STANDARD DEVELOPMENT GROUP

UGANDA FOREST STEWARDSHIP STANDARD

DRAFT ZERO FINAL

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ABREVIATIONS

AAC	Annual Allowable Cut
CBD	Convention on Biological Diversity
EIA	Environmental Impact Assessment
FAO	Food and Agricultural Organization of the United Nations
FMP	Forest Management Plan
FMU	Forest Management Unit
FSC	Forest Stewardship Council
FSSD	Forestry Services Support Department
GMO	Genetically Modified Organism
HCV	High Conservation Value
HCVF	High Conservation Value Forest
ILO	International Labour Organization
IUCN	International Union of Conservation of Nature
MWE	Ministry of Water and Environment
NEMA	National Environment Management Authority
NFA	National Forestry Authority
NFTPA	National Forestry and Tree Planting Act
NGO	Non-Government Organization
NTFP	Non-Timber Forest Product
P&C	Principles and Criteria
PFE	Permanent Forest Estate
PMU	Policy and Standard Unit
RFM	Responsible Forest Management
SDG	Standard Development Group
SFM	Sustainable Forest Management
SIR	Scale, Intensity and Risk
SLIMF	Small and Low Intensity Managed Forest
SNR	Strict Nature Reserve
SPGS	Sawlog Production Grant Scheme
TMF	Tropical Moist Forest

UFWG	Uganda Forestry Working Group
UWA	Uganda Wildlife Authority
WWF	Worldwide Fund for Nature

1. PREFACE

1.1 Historic Context of Developing the SFM Standard

Uganda has a long history of forestry management, with the first forestry policy developed in 1929. By 1960's the country was renowned for its good forestry practices in Africa, with established management standards for both natural forests and plantations based on researched information of the time. The political upheavals of 1970's through to the 1990's, led to the collapse in the management of the forest resources. The established management standards were forgotten, and in practice the focus was on unsustainable harvesting of the natural forests and plantations. The increasing population (at the average annual rate of about 3.2%) has resulted in growing demand for fuel wood, timber and other forest products and clearance of forests for other land uses, and exacerbated unsustainable use of forest resources.

The Forestry Sector reform (1998 – 2004) resulted in a refocusing of policy, legal and institutional frameworks aimed at promoting responsible forest management (RFM). Together with these efforts has been the development of a range of forest management guidelines. However these various guidelines are scattered over a range of institutions, including Forestry Sector Support Department (FSSD), National Forestry Authority (NFA), Uganda Wildlife Authority (UWA), Sawlog Production Grant Scheme (SPGS), and many different non-government organizations (NGOs) involved in supporting management of forests and trees. In addition, they were not designed to sufficiently integrate internationally accepted standards of practices.

Forestry Certification is recognized to contribute to RFM by applying environmentally friendly, socially acceptable and economically viable approaches. Emerging as a voluntary market-based incentive, forest certification adds value to tradable forest commodities such as timber and carbon credits. The Uganda Forestry Policy (2001) adopted the Forest Stewardship Council (FSC) Scheme as a more suitable internationally recognized code of practice that enhances forest sustainability. The development of the National Forest Stewardship Standard is therefore an important step in applying the globally recognized Principles, Criteria and nationally relevant indicators.

1.2 Descriptive Statement of FSC

FSC is an independent, non-governmental, not for profit organization established to promote responsible management of the world's forests. It provides standard setting, trademark assurance and accreditation services for companies and organizations interested in responsible forestry. Products carrying the FSC label are independently certified to assure consumers that they come from forests that are managed to meet the social, economic and ecological needs of present and future generations.

For further information, please visit: www.fsc.org

2. INTRODUCTION TO THE STANDARD

2.1 Purpose of the Standard

The National Forest Stewardship Standard for Uganda is an adaptation of the FSC International Generic Indicators to apply to Uganda. The FSC Principles and Criteria (P&Cs) for Forest Stewardship provide an internationally recognized standard for RFM, and are applicable to all forest operations seeking FSC certification. The National Standard therefore aims at domesticating the Generic P&Cs by formulating indicators that are relevant to Uganda, and serves the following purposes.

1. To provide a yardstick for RFM in Uganda. In this respect, the Standard provides a level of excellence which Organization*'s worker*s would strive to achieve, even if they are not working for forest certification.

2. To serves as a tool of forest management through which Responsible Bodies (as defined in the National Forestry and Tree Planting Act, 2003) can conduct a self-assessment or audit to see to what extent they are meeting the requirements of responsible forest management.

3. To serve as the Standard to be used by FSC accredited Certification Bodies (CBs) to evaluate forest management practices at FMU level for purposes of forest certification in Uganda.

2.2 Scope of the Standard

This Standard has been designed to guide RFM and evaluation of forest management in Uganda. It applies to all types of forests, including natural forests (tropical moist forests and woodlands). These forests are further categorized depending on their sizes, intensity of management activities and the risks or potential negative impacts, in accordance with the Scale, Intensity and Risk (SIR) Guidelines for Standard Developers (FSC-GUI-60-002 V1-0 EN).

Size category

The size category is related to the number of hectares that the Management Unit covers (see ***Table 1***).

Table 1: Categorization of forests according to Scale

Scale category	Number of hectares in Management Unit
Small scale	≤ 1,000 ha
Medium scale	Between small scale and large scale
Large scale	> 80,000 ha (plantations) > 300,000 ha (non-plantation forest types)

The threshold for the *small scale forests* in Uganda was set at 1,000 ha or less. Based on the size categorization, all forests in Uganda are either small scale or medium scale.

- The forests 1,000 ha and less are small scale;
- Forest plantations above 1,000 ha and less than 80,000 ha are medium scale;
- Natural forests above 1,000 ha and less than 300,000 ha are medium scale;
- There are no large scale forest plantations, since all forests are less than 80,000 ha,
- There are no large scale natural forests, since all are less than 300,000 ha.

Intensity category

According to the SIR Guidelines, the measurement for intensity is based on the rate of harvesting in the Management Unit. ***Table 2*** shows these categories.

Table 2: Categorization of forests according to Intensity

In line with the FSC Guide on SIR, intensity is defined as shown below.

Intensity category	**Harvesting rate (FSC Guide)**	**Definition for Uganda**
Low intensity	• The Management Unit consists of a natural forest in which only Non Timber Forest Products or Ecosystem Services or protected areas; or • The rate of timber harvest is <20% mean annual increment **and** • Annual harvest or average annual harvest < 5,000 m^3 / year	*For Natural Forests:* • Only Non Timber Forest Products or Ecosystem Services are harvested • The rate of timber harvest is <20% mean annual increment **and** • Annual harvest or average annual harvest < 5,000 m^3 / year *For Plantations*: FMUs up to 100ha which are not using chemicals and heavy machinery (e.g. bush clearing tractors or heavy logging machines) in their routine management operations
Medium intensity	• > 20% mean annual increment and < annual allowable cut	For natural forests: • > 20% mean annual increment and < annual allowable cut • Plantations >100ha but less than 1000ha
High intensity	• Plantation FMUs >1000 ha • Natural forest management using short rotations and applying chemicals	• Plantation FMUs >1000 ha • Natural forest management using short rotations and/or applying chemicals

Potential Negative Impact

The scale of a Management Unit and the intensity of the management activities combine to determine the potential negative impacts of management activities. The relationship is shown in

Table 3..

Table 3: The Potential Negative Impact of the Organizations

		Potential Negative Impact		
Intensity	High	MID	MID	HIGH
	Medium	LOW	MID	MID
	Low	LOW	LOW	LOW
	Scale	Small	Medium	Large

Based on the potential negative impacts, the organizations are classified as Low Impact Organizations (LIOs), Mid Impact Organizations (MIOs) or High Impact Organizations (HIOs). The implication of this classification on the National Standard is that:

- Low potential negative impact Organizations will be required to meet minimal administrative burden. This includes documenting consultation, assessments, management plans and monitoring;
- Mid potential negative impact Organizations will meet the requirements listed in the IGIs;
- High potential negative impact Organizations will be required to meet higher requirements than those listed in the IGIs, in addition to meeting the IGIs.

In Uganda, there are only small scale and medium-scale forests, and hence the scenario of HIOs does not feasible. Therefore, the indicators in this Standard are applicable to the MIOs and LIOs. The specific indicators for LIOs were defined based on the principle of "assessment/engagement default applies" (see SIR Guidelines for Standard Developers for details).

2.3 FSC Hierarchical framework

This Standard has been designed to comply with the requirements of FSC-STD-20-002 Structure and Content of Forest Stewardship Standards (February 2013), and founded on the 10 FSC Principles (see **Table 4**).

Table 4: FSC Principles of responsible forest management

FSC Principle
Principle 1: Compliance with Laws
Principle 2: Workers' Rights and Employment Conditions
Principle 3: Indigenous Peoples' Rights
Principle 4: Community Relations
Principle 5: Benefits from the Forest
Principle 6: Environmental Values and Impacts
Principle 7: Management Planning
Principle 8: Monitoring and Assessment
Principle 9: High Conservation Values
Principle 10: Implementation of Management Activities

The Standard is structured in a hierarchy of FSC Principles, Criteria and a set of Indicators of forest management "best practice" that a forest owner or manager has to achieve under each criterion. For each indicator, Verifiers are provided. **Table 5** describes each element of the Standard.

Table 5: Hierarchy of the elements of the FSC Standard

FSC Principle	The 10 Principles of responsible forest management.	This is as Principle 1, Principle 2, etc
FSC Criteria (singular criterion)	The various criteria described under each Principle. It is a means of judging whether or not a Principle has been fulfilled	For Criteria under Principle 1 are designated as 1.1; 1.2; 1.3, etc
Standard Indicator	This is a simple statement that something is done, or that something exists. The indicator provides objective evidence of the norm that requires compliance. The auditors use this to confirm compliance (yes) or non-compliance (no).	Designated under relevant Criteria, e.g. 1.1.1; 1.1.2; 1.1.3, 3etc
Verifier	A description of the source of evidence, e.g. documents, field observation or interviews	
Guidance	Descriptions to facilitate further understanding of the requirement of the specific indicator	

Compliance with the standard shall be determined by evaluating observed performance at the Forest Management Unit (FMU) level against each indicator of the standard, and in comparison with any performance threshold(s) specified for the indicator

2.4 The Current Version

The current version of Standard is the first for Uganda, and was aligned with Version 5 of FSC Principles and Criteria (P&C)

2.5 Effective Date

- *Date on which it is approved by FSC*
- *The Effective Date*
- *The Version Number*

3. CONTEXT

3.1 General Description of the Area Covered by the Standard

The Standard applies to the management of all types of forests within Uganda, including natural forests in protected areas, privately owned natural forests, plantations on protected areas and private land.

