



**Forest Stewardship Council®**

**FSC® INTERNATIONAL STANDARD**

FSC PRINCIPLES AND CRITERIA FOR FOREST STEWARDSHIP

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## FSC PRINCIPLES AND CRITERIA FOR FOREST STEWARDSHIP

### FSC-STD-01-001 V5-1 EN

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.



## Note on use of this standard

All aspects of this standard are considered to be normative, including the preamble, standard effective date, references, terms and definitions, tables and annexes, unless otherwise stated.

**This standard shall not be used for the evaluation and certification of responsible forest stewardship without the additional use of an approved set of indicators adapted to national, regional or local conditions.**

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## A Effective Date

Version 5-0 of this standard was approved on 10 February 2012. Version 5-1 was approved by the FSC membership at the 7th General Assembly in Seville (Spain) on 12 September 2014.

The FSC Principles and Criteria for Forest Stewardship V5-1 shall not be used for audit until the FSC International Generic Indicators and the transfer process of the National Standards are complete. Further information on this process is available on the FSC website [ic.fsc.org](http://ic.fsc.org).

The next review of the FSC Principles and Criteria shall occur within three years of the approval of the International Generic Indicators, with a view to completion of any necessary revisions within two years of the review. Subsequent review and revision of the FSC Principles and Criteria shall occur within a five-yearly cycle according to FSC-PRO-01-001.

## B References

The following referenced documents are relevant for the application of this document. 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



## C Note on Version 5-0 and Version 5-1

The FSC Principles and Criteria were originally published in November 1994, and amended in 1996, 1999 and 2001.

Version 5-0 was a result of a comprehensive review and revision of the Principles and Criteria that commenced in January 2009 and was completed in February 2012.

Version 5-0 was revised in accordance with FSC-PRO-01-001. This procedure was, in turn, developed in compliance with the following:

- ISEAL Code of Good Practice for Setting Social and Environmental Standards (P005 Public Version 4, January 2006) and ISEAL Code of Good Practice for Setting Social and Environmental Standards (P005, Version 5.01, June 2010);
- ISO/IEC Guide 59 Code of Good Practice for Standardization (February 1994);
- WTO Agreement on Technical Barriers to Trade (TBT), Annex 3: Code of Good Practice for the Preparation, Adoption and Application of Standards (January 1995).

At the 7th General Assembly in Seville (Spain), the FSC membership approved Statutory Motion #7, requiring changes to Criteria 6.5, 6.9, 9.1 and 10.6 to improve clarity and consistency of the requirements.

These changes resulted in this version (V5-1) of the FSC Principles and Criteria.

## D Preamble

### Introduction

This document contains the FSC Principles and Criteria for Forest Stewardship, and is a key document in the FSC certification system. The Principles and Criteria consist of the Preamble, ten Principles and their associated Criteria, and a Glossary of Terms. All of these (the Preamble, Principles, Criteria and Glossary of Terms) are considered normative.

The Preamble contains essential information for everyone interested in FSC certification, in that it is normative and answers the following questions:

- What is eligible for FSC certification?
- Who is responsible for compliance with the Principles and Criteria?
- Who is responsible for interpreting the Principles and Criteria?
- How do the Principles and Criteria relate to laws and regulations?
- What is the basis for certification decisions?
- How can the Principles and Criteria be applied in the field?



The Preamble contains the following sections:

1. The Forest Stewardship Council (FSC)
2. The Principles and Criteria
3. Scope
4. Scale, Intensity and Risk
5. Responsibility for Compliance
6. Basis for Certification
7. Interpretations and Disputes

Terms for which a definition is provided in the Glossary of Terms are in italics and marked with an *asterisk*\* at first mention in the Preamble, and at first mention in each Principle and Criterion.

## 1. 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.



## 2. The FSC Principles and Criteria

FSC first published the FSC Principles and Criteria in November 1994 as a performance-based, outcome-orientated, worldwide standard. The Principles and Criteria focus on field performance of forest management rather than on the management systems for delivering that field performance.

The FSC Principles are the essential rules or elements of environmentally appropriate, socially beneficial and economically viable forest management, and the Criteria provide the means of judging whether or not a Principle has been fulfilled. They are the foundation of the FSC certification scheme and, together with the Preamble and Glossary of Terms, constitute the core of a comprehensive standards package. There is no hierarchy between the Principles or between Criteria. They share equal status, validity and authority, and apply jointly and severally at the level of the individual *Management Unit*\*.

