



Forest Stewardship Council®



The FSC National Forest Stewardship Standard of Vietnam



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The Forest Stewardship Council® (FSC) is an independent, not for profit, non-government organization established to support environmentally appropriate, socially beneficial, and economically viable management of the world's forests.

FSC's vision is that the world's forests meet the social, ecological, and economic rights and needs of the present generation without compromising those of future generations.



Photo Credit,

From Left to Right: Photo 1: Natural forest in Huong Son, Ha Tinh (Credit by Vu Thi Que Anh). Photo 2: Group certification, Nursery establishment in Quang Tri province (Credit by Nguyen Thi Hue). Photo 3: FSC certified Acacia, Hue group certification (Credit by Vu Thi Que Anh)

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1. Preface

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

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

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

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

1.2. Descriptive statement of the Standard Development Group

The Vietnamese Standard Development Group (SDG) is an independent chamber-balanced group, composed of members of the environmental, economic and social chambers. Membership of the SDG is voluntary. The SDG's objective is to develop and maintain the FSC National Forest Stewardship Standard according to FSC International's standards and procedures. The SDG is chaired by Mr. Cao Chi Cong, VNFOREST/MARD (cong@vnforest.gov.vn) and coordinated by Ms. Vu Thi Que Anh (vu.queanh@fsc.org).



1.3. List of key consultants, experts and advisors who supported the process

The SDG members are in the following list:

Environmental	Economic	Social
<p>1. Ms. Le Thuy Anh has a PhD in Forestry Economy from Germany. She currently works as the Central Animates Landscape Manager and Global Forest & Trade Network (GFTN) Forestry Coordinator for World Wildlife Fund (WWF) Vietnam. She worked to develop the FSC's High Conservation Value Forest (HCVF) Toolkit for Vietnam. As the group manager of the smallholder certification group of Quang Tri, she facilitated the group's successful application for FSC smallholder group certification for more than 300 hectares of forest in Vietnam. She has worked on many FSC certification audit teams and has extensive experience with the FSC certification scheme. In mid-2016, Thuy Anh started work as a coordinator with KFW. She is still active in developing project ideas on sustainable forest management and certification.</p>	<p>1. Mr. Nguyen Truong Hai is doing his PhD in forestry at Vietnam Forestry University. He works as a technician at the Long Dai Forestry and Industrial Company. He is skilled in forest resource inventory for Land Use Planning. He worked as a Field Coordinator for Vietnamese GIZ (German Forestry Program), responsible for operation activities at Truong Son State Forest Enterprise – Long Dai Forestry and Industrial Company, from 2006 to October 2014. As field coordinator, he was in charge of developing monitoring systems, field checking and overseeing site activities. His experience with the Vietnamese Administration of Forestry (VNFOREST) leaves him well placed to implement the FSC certification model. His knowledge of the FSC Forest Management (FM) and Controlled Wood standards enables him to support companies meet the requirements and become certificate holders of FSC Forest Management and Chain of Custody Standards.</p>	<p>1. Ms. Lien has participated in the development of the ASEAN Criteria and Indicators for Sustainable Forest Management. She was a member of the national standard working group that drafted the FSC National standards. She also works on awareness raising on sustainable forest management and forest certification for forest owners, stakeholders, local authorities and staff officers. She has carried out internal assessments for forest companies and household groups including for the Forest Sector Development Project, forest plantation households in Yen Bai, and 16 forestry companies of the Vietnam Paper Corporation.</p>



Environmental	Economic	Social
<p>2. Mr. Dao Cong Khanh has more than 30 years' experience working in the forestry and sustainable forest management field. He has been working as a member of the Internal Assessment Consulting group (SFMI) on Sustainable Forest Management planning and Forest Certification for the Cau Ham and Lap Thach forest company of the Vietnam Paper Corporation (VINA-PACO). Since 2011 he has worked as team leader for the consulting group (SFMI) supporting the Bac Kan forest company on Sustainable Forest Management and Forest Certification.</p>	<p>2. Mr. Bui Chinh Nghia has worked as Deputy Director of the Forest Utilization Department of the Vietnam Forestry Administration. He currently works as Director of the Forest Science Center of North-Western Vietnam of the National Forest Science Institute. In his current position, he is in charge of fields, forestland control, payment for environmental services, sustainable forest management and forest certification. He has 16 years' experience working in the forestry and sustainable forest management field and expertise in network facilitation and stakeholder consultation. He has a deep understanding of current Vietnamese policies relating to FSC and ES. He is an active member of Vietnamese partner for foreigner-funded projects (WWF, GTZ, GFA, UNDP) working on forest harvesting, forest sustainable management (FSC) and REDD+.</p>	<p>2. Mr. Nguyen Tuan Hung has a PhD in Forestry. His work is on FSC FM certification and co-management models in the Dakto State Forest Company. He has worked for more than five years as a researcher in the National Institute of Forest Sciences, and 10 years as senior official in the Utilization Department of VNFOREST/MARD Vietnam. In his current position, he is in charge of sustainable forest management development, wood processing and trading for Vietnam. His role in the social chamber is to include the policy on supporting co-management model of communities living around forest management unit of State forest companies as big forest owners.</p>



Environmental	Economic	Social
<p>3. Mr Tran Huu Vien is the former Rector of the Vietnam Forestry University Xuan Mai. He has more than 35 years' experience teaching and researching forest inventory and forest management. For more than 20 years, he has supervised masters and PhD students studying sustainable forest management, forest inventory and silviculture. He has been a member of the Institute for SFM and FSC since 2006. He was a member of the working group that developed National FSC Standards 8, 9a, 9b and 9c.</p>	<p>3. Mr. Vu Nham is an experienced forester with over 40 years working in the forestry sector. In 1967, he started his career as a teacher and researcher at the Vietnam Forestry University (VFU). In 1976, he became chief of VFU's forest inventory and planning subject. In 1990, he became chief of VFU's scientific management and international co-operation division, as well as continuing to work as a teacher and researcher. He retired in 2006 and joined the Research Institute for Sustainable Forest Management and Forest Certification (SFMI). He is a certified team leader for the Vietnam Paper Corporation. He was an internal assessor on sustainable forest management and supported seven companies of the Vietnam paper corporation and Ben Hai company to meet the requirements and become certificate holders of the Rain Forest Alliance and GFA in 2008.</p>	<p>3. Mr. Tuan is Deputy Dean of the Faculty of Silviculture at the Vietnam Forestry University (VFU). He has worked as a lecturer and researcher in the fields of silviculture practices, sustainable forest management and community forest management. He has carried out extensive research, including a cost-benefit analysis and social economic evaluation of the social impact of the FSC certification models in Dakto, Ben Hai companies and Quang Tri smallholder groups and Huong Son State Forest Company.</p>

2. Preamble

2.1. Purpose of the standard

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

The FSC Principles and Criteria (P&C) for Forest Stewardship provides an internationally recognized standard for responsible forest management. However, any international standard for forest management needs to be adapted at the regional or national level in order to reflect the diverse legal, social and geographical conditions of forests in different parts of the world. The FSC P&C therefore require the addition of indicators that are adapted to regional or national conditions in order to be implemented at the Forest Management Unit (FMU) level.

With the approval of *FSC-STD-60-004 V1-0 EN*, the FSC *International Generic Indicators* (IGI), by the FSC Board of Directors in March 2015, the adaptation of the P&C to regional or national conditions is done using the IGI standard as the starting point. This has the advantage of:



- Ensuring the consistent implementation of the P&C across the globe;
- Improving and strengthening the credibility of the FSC System;
- Improving the consistency and quality of National Forest Stewardship Standards; and
- Supporting a faster and more efficient approval process of National Forest Stewardship Standards.

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

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

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

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

2.2. Scope of standard

This standard is applicable to all forest operations seeking FSC certification within Vietnam. The standard applies to natural forest, plantation and SLIMFs. It does not cover Non-timber forest products (NTFPs).

2.3. Background information on the standard development

The NFSS transfer process of Vietnam aligns with the development of the FSC International Generic Indicators (IGIs) and follows the requirements in *FSC-STD-60-006 (V1-2) EN, Process requirements for the development and maintenance of National Forest Stewardship Standards*. As required, the Standards Development Group was established with three balancing chambers representing social, environmental and economic interests, with three representatives in each chamber, and equal numbers of people (or equal weighting) in each chamber. The working group consists of 11 members including chair, coordinator and nine SDG members, and met to develop a set of national indicators and related norms for responsible management of natural forest, planted forest and SLIMFs. Decisions were made by consensus, defined as general agreement in favor of a proposal, plus the absence of a sustained objection to the proposal. With support of the ForCES project, the proposal to transfer the FSC Forest Stewardship Standard in Vietnam to the revised P&C (V5-0) was submitted to FSC by December 2012, and the revised proposal in 2015. The standard development process was registered by the FSC Policy and Standards Unit in March 2015. Training for the SDG was conducted in March 2015 by FSC Asia-Pacific to guide the standard developers on the requirements and process. ForCES hired a consultant team led by the GFA's Mr. Thorsten Specht, a former FSC FM/CoC lead auditor, to identify major gaps between the approved IGIs and existing national indicators using the FSC Transfer Matrix. G and needs for adaptation. Draft standard 1.0 drafted and agreed with all SDG members in November 2015 and was released for public consultation from 4th December 2015 to 29th February 2016. Besides distributing the draft standard via email and other



means to receive specific feedback on draft national indicators, with the support of GIZ, two public consultation workshops were organized in December 2015 and January 2016 involving various stakeholders in Vietnam. In the workshops, key stakeholders received progress updates and were asked to provide their opinions and general feedback. Based on the comments and feedback from the first public consultation, draft standard 2.0 was completed and circulated to SDG members for approval. The SDG met in July 2016 and released draft standard 2.0 for consultation. Draft standard 2.0 was field tested by GFA in September 2016 at two locations representing different forest management types (Huong Son for natural forest, and Quang Tri smallholders for plantation forest). Based on the GFA pilot study and feedback from stakeholders, draft standard 3.0 was drawn up and agreed upon by the SDG. It was released in July 2016 for a public consultation process of 60 days. A public consultation workshop was held in December 2016 to gather final comments and feedback on the draft. Draft standard 3.1 was based on the final version of the International Generic Indicators (IGIs), which became effective on 1st September 2015. It incorporated the comments made by key stakeholders during public consultations and field testing. Draft standard 3.1 was sent to FSC International for approval in May 2017.

For further information or suggestions, please contact Ms. Vu Thi Que Anh (SDG coordinator and FSC Country Manager in Vietnam) at vu.queanh@fsc.org or in the Dropbox of the SDG group.

3. Version of the standard

The submission version of the FSC National Forest Stewardship Standard for Vietnam is FSC-STD-VN-01-2018. This version was formerly approved by FSC International on October 17, 2018 and per default remains valid for a period of 5 years until 2025.

The next anticipated revision is going to take place in 2025.

4. Context

This standard was developed by the Standard Development Group Vietnam, coordinated by Ms. Vu Thi Que Anh (FSC Project Coordinator, vu.queanh@fsc.org) and chaired by Mr. Cao Chi Cong, VNFOREST, in close collaboration with Mr. Jörn Struwe (FSC Regional Office Asia Pacific).

The Standard Development Group was established in 2013, The SDG has worked in a collaboration based on mutual trust and dialogue. Technical and financial support has come from the ForCES project, SNV, GIZ's Eco-system Services project, WWF Vietnam and ForCES project's partners in Huong Son State Forest Company, Ha Tinh Province and Forest Certification Association in Quang Tri provinces. The Forest Stewardship Council is also grateful for support from Mr. Thorsten Specht and Dr. Do Anh Tuan who provided drafting services and valuable advice.

5. References

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

FSC-POL-01-004	Policy for the Association of Organizations with FSC
FSC-POL-20-003	The Excision of Areas from the Scope of Certification



FSC-POL-30-001	FSC Pesticides Policy
FSC-POL-30-401	FSC Certification and the ILO Conventions
FSC-POL-30-602	FSC Interpretation on GMOs (Genetically Modified Organisms)
FSC-STD-01-002	Glossary of Terms
FSC-STD-01-003	SLIMF Eligibility Criteria
FSC-STD-20-007	Forest Management Evaluations
FSC-STD-30-005	FSC Standard for Group Entities in Forest Management Groups
FSC-STD-60-002	Structure and Content of National Forest Stewardship Standards
FSC-STD-60-006	Development of National Forest Stewardship Standards
FSC-PRO-01-001	The Development and Revision of FSC Normative Documents
FSC-PRO-01-005	Processing Appeals
FSC-PRO-01-008	Processing Complaints in the FSC Certification Scheme
FSC-PRO-01-009	Processing Policy for Association Complaints in the FSC Certification Scheme
FSC-DIR-20-007	FSC Directive on Forest Management Evaluations
FSC-PRO-30-006	Ecosystem Services Procedure: Impact Demonstration and Market
V1-0 EN	Tools

6. Note on the interpretation of indicators

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

In a number of other cases, indicators are applicable only to SLIMFs. Notes are added to specify aspects of indicators and as such are normative. Any specification or condition that is given in notes is normative. The note in this Standard to clarify the specific use for SLIMFs to specify the application of the indicator for the SLIMFs.

Scale, Intensity and Risk (SIR)

FSC is in the process of developing a guidance document for standard developers (FSC-GUI-60-002) on how to apply the SIR concept at the national level.

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

In response to stakeholder feedback and forest testing results, the SDG decided to adopt only two SIR categories for the final draft, those being (i) Small and Low Intensity Managed Forest, and (ii) Standard Potential Impact.

The FSC Principles and Criteria V5 introduced 'Scale, Intensity and Risk' as a new concept into the FSC system. Throughout the standard, Low SIR differentiation has been applied to the following Criteria: 1.6, 1.7, 2.3, 4.3, 4.1, 4.2, 4.4, 5.2, 5.3, 5.4, 6.2, 6.5, 7.6 and Annexes D and F.



The following threshold was established for determining the Low and medium SIR:

Scale	Threshold (area of Management Units)
Small scale	≤ 100 ha
Medium scale	Between 100 ha and 50000 ha
Intensity	Threshold (management activities)
Low intensity	Harvesting rate in the forest management plan period, <20% means annual increment and annual harvest apply for natural forests
High intensity	Management activities include: <ul style="list-style-type: none"> • Intensive site preparations; • Application of chemicals or biological agents; • Clear cutting where more than 50% of wood stock in the sub-compartment is harvested.