3.2 Forestry in Uganda

Uganda has a total area of 24.155 million hectares, of which about 20.4 million is land, and the rest is covered by open water and wetlands. Forests cover 3.6 million ha (about 18% of land area), and are categorized broadly into forest plantations, tropical high forests, woodlands. However, there are also trees scattered in bushlands, grasslands, subsistence farmlands and commercial farmlands **(Table 6)**.

Table 6: Uganda's National Land cover

Land cover	Protected areas	Private land	Total
Forest cover			
Plantations	21,790	11,737	33,527
Tropical high forests	558,288	234,361	792,649
Woodlands	722,979	2,055,019	2,777,998
Sub-total 1: Total forest and woodland area	***1,303,057***	***2,301,117***	***3,604,174***
Area with scattered tree cover			
Bushlands	517,156	2,451,519	2,968,675
Grasslands	989,556	3,074,026	4,063,582
Subsistence farmlands	225,837	8,621,755	8,847,592
Commercial farmlands	3,967	102,662	106,629
Sub-total 2: Total area with scattered tree cover in these categories	***1,736,516***	***14,249,962***	***15,986,478***
Sub-total 3: Other (built-up area, wetlands, water, impediments)	***66,792***	***4,497,816***	***4,564,608***
Total area	**3,106,365**	**21,048,895**	**24,155,260**

Source: Adapted from NFA, 2009

Almost all Ugandans use forest and tree products in one form or another (timber, poles, firewood, charcoal, non-timber forest products, or benefit from the ecological functions derived from the forests. However, there is increasing rate of deforestation. The National Forestry Authority estimated the average rate of deforestation in Uganda to be about 1.8%, based on the 2005 satellite imagery data (NFA, 2009). Deforestation was highest in woodlands (2%), followed by tropical high forests (0.9%) and plantations (0.3%). See **Table 7**.

Table 7: Changes in the forest cover between 1990 and 2005

	Plantations	TMF	Woodlands	Total Forest cover
Area (ha) in 1990	35,066	924,207	3,974,102	4,933,375
Area)ha) in 2005	33,527	792,649	2,777,998	3,604,174
Change in Area	-1,539	-131,558	-1,196,104	-1,329,201
Annual change (ha)	-103	-8,771	-79,740	88,613

% Change in Area	-4.4	-14.2	-30.1	-26.9
% Change per year	-0.3	-0.9	-2.0	-1.8

Source: Adapted from NFA, 2009

The Uganda Forestry Policy and the National Forestry and Tree Planting Act aim at achieving sustainable increases in economic, social and environmental benefits from forests and trees by all the people of Uganda. To this end, responsible forest management (RFM) approach is considered very important in addressing the high deforestation rate, and to ensure that Ugandans continue to enjoy the products and services from forests and trees.

3.3 The Process of Developing the Standard

This Standard has been developed by the Standards Development Group for Uganda (SDG), with the support of the FSC National Focal Point in Uganda and team of experts. **Table 8** shows the members of the SDG, which takes into consideration a balanced representation of the environmental, economic and social stakeholder interests, with seven members per chamber. In addition, a fair balance was maintained for the category of institutions representing Government (8 members), private sector (6 members) and civil society organizations (7 members).

Table 8: Members of the Standard Development Group

Name	Organization	Institutional category	Expertise	Stakeholder interest
1. Clement Okia	Makerere University School of Forestry, Biodiversity and Tourism	Independent	Chairperson	Independent
2. Levi Etwodu	National Forestry Authority (NFA)	Government	Natural forest management	Environment
3. Francis Ogwal	National Environment Management Authority (NEMA)	Government	Biodiversity conservation	Environment
4. Sophie Kutegeka	IUCN	Civil Society	Community forestry	Environment
5. Byabashaija Denis Mujuni	National Forestry Resources Research Institute	Government	Forestry research	Environment
6. Luke Onzima Badraa	Kyenjojo District Local Government	Government	Environment service delivery	Environment
7. Bob Kazungu	Ministry of Water & Environment /Forestry Services Support Department (FSSD)	Government	Environmental policy, laws and strategic development	Environment
8. Charles Walaga	Environmental Alert	Civil society	Working with communities and other stakeholders in the forestry sector	Environment

Name	Organization	Institutional category	Expertise	Stakeholder interest
9. Dennis David Kavuma	Uganda Timber Growers Association (UTGA)	Civil society	Coordination of Commercial timber growers	Economic
10. Robert Nabanyumya	N and N Pine Company Ltd	Private sector	Medium size commercial tree grower	Economic
11. Busingye Thaddeus	EMT Foresters Limited	Private sector	Commercial forestry service provider	Economic
12. Motlamedi Johannes Mokwena	Global Woods AG	Private sector	Large-scale commercial tree grower	Economic
13. Kiiza Simon	Green Resources	Private sector	Large-scale	Economic
14. Tonderai Kachale	New Forests Company	Private sector	Large-scale commercial tree grower	Economic
15. Richard Kapere	Uganda Wildlife Authority	Government	Wildlife conservation and tourism	Economic
16. Gaster Kiyingi	Tree Talk	Civil society	Social forestry and communication specialist	Social
17. Madira Davidson	NED	Private sector	Forestry enterprise promotion	Social
18. Moses Nyago	Wildlife Conservation Society	Civil society	Collaborative forest management	Social
19. Edith Kabesiime	CARE (U)	Civil society	Indigenous and less advantaged communities	Social
20. Patrick Ssekitoleko	Uganda National Bureau of Standards (UNBS)	Government	National standards	Social
21. Gerald Eilu	Makerere University School of Forestry, Environmental & Geographical Science	Government	Forest education and research	Social
22. Martin Asiimwe	WWF Uganda Country Office	Civil society	Working with communities and stakeholder coordination	Social
23. Steve Nsita	Havilah Company Ltd	Private sector	Expert on FSC	Technical

Name	Organization	Institutional category	Expertise	Stakeholder interest
			Certification	Support
24. Stephen Khaukha	Havilah Company Ltd	Private sector	Forestry expert	Technical Support
25. Edward K. Mupada	Havilah Company Ltd	Private sector	FSC Focal Point	Technical Support

3.4 Associated documentation references in the Standard

FSC-ADV-30-901	*Interpretation of Criterion 9-2*
FSC-DIR-20-007 FSC	*Directive on Forest Management Evaluations*
FSC-GUI-30-001 FSC	*Pesticides Policy: Guidance on Implementation*
FSC-GUI-30-004 FSC	*Principles 2 and 3: Guidance on Interpretation*
FSC-GUI-60-001	*Guidance on the Interpretation of the FSC Principles and Criteria to Take Account of Small Scale and Low Intensity*
FSC-GUI-60-002 V1-0 EN	*Scale, Intensity and Risk (SIR) Guideline for Standard Developers*
FSC-GUI-60-004 FSC	*Forest Stewardship Standards: Structure, Content and Suggested Indicators*
FSC-POL-01-004	*Policy for the Association of Organizations with FSC*
FSC-POL-10-004	*Scope of Application of the FSC Principles and Criteria for Forest Stewardship, and associated FSC-DIS-01-001*
FSC-POL-20-002	*Partial Certification of Large Ownerships*
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-PRO-01-001	*The Development and Approval of FSC Social and Environmental International Standards*
FSC-PRO-01-005	*Processing Appeals*
FSC-PRO-01-008	*Processing Complaints in the FSC Certification Scheme*
FSC-PRO-01-009	*Processing Formal Complaints in the FSC Certification Scheme*
FSC-STD-01-002	*Glossary of Terms*
FSC-STD-01-003	*SLIMF Eligibility Criteria*
FSC-STD-01-005 FSC	*Dispute Resolution System*
FSC-STD-20-001	*General Requirements for FSC Accredited Certification Bodies*
FSC-STD-20-002 V2 1 EN	*Structure and Content of Forest Stewardship Standards*
FSC-STD-20-012	*Standard for Evaluation of FSC Controlled Wood in Forest Management Enterprises*
FSC-STD-30-005 FSC	*Standard for Group Entities in Forest Management Groups*
FSC-STD-30-010	*Controlled Wood Standard for Forest Management Enterprises*
FSC-STD-40-005	*Standard for Company Evaluation of Controlled Wood*
FSC-STD-60-002	*Structure and Content of National Forest Stewardship Standards*
FSC-STD-60-006	*Development of National Forest Stewardship Standards*

4. PRINCIPLES, CRITERIA AND INDICATORS

PRINCIPLE 1: COMPLIANCE WITH LAWS

The Organization* shall* comply with all applicable laws, regulations and nationally-ratified international treaties, conventions and agreements. (P1 V4)

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. (C1.1 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
1.1.1	Legal registration* to carry out all activities within the scope of the certificate is documented.	Legal registration* to carry out all activities within the scope of the certificate is documented.		• Documents of legal registration.	***Guide1:*** Government agencies are established by law or executive order. Registration of private and community based entities is normally carried out by the Registrar of Titles at national level and local government at district and sub-county level ***Guide:*** Legal registration to operate as an enterprise is done through the Registrar of companies, NGO

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
					Registration Board, or Local Governments ***Guide2:*** Mandates of statutory bodies is prescribed in the respective Sttutory Instruments establishing them. NFA (CFRs), local governments (LFRs), established under NFTPA; UWA (wildlife conservation areas) established under Uganda Wildlife Act
1.1.2	Legal registration* is granted by a legally competent* authority according to legally prescribed processes.	Legal registration* is granted by a legally competent* authority, according to legally prescribed processes		• Evidence that the issuing body and signatory are legally authorized • Documents of legal registration, OR • Statutory Instrument	***Guide:*** Legal registration to operate as an enterprise is done through the Registrar of companies, NGO Registration Board, or Local Governments

