN website).

**Affected 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 V5-0).

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

**Applicable law**: Means applicable to *The Organization*\* as a *legal*\* person or business enterprise in or for the benefit of the *Management Unit*\* and those laws which affect the implementation of the FSC Principles and Criteria. This includes any combination of statutory law (Parliamentary-approved) and case law (court interpretations), subsidiary regulations, associated administrative procedures, and the national constitution (if present) which invariably takes *legal*\* precedence over all other *legal*\* instruments (Source: FSC-STD-01-001 V5-0).

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

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

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

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

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

**Community Engagement Strategy**:Engagement strategy that should include:

* Determination of the representatives & contact points (in each Indigenous Peoples community) for the various activities in which their engagement is required, including where appropriate, local institutions, organizations and authorities;
* Establishment of a mutually agreed, culturally appropriate communication channel with each Indigenous Peoples community, allowing for information to flow in both directions;
* Ensuring that all groups are equally represented and included;
* Using the agreed channels to communicate all related information;
* Recording all meetings, all points discussed and all agreements reached;
* Approval of the content of meeting records; and
* Sharing of the results of all engagement activities with Indigenous Peoples to gain their formal approval of the content and intended use before proceeding.

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

**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 V5-0).

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

**Conservation/Protection**: These words are used interchangeably when referring to management activities designed to maintain the identified environmental or cultural values in existence long-term. Management activities may range from zero or minimal interventions to a specified range of appropriate interventions and activities designed to maintain, or compatible with maintaining, these identified values (Source: FSC-STD-01-001 V5-0).

**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 V5-0).

**Critical**: The concept of criticality or fundamentality in Principal 9 and HCVs relates to irreplaceability and to cases where loss or major damage to this HCV would cause serious prejudice or suffering to affected stakeholders. An ecosystem service is considered to be critical (HCV 4) where a disruption of that service is likely to cause, or poses a threat of, severe negative impacts on the welfare, health or survival of local communities, on the environment, on HCVs, or on the functioning of *significant*\* infrastructure (roads, dams, buildings etc.). The notion of criticality here refers to the importance and risk for natural resources and environmental and socio-economic values (Source: FSC-STD-01-001 V5-0).

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

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

**Customary law**: Interrelated sets of customary rights may be recognized as customary law. In some jurisdictions, customary law is equivalent to statutory law, within its defined area of competence and may replace the statutory law for defined ethnic or other social groups. In some jurisdictions, customary law complements statutory law and is applied in specified circumstances (Source: Based on N.L. Peluso and P. Vandergeest. 2001. Genealogies of the political forest and customary rights in Indonesia, Malaysia and Thailand, Journal of Asian Studies 60(3):761–812).

**Customary rights**: Rights which result from a long series of habitual or customary actions, constantly repeated, which have, by such repetition and by uninterrupted acquiescence, acquired the force of a law within a geographical or sociological unit (Source: FSC-STD-01-001 V4-0).

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

**Dispute of substantial duration**: *Dispute*\* that continues for more than twice as long as the predefined timelines in the FSC System (this is, for more than 6 months after receiving the complaint, based on FSC-STD-20-001).

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

* Affects the *legal*\* or *customary rights*\* of *Indigenous Peoples*\* and *local communities*\*;
* Where the negative impact of management activities is of such a scale that it cannot be reversed or mitigated;
* Physical violence;
* Destruction of property;
* Presence of military bodies;
* Acts of intimidation against *forest*\* *workers*\* and *stakeholders*\*.

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

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

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

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

* provisioning services such as food, forest products and water;
* regulating services such as regulation of floods, drought, land degradation, air quality, climate and disease;
* supporting services such as soil formation and nutrient cycling; and
* cultural services and cultural values such as recreational, spiritual, religious and other non-material benefits.

(Source: Based on R. Hassan, R. Scholes and N. Ash. 2005. Ecosystems and Human Well-being: Synthesis. The Millennium Ecosystem Assessment Series. Island Press, Washington DC).

**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 Impact Assessment (EIA):** Systematic process used to identify potential environmental and social impacts of proposed projects, to evaluate alternative approaches, and to design and incorporate appropriate prevention, mitigation, management and monitoring measures (Source: based on Environmental impact assessment, guidelines for FAO field projects. Food and agriculture organization of the United Nations (FAO). Rome,-STD-01-001 V5-0).

**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 V5-0).

**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 V5-0).

**Fair compensation**: Remuneration that is proportionate to the magnitude and type of services rendered by another party or of the harm that is attributable to the first party.

**Fertilizer**: Mineral or organic substances, most commonly N, P2O5 and K20, which are applied to soil for the purpose of enhancing plant growth.