With respect to Low SIR in the context of group schemes, the SDG determined that:

- (i) Where each individual property within the scheme meets the above thresholds for Low SIR, the Group Scheme will be classed as Low SIR for the purposes of certification, regardless of whether the area or volume production of the aggregated Group Scheme properties exceeds the 'Low' threshold; and
- (ii) Where some but not all individual properties within the scheme meet the thresholds for Low SIR, those properties meeting the threshold can be classed as Low SIR for the purposes of approval of the forest management plan by the Group Scheme Manager.



7. Principles, Criteria and National Indicators

PRINCIPLE 1: COMPLIANCE WITH LAWS
<u>The Organization*</u> shall* comply with all <u>applicable laws*</u> , regulations and nationally- <u>ratified*</u> international treaties, conventions and agreements. (P1 P&C V4)
Criterion 1.1. <u>The Organization*</u> shall* be a legally defined entity with clear, documented and unchallenged <u>legal registration*</u> , with written authorization from the <u>legally competent*</u> authority for specific activities. (new)
Indicator 1.1.1 Legal registration* to carry out all activities within the scope of the certificate is documented and unchallenged.
Indicator 1.1.2 Legal registration* is granted by a legally competent* authority according to legally prescribed processes.

Criterion 1.2. <u>The Organization*</u> shall* demonstrate that the <u>legal*</u> status of the <u>Management Unit*</u> , including <u>tenure*</u> and <u>use rights*</u> , and its boundaries, are clearly defined. (C2.1 P&C V4)
Indicator 1.2.1 Legal* tenure* to manage and use resources within the scope of the certificate is documented.
Indicator 1.2.2 Legal* tenure* is granted by a legally competent* authority according to legally prescribed processes.
Indicator 1.2.3 The boundaries of all Management Units* within the scope of the certificate are clearly marked or documented and clearly shown on maps

Criterion 1.3. <u>The Organization*</u> shall* have <u>legal*</u> rights to operate in the <u>Management Unit*</u> , which fit the legal* status of The Organization* and of the Management Unit*, and shall* comply with the associated legal* obligations in applicable national and <u>local laws*</u> and regulations and administrative requirements. The legal* rights shall* provide for harvest of products and/or supply of <u>ecosystem services*</u> from within the Management Unit*. The Organization* shall* pay the legally prescribed charges associated with such rights and obligations. (C1.1, 1.2, 1.3 P&C V4)
Indicator 1.3.1 All activities undertaken in the Management Unit* are carried out in compliance with: <ol style="list-style-type: none"> 1. Applicable laws* and regulations and administrative requirements; 2. Legal* and customary rights*; and 3. Obligatory codes of practice*.
Indicator 1.3.2 Payment is made in a timely manner* of all applicable legally prescribed charges connected with forest* management.
Indicator 1.3.3 Activities covered by the management plan* are designed to comply with all applicable laws.



<p>Criterion 1.4. The Organization* shall* develop and implement measures, and/or shall* engage with regulatory agencies to systematically protect the Management Unit* from unauthorized or illegal resource use, settlement and other illegal activities. (C1.5 P&C V4)</p>
<p>Indicator 1.4.1 Measures are implemented to provide protection* from unauthorized or illegal harvesting, hunting, fishing, trapping, collecting, settlement and other unauthorized activities.</p>
<p>Indicator 1.4.2 Where protection* is the legal* responsibility of regulatory bodies, a system is implemented to work with these regulatory bodies to identify, report, control and discourage unauthorized or illegal activities.</p>
<p>Indicator 1.4.3 If illegal or unauthorized activities are detected, measures are implemented to address them.</p>

<p>Criterion 1.5. The Organization* shall* comply with the applicable national laws*, local laws*, ratified* international conventions and obligatory codes of practice* relating to the transportation and trade of forest* products within and from the Management Unit*, and/or up to the point of first sale. (C1.3 P&C V4)</p>
<p>Indicator 1.5.1 Compliance with applicable national laws*, local laws*, ratified* international conventions and obligatory codes of practice* relating to the transportation and trade of forest* products up to the point of first sale is demonstrated.</p>
<p>Indicator 1.5.2 Compliance with CITES provisions is demonstrated, including through possession of certificates for harvest and trade in any CITES species.</p>

<p>Criterion 1.6. The Organization* shall* identify, prevent and resolve disputes* over issues of statutory or customary law* that can be settled out of court in a timely manner*, through engagement* with affected stakeholders*. (C2.3 P&C V4)</p>
<p>Indicator 1.6.1 A publically available* dispute* resolution process is in place, developed through culturally appropriate* engagement* with affected stakeholders*.</p> <p>Note: SLIMFs are not required to establish a dispute* resolution process.</p>
<p>Indicator 1.6.2 Disputes* related to issues of applicable laws* and/or customary rights* that can be settled out of court are responded to, and are either resolved or are in the dispute* resolution process.</p>
<p>Indicator 1.6.3 Up to date records of disputes* related to issues of applicable laws* and customary rights* are held including:</p> <ol style="list-style-type: none"> 1. Steps taken to resolve disputes*; 2. Outcomes of all dispute* resolution processes; and 3. Unresolved disputes*, the reasons they are not resolved, and how they will be resolved.
<p>Indicator 1.6.4 Operations cease in areas where disputes* exist:</p> <ol style="list-style-type: none"> 1. Of substantial magnitude*; or 2. Of substantial duration*; or



3. Involving a significant* number of interests.

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

Indicator 1.7.1 A policy is implemented that includes a commitment not to offer or receive bribes of any description.

Note: demonstration of the commitment by SLIMF under this indicator, does not necessarily require establishing a policy”

Indicator 1.7.2 The policy meets or exceeds related legislation.

Indicator 1.7.3 The policy is publicly available* at no cost.

Note: Not applicable for SLIMFs

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

Indicator 1.7.5 Corrective measures are implemented if corruption does occur according to law of anti-corruption.

Criterion 1.8. [The Organization*](#) shall* demonstrate a [long-term*](#) commitment to adhere to the FSC [Principles*](#) and [Criteria*](#) in the [Management Unit*](#), and to related FSC Policies and Standards. A statement of this commitment shall* be contained in a [publicly available*](#) document made freely available. (C1.6 P&C V4)

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

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

[Go to Annex A.](#)



PRINCIPLE 2: WORKERS' RIGHTS AND EMPLOYMENT CONDITIONS

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

Criterion 2.1 The Organization* shall* uphold* the principles and rights at work as defined in the ILO Declaration on Fundamental Principles and Rights at Work (1998) based on the eight ILO Core Labor Conventions. (C4.3 P&C V4)

Indicator 2.1.1 Employment practices and conditions for workers* demonstrate conformity with or uphold* the principles and rights of work addressed in the eight ILO Core Labor Conventions as defined in the ILO Declaration on Fundamental Principles and Rights at Work (1998).

Indicator 2.1.2 Workers* are not discriminated against by The Organization* for joining a labor organization and obeying the rules of the labor organization concerned. The Organization* shall not interfere with the workers' right to establish their own labor organization.

Indicator 2.1.3 Agreements according to the national laws are implemented resulting from collective bargaining with formal and informal workers* organizations.

Indicator 2.1.4 There is no forced labor (e.g. debt bondage or other forms of forced labor). This includes employees, self-employed, workers* of sub-contractors or contractors.

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

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

Indicator 2.2.2 Job opportunities are open to both women and men under the same conditions, and there is an active effort by women to participate in all levels of employment.

Note: Not applicable for SLIMFs

Indicator 2.2.3 Work carried out by women is included in training and health and safety programs to the same extent as work typically carried out by men.

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

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

Indicator 2.2.6 Maternity leave complies with national laws on social insurance.

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

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

Indicator 2.2.9 Confidential and effective mechanisms exist for addressing and eliminating cases of sexual harassment and discrimination on the grounds of gender, marital status, parenthood or sexual orientation.



<p>Criterion 2.3. <u>The Organization*</u> shall* implement health and safety practices to protect <u>workers*</u> from occupational safety and health hazards. These practices shall*, proportionate to <u>scale, intensity and risk*</u> of management activities, meet or exceed the recommendations of the ILO Code of Practice on Safety and Health in Forestry Work. (C4.2 P&C V4)</p>
<p>Indicator 2.3.1 Health and safety practices are developed and implemented that meet or exceed the ILO Code of Practice on Safety and Health in Forestry Work.</p>
<p>Indicator 2.3.2 Workers* have personal protective equipment appropriate to their assigned tasks.</p>
<p>Indicator 2.3.3 Use of personal protective equipment is enforced.</p>
<p>Indicator 2.3.4 Records are kept on safety practices, referring to the number of accidents and time lost to accidents.</p>
<p>Indicator 2.3.5 The frequency and severity of accidents are consistently low compared with national or regional forest* industry averages. Note: Not applicable for SLIMFs</p>
<p>Indicator 2.3.6 The health and safety practices are reviewed and revised as required after major incidents or accidents.</p>

<p>Criterion 2.4. <u>The Organization*</u> shall* pay wages that meet or exceed minimum <u>forest*</u> industry standards or other recognized forest* industry wage agreements or <u>living wages*</u>, where these are higher than the <u>legal*</u> minimum wages. When none of these exist, The Organization* shall*, through engagement with workers*, develop mechanisms for determining living wages. (new)</p>
<p>Indicator 2.4.1 Wages paid meet or exceed:</p> <ol style="list-style-type: none"> 1. Minimum forest* industry standards; or 2. Other recognized forest* industry wage agreements; or 3. Living wages* that are higher than legal* minimum wages; and legal* minimum wage rates where such rates exist.
<p>Indicator 2.4.2 When no minimum wage levels exist, wages are established through culturally appropriate* engagement* with workers* and/or formal and informal workers* organizations*.</p>
<p>Indicator 2.4.3 Wages, salaries and contracts are paid on time and according to agreement.</p>

<p>Criterion 2.5 <u>The Organization*</u> shall* demonstrate that <u>workers*</u> have job-specific training and supervision to safely and effectively implement the <u>management plan*</u> and all management activities. (C7.3 P&C V4)</p>
<p>Indicator 2.5.1 Workers* have job-specific training consistent with Annex B and supervision to safely and effectively contribute to the implementation of the management plan* and all management activities.</p>
<p>Indicator 2.5.2 Up to date training records are kept for all workers*.</p>



Criterion 2.6 [The Organization*](#) through [engagement*](#) with [workers*](#) shall* have mechanisms for resolving grievances and for providing [fair compensation*](#) to workers* for loss or damage to property, occupational diseases* or injuries.

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

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

Indicator 2.6.3 Up to date records of workers'* grievances related to workers'* loss or damage of property, occupational diseases* or injuries are maintained, including:

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

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

Go to Annex B.



PRINCIPLE 3: INDIGENOUS PEOPLES' RIGHTS

The Organization* shall* identify and uphold* Indigenous Peoples'* legal* and customary rights* of ownership, use and management of land, territories and resources affected by management activities. (P3 P&C V4)

In Vietnam the term “Ethnic Peoples” is used to refer to “Indigenous Peoples”. The Vietnamese government does not use the term “Indigenous Peoples” for any groups but it is generally the ethnic peoples living in the mountainous areas that are referred to as Vietnam’s Indigenous Peoples. (<http://www.iwgia.org/regions/asia/vietnam>).

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

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

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

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

Criterion 3.2. The Organization* shall* recognize and uphold* the legal* and customary rights* of Ethnic Peoples* to maintain control over management activities within or related to the Management Unit* to the extent necessary to protect their rights, resources and lands and territories. Delegation by Ethnic Peoples* of control over management activities to third parties requires Free, Prior and Informed Consent*. (C3.1 and 3.2 P&C V4)

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

Indicator 3.2.2 The legal* and customary rights* of Ethnic Peoples* are not violated by The



Organization*.
Indicator 3.2.3 Where evidence exists that legal* and customary rights* of Ethnic Peoples* related to management activities have been violated, the situation is corrected, if necessary, through culturally appropriate* engagement* and/or through the dispute* resolution process as required in Criteria* 1.6 or 4.6.
Indicator 3.2.4 Free, Prior and Informed Consent* is granted by Ethnic Peoples* prior to management activities that affect their identified rights through a process that includes: <ol style="list-style-type: none"> 1. Ensuring Ethnic Peoples* know their rights and obligations regarding the resource; 2. Informing the Ethnic Peoples* of the value, in economic, social and environmental terms, of the resource over which they are considering delegation of control; 3. Informing the Ethnic Peoples* of their right to withhold or modify consent to the proposed management activities to the extent necessary to protect their rights, resources, lands and territories*; and 4. Informing the Ethnic Peoples* of the current and future planned forest* management activities.

Criterion 3.3. In the event of delegation of control over management activities, a binding agreement between The Organization* and the Ethnic Peoples* shall* be concluded through Free, Prior and Informed Consent* . The agreement shall* define its duration, provisions for renegotiation, renewal, termination, economic conditions and other terms and conditions. The agreement shall* make provision for monitoring by Ethnic Peoples* of The Organization's* compliance with its terms and conditions. (new)
Indicator 3.3.1 Where control over management activities has been granted through Free, Prior and Informed Consent* based on culturally appropriate* engagement*, the binding agreement* contains the duration, provisions for renegotiation, renewal, termination, economic conditions and other terms and conditions.
Indicator 3.3.2 Records of binding agreements* are maintained.
Indicator 3.3.3 The binding agreement* contains the provision for monitoring by Ethnic Peoples* of The Organization*'s compliance with its terms and conditions.

Criterion 3.4 The Organization* shall* recognize and uphold* the rights, customs and culture of Ethnic Peoples* as defined in the United Nations Declaration on the Rights of Indigenous Peoples (2007) and ILO Convention 169 (1989). (C3.2P&C V4)
Indicator 3.4.1 The rights, customs and culture of Ethnic Peoples* as defined in UNDRIP and ILO Convention 169 are not violated by The Organization*.
Indicator 3.4.2 Where evidence that the rights, customs and culture of Ethnic Peoples*, as defined in UNDRIP and ILO Convention 169, have been violated by The Organization*, the situation is documented, including steps to restore* these rights, customs and culture of Ethnic Peoples* to the satisfaction of the rights holders.



