

Scientific Certification Systems

Forest Conservation Program- DRAFT Interim Standard for India, version 1.0, April 2010.

FCP Final Interim Standard for Forest Management Certification in India under the Forest Stewardship Council V1.0, April of 2010

A. INTRODUCTION

This document contains the Interim Standard used by Scientific Certification Systems for conducting forest certification evaluations in India. The scope of these standards includes both natural and plantation forests. Once there is an officially FSC accredited standard for use in India, all further evaluations will be done against said standard. This standard complies with all applicable FSC International policies, standards, and advice notes.

SCS consulted its interim standards for Sri Lanka and Panama in the creation of this interim standard for India. SCS also consulted IMO Control's FSC Forest Management standard for India (CH II 6-3-1-en-Oct060-India).

B. STANDARD USE

Conformance with this generic standard shall be determined by evaluating observed performance at the Forest Management Unit (FMU) level against each indicator of the standard, and in comparison with any performance threshold(s) specified for the indicator. The indicators here apply to all forests covered by the scope of the standard, including SLIMFs, unless otherwise specified.

In the process of adapting this standard for the assessment of a particular forest operation, it may be restructured in order to improve its implementation on the ground or to ease stakeholder interpretation of the standard, but only if pre-approved by the SCS Director of Forest Management Certification. Restructuring or adapting this standard shall not affect the requirements for conformance and certification decision making. If a complaint or appeal is filed, the complete standard shall be considered definitive.

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PRINCIPLE #1: COMPLIANCE WITH LAWS AND FSC PRINCIPLES

Forest management shall respect all applicable laws of the country in which they occur, and international treaties and agreements to which the country is a signatory, and comply with all FSC Principles and Criteria.

1.1. Forest management shall respect all national and local laws and administrative requirements.

Performance Indicators:

1.1.1) The Forest Management Enterprise (FME) maintains an up-to-date register (reference list; see Appendix 1) of all pertinent statutes and bodies of regulations and makes this register available to forest managers; summaries of key regulations are kept in field offices.

1.1.2) The FME shall comply with all applicable national and local forestry, environmental, and labour laws and regulations. The FME resolves any case of incompliance with these laws and regulations with the appropriate authorities.

1.1.3) The frequency and nature of regulatory violations shall *not* be indicative of widespread and systemic non-compliance; when violations occur, the FME acts promptly to correct and remediate the circumstances associated with the violation. **Note: Non-conformance to this Indicator constitutes a *Major Failure* and precludes award of certification until appropriately corrected.**

1.2. All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid.

Performance Indicators:

1.2.1) The FME shall demonstrate evidence that payments of taxes, royalties, and other charges are made in a timely manner. There is no evidence of chronic non-payment.

1.2.2) The FME shall maintain up-to-date records of all payments and make these available to the SCS auditing team.

1.3. In signatory countries, the provisions of all binding international agreements such as CITES, ILO Conventions, ITTA, and Convention on Biological Diversity, shall be respected.

Performance Indicators:

1.3.1) The FME shall comply with the intentions of the international agreements that India has ratified (see Appendix 2).

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1.3.2) The FME's forest managers and field technicians shall have access to and understand the applicable international agreements and how these are respected in the forest management.

Verifiers:

- FME has a compendium of applicable international agreements that summarizes how the FME respects these.
- Said compendium is available in offices and field sites or camps.

1.4. Conflicts between laws, regulations and the FSC Principles and Criteria shall be evaluated for the purposes of certification, on a case-by-case basis, by the certifiers and by the involved or affected parties.

Performance Indicators:

1.4.1) The FME shall conduct an analysis to identify potential conflicts between applicable national/local laws, the FSC P&C, and international agreements and inform SCS auditors of any such conflicts.

1.4.2) The FME is willing to participate in appropriate processes for resolving conflicts with pertinent entities in order to resolve conflicts between laws/regulations and the FSC P&C, as required by SCS and/or the FSC.

1.5. Forest management areas should be protected from illegal harvesting, settlement and other unauthorized activities.

Performance Indicators:

1.5.1) The management plan contains express policies stating that the defined forest area shall be protected from illegal harvesting, settlement, harvesting or gathering of RTE species, and other unauthorized activities.

1.5.2) The FME dedicates sufficient resources (human and financial) to monitor for unauthorized activities in such a way that these are promptly detected and controlled and, if appropriate, reported to the relevant authorities.

1.5.3) The FME shall demarcate and clearly post the property boundaries of the Forest Management Unit (FMU) in the field.

1.6. Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria.

Performance Indicators:

1.6.1) In the management plan, or another appropriate document of broad public availability, there is an express statement of commitment to the FSC Principles and Criteria. When the FME uses contractors, it shall require its contractors to comply with the FSC P&C.

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Verifiers:

- Contracts contain clear and appropriate language that requires contractors to comply with the FSC P&C
- 1.6.2) The FME shall provide access to written or electronic copies of the FSC Principles and Criteria to all management and field personnel; FME personnel demonstrate general knowledge of the P&C.
- 1.6.3) The FME shall provide information on all of the forested areas over which it exercises a certain degree of responsibility for forest management in order to demonstrate compliance with FSC policies on partial certification and on the exclusion of areas from the scope of the certificate.
- 1.6.4) The FME shall not conduct activities that are deliberately in violation of the FSC P&C in forested areas outside the scope of the certificate.

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PRINCIPLE #2: TENURE AND USE RIGHTS AND RESPONSIBILITIES

Long-term tenure and use rights to the land and forest resources shall be clearly defined, documented and legally established.

2.1 Clear evidence of long-term forest use rights to the land (e.g. land title, customary rights, or lease agreements) shall be demonstrated.

Performance Indicators:

2.1.1) The FME shall demonstrate that land tenure and rights to the forest resource are clear, legally secure and documented.

Legal use rights may be associated with:

- *Authenticated copies of land titles of the FMU(s)*
- *fee-simple ownership*
- *long-term or renewable lease rights*
- *long-term or renewable exclusive management agreements*
- *other mechanisms allocating long-term or renewable management rights and responsibilities to the forest manager*

2.1.2) In the case of usufruct agreements, the FME shall demonstrate documented evidence of its legal rights to the FMU and at least 10 years for forest management and use of forest resources for the FMU under evaluation for certification.

2.2. Local communities with legal or customary tenure or use rights shall maintain control, to the extent necessary to protect their rights or resources, over forest operations unless they delegate control with free and informed consent to other agencies.

Performance Indicators:

2.2.1) The FME shall identify the local communities, and/or other stakeholders with duly recognized legal or customary tenure or use rights within the FMU and describe the nature of these rights in the management plan. When appropriate to the scale and intensity of operations, areas associated with these rights should also be included on maps of the FMU.

Examples of legal or customary tenure or use-rights may include:

- *public rights of way*
- *established easements*
- *collection of non-timber forest products*
- *hiking, fishing, hunting, or other recreation*
- *firewood collection*
- *visitation of culturally significant sites, such as religious shrines*

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2.2.2) When communities have delegated control of their legal rights or customary tenure or use in whole or in part, this must be confirmed by documented agreements and / or interviews with representatives of local communities.

2.2.3) Allocation of duly recognized legal or customary tenure or use rights by local communities to other parties shall be documented, with evidence of free and informed consent.

2.3. Appropriate mechanisms shall be employed to resolve disputes over tenure claims and use rights. The circumstances and status of any outstanding disputes will be explicitly considered in the certification evaluation. Disputes of substantial magnitude involving a significant number of interests will normally disqualify an operation from being certified.

Performance Indicators:

2.3.1) Conflicts over land tenure and use rights shall be resolved or discussed in a systematic and legal manner, with preference given to voluntary and conciliatory methods rather than the through the judiciary mechanisms (e.g., courts).

Verifiers:

- Records or other relevant documents that detail past and current disputes over tenure claims and use rights are maintained and made available to SCS auditors.
- Agreements and / or mechanisms to resolve disputes over tenure claims and use rights are documented.

2.3.2) The magnitude and severity of unresolved tenure claims and use rights disputes are minor, relative to the scale of forest management operations.

PRINCIPLE #3: INDIGENOUS PEOPLES' RIGHTS

The legal and customary rights of indigenous peoples to own, use and manage their lands, territories, and resources shall be recognized and respected.

3.1. Indigenous peoples shall control forest management on their lands and territories unless they delegate control with free and informed consent to other agencies.

Performance Indicators:

3.1.1) The FME seeks to determine if there are existing indigenous peoples issues (e.g., land claims) associated with the FMU that is the focus of the certification evaluation.

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- 3.1.2) If the defined forest area is comprised of or includes lands or territories duly owned or controlled by indigenous peoples, management of said lands is either: i) under the control of the indigenous peoples or ii) undertaken by other parties to whom free and informed consent to manage has been granted by appropriate indigenous representatives, and appropriately documented in legally established agreements and contracts.
- 3.1.3) Where rights and use issues involving indigenous peoples are in dispute, an appropriate process for addressing and resolving grievances is in place and being actively utilized by the FME.
- 3.1.4) The FME shall comply with the contracts and agreements established with indigenous groups.