The FSC Principles and Criteria sit at the centre of the FSC standards framework and need to be applied together with other interlinked FSC documents including the following.

- Guidance, directives and other documents issued or approved by FSC.
- FSC Forest Stewardship Standards.
- Standards for particular vegetation types, products and services.
- Standards for particular types of management units, such as small and low intensity managed forests or large scale high intensity *plantations*\* and *conservation zones*\* and *protection areas*\*, as approved by FSC.

This standards framework constitutes the comprehensive FSC system for voluntary, independent, third-party certification of the quality of forest management. Through adherence to the robust social, economic and environmental standards within the FSC Principles and Criteria, certified forest management enhances the wellbeing of local people, economic viability of the certificate holder (*The Organization*\*) and environmental appropriateness of forest management.

## 3. Scope

The Principles and Criteria cover all of The Organization's management activities that are related to the Management Unit, whether within the Management Unit or outside; whether directly undertaken or contracted out.

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

In terms of vegetation, the Principles and Criteria are globally applicable to all types and scales of forest including *natural forests*\*, plantations and other (i.e. non-forest) vegetation types. The concept of 'other vegetation types' should be limited to those land-uses involving the growing of trees, but includes, in principle, 'non-forest' land-uses as they contribute to the mission of FSC.



The decision on whether or not a certain vegetation type can be certified should be judged on a case by case basis. The decision should include consideration of the species involved and the production system in relation the *ecosystem functions\** and *environmental values\** required by the Principles and Criteria. To aid the decision, definitions of forest, natural forests and plantations are provided in the Glossary of Terms.

Areas within the geographic boundary of the Management Unit which are in agricultural production systems are not subject to the Principles and Criteria, unless they are covered by prescriptions in the management plan.

In terms of products and services, the FSC Principles and Criteria cover the production of wood and non-timber forest products, *conservation\**, *protection\**, ecosystem services and other uses. Ecosystem services include the sequestration and storage of carbon which contributes to the mitigation of climate change.

In terms of the law, FSC intends to complement, not supplant, other initiatives that support responsible forest management worldwide. The FSC Principles and Criteria are to be used in conjunction with international, national and local laws and regulations, though they may contain provisions that are more stringent or demanding than these laws and regulations.

*Traditional peoples\** whose rights are not acknowledged in national law as equivalent to those of *indigenous peoples\** in the context of the Management Unit, are treated as local communities for the purpose of the FSC Principles and Criteria. Traditional peoples whose rights are acknowledged in national law to be the equivalent of those of indigenous peoples in the context of the Management Unit, are treated as equal to indigenous peoples for the purpose of the FSC Principles and Criteria.

Where there might be situations of conflict between the FSC Principles and Criteria and laws, specific FSC procedures will apply.

#### 4. Scale, Intensity and Risk

The FSC Principles and Criteria are generally independent of spatial scale and intensity of management activities. All certified Management Units must comply with all Principles and Criteria and this Preamble. Also, the FSC Principles and Criteria recognize that ways of achieving compliance with the Principles and Criteria may differ depending on the scale and intensity of management activities, and on the risk of negative impacts related to The Organization, the Management Unit or management activities.

Depending on *scale, intensity and risk\**, the actions required to comply with the Principles and Criteria may vary from one organization to another. The concept of scale, intensity and risk applies to almost all Criteria. Explicit reference is included in specific Criteria where it is known from experience that a level of flexibility arising from scale, intensity and risk is required to achieve compliance across the range of potentially certifiable vegetation types, land uses and related management systems. However, there are also requirements, for example, those requiring compliance with laws that are not liable to adjustments to scale, intensity and risk. Further details concerning the interpretation of scale, intensity and risk, including the types and limits of flexibility, are provided in indicators in FSC Forest Stewardship Standards.





## 5. Responsibility for Compliance

As a performance-based standard, the FSC Principles and Criteria are explicit about defining where responsibility lies.

Responsibility for ensuring compliance with the FSC Principles and Criteria lies with the person(s) or entities that is/are the certificate applicant or holder. For the purpose of FSC certification these person(s) or entities are referred to as 'The Organization'. The Organization is responsible for decisions, policies and management activities related to the Management Unit. The Organization is also responsible for demonstrating that other persons or entities that are permitted or contracted by The Organization to operate in, or for the benefit of the Management Unit, comply with the requirements of the FSC Principles and Criteria. Accordingly, The Organization is required to take corrective actions in the event of such persons or entities not being in compliance with the Principles and Criteria.