Criterion 3.5. [The Organization*](#), through [engagement*](#) with [Ethnic Peoples*](#), shall* identify sites which are of special cultural, ecological, economic, religious or spiritual significance and for which these Ethnic people* hold [legal*](#) or [customary rights*](#). These sites shall* be recognized by The Organization*, and their management and/or [protection*](#) shall* be agreed through engagement with these Ethnic Peoples*.
(C3.3P&C V4)

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

Note: For SLIMFs, sites of special cultural, ecological, economic or religious significance to Ethnic Peoples* and any special requirements are known.

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

Indicator 3.5.3 Wherever sites of special cultural, ecological, economic, religious or spiritual significance are newly observed or discovered, management activities cease immediately in the vicinity until protective measures have been agreed to with the Ethnic Peoples*, and as directed by local and national laws*.

Criterion 3.6. [The Organization*](#) shall* [uphold*](#) the right of [Ethnic Peoples*](#) to [protect*](#) and utilize their [traditional knowledge*](#) and shall* compensate [local communities*](#) for the utilization of such knowledge and their [intellectual property*](#). A [binding agreement*](#) as per Criterion 3.3 shall* be concluded between The Organization* and the Ethnic Peoples* for such utilization through [Free, Prior and Informed Consent*](#) before utilization takes place, and shall* be consistent with the [protection*](#) of intellectual property rights.
(C3.4 P&C V4)

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

Indicator 3.6.2 Ethnic Peoples* are compensated according to the binding agreement* reached through Free, Prior and Informed Consent* for the use of traditional knowledge* and intellectual property*.



PRINCIPLE 4: COMMUNITY RELATIONS

The Organization* shall* contribute to maintaining or enhancing the social and economic wellbeing of local communities*. (P4 P&C V4)

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

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

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

1. Their legal* and customary rights* of tenure*;
2. Their legal* and customary* access to, and use rights* of, the forest* resources and ecosystem services*;
3. The legal* and customary* rights* and obligations that apply;
4. The aspirations and goals of local communities* related to management activities.

Indicator 4.1.3 Through culturally appropriate* engagement* with the local communities* identified in 4.1.1, the evidence supporting these rights and obligations is documented and/or mapped.

Note: Not applicable for SLIMFs

Indicator 4.1.4 Through culturally appropriate* engagement* with the local communities* identified in 4.1.1, areas where rights are contested between local communities*, governments and/or others are documented and/or mapped.

Indicator 4.1.5 Through culturally appropriate* engagement* with the local communities* identified in 4.1.1, a summary of the means by which the legal* and customary rights* and contested rights are addressed by The Organization* is documented and/or mapped.

Criterion 4.2. The Organization* shall* recognize and uphold* the legal* and customary rights* of local communities* to maintain control over management activities within or related to the Management Unit* to the extent necessary to protect their rights, resources, lands and territories. Delegation by local communities of control over management activities to third parties requires Free, Prior and Informed Consent*. (C2.2 P&C V4)

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

Indicator 4.2.2 The legal* and customary rights* of local communities* to maintain control over man-



agement activities are not violated by The Organization*.

Note: SLIMFs are not required to establish a dispute* resolution process.

Indicator 4.2.3 Where evidence exists that legal* and customary rights* of local communities* related to management activities have been violated the situation is corrected, if necessary, through culturally appropriate* engagement* and/or through the dispute* resolution process in Criteria* 1.6 or 4.6.

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

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

Criterion 4.3. [The Organization*](#) shall* provide [reasonable*](#) opportunities for employment, training and other services to [local communities*](#), contractors and suppliers proportionate to [scale*](#) and [intensity*](#) of its management activities. (C4.1 P&C V4)

Indicator 4.3.1 Reasonable* opportunities are communicated and provided to local communities*, local contractors and local suppliers for:

1. Employment;
2. Training; and
3. Other services.

Criterion 4.4. [The Organization*](#) shall* implement additional activities, through [engagement*](#) with [local communities*](#) that contribute to their social and economic development, proportionate to the [scale*](#), [intensity*](#) and socio-economic impact of its management activities. (C4.4 P&C V4)

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

Note: Not applicable for SLIMFs

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

Note: Not applicable for SLIMFs

Criterion 4.5. [The Organization*](#), through [engagement*](#) with [local communities*](#), shall* take action to identify, avoid and mitigate [significant*](#) negative social, environmental and economic impacts of its man-



agement activities on affected communities. The action taken shall* be proportionate to the [scale, intensity and risk*](#) of those activities and negative impacts. (C4.4 P&C V4)

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

Criterion 4.6. [The Organization*](#), through [engagement*](#) with [local communities*](#), shall* have mechanisms for resolving grievances and providing [fair compensation*](#) to local communities and individuals with regard to the impacts of management activities of The Organization*. (C4.5 P&CV4)

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

Indicator 4.6.2 Grievances related to the impacts of management activities are responded to and are either resolved or are in the dispute* resolution process.

Indicator 4.6.3 Unresolved disputes*, the reasons they are not resolved, and how they will be resolved.

Indicator 4.6.4 Operations cease in areas while disputes* exist of:

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

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

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

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

Indicator 4.7.3 Whenever sites of special cultural, ecological, economic, religious or spiritual significance are newly observed or discovered, management activities cease immediately in the vicinity until protective measures have been agreed to with the local communities*, and as directed by local and national laws*.



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

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

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



PRINCIPLE 5: BENEFITS FROM THE FOREST

The Organization* shall* efficiently manage the range of multiple products and services of the Management Unit* to maintain or enhance long-term* economic viability* and the range of social and environmental benefits. (P5 P&C V4)

Criterion 5.1. The Organization* shall* identify, produce or enable the production of diversified benefits and/or products based on the range of resources and ecosystem services* existing in the Management Unit*, in order to strengthen and diversify the local economy proportionate to the scale* and intensity* of management activities. (C5.2 and 5.4 P&C V4).

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

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

Indicator 5.1.3 When The Organization* makes FSC promotional claims regarding the maintenance and/or enhancement of ecosystem services*, Ecosystem Services* Procedure: Impact Demonstration and Market Tools (FSC-PRO-30-006 V1-0 EN) is followed regarding additional requirements.

Criterion 5.2. The Organization* shall* normally harvest products and services from the Management Unit* at or below a level which can be permanently sustained. (C5.6 P&C V4)

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

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

Indicator 5.2.3 Actual annual harvest levels for timber are recorded, and the harvest over a period defined according to the approved Forest management Plan (FMP) does not exceed the allowable cut determined in 5.2.2 for the same defined period.

Note: Not applicable for SLIMFs

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

Criterion 5.3. The Organization* shall* demonstrate that the positive and negative externalities* of operations are included in the management plan*. (C5.1 P&C V4)

Indicator 5.3.1 Costs related to preventing, mitigating or compensating for negative social and environ-



ment impacts of management activities are quantified and documented in the management plan*.

Note: Not applicable for SLIMFs

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

Criterion 5.4. [The Organization*](#) shall* use local processing, local services, and local value-adding to meet the requirements of The Organization* where these are available, proportionate to [scale, intensity and risk*](#). If these are not locally available, The Organization* shall* make [reasonable*](#) attempts to help establish these services. (C5.2 P&C V4)

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

Indicator 5.4.2 Based on the capacity of the Organization*, attempts are made to establish and encourage capacity where local goods, services, processing and value-added facilities are not available.

Note: Not applicable for SLIMFs

Criterion 5.5. [The Organization*](#) shall* demonstrate through its planning and expenditures proportionate to [scale, intensity and risk*](#), its commitment to [long-term* economic viability*](#). (C5.1 P&C V4)

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

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

Note: Not applicable for SLIMFs



PRINCIPLE 6: ENVIRONMENTAL VALUES AND IMPACTS

The Organization* shall* maintain, conserve* and/or restore* ecosystem services* and environmental values* of the Management Unit*, and shall* avoid, repair or mitigate negative environmental impacts. (P6 P&C V4)

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

Indicator 6.1.1 Best Available Information* is used to identify environmental values* within and, where potentially affected by management activities, outside of the Management Unit*.

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

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

Criterion 6.2. Prior to the start of site-disturbing activities, The Organization* shall* identify and assess the scale, intensity and risk* of potential impacts of management activities on the identified environmental values*. (C6.1 P&C V4)

Indicator 6.2.1 An assessment* identifies potential present and future impacts of management activities on environmental values*, from the stand level to the landscape* level.

Indicator 6.2.2 The assessment* identifies and assesses the impacts of the management activities prior to the start of site-disturbing activities.

Note: Not applicable for SLIMFs

Criterion 6.3. The Organization* shall* identify and implement effective actions to prevent negative impacts of management activities on the environmental values*, and to mitigate and repair those that occur, proportionate to the scale, intensity and risk* of these impacts. (C6.1 P&C V4)

Indicator 6.3.1 Management activities prevent negative impacts to environmental values*.

Indicator 6.3.2 Where negative impacts to environmental values* occur, measures are adopted to prevent further damage, and negative impacts are mitigated* and/or repaired*.



Criterion 6.4. The Organization* shall* protect rare species* and threatened species* and their habitats* in the Management Unit* through conservation zones*, protection areas, connectivity* and/or (where necessary) other direct measures for their survival and viability. These measures shall* be proportionate to the scale, intensity and risk* of management activities and to the conservation* status and ecological requirements of the rare* and threatened species*. The Organization* shall* take into account the geographic range and ecological requirements of rare* and threatened species* beyond the boundary of the Management Unit*, when determining the measures to be taken inside the Management Unit*. (C6.2 P&C V4)

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

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

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

Indicator 6.4.4 Hunting, fishing, trapping and collection of rare* or threatened species* is prevented.

Criterion 6.5 The Organization* shall* identify and protect* Representative Sample Areas* of native ecosystems* and/or restore* them to more natural conditions*. Where Representative Sample Areas* do not exist or are insufficient, The Organization* shall* restore* a proportion of the Management Unit* to more natural conditions*. The size of the areas and the measures taken for their protection* or restoration*, including within plantations, shall* be proportionate to the conservation* status and value of the ecosystems* at the landscape* level, and the scale, intensity and risk* of management activities. (C6.4 and 10.5 P&C V4 and Motion 2014#7)

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

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

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

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



Note: SLIMF owner or group scheme can meet set-aside requirements outside the group, if there are insufficient or no representative samples areas within the MU, and under the following conditions:

- The MU is smaller than 50 ha;
- The Organization shall identify rare and threatened species and their habitats in the MU. When they exist although are insufficient in size, measures for their survival and viability shall be identified and put in place.
- The outside area is in the same forest landscape. For auditing purposes landscape is defined as the quaternary water catchment area.
- Sites to be conserved outside of the MU are representative samples of existing ecosystems.
- The outside area is not commercially harvested and is under a legal protection status, OR there is a binding contract between the Organization and the owner of the outside area to:
 - Protect the area in its natural stage;
 - Mark the boundaries of the area in the field and on maps;
 - Allow certification bodies to access area for inspection.

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

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

Note: SLIMF owner or group scheme can meet set-aside requirements outside the group, if there are insufficient or no representative samples areas within the MU, and under the following conditions:

- The MU is smaller than 50 ha;
- The Organization shall identify rare and threatened species and their habitats in the MU. When they exist although are insufficient in size, measures for their survival and viability shall be identified and put in place.
- The outside area is in the same forest landscape. For auditing purposes landscape is defined as the quaternary water catchment area.
- Sites to be conserved outside of the MU are representative samples of existing ecosystems.
- The outside area is not commercially harvested and is under a legal protection status, OR there is a binding contract between the Organization and the owner of the outside area to:
 - Protect the area in its natural stage;
 - Mark the boundaries of the area in the field and on maps;
 - Allow certification bodies to access area for inspection.

Criterion 6.6. [The Organization*](#) shall* effectively maintain the continued existence of naturally occurring [native species*](#) and [genotypes*](#), and prevent losses of [biological diversity*](#), especially through [habitat*](#) management in the [Management Unit*](#). The Organization* shall* demonstrate that effective measures are in place to manage and control hunting, fishing, trapping and collecting. (C6.2 and C6.3 P&C V4)



<p>Indicator 6.6.1 Management activities maintain the plant communities and habitat features* found within native ecosystems* in which the Management Unit* is located.</p>
<p>Indicator 6.6.2 Where past management has eliminated plant communities or habitat features*, management activities aimed at re-establishing such habitats* are implemented.</p>
<p>Indicator 6.6.3 Management maintains, enhances, or restores* habitat features* associated with native ecosystems*, to support the diversity of naturally occurring species and their genetic diversity.</p>
<p>Indicator 6.6.4 Effective measures are taken to manage and control hunting, fishing, trapping and collecting activities to ensure that naturally occurring native species*, their diversity within species and their natural distribution are maintained.</p>
<p>Indicator 6.6.5 Mechanisms for wildlife protection* are in place: Applicable national and/or international regulations on protection*, hunting and trade in animal species or parts (trophies) shall* be known and complied with.</p>
<p>Indicator 6.6.6 Effective mitigation measures are in place to ensure that workers* are not involved in illegal hunting trapping or collecting of bush meat or wild fish.</p>

<p>Criterion 6.7. The Organization* shall* protect* or restore* natural watercourses, water bodies*, riparian zones* and their connectivity*. The Organization* shall* avoid negative impacts on water quality and quantity and mitigate and remedy those that occur. (C6.5 and 10.2 P&C V4)</p>
<p>Indicator 6.7.1 Protection* measures are implemented to protect* natural watercourses*, water bodies*, riparian zones* and their connectivity*, including water quantity and water quality.</p>
<p>Indicator 6.7.2 Where implemented protection* measures do not protect* watercourses*, water bodies*, riparian zones* and their connectivity*, water quantity or water quality from impacts of forest* management, restoration activities are implemented.</p>
<p>Indicator 6.7.3 Where natural watercourses, water bodies*, riparian zones* and their connectivity*, water quantity or water quality have been damaged by past activities on land and water by The Organization*, restoration activities* are implemented.</p>
<p>Indicator 6.7.4 Where continued degradation exists to watercourses*, water bodies*, water quantity and water quality caused by previous managers and the activities of third parties, measures are implemented that prevent or mitigate this degradation.</p>

<p>Criterion 6.8. The Organization* shall* manage the landscape* in the Management Unit* to maintain and/or restore* a varying mosaic of species, sizes, ages, spatial scales* and regeneration* cycles appropriate for the landscape values* in that region, and for enhancing environmental and economic resilience*. (C10.2 and 10.3 P&C V4)</p>
<p>Indicator 6.8.1 A varying mosaic of species, sizes, ages, spatial scales* and regeneration* cycles is maintained appropriate to the landscape*.</p>
<p>Indicator 6.8.2 The mosaic of species, sizes, ages, spatial scales* and regeneration* cycles is restored*</p>



where it has not been maintained appropriate to the landscape*.