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
				prescribing mandate	

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. (C2.1 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
1.2.1	Legal* tenure* to manage and use resources within the scope of the certificate is documented.	Legal* tenure* to manage and use resources within the scope of the certificate is documented.		• Land titles • Certificates of customary ownership of land • Licenses, • agreements, and confirmation letters from local authorities • Consultations with the Organization* 's worker*s and relevant stakeholders	
1.2.2	Legal* tenure* is granted by a legally competent* authority according to legally prescribed processes.	Legal* tenure* is granted by a legally competent* authority according to legally prescribed processes.		• Land titles • Certificates of customary ownership • Licenses, • agreements, and confirmation letters from local authorities	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
				• Consultations with the Organization* 's worker*s and relevant stakeholders	
1.2.3a	The boundaries of all Management Units* within the scope of the certificate are clearly marked or documented and clearly shown on maps.	The boundaries of all Management Units* within the scope of the certificate are clearly marked or documented and clearly shown on maps.		• boundary plan maps • observation of boundary marks on the ground (cairns, live markers, direction trenches) • interviews with the Organization's workers and other stakeholders	
1.2.3b		The boundaries of all Management Units* within the scope of the certificate are clearly marked or documented.		• observation of boundary marks on the ground (cairns, live markers, direction trenches) • interviews with the Organization's workers and other stakeholders	

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. (C1.1, 1.2, 1.3 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
1.3.1	All activities, including the harvest of products and/or supply of ecosystem services*, are carried out in compliance with: 1. Applicable laws* and regulations and administrative requirements, 2. Obligatory codes of practice, and 3. Legal* and customary rights*.	All activities, including the harvest of products and/or supply of ecosystem services*, are carried out in compliance with: 1. Applicable laws* and regulations and administrative requirements, 2. Obligatory codes of practice, and 3. Legal* and customary rights*.		• The Forest Management Plan* and operational plans • Policies, operational procedures and standards. • Licences or permits • Interviews with, Organization *'s worker*s and other stakeholders. • Field observations	***Guide:*** See Annex A
1.3.2	Payment is made in *a timely manner** of all applicable legally prescribed charges connected with forest* management.	Payment is made in *a timely manner** of all applicable legally prescribed charges connected with forest* management.		• Invoices, tax returns, receipts. • Books of Accounts • Interviews with the Organization' s workers and other stakeholders.	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
1.3.3	Activities covered by the management plan* are designed to comply with all applicable laws*.	Activities covered by the management plan* are designed to comply with all applicable laws*.		• Forest Management Plan • Interviews with the Organization' s workers and other stakeholders	See Annex A

1.4 The Organization* shall develop and implement measures, and/or shall engage with regulatory agencies, to systematically protect the Management Unit* from unauthorized or illegal resource use, settlement and other illegal activities. (C1.5 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
1.4.1 a	Measures are developed and implemented to systematically provide protection* from illegal harvesting, hunting, fishing, trapping, collecting, settlement and other unauthorized activities.	Measures are developed and implemented to systematically provide protection* from illegal harvesting, hunting, fishing, trapping, collecting, settlement and other unauthorized activities.		• A documented Forest protection Strategy • Records tracking various illegal activities • Field observations • interviews with Organization* 's worker*s and other stakeholders • Reports (monthly, situational, field visit reports, etc)	***Guide:*** Illegal or prohibited activities are described in the NFTP Act, and other laws.

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
				• .	
1.4.1b		**LIO** Measures to control, monitor and prevent illegal and unauthorized activities on the FMU are in place and implemented		• Field observations • interviews with stakeholders	
1.4.2	Where protection* is the legal* responsibility of separate regulatory bodies, a system is implemented to work with these regulatory bodies to identify, report, control and discourage unauthorized or illegal* activities.	Where protection* is the legal responsibility of separate regulatory bodies, a system is implemented to work with these regulatory bodies to identify, report, control and discourage unauthorized or illegal* activities.		• A record on collaborative activities • Interviews with Organization* 's worker*'s , regulatory bodies and other stakeholders	
1.4.3	If illegal or unauthorized activities are detected, measures to address them are undertaken.	If illegal or unauthorized activities are detected, measures to address them are undertaken.		• Documented evidence • Interviews with Organization* 's worker*s, regulatory bodies and other stakeholders	

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. (C1.1, 1.3)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
1.5.1	Records demonstrate 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.	Records demonstrate 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.		• Records on compliance • receipts, • Produce Movement Permits, • field observations • interviews with stakeholders	
1.5.2	Compliance with CITES provisions is demonstrated, including through possession of certificates for harvest and trade in any CITES species.	Compliance with CITES provisions is demonstrated, including through possession of certificates for harvest and trade in any CITES species.		• Lists of CITES plants and animals, (see Annex A) • Evidence of protection of CITES species • Interviews with the Organization' s workers and other stakeholders	

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. (C2.3 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
1.6.1 a	A *publicly available* dispute** resolution mechanism is in place; developed through *culturally appropriate** engagement* with	A *publicly available* dispute** resolution mechanism is in place; developed through *culturally appropriate** engagement* with		• Documented dispute resolution mechanism • Evidence f public availability of document	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	affected stakeholders*.	affected stakeholders*. .		• Records of engagements	
1.6.1b		**LIO** Dispute resolution is implemented through the locally accepted practices		• Interviews with stakeholders •	
1.6.2	*Disputes** related to issues of a*pplicable laws** or *customary law** that can be settled out of court are responded to in a *timely manner**, and are either resolved or are in the *dispute** resolution process.	*Disputes* related to issues of *applicable laws** or *customary law** that can be settled out of court are responded to in a *timely manner **, and are either resolved or are in the *dispute** resolution process.		• Documentary evidence • Interviews with the Organization* s workers and other stakeholders	
1.6.3	An up to date record of disputes related to issues of applicable laws* or customary law, is held including: 1. Steps taken to resolve *disputes**; 2. Outcomes of all *dispute** resolution processes; and 3. Unresolved *disputes*,*the reasons why they are not resolved, and how they will be resolved.	An up to date record of disputes related to issues of applicable laws* or customary law, is held including: 1. Steps taken to resolve *disputes**; 2. Outcomes of all *dispute** resolution processes; and 3. Unresolved *disputes*,* the reasons why they are not resolved, and how they will be resolved.		• Documented records of the disputes • Interviews with stakeholders	
1.6.4	Operations cease in areas while disputes exist of: 1. Substantial magnitude; 2. Substantial	Operations cease in areas while disputes involving the following exist: 1. ownership and management	In Uganda, these are the key issues that constitute disputes of	• Interviews with Organization*' s worker*s and consultation	***Guide:*** A dispute is substantial if it affects 5% or more of the

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	duration; or 3. Involving a significant* number of interests.	rights of the resource is disputed 2. the safety of workers or local communities is threatened 3. court has issued an injunction	substantial magnitude, duration and usually involving a significant number of interests	with representatives of local communities, local government officials, traditional leaders and other opinion leaders. • Complete record of a history of disputes	FMU and / or persistent for one month or more

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. (New)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
1.7.1a	A policy is implemented that includes a commitment not to offer or receive bribes of any description.	A policy is implemented that includes a commitment not to offer or receive bribes of any description.		• Policy statement • Interview with Organization's workers • Interview stakeholders	Uganda has a CPI of 26 out of 100 (for very clean), and therefore the risk of corruption is very high (Transparency International, 2014)
1.7.1b		**<u>LIOs</u>** A statement in a Management Plan that identifies the		• FMP • Interview with other stakeholders	In Uganda, the points in operations where

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
		points in operations where corruption is likely to occur is implemented		• Interview with Organization's workers	corruption is likely to occur include getting a license to plant in FRs; payment of the necessary fees & taxes; under-declaration of forest produce (sizes, quantities, species), illegal harvesting in FRs and marketing produce, among others
1.7.2	The policy meets or exceeds related legislation.	The policy or statement meets or exceeds related legislation.		• Policy or statement	Refer to Annex A on laws related to corruption
1.7.3	The policy is *publicly available** at no cost	The policy or statement is *publicly available** at no cost		• Evidence of public availability	
1.7.4	Bribery, coercion and other acts of corruption do not occur.	Bribery, coercion and other acts of corruption do not occur.		• Audit and monitoring reports • Interviews with the Organization's workers and other stakeholders • Record of relevant legal or administrativ	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
				e proceedings	
1.7.5a	Corrective measures are implemented if corruption does occur.	Corrective measures are implemented if corruption does occur		• Documented evidence of corrective measures applied • Interview with stakeholders • Interview with Organization's workers	
1.7.5b		**LIOs** Corrective measures are implemented if corruption does occur		• Interview with other stakeholders • Interview with Organization's workers	

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)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
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 the FSC Principles* and Criteria* and	A written policy, endorsed by an individual with authority to implement the policy, includes a long- term commitment to forest* management practices consistent with the FSC Principles* and Criteria* and		• Written policy with appropriate statement is available • Evidence of public display and disseminatio n of policy • Interviews with Organization *'s worker*s,	***For LIOs*** A statement in a Management Plan committing the Organization to FSC Principles, Criteria, related policies and standards is sufficient

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	related Policies and Standards.	related Policies and Standards.		and stakeholders	
1.8.2	The policy is publicly available* at no cost.	The policy is publicly available* at no cost.		• Evidence of public availability	

PRINCIPLE 2: WORKERS' RIGHTS AND EMPLOYMENT CONDITIONS.