3.2. Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples.

Performance Indicators:

- 3.2.1) The FME shall demonstrate, through policies and actions, a sensitivity to the resources and tenure rights of indigenous peoples
- 3.2.2) As appropriate, indigenous peoples are afforded opportunities to participate in management planning, research, and monitoring on forest areas associated with indigenous resources and tenure rights.
- 3.2.3) The FME solicits—through effective consultative mechanisms—the concerns and perspectives of potentially affected indigenous peoples; the results of such consultation are documented, including the actions taken to reasonable accommodate concerns and perspectives that have been received.

Verifiers:

- Communications between the FME and indigenous representatives are documented.

3.3. Sites of special cultural, ecological, economic or religious significance to indigenous peoples shall be clearly identified in cooperation with such peoples, and recognized and protected by forest managers.

Performance Indicators:

- 3.3.1) The FME, with the participation of indigenous communities, shall define the sites of special cultural, ecological, economic or religious significance.

Examples of sites may include:

- ceremonial, burial, or village sites
- areas used for hunting, fishing, or trapping

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-areas used for gathering of sustenance and culturally important materials

3.3.2) The management plan contains explicit written policies for the identification and protection of sites of special significance for indigenous peoples. The identified sites should be demarcated on maps of forest operations and, where appropriate, in the field.

3.3.3) Field workers are appropriately trained in the procedures employed for protecting sites of special significance to indigenous peoples

3.3.4) Findings of special sites of archaeological interest are communicated to the appropriate authorities and the FME abides by the restrictions on use imposed by said authorities for these areas.

3.4. Indigenous peoples shall be compensated for the application of their traditional knowledge regarding the use of forest species or management systems in forest operations. This compensation shall be formally agreed upon with their free and informed consent before forest operations commence.

Performance Indicators:

3.4.1) Indigenous peoples shall be duly informed of the intention and nature of use of traditional knowledge by the FME. The FME shall not conduct such use until an agreement is reached with the indigenous peoples' representatives, with their free and informed consent.

3.4.2) Where indigenous peoples' traditional knowledge, intellectual property and/or forest products are used commercially by the FME, compensation for individuals and/or tribes is agreed upon in writing, with their free and informed consent, prior to commercialization.

PRINCIPLE #4: COMMUNITY RELATIONS AND WORKER'S RIGHTS

Forest management operations shall maintain or enhance the long-term social and economic well being of forest workers and local communities.

4.1. The communities within, or adjacent to, the forest management area should be given opportunities for employment, training, and other services.

Performance Indicators:

4.1.1) Qualified people in local communities are given preferential opportunities in employment and contracting; the FME actively targets the local workforce

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Examples may include:

-employment and contractual opportunities offered locally before they are offered outside the region

- 4.1.2) The FME contributes to or directly develops training programs designed to enhance the capabilities and qualifications of local workers
- 4.1.3) There is active dialogue with representatives of workers and local communities about the identification of opportunities in employment, contracting, and training.
- 4.1.4) The FME gives preference to local vendors of equipment and miscellaneous services, subject to cost considerations

Examples may include:

*-timber being offered to local processors before being sold out of the region
-utilization of local banks, insurance companies, etc.*

4.2. Forest management should meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families.

Performance Indicators:

- 4.2.1) The FME demonstrates a priority towards worker safety; there is an active safety program, appropriate to the scale of operations
- 4.2.2) Written guidelines and policies, appropriate to the scale of operations, exist for workplace health and safety.
For example: written safety guidelines exist for each step of the latex production process, from rubber tapping to processing and manufacturing.
- 4.2.3) Appropriate safety equipment is made available to all workers; workers use safety equipment appropriately and demonstrate proper management and harvest techniques.
- 4.2.4) All equipment is periodically inspected and tested for safety performance.
- 4.2.5) Up-to-date information on pertinent health and safety laws and regulations is maintained by forest managers and appropriately disseminated to forest workers.
- 4.2.6) The FME maintains up-to-date safety records; such records indicate exemplary performance relative to industrial norms

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- 4.2.7) The FME's policies and labour practices shall guarantee the equal treatment of all employees (without discrimination based race, gender, religion or caste) in relation to recruitment, promotion, dismissal, remuneration and benefits.
- 4.2.8) The FME shall not allow the hiring or contracting of workers less than 14 years of age. In cases of such hiring or contracting, the work must be appropriate to the age, physical conditions, intellectual development, and worker's morale (See ILO India's ratified Conventions 5, 15, 90, and 123 and national policies, Child Labour (Prohibition and Regulations) Act of 1986 and the National Policy on Child Labour).

4.3. The rights of workers to organize and voluntarily negotiate with their employers shall be guaranteed as outlined in Conventions 87 and 98 of the International Labour Organization (ILO).

Performance Indicators:

- 4.3.1) The FME shall recognize workers for their policies and actions, the right of free organization in any lawful and legitimate form, in compliance with ILO Convention 87 and guidance from the Ministry of Labour's guide on "India and the ILO."
- 4.3.2) The FME shall recognize the right of workers to bargain collectively with their employers, in compliance with ILO Convention 98 and guidance from the Ministry of Labour's guide on "India and the ILO."
- 4.3.3) The FME shall have documented procedures to a) investigate objectively and honestly the issues and discrepancies raised by workers and / or their organizations and b) conflict resolution.

4.4. Management planning and operations shall incorporate the results of evaluations of social impact. Consultations shall be maintained with people and groups (both men and women) directly affected by management operations.

Performance Indicators:

- 4.4.1) The FME shall conduct a social impact evaluation related to forest management activities.
- 4.4.2) The FME shall document in writing the processes that it will use to interact and consult groups of interest, local communities, and neighbouring properties that could be affected during the planning and implementation of forest management activities.
- 4.4.3) The FME shall demonstrate that the information derived from social impact evaluations and/or consultation processes with stakeholders has been

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considered and/or addressed in the planning and implementation of forest management activities.

For FMU's meeting SLIMF requirements, only the following indicator(s) of this criterion apply; the indicator(s) are not to be used for assessing non-SLIMF operations:

- 4.4.4) The FME shall maintain an up-to-date list of representatives of neighbouring properties or communities that could be affected during and after the implementation of forest management activities.
 - 4.4.5) The FME maintains regular communication with neighbours and other stakeholders of local communities. As appropriate, the FME's policies and activities are sensitive to the interests and expectations of these interested parties.
- 4.5. Appropriate mechanisms shall be employed for resolving grievances and for providing fair compensation in the case of loss or damage affecting the legal or customary rights, property, resources, or livelihoods of local peoples. Measures shall be taken to avoid such loss or damage.**

Performance Indicators:

- 4.5.1) Where they exist and can be established according to bonafide procedures, preferably within legal frameworks, forest managers recognize and respect legal or customary rights that are subject to influence from management activities on the defined forest area
- 4.5.2) Forest managers endeavour, through actions and policies, to avoid adverse impacts to the property, resources and/or livelihoods of local peoples
- 4.5.3) Adequate procedures are employed for resolving grievances and providing fair compensation where forest operations lead to loss or damage to property, resources, livelihoods and/or legal or customary use rights of local peoples. These procedures should be agreed upon with the parties involved.

PRINCIPLE #5: BENEFITS FROM THE FOREST

Forest management operations shall encourage the efficient use of the forest's multiple products and services to ensure economic viability and a wide range of environmental and social benefits.

- 5.1. Forest management should strive toward economic viability, while taking into account the full environmental, social, and operational costs of production, and ensuring the investments necessary to maintain the ecological productivity of the forest.**

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Performance Indicators:

- 5.1.1) The FME has sufficient financial capital and human resources to implement the management plan, over the long run (at least one rotation in the case of plantations).
- 5.1.2) The FME shall conduct a long-term financial projection (e.g., budget) that includes income and environmental, social, and operational costs. The assumptions included in the budget or financial model must be duly substantiated.
- 5.1.3) The FME shall make adequate investments of capital, machinery and human resources so as to maintain or restore the productive capacity, ecological integrity and socio-economic profile of the FMU.
- 5.1.4) Commercial (income generating) activities are financially viable, given short and medium-term market conditions and costs.

Verifiers:

- Annual or semi-annual balance sheets or other records that show the costs of management activities conducted, as well as the income received.

5.2. Forest management and marketing operations should encourage the optimal use and local processing of the forest's diversity of products.

Performance Indicators:

- 5.2.1) Management and marketing policies, as well as field-level decisions, systematically assure that commercial forest products are being sold for their highest and best uses

Examples may include:

- new products are explored and developed for common but less used species*
- access to new markets is explored and developed*

- 5.2.2) THE FME strives to diversify the mix of commercial products recovered from the forest and marketed.

Examples:

- When financially and technically viable, the FME commercializes non-timber forest products (NTFPs).
- When financially and technically viable, the FME commercializes environmental services, such as the protection of watersheds that serve hydroelectric dams or forest carbon offsets projects.