Criterion 6.9. [The Organization*](#) shall* not convert [natural forest*](#) to [plantations*](#), nor shall* they convert natural forests or plantations on sites directly converted from natural forest* to non-[forest*](#) land use, except when the conversion:

1. Affects a [very limited portion*](#) of the area of the [Management Unit*](#);
2. Will produce clear, substantial, additional, secure long-term* conservation* benefits in the Management Unit*; and
3. Does not damage or threaten High Conservation Values* or any sites or resources necessary to maintain or enhance those High Conservation Values*. (C6.10 P&C V4 and Motion 2014#7)

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

1. Affects a very limited portion* of the Management Unit*;
2. Will produce clear, substantial, additional, secure, long-term* conservation* benefits in the Management Unit*; and
3. Does not damage or threaten High Conservation Values* or any sites or resources necessary to maintain or enhance those High Conservation Values*.

Criterion 6.10. [Management Units*](#) containing [plantations*](#) that were established on areas converted from [natural forest*](#) after November 1994 shall* not qualify for certification, except where:

- a) Clear and sufficient evidence is provided that [The Organization*](#) was not directly or indirectly responsible for the conversion; or
- b) The conversion affected a [very limited portion*](#) of the area of the Management Unit* and is producing clear, substantial, additional, secure long-term* [conservation*](#) benefits in the Management Unit. (C10.9 P&C V4)

Indicator 6.10.1 Areas converted from natural forest* to plantation* since November 1994 are not certified, except where:

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

Go to Annex C.



PRINCIPLE 7: MANAGEMENT PLANNING

The Organization* shall* have a management plan* consistent with its policies and objectives* and proportionate to the scale, intensity and risks* of its management activities. The management plan* shall* be implemented and kept up to date based on monitoring* information in order to promote adaptive management*. The associated planning and procedural documentation shall* be sufficient to guide staff, inform affected stakeholders* and interested stakeholders* and justify management decisions. (P7 P&CV4)

Criterion 7.1. The Organization* shall*, proportionate to the scale, intensity and risk* of its management activities, set policies (visions and values) and objectives* for management which are environmentally sound, socially beneficial and economically viable. Summaries of these policies and objectives shall* be incorporated into the management plan*, and publicized. (C7.1a P&C V4)

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

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

Indicator 7.1.3 Summaries of the defined policies and management objectives* are included in the management plan* and publicly available.

Criterion 7.2. The Organization* shall* have and implement a management plan* for the Management Unit* which is fully consistent with the policies and management objectives* as established according to Criterion 7.1. The management plan* shall* describe the natural resources that exist in the Management Unit* and explain how the plan will meet the FSC certification requirements. The management plan* shall* cover forest* management planning and social management planning proportionate to the scale, intensity and risk* of the planned activities. (C7.1 P&C V4)

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

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

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

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

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



and economic circumstances. (C7.2 P&C V4)

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

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

Criterion 7.5. The Organization* shall* make publicly available* a summary of the management plan* free of charge. Excluding confidential information*, other relevant components of the management plan* shall* be made available to affected stakeholders* on request, and at cost of reproduction and handling. (C7.4 P&C V4)

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

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

Criterion 7.6. The Organization* shall*, proportionate to the scale, intensity and risk* of management activities, proactively and transparently engage affected stakeholders* in its management planning and monitoring* processes, and shall engage interested stakeholders* on request. (C4.4 P&C V4)

Check SIR in the guidance and how to apply that in national context

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

1. Dispute* resolution processes (Criterion* 1.6, Criterion* 2.6, Criterion*: 4.6);
Note: not applicable for SLIMFs, only for SLIMFs groups.
2. Definition of living wages* (Criterion* 2.4);
3. Identification of rights (Criterion* 3.1, Criterion* 4.1), sites (Criterion* 3.5, Criterion* 4.7) and impacts (Criterion* 4.5);
4. Local communities* socio-economic development activities (Criterion* 4.4); and
5. High Conservation Value* assessment, management and monitoring* (Criterion* 9.1, Criterion* 9.2, Criterion* 9.4).

Indicator 7.6.2 Culturally appropriate* engagement* is used to:

1. Determine appropriate representatives and contact points (including, where appropriate, local institutions, organizations and authorities);
2. Determine mutually agreed communication channels allowing for information to flow in both directions;



3. Ensure all actors (women, men, youth, elderly, minorities) are represented and engaged equitably;
4. Ensure all meetings, all points discussed and all agreements reached are recorded;
5. Ensure the content of meeting records is approved; and
6. Ensure the results of all culturally appropriate* engagement* activities are shared with those involved.

Indicator 7.6.3 Affected stakeholders* are provided with an opportunity for culturally appropriate* engagement* in monitoring and planning processes of management activities that affect their interests.

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

Go to Annex D.



PRINCIPLE 8: MONITORING AND ASSESSMENT

The Organization* shall* demonstrate that progress towards achieving the management objectives*, the impacts of management activities and the condition of the Management Unit*, are monitored* and evaluated proportionate to the scale, intensity and risk* of management activities, in order to implement adaptive management*. (P8 P&C V4)

Criterion 8.1. The Organization* shall* monitor* the implementation of its management plan*, including its policies and management objectives*, its progress with the activities planned, and the achievement of its verifiable targets*. (new)

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

Criterion 8.2. The Organization* shall* monitor* and evaluate the environmental and social impacts of the activities carried out in the Management Unit*, and changes in its environmental condition. (C8.2 P&C V4)

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

Indicator 8.2.2 The results of the monitoring* are documented.
Note: Not applicable for SLIMFs

Indicator 8.2.3 If monitoring results show non-conformities with the FSC Standard then management objectives*, verifiable targets* and/or management activities are revised.

Criterion 8.3 The Organization* shall* analyze the results of monitoring* and evaluation and feed the outcomes of this analysis back into the planning process. (C8.4 P&C V4)

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

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

Criterion 8.4. The Organization* shall* make publicly available* a summary of the results of monitoring* free of charge, excluding confidential information*. (C8.5 P&C V4)

Indicator 8.4.1 A summary of the monitoring results consistent with Annex E, in a format comprehensible to stakeholders, including maps and excluding confidential information*, is made publicly available* at no cost.

Criterion 8.5. The Organization* shall* have and implement a tracking and tracing system proportionate



to the [scale, intensity and risk*](#) of its management activities, for demonstrating the source and volume in proportion to projected output for each year, of all products from the [Management Unit*](#) that are marketed as FSC certified. (C8.3 P&C V4)

Indicator 8.5.1 A system is implemented to track and trace all products that are marketed as FSC certified.

Indicator 8.5.2 Information about all products sold is compiled and documented, including:

1. Common and scientific species names and trade name;
2. Product name or description;
3. Volume (or quantity) of product;
4. Information to trace the material to the source-of-origin logging block;
5. Logging date;
6. If basic processing activities take place in the forest, the date and the volume produced; and
7. Whether or not the material was sold as FSC certified.

Indicator 8.5.3 Sales invoices or similar documentation are kept for a minimum of five years for all products sold with an FSC claim, and identify, at a minimum, the following information:

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

[Go to Annex E.](#)



PRINCIPLE 9: HIGH CONSERVATION VALUES

The Organization* shall* maintain and/or enhance the High Conservation Values* in the Management Unit* through applying the precautionary approach*. (P9 P&C V4)

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

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

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

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

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

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

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

Indicator 9.1.1 An assessment is completed using Best Available Information* that records the location and status of High Conservation Value* Categories 1-6, as defined in Criterion* 9.1, the High Conservation Value Areas* they rely upon (Annex F), and their condition.

Indicator 9.1.2 The assessment uses results from culturally appropriate* engagement* (Annex F) with affected* and interested stakeholders* with an interest in the conservation* of the High Conservation Values*.

Criterion 9.2. The Organization* shall* develop effective strategies that maintain and/or enhance the identified High Conservation Values*, through engagement* with affected stakeholders*, interested stakeholders* and experts. (C9.2 P&C V4)

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

Indicator 9.2.2 Management strategies and actions are developed to maintain and/or enhance the identified High Conservation Values* and to maintain associated High Conservation Value Areas* (Annex F)



prior to implementing potentially harmful management activities.

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

Criterion 9.3. [The Organization*](#) shall* implement strategies and actions that maintain and/or enhance the identified [High Conservation Values*](#). These strategies and actions shall* implement the [precautionary approach*](#) and be proportionate to the [scale, intensity and risk*](#) of management activities. (C9.3 P&C V4)

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

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

Indicator 9.3.3 Activities that harm High Conservation Values* cease immediately and actions are taken to restore* and protect* the High Conservation Values*.

Criterion 9.4. [The Organization*](#) shall* demonstrate that periodic monitoring* is carried out to assess changes in the status of [High Conservation Values*](#), and shall* adapt its management strategies to ensure their effective [protection*](#). The monitoring* shall* be proportionate to the [scale, intensity and risk*](#) of management activities, and shall* include [engagement*](#) with [affected stakeholders*](#), [interested stakeholders*](#) and experts. (C9.4 P&C V4)

Indicator 9.4.1 A program of periodic monitoring (Annex F) assesses:

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

Indicator 9.4.2 The monitoring program includes engagement* with affected* and interested stakeholders* and experts.

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

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

Go to Annex F.



PRINCIPLE 10: IMPLEMENTATION OF MANAGEMENT ACTIVITIES

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

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

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

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

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

1. Forest* plantations are maintained (no change of land use), using tree species which are well adapted to the site conditions;
2. Natural forests* are maintained by favouring natural regeneration; or
3. Degraded natural forests* are improved by natural regeneration* and enrichment planting with native tree species.

Criterion 10.2. [The Organization*](#) shall* use species for regeneration* that are ecologically well adapted to the site and to the management [objectives*](#). The Organization* shall* use native species and local [genotypes*](#) for regeneration*, unless there is a clear and convincing justification for using others. (C10.4 and C10.8 P&C V4)

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

Indicator 10.2.2 Species chosen for regeneration* are consistent with the regeneration* objectives* and with the management objectives*.

Criterion 10.3. [The Organization*](#) shall* only use [alien species*](#) when knowledge and/or experience have shown that any invasive impacts can be controlled and effective mitigation measures are in place. (C6.9 and C10.8 P&C V4)

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

Indicator 10.3.2 Alien species* are used only when effective mitigation measures are in place to control their spread outside the area in which they are established.

Indicator 10.3.3 The spread of invasive species* introduced by The Organization* is controlled.



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

Criterion 10.4 [The Organization*](#) shall* not use [genetically modified organisms*](#) in the [Management Unit*](#). (C6.8 P&C V4)

Indicator 10.4.1 Genetically modified organisms* are not used.

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

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

Criterion 10.6. [The Organization*](#) shall* minimize or avoid the use of [fertilizers*](#). When fertilizers* are used, The Organization* shall* demonstrate that use is equally or more ecologically and economically beneficial than use of silvicultural systems that do not require fertilizers*, and prevent, mitigate, and/or repair damage to [environmental values*](#), including soils. (C10.7 P&C V4 and Motion 2014#7)

Indicator 10.6.1 The use of chemical fertilizers* is minimized or avoided.

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

Indicator 10.6.3 When chemical fertilizers* are used, their types, rates, frequencies and site of application are documented.

Indicator 10.6.4 When chemical fertilizers* are used, environmental values* are protected, including through implementation of measures to prevent damage.

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

Criterion 10.7 [The Organization*](#) shall* use integrated pest management and [silviculture*](#) systems which avoid, or aim at eliminating, the use of chemical [pesticides*](#). The Organization* shall* not use any chemical pesticides* prohibited by FSC policy. When pesticides* are used, The Organization* shall* prevent, mitigate, and/or repair* damage to environmental values* and human health. (C6.6 and C10.7 P&C V4)

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

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



<p>Indicator 10.7.3 Records of pesticide* usage are maintained, including trade name, active ingredient, quantity of active ingredient used, period of use, location and area of use and reason for use.</p>
<p>Indicator 10.7.4 The use of pesticides* complies with the ILO document “Safety in the use of chemicals at work” regarding requirements for the transport, storage, handling, application and emergency procedures for clean-up following accidental spillages.</p>
<p>Indicator 10.7.5 If pesticides* are used, application methods minimize quantities used, while achieving effective results, and provide effective protection* to surrounding landscapes*.</p>
<p>Indicator 10.7.6 Damage to environmental values* and human health from pesticide* use is prevented and mitigated or repaired where damage occurs.</p>
<p>Indicator 10.7.7 When pesticides* are used:</p> <ol style="list-style-type: none"> 1. The selected pesticide* application method, timing and pattern of use offers the least risk* to humans and non-target species; and 2. Objective evidence demonstrates that the pesticide* is the only effective, practical and cost-effective way to control the pest.