## 6. Basis for certification

FSC does not insist on perfection in satisfying the FSC Principles and Criteria. Unforeseen changes in cultural, ecological, economic and social environments may cause occasional failures in performance. As the Principles and Criteria are main components of a performance-based standard, certification decisions are guided by the following:

- The extent to which management activities satisfy each FSC Criterion.
- The importance and/or consequences of failing to satisfy each FSC Criterion.

Failures in performance detected by certification bodies in evaluations may result in minor or major Corrective Action Requests (CARs), depending on the severity of the nonconformity.

## 7. Interpretations and Disputes

Questions of interpretation of the Principles and Criteria are addressed through procedures devised by FSC. When disputes arise between stakeholders concerning compliance or the interpretation of the Principles and Criteria and FSC Forest Stewardship Standards, then the relevant FSC procedures for dispute resolution and interpretation shall apply.



## E The FSC Principles and Criteria

### Principle 1: Compliance with Laws

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

- 1.1 The *Organization\** shall be a legally defined entity with clear, documented and unchallenged legal *registration\**, with written authorization from the legally competent\* authority for specific activities.
- 1.2 The *Organization\** shall demonstrate that the *legal status\** of the *Management Unit\**, including *tenure\** and *use rights\**, and its boundaries, are clearly defined.
- 1.3 The *Organization\** shall have *legal\** rights to operate in the *Management Unit\**, which fit the *legal status\** of The Organization and of the Management Unit, and shall comply with the associated legal obligations in applicable national and *local laws\** and regulations and administrative requirements. The legal rights shall provide for harvest of products and/or supply of *ecosystem services\** from within the Management Unit. The Organization shall pay the legally prescribed charges associated with such rights and obligations.
- 1.4 The *Organization\** shall develop and implement measures, and/or shall engage with regulatory agencies, to systematically protect the *Management Unit\** from unauthorized or illegal resource use, settlement and other illegal activities.
- 1.5 The *Organization\** shall comply with the applicable *national laws\**, *local laws\**, *ratified\** international conventions and *obligatory codes of practice\**, relating to the transportation and trade of forest products within and from the *Management Unit\**, and/or up to the point of first sale.
- 1.6 The *Organization\** shall identify, prevent and resolve disputes over issues of statutory or *customary law\**, which can be settled out of court in a timely manner, through *engagement\** with affected *stakeholders\**.
- 1.7 The *Organization\** shall publicize a commitment not to offer or receive bribes in money or any other form of corruption, and shall comply with anti-corruption legislation where this exists. In the absence of anti-corruption legislation, The Organization shall implement other anti-corruption measures proportionate to the *scale\** and *intensity\** of management activities and the *risk\** of corruption.
- 1.8 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.



## Principle 2: Workers Rights and Employment Conditions

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

- 2.1 *The Organization\** shall *uphold\** the principles and rights at work as defined in the ILO Declaration on Fundamental Principles and Rights at Work (1998) based on the eight ILO Core Labour Conventions.
- 2.2 *The Organization\** shall promote *gender equality\** in employment practices, training opportunities, awarding of contracts, processes of *engagement\** and management activities.
- 2.3 *The Organization\** shall implement health and safety practices to protect *workers\** from occupational safety and health hazards. These practices shall, proportionate to *scale, intensity and risk\** of management activities, meet or exceed the recommendations of the ILO Code of Practice on Safety and Health in Forestry Work.
- 2.4 *The Organization\** shall pay wages that meet or exceed minimum forest industry standards or other recognized forest industry wage agreements or *living wages\**, where these are higher than the legal minimum wages. When none of these exist, *The Organization* shall through *engagement\** with *workers\** develop mechanisms for determining living wages.
- 2.5 *The Organization\** shall demonstrate that workers have job-specific training and supervision to safely and effectively implement the *management plan\** and all management activities.
- 2.6 *The Organization\** through *engagement\** with *workers\** shall have mechanisms for resolving grievances and for providing fair compensation to workers for loss or damage to property, *occupational diseases\**, or *occupational injuries\** sustained while working for *The Organization*.