**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.).

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

**Formal and informal workers organization**: association or union of *workers*\*, whether recognized by law or by *The Organization*\* or neither, which have the aim of promoting *workers*\* rights and to represent *workers*\* in dealings with *The Organization*\* particularly regarding working conditions and compensation.

**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 V5-0).

**Grassland**: Land covered with herbaceous plants with less than 10% tree and shrub cover (Source: UNEP, cited in FAO. 2002. Second Expert Meeting on Harmonizing Forest-Related Definitions for use by various stakeholders).

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

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

* Old commercial and non-commercial trees whose age noticeably exceeds the average age of the main canopy;
* Trees with special ecological value;
* Vertical and horizontal complexity;
* Standing dead trees;
* Dead fallen wood;
* Forest openings attributable to natural disturbances;
* Nesting sites;
* Small wetlands, bogs, fens;
* Ponds;
* Areas for procreation;
* Areas for feeding and shelter, including seasonal cycles of breeding;
* Areas for migration;
* Areas for hibernation.

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

* HCV1: Species Diversity. Concentrations of *biological diversity*\* including endemic species, and rare, *threatened or endangered*\* species, that are *significant*\* at global, regional or national levels.
* HCV 2: Landscape-level ecosystems and mosaics. Intact Forest Landscapes, large landscape-level *ecosystems*\* and ecosystem mosaics that are *significant*\* at global, regional or national levels, and that contain viable populations of the great majority of the naturally occurring species in natural patterns of distribution and abundance.
* HCV 3: Ecosystems and habitats. Rare, threatened, or endangered ecosystems, *habitats*\* or *refugia*\*.
* HCV 4: Critical ecosystem services. Basic *ecosystem services*\* in critical situations, including protection of water catchments and control of erosion of vulnerable soils and slopes.
* HCV 5: Community needs. Sites and resources fundamental for satisfying the basic necessities of local communities or *Indigenous Peoples*\* (for example for livelihoods, health, nutrition, water), identified through engagement with these communities or *Indigenous Peoples*\*.
* HCV 6: Cultural values. Sites, resources, habitats and *landscapes*\* of global or national cultural, archaeological or historical significance, and/or of critical cultural, ecological, economic or religious/sacred importance for the traditional cultures of local communities or *Indigenous Peoples*\*, identified through engagement with these local communities or *Indigenous Peoples*\*.

(Source: based on FSC-STD-01-001 V5-0).

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

**High Conservation Value assessment report**: The purpose of the report is to give a clear overview of the findings and management decisions, and provide sufficient information

for an expert third party to be able to judge whether the identification process and consultation has been adequate to justify management decisions. This should be done in a clear and consistent way, and generally include a final peer review and consultation process to guarantee quality control. All HCV assessment reports should be prepared by licensed HCV assessors under the HCV Assessor Licensing Scheme (ALS) created by the HCV Resource Network and contain the following elements:

* Executivesummary:Key findings of the report, including a summary table and maps of the HCVs found in the assessment area and their extent and an overview of the management options identified in order to maintain them.
* Introduction:Overview of the assessment area, background information on the land use manager and scope and purpose of the HCV assessment.
* HCV methodology:The methodology used in the assessment, including:
  + 1. Information on the assessment team (this can be a summary of expertise, rather than the names of individuals – CVs should also be included in an annex),
    2. The data sources used including any data collected specifically for the assessment, and
    3. Stakeholder consultation processes including a list of stakeholders contacted.
* Landscape context and conservation significance of the assessment area.
* HCVs identified:Each HCV should be clearly described and the decision on presence or absence should be explained and justified. For each HCV identified as present or potentially present, the location and distribution (e.g. a map) and status should be described, accompanied by a clear explanation of how these conclusions were reached. It is often useful to put detailed analytical data and reports as annexes with the key findings in the main text. All issues raised during the consultation process should be noted and the way in which they influenced the outcome.
* Management and monitoring requirements:The specific management objectives and measures to be taken for each HCV should be described (including mapped HCV management areas where appropriate). This should explicitly take into account the landscape context, threat assessment and threat management or mitigation options, giving sufficient detail to show how the value will be maintained or enhanced. There should be a clear record of the consultation process used to develop the HCV management options including any issues raised and how they were resolved. Again, the use of maps is recommended wherever appropriate, while detailed information can be put in annexes.
* Annexes: References to data used (including primary data collected in the field), qualifications of HCV team and reviewers, records of stakeholder consultation, and summary of peer review reports.