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

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. (C4.3 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
2.1.1	Employment practices and conditions for workers* demonstrate conformity with or uphold the principles and rights of work addressed in the ILO Core Conventions as defined in the ILO Declaration on Fundamental Principles and Rights at Work.	Employment practices and conditions for workers* demonstrate conformity with or uphold the principles and rights of work addressed in the ILO Core Conventions, as defined in the ILO Declaration on Fundamental Principles and Rights at Work.		• Policies • Interviews with workers and labour organizations	Refer to Annex A on laws related to workers' rights
2.1.2	*Workers** are able to establish or join labour organizations of their own choosing subject only to the rules of the labour organization	Workers* are able to establish or join labour organizations of their own choosing subject only to the rules of the labour organization	Article 5 of the Convention concerning Freedom of association and Protection of	• Workers committees • Minutes of meetings for workers • Minutes of joint meetings between	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	concerned.	concerned.	the right to organize (1950) Labour Union act (2006)	workers and Management	
2.1.3	Agreements are implemented resulting from collective bargaining with formal and informal workers organization*.	Agreements are implemented resulting from collective bargaining with formal and informal workers organization*.		• Evidence of agreements being implemented • Interviews with Organization*' s worker*s and Labour Union representatives, CSOs and local authorities	
		There is no evidence of forced or compulsory labor in any operation under the control of the Organization*.	Employment Act (2006)	• Interviews with Organization*' s worker*s and Labour Union representatives, CSOs and local authorities	
		Persons below the age of compulsory schooling and in any case persons below the age of 15 are not normally used for work, but persons 13 to 15 years of age may be used on light work under supervision that is not likely to be harmful to their health or	Employment Act (2006) Section 32 Minimum Age Convention (1973)	• Interviews with Organization*' s worker*s and Labour Union representatives, CSOs and local authorities • Specialized study reports • Field observations	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
		development			

2.2 The Organization* shall* promote gender equality* in employment practices, training opportunities, awarding of contracts, processes of engagement* and management activities. (New, per Motion 12 at GA 2002)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
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.	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..		• Policies, including the Human Resource Manual • Interviews with Organization*'s worker*s and labour union representatives, CSOs, local authorities.	
2.2.2	Job opportunities are open to both women and men under the same conditions, and women are encouraged to actively participate in all levels of employment.	Job opportunities are open to both women and men under the same conditions, and women are encouraged to actively participate in all levels of employment		• Policies, including the Human Resource Manual • Interviews with Organization*'s worker*s and labour union representatives, CSOs, local authorities.	
2.2.3	Work typically carried out by women (silviculture, Non Timber Forest Product harvesting, weighing, packing, etc) is included in	Work typically carried out by women (silviculture, Non Timber Forest Product harvesting, weighing, packing, etc) is included in		• Training program • Interviews with workers • Training Reports (for large FMUs)	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	training and health & safety programs to the same extent as work typically carried out by men.	training and health & safety programs to the same extent as work typically carried out by men			
2.2.4	Women and men are paid the same wage when they do the same work.	Women and men are paid the same wage when they do the same work.		• Pay rolls • Interviews with the Organization's workers	
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.	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.		• Evidence of direct payment to women • Interviews with the organization's workers	
2.2.6	Maternity leave is no less than a six-week period after childbirth.	Maternity leave is no less than a six-week period after childbirth.		• Human Resource Manual (for large FMUs) • Interviews with the Organization's workers	Refer to the Employment Act (2006)
2.2.7	Paternity leave is available and there is no penalty for taking it.	Paternity leave is available and there is no penalty for taking it.		• Human Resource Manual (for large FMUs) • Interviews with the Organization's workers	Refer to the Employment Act (2006)
2.2.8	Meetings, management committees and decision-making forums are organized to include women and	Meetings, management committees and decision-making forums are organized to include women and		• Record of meetings and decision making forums • Interview with the Organization's	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	men, and to facilitate the active participation of both.	men, and to facilitate the active participation of both.		workers	
2.2.9	Confidential and effective mechanisms exist for reporting and eliminating cases of sexual harassment and discrimination based on gender, marital status, parenthood or sexual orientation.	Confidential and effective mechanisms exist for reporting and eliminating cases of sexual harassment and discrimination based on gender, marital status, parenthood or sexual orientation.		• Organizational policy and guidelines • Interviews with the Organization's workers	

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. (C4.2 V4, revised to comply with ILO and FSC-POL-30-401)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
2.3.1a	Health and safety (H&S) practices are developed and implemented that meet or exceed the ILO Code of Practice on Safety and Health in Forestry Work	Health and safety (H&S) practices are developed and implemented that meet or exceed the ILO Code of Practice on Safety and Health in Forestry Work		• Documented H&S Strategy • A record of health care services provided to workers • Interviews with the Organization's workers • Field observations	
2.3.1b		**<u>LIOs</u>** Health and safety (H&S) practices commensurate with the nature of the job are	To cater for ILOs	• Interviews with the Organization's workers • Interview with other	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
		implemented		stakeholders • Field observations	
2.3.2	Workers* have personal protective equipment appropriate to their assigned tasks.	Workers*have personal protective equipment appropriate to their assigned tasks.		• Records • Interviews with workers • Observation	
2.3.3	Use of personal protective equipment is enforced.	Use of personal protective equipment is enforced.		• Employment contract • Interviews with workers • Observation	
2.3.4a	Records are kept on Health and Safety practices, including accident rates and lost time to accidents.	Records are kept on Health and Safety practices, including accident rates and lost time to accidents.		• Records • Reports of studies analyzing accidents	
2.3.4b		**LIOs** Workers know the Health and Safety practices and their importance.	To cater for low intensity and low risk	• Interviews with workers	
2.3.5a	The frequency and severity of accidents are consistently low compared to national forest* industry averages.	Studies are undertaken to establish the national forest industries average for the frequency and severity of accidents	Uganda does not have a system for establishing national forest industry averages for accidents. A study is necessary.	• Study reports	
2.3.5b		The frequency and severity of accidents are consistently low		• Records of accidents • Study reports • Interviews	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
		compared to national forest* industry averages		with workers	
2.3.5c		**<u>LIOs</u>** The frequency and severity of accidents are known by the Organization's workers		• Interviews with the Organization's workers	
2.3.6	The Health and Safety practices are reviewed and revised as required after major incidents or accidents.	The Health and Safety practices are reviewed and revised as required after major incidents or accidents.		• Up-dated Health and Safety Strategy • Evidence of adaptive management with respect to health and safety • Interviews with Organization's workers	

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*. (New)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
2.4.1	Wages paid by The Organization in all circumstances exceed legal* minimum wage rates, where such rates exist.	Wages paid by The Organization in all circumstances exceed legal* minimum wage rates, where such rates exist.		• Interviews with the workers • Salary and wage structure • Pay roll • Labour-related studies	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
2.4.2	Wages paid meet or exceed: 1) Minimum forest* industry standards; or 2) Other recognized forest* industry wage agreements; or 3) Living wages* that are higher than legal* minimum wages.	Wages paid meet or exceed: 1) Minimum forest* industry standards; or 2) Other recognized forest* industry wage agreements; or 3) Living wages* that are higher than legal* minimum wages.		• Salary and wage structure • Pay roll • Interviews with workers and other industry employers	***Guide:*** Wages benchmarked with similar actors in the industry include, for example, Uganda Wildlife Authority, NFA, Private forest owners, agricultural estates, processing industries, carpentry, etc)
2.4.3	When no minimum wage levels exist, wages* are established through *culturally appropriate** engagement* with workers* and / or formal and informal workers organizations*.	When no minimum wage levels exist, wages* are established through *culturally appropriate** engagement* with workers* and / or formal and informal workers organizations*.		• Interviews with workers • Salary and wage structure • Pay roll • Procedure used to determine wage rates • Interview with similar industry actors •	***Guide:*** Wages benchmarked with similar actors in the industry include, for example, Uganda Wildlife Authority, NFA, Private forest owners, agricultural estates, processing industries, carpentry, etc) Minimum wage may also be calculated to cover cost of living, to include: Meals, Transport, Health, inflation, accommodation & duty assigned
2.4.4	Wages, salaries and contracts are paid on time.	Wages, salaries and contracts are paid on time.		• Interviews with workers • Pay rolls	

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. (C7.3 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
2.5.1	Relevant workers* have job specific training consistent with Annex B to safely and effectively contribute to the implementation of the management plan* and all management activities.	Relevant workers* have job specific training consistent with Annex B to safely and effectively contribute to the implementation of the management plan* and all management activities.		• Training program • Records of training events • Skills certificates • Field observation • Interviews of staff, contractors, workers and other stakeholder	Refer to Annex B
2.5.2	Up to date training records are kept for all relevant workers*. .	Up to date training records are kept for all relevant workers*.		• Records of training events •	

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*. (New to address gap in P&C V4).

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
2.6.1	.A dispute resolution process is in place, developed through *culturally appropriate** engagement* with	A dispute resolution process is in place, developed through *culturally appropriate** engagement* with		• Documented dispute resolution process • Human Resource Manual • Conflict	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	workers*.	workers*.		management policy • Clauses for conflict resolution in employee contracts • Interviews with Organization*' s worker*s and contractors	
2.6.2	Workers* grievances are identified and responded to and are either resolved or are in the dispute* resolution process.	Workers* grievances are identified and responded to and are either resolved or are in the dispute* resolution process.		• Record of reported grievances (***For large FMUs)*** • Proceedings of how the grievances were dealt with • Interviews with Organization*' s worker*s and other stakeholders	
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	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;		• Record of reported grievances • Interviews with Organization*' s worker*s, and contractors, workers and other stakeholders	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	resolve grievances; 2. Outcomes of all grievance resolution processes including fair compensation; and 3. Unresolved grievances, the reasons they are not resolved and how they will be resolved.	2. Outcomes of all grievance resolution processes including fair compensation; and 3. Unresolved grievances, the reasons they are not resolved, and how they will be resolved.			
2.6.4	*Fair compensation** is provided to workers* for loss or damage of property and occupational disease* or injuries.	*Fair compensation** is provided to workers* for loss or damage of property and occupational disease* or injuries.		• Documented evidence of compensation • Interviews with workers and other stakeholders	Refer to the Workers Compensation Act (2000) and the related regulations

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 V4)

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

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
3.1.1	Indigenous peoples* that may be affected	Indigenous peoples* that may be affected by		• Documented internationall y accepted	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	by management activities are identified..	management activities are identified		process of identifying the indigenous peoples • Interviews with Organization *'s worker*s, affected stakeholders and other stakeholders	
3.1.2a	Through *culturally appropriate** engagement* with the indigenous peoples* identified in 3.1.1, 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. Their legal and customary rights and obligations that apply ; 4. The evidence supporting these rights and obligations; 5. Areas where	Through *culturally appropriate** engagement* with the indigenous peoples*, identified in 3.1.1, 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. Their legal and customary rights and obligations that apply; 4. The evidence supporting these rights and obligations; 5. Areas where rights are contested between		• Documented indigenous peoples rights and obligations that include (1) - (5) • Documented system of engagement • Forest Management Plans and maps • Interviews with representatives of indigenous peoples.	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	rights are contested between indigenous 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 *indigenous peoples** related to management activities.	indigenous 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 *indigenous peoples** related to management activities.			
3.1.2b		**<u>LIOs</u>** Culturally appropriate ways of engaging the IP are being practiced		• Interviews with the IPs and other stakeholders	