## Principle 3: Indigenous Peoples' Rights

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

- 3.1 *The Organization\** shall identify the *indigenous peoples\** that exist within the *Management Unit\** or are affected by management activities. The Organization shall then, through *engagement\** with these indigenous peoples, identify their rights of *tenure\**, their rights of access to and use of forest resources and *ecosystem services\**, their *customary rights\** and legal rights and obligations, that apply within the Management Unit. The Organization shall also identify areas where these rights are contested.
- 3.2 *The Organization\** shall recognize and uphold\* the legal and *customary rights\** of *indigenous peoples\** to maintain control over management activities within or related to the *Management Unit\** to the extent necessary to protect their rights, resources and lands and territories. Delegation by indigenous peoples of control over management activities to third parties requires *Free, Prior and Informed Consent\**.
- 3.3 In the event of delegation of control over management activities, a binding agreement between *The Organization\** and the *indigenous peoples\** shall be concluded through *Free, Prior and Informed Consent\**. The agreement shall define its duration, provisions for renegotiation, renewal, termination, economic conditions and other terms and conditions. The agreement shall make provision for monitoring by indigenous peoples of *The Organization's* compliance with its terms and conditions.
- 3.4 *The Organization\** shall recognize and uphold\* the rights, customs and culture of *indigenous peoples\** as defined in the United Nations Declaration on the Rights of Indigenous Peoples (2007) and ILO Convention 169 (1989).
- 3.5 *The Organization\**, through *engagement\** with *indigenous peoples\**, shall identify sites which are of special cultural, ecological, economic, religious or spiritual significance and for which these indigenous peoples hold legal or *customary rights\**. These sites shall be recognized by *The Organization* and their management, and/or protection shall be agreed through engagement with these indigenous peoples.
- 3.6 *The Organization\** shall uphold\* the right of *indigenous peoples\** to protect and utilize their traditional knowledge and shall compensate indigenous peoples for the utilization of such knowledge and their *intellectual property\**. A binding agreement as per Criterion 3.3 shall be concluded between *The Organization* and the indigenous peoples for such utilization through *Free, Prior and Informed Consent\** before utilization takes place and shall be consistent with the protection of intellectual property rights.



## Principle 4: Community Relations

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

- 4.1 *The Organization\** shall identify the *local communities\** that exist within the *Management Unit\** and those that are affected by management activities. The Organization shall then, through *engagement\** with these *local communities\**, identify their rights of *tenure\**, their rights of access to and use of forest resources and *ecosystem services\**, their *customary rights\** and legal rights and obligations, that apply within the Management Unit.
- 4.2 *The Organization\** shall recognize and *uphold\** the legal and *customary rights\** of *local communities\** to maintain control over management activities within or related to the *Management Unit\** to the extent necessary to protect their rights, resources, lands and territories. Delegation by local communities of control over management activities to third parties requires *Free, Prior and Informed Consent\**.
- 4.3 *The Organization\** shall provide *reasonable\** opportunities for employment, training and other services to *local communities\**, contractors and suppliers proportionate to scale and intensity of its management activities.
- 4.4 *The Organization\** shall implement additional activities, through *engagement\** with *local communities\**, that contribute to their social and economic development, proportionate to the scale, intensity and socio-economic impact of its management activities.
- 4.5 *The Organization\**, through *engagement\** with *local communities\**, shall take action to identify, avoid and mitigate significant negative social, environmental and economic impacts of its management activities on affected communities. The action taken shall be proportionate to the *scale, intensity and risk\** of those activities and negative impacts.
- 4.6 *The Organization\**, through *engagement\** with *local communities\**, shall have mechanisms for resolving grievances and providing fair compensation to local communities and individuals with regard to the impacts of management activities of The Organization.
- 4.7 *The Organization\**, through *engagement\** with *local communities\**, shall identify sites which are of special cultural, ecological, economic, religious or spiritual significance, and for which these local communities hold legal or *customary rights\**. These sites shall be recognized by The Organization, and their management and/or protection shall be agreed through engagement with these local communities.
- 4.8 *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.