Peer review process: The draft HCV report should be subject to review by one or more independent third party experts prior to being made public. The objective of the peer review is to ensure quality control. A summary of the peer review report(s) should be placed in the annex of the public document, which includes the reviewer’s recommendations, and justification for actions taken in response (accepting or rejecting recommendations).

Public availability: A public summary of the report should be made available, which contains all the information which relates to the identification of HCVs or which is relevant to the public understanding of management decisions on HCVs. The summary report may exclude:

* Commercially sensitive information which is not relevant to HCV identification or management, and
* Sensitive information which could be misused by the public (e.g. nesting sites of rare birds, burial sites at risk from grave robbers, etc.).

A draft of the report with recommended HCV management actions should be open for consultation with a wider audience, for a defined period, and the final version should be publicly available (Source: Based on Good practice guidelines for High Conservation Value assessments, ProForest, July 2008).

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

**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 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).

**Infrastructure**: In the context of forest management, roads, bridges, culverts, log landings, quarries, impoundments, buildings and other structures required in the course of implementing the *management plan*\*.

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

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

**Intensity**: A measure of the force, severity or strength of a management activity or other occurrence affecting the nature of the activity’s impacts (Source: FSC-STD-01-001 V5-0).

**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 V5-0)

**Internationally accepted scientific protocol**: A predefined science-based procedure which is either published by an international scientific network or union, or referenced frequently in the international scientific literature (Source: FSC-STD-01-001 V5-0).

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

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

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

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

**Legal**: In accordance with primary legislation (national or local laws) or secondary legislation (subsidiary regulations, decrees, orders, etc.). ‘Legal’ also includes rule-based decisions made by legally competent agencies where such decisions flow directly and logically from the laws and regulations. Decisions made by legally competent agencies may not be legal if they do not flow directly and logically from the laws and regulations and if they are not rule-based but use administrative discretion (Source: FSC-STD-01-001 V5-0).

**Legally competent**: Mandated in law to perform a certain function (Source: FSC-STD-01-001 V5-0).

**Legal registration**: National or local *legal*\* license or set of permissions to operate as an enterprise, with rights to buy and sell products and/or services commercially. The license or permissions can apply to an individual, a privately-owned enterprise or a publicly-owned corporate entity. The rights to buy and sell products and/or services do not carry the obligation to do so, so *legal*\* registration applies also to Organizations operating a *Management Unit*\* without sales of products or services; for example, for unpriced recreation or for conservation of biodiversity or habitat (Source: FSC-STD-01-001 V5-0).

**Legal status**: The way in which the *Management Unit*\* is classified according to law. In terms of tenure, it means the category of tenure, such as communal land or leasehold or freehold or State land or government land, etc. If the *Management Unit*\* is being converted from one category to another (for example, from State land to communal indigenous land) the status includes the current position in the transition process. In terms of administration, legal status could mean that the land is owned by the nation as a whole, is administered on behalf of the nation by a government department, and is leased by a government Ministry to a private sector operator through a concession (Source: FSC-STD-01-001 V5-0).

**Living wage**: The remuneration received for a standard work week by a worker in a particular place sufficient to afford a decent standard of living for the worker and her or his family. Elements of a decent standard of living include food, water, housing, education, health care, transport, clothing, and other essential needs including provision for unexpected events (Source: A Shared Approach to a Living Wage. ISEAL Living Wage Group. November 2013).

**Local communities**: Communities of any size that are in or adjacent to the *Management Unit*\*, and also those that are close enough to have a *significant*\* impact on the economy or the environmental values of the *Management Unit*\* or to have their economies, rights or environments significantly affected by the management activities or the biophysical aspects of the *Management Unit*\* (Source: FSC-STD-01-001 V5-0).

**Local laws**: The whole suite of primary and secondary laws (acts, ordinances, statutes, decrees) which is limited in application to a particular geographic district within a national territory, as well as secondary regulations, and tertiary administrative procedures (rules / requirements) that derive their authority directly and explicitly from these primary and secondary laws. Laws derive authority ultimately from the Westphalian concept of sovereignty of the Nation State (Source: FSC-STD-01-001 V5-0).

**Long-term**: The time-scale of the forest owner or manager as manifested by the objectives of the *management plan*\*, the rate of harvesting, and the commitment to maintain permanent forest cover. The length of time involved will vary according to the context and ecological conditions, and will be a function of how long it takes a given ecosystem to recover its natural structure and composition following harvesting or disturbance, or to produce mature or primary conditions (Source: FSC-STD-01-002 V1-0 FSC Glossary of Terms (2009)).

**Management objective**: Specific management goals, practices, outcomes, and approaches established to achieve the requirements of this standard.