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5.2.3) The FME has a demonstrated track record of favouring or encouraging local processing of wood, latex, and other forest products.

5.3. Forest management should minimize waste associated with harvesting and on-site processing operations and avoid damage to other forest resources.

Performance Indicators:

5.3.1) Harvesting operations minimize waste and residual stand damage

Examples may include:

-bumper trees and directional felling techniques are used to minimize unintentional tree damage

5.3.2) Yarding and log sorting operations minimize product wastage, de-grade and foregone revenue opportunities

5.3.3) Log landings are kept to a minimum practicable number and size and are located so as to minimize adverse environmental impacts

5.3.4) Where on-site processing takes place, the footprint of the milling facility is kept to the smallest practicable size; the processing facilities are located in the most environmentally benign locales as well as in locations where losses to productive forest area are minimized.

Example:

- The FME locates charcoal kilns or portable sawmills only after evaluating the environmental impacts of the selected sites.

5.3.5) While minimizing undue waste, forest managers establish field guidelines that recognize the ecological value of biomass (e.g., tops and branches) being left on site; forest managers have written guidelines for retention of downed woody debris and standing snags within harvest areas

Verifier:

- Written field guidelines for the biomass retention (snags, tops, and downed woody debris).

5.4 Forest management should strive to strengthen and diversify the local economy, avoiding dependence on a single forest product.

Performance Indicators:

5.4.1) The FME can demonstrate its efforts to diversify the mix of commercial products recovered from the forest and marketed

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- 5.4.2) The FME can demonstrate efforts taken to encourage local value-added processing
- 5.4.3) Where market opportunities exist and where such use does not compromise the ecological health of the forest, the marketing of non-timber forest products is undertaken by forest managers

Examples may include:

-compatible uses such as recreation, ecotourism, hunting, fishing, rubber harvesting, Christmas tree cutting, etc.

5.5 Forest management operations shall recognize, maintain, and, where appropriate, enhance the value of forest services and resources such as watersheds and fisheries.

Performance Indicators:

- 5.5.1) The management plan addresses the full range of forest services associated with the FMU including: municipal watersheds, commercial and recreational fisheries (or the supply of water to downstream fisheries), visual quality, contributions to regional biodiversity, recreation and tourism as identified by the FME.
- 5.5.2) Forest management activities are designed and implemented, spatially and temporally, with due consideration to the impacts on the forest services identified in 5.5.1.
- 5.5.3) The FME demonstrates an awareness of and sensitivity to non-timber forest services, many of which may not generate income.
- 5.5.4) The FME engages in regular dialogue with stakeholders and advocates of forest services that are subject to impact from forest operations.

5.6 The rate of harvest of forest products shall not exceed levels that can be permanently sustained.

Performance Indicators:

- 5.6.1) For natural forest management operations, the annual allowable cut (AAC) of forest products, either by area or volume, shall be established by a combination of empirical data and published literature, based on conservative, well-documented growth and yield estimates to ensure that the rate of harvest does not exceed the calculated rates of long-term regeneration.

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5.6.2) Average annual harvests shall not exceed the calculated AAC. **Note: Non-conformance to this Indicator constitutes a *Major Failure* and precludes award of certification until appropriately corrected.**

5.6.3) For plantation forest management, the growth and harvest rates (for thinning and final cuts), shall be based on well-documented information and/or field trials, and be consistent with the observed behaviour of the species at the national or regional level.

5.6.4) Harvest levels shall be set such that inventories of desired species increase over time, unless it is established (in the management plan) that current inventories (measured in average standing volume per hectare) exceed optimal levels.

5.6.5) For operations entailing regular annual harvesting, the 10-year rolling average harvest level does not exceed average annual increment.

Verifiers:

- Comparison of records of harvested volume by species (or species groups) with the AAC established for the species (or species groups).

5.6.6) For smaller operations that do not harvest annually, the frequency and intensity of harvest entries is set such that inventory levels are allowed to recover—and increase, as appropriate—between entries.

Verifiers:

- Comparison of records of harvested volume by species (or species groups) with the AAC established for the species (or species groups).

5.6.7) For operations harvesting non-timber forest products such as rubber, management strategies incorporate the best available monitoring and inventory data to calculate a conservative growth and harvest rates; harvest of non-timber forest products is also subject to Indicator 5.6.2.

5.6.8) For timber investment¹ management programs: If growth projections are used to make claims on the rate of financial return, the FME shall include a visible declaration on all material that carries the FSC or certification body trademarks regarding the responsibility of financial claims (e.g., “the FSC and SCS are not responsible for, and do not endorse, any financial or profit claims made by the timber investment organization.”) (See FSC-TMK-50-201, V1.0, section 16).

¹ A timber investment organization is a forest management project established in a natural or plantation forest (e.g., a TIMO or REIT), where the FME uses funds from various investors to achieve management objectives, usually in exchange for returns on investment within a specified timeframe

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PRINCIPLE #6: ENVIRONMENTAL IMPACT

Forest management shall conserve biological diversity and its associated values, water resources, soils, and unique and fragile ecosystems and landscapes, and, by so doing, maintain the ecological functions and the integrity of the forest.

6.1. Assessments of environmental impacts shall be completed -- appropriate to the scale, intensity of forest management and the uniqueness of the affected resources -- and adequately integrated into management systems. Assessments shall include landscape level considerations as well as the impacts of on-site processing facilities. Environmental impacts shall be assessed prior to commencement of site-disturbing operations.

Performance Indicators:

6.1.1) Project (site)-level environmental impact assessments, scaled to the size and complexity of operations, are systematically completed prior to commencement of site disturbing activities

6.1.2) In addition to project-level assessments, forest managers also complete landscape-level environmental impact assessments in which the cumulative effects of forest operations are considered.

Example:

- The FME does not conduct clearcuts next to adjacent previous clearcut harvests unless these previous harvests have adequate regeneration.

6.1.3) To provide background for environmental impact assessments, the regional, sub-regional, and landscape environmental context of the FMU is established and documented (preferably in the management plan), consistent with the scale and intensity of operations

6.1.4) Planned management activities are appropriately modified based upon the results of the environmental impact assessments

For FMU's meeting SLIMF requirements, only the following indicator(s) of this criterion apply; the indicator(s) are not to be used for assessing non-SLIMF operations:

6.1.5) The FME demonstrates knowledge of the possible negative impacts of its activities and implement measures to minimize them.

6.2. Safeguards shall exist which protect rare, threatened and endangered species and their habitats (e.g., nesting and feeding areas). Conservation zones and protection areas shall be established, appropriate to the scale and intensity of forest management and the uniqueness of the affected resources. Inappropriate hunting, fishing, trapping and collecting shall be controlled.

Performance Indicators:

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- 6.2.1) Using the best information available and the results of field surveys, the FME shall identify the potential presence of rare, threatened or endangered (RTE) species (see Appendix 3) and their habitats within the FMU (e.g., nesting and feeding areas).
- 6.2.2) The FME shall establish, appropriate to the scale and intensity of the operation, conservation zones and/or other adequate protection measures for RTE species and their habitats. These conservation zones and other protection measures shall be described in the management plan.
- 6.2.3) The FME shall demarcate RTE conservation zones on maps, and when appropriate and it does not interfere with conservation objectives, in the field. These zones shall be respected in forest management activities.
- 6.2.4) The FME shall not harvest species that are included in Appendix I of CITES **(also applicable to SLIMF)**.
- 6.2.5) The FME shall have adequate control over and minimize illegal, unauthorized and/or inappropriate activities, such as hunting, fishing, trapping, harvesting of NTFPs or the collecting of RTE species **(also applicable to SLIMF)**.
Examples:
- Fences are installed to control grazing when appropriate.
 - Established hunting or gathering seasons are respected in order to allow for reproduction.

For FMU's meeting SLIMF requirements, only 6.2.4, 6.2.5, and the following indicator(s) of this criterion apply; the following indicator(s) are not to be used for assessing non-SLIMF operations:

- 6.2.6) Where information exists on RTE species and their habitats, the FME uses this information to map and protect these resources.
- 6.2.7) The use of fire is controlled within the FMU and the FME helps in its prevention and control in contiguous areas.