<p>Criterion 10.8. The Organization* shall* minimize, monitor* and strictly control the use of biological control agents* in accordance with internationally accepted scientific protocols*. When biological control agents* are used, The Organization* shall* prevent, mitigate and/or repair* damage to environmental values*. (C6.8 P&C V4)</p>
<p>Indicator 10.8.1 The use of biological control agents* is minimized, monitored and controlled.</p>
<p>Indicator 10.8.2 Use of biological control agents* complies with internationally accepted scientific protocols*.</p>
<p>Indicator 10.8.3 The use of biological control agents* is recorded including type, quantity, period, location and reason for use.</p>
<p>Indicator 10.8.4 Damage to environmental values* caused by the use of biological control agents* is prevented, mitigated and/or repaired* where damage occurs.</p>

<p>Criterion 10.9 The Organization* shall* assess risks* and implement activities that reduce potential negative impacts from natural hazards* proportionate to scale, intensity, and risk*. (new)</p>
<p>Indicator 10.9.1 Potential negative impacts of natural hazards* on infrastructure*, forest* resources and communities in the Management Unit* are assessed.</p>
<p>Indicator 10.9.2 Management activities mitigate these impacts.</p>
<p>Indicator 10.9.3 The risk* for management activities to increase the frequency, distribution or severity of natural hazards* is identified for those hazards* that may be influenced by management.</p>
<p>Indicator 10.9.4 Management activities are modified and/or measures are developed and implemented that reduce the identified risks*.</p>



Criterion 10.10 [The Organization*](#) shall manage [infrastructural development*](#), transport activities and [silviculture*](#) so that water resources and soils are protected, and disturbance of and damage to [rare and threatened species*](#), [habitats*](#), [ecosystems*](#) and [landscape values*](#) are prevented, mitigated and/or repaired*. (C6.5 P&C V4)

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

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

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

Criterion 10.11. [The Organization*](#) shall* manage activities associated with harvesting and extraction of timber and [non-timber forest products*](#) so that [environmental values*](#) are conserved, merchantable waste is reduced, and damage to other products and services is avoided. (C5.3 and C6.5 P&C V4)

Indicator 10.11.1 Harvesting and extraction practices for timber and non-timber forest products* are implemented in a manner that conserves environmental values* as identified in Criterion* 6.1.

Indicator 10.11.2 Harvesting practices optimize the use of forest* products and merchantable materials.

Indicator 10.11.3 Sufficient amounts of dead and decaying biomass and forest* structure are retained to conserve environmental values*.

Indicator 10.11.4 Harvesting practices avoid damage to standing residual trees, residual woody debris on the ground and other environmental values*.

Criterion 10.12. [The Organization*](#) shall* dispose of [waste materials*](#) in an environmentally appropriate manner. (C6.7 P&C V4)

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

Indicator 10.12.2 Disposal of all waste materials* is done in an environmentally appropriate way that conserves environmental values*.



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

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

1. Legal* rights to harvest	
1.1 Land tenure* and management rights	<p>Legislation covering land tenure* rights, including customary rights* as well as management rights, that includes the use of legal* methods to obtain tenure* rights and management rights. It also covers legal* business registration and tax registration, including relevant legally required licenses.</p> <ol style="list-style-type: none"> 1. Law on Forestry No. 16/2017/QH14 dated on 15th November 2017. 2. Land Law No. 45/2013/QH13 dated 29th November 2013. 3. Decree No. 43/2014/ND-CP dated 15th May 2014 issued by the Government on the enforcement of the Land Law 2003. 4. Decree No. 84/ND-CP dated 25th May 2007 issued by the Government on supplementation of granting land use right certificates, land recovery, implementing land use rights, procedures and orders of compensation, support, resettlement when the State recovers land and handling complaints about land. 5. Decree No. 156/2018/ND-CP dated 16th November 2018 issued by the Government detailing some articles of the Law on Forestry. 6. Law 09/2008/QH12 dated 3rd June 2008 on the Management and Use of State Property. 7. Law on Cooperatives No. 18/2003/QH11 dated 26th November 2003. 8. Law on Cultural Heritage No. 28/2001/QH10 dated 29th June 2001. 9. Law 27/2001/QH10 on Fire Prevention and Fighting. 10. Circular No. 35/2011/TT-BNNPTNT on guiding the implementation of timber and non-timber forest product harvesting and salvaging. 11. Circular No. 01/2012/TT-BNNPTNT on document package of legal forest products and examination of forest product origin 12. Decision No. 59/2005/QĐ-BNN dated 10th October 2005 on promulgating the regulation on inspection and control of forest products. 13. Decision No. 44/2006/QĐ-BNN dated 1st June 2006 on promulgating the regulation on management and placement of tree marks and forest hammer marks. 14. Circular No. 87/2009/TT-BNNPTNT Guidance on design for selective harvesting of timber from natural forest.
1.2 Concession licenses	<p>Legislation regulating procedures for issuing forest* concession licenses, including the use of legal* methods to obtain concession licenses. Bribery, corruption and nepotism are particularly well-known issues in connection with concession licenses.</p> <p>Circular No. 27/2018/TT-BNNPTNT dated 16th November 2018 on the Regulations for Forest</p>



	Harvesting and management documents, traceability of forest products.
1.3 Management and harvesting planning	<p>Any national or sub-national legal* requirements for management planning, including conducting forest* inventories, having a forest* management plan* and related planning and monitoring, impact assessments, consultation with other entities, as well as approval of these by legally competent* authorities.</p> <ol style="list-style-type: none"> 1. Circular No. 27/2018/TT-BNNPTNT dated 16th November 2018 on the Regulations for Forest Harvesting and management documents, traceability of forest products. 2. Circular No. 28/2018/TT-BNNPTNT dated 16th November 2018 on the Regulations for Sustainable Forest Management.
1.4 Harvesting permits	<p>National or sub-national laws and regulations regulating procedures for issuing harvesting permits, licenses or other legal* documents required for specific harvesting operations. This includes the use of legal* methods to obtain the permits. Corruption is a well-known issue in connection with the issuing of harvesting permits.</p> <ol style="list-style-type: none"> 1. Circular No 27. /2018 / TT-BNNPTNT dated November 2018 on the Regulations for Forest Harvesting and management documents, traceability of forest products. 2. Circular No. 01/2002/TT-BCA (C11) dated 4th January 2002 issued by the Ministry of Transportation on providing guidance on issuing registration numbers to transportation vehicles. 3. Decree No. 110/2006/ND-CP dated 28th September 2006 issued by the Government on business conditions of road transport. 4. Decree No. 21/2005/ND-CP dated 1st March 2005 issued by the Government on detailed regulations on implementing some articles of law on interior waterway transportation.
2. Taxes and fees	
2.1 Payment of royalties and harvesting fees	<p>Legislation covering payment of all legally required forest* harvesting specific fees such as royalties, stumpage fees and other volume-based fees. This includes payments of the fees based on the correct classification of quantities, qualities and species. Incorrect classification of forest* products is a well-known issue that is often combined with bribery of officials in charge of controlling the classification.</p>
2.2 Value-added taxes and other sales taxes	<p>Legislation covering different types of sales taxes which apply to the material being sold, including the sale of material as growing forest* (standing stock sales).</p> <ol style="list-style-type: none"> 1. Law No. 17/1999/QH10 on Inspection dated 15th November 2010. This law amends and supplements a number of articles of the Law on Land Use Right Transfer Tax, which was passed by the National Assembly of the Socialist Republic of Vietnam on 22nd June 1994. 2. Law No. 45/2009/QH12 dated 25th November 2009 on the Natural Resources Tax. 3. Decree No. 20/2011/ND-CP dated 3rd November 2003 issued by the Government on regulations on the detail and implementation of the National Assembly's Resolution No.



	<p>55/2010/QH12 of 24th November 2010 on exemption and reduction of agricultural land-use tax.</p> <ol style="list-style-type: none">4. Decree No. 156/2005/ND-CP dated 15th December 2005 issued by the Government on amending and supplementing a number of Government decrees on implementing the Law of Special Consumption and Law on VAT.5. Decree No. 158/2003/ND-CP dated 10 December 2003 issued by the Government on detailed regulations on implementing the Law on VAT and amending and supplementing a number of articles of the Law on VAT.6. Decree No. 149/2005/ND-CP dated 18th December 2005 issued by the Government on detailed regulations on implementing the Law on Import and Export.7. Circular No. 120/2003/TT-BTC dated 12th December 2003 issued by the Ministry of Finance on guidance on the implementing of Decree 158/2003/ND-CP dated 10th December 2003.8. Circular No. 89-TC/TCT dated 9th November 1993 issued by the Ministry of Finance on providing guidance on the implementation of Decree No. 74/CP dated 25th October 1993 issued by the Government on specifying regulations on the implementation of the Agriculture Land Use Tax 1993.9. Decree No. 68/1998/ND-CP dated 3rd September 1998 issued by the Government, detailing the implementation of the Ordinance on Natural Resource Tax.10. Circular No. 42/2007/TT-BTC dated 27th April 2007 issued by the Ministry of Finance on regulations on implementing11. Decree No. 68/1998/ND-CP dated 3rd September 1998 issued by the Government, detailing the implementation of the Ordinance on Natural Resource Tax.12. Decree No. 147/2006/ND-CP amending and supplementing some articles of Decree 68/1998/ND-CP.13. Decree No. 24/2007/NĐ-CP issued by the Government dated 14th February 2007 on detailed regulations on implementing the Law on Enterprises' Income Tax.14. Law on Royalties 45/2009/QH12.15. Law 57/2010/QH12 15/11/2010 on Environmental Protection Tax.16. Decree No. 69/2012/ND-CP of 14th September 2012, amending and supplementing clause 3 article 2 of the Government's Decree No. 67/2011/ND-CP dated August 8th 2011, detailing and guiding the implementation of a number of articles of the Law on the Environment Protection Tax.17. Law on Value-Added Tax dated 3rd June 2008.
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<p>2.3 In- come and profit taxes</p>	<p>Legislation covering income and profit taxes related to profit derived from the sale of forest* products and harvesting activities. This category is also related to income from the sale of timber and does not include other taxes generally applicable for companies and is not related to salary payments.</p> <ol style="list-style-type: none"> 1. Law No. 45/2009/QH12 dated 25th November 2009 on the Natural Resources Tax. 2. Circular No. 152/2015 / TT - BTC of the Ministry of Natural Resources on regulation of the Natural Resources Tax.Law on Agricultural Land Use Tax dated 10th July 1993. 3. Decree 45/2014 / ND - CP of 15th May 2014 on guiding -hours regulations on land use.
<p>3. Timber harvesting activities</p>	
<p>3.1 Tim- ber har- vesting regula- tions</p>	<p>Any legal* requirements for harvesting techniques and technology including selective cutting, shelter wood regenerations, clear felling, transport of timber from the felling site, seasonal limitations, etc. Typically, this includes regulations on the size of felling areas, minimum age and/or diameter for felling activities, and elements that shall* be preserved during felling, etc. Establishment of skidding or hauling trails, road construction, drainage systems and bridges, etc., shall* also be considered as well as the planning and monitoring of harvesting activities. Any legally binding codes for harvesting practices shall* be considered.</p> <ol style="list-style-type: none"> 1. Decree No. 156/2018 / ND-CP dated 16th November 2018 issued by the Government detailing some articles of the Law on Forestry. 2. Circular No.29/ 2018 / TT-BNNPTNT dated November 2018 issued by MARD on silvicultural measures. 3. Circular No. 27/2018 / TT-BNNPTNT dated 16th November 2018 on the Regulations for Forest Harvesting and management documents, traceability of forest products.
<p>3.2 Pro- tected sites and species</p>	<p>International, national, and sub-national treaties, laws, and regulations related to protected areas, allowable forest* uses and activities, and/or rare, threatened, or endangered species, including their habitats* and potential habitats*.</p> <ol style="list-style-type: none"> 1. Law 20/2008/QH12 on Biodiversity dated 13th November 2008. 2. Decree No. 156/2018 / ND-CP dated 16th November 2018 issued by the Government detailing some articles of the Law on Forestry. 3. Circular 28/2018/TT-BNNPTNT dated 16th November 2018 on the guidelines for sustainable forest management.4. Decree No. 06/2019/ND-CP dated 22th Jan, 2019 issued by the Government on the Management of Endangered and Precious Forest Fauna and Flora Species and implementation of Convention on International Trade in Endangered Species of Wild Fauna and Flora. 4. Decision 74/2008/QD-BNN dated 20th June 2008 issued by MARD on the list of wildlife and plants in annex of the CITES convention. 5. CITES (the Convention on International Trade in Endangered Species of Wild Fauna and Flora).



	<p>6. Circular 59/2010/TT-BNNPTNT dated 19th October 2010 issued by MARD on the list of animals, wild animals and plants under the management of the Convention on International Trade in Endangered Species of Wild Fauna and Flora.</p>
<p>3.3 Environmental requirements</p>	<p>National and sub-national laws and regulations related to the identification and/or protection* of environmental values* including but not limited to those relating to or affected by harvesting, acceptable levels for soil damage, establishment of buffer zones (e.g. along water courses, open areas and breeding sites), maintenance of retention trees on the felling site, seasonal limitations of harvesting time, environmental requirements for forest* machinery, use of pesticides* and other chemicals, biodiversity conservation*, air quality, protection* and restoration* of water quality, operation of recreational equipment, development of non-forestry infrastructure*, mineral exploration and extraction, etc.</p> <ol style="list-style-type: none"> 1. Law No. 52/2005/QH11 on Environmental Protection 2006. 2. Decree No. 80/2006/ND-CP dated 9th August 2006 issued by the Government on the implementation of the Law on Environmental Protection 2006. 3. Decree 21/2008/ND-CP dated 28th February 2008 issued by the Government on the supplementation and amendment of some articles of Decree No. 80/2006/ND-CP dated 9th August 2006 issued by the Government on the implementation of the Law on Environmental Protection 2006. 4. Decree No. 06/2019/ND-CP dated 22th Jan. 2019 issued by the Government on the Management of Endangered and Precious Forest Fauna and Flora Species and implementation of Convention on International Trade in Endangered Species of Wild Fauna and Flora. 5. Decree No. 9/2006/ND-CP dated 16th January 2006 issued by the Government on Forest Fire Prevention and Extinguishing. 6. Circular No. 08/2006/TT-BTNMT dated 8th September 2006 issued by the Ministry of Natural Resources and Environment on the Guidelines for Strategic Environmental Assessment, Environmental Impact Assessment and Environmental Protection Engagement. 7. Decision 1250/QĐ-TTG dated 31st July 2013 of Prime Minister on the approval of the national strategy on biodiversity 2020, with a vision to 2030. 8. Decree No. 65/2010/ND-CP dated on 11th June 2010 issued by the Government on detailing and guiding a number of articles of the Biodiversity Law. 9. Decree No. 113/2010/ND-CP dated on 3rd December 2010 issued by the Government on providing for the determination of environmental damage. 10. Law No. 20/2008/QH12 of 13th November 2008 on Biodiversity. 11. Circular No. 38/ 2014/TT-BNN Guidelines on sustainable forest management planning. 12. Law No: 48/2005/QH11 on practicing thrift and combating waste. 13. Decision on the compulsory application of Vietnam's environmental standards. 14. Decree No. 119/2006/ND-CP on the organization and operation of the forest protection service.