## 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 environmental and social benefits.**

- 5.1 *The Organization\** shall identify, produce, or enable the production of, diversified benefits and/or products, based on the range of resources and *ecosystem services\** existing in the *Management Unit\** in order to strengthen and diversify the local economy proportionate to the *scale\** and *intensity\** of management activities.
- 5.2 *The Organization\** shall normally harvest products and services from the *Management Unit\** at or below a level which can be permanently sustained.
- 5.3 *The Organization\** shall demonstrate that the positive and negative *externalities\** of operation are included in the *management plan\**.
- 5.4 *The Organization\** shall use local processing, local services, and local value adding to meet the requirements of The Organization where these are available, proportionate to *scale, intensity and risk\**. If these are not locally available, The Organization shall make *reasonable\** attempts to help establish these services.
- 5.5 *The Organization\** shall demonstrate through its planning and expenditures proportionate to *scale, intensity and risk\**, its commitment to long-term *economic viability\**.

## Principle 6: Environmental Values and Impacts

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

- 6.1 *The Organization\** shall assess *environmental values\** in the *Management Unit\** and those values outside the Management Unit potentially affected by management activities. This assessment shall be undertaken with a level of detail, scale and frequency that is proportionate to the *scale, intensity and risk\** of management activities, and is sufficient for the purpose of deciding the necessary conservation measures, and for detecting and monitoring possible negative impacts of those activities.
- 6.2 Prior to the start of site-disturbing activities, *The Organization\** shall identify and assess the *scale, intensity and risk\** of potential impacts of management activities on the identified *environmental values\**.
- 6.3 *The Organization\** shall identify and implement effective actions to prevent negative impacts of management activities on the *environmental values\**, and to mitigate and repair those that occur, proportionate to the *scale, intensity and risk\** of these impacts.



- 6.4** *The Organization\** shall protect *rare species\** and *threatened species\** and their *habitats\** in the *Management Unit\** through *conservation zones\**, *protection areas\**, *connectivity\** and/or (where necessary) other direct measures for their survival and viability. These measures shall be proportionate to the *scale, intensity and risk\** of management activities and to the conservation status and ecological requirements of the rare and threatened species. The Organization shall take into account the geographic range and ecological requirements of rare and threatened species beyond the boundary of the Management Unit, when determining the measures to be taken inside the Management Unit.
- 6.5** *The Organization\** shall identify and protect representative sample areas of native ecosystems and/or restore them to more natural conditions. Where representative sample areas do not exist or are insufficient, The Organization shall restore a proportion of the *Management Unit\** to more natural conditions. The size of the areas and the measures taken for their protection or restoration, including within plantations, shall be proportionate to the conservation status and value of the ecosystems at the landscape level, and the *scale, intensity and risk\** of management activities.
- 6.6** *The Organization\** shall effectively maintain the continued existence of naturally occurring native species and genotypes, and prevent losses of *biological diversity\**, especially through habitat management in the *Management Unit\**. The Organization shall demonstrate that effective measures are in place to manage and control hunting, fishing, trapping and collecting.
- 6.7** *The Organization\** shall protect or restore natural water courses, water bodies, riparian zones and their connectivity. The Organization shall avoid negative impacts on water quality and quantity and mitigate and remedy those that occur.
- 6.8** *The Organization\** shall manage the *landscape\** in the *Management Unit\** to maintain and/or restore a varying mosaic of species, sizes, ages, spatial scales and regeneration cycles appropriate for the *landscape values\** in that region, and for enhancing environmental and economic *resilience\**.
- 6.9** *The Organization\** shall not convert natural *forest\** to *plantations\**, nor natural forests or plantations on sites directly converted from natural forest to non-forest land use, except when the conversion:
- a) affects a very limited portion of the area of the *Management Unit\**, and
  - b) will produce clear, substantial, additional, secure long-term conservation benefits in the Management Unit, and
  - c) does not damage or threaten *High Conservation Values\**, nor any sites or resources necessary to maintain or enhance those High Conservation Values.
- 6.10** *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.