6.3. Ecological functions and values shall be maintained intact, enhanced, or restored, including:

- a) Forest regeneration and succession.**
- b) Genetic, species, and ecosystem diversity.**
- c) Natural cycles that affect the productivity of the forest ecosystem.**

Performance Indicators:

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- 6.3.1) Known ecological functions and values are described in the management plan and updated periodically as additional information/knowledge is acquired; the FME takes affirmative steps to eliminate gaps in information and knowledge about ecological functions within the FMU.
- 6.3.2) Subject to the scale of operations, the forest is managed so as to maintain a full range of successional stages at distributions within the range of natural variability.
- 6.3.3) The management plan incorporates principles of landscape and ecosystem-based planning; the plan contains goals pertaining to biological diversity for the range of spatial scales from genetic diversity to landscape diversity
- 6.3.4) Harvesting prescriptions maintain, enhance or restore natural forest composition; management is aimed at maintaining all naturally occurring species
- 6.3.5) Harvesting is designed and laid out, over time and space, with consideration of the types, sizes and frequency of natural disturbances as well as connectivity of wildlife habitats
- 6.3.6) Regeneration after final harvests are timely and successful; young stands, either planted or naturally established, are well-stocked with desired species, vigorous and on the trajectory to healthy merchantable stands
- 6.4 Representative samples of existing ecosystems within the landscape shall be protected in their natural state and recorded on maps, appropriate to the scale and intensity of operations and the uniqueness of the affected resources.**

Performance Indicators:

- 6.4.1) The FME compiles and reviews information on the amount of representative samples of existing ecosystems protected within the regional landscape, both within and outside of the FMU.
- 6.4.2) Where deficiencies (i.e., opportunities to protect and restore the extent of certain representative sample ecosystems) exist within the landscape, the FME takes actions to make contributions to the regional network.

Verifiers:

- Information on regional protected areas, such as national parks, is reviewed and analyzed in the management plan.
- The FME documents and takes measures to prevent adverse effects to protected areas.

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- 6.4.3) Protected areas within the FMU are delineated on maps and protection policies are included in the management plan.

For FMU's meeting requirements, only the following indicator(s) apply; the indicator(s) are not to be used for assessing non-SLIMF operations:

- 6.4.4) Representative samples of ecosystems are identified, recorded on maps, and excluded from the harvesting area. If existing representative samples of ecosystems are already adequately protected on other private or public properties within the region then no additional samples need to be identified and protected.

6.5. Written guidelines shall be prepared and implemented to control erosion; minimize forest damage during harvesting, road construction, and all other mechanical disturbances; and to protect water resources.

Performance Indicators:

- 6.5.1) The management plan, or another pertinent policy document, contains express written guidelines for the protection of water resources (e.g., stream courses and adjoining riparian areas, wetlands, seeps and springs) found within the FMU and minimization of soil erosion and damage to forest vegetation as a result of site disturbing activities.
- 6.5.2) Prior to conducting site disturbing activities, the FME shall prepare maps, of sufficient scale and detail, in which primary and secondary roads, skid trails, landings, large drainage structures, watercourse crossings, buffer zones, and conservation areas are identified.
- 6.5.3) The FME and its contractors use the maps in the planning and implementation of management activities and demonstrate a working knowledge of the protection guidelines from 6.5.1 and, in fact, systematically implement them in day-to-day operations.
- 6.5.4) The FME shall have written guidelines for the construction, maintenance, and closure of roads within the FMU
- 6.5.5) Road construction, maintenance and closure standards are followed in the field; road surfaces are well drained, culverts are large enough to accommodate peak flow, and water bars are appropriately installed.
- 6.5.6) The FME does not log areas with extremely unstable slopes or at high risk of landslides and avoids inappropriate site disturbing activities in these areas.

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6.6. Management systems shall promote the development and adoption of environmentally friendly non-chemical methods of pest management and strive to avoid the use of chemical pesticides. World Health Organization Type 1A and 1B and chlorinated hydrocarbon pesticides; pesticides that are persistent, toxic or whose derivatives remain biologically active and accumulate in the food chain beyond their intended use; as well as any pesticides banned by international agreement, shall be prohibited. If chemicals are used, proper equipment and training shall be provided to minimize health and environmental risks.

Performance Indicators:

6.6.1) All chemical pesticide use in nurseries, FMUs or processing facilities occurs within the context of an integrated pest management program; pesticides are only used when non-chemical management has been proven ineffective or cost-prohibitive.

Verifiers:

- Silvicultural prescriptions are selected and designed to minimize the dependence on chemical pesticides.
- The FMU can demonstrate evidence of reduction or elimination of the use of chemical pesticides over time.

6.6.2) If the FME uses chemical pesticides:

- The FME shall have a complete list of chemical pesticides used;
- The FME shall maintain records of all pesticides used, including the name of the product, active ingredient(s), location and method of application, total quantity applied, and the dates of application;
- The FME shall comply with all safety regulations during the transport, manipulation, application, and storage of chemical pesticides;
- Where required by law, field personnel shall be properly licensed to apply chemical pesticides;
- FME personnel and contractors shall use appropriate equipment and gear to assure safe application;
- The FME shall provide adequate supervision and training to personnel and contractors related to the transport, storage, manipulation, and application of chemical pesticides.

6.6.3) The FME shall not use highly hazardous chemical pesticides as defined by the FSC (FSC-POL-30-601), those prohibited in India, pesticides classified as Type 1A or 1B by the World Health Organization (WHO) or pesticides composed of hydrocarbons or chlorine. Exceptions are made when the FSC has permitted a formal derogation in the applicable territory. In such cases, the FME shall follow the terms of the approved derogation. **Note: Non-conformance to this Indicator constitutes a *Major Failure* and precludes award of certification until appropriately corrected.**

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6.7. Chemicals, containers, liquid and solid non-organic wastes including fuel and oil shall be disposed of in an environmentally appropriate manner at off-site locations.

Performance Indicators:

- 6.7.1) Toxic chemicals and their containers are disposed of, off site, in an environmentally sound and legal manner
- 6.7.2) The FME shall have contingency plans and procedures for prevention and cleanup following spills or other accidents involving chemical pesticides, oils, fuels, and other chemicals.
- 6.7.3) There are on-site facilities for secure collection of waste, including oil and fuel.

6.8. Use of biological control agents shall be documented, minimized, monitored and strictly controlled in accordance with national laws and internationally accepted scientific protocols. Use of genetically modified organisms shall be prohibited.

Performance Indicators:

- 6.8.1) There shall be no use (defined as commercial use as well as for research purposes) of genetically modified organisms within the FMU. **Note: Non-conformance to this Indicator constitutes a *Major Failure* and precludes award of certification until appropriately corrected.**
- 6.8.2) All use of biological control agents takes place within the context of an integrated pest management program that will document, minimize, monitor, and strictly control their application
- 6.8.3) Use of biological control agents takes place only where demonstrably necessary and only under strict protocols in compliance with applicable laws and regulations.

6.9. The use of exotic species shall be carefully controlled and actively monitored to avoid adverse ecological impacts.

Performance Indicators:

- 6.9.1) Exotic species (tree species as well as other flora and fauna) are introduced into the defined forest area only after active investigation demonstrates that they are not invasive
- 6.9.2) Exotic species use is governed by written guidelines for controlling off-site regeneration; active ongoing monitoring is mandatory.

Verifier:

- Control and monitoring of exotic species is included in the management plan (C7.1) and monitoring program (C8.1).

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6.9.3) In areas where invasive exotic plants are problematic, the FME develops and implements appropriate control measures

6.10. Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion:

- a) entails a very limited portion of the forest management unit; and**
- b) does not occur on high conservation value forest areas; and**
- c) will enable clear, substantial, additional, secure, long term conservation benefits across the forest management unit.**

Performance Indicators:

6.10.1) The FME shall not convert forests or threatened non-forested habitats to plantations or other non-forest land uses, except when the conversion complies with indicators 6.10.2 to 6.10.5.

6.10.2) If there is conversion, this shall not exceed 5% of the FMU during any given period of 5 years and this conversion shall have the backing of the responsible government agencies and the support of social and environmental stakeholders (See FSC-ADV-30-602).

6.10.3) If the FME has the intention of creating plantations or converting to other non-forested land uses in forests or savannahs, the FME shall supply written, verbal or visual guidelines to its staff for the identification of acceptable areas and implement technically appropriate management practices.

6.10.4) Plantations or conversion to non-forested land uses shall not occur in High Conservation Value Forests or Areas.

6.10.5) The FME shall demonstrate the long-term conservation benefits of converting portions of the FMU to plantations or non-forest land.

Examples:

- The installation of a charcoal kiln allows for the use of small woody residues, which can be proven to improve the conditions for the regeneration of some commercial species.
- The construction of a look-out tower to detect illegal logging or forest fires.

6.10.6) The FME shall not conduct activities that contribute to the destruction or substantial alteration of natural forest, or other natural ecosystem types, in areas outside of the FMU under evaluation.

PRINCIPLE #7: MANAGEMENT PLAN

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A management plan -- appropriate to the scale and intensity of the operations -- shall be written, implemented, and kept up to date. The long-term objectives of management, and the means of achieving them, shall be clearly stated.

7.1. The management plan and supporting documents shall provide:

- a) Management objectives.
- b) Description of the forest resources to be managed, environmental limitations, land use and ownership status, socio-economic conditions, and a profile of adjacent lands.
- c) Description of silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resource inventories.
- d) Rationale for rate of annual harvest and species selection.
- e) Provisions for monitoring of forest growth and dynamics.
- f) Environmental safeguards based on environmental assessments.
- g) Plans for the identification and protection of rare, threatened and endangered species.
- h) Maps describing the forest resource base including protected areas, planned management activities and land ownership.
- i) Description and justification of harvesting techniques and equipment to be used.