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*. (C3.1 and 3.2 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
3.2.1a	Through culturally appropriate* engagement* Indigenous peoples* are informed when, where and how	Through culturally appropriate* engagement* Indigenous peoples* are informed when, where and how		• Mutually agreed guidelines for engagement • Interviews with IPs and	

	International Generic Indicator	**Draft National Indicator**	**Rationale**	**Verifiers**	**Comments / Guidance**
	they can comment on and request modification to management activities to the extent necessary to protect their rights, resources, lands and territories*.	they can comment on and request modification to management activities to the extent necessary to protect their rights, resources, lands and territories*.		workers • Monitoring reports	
3.2.1b	*proposed new*	There is evidence that steps have been taken to address the views & requests of the IPs, and that feedback is provided in line with FPIC practices	It is necessary for the IPs to know how their views have been applied, or why some of the views have not been used	• Feedback mechanism • Management Plans and Annual Work Plans • Revised policies and strategies • Interviews with IPs and other stakeholders	
3.2.2	The legal* and customary rights* of indigenous peoples* are not violated by the Organization*.	The legal* and customary rights* of indigenous peoples* are not violated by the Organization*.		• Interviews with IPs and other stakeholders • Field observations	***Guide:*** where the IPs were moved out of the protected area, resettled and/or compensated their customary rights over access and use of such protected area shall not be extinguished
3.2.3	Where evidence exists that legal* and customary rights* of indigenous peoples* related to management activities have	Where evidence exists that legal* and customary rights* of indigenous peoples* related to management activities have		• Interviews with the indigenous peoples and other stakeholders • Evidence of correction of	

	International Generic Indicator	**Draft National Indicator**	**Rationale**	**Verifiers**	**Comments / Guidance**
	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	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.		violations	
3.2.4	Free, prior and informed consent* is granted by indigenous peoples* prior to management activities that affect their identified rights through a process that includes: 1) Ensuring indigenous peoples* know their rights and obligations regarding the resource; 2) Informing the indigenous peoples* of the value, in economic, social and environmental terms, of the resource over which they are considering delegation of control; 3) Informing the indigenous	Free, prior and informed consent* is granted by indigenous peoples* prior to management activities that affect their identified rights through a process that includes: 1) Ensuring indigenous peoples* know their rights and obligations regarding the resource; 2) Informing the indigenous peoples* of the value, in economic, social and environmental terms, of the resource over which they are considering delegation of control; 3) Informing the indigenous peoples* of their		• Documented processes for achieving FPIC • Agreements signed in a public ceremony • • Interviews with representatives of indigenous peoples.	

	International Generic Indicator	**Draft National Indicator**	**Rationale**	**Verifiers**	**Comments / Guidance**
	peoples* of their right to withhold consent to the proposed management activities to the extent necessary to protect rights, resources, lands and territories*; and 4) Informing the indigenous peoples* of the current and future planned forest* management activities.	right to withhold consent to the proposed management activities to the extent necessary to protect rights, resources, lands and territories*; and 4) Informing the indigenous peoples* of the current and future planned forest* management activities.			

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. (New)

	International Generic Indicator	**Draft National Indicator**	**Rationale**	**Verifiers**	**Comments / Guidance**
3.3.1	A binding agreement* contains the terms and conditions on which Free Prior and Informed Consent* is granted and is established based on culturally appropriate* engagement*.	A binding agreement* contains the terms and conditions on which Free Prior and Informed Consent* is granted and is established based on culturally appropriate* engagement*		• Documented process of negotiating the agreement • Agreements signed by appointed representatives of the parties and witnesses in a public ceremony	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
				• Interviews with Organization*'s worker*s, representatives of indigenous peoples, and other stakeholders.	
3.3.2	Records of binding agreements are maintained.	Records of binding agreements are maintained.		• Records of the Agreements maintained by all the parties involved	

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) (C3.2 V4, revised to comply with FSC-POL-30-401, ILO 169 and UNDRIP)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
3.4.1	The rights, customs and culture of indigenous peoples* as defined in UNDRIP and ILO Convention 169 are not violated by The Organization*.	The rights, customs and culture of indigenous peoples* as defined in UNDRIP and ILO Convention 169 are not violated by The Organization*		• Written commitment to implement UNDRIP and ILO Convention 169 • Interviews with Organization*'s worker*s and the indigenous peoples	
3.4.2	Where evidence that rights, customs and culture of indigenous peoples* as defined in UNDRIP and ILO Convention 169,	Where evidence that rights, customs and culture of indigenous peoples* as defined in UNDRIP and ILO Convention 169,		• Records on violation and steps taken to restore IP rights • Interviews with the IPs	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	have been violated by the Organization the situation is documented including steps to restore* these rights, customs and culture of indigenous peoples*, to the satisfaction of the rights holders.	have been violated by the Organization the situation is documented including steps to restore* these rights, customs and culture of indigenous peoples*, to the satisfaction of the rights holders.		and other relevant stakeholders	

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*. (C3.3 V4, revised to POL 30-401)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
3.5.1	Sites of special cultural, ecological, economic, religious or spiritual significance for which *indigenous peoples** hold *legal** or *customary rights** are identified through culturally appropriate *engagement*.*	Sites of special cultural, ecological, economic, religious or spiritual significance for which *indigenous peoples** hold *legal** or *customary rights** are identified through culturally appropriate *engagement*.*		• Documented processes of engagement • Record of identified sites • Interviews with the Organization's workers, IPs and other stakeholders • Field observation	
3.5.2	Measures to protect such sites are agreed, documented and implemented through culturally appropriate	Measures to protect such sites are agreed, documented and implemented through culturally appropriate		• Forest Management Plan • Implementation reports • Interviews with	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	*engagement** with *indigenous peoples**. When indigenous 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.	*engagement** with *indigenous peoples**. When indigenous 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		Organization's workers, IPs and other stakeholders • Field observations	
3.5.3	Wherever sites of special cultural or ecological, economic, religious or spiritual significance are newly observed or discovered, management activities cease immediately in the vicinity until protective measures have been agreed to with the *indigenous peoples**, and as directed by local and *national laws**.	Wherever sites of special cultural or ecological, economic, religious or spiritual significance sites are newly observed or discovered, management activities cease immediately in the vicinity until protective measures have been agreed to with the *indigenous peoples**, and as directed by local and *national laws**.		• Interviews with the Organization's workers, IPs and other stakeholder • Field observations	

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

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
3.6.1	Traditional knowledge and *intellectual property** is protected and is only used when the acknowledged owner of that traditional knowledge and *intellectual property** have provided their *Free, Prior and Informed Consent** formalized through a binding agreement*.	Traditional knowledge and *intellectual property** is protected and is only used when the acknowledged owner of that traditional knowledge and *intellectual property** have provided their *Free, Prior and Informed Consent** formalized through a binding agreement*.		• Documented indigenous knowledge • Documented process of engagement • Agreements • Interviews with Organization*' s worker*s, IPs and other stakeholders	
3.6.2	Indigenous peoples* are compensated according to the binding agreement* reached through *Free, Prior and Informed Consent** for the use of ' traditional knowledge and *intellectual property**.	Indigenous peoples are compensated according to the binding agreement reached through *Free, Prior and Informed Consent** for the use of ' traditional knowledge and *intellectual property** .		• Copies of agreement endorsed and maintained by representatives of all parties involved • Evidence of compensation	

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*. (New)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
4.1.1	Local communities* are identified that may be affected by management activities.	Local communities* are identified that may be affected by management activities .		• Documented internationally accepted process of identifying the local communities • Interviews with Organization*'s worker*s, local communities and other stakeholders	
4.1.2	Through *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. Their legal and *customary** rights and obligations that apply within the *Management Unit**; 4. The evidence supporting these rights and	Through *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. Their legal and *customary** rights and		• Documented local community rights and obligations that include (1) - (5) • Documented system of engagement • Forest Management Plans and maps • Interviews with representatives of local communities.	***Guide***: In Uganda, the engagement process shall take into account: • The varied nature of the communities even around one FMU • Representation through methods agreeable to the communities

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	obligations; 5. Areas where rights are contested between local *communities* *, governments and/or others. 6) Summary of the means by which the legal* and customary rights*, and contested rights are addressed by The Organization*; and 7) The aspirations and goals of local communities* related to management activities.	obligations that apply within the *Management Unit**; 4. The evidence supporting these rights and obligations; 5. Areas where rights are contested between local *communities* *, governments and/or others. 6) Summary of the means by which the legal* and customary rights*, and contested rights are addressed by The Organization*; and 7) The aspirations and goals of local communities* related to management activities.			
	proposed new	Local communities engagement strategy is developed and implemented that ensures Free Prior and Informed Consent (FPIC),	To address the FPIC process of local community consultations and participation	• Local communities engagement Strategy • Interviews with the local communities and other	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
		including: 1. Determining the representatives & contact points; 2. Establishing a mutually agreed, culturally appropriate communication channel; 3. Ensuring that all groups are equitably represented and included; 4. Using the agreed channels to communicate all related information; 5. Recording all meetings, all points discussed and all agreements reached 6. Approving the content of meeting records; and 7. Sharing the		stakeholders	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
		results of all engagement* activities with the community to gain their formal approval			
		<u>For LIOs</u> Culturally appropriate ways of engaging the local communities are being practiced		• Interviews with the local communities and other stakeholders	