## Principle 7: Management Planning

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

- 7.1 *The Organization\** shall, proportionate to *scale, intensity and risk\** of its management activities, set policies (visions and values) and *objectives\** for management, which are environmentally sound, socially beneficial and economically viable. Summaries of these policies and objectives shall be incorporated into the *management plan\**, and publicized.
- 7.2 *The Organization\** shall have and implement a *management plan\** for the *Management Unit\** which is fully consistent with the policies and *objectives\** as established according to Criterion 7.1. The management plan shall describe the natural resources that exist in the Management Unit and explain how the plan will meet the FSC certification requirements. The management plan shall cover forest management planning and social management planning proportionate to *scale, intensity and risk\** of the planned activities.
- 7.3 The *management plan\** shall include verifiable targets by which progress towards each of the prescribed management *objectives\** can be assessed.
- 7.4 The Organization shall update and revise periodically the management planning and procedural documentation to incorporate the results of monitoring and evaluation, *stakeholder engagement\** or new scientific and technical information, as well as to respond to changing environmental, social and economic circumstances.
- 7.5 *The Organization\** shall make *publicly available\** a summary of the *management plan\** free of charge. Excluding confidential information, other relevant components of the management plan shall be made available to *affected stakeholders\** on request, and at cost of reproduction and handling.
- 7.6 *The Organization\** shall, proportionate to *scale, intensity and risk\** of management activities, proactively and transparently engage *affected stakeholders\** in its management planning and monitoring processes, and shall engage *interested stakeholders\** on request.





## Principle 8: Monitoring and Assessment

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

- 8.1** *The Organization\** shall monitor the implementation of its *management plan\**, including its policies and *objectives\**, its progress with the activities planned, and the achievement of its verifiable targets.
- 8.2** *The Organization\** shall monitor and evaluate the environmental and social impacts of the activities carried out in the *Management Unit\**, and changes in its environmental condition.
- 8.3** *The Organization\** shall analyze the results of monitoring and evaluation and feed the outcomes of this analysis back into the planning process.
- 8.4** *The Organization\** shall make *publicly available\** a summary of the results of monitoring free of charge, excluding confidential information.
- 8.5** *The Organization\** shall have and implement a tracking and tracing system proportionate to *scale, intensity and risk\** of its management activities, for demonstrating the source and volume in proportion to projected output for each year, of all products from the *Management Unit\** that are marketed as FSC certified.



## Principle 9: High Conservation Values

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

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

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

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

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

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

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

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

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

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

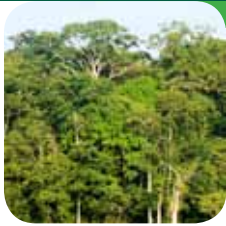
**9.4** The **Organization\*** shall demonstrate that periodic monitoring is carried out to assess changes in the status of **High Conservation Values\***, and shall adapt its management strategies to ensure their effective protection. The monitoring shall be proportionate to the **scale, intensity and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



## Principle 10: Implementation of Management Activities

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

- 10.1 After harvest or in accordance with the *management plan\**, *The Organization\** shall, by natural or artificial regeneration methods, regenerate vegetation cover in a timely fashion to pre-harvesting or more natural conditions.
- 10.2 *The Organization\** shall use species for regeneration that are ecologically well adapted to the site and to the management *objectives\**. The Organization shall use *native species\** and local *genotypes\** for regeneration, unless there is clear and convincing justification for using others.
- 10.3 *The Organization\** shall only use *alien species\** when knowledge and/or experience have shown that any invasive impacts can be controlled and effective mitigation measures are in place.
- 10.4 *The Organization\** shall not use genetically *modified organisms\** in the *Management Unit\**.
- 10.5 *The Organization\** shall use *silvicultural\** practices that are ecologically appropriate for the vegetation, species, sites and management *objectives\**.
- 10.6 *The Organization\** shall minimize or avoid the use of fertilizers. When fertilizers are used, The Organization shall demonstrate that the use is equally or more ecologically and economically beneficial than the use of silvicultural systems that do not require fertilizers, and prevent, mitigate, and/or repair damage to *environmental values\**, including soils.
- 10.7 *The Organization\** shall use integrated pest management and *silviculture\** systems which avoid, or aim at eliminating, the use of chemical *pesticides\**. The Organization shall not use any chemical pesticides prohibited by FSC policy. When pesticides are used, The Organization shall prevent, mitigate, and / or repair damage to *environmental values\** and human health.
- 10.8 *The Organization\** shall minimize, monitor and strictly control the use of *biological control agents\** in accordance with *internationally accepted scientific protocols\**. When *biological control agents\** are used, The Organization shall prevent, mitigate, and/or repair damage to *environmental values\**.
- 10.9 *The Organization\** shall assess risks and implement activities that reduce potential negative impacts from natural hazards proportionate to *scale, intensity, and risk\**.
- 10.10 *The Organization\** shall manage infrastructural development, transport activities and *silviculture\** so that water resources and soils are protected, and disturbance of and damage to *rare\** and threatened *species\**, *habitats\**, *ecosystems\** and *landscape values\** are prevented, mitigated and/or repaired.
- 10.11 *The Organization\** shall manage activities associated with harvesting and extraction of timber and *non-timber forest products\** so that *environmental values\** are conserved, merchantable waste is reduced, and damage to other products and services is avoided.
- 10.12 *The Organization\** shall dispose of waste materials in an environmentally appropriate manner.