Performance Indicators:

7.1.1) Appropriate to the scale, intensity, and complexity of operations, there shall be a written management plan for the defined forest area that addresses the subjects and plan components enumerated in this criterion, above, as well as provisions for protection against forest fires, forest pests and diseases, illegal settlement and harvesting, hunting and fishing policies, safeguarding archaeological sites, and others. **Note: Non-conformance to this Indicator constitutes a *Major Failure* and precludes award of certification until appropriately corrected.**

7.1.2) The management plan contains both long term goals and objectives as well as short and near term tactical direction

7.1.3) There are sufficient resources invested in plan development so as to produce a functional and effective management plan

For FMU's meeting SLIMF requirements, only the following indicator(s) of this criterion apply; the indicator(s) are not to be used for assessing non-SLIMF operations:

7.1.4) A written management plan exists and is implemented. The management plan includes at least the following:

- a) the objectives of management

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- b) a description of the forest
- c) how the objectives will be met, harvesting methods and silviculture (clear cuts, selective cuts, thinnings) to ensure sustainability
- d) sustainable harvest limits (which must be consistent with FSC criteria 5.6)
- e) plans for monitoring forest growth
- f) environmental/ social impacts of the plan
- g) conservation of rare species and any high conservation values
- h) maps of the forest, showing protected areas, planned management and land ownership
- i) Pest and weed control planned
- j) Duration of the plan

7.2. The management plan shall be periodically revised to incorporate the results of monitoring or new scientific and technical information, as well as to respond to changing environmental, social and economic circumstances.

Performance Indicators:

- 7.2.1) The management plan is revised and updated at regular intervals, the frequency of which is appropriate to the scale and intensity of operations.
- 7.2.2) The FME shall incorporate the results of monitoring or new scientific or technical information (e.g., silvicultural, environmental, social, and economic conditions) in the revision or adjustment of the management plan, appropriate to the scale and intensity of operations.
- 7.2.3) Over time, the management plan is kept current and relevant; as such, the plan is able to provide ongoing guidance to the management of the defined forest area

For FMU's meeting SLIMF requirements, only the following indicator(s) of this criterion apply; the indicator(s) are not to be used for assessing non-SLIMF operations:

- 7.2.4) The management plan is revised and updated at regular intervals, the frequency of which is appropriate to the scale and intensity of operations.

7.3. Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plan.

Performance Indicators:

- 7.3.1) Appropriate to the scale and intensity of operations, there is a documented protocol by which forest workers (including subcontractors and rubber tappers) are duly trained as to their role in implementing the management plan

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- 7.3.2) Records are maintained as to when each forest worker received management plan training
- 7.3.3) There is a demonstrable track record of compliance with and implementation of the management plan
- 7.3.4) Forest workers are supervised by qualified managers who provide guidance in the implementation of the management plan.

For FMU's meeting SLIMF requirements, only the following indicator(s) apply:

- 7.3.5) Appropriate to the scale and intensity of operations, forest workers (including subcontractors and rubber tappers) are duly trained, according to a documented protocol, as to their role in implementing the management plan
- 7.4. While respecting the confidentiality of information, forest managers shall make publicly available a summary of the primary elements of the management plan, including those listed in Criterion 7.1.**

Performance Indicators:

- 7.4.1) Interested stakeholders are readily able to obtain a public summary of the management plan, which provides information on the primary elements of the plan, including those enumerated in criterion 7.1
- 7.4.2) The public summary is appropriate to the scale and intensity of operations
- 7.4.3) The public summary is updated periodically, at a frequency appropriate to the scale and intensity of operations

For FMU's meeting SLIMF requirements, only the following indicator(s) apply. These indicators cannot be used to evaluate non-SLIMF operations:

- 7.4.4) Interested stakeholders are readily able to obtain a public summary of the management plan.
- 7.4.5) The FME shall update all public summaries at least one time during the period of validity of the forest management certificate (5 years).

PRINCIPLE #8: MONITORING AND ASSESSMENT

Monitoring shall be conducted -- appropriate to the scale and intensity of forest management -- to assess the condition of the forest, yields of forest products, chain of custody, management activities and their social and environmental impacts.

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- 8.1. The frequency and intensity of monitoring should be determined by the scale and intensity of forest management operations as well as the relative complexity and fragility of the affected environment. Monitoring procedures should be consistent and replicable over time to allow comparison of results and assessment of change.**

Performance Indicators:

- 8.1.1) Appropriate to the scale and intensity of operations, there are consistent and replicable procedures for the periodic monitoring of forest conditions, management activities, management plan compliance and chain-of-custody.
- 8.1.2) The frequency and intensity of monitoring shall be based on the scale and intensity of the operation, as well as the fragility of the resources to be managed.
- 8.1.3) Forest managers have a demonstrated track record of implementing monitoring protocols which are consistent and replicable over time

For FMU's meeting SLIMF requirements, only the following indicator(s) apply:

- 8.1.4) Appropriate to the scale and intensity of operations, periodic monitoring of forest conditions, management activities, management plan compliance and chain-of-custody is conducted, and done so according to written protocols.

- 8.2. Forest management should include the research and data collection needed to monitor, at a minimum, the following indicators:**

- a) Yield of all forest products harvested.
- b) Growth rates, regeneration and condition of the forest.
- c) Composition and observed changes in the flora and fauna.
- d) Environmental and social impacts of harvesting and other operations.
- e) Costs, productivity, and efficiency of forest management.

Performance Indicators:

- 8.2.1) Appropriate to the scale and intensity of operations, the FME's monitoring plan shall include protocols to periodically gather information on components a) – e) enumerated in this criterion, above.
- 8.2.2) Written records shall be kept of the annual or periodic harvest levels of each commercial forest product, at levels of specificity appropriate to the scale and intensity of operations

For example:

- *Records of timber harvest volume by species*
- *Records of rubber collection or latex production by volume*

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8.2.3) The FME shall demonstrate a commitment to acquiring and utilizing information on key indicators pertaining to the production, environmental and socio-economic profiles of its operation.

For FMU's meeting SLIMF requirements, only the following indicator(s) of this criterion apply; the indicator(s) are not to be used for assessing non-SLIMF operations:

8.2.4) Appropriate to the scale and intensity of operations, forest managers periodically gather information on components a) – e) enumerated in this criterion, above.

8.2.5) Information necessary to judge progress towards management objectives is collected and recorded. In all cases this will include:

- Amount of all commercial forest products harvested, by species
- Effects of operations as identified under Criteria 6.1
- Changes in features identified under Criteria 6.2
- Annual monitoring of high conservation values identified under Criteria 9.1
- Invasive exotic species

For example:

- *Records of timber harvest volume by species*
- *Records of rubber collection or latex production by volume*

8.3. Documentation shall be provided by the forest manager to enable monitoring and certifying organizations to trace each forest product from its origin, a process known as the "chain of custody."

Performance Indicators:

8.3.1) The FME shall have written procedures for the tracking of certified products, also known as "Chain-of-Custody" (COC). At a minimum, these procedures shall include:

- The measures to control and track data related to volume and origin of harvested forest products (e.g., weights, inventories, and other measurements) in the forest, during transport, in logging decks and landings and processing centres controlled by the FME;
- A description of the FSC product group (e.g., FSC-Pure rubber sheets) and the FME's certificate code (e.g., SCS-FM/COC-XXXXXX) on invoices and other documentation related to the sale of certified products; and
- A description of the measures used to segregate certified forest products from non-certified ones through marking, labels, separate storage, and invoices or other documentation that accompanies the product until the point of sale, or the "forest gate."

8.3.2) The FME shall implement consistently the COC procedures defined in indicator 8.3.1.

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8.3.3) If the FME wants to use the logo and/or other trademarks of FSC or SCS on its products or in publications, including websites, it shall ask for documented approval from SCS prior to use.

8.4. The results of monitoring shall be incorporated into the implementation and revision of the management plan.

Performance Indicators:

8.4.1) The FME shall demonstrate a commitment to adaptive management where information gathered during systematic monitoring is incorporated into revisions to the management plan, as well as revisions to its annexes, standard operating procedures or other planning documents (see Criterion 7.2).

8.4.2) The evolution of the management plan over successive revisions demonstrates that the results of monitoring are being appropriately incorporated and used to implement new or modified procedures in the field.

For FMU's meeting SLIMF requirements, only the following indicator(s) apply. These indicators cannot be used to evaluate non-SLIMF operations:

8.4.3) The FME shall demonstrate a commitment to adaptive management where information gathered during systematic monitoring is incorporated into revisions to the management plan, as well as revisions to its annexes, standard operating procedures or other planning documents (see Criterion 7.2).

8.5. While respecting the confidentiality of information, forest managers shall make publicly available a summary of the results of monitoring indicators, including those listed in Criterion 8.2.