	<p>15. Decision No. 186/2006/QD-TTg of 14th August 2006, promulgating the regulation on forest management.</p> <p>16. Decree No. 23/2006/ND-CP on the implementation of the Law on Forest Protection and Development.</p> <p>17. Directive No. 38/2005/CT-TTg on resurveying and re-planning forests of three kinds (protection forests, special-use forests and production forests).</p> <p>18. Decree No. 29/2011/ND-CP Providing assessment of strategic environment, environmental impact assessment and environmental protection commitment.</p>
<p>3.4 Health and safety</p>	<p>Legally required personal protection* equipment for persons involved in harvesting activities, implementation of safe felling and transport practices, establishment of protection* zones around harvesting sites, safety requirements for machinery used, and legally required safety requirements in relation to chemical usage. The health and safety requirements that shall* be considered relevant to operations in the forest* (not office work, or other activities less related to actual forest* operations).</p> <ol style="list-style-type: none"> 1. Decree No. 06/CP dated 20th January 1995 issued by the Government detailing a number of articles of the Labor Code on labor safety and sanitation, and Article 1, Decree No 110/2002/ND-CP of 27th December 2002 amending and supplementing a number of articles of Decree 06/CP. 2. Decree No. 152/2006/ND-CP of the Government dated 22nd December 2006 on guiding some articles of the Law on Social Insurance. 3. Decree No. 30/2016/ND-CP details investments from the social insurance, health insurance and unemployment insurance funds. 4. Convention No. 29 on Forced labor or compulsory, 1930. 5. Convention No. 155 on occupational safety, occupational health and the working environment, 1981. 6. Convention No. 138 on the minimum working age, 1973. 7. Convention No. 182 on the Elimination of all forms of child labor security worse, in 1999. 8. Labor Law of 2012, Law No. 10/2012/QH13 18th June 2012. 9. Safety and health in forestry activities of the ILO, 1998.
<p>3.5 Legal* employment</p>	<p>Legal* requirements for employment of personnel involved in harvesting activities including requirements for contracts and working permits, requirements for obligatory insurance, requirements for competence certificates and other training requirements and payment of social and income taxes withheld by the employer. Also covered are the observance of minimum working age and minimum age for personnel involved in hazardous work, legislation against forced and compulsory labor, and discrimination and freedom of association.</p> <ol style="list-style-type: none"> 1. Labor Code Law No. 10/2012/QH13. 2. Decree No. 118/2014/ND-CP dated 17th December 2014 issued by the Government on



	<p>the Arrangement, Renovation and Development of the State Forest Company.</p> <ol style="list-style-type: none">3. Decree No. 93/2006/ND-CP dated 6th January 2006 issued by the Government on Regulating The Minimum Salary Rate of The Vietnamese Laborer Operating Unskilled Tasks And Working in Normal Conditions for Foreign-Funded Companies. Decree No. 94/2006/ND-CP dated 7th September 2006 issued by the Government on adjusting the Minimum Salary Rate.4. Decree No. 196-CP dated 31st December 1994 issued by the Government stipulating detailed provisions and guidance for the implementation of a number of articles of the Labor Code on collective labor bargaining. Decree 93/2002/ND-CP issued by the Government dated 11th November 2002 amending and supplementing Decree 196-CP.5. Decree No. 06/CP issued by the Government dated 20th January 1995 which details a number of articles of the Labor Code on labor safety and sanitation, and Article 1, Decree No 110/2002/ND-CP dated 27th December 2002 amending and supplementing a number of articles of Decree 06/CP.6. Decree No. 152/2006/ND-CP dated 22nd December 2006 issued by the Government on guiding some articles of the Law on Social Insurance.7. Decree No 44/2003/ND-CP dated 9th May 2003 issued by the Government providing detailed regulation and guidance for the implementation of a number of articles of the Labor Code on labor contracts.8. Decree No 195/CP of 31st December 1994 which details and guides the implementation of a number of articles of the Labor Code on working time and rest time.9. Decree 109/2002/ND-CP/2002/ND-CP of 27th December amending and supplementing a number of articles of Decree 195/CP. 13. Decree No. 41-CP dated 6th July 1995 which details and guides the implementation of a number of articles of the Labor Code regarding labor disciplines and material responsibilities.10. Decree No. 33/2003/ND-CP of 2nd April 2003 amending and supplementing number of articles of Decree No. 41-CP 15.11. Decree No. 105/2014/ND-CP dated 15th November 2014 issued by the Government providing details and directives on the implementation of several articles of the Law on Health Insurance.12. Decision No. 09/2011/QD-TTg dated 30th January 2011 setting norms on households in poverty and households in danger of falling into poverty for the 2011-2015 period.13. Law 58/2014/QH13 on Social Insurance.14. Circular No. 01/2016/TT-BLĐTBXH which took effect 4th April 2016.15. Decision No. 2351/QĐ-TTg dated 24th December 2010 approving the 2011-2020 national strategy for gender equality.16. Law 73/2006/QH11 dated 29th November 2006 on Gender Equality.
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4. Third parties' rights	
4.1 Customary rights*	<p>Legislation covering customary rights* relevant to forest* harvesting activities, including requirements covering the sharing of benefits and Indigenous rights.</p> <p>There are no specific customary policy documents.</p>
4.2 Free Prior and Informed Consent*	<p>Legislation covering “free, prior, and informed consent” in connection with the transfer of forest* management rights and customary rights* to The Organization* in charge of the harvesting operation.</p> <ol style="list-style-type: none"> 1. Law No. 09/1998/QH10 on Complaints and Denunciations. 2. Ordinance No. 34/ 2007 / PL-UBTVQH11 on democracy at grassroots.
4.3 Indigenous People/ Ethnic Peoples* rights	<p>Legislation that regulates the rights of Ethnic Peoples* as far as it is related to forestry activities. Possible aspects to consider are land tenure*, and rights to use certain forest*-related resources and to practice traditional activities, which may involve forest* lands.</p> <ol style="list-style-type: none"> 1. Decision No. 21/QD-UBDT, approving the implementation of the project “Propagandizing and disseminating laws to ethnic minorities”, 2014. 2. Decision No. 358/QD-UBDT. on the Action Program of the Committee on Ethnic Minorities on international integration, 2014-2020. 3. Decision No. 48/ QD-TTg dated 28th August 2014 on the policies supporting poor households to build houses and to prevent storms and floods in the Central Region. 4. Decision No. 495/ QD-TTG on the list of extremely difficult communes, boundary communes, and communes in security areas for Program 135 in the 2014- 2015 period.
5. Trade and transport	
<p>NOTE: This section covers requirements for forest* management operations as well as processing and trade.</p>	
5.1 Classification of species, quantities, qualities	<p>Legislation regulating how harvested material is classified in terms of species, volumes and qualities in connection with trade and transport. Incorrect classification of harvested material is a well-known method to reduce or avoid payment of legally prescribed taxes and fees.</p> <p>CITES Convention on International Trade in Endangered Species of Wild flora and Fauna.</p>



<p>5.2 Trade and transport</p>	<p>All required trading and transport permits shall* exist as well as legally required transport documents which accompany the transport of wood from forest* operations.</p> <ol style="list-style-type: none"> 1. Decree 157/2013/ND-CP dated 11th November 2013 prescribing the sanctioning of administrative violations in forest management, forest development, forest protection and forest product management. 2. Circular 40/2015/TT-BNN dated 21st October 2015 amending and supplementing some articles of Circular No. 01/2012/TT-BNN dated 4th January 2012. 3. Circular No. 27/2018/TT-BNNPTNT dated 16th November 2018 on the Regulations for Forest Harvesting and management documents, traceability of forest products
<p>5.3 Off-shore trading and transfer pricing</p>	<p>Legislation regulating offshore trading. Offshore trading with related companies placed in tax havens, combined with artificial transfer prices, is a well-known way to avoid payment of legally prescribed taxes and fees to the country of harvest and is considered to be an important source of funds that can be used for payment of bribes to forest* operations and personnel involved in the harvesting operation. Many countries have established legislation covering transfer pricing and offshore trading. It should* be noted that only transfer pricing and offshore trading, as far as it is legally prohibited in the country, can be included here.</p> <ol style="list-style-type: none"> 1. Decree No. 12/2006/ND-CP dated 23rd January 2006 issued by the Government detailing implementation of Trade Law regulations on international buying and selling of commodities and agent activities including purchasing, selling, processing and transiting of commodities with foreign countries. 2. Decision No. 65/1998/QĐ-TTg dated 24th March 1998 issued by the Prime Minister on wood and wood products export and import. 3. Decision No. 59/2005/QĐ-BNN dated 10th October 2005 issued by the Ministry of Agriculture and Rural Development promulgating the regulation of inspection and control of forest products. 4. Decree No. 160/2003/ND-CP dated 18th December 2003 issued by the Government on management of marine activities at sea ports and marine zones of Viet Nam. 5. Decision No. 110/2003/QĐ-BTC dated 25th July issued by the Ministry of Finance promulgating preferential import tariffs. 6. Decision No. 54/2006/QĐ-BNN dated 5th July 2006 issued by MARD publicizing a list of wild plant and animal species in Annexes to the Convention on International Trade in Endangered Species of Wild Fauna and Flora. 7. Decree No. 49/2006/ND-CP issued by the Government dated 18th May 2006 on ship registration, selling and buying. 8. Decree No. 82/2006/ND-CP dated 10th August 2006 on management of the import, export, re-export, introduction from the sea, transit, breeding, rearing and artificial propagation of endangered species of precious and rare wild fauna and flora 9. Decree No. 02/2007/ND-CP of the Government dated 5th January 2007 on plant quarantine.
<p>5.4 Cus-</p>	<p>Custom legislation covering areas such as export/import licenses and product classification</p>



<p>tom regulations</p>	<p>(codes, quantities, qualities and species).</p> <ol style="list-style-type: none"> 1. Decision No. 110/2003/QD-BTC dated 25th July issued by the Ministry of Finance promulgating preferential import tariffs. 2. Decision No. 54/2006/QD-BNN of 5th July 2006 issued by MARD publicizing a list of wild plant and animal species in Annexes to the Convention on International Trade in Endangered Species of Wild Fauna and Flora. 3. Decree No. 49/2006/ND-CP issued by the Government dated 18 May 2006 on ship registration, selling and buying. 4. Decree No. 82/2006/ND-CP dated 10th August 2006 on management of the import, export, re-export, introduction from the sea, transit, breeding, rearing and artificial propagation of endangered species of precious and rare wild fauna and flora. 5. Decree No. 02/2007/ND-CP of the Government dated 5th January 2007 on plant quarantine.
<p>5.5 CITES</p>	<p>CITES (the Convention on International Trade in Endangered Species of Wild Fauna and Flora, also known as the Washington Convention) permits.</p> <ol style="list-style-type: none"> 1. Decision 74/2008/QD-BNN dated 20th June 2008 of MARD issuing the list of wildlife and plants in annex of the CITES convention. 2. CITES Convention on International Trade in Endangered Species of Wild Fauna and Flora. 3. Circular 59/2010/TT-BNNPTNT dated 19th October 2010 issuing the list of animals, wild animals and plants under the management of the Convention on International Trade in Endangered Species of Wild Fauna and Flora. 4. Decree No. 06/2019/ND-CP dated 22th Jan. 2019 issued by the Government on the Management of Endangered and Precious Forest Fauna and Flora Species and implementation of Convention on International Trade in Endangered Species of Wild Fauna and Flora.
<p>6. Due diligence / due care</p>	
<p>6.1 Due diligence / due care procedures</p>	<p>Legislation requiring due diligence/due care procedures, including due diligence/due care systems, declaration obligations, and/or the keeping of trade related documents, etc.</p> <ol style="list-style-type: none"> 1. Circular No. 219/2013/TT-BTC issued by the Ministry of Finance dated 31st December 2013 listing guidelines prescribing conditions for VAT deductions or refunds of input tax on goods and services for export. 2. Circular No. 196/2012/TT-BTC dated 15th November 2012 issued by the Ministry of Finance regulating electronic customs procedures for export and import of commercial
<p>7. Ecosystem Services</p>	



	<p>Legislation covering ecosystem services* rights, including customary rights* as well as management rights that include the use of legal* methods to make claims and obtain benefits and management rights related to ecosystem services*. National and subnational laws and regulations related to the identification, protection and payment for ecosystem services*. Also includes legal* business registration and tax registration, including relevant legally* required licenses for the exploitation, payment, and claims related to ecosystem services* (including tourism).</p> <ol style="list-style-type: none">1. Decree No. 156/2018/ND-CP dated 16th November 2018 issued by the Government detailing some articles of the Law on Forestry.2. Circular No. 99/2006/TT-BNN dated 6th November 2006 on guiding the implementation of a number of provisions of the regulation on forest management, issued together with the Prime Minister's Decision No. 186/2006/QD-TTg.3. Decision No. 34/2011/QD-TTg dated 24th June 2011 amending and supplementing a number of articles of the regulation on forest management promulgated together with the Prime Minister's Decision No.186/2006/QD-TTg on 14th August 20064. Circular No. 38/2007/TT-BNN dated 25th April 2007 on guiding the process and procedures for allocation, lease or withdrawal of forest from organizations, households, individuals and communities.5. Circular No. 05/2008/TT-BNN dated 14th January 2008 on guiding forest planning, forest protection and development plan.6. Decree No. 117/2010/ND-CP dated 24th December 2010 on organization and management of the special-use forest system.7. Circular No. 78/2011/TT-BNNPTNT dated 11th November 2011 on guiding the implementation of Decree No. 117/2010/ND-CP dated 24th December 2010.8. Decision No. 57/2012/QD-TTg dated 9th January 2012 on approval of the forest protection and development plan for the period 2011-2020.9. Decision No. 07/2012/QD-TTg dated 8th February 2012 on promulgating some policies for strengthening forest protection.
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Annex B – Training requirements for workers

The list of training requirements in this Annex is intended for those workers with specific job responsibilities related to the implementation of the National Standard.