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 and lands and territories*. Delegation by local communities* of control over management activities to third parties requires Free, Prior and Informed Consent*. (C3.1 and 3.2 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
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.	*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.		• Mutually agreed guidelines for engagement • evidence that steps have been taken to address the views & requests of the local communities and that feedback is provided in	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
				line with FPIC practices • Interviews with local communities and workers • Monitoring reports	
4.2.2	The legal* and customary rights* of local communities* are not violated by The Organization*.	The legal* and customary rights* of local communities* are not violated by The Organization*.		• Interviews with local communities and other stakeholders • Field observations	***Guide:*** where the local communities were moved out of the protected area, resettled and/or compensated their customary rights over access and use of such protected area shall not be extinguished
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	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		• Evidence of correction of violations • Interviews with the local communities and other stakeholders	
4.2.4	Free, prior and	Free, prior and		• Documented	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	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 consent to the proposed management activities to the extent necessary to protect rights, resources, *lands and territories*;* 4. Informing the *local communities** of the current and future planned *forest** management activities;	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 consent to the proposed management activities to the extent necessary to protect rights, resources, *lands and territories*;* 4. Informing the *local communities** of the current and future planned *forest** management activities;		processes for achieving FPIC • Agreements signed in a public ceremony • Interviews with representatives of local communities.	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance

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 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
4.3.1a	*Reasonable** opportunities are communicated and provided to *local communities**, local contractors and local suppliers for: 1) Employment, 2) Training, and 3) Other services	*Reasonable** opportunities are communicated and provided to *local communities**, local contractors and local suppliers for: 1) Employment, 2) Training, and 3) Other services		• Record of identification process for beneficiaries • Evidence of communication of opportunities • Interviews with the Organization's workers, local communities and other stakeholders	***Low impact Organizations*** should give preference to local people and services, or, in the case of group certification, to group members ***High impact Organizations*** should promote the local provision of employment and services. In order to be able to employ locally for regular activities, training opportunities may need to be provided in order to build up local availability in the medium to long term
4.3.1b		**<u>LIOs</u>** Preference for employment and	To cater for small scale and low	• Interviews with the Organization'	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
		other services is given to local communities	intensity	s workers, local communities and other stakeholders	

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 v4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
4.4.1a	Opportunities for local social and economic development are identified through culturally appropriate *engagement** with *local communities** and other relevant organizations.	Opportunities for local social and economic development are identified through culturally appropriate *engagement** with *local communities** and other relevant organizations.		• A local social-economic Development Strategy • Interviews with the organization's workers local communities and other stakeholders	The Development Plan should include activities that are: a) Requested by free and collective decisions of the local communities; b) Priorities for the communities; c) Sustainable in the long term; d) Beneficial to the local communities as a whole; e) Relevant to the poverty status of the local communities; f) Distributed equitably within the local communities.
4.4.1b		**LIOs**		• Interviews with	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
		Opportunities for local social and economic development are known by the Organization's workers and local communities		the organization's workers local communities and other stakeholders	
4.4.2a	Projects and activities are implemented and / or supported that contribute to local social and economic benefits and are proportionate to the socioeconomic impact of management activities.	Projects and activities are implemented and / or supported that contribute to local social and economic benefits and are proportionate to the socioeconomic impact of management activities.		• Record of projects • Field observations • Interviews with local communities	
4.4.2b		Activities are implemented and / or supported that contribute to local social and economic benefits.	To cater for small scale and low intensity	• Record of projects • Field observations • Interviews with local communities	

4.5 The Organization*, through engagement* with local communities*, shall* take action to identify, avoid and mitigate significant negative social, environmental and economic impacts of its management activities on affected communities. The action taken shall* be proportionate to the scale, intensity and risk* of those activities and negative impacts. (C4.4 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
4.5.1a	Through *culturally appropriate*engagement** with *local communities**, measures are implemented to avoid	Through *culturally appropriate*engagement** with *local communities**, measures are implemented to avoid		• Record of engagement • Documented	The engagement includes, at a minimum: • Informing

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	and mitigate negative social, environmental and economic impacts of management activities.	and mitigate negative social, environmental and economic impacts of management activities.		mitigation measures • Forest management plan • Interviews with the Organization's workers, local communities and other stakeholder • Routine Reports • Field Observations	the affected communities in a proactive manner on their special rights related to FSC certified Management Units; • Providing capacity building to the affected communities to participate in impact assessment, FM planning and annual monitoring; • Mechanisms for resolving grievances and providing fair compensation on e.g. spoiled drinking water, lost NTFPs, damage to community

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
					roads, etc. are agreed in a participatory manner
4.5.1b		**<u>LIOs</u>** In consultation with the local communities and other stakeholders, measures are implemented to avoid and mitigate negative social, environmental and economic impacts of management activities.	To cater for small scale and low intensity	• Forest management plan • Interviews with the Organization's workers, local communities and other stakeholder • Field Observations	

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*.

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
4.6.1	A publicly available dispute resolution process is in place, developed through *culturally appropriate*engagement** with *local communities**.	A publicly available dispute resolution process is in place, developed through *culturally appropriate*engagement** with *local communities**.		• Documented process for dispute resolution • Evidence of public availability of the dispute resolution process • Interviews	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
				with the Organization's workers, local communities and other stakeholders	
4.6.2	Grievances related to the impacts of management activities are responded to in a *timely manner**, and are either resolved or in the *dispute** resolution process.	Grievances related to the impacts of management activities are responded to in a *timely manner**, and are either resolved or in the *dispute** resolution process.		• Processes and guidelines • Evidence of addressing grievances • Interviews with the Organization's workers, local communities and other stakeholders	
4.6.3	An up to date record of grievances related to the impacts of management activities is held including: 1. Steps taken to resolve grievances 2. Outcomes of all disputes resolution processes including fair compensation; and 3. Unresolved disputes, the reasons they are not resolved and how they will be resolved.	An up to date record of grievances related to the impacts of management activities is held including: 1. Steps taken to resolve grievances 2. Outcomes of all disputes resolution processes including fair compensation; and 3. Unresolved disputes, the reasons they are not resolved and how they will be resolved.		• Record of grievances	
4.6.4	Operations cease in areas while disputes exist of: 1. Substantial magnitude;	Operations cease in areas while disputes with local communities exist involving the following: 1. ownership and	To simplify the indicator for audit	• Interviews with Organization*'s worker*s	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	2. Substantial duration; 3. Involving a *significant** number of interests	management rights of the resource is disputed 2. the safety of workers or local communities is threatened 3. court has issued an injunction	purposes	and consultation with representatives of local communities, local government officials, traditional leaders and other opinion leaders. • Complete record of a history of disputes	

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*.

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
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*.*	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*.*		• Documented processes of engagement • Record of identified sites • Interviews with the Organization's workers, local communities and other stakeholders	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
				• Field observation	
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.	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.		• Record of the identified measures • Forest Management Plan • Interviews with Organization's workers, local communities and other stakeholders • Field observations	
4.7.3	Wherever sites of 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**.	Wherever sites of 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**.		• Interviews with the Organization's workers, local communities and other stakeholder • Field observations	

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)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
4.8.1	Traditional knowledge and *intellectual property** is protected and is only used when the owners of the traditional knowledge and *intellectual property** have provided their *Free, Prior and Informed Consent** formalized through a *binding agreement**.	Traditional knowledge and *intellectual property** is protected and is only used when the owners of the traditional knowledge and *intellectual property** have provided their *Free, Prior and Informed Consent** formalized through a *binding agreement**.		• Documented indigenous knowledge • Documented process of engagement • Agreements • Interviews with Organization*'s worker*s, local communities and other stakeholders	
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**.	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**.		• Copies of agreement endorsed and maintained by representatives of all parties involved	

PRINCIPLE 5: BENEFITS FROM THE FOREST.

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

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

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
5.1.1a	The range of resources and *ecosystem services** that could strengthen and diversify the local economy are identified.	The range of resources and *ecosystem services** that could strengthen and diversify the local economy are identified.		• Record of products and services • Forest management plan • Interviews with Organization *'s worker*s and other stakeholders	
5.1.1b		**<u>LIOs</u>** The range of resources and *ecosystem services** that could strengthen and diversify the local economy are known.		• Forest management plan • Interviews with Organization *'s worker*s and other stakeholders	Ecosystem services 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

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
					recreational, spiritual, religious and other non-material benefits.
5.1.2a	Consistent with management *objectives**, the identified benefits and products are produced and/or made available for others to produce, to strengthen and diversify the local economy.	Consistent with management *objectives**, the identified benefits and products are by priority made available to others to produce, to strengthen and diversify the local economy.		• Records of organizations involved in the production processes • Interviews with Organization *'s worker*s and other stakeholders • Forest Management Plan	
5.1.2b		**<u>LIOs</u>** Consistent with management *objectives**, the identified benefits and products are produced to increase economic viability of the business and strengthen and diversify the local economy.	To cater for LIOs	• Production records • Interviews with Organization *'s worker*s and other stakeholders • Forest Management Plan	
5.1.3a	When *The Organization** makes FSC promotional claims regarding the provision of ecosystem services*, or receives payment for the provision of	When *The Organization** makes FSC promotional claims regarding the provision of ecosystem services*, or receives payment for the provision of		• FMPs • Annual management plans • Interviews with the Organization' s workers and other stakeholders	**See Annex C** for management activities and impact evaluation requirements

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	ecosystem services*, Annex C is followed, regarding additional management activities and impact evaluation requirements.	ecosystem services*, Annex C is followed, regarding additional management activities and impact evaluation requirements.		• Field observations	
5.1.3b		**LIOs** When *The Organization** makes FSC promotional claims regarding the provision of ecosystem services*, or receives payment for the provision of ecosystem services*, management activities focus on rare and threatened species and small site-level habitat features and processes.		• FMPs • Annual management plans • Interviews with the Organization's workers and other stakeholders • Field observations	

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 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
5.2.1	*Timber harvesting rates** are based on an analysis of current *Best Available Information** on growth and yield; inventory of the forest*; mortality	*Timber harvesting rates** are based on an analysis of current *Best Available Information** on growth and yield; inventory of the forest*; mortality		• Documented processes or systems for establishing harvesting rates • Forest Management Plan	Best available Information include: • PSP data • Inventory data • ISSIMI data • Specialist studies