Performance Indicators:

8.5.1) The FME shall make available a public summary of the results of periodic monitoring that addresses the indicators listed in criterion 8.2.1

8.5.2) The FME shall propose and respect an adequate and economically realistic time period for the periodic update of the public summary of monitoring, appropriate to the scale and intensity of operations.

8.5.3) For timber investment programs, the FME shall make public, at least to its investors and/or shareholders, the results and analysis of the forest inventory program.

For FMU's meeting SLIMF requirements, only the following indicator(s) of this criterion apply; the indicator(s) are not to be used for assessing non-SLIMF operations:

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- 8.5.4) Upon request, the FME shall make available the results of monitoring (see 8.2.4) pertinent to stakeholders who could be affected directly or indirectly by forest management activities (e.g., (neighbouring properties, affected communities).
- 8.5.5) The FME shall update all public summaries at least one time during the period of validity of the forest management certificate (5 years).

PRINCIPLE #9: MAINTENANCE OF HIGH CONSERVATION VALUE FORESTS

Management activities in high conservation value forests shall maintain or enhance the attributes, which define such forests. Decisions regarding high conservation value forests shall always be considered in the context of a precautionary approach.

9.1 Assessment to determine the presence of the attributes consistent with High Conservation Value Forests will be completed, appropriate to scale and intensity of forest management.

Performance Indicators:

9.1.1) The FME shall conduct an evaluation to identify High Conservation Values (HCV) attributes present in the FMU. This evaluation, at a minimum, shall include:

- Consultation of regional or national conservation databases and maps;
- Consultation of the national HCVF toolkit, if it exists, or the first and third parts of the international toolkit for HCV presence (see *HCVF Toolkit* by WWF²);
- Consideration of forest inventory data and observations from field workers, contractors or consultants of the FME;
- Interviews with biologist and scientific experts, local communities, and other stakeholders;
- Identification and documentation of possible threats to HCVs.

9.1.2) For non-SLIMF operations, the FME shall:

- Provide a written evaluation for HCVs that includes the elements of 9.1.1 and proposals to protect these HCVs;
- Provide a technical explanation for the HCVs identified and the recommendations presented for the protection of these attributes; and
- Demonstrate that actions are being taken to protect and/or reduce threats to HCVs that stem from the FME's management activities.

For FMU's meeting SLIMF requirements, only the following indicator(s) of this criterion apply; the indicator(s) are not to be used for assessing non-SLIMF operations:

² *HCVF Toolkit: Guidance for High Conservation Value Forests assessment*
(http://www.panda.org/what_we_do/how_we_work/conservation/forests/tools/hcvf_toolkit/)

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- 9.1.3) The FME shall consult environmental stakeholders, government officials or researchers to identify HCVs and/or HCVPs. If there are HCVs or HCVPs present, the FME shall take all reasonable action to protect these values and/or reduce threats to them.
- 9.1.4) The FME shall consult the national HCVP toolkit, if it exists, or the first and third parts of the international toolkit for HCV presence (see footnote below).

9.2. The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.

Performance Indicators:

- 9.2.1) The results of stakeholder consultation related to HCVs shall specify clearly the conservation values that were identified, as well as the proposed strategies for their maintenance, enhancement or reduction of threats. Non-SLIMF FMEs shall document this consultation.
- 9.2.2) The FME shall maintain a list of all of pertinent stakeholders that the certifier can interview related to HCVPs.
- 9.2.3) The results of stakeholder consultation shall indicate that the FME consistently considers and protects areas of HCV.

9.3. The management plan shall include and implement specific measures that ensure the maintenance and/or enhancement of the applicable conservation attributes consistent with the precautionary approach. These measures shall be specifically included in the publicly available management plan summary.

Performance Indicators:

- 9.3.1) The FME, in the management plan and its public summary, shall describe the conservation values of each area of HCV identified in the FME, as well as the actions taken to maintain and/or enhance these values.
- 9.3.2) A) For non-SLIMF operations, the FME shall propose and respect an adequate and economically realistic time period for the periodic update of the public summary of areas of HCV, appropriate to the scale and intensity of operations.

B) For SLIMFs, the FME shall update all public summaries at least one time during the period of validity of the forest management certificate (5 years).
- 9.3.3) The FME shall provide evidence in the field that it takes measures to protect HCVs, consistent with a precautionary approach.

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9.4. Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.

Performance Indicators:

9.4.1) Measurable effectiveness indicators are developed and presented in the HCVF section of the management plan

9.4.2) Appropriate to the scale of and intensity of operations, annual monitoring is conducted that focuses on the effectiveness by which HCVF management and protection measures are maintaining and/or enhancing the pertinent conservation attributes according to the indicators developed in 9.4.1.

9.4.3) The results of HCVF monitoring are used adaptively in modifying HCVF management and protection policies, as well in revising the management plan

PRINCIPLE # 10: PLANTATIONS

Plantations shall be planned and managed in accordance with Principles and Criteria 1 - 9, and Principle 10 and its Criteria. While plantations can provide an array of social and economic benefits, and can contribute to satisfying the world's needs for forest products, they should complement the management of, reduce pressures on, and promote the restoration and conservation of natural forests.

10.1. The management objectives of the plantation, including natural forest conservation and restoration objectives, shall be explicitly stated in the management plan, and clearly demonstrated in the implementation of the plan.

Performance Indicators:

10.1.1) The management plan for plantations shall include silvicultural and socioeconomic objectives, as well as for conservation and restoration of natural forests.

10.1.2) The FME shall demonstrate evidence of implementation of the objectives identified in 10.1.1 and their associated policies in forest management activities and/or administrative actions.

10.2. The design and layout of plantations should promote the protection, restoration and conservation of natural forests, and not increase pressures on natural forests. Wildlife corridors, streamside zones and a mosaic of stands of different ages and rotation periods shall be used in the layout of the plantation, consistent with the scale of the operation. The scale and layout of plantation blocks shall be consistent with the patterns of forest stands found within the natural landscape.

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Performance Indicators:

- 10.2.1) The spatial pattern of planted stands within the plantation forest operation mimics natural patterns found within the landscape
 - 10.2.2) Streamside buffer zones are established, within which natural vegetative cover is maintained or established. Width of buffer zones meet or exceed regional norms
 - 10.2.3) Appropriate to the scale and intensity of operations, natural vegetative corridors are established for wildlife movement
 - 10.2.4) The plantation design includes stands with a diversity of age classes and rotation periods.
- 10.3. Diversity in the composition of plantations is preferred, so as to enhance economic, ecological and social stability. Such diversity may include the size and spatial distribution of management units within the landscape, number and genetic composition of species, age classes and structures.**

Performance Indicators:

- 10.3.1) A variety of species or provenances are employed in the planting program
 - 10.3.2) The management regime introduces diversity through practices such as: variable rotations, cut blocks of different size and shape, maintenance of volunteer (naturally established) seedlings within planted stands
 - 10.3.3) The plantation forest management plan contains biodiversity objectives, policies and guidelines
- 10.4. The selection of species for planting shall be based on their overall suitability for the site and their appropriateness to the management objectives. In order to enhance the conservation of biological diversity, native species are preferred over exotic species in the establishment of plantations and the restoration of degraded ecosystems. Exotic species, which shall be used only when their performance is greater than that of native species, shall be carefully monitored to detect unusual mortality, disease, or insect outbreaks and adverse ecological impacts.**

Performance Indicators:

- 10.4.1) Exotic tree species are planted only after an assessment of native species is conducted, in which it is demonstrated that native species cannot achieve comparable performance levels

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- 10.4.2) Periodic monitoring is conducted of the adaptability of exotic stands, as indicated by measured levels of mortality, disease and insect outbreaks
- 10.4.3) Selection of plantation species and provenances is based on documented trials that demonstrate their suitability to the plantation sites and management objectives
- 10.4.4) Information about the source of seed or planting stock is presented in the management plan or another suitable document

10.5. A proportion of the overall forest management area, appropriate to the scale of the plantation, shall be managed so as to restore the site to a natural forest cover.

Performance Indicators:

- 10.5.1) Representative samples of existing natural ecosystems are being protected or restored in their natural state, on- or off-site
- 10.5.2) The percentage of the plantation forest operation that is devoted to natural forest cover exceeds regional plantation forestry norms
- 10.5.3) Areas of natural forest or natural vegetative cover within the FMU are delineated on maps and, as necessary, delineated in the field for purposes of assuring protection

For FMU's meeting SLIMF requirements, only the following indicator(s) of this criterion apply; the indicator(s) are not to be used for assessing non-SLIMF operations:

- 10.5.4) Plantation design and management practices shall maintain or enhance ecological values, especially those that relate to protected areas.
- 10.5.5) Where it is ecologically and economically unviable for a small plantation to manage a restoration area, the plantation manager or group is able to demonstrate off-site contributions to the management and/or restoration of similar landscape and ecosystem types either jointly with other adjacent small operations, or in-kind by supporting an existing protected area.

10.6. Measures shall be taken to maintain or improve soil structure, fertility, and biological activity. The techniques and rate of harvesting, road and trail construction and maintenance, and the choice of species shall not result in long term soil degradation or adverse impacts on water quality, quantity or substantial deviation from stream course drainage patterns.