The list will be adapted according to Scale, Intensity and Risk.

Workers shall* be able to:

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



Annex C – Elements of the Management Plan

1. The results of assessments, including:
 - i. Natural resources and environmental values^{*}, as identified in Principle 6 and Principle 9;
 - ii. Social, economic and cultural resources and conditions, as identified in Principle 2 to Principle 6 and Principle 9;
Note: Not applicable for SLIMFs
 - iii. Major social and environmental risks in the area, as identified in Principle 2 to Principle 6 and Principle 9.
Note: Not applicable for SLIMFs
2. Programs and activities regarding:
 - i. Workers^{*} rights, occupational health and safety, gender equality^{*}, as identified in Principle 2;
 - ii. Ethnic Peoples^{*}, community relations, local economic and social development, as identified in Principle 3, Principle 4 and Principle 5;
 - iii. Stakeholder engagement^{*} and the resolution of disputes^{*} and grievances, as identified in Principle 1, Principle 2 and Principle 7;
 - iv. Planned management activities and timelines, silvicultural systems used, typical harvesting methods and equipment, as identified in Principle 10;
 - v. The rationale for harvesting rates of timber and other natural resources, as identified in Principle 5.
3. Measures to assess, prevent, and mitigate negative impacts of management activities on:
 - i. Environmental values^{*}, as identified in Principle 6 and Principle 9;
 - ii. Social Values, as identified in Principle 2 to Principle 5 and Principle 9.
4. A description of the monitoring program, as identified in Principle 8, including:
 - i. Growth and yield, as identified in Principle 5;
 - ii. Environmental values^{*}, as identified in Principle 6;
 - iii. Operational impacts, as identified in Principle 10;
 - iv. High Conservation Values^{*}, as identified in Principle 9;
 - v. Monitoring systems based on stakeholder engagement^{*}, planned or in place, as identified in Principle 2 to Principle 5 and Principle 7;
 - vi. Maps describing the natural resources and land use zoning on the Management Unit^{*} with the scale 1/25,000 or 1/50,000 according to the coordination system VN 2000.



Annex D – Monitoring Requirements

INSTRUCTIONS FOR STANDARD DEVELOPERS:

Monitoring* is scheduled in the management planning cycles, so that monitoring results can be used in decision-making at an early stage of the planning of a new cycle. Refer to Principle 7, Annex E.

Standard Developers shall* develop indicators to ensure that monitoring* procedures are consistent and replicable over time, suitable for quantifying changes over time, and suitable for identifying risks* and unacceptable impacts. Monitoring* shall* include changes in the conditions of the Management Unit*, with and without interventions. This implies that baseline data exists.

In addition to the monitoring* conducted for Criteria* 8.1 and 8.2, Standard Developers shall* include in National Standards and Interim National Standards a list that includes the relevant elements of the monitoring* requirements as listed below. This list shall* be consistent with existing national and sub-national monitoring* frameworks.

Standard Developers may also develop different lists for different types of Organizations, proportionate to the scale*, intensity* and risk* of the management activities.

1. Monitoring* in Indicator 8.2.1 is sufficient to identify and describe the environmental impacts of management activities, including where applicable:
 - i. The results of regeneration activities (Criterion* 10.1);
 - ii. The use of ecologically well adapted species for regeneration (Criterion* 10.2);
 - iii. Invasiveness or other adverse impacts associated with any alien species* within and outside the Management Unit* (Criterion* 10.3);
 - iv. Unwanted regeneration that could block natural or artificial regeneration (Criteria* 10.3, 10.5);
 - v. The use of genetically modified organisms* (to confirm that they are not being used). (Criterion* 10.4);
 - vi. The results of silvicultural activities (Criterion* 10.5);
 - vii. Size of the clearfell areas (Criterion* 10.5);
 - viii. Adverse impacts to environmental values* from fertilizers* (Criterion* 10.6);
 - ix. Adverse impacts from the use of pesticides* (Criterion* 10.7);
 - x. Adverse impacts from the use of biological control agents (Criterion* 10.8);
 - xi. The impacts of natural hazards* (Criterion* 10.9);
 - xii. The impacts of infrastructural development, transport activities and silviculture on rare and threatened species*, habitats*, ecosystems*, landscape values* water and soils (Criterion* 10.10); Note: Not applicable for SLIMFs or for SLIMF groups;
 - xiii. The impacts of harvesting and extraction of timber on non-timber forest products*, environmental values*, merchantable wood waste and other products and services (Criterion* 10.11); Note: Not applicable for SLIMFs or for SLIMF groups; and
 - xiv. Environmentally appropriate disposal of waste materials* (Criterion* 10.12).
2. Monitoring* in Indicator 8.2.1 is sufficient to identify and describe social impacts of management activities, including where applicable:



- i. Evidence of illegal or unauthorized activities (Criterion* 1.4);
 - ii. Compliance with applicable laws*, local laws*, ratified* international conventions and obligatory codes of practice* (Criterion* 1.5);
 - iii. Resolution of disputes* and grievances (Criterion* 1.6, Criterion* 2.6, Criterion* 4.6);
 - iv. Programs and activities regarding workers* rights (Criterion* 2.1); Note: Not applicable for SLIMFs or for SLIMF groups;
 - v. Gender equality*, Sexual harassment and gender discrimination (Criterion* 2.2) Note: Not applicable for SLIMFs or for SLIMF groups; Programs and activities regarding occupational health and safety (Criterion* 2.3); Note: Not applicable for SLIMFs or for SLIMF groups;
 - vi. Payment of wages (Criterion* 2.4); Note: Not applicable for SLIMFs or for SLIMF groups;
 - vii. Worker* Training (Criterion* 2.5);
 - viii. Where pesticides* are used, the health of workers* exposed to pesticides* (Criterion* 2.5 and Criterion* 10.7);
 - ix. The identification of Ethnic Peoples* and local communities* and their legal* and customary rights* (Criterion* 3.1 and Criterion* 4.1);
 - x. Full implementation of the terms in binding agreements* (Criterion* 3.2 and Criterion* 4.2);
 - xi. Ethnic Peoples* and community relations (Criterion* 3.2, Criterion* 3.3 and Criterion* 4.2);
 - xii. Protection* of sites of special cultural, ecological, economic, religious or spiritual significance to Ethnic Peoples* and local communities* (Criterion* 3.5 and Criterion* 4.7);
 - xiii. The use of traditional knowledge* and intellectual property* (Criterion* 3.6 and Criterion* 4.8);
 - xiv. Local economic and social development (Criterion* 4.2, Criterion* 4.3, Criterion* 4.4, Criterion* 4.5);
 - xv. The production of diversified benefits and/or products (Criterion* 5.1); Note: Not applicable for SLIMFs or for SLIMF groups;
 - xvi. The maintenance and/or enhancement of ecosystem services* (Criterion* 5.1); Note: Not applicable for SLIMFs or for SLIMF groups;
 - xvii. Activities to maintain or enhance ecosystem services* (Criterion* 5.1); Note: Not applicable for SLIMFs or for SLIMF groups;
 - xviii. Actual compared with projected annual harvests of timber and non-timber forest products* (Criterion* 5.2);
 - xix. The use of local processing, local services and local value-added manufacturing (Criterion* 5.4); Note: Not applicable for SLIMFs or for SLIMF groups;
 - xx. Long-term* economic viability* (Criterion* 5.5); Note: Not applicable for SLIMFs or for SLIMF groups; and
 - xxi. High Conservation Values* 5 and 6 identified in Criterion* 9.1.
3. Monitoring* procedures in Indicator 8.2.2 are sufficient to identify and describe changes in environmental conditions including where applicable:
- i. The maintenance and/or enhancement of ecosystem services* (Criterion* 5.2) (when The Organization* makes FSC promotional claims regarding the provision of ecosystem services*, or receives payment for the provision of ecosystem services*);



- ii. Environmental values* and ecosystem functions* including carbon sequestration and storage (Criterion* 6.1); and including the effectiveness of actions identified and implemented to prevent, mitigate and repair negative impacts to environmental values* (Criterion* 6.3);
- iii. Rare and threatened species*, and the effectiveness of actions implemented to protect them and their habitats* (Criterion* 6.4);
- iv. Representative sample areas* and the effectiveness of actions implemented to conserve* and/or restore* them (Criterion* 6.5); Note: Not applicable for SLIMFs or for SLIMF groups;
- v. Naturally occurring native species* and biological diversity* and the effectiveness of actions implemented to conserve* and/or restore* them (Criterion* 6.6);
- vi. Water courses, water bodies*, water quantity and water quality and the effectiveness of actions implemented to conserve* and/or restore* them (Criterion* 6.7); Note: Not applicable for SLIMFs or for SLIMF groups;
- vii. Changes inside the buffer zones (Criterion* 6.7); Note: Not applicable for SLIMFs or for SLIMF groups;
- viii. Landscape values* and the effectiveness of actions implemented to maintain and/or restore* them (Criterion* 6.8); Note: Not applicable for SLIMFs or for SLIMF groups;
- ix. Conversion of natural forest* to plantations* or conversion to non-forest* (Criterion* 6.9);
- x. Percentage of conversion in comparison to the whole Organization (Criterion 6.9);
- xi. The status of plantations* established after 1994 (Criterion* 6.10); and
- xii. High Conservation Values* 1 to 4 identified in Criterion* 9.1 and the effectiveness of actions implemented to maintain and/or enhance them.



Annex E - HCV Framework

<p>HCV1 – Species diversity. Concentrations of biological diversity* including endemic species, and rare*, threatened* or endangered species, that are significant* at global, regional or national levels.</p>
<p>IDENTIFICATION OF HCV1</p> <ol style="list-style-type: none"> 1. Description of Best Available Information in the country for identifying HCV1: see Vietnam High Conservation Value Forest Toolkit, Version 1.4. 2. Description of interested and affected stakeholders. 3. Description of culturally appropriate engagement for identifying HCVs. 4. Examples of rare/threatened/endangered species in the country. 5. Geographic areas where HCV1 is likely present. 6. Maps of HCV1 areas in the country. 7. Threats to HCV1 areas in the country.
<p>STRATEGIES FOR MAINTAINING HCV1: see Vietnam High Conservation Value Forest Toolkit, Version 1.4</p> <ol style="list-style-type: none"> 1. Protection zones, harvest prescriptions, and/or other strategies to protect threatened, endangered, endemic species, or other concentrations of biological diversity* and the ecological communities and habitats* upon which they depend, sufficient to prevent reductions in the extent, integrity, quality, and viability of the habitats* and species occurrences. 2. Where enhancement is identified as the objective*, measures to develop, expand, and/or restore* habitats* for such species are in place.
<p>MONITORING HCV1: see Vietnam High Conservation Value Forest Toolkit, Version 1.4</p>
<p>HCV2 – Landscape*-level ecosystems* and mosaics. Intact forest landscapes and large landscape*-level ecosystems* and ecosystem* mosaics that are significant* at global, regional or national levels, and that contain viable populations of the great majority of the naturally occurring species in natural patterns of distribution and abundance.</p>



IDENTIFICATION OF HCV2

1. Description of Best Available Information in the country for identifying HCV2: see Vietnam High Conservation Value Forest Toolkit, Version 1.4.
2. Description of interested and affected stakeholders.
3. Examples of HCV2 areas in the country.
4. Geographic areas where IFLs or other types of HCV2 are likely present.

IFLs are present in Angola, Argentina, Australia, Belize, Bhutan, Bolivia, Brazil, Brunei, Cambodia, Cameroon, Canada, Central African Republic, Chile, China, Colombia, Congo DRC, Costa Rica, Cote d'Ivoire, Dominican Rep, Ecuador, Equatorial Guinea, Ethiopia, Finland, French Guiana, Gabon, Georgia, Guatemala, Guyana, Honduras, India, Indonesia, Japan, Kazakhstan, Laos, Liberia, Madagascar, Malaysia, Mexico, Mongolia, Myanmar, New Zealand, Nicaragua, Nigeria, Norway, Panama, Papua New Guinea, Paraguay, Peru, Philippines, Repl. Congo, Russia, Solomon Islands, Suriname, Sweden, Tanzania, Thailand, Uganda, United States, Venezuela and Vietnam.

See IFL shapefiles: https://www.dropbox.com/s/o4icmu9uujn3nvw/IFL_final_data_UMD_20150121.zip?dl=0

In the absence of a robust process, reliable science and consensus-orientated outcome connected to the implementation of Motion 65 (GA2014), the default IFL protection threshold shall* be 80% of the Intact Forest Landscapes* within the Management Unit*.

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5. Maps of HCV2 areas in the country.
 6. Threats to HCV2 areas in the country.
 7. Threats to HCV2 areas in the country.

STRATEGIES FOR MAINTAINING HCV2

- 1) Strategies that fully maintain the extent and intactness of the forest* ecosystems* and the viability of their biodiversity concentrations, including plant and animal indicator species, keystone species, and/or guilds associated with large intact natural forest* ecosystems*.
- 2) Examples include protection* zones and set-aside areas, with any commercial activity in areas that are not set aside being limited to low-intensity* operations that fully maintain forest* structure, composition, regeneration, and disturbance patterns at all times.
- 3) Where enhancement is identified as the objective*, measures to restore* and reconnect forest* ecosystems*, their intactness, and habitats* that support natural biological diversity* are in place.
- 4) The core area of each Intact Forest Landscape* within the Management Unit* is protected, comprising at least 80% of the Intact Forest Landscapes within the Management Unit (Motion 65, GA2014).