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	rates; and maintenance of *ecosystem functions**.	rates; and maintenance of *ecosystem functions**		• Interviews with Organization* 's worker*s and other stakeholders	
5.2.2	Based on the timber harvesting rate 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.	Based on the timber harvest rate 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.		• A documented system for determining the maximum Annual Allowable Cut • Documented maximum Annual Allowable Cut • Interview with Organization* 's worker*s	
5.2.3	Actual annual harvest rates for timber are recorded and the harvest over a defined period does not exceed the allowable cut determined in 5.2.2 for the same defined period.	Actual annual harvest rates for timber are recorded and the harvest over a defined period does not exceed the allowable cut determined in 5.2.2 for the same defined period.		• Records of timber harvesting compared with estimated AAC • Interview with Organization* 's worker*	
5.2.4	For extraction of commercially harvested *non-timber forest products** under *The Organization's* control a sustainable harvest level is calculated and adhered to. Sustainable harvest	For extraction of commercially harvested *non-timber forest products** under *The Organization's* control a sustainable harvest level is calculated and adhered to. Sustainable harvest		• Documented process for establishing harvesting rates for each product • Harvesting rates • Harvesting records • Interviews	The major marketable NTFP in Uganda include, but not limited to: • rattan canes, • bamboo, • palms (Borrassus

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	levels are based on *Best Available Information**.	levels are based on *Best Available Information**.		with Organization*'s worker*s and other stakeholders	& other palms), • sand and stones, • honey, • fruits,
5.2.5	When *The Organization** makes FSC promotional claims regarding the provision of *ecosystem services**, or receives payment for the provision of *ecosystem services**, Annex C is followed, regarding the sustainable provision of those services.	When *The Organization** makes FSC promotional claims regarding the provision of *ecosystem services**, or receives payment for the provision of *ecosystem services**, Annex C is followed, regarding the sustainable provision of those services.		• Annex C	

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

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
5.3.1	Costs related to preventing, mitigating or compensating for negative social and environment impacts of management activities are quantified and documented in the *management plan**.	Costs related to preventing, mitigating or compensating for negative social and environment impacts of management activities are quantified and documented in the *management plan**.		• Documented impacts • Documented strategies for dealing with them • Forest Management Plan • Interviews with the Organization's workers and other	***Guide:*** Possible impacts may include: • damage to water quality and quantity, • soil erosion, • public works, • social stress,

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
				stakeholders	• etc.
5.3.2	Benefits related to positive social and environment impacts of management activities are identified and included in the *management plan**.	Benefits related to positive social and environment impacts of management activities are identified and included in the *management plan**.		• Forest management plan • Interviews with the Organization's workers and other stakeholders	

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 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
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.	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		• Record of criteria for evaluating what to buy • Price lists of goods and services • Procurement policy • Interviews with the Organization's workers and other stakeholders	***Guidance:*** 1. In this context, "local" is defined as "Uganda", and takes into consideration the comparison of imported goods and services with those sourced from within the country 2. Reference will be made to existing and acceptable National

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
					standards
5.4.2a	*Reasonable** attempts are made to establish and encourage capacity where local goods, services, processing and value-added facilities are not available.	*Reasonable** attempts are made to establish and encourage capacity where local goods, services, processing and value-added facilities are not available.		• Records of capacity building actions • Interviews of organization's workers, and other stakeholders • Field observations	
5.4.2b		**LIOs** *Reasonable** attempts are made to establish local processing and value added services that are regularly used to meet the requirements of the Organization if these are not already available.		• Interviews of organization's workers, and other stakeholders • Field observations	

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 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
5.5.1a	Sufficient funds are allocated to implement the *Management Plan** in order to meet this standard and to ensure long-term *economic viability**.	Sufficient funds are allocated to implement the *Management Plan** in order to meet this standard and to ensure long-term *economic viability**.		• Forest Management Plan • A comprehensive accounting system • A Strategic Investment Plan • Research and Development	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
				Strategy	
5.5.1b		Sources of funds to implement the *Management Plan** in order to meet this standard and to ensure long-term *economic viability** are known.		• Interviews with the Organization's workers	
5.5.2a	Expenditures and investments are made to implement the *Management Plan** in order to meet this standard and to ensure long-term *economic viability**..	Expenditures and investments are made to implement the *Management Plan** in order to meet this standard and to ensure long-term *economic viability**.		• Expenditure returns/financial statements • Evidence of re-investments • Interviews with the Organization's Executives • Field observation	
5.5.2b		**<u>LIOs</u>** There is evidence of a balance between incomes and expenditure to implement the *Management Plan**.		• Forest Management Plan • Evidence that expenditure matches income	

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 V4)

6.1 (New) 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.

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
6.1.1	*Best Available Information* is used to assess environmental values* within, and, where potentially affected by management activities, outside of the Management Unit*.	Environmental values * within the FMU are assessed, and where the values outside are potentially affected by management activities, *Best Available Information* is used to assess them		• Assessment Reports • Forest Management Plan •	***Guide:*** See ANNEX I for BAI
6.1.1b		**<u>LIOs</u>** *Best Available Information* is used to assess environmental values* within, and, where potentially affected by management activities, outside of the Management Unit		• Forest Management Plan •	***Guide:*** See ANNEX I for BAI
6.1.2a	Assessments of *environmental* values* are conducted with a level of detail and frequency that is proportionate to *scale, intensity and risk* * of management activities so that: 1. Impacts of management	Assessments of *environmental* values* are conducted so that: 1. Impacts of management activities on the identified *environmental values** can be assessed as per *Criterion* 6.2*; 2. Risks* to		• Assessment Reports	Guide: SIR will be determined based on the Guidelines on Environment and Social Impact Assessment for Uganda

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	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 and be identified as per *Criterion* 6.3*; and, 4. *Monitoring** of impacts or environmental changes can be conducted as per *Principle** 8.	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.			
6.1.2b		**<u>LIOs</u>** Assessments of *environmental* values* are conducted through locally available experts and *best available information* so that: 1. Impacts of management activities on the identified *environmental values** can be assessed; 2. Risks* to environmental values* can be identified;		• Documented assessment methods • Assessment Reports	**<u>Guide:</u>** Local experts may include relevant District local government personnel, NGO, consultants. This should be done through filed observations and discussions

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
		3. Necessary conservation* measures to protect values can be identified and, 4. *Monitoring** of impacts or environmental changes can be conducted.			

6.2 (revised 6.1) 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 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
6.2.1	An *environmental impact* assessment* identifies potential present and future impacts of all management activities on e*nvironmental values**from the stand level to the landscape level.	An *environmental impact* assessment* identifies potential present and future impacts of all management activities on *environmental values** from the stand level to the landscape level.		• Environment Impact Assessment Report • Forest Management Plan • Operational plans • Field observations	
		<u>LIOs</u> Potential present and future impacts of management activities on *environmental values** are known		• Forest Management Plan • Interviews with the organization's workers and other stakeholders • Field observations	
6.2.2a	The environmental impact assessment*	The environmental impact assessment*		• Environmental Impact Assessment	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	identifies and assesses the impacts of the management activities prior to the start of site-disturbing activities. .	identifies and assesses the impacts of the management activities prior to the start of site-disturbing activities.		Reports • Forest Management Plan	
6.2.2b	.	**<u>LIOs</u>** The environmental impact assessment* conducted in accordance with FSC Tool for streamlined social and environmental assessment identifies the impacts of the management activities prior to the start of site-disturbing activities.		• Forest Management Plan	

6.3 (revised 6.1) 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 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
6.3.1	Management activities are planned and implemented to prevent negative impacts and to protect *environmental values**.	Management activities are planned and implemented to prevent negative impacts and to protect *environmental values**.		• Forest Management Plan • Routine Reports • Interviews with the Organization' s workers	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
				and other stakeholders • Field observations	
6.3.2	Management activities prevent negative impacts to environmental values*.	Management activities prevent negative impacts to environmental values*.		• Forest Management Plan • Routine Reports • Interviews with the Organization's workers and other stakeholders • Field observations	
6.3.3	Where negative impacts to *environmental values** occur, measures are adopted to prevent further damage, and negative impacts are *mitigated** and/or repaired.	Where negative impacts to *environmental values** occur, measures are adopted to prevent further damage, and negative impacts are *mitigated** and/or repaired.		• Annual Work Plans and Budgets • Monitoring Reports • Interviews with the Organization's workers and other stakeholders • Field observations	

6.4 (revised 6.2) The Organization* shall* protect rare species* and threatened species* and their habitats* in the Management Unit* through conservation zones*, protection areas*, connectivity* 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 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
6.4.1a	The Best Available Information is used to identify rare and threatened species*, and their habitats*, including CITES species and those listed on national, regional and local lists of rare and threatened species* that are present or likely to be present within the Management Unit* and adjacent to the Management Unit*.	The Best Available Information is used to identify rare and threatened species*, and their habitats*, including CITES species and those listed on national, regional and local lists of rare and threatened species* that are present or likely to be present within the Management Unit* and adjacent to the Management Unit*.		• A list of rare, threatened and endangered species • Study Reports • Monitoring reports • Interviews with the Organization ’s workers and other stakeholders	
6.4.1b		**LIOs** The Best Available Information is used to identify rare and threatened species*, and their habitats*.		• A list of rare, threatened and endangered species • Interviews with the Organization ’s workers and other stakeholders	
6.4.2	Potential impacts of management activities on rare and threatened species* and their habitats* are identified.	Potential impacts of management activities on rare and threatened species* and their habitats* are identified.		• Study Reports • Monitoring reports	
6.4.3a	The rare and threatened species* and their habitats* are protected,	The rare and threatened species* and their habitats* are protected,		• Monitoring Reports • Maps • Field observations	***Guide:*** national list of rare and threatened species ***Guide***

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	including through the provision of conservation zones*, protection areas*, connectivity*, and other direct measures for their survival and viability, such as the species' recovery programs.	including through the provision of conservation zones*, protection areas*, connectivity*, and other direct measures for their survival and viability, such as the species' recovery programs.		• Interviews with the Organization 's workers and other stakeholders	Consider: • coordination with other landowners and land managers, restoration of habitats, • introduction or enrichment with animal or plant species; • control of alien predators and pests, • species' recovery programs and • other prevention, remedial or mitigation measures
6.4.3b		**<u>LIOs</u>** Measures implemented to protect the rare and threatened species* and their habitats*, include a minimum of: 1. Management activities scheduled to avoid disturbance during nesting or fruiting seasons; 2. use of reduced impact		• Field observations • Interviews with the Organization 's workers and other stakeholders	***Guide*** •

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
		harvesting to protect nesting and breeding sites; 3. Establishment of conservation zones and protection areas; and 4. Designing mitigations measures for specific species and habitats.			
6.4.4	Hunting, fishing, trapping and collection of rare or threatened species*is prevented.	Hunting, fishing, trapping and collection of rare or threatened species*is prevented.		• Monitoring Reports • Interviews with the Organization ’s workers and other stakeholders	***Guide:*** **LIOs s**hould not fish, trap or collect RTEs. They should also inform the people in their surroundings to do the same, while finding a balance to also respect local communities’ and indigenous people’s traditional practices. **MIOs** should organize patrolling to control hunting, fishing, trapping and collecting of RTEs. They should also educate people on RTEs in the area and how to recognize and protect them.