Performance Indicators:

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- 10.6.1) Plantation forest managers actively engage in field research to assess trends in soil productivity; soil types found within the plantation forest area are mapped and considered during field operations
- 10.6.2) Prescriptions for the establishment, tending and final harvest of planted stands are designed with consideration to soil health and productivity
- 10.6.3) Site disturbing activities do not adversely impact aquatic and riparian resources including water quality and do not significantly alter the hydrologic characteristics of the site; planted stand establishment is limited to flat or gently sloping terrain
- 10.6.4) All stream courses within the operating area are identified and mapped
- 10.6.5) The management plan contains policies and guidelines for soil maintenance and water quality protection
- 10.7. Measures shall be taken to prevent and minimize outbreaks of pests, diseases, fire and invasive plant introductions. Integrated pest management shall form an essential part of the management plan, with primary reliance on prevention and biological control methods rather than chemical pesticides and fertilizers. Plantation management should make every effort to move away from chemical pesticides and fertilizers, including their use in nurseries. The use of chemicals is also covered in Criteria 6.6 and 6.7.**

Performance Indicators:

- 10.7.1) Plantation forest standard operating procedures include regular monitoring for pest and pathogen activity, inordinate levels of mortality, and the spread of invasive exotic plants.
- 10.7.2) The management plan contains policies and guidelines for integrated pest management that are demonstrably followed in the field
- 10.7.3) The FME, through its policies and actions, demonstrates a commitment to progressively lessen the use of chemical pesticides and fertilizers.
- 10.7.4) Appropriate to the scale and intensity of operations, is the FME has a written fire prevention and suppression plan.
- 10.8 Appropriate to the scale and diversity of the operation, monitoring of plantations shall include regular assessment of potential on-site and off-site ecological and social impacts, (e.g. natural regeneration, effects on water resources and soil fertility, and impacts on local welfare and social well-being), in addition to those elements addressed in Principles 8, 6 and 4. No species**

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should be planted on a large scale until local trials and/or experience have shown that they are ecologically well-adapted to the site, are not invasive, and do not have significant negative ecological impacts on other ecosystems. Special attention will be paid to social issues of land acquisition for plantations, especially the protection of local rights of ownership, use or access.

Performance Indicators:

- 10.8.1) Monitoring incorporates ecological and social impacts of plantation forest activities, see Criterion 4.4 and 8.2
- 10.8.2) Monitoring focuses on both on-site and off-site impacts such as landscape level effects generated by the species that are being planted
- 10.8.3) Species are selected for planting only after local trials and other empirical evidence demonstrates their suitability to the site
- 10.8.4) Acquisition of land for establishment of plantation forests does not adversely impact, without due compensation, local ownership rights or access/use patterns

For FMU's meeting SLIMF requirements, only the following indicator(s) apply

- 10.8.5) Monitoring incorporates ecological and social impacts of plantation forest activities, see Criterion 4.4 and 8.2.
- 10.9 Plantations established in areas converted from natural forests after November 1994 normally shall not qualify for certification. Certification may be allowed in circumstances where sufficient evidence is submitted to the certification body that the manager/owner is not responsible directly or indirectly of such conversion.**

Performance Indicators:

- 10.9.1) Records are of sufficient detail to enable the SCS auditor(s) to determine if conversion of natural forests to plantations has occurred since November, 1994
- 10.9.2) Any such conversions, if they have taken place, can be demonstrated to not be attributable to the current managers/owners
- 10.9.3) In cases of conversion post-November 1994, actions shall be taken that compensate said conversion convincingly with the support of field evidence and interviews and/or evidence obtained from stakeholders.

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ANNEX 1. Pertinent Laws and Regulations to Plantation Forest Management in India

India's Ministry of Environment & Forests provides a comprehensive list related to the management and protection of the environment, forests, and wildlife at:

<http://envfor.nic.in/legis/legis.html>.

Some key laws and regulations from this list that impact Forest Management in India:

- **Environment (Protection) Act, 1986, amended 1991**
- **Water (Prevention & Control of Pollution) Act, 1974, amended in 1988**
- **Water (Prevention and Control of Pollution) Cess Act, 1977, amended 1992**
- Air (Prevention & Control of Pollution) Act, 1981, amended in 1987
- S.O.2447(E), [23/09/2009] - The Hazardous Wastes (Management, Handling and Transboundary Movement) Rules,2009,Notification
- S.O.1677(E), [28/09/2007] - Amendments to S.O. 671(E),dated 30/09/1996 Loss of Ecology (Prevention and Payments of Compensation)
- The Public Liability Insurance Act, 1991, amended 1992
- **The Indian Wildlife (Protection) Act, 1972, amended 1993**
- **The Wild Life (Protection) Amendment Act, 2002**
- **Forest (Conservation) Act, 1980, amended 1988**
- State/Union Territory Minor Forest Produce (Ownership of Forest Dependent Community) Act, 2005
- **Biological Diversity Act, 2002**
- **Eco-sensitive zone notifications: <http://envfor.nic.in/legis/eco-sensive.htm>**

List of various Central Labour Acts in India from the Ministry of Labour and Employment (accessed April 28, 2010; <http://labour.nic.in/act/welcome.html>):

Last updated on 08/07/09

Laws related to Industrial Relations	
1	The Trade Unions Act, 1926 The Trade Unions (Amendments) Act, 2001
2	The Industrial Employment (Standing Orders) Act, 1946 The Industrial Employment (Standing Orders) Rules, 1946
3	The Industrial Disputes Act, 1947
Laws related to Wages	
1	The Payment of Wages Act, 1936 The Payment of Wages Rules, 1937 The Payment of Wages (AMENDMENT) Act, 2005
2	The Minimum Wages Act, 1948 The Minimum Wages (Central) Rules, 1950
3	The Working Journalist (Fixation of Rates of Wages) Act, 1958 Working Journalist (Conditions of service) and Miscellaneous Provisions Rules, 1957
4	The Payment of Bonus Act, 1965 The Payment of Bonus Rules, 1975
Laws related to Working Hours, Conditions of Services and Employment	

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1	The Factories Act, 1948
2	The Dock Workers (Regulation of Employment) Act, 1948
3	The Plantation Labour Act, 1951
4	The Mines Act, 1952
5	The Working Journalists and other Newspaper Employees' (Conditions of Service and Misc. Provisions) Act, 1955 The Working Journalists and other Newspaper Employees' (Conditions of Service and Misc. Provisions) Rules, 1957
6	The Merchant Shipping Act, 1958
7	The Motor Transport Workers Act, 1961
8	The Beedi & Cigar Workers (Conditions of Employment) Act, 1966
9	The Contract Labour (Regulation & Abolition) Act, 1970 The Contract Labour Regulation Rules
10	The Sales Promotion Employees (Conditions of Service) Act, 1976 The Sales Promotion Employees (Conditions of Service) Rules, 1976
11	The Inter-State Migrant Workmen (Regulation of Employment and Conditions of Service) Act, 1979
12	The Shops and Establishments Act
13	The Cinema Workers and Cinema Theatre Workers (Regulation of Employment) Act, 1981 The Cinema Workers and Cinema Theatre Workers (Regulation of Employment) Rules, 1984 The Cine Workers' Welfare Fund Act, 1981.
14	The Dock Workers (Safety, Health & Welfare) Act, 1986
15	The Building & Other Construction Workers (Regulation of Employment & Conditions of Service) Act, 1996
16	The Dock Workers (Regulation of Employment) (inapplicability to Major Ports) Act, 1997

Laws related to Equality and Empowerment of Women

1	The Maternity Benefit Act, 1961
2	The Equal Remuneration Act, 1976

Laws related to Deprived and Disadvantaged Sections of the Society

1	The Bonded Labour System (Abolition) Act, 1976
2	The Child Labour (Prohibition & Regulation) Act, 1986
3	The Children (Pledging of Labour) Act, 1933

Laws related to Social Security

1	The Workmen's Compensation Act, 1923 The Workmen's Compensation (Amendments) Act, 2000
2	The Employees' State Insurance Act, 1948
3	The Employees' Provident Fund & Miscellaneous Provisions Act, 1952 The Employees' Provident Fund & Miscellaneous Provisions (Amendment) Act, 1996
4	The Payment of Gratuity Act, 1972 The Payment of Gratuity Rules
5	The Unorganised Workers' Social Security Act 2008  The Unorganised Workers' Social Security Rules 2008 

Laws related to Labour Welfare

1	The Mica Mines Labour Welfare Fund Act, 1946
2	The Limestone & Dolomite Mines Labour Welfare Fund Act, 1972
3	The Beedi Workers Welfare Fund Act, 1976
4	The Beedi Workers Welfare Cess Act, 1976 The Beedi Worker's Welfare Cess Act Rules, 1977
5	The Iron Ore Mines, Manganese Ore Mines & Chrome Ore Mines Labour Welfare Fund Act, 1976
6	The Iron Ore Mines, Manganese Ore Mines & Chrome Ore Mines Labour Welfare Cess Act, 1976
7	The Cine Workers Welfare Fund Act, 1981