## F Glossary of Terms

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

Definitions developed in the course of the Principles and Criteria Review are referenced as FSC 2011. Definitions derived from Version 4-0 of the Principles and Criteria as originally published in November 1994 are referenced as FSC 1994.

The term 'based on' means that a definition was adapted from an existing definition as provided for example in Version 4-0 of the Principles and Criteria or other international source.

Words used in this version of the Principles and Criteria, if not defined in this Glossary of Terms or other normative FSC documents, are used as defined in most standard English language dictionaries.

**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*).

**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*).

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

The following are examples of affected stakeholders:

- Local communities
- Indigenous peoples
- Workers
- Forest dwellers
- Neighbors
- Downstream landowners
- Local processors
- Local businesses
- Tenure and use rights holders, including landowners
- Organizations authorized or known to act on behalf of affected stakeholders, for example social and environmental NGOs, labor unions, etc.  
(*Source: FSC 2011*).



**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 2011*).

**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 1994 and World Conservation Union (IUCN). Glossary definitions as provided on IUCN website*).

**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 2011*).

**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 (*Source: Based on R.T.T. Forman. 1995. Land Mosaics. The Ecology of Landscapes and Regions. Cambridge University Press, 632pp*). 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.

**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 2011*).

**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 2011*).

**Critical:** The concept of criticality or fundamentality in Principal 9 and HCVs relates to irreplaceability and to cases where loss or major damage to this HCV would cause serious prejudice or suffering to affected stakeholders. An ecosystem service is considered to be critical (HCV 4) where a disruption of that service is likely to cause, or poses a threat of, severe negative impacts on the welfare, health or survival of local communities, on the environment, on HCVs, or on the functioning of significant infrastructure (roads, dams, buildings etc.). The notion of criticality here refers to the importance and risk for natural resources and environmental and socio-economic values (*Source: FSC 2011*).

**Criterion (pl. Criteria):** A means of judging whether or not a Principle (of forest stewardship) has been fulfilled (*Source: FSC 1994*).



**Customary law:** Interrelated sets of customary rights maybe 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 1994*).

**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 as 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, and 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

- a. provisioning services such as food, forest products and water;
- b. regulating services such as regulation of floods, drought, land degradation, air quality, climate and disease;
- c. supporting services such as soil formation and nutrient cycling;
- d. 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 or 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 2011*).

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

- a. ecosystem functions (including carbon sequestration and storage)
- b. biological diversity
- c. water resources
- d. soils
- e. atmosphere
- f. landscape values (including cultural and spiritual values).

The actual worth attributed to these elements depends on human and societal perceptions (*Source: FSC 2011*).



**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 2011).

**Forest:** A tract of land dominated by trees (Source: FSC 2011. 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).

**Free, Prior, and Informed Consent -FPIC- :** A legal condition whereby a person or community can be said to have given consent to an action prior to its commencement, based upon a clear appreciation and understanding of the facts, implications and future consequences of that action, and the possession of all relevant facts at the time when consent is given. Free, prior and informed consent includes the right to grant, modify, withhold or withdraw approval (Source: Based on the Preliminary working paper on the principle of Free, Prior and Informed Consent of Indigenous Peoples (...) (E/CN.4/Sub.2/AC.4/2004/4 8 July 2004) of the 22nd Session of the United Nations Commission on Human Rights, Sub-commission on the Promotion and Protection of Human Rights, Working Group on Indigenous Populations, 19–23 July 2004).

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

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

**Genotype:** The genetic constitution of an organism (Source: FSC 2011).

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

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

HCV1 - Species Diversity. Concentrations of *biological diversity\** including endemic species, and rare, *threatened or endangered\** species, that are significant at global, regional or national levels.

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

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

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

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



HCV 6 - Cultural values. Sites, resources, habitats and *landscapes*\* of global or national cultural, archaeological or historical significance, and/or of critical cultural, ecological, economic or religious/sacred importance for the traditional cultures of local communities or indigenous peoples, identified through engagement with these local communities or indigenous peoples. (Source: FSC 2011).