**Management plan**: The collection of documents, reports, records and maps that describe, justify and regulate the activities carried out by any manager, staff or organization within or in relation to the *Management Unit*\*, including statements of objectives and policies (Source: FSC-STD-01-001 V5-0).

**Management plan monitoring**: Follow up and oversight procedures for the purpose of evaluating the achievement of the *management objectives*\*. The results of the monitoring activities are utilized in the implementation of *adaptive management*\*.

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

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

(Source: FSC-STD-01-001 V5-0).

**Managerial control**: Responsibility of the kind defined for corporate directors of commercial enterprises in national commercial law, and treated by FSC as applicable also to public sector organizations (Source: FSC-STD-01-001 V5-0).

**National laws**: The whole suite of primary and secondary laws (acts, ordinances, statutes, decrees), which is applicable to a national territory, as well as secondary regulations, and tertiary administrative procedures (rules / requirements) that derive their authority directly and explicitly from these primary and secondary laws (Source: FSC-STD-01-001 V5-0).

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

**Natural conditions/native ecosystem**: For the purposes of the Principles and Criteria and any applications of restoration techniques, terms such as ‘more natural conditions’, ‘native ecosystem’ provide for managing sites to favor or restore native species and associations of native species that are typical of the locality, and for managing these associations and other environmental values so that they form ecosystems typical of the locality. Further guidelines may be provided in FSC Forest Stewardship Standards (Source: FSC-STD-01-001 V5-0).

**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 savannah.

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

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

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

Thresholds and guidelines may cover areas such as:

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

(Source: FSC-STD-01-001 V5-0).

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

**Non-timber forest products (NTFP):** All products other than timber derived from the *Management Unit*\* (Source: FSC-STD-01-001 V5-0).

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

**Obligatory code of practice**: A manual or handbook or other source of technical instruction which *The Organization\** must implement by law (Source: FSC-STD-01-001 V5-0).

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

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

**Occupational injuries**: Any personal injury, disease or death resulting from an occupational accident (Source: International Labour Organization (ILO). Bureau of Library and Information Services. ILO Thesaurus as provided on ILO website).

**Organism**: Any biological entity capable of replication or of transferring genetic material (Source: Council Directive 90/220/EEC).

**The Organization**: The person or entity holding or applying for certification and therefore responsible for demonstrating compliance with the requirements upon which FSC certification is based (Source: FSC-STD-01-001 V5-0).

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

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

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

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

(Source: FSC-STD-01-001 V5-0)

**Post harvesting plan**: A plan of activities to be implemented after harvesting operations, which would normally include cross drain installation, bridge and culvert removal, landing reshaping, post harvest inventory and silvicultural treatments where necessary.

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

**Pre-harvest** [condition]: The diversity, composition, and structure of the *forest*\* or plantation prior to felling timber and appurtenant activities such as road building.

**Principle**: An essential rule or element; in FSC’s case, of forest stewardship (Source: FSC-STD-01-001 V4-0).

**Protection**: See definition of Conservation.

**Protection Area**: See definition of Conservation Zone.

**Publicly available**: In a manner accessible to or observable by people generally (Source: Collins English Dictionary, 2003 Edition).

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

**Ratified**: The process by which an international law, convention or agreement (including multilateral environmental agreement) is legally approved by a national legislature or equivalent *legal*\* mechanism, such that the international law, convention or agreement becomes automatically part of national law or sets in motion the development of national law to give the same *legal*\* effect (Source: FSC-STD-01-001 V5-0).

**Reasonable**: Judged to be fair or appropriate to the circumstances or purposes, based on general experience (Source: Shorter Oxford English Dictionary).

**Reduced impact harvesting**: Harvesting (or logging) using techniques to reduce the impact on the residual stand (Source: Based on Guidelines for the Conservation and Sustainable Use of Biodiversity in Tropical Timber Production Forests, IUCN 2006).

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

**Representative Sample Areas**: Portions of the *Management Unit*\* delineated for the purpose of conserving or restoring viable examples of an ecosystem that would naturally occur in that geographical region.

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

**Restore / Restoration**: These words are used in different senses according to the context and in everyday speech. In some cases, ‘restore’ means to repair the damage done to environmental values that resulted from management activities or other causes. In other cases, ‘restore’ means the formation of more natural conditions in sites which have been heavily degraded or converted to other land uses. In the Principles and Criteria, the word ‘restore’ is not used to imply the recreation of any particular previous, pre-historic, pre-industrial or other pre-existing ecosystem (Source: FSC-STD-01-001 V5-0).

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

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

**Riparian zone**: Interface between land and a water body, and the vegetation associated with it.

**Risk**: The probability of an unacceptable negative impact arising from any activity in the *Management Unit*\* combined with its seriousness in terms of consequences (Source: FSC-STD-01-001 V5-0).