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8	The Cine Workers Welfare Cess Act, 1981
9	The Employment of Manual Scavengers and Construction of Dry latrines Prohibition Act, 1993
Laws related to Employment & Training	
1	The Employment Exchanges (Compulsory Notification of Vacancies) Act, 1959 The Employment Exchanges (Compulsory Notification of Vacancies) Rules, 1959
2	The Apprentices Act, 1961
Others	
1	The Fatal Accidents Act, 1855
2	The War Injuries Ordinance Act, 1943
3	The Weekly Holiday Act, 1942
4	The National and Festival Holidays Act
5	The War Injuries (Compensation Insurance) Act, 1943
6	The Personal Injuries (Emergency) Provisions Act, 1962
7	The Personal Injuries (Compensation Insurance) Act, 1963
8	The Coal Mines (Conservation and Development) Act, 1974
9	The Emigration Act, 1983 —The Emigration Rules, 1983
10	The Labour Laws (Exemption from Furnishing Returns and Maintaining Register by Certain Establishments) Act, 1988
11	The Public Liability Insurance Act, 1991

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ANNEX 2. List of Multilateral Environmental Agreements and ILO Conventions

Multilateral Environmental Agreements:

- Convention on International Trade of Endangered Species of Wild Fauna and Flora (CITES) – ratification and entry into force 1982
- Convention on Biological Diversity – ratified 1994; Cartagena Protocol on Biosafety – ratified 2003
- Convention on Migratory Species – entry into force 1983
- International Tropical Timber Agreement – signed 1994
- International Tropical Timber Organization – ratified 2008
- United Nations Framework Convention on Climate Change – ratified 1993; Kyoto Protocol – ascension 2002, entry into force 2005 (has not signed)
- RAMSAR – entry into force 1982
- Stockholm Convention on Persistent Organic Pollutants – ratified 2006

International Labour Organisation Information:

The following information is from India's Ministry of Labour and Employment's article, *India and the ILO*, accessed on April 27, 2010 at <http://labour.nic.in/ilas/indiaandilo.htm>:

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

- Forced Labour Convention (No. 29)
- Abolition of Forced Labour Convention (No.105)
- Equal Remuneration Convention (No.100)
- Discrimination (Employment Occupation) Convention (No.111)

(The above four have been ratified by India).

- Freedom of Association and Protection of Right to Organised Convention (No.87)
- Right to Organise and Collective Bargaining Convention (No.98)
- Minimum Age Convention (No.138)
- Worst forms of Child Labour Convention (No.182)

(These four are yet to be ratified by India)

REASONS FOR NON-RATIFICATION: CONVENTIONS NO.87 AND 98:

Convention No.87 provides for the right of workers and employers, without any distinction to establish and join organizations of their own choosing without previous authorisation. Their organizations have the right to form or join federations and confederations, including on the international level. These organizations or federations may not be liable to arbitrary dissolution or suspension by an administrative authority. The only exception provided for in the Convention to the right to organise "without distinction whatsoever" are the armed forces and the police, to whom special rules and regulations may apply. Convention No.98 aims to protect the exercise of the right to organise and to promote voluntary collective bargaining. The guarantees provided for under these two Conventions are by and large available to workers in India by means of constitutional provisions, laws and regulations and practices. The main reason for our not ratifying these two Conventions is the inability of the Government to promote unionisation of the Government servants in a highly politicised trade union system of the

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country. Freedom of expression, freedom of association and functional democracy are guaranteed by our Constitution. The Government has promoted and implemented the principles and rights envisaged under these two Conventions in India and the workers are exercising these rights in a free and fare democratic society. Our Constitution guarantees job security, social security and fair working conditions and fair wages to the Government servants. They have also been provided with alternative grievance redressal mechanisms like Joint Consultative Machinery, Central Administrative Tribunal etc. Hence, our stand has been that this section of the workforce cannot be said to have been deprived of the right of association.

Other ILO information

- A full list of ILO Conventions ratified by India can be accessed at:
<http://webfusion.ilo.org/public/db/standards/normes/appl/>.
- *Safety and health in forestry work* (ILO. Safety and health in forestry work: An ILO code of practice Geneva, International Labour Office, 1998. ISBN 92-2-110826-0.

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ANNEX 3. List of Endangered Species

For a database of endangered species in India, please visit the CITES species database and the IUCN Redlist on the internet:

- <http://www.cites.org/eng/resources/species.html>
- <http://www.iucnredlist.org/>

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ANNEX 4. Glossary

Words in the P&C are used as defined in most standard English language dictionaries. The precise meaning and local interpretation of certain phrases (such as local communities) should be decided in the local context by forest managers and certifiers. In this document, the words below are understood as follows:

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.

Biological diversity values: The intrinsic, ecological, genetic, social, economic, scientific, educational, cultural, recreational and aesthetic values of biological diversity and its components.

Biological control agents: Living organisms used to eliminate or regulate the population of other living organisms.

Chain of custody: The channel through which products are distributed from their origin in the forest to their end-use.

Chemicals: The range of fertilizers, insecticides, fungicides, and hormones which are used in forest management.

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.

Ecosystem: A community of all plants and animals and their physical environment, functioning together as an interdependent unit.

Endangered species: Any species which is in danger of extinction throughout all or a significant portion of its range.

Exotic species: An introduced species not native or endemic to the area in question.

Forest integrity: The composition, dynamics, functions and structural attributes of a natural forest.

Forest Management Enterprise (FME): The people or entities responsible for the operational management of the forest resource and of the enterprise, as well as the management system and structure, and the planning and field operations.

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Forest Management Unit (FMU): The forested area that falls under the scope of an FSC forest management certificate.

Genetically modified organisms: Biological organisms which have been induced by various means to consist of genetic structural changes.

Indigenous lands and territories: The total environment of the lands, air, water, sea, sea-ice, flora and fauna, and other resources which indigenous peoples have traditionally owned or otherwise occupied or used.

Indigenous peoples: "The existing descendants of the peoples who inhabited the present territory of a country wholly or partially at the time when persons of a different culture or ethnic origin arrived there from other parts of the world, overcame them and, by conquest, settlement, or other means reduced them to a non-dominant or colonial situation; who today live more in conformity with their particular social, economic and cultural customs and traditions than with the institutions of the country of which they now form a part, under State structure which incorporates mainly the national, social and cultural characteristics of other segments of the population which are predominant." (Working definition adopted by the UN Working Group on Indigenous Peoples).

High Conservation Value Forests: High Conservation Value Forests are those that possess one or more of the following attributes:

- a) forest areas containing globally, regionally or nationally significant : concentrations of biodiversity values (e.g. endemism, endangered species, refugia); and/or large landscape level forests, contained within, or containing the management unit, where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance
- b) forest areas that are in or contain rare, threatened or endangered ecosystems
- c) forest areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control)
- d) forest areas fundamental to meeting basic needs of local communities (e.g. subsistence, health) and/or critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).

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.

Local laws: Includes all legal norms given by organisms of government whose jurisdiction is less than the national level, such as departmental, municipal and customary norms.

Long term: The time-scale of the forest owner or manager as manifested by the

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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.

Native species: A species that occurs naturally in the region; endemic to the area.

Natural cycles: Nutrient and mineral cycling as a result of interactions between soils, water, plants, and animals in forest environments that affect the ecological productivity of a given site.

Natural Forest: Forest areas where many of the principal characteristics and key elements of native ecosystems such as complexity, structure and diversity are present, as defined by FSC approved national and regional standards of forest management.

Non-timber forest products: All forest products except timber, including other materials obtained from trees such as resins and leaves, as well as any other plant and animal products.

Other forest types: Forest areas that do not fit the criteria for plantation or natural forests and which are defined more specifically by FSC-approved national and regional standards of forest stewardship.

Plantation: Forest areas lacking most of the principal characteristics and key elements of native ecosystems as defined by FSC-approved national and regional standards of forest stewardship, which result from the human activities of either planting, sowing or intensive silvicultural treatments.

Principle: An essential rule or element; in FSC's case, of forest stewardship.

Restoration: The act of modifying a habitat or ecosystem to introduce or reintroduce components and characteristics appropriate to the site both ecologically and historically.

Seral stage: a temporary community of vegetation, defined by the dominant species, which indicates the successional phase of the ecosystem

Short rotation coppice systems -- harvest systems, which are typically perpetuated long-term, and in which only a few characteristics of an indigenous ecosystem remain.

Silviculture: The art of producing and tending a forest by manipulating its establishment, composition and growth to best fulfil the objectives of the owner. This may, or may not, include timber production.

Succession: Progressive changes in species composition and forest community structure caused by natural processes (nonhuman) over time.

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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).

Threatened species: Any species which is likely to become endangered within the foreseeable future throughout all or a significant portion of its range.

Use rights: Rights for the use of forest resources 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.