**Indigenous peoples:** People and groups of people that can be identified or characterized as follows:

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

(Source: Adapted from United Nations Permanent Forum on Indigenous, Factsheet 'Who are indigenous peoples' October 2007; United Nations Development Group, 'Guidelines on Indigenous Peoples' Issues' United Nations 2009, United Nations Declaration on the Rights of Indigenous Peoples, 13 September 2007).

**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). No Date.).

**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 2011).

**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 2011)

**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 2011).

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





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

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

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

**Legal:** In accordance with primary legislation (national or local laws) or secondary legislation (subsidiary regulations, decrees, orders, etc.). 'Legal' also includes rule-based decisions made by legally competent agencies where such decisions flow directly and logically from the laws and regulations. Decisions made by legally competent agencies may not be legal if they do not flow directly and logically from the laws and regulations and if they are not rule-based but use administrative discretion (Source: FSC 2011).

**Legally competent:** Mandated by law to perform a certain function (Source: FSC 2011).

**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 2011).

**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 2011).

**Living wage:** The level of wages sufficient to meet the basic living needs of an average-sized family in a particular economy (Source: International Labour Organization (ILO). Bureau of Library and Information Services. ILO Thesaurus as provided on ILO website).

**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 2011).



**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 2011*).

**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 2011*).

**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 2011*).

**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 2011*).

**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 2011*).

**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' and '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 2011*).

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

'Natural forest' includes the following categories:

- Forest affected by harvesting or other disturbances, in which trees are being or have been regenerated by a combination of natural and artificial regeneration with species typical of natural forests in that site, and where many of the above-ground and below-ground characteristics of the natural forest are still present. In boreal and north temperate forests which are naturally composed of only one or few tree species, a combination of natural and artificial regeneration to regenerate forest of the same native species, with most of the principal



characteristics and key elements of native ecosystems of that site, is not by itself considered as conversion to plantations.

- Natural forests which are maintained by traditional silvicultural practices including natural or assisted natural regeneration.
- Well-developed secondary or colonizing forest of native species which has regenerated in non-forest areas.
- The definition of 'natural forest' may include areas described as wooded ecosystems, woodland and savanna.

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

Natural forest does not include land that is not dominated by trees, was previously not forest, and that 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, clearfelling 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 2011).

**Non-timber forest products (NTFP):** All products other than timber derived from the Management Unit

(Source: FSC 2011).

**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 2011).



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

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

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

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

**The Organization:** The person or entity holding or applying for certification and therefore responsible for demonstrating compliance with the requirements upon which FSC certification is based (Source: *FSC 2011*).

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

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

- Areas which would initially have complied with this definition of 'plantation' but which, after the passage of years, contain many or most of the principal characteristics and key elements of native ecosystems, may be classified as natural forests.
  - Plantations managed to restore and enhance biological and habitat diversity, structural complexity and ecosystem functionality may, after the passage of years, be classified as natural forests.
  - Boreal and north temperate forests which are naturally composed of only one or few tree species, in which a combination of natural and artificial regeneration is used to regenerate forest of the same native species, with most of the principal characteristics and key elements of native ecosystems of that site, may be considered as natural forest, and this regeneration is not by itself considered as conversion to plantations.
- (Source: *FSC 2011*)

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

**Principle:** An essential rule or element; in FSC's case, of forest stewardship (Source: *FSC 1994*).

**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, covenant or agreement (including multilateral environmental agreement) is legally approved by a national legislature or equivalent legal mechanism, such that the international law, covenant 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 2011*).

**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 (including 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*).

**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 2011*).

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.



**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 2011*).

**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 2011*).

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

**Shall:** Indicates a requirement of the standard.

**Shall not:** Indicates a prohibition.

**Should/ and should not:** Indicate a recommendation.

(*Source: Based on ISO Guide 2, General Vocabulary section 7.1; and ISO/IEC Directives Part 2, Fifth edition. 2004. Annex H, Verbal forms for the expression of provisions*).

**Significant:** For the purposes of Principal 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 2011*).

**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 as provided on IUCN website*).



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

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

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

**Uphold:** To acknowledge, respect, sustain and support (*Source: FSC 2011*).

**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 2011*).

**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*).

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