**Scale**: A measure of the extent to which a management activity or event affects an environmental value or a *management unit*\*, in time or space. An activity with a small or low spatial scale affects only a small proportion of the forest each year, an activity with a small or low temporal scale occurs only at long intervals (Source: FSC-STD-01-001 V5-0).

**Scale, intensity and risk**: See individual definitions of the terms ‘scale’, ‘intensity’, and ‘risk’.

**Significant**: Sufficiently great or important to be worthy of attention; noteworthy.

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

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

Any one of these forms will justify designation as HCVs 1, 2 and 6. Many regions of the world have received recognition for their biodiversity importance, measured in many different ways. Existing maps and classifications of priority areas for biodiversity conservation play an essential role in identifying the potential presence of HCVs 1, 2 and 6 (Source: FSC-STD-01-001 V5-0).

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

**Stakeholder**: See definitions for ‘affected stakeholder’ and ‘interested stakeholder’.

**Standard Operating Procedures**: (or) SOPs are a set of procedures, standing orders, protocols, guidelines or step-by-step instructions compiled by an organization to help workers carry out routine operations. SOPs aim to achieve efficiency, quality output and uniformity of performance, while reducing miscommunication and failure to comply to industry regulations (Source: Adapted from Wikipedia).

**Statutory law or statute law**: The body of law contained in Acts of Parliament (national legislature) (Source: Oxford Dictionary of Law).

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

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

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

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

Calculations of timber harvesting levels shall be based on an analysis that includes at a minimum:

* A [precautionary approach](#Precautionary_approach) that reflects the quality of information used;
* Up-to-date growth and yield information;
* Up-to-date inventory;
* Areas available for harvest;
* Volume reductions caused by mortality and decay as well as natural disturbances such as fire, insects and disease;
* Sensitivity analyses of the factors that apply to harvest rate calculations, with specific attention to input estimations and assumptions where data are weak;
* Volume and area reductions to account for [protection](#Protection) of social, spiritual, cultural and other values identified in P3 and P4;
* Volume and area reductions to account for [protection](#Protection) of [environmental values](#Environmental_values) identified in P6;
* Management [objectives](#Objective) identified in P7;
* Measures to fully maintain and / or enhance [High Conservation Values](#High_Conservation_Value) identified in P9;
* Volume and area reductions to account for [protection](#Protection) of values identified in P10.

**Timely manner**: As promptly as circumstances reasonably allow; not intentionally postponed by *The Organization*\*; in compliance with applicable laws, contracts, licenses or invoices.

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

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

**Uphold**: To acknowledge, respect, sustain and support (Source: FSC-STD-01-001 V5-0).

**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).

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

**Very Limited portion**: The area affected *shall*\* not exceed 0.5% of the area of the *Management Unit*\* in any one year, nor affect a total of more than 5% of the area of the *Management Unit*\* (Source: based on FSC-STD-01-002 V1-0 FSC Glossary of Terms (2009)).

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

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

**Water bodies** (including water courses): Seasonal, temporary, and permanent brooks, creeks, streams, rivers, ponds, and lakes. Water bodies include riparian or wetland systems, lakes, swamps, bogs and springs.

**Water scarcity**: A water supply that limits food production, human health, and economic development. Severe scarcity is taken to be equivalent to 1,000 cubic meters per year per person or greater than 40% use relative to supply (Source: Millennium Ecosystem Assessment. 2005. Ecosystems and Human Well-Being: Policy Responses. Findings of the Responses Working Group. Washington DC: Island Press, Pages 599-605).

**Water stress**: Occurs when the demand for water exceeds the available amount during a certain period or when poor quality restricts its use. Water stress causes deterioration of freshwater resources in terms of quantity (aquifer over-exploitation, dry rivers, etc.) and quality (eutrophication, organic matter pollution, saline intrusion, etc.) (Source: UNEP, 2003, cited in Gold Standard Foundation. 2014. Water Benefits Standard).

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

Under the Ramsar Convention, wetlands can include tidal mudflats, natural ponds, marshes, potholes, wet meadows, bogs, peatlands, freshwater swamps, mangroves, lakes, rivers and even some coral reefs (Source: IUCN, No Date, IUCN Definitions – English).

**Workers**: All employed persons including public employees as well as ‘self-employed’ persons. This includes part-time, temporary and seasonal employees, of all ranks and categories, including laborers, administrators, supervisors, executives, manager, contractor employees as well as self-employed contractors and sub-contractors (Source: ILO Convention C155 Occupational Safety and Health Convention, 1981).