MONITORING HCV2: see Vietnam High Conservation Value Forest Toolkit, Version 1.4

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



IDENTIFICATION OF HCV3 (see Vietnam High Conservation Value Forest Toolkit, Version 1.4)

1. Description of Best Available Information in the country for identifying HCV3.
2. Description of Interested and affected stakeholders.
3. Examples of HCV3 ecosystems and habitats in the country.
4. Geographic areas where HCV3 is likely present.
5. Maps of HCV3 areas in the country.
6. Threats to HCV3 areas in the country:

STRATEGIES FOR MAINTAINING HCV3

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

MONITORING HCV3: see Vietnam High Conservation Value Forest Toolkit, Version 1.4

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

IDENTIFICATION OF HCV4

1. Description of Best Available Information in the country for identifying HCV4: see Vietnam High Conservation Value Forest Toolkit, Version 1.4.
2. Description of Interested and affected stakeholders.
3. Examples of HCV4 critical ecosystem services in the country.
4. Geographic areas where HCV4 is likely present.
5. Maps of HCV4 areas in the country.
6. Threats to HCV4 areas in the country.



STRATEGIES FOR MAINTAINING HCV4

- 1) Strategies to protect any water catchments of importance to local communities* located within or downstream of the Management Unit*, and areas within the unit that are particularly unstable or susceptible to erosion.
- 2) Examples may include protection* zones, harvest prescriptions, chemical use restrictions, and/or prescriptions for road construction and maintenance, to protect water catchments and upstream and upslope areas.
- 3) Where enhancement is identified as the objective*, measures to restore* water quality and quantity are in place.
- 4) Where identified HCV4 ecosystem services* include climate regulation, strategies to maintain or enhance carbon sequestration and storage are in place.

MONITORING HCV4: see Vietnam High Conservation Value Forest Toolkit, Version 1.4

HCV5 – Community needs. Sites and resources fundamental for satisfying the basic necessities of local communities* or Ethnic Peoples* (for livelihoods, health, nutrition, water, etc.), identified through engagement* with these communities or Indigenous Peoples*.

IDENTIFICATION OF HCV5 (see Vietnam High Conservation Value Forest Toolkit, Version 1.4)

1. Description of Best Available Information in the country for identifying HCV5.
2. Description of Interested and affected stakeholders.
3. Examples of HCV5 sites and resources fundamental for local communities in the country.
4. Geographic areas where HCV5 is likely present.
5. Maps of HCV5 areas in the country.
6. Threats to HCV5 areas in the country.

STRATEGIES FOR MAINTAINING HCV5

Strategies to protect the community's and/or Ethnic Peoples'* needs in relation to the Management Unit* are developed in cooperation with representatives and members of local communities* and Ethnic Peoples*.

MONITORING HCV5: see Vietnam High Conservation Value Forest Toolkit, Version 1.4



HCV6 – Cultural values. Sites, resources, habitats* and landscapes* of global or national cultural, archaeological or historical significance, and/or of critical* cultural, ecological, economic or religious/sacred importance for the traditional cultures of local communities* or Ethnic Peoples*, identified through engagement* with these local communities* or Indigenous Peoples*.

IDENTIFICATION OF HCV6

1. Description of Best Available Information in the country for identifying HCV6.
2. Description of Interested and affected stakeholders.
3. Examples of HCV6 significant cultural values in the country.
4. Geographic areas where HCV6 is likely present.
5. Maps of HCV6 areas in the country.
6. Threats to HCV6 areas in the country.

STRATEGIES FOR MAINTAINING HCV6

Strategies to protect the cultural values are developed in cooperation with representatives and members of local communities* and Ethnic Peoples*.

MONITORING HCV6



Annex F Strategies for maintaining High Conservation Values

HCV1 – Protection zones, harvest prescriptions, and/or other strategies to protect threatened, endangered, endemic species, or other concentrations of biological diversity* and the ecological communities and habitats* upon which they depend, sufficient to prevent reductions in the extent, integrity, quality, and viability of the habitats* and species occurrences. Where enhancement is identified as the objective*, measures to develop, expand, and/or restore* habitats* for such species are in place.

HCV2 – Strategies that fully maintain the extent and intactness of the forest* ecosystems* and the viability of their biodiversity concentrations, including plant and animal indicator species, keystone species, and/or guilds associated with large intact natural forest* ecosystems*. Examples include protection* zones and set-aside areas, with any commercial activity in areas that are not set aside being limited to low-intensity* operations that fully maintain forest structure, composition, regeneration, and disturbance patterns at all times. Where enhancement is identified as the objective*, measures to restore* and reconnect forest* ecosystems*, their intactness, and habitats* that support natural biological diversity* are in place.

HCV3 – Strategies that fully maintain the extent and integrity of rare or threatened ecosystems*, habitats*, or refugia*. Where enhancement is identified as the objective*, measures to restore* and/or develop rare or threatened ecosystems*, habitats*, or refugia* are in place.

HCV4 – Strategies to protect any water catchments of importance to local communities* located within or downstream of the Management Unit*, and areas within the unit that are particularly unstable or susceptible to erosion. Examples may include protection* zones, harvest prescriptions, chemical use restrictions, and/or prescriptions for road construction and maintenance, to protect water catchments and upstream and upslope areas. Where enhancement is identified as the objective, measures to restore water quality and quantity are in place. Where identified HCV 4 ecosystem services include climate regulation, strategies to maintain or enhance carbon sequestration and storage are in place.

HCV5 – Strategies to protect the community's and/or Ethnic Peoples*' needs in relation to the Management Unit* are developed in cooperation with representatives and members of local communities and Ethnic Peoples*.

HCV6 – Strategies to protect the cultural values are developed in cooperation with representatives and members of local communities and Ethnic Peoples*.



Annex G – List of rare and threatened species in the country or region

See Vietnam High Conservation Value Forest Toolkit, Version 1.4, pages 36-70. This toolkit will be updated to include IFL and new definitions.



9. FSC Glossary of Terms

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

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

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

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

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

- Local communities
- Ethnic Peoples
- Workers
- Forest dwellers
- Neighbors
- Downstream landowners
- Local processors
- Local businesses
- Tenure and use rights holders, including landowners
- Organizations authorized or known to act on behalf of affected stakeholders, for example social and environmental NGOs, labor unions, etc.

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

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

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



which invariably takes *legal** precedence over all other *legal** instruments (Source: FSC-STD-01-001 V5-0).

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

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

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

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

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

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

Conflicts between the Principles and Criteria and laws: Situations where it is not possible to comply with the Principles and Criteria and a law at the same time (Source: FSC-STD-01-001 V5-0).

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

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

Conservation Areas Network: Those portions of the Management Unit* for which conservation is the primary and, in some circumstances, exclusive objective; such areas include *representative sample areas**, *conservation zones**, *protection areas**, *connectivity** areas and *High Conservation Value Areas**.

Conservation zones and protection areas: Defined areas that are designated and managed primarily to safeguard species, habitats, ecosystems, natural features or other site-specific values because of their natural environmental or cultural values, or for purposes of monitoring, evaluation or research, not necessarily excluding



other management activities. For the purposes of the Principles and Criteria, these terms are used interchangeably, without implying that one always has a higher degree of conservation or protection than the other. The term 'protected area' is not used for these areas, because this term implies *legal** or official status, covered by national regulations in many countries. In the context of the Principles and Criteria, management of these areas should involve active conservation, not passive protection (Source: FSC-STD-01-001 V5-0).

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

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

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

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

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

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

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

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

- Affects the *legal** or *customary rights** of *Indigenous Peoples** and *local communities**;
- Where the negative impact of management activities is of such a scale that it cannot be reversed or mitigated;
- Physical violence;
- Destruction of property;



- Presence of military bodies;
- Acts of intimidation against *forest* workers** and *stakeholders**.

This list should be adapted or expanded by Standard Developers.

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

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

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

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

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

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

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

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

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

- ecosystem functions (including carbon sequestration and storage);
- biological diversity;
- water resources;
- soils;



- atmosphere;
- landscape values (including cultural and spiritual values).

The actual worth attributed to these elements depends on human and societal perceptions (Source: FSC-STD-01-001 V5-0).

Ethnic Peoples: People and groups of people that can be identified or characterized as follows:

- The key characteristic or Criterion is self-identification as Ethnic Peoples at the individual level and acceptance by the community as their member;
- Historical continuity with pre-colonial and/or pre-settler societies;
- Strong link to territories and surrounding natural resources;
- Distinct language, culture and beliefs;
- Form non-dominant groups of society;
- Resolve to maintain and reproduce their ancestral environments and systems as distinctive peoples and communities.

(Source: Adapted from WB Policy OD 4.20, United Nations Permanent Forum on Indigenous Issues, Fact sheet 'Who are Indigenous Peoples' October 2007; United Nations Development Group, 'Guidelines on Indigenous Peoples' Issues' United Nations 2009, United Nations Declaration on the Rights of Indigenous Peoples, 13th September 2007).

Externalities: The positive and negative impacts of activities on stakeholders that are not directly involved in those activities, or on a natural resource or the environment, which do not usually enter standard cost accounting systems, such that the market prices of the products of those activities do not reflect the full costs or benefits (Source: FSC-STD-01-001 V5-0).

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

Fertilizer: Mineral or organic substances, most commonly N, P₂O₅ and K₂O, which are applied to soil for the purpose of enhancing plant growth.

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

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

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

Free, Prior, and Informed Consent (FPIC): A *legal** condition whereby a person or community can be said to have given consent to an action prior to its commencement, based upon a clear appreciation and understanding of the facts, implications and future consequences of that action, and the possession of all relevant facts at the time when consent is given. Free, Prior and Informed consent includes the right to grant, modify, withhold or



withdraw approval (Source: Based on the Preliminary working paper on the principle of Free, Prior and Informed Consent of Indigenous Peoples (E/CN.4/Sub.2/AC.4/2004/4 8th July 2004) of the 22nd Session of the United Nations Commission on Human Rights, Sub-commission on the Promotion and Protection of Human Rights, Working Group on Indigenous Populations, 19th–23rd July 2004).

Gender equality: Gender equality or gender equity means that women and men have equal conditions for realizing their full human rights and for contributing to, and benefiting from, economic, social, cultural and political development (Source: Adapted from FAO, IFAD and ILO workshop on 'Gaps, trends and current research in gender dimensions of agricultural and rural employment: differentiated pathways out of poverty', Rome, 31st March to 2nd April 2009.).

Genetically modified organism: An organism in which the genetic material has been altered in a way that does not occur naturally by mating and/or natural recombination. (Source: Based on FSC-POL-30-602 FSC Interpretation on GMO (Genetically Modified Organisms)).

Genotype: The genetic constitution of an organism (Source: FSC-STD-01-001 V5-0).

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

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

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

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

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

- HCV 1: Species Diversity. Concentrations of *biological diversity** including endemic species, and rare, *threatened or endangered** species, that are significant at global, regional or national levels.
- HCV 2: Landscape-level ecosystems and mosaics. Intact Forest Landscapes, large landscape-level *ecosystems** and ecosystem mosaics that are significant at global, regional or national levels, and that contain viable populations of the great majority of the naturally occurring species in natural patterns of



distribution and abundance.

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

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

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

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

Indicator: A quantitative or qualitative variable which can be measured or described, and which provides a means of judging whether a *Management Unit** complies with the requirements of an FSC Criterion. Indicators and the associated thresholds thereby define the requirements for responsible forest management at the level of the *Management Unit** and are the primary basis of forest evaluation (Source: FSC-STD-01-002 V1-0 FSC Glossary of Terms (2009)).

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

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

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

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

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

- Conservation organizations, for example environmental NGOs;



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

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

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

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

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

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

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

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

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

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

Legal status: The way in which the Management Unit is classified according to law. In terms of tenure, it means



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

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

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

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

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

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

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

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

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

- All facilities and area(s) within or adjacent to this spatial area or areas under *legal*^{*} title or management control of, or operated by or on behalf of, *The Organization*, for the purpose of contributing to the management objectives; and



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

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

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

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

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

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

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

'Natural forest' includes the following categories:

- Forest affected by harvesting or other disturbances, in which trees are being or have been regenerated by a combination of natural and artificial regeneration with species typical of natural forests in that site, and where many of the above-ground and below-ground characteristics of the natural forest are still present. In boreal and north temperate forests which are naturally composed of only one or few tree species, a combination of natural and artificial regeneration to regenerate forest of the same native species, with most of the principal characteristics and key elements of native ecosystems of that site, is not by itself considered as conversion to plantations;
- Natural forests which are maintained by traditional silvicultural practices including natural or assisted natural regeneration;
- Well-developed secondary or colonizing forest of native species which has regenerated in non-forest areas;
- The definition of 'natural forest' may include areas described as wooded ecosystems, woodland and savannah.

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



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

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

Thresholds and guidelines may cover areas such as:

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

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

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

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

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

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

Occupational accident: An occurrence arising out of, or in the course of, work, which results in fatal or non-



fatal injury (Source: International Labor Organization (ILO). Bureau of Library and Information Services. ILO Thesaurus as provided on ILO website).

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

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

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

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

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

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

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

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

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

Precautionary approach: An approach requiring that when the available information indicates that management activities pose a threat of severe or irreversible damage to the environment or a threat to human welfare, *The Organization** will take explicit and effective measures to prevent the damage and avoid the risks to wel-



fare, even when the scientific information is incomplete or inconclusive, and when the vulnerability and sensitivity of environmental values are uncertain (Source: Based on Principle 15 of Rio Declaration on Environment and Development, 1992, and Wingspread Statement on the Precautionary Principle of the Wingspread Conference, 23rd–25th January 1998).

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

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

Protection: See definition of Conservation.

Protection Area: See definition of Conservation Zone.

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

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

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

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

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

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

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

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

Restore/ Restoration: These words are used in different senses according to the context and in everyday speech. In some cases, 'restore' means to repair the damage done to environmental values that resulted from



management activities or other causes. In other cases, 'restore' means the formation of more natural conditions in sites which have been heavily degraded or converted to other land uses. In the Principles and Criteria, the word 'restore' is not used to imply the recreation of any particular previous, pre-historic, pre-industrial or other pre-existing ecosystem (Source: FSC-STD-01-001 V5-0).

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

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

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

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

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

Scale, intensity and risk: See individual definitions of the terms 'scale', 'intensity', and 'risk'.

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

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

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

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

Stakeholder: See definitions for 'affected stakeholder' and 'interested stakeholder'.



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

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

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

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

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

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

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

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

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

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

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

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

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



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

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

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

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

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

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

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