6.5 (revised 6.4 and 10.5) 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 plantation, 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 V4)

	International Generic Indicator	**Draft National Indicator**	**Rationale**	**Verifiers**	**Comments / Guidance**
6.5.1	*Best Available Information** is used to identify *native ecosystems** that exist, or would exist under *natural conditions** within the *Management Unit **.	*Best Available Information** is used to identify *native ecosystems** that exist, or would exist under natural conditions*within the *Management Unit**.		• Study Report • Forest management plans • Field Monitoring reports • Interviews with the Organization's workers and other stakeholders	
6.5.2	*Representative sample areas** of native ecosystems* are protected, where they exist.	*Representative sample areas** of native ecosystems* are protected, where they exist.		• Forest management plans • Forest resource Maps • Interviews with the Organization's workers • Field observations	
		<u>LIOs</u> A minimum of 10% of the Management Unit*is designated and protected as a sample area of natural native ecosystems*		• Management Map • Forest Management Plan • Field observations • Interviews with the	See Annex B diagram

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
				Organization's workers	
6.5.3a	Where representative sample areas* do not exist, or where existing sample areas inadequately represent native ecosystems*, a proportion of the Management Unit* is restored* to more natural conditions*.	Where representative sample areas* do not exist, or where existing sample areas inadequately represent native ecosystems*, a proportion of the Management Unit* is restored* to more natural conditions*.		• Specialized study Reports • Maps • Forest Management Plan • Field observations • Interviews with the Organization's workers	
6.5.3b		**<u>LIOs</u>** Where sample areas of sufficient condition do not exist within the Management Unit*, or is less than 10% of the FMU, a proportion of the Management Unit* is restored to more natural conditions*		• Management Map • Forest Management Plan • Field observations • Interviews with the Organization's workers	
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.	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.		• Forest Management Plan • Management maps •	See Annex B
6.5.5	Representative	Representative		• Forest	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	Sample Areas* in combination with other components of the conservation areas network* comprise a minimum 10% area of the Management Unit*.	Sample Areas* in combination with other components of the conservation areas network* comprise a minimum 10% area of the Management Unit*.		Management Plan • Management maps •	

6.6 (revised 6.2 and 6.3) 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 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
6.6.1	Management activities maintain the plant communities and *habitat features**found within native *ecosystems** in which the *Management Unit** is located.	Management activities maintain the plant communities and *habitat features**found within native *ecosystems** in which the *Management Unit** is located.		• Forest Management Plan • maps • Interviews with Organization's workers and other stakeholders • Field observations	
6.6.2	Where past management has eliminated plant communities or *habitat features**, management activities aimed at re-establishing such *habitats** are implemented.	Where past management has eliminated plant communities or *habitat features**, management activities aimed at re-establishing such *habitats** are implemented.		• Forest Management Plan • maps • Interviews with Organization's workers and other stakeholders • Field observations	
6.6.3	Management	Management		• Forest	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	maintains, enhances, or restores* habitat features* associated with native ecosystems*, to support the diversity of naturally occurring species and their genetic diversity.	maintains, enhances, or restores* habitat features* associated with native ecosystems*, to support the diversity of naturally occurring species and their genetic diversity.		Management Plan • maps • Interviews with Organization's workers and other stakeholders • Field observations	
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.	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.		•	***Guidance:*** • See Guidance on Species that are threatened
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;		• Policies and laws • Forest Management Plan • Monitoring reports	
6.6.6		An internal regulation banning and punishing the transportation of and trade in bush meat and		• Policies and laws • Forest Management Plan • Monitoring	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
		firearms in logging company vehicles; Illegal hunting *shall** be forbidden;		reports •	
6.6.7		A system of regular and punctual controls to ensure hunting policies are respected is implemented;		• Policies and laws • Forest Management Plan • Monitoring reports	
6.6.8		Effective mitigation measures are in place to ensure that *workers** do not increase hunting trapping or collecting of bush meat or wild fish.		• Forest Management Plan • Administrative guidelines	

6.7 (revised 6.5 and 10.2) 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. (C6.5 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
6.7.1	*Protection** measures are implemented to protect natural *watercourses**, *water bodies**, *riparian zones** and water quality.	*Protection** measures are implemented to protect natural *watercourses**, *water bodies**, *riparian zones** and water quality.		• Record of regular water quality sampling and analysis • Field observations • Interviews with the Organization's workers and other stakeholders • Monitoring and Evaluation	***Guide:*** The Environment Act requires a distance of 50 metres for streams, 100 metres for rivers and 200 metres for lakes ***Guide:*** In Uganda Stock Survey systems for harvesting trees in natural

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
				Reports	forests does not allow harvesting within 30 metres of water bodies
6.7.2	*Natural watercourses*, water bodies*,* and water quality are protected.	*Delete*	Covered in 6.7.1		
6.7.3	Where implemented *protection** measures do not protect watercourses, water bodies, *riparian zones**, or water quality from impacts of *forest** management, restoration activities are implemented.	Where implemented *protection** measures do not protect watercourses and water bodies, *riparian zones**, or water quality from impacts of *forest** management, restoration activities are implemented.		• Forest Management Plan • Operational Plans • Monitoring and Evaluation Reports • Interviews with Organization *'s worker*s and other stakeholders • Field observation	
6.7.4	Where natural water courses, water bodies, or water quality have been damaged by past land or water use by The Organization*, *restoration activities** are implemented..	Where natural water courses, water bodies, or water quality have been damaged by past land or water use by The Organization*, *restoration activities** are implemented..		• Forest Management Plan • Operational Plans • Monitoring and Evaluation Reports • Interviews with Organization *'s worker*s and other stakeholders • Field	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
				observation	
6.7.5	Where continued degradation exists to watercourses*, water bodies*, and water quality caused by previous managers and the activities of third parties, measures are implemented that prevent or mitigate this degradation.	Where continued degradation exists to watercourses*, water bodies*, and water quality caused by previous managers and the activities of third parties, measures are implemented that prevent or mitigate this degradation.		• Forest Management Plan • Operational Plans • Monitoring and Evaluation Reports • Interviews with Organization *'s worker*s, local experts and relevant stakeholders • Field observation	

6.8 (revised 10.2 and 10.3) 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 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
6.8.1	A varying mosaic of species, sizes, ages, spatial *scales** and regeneration cycles is maintained appropriate to the *landscape**.	A varying mosaic of species, sizes, ages, spatial *scales** is maintained appropriate to the *landscape**	.	• Forest Management Guidelines • Forest Management Plan and maps • Field observation	
6.8.2	The mosaic of species, sizes, ages, spatial *scales** and regeneration cycles is *restored** where it has not been	The mosaic of species, sizes, ages, spatial scales and regeneration cycles is *restored** where it has not been		• Forest Management Guidelines • Forest Management Plan and	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	maintained appropriate to the landscape*	maintained appropriate to the landscape*		maps • Operational Plan • Monitoring and Evaluation Reports • Field observation	

6.9 (revised 6.10) The Organization* shall* not convert natural forest* to plantations*, nor natural forests* or plantations* on sites directly converted from natural forest to no-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*. (C6.10 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
6.9.1	There is no conversion of *natural forest** to *plantations** or any other land use except when the conversion: 1. Affects a *very limited* portion* of the Management Unit* ; and 2. The conversion will produce clear, substantial, additional, secure, longterm conservation* benefits in the Management Unit*; and	There is no conversion of *natural forest**to plantations* or any other land use except when the conversion: 1. Affects a *very limited* portion* the Management Unit*; and 2. The conversion will produce clear, substantial, additional, secure, longterm conservation* benefits in the Management Unit*; and		• Maps • Forest management Plans • Field Observations • Interviews with organization's workers and other stakeholders	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	3. Does not damage or threaten *High Conservation Values**, nor any sites or resources necessary to maintain or enhance those *High Conservation Values**.	3. Does not damage or threaten High Conservation Values*, nor any sites or resources necessary to maintain or enhance those High Conservation Values*.			

6.10 (revised 10.9) 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 V4)*

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
6.10.1	Based on *Best Available Information**, actual data is compiled on all conversions since 1994	Based on *Best Available Information**, actual data is compiled on all conversions since 1994.		• Records of areas converted • Maps • Forest management Plans	
6.10.2	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	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		• Maps • Forest management Plans • Field Observations • Records of areas converted	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	2. The conversion will produce clear, substantial, additional, secure, longterm 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*.	2. The conversion will produce clear, substantial, additional, secure, longterm 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*.			

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. (C7.1 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
7.1.1a	Policies (vision and values) that contribute to meeting the requirements of this standard are described in the	Policies (vision and values) that contribute to meeting the requirements of this standard are described in the		• Documented policy • Forest management Plan	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	management plan*.	management plan*.			
7.1.1b		**LIOs** A long term management goal is stated in the FMP		• Forest management Plan	
7.1.2	Specific, operational management objectives* that address the requirements of this standard are presented in the management plan*.	Specific, operational management objectives* that address the requirements of this standard are presented in the management plan*.		• Forest management Plan	

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. (C7.1 V4)*

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
7.2.1a	The m*anagement plan** includes management actions, procedures, strategies and other measures to achieve the *management objectives**.	The *management plan** includes management actions, procedures, strategies and other measures to achieve the management objective.		• Forest managemen t Plan	
7.2.1b		**LIOs** The *management plan** includes management actions to achieve the management objective.		• Forest managemen t Plan	
7.2.2a	The *management*	The *management*		• Forest	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	*plan** addresses the elements listed in Annex E, and is implemented	*plan** addresses the elements listed in Annex E, and is implemented		management Plan	
7.2.2b		**<u>LIOs</u>** The *management plan** outlines actions to implement the elements listed in Annex E (i), and is implemented		• Forest management Plan	

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

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
7.3.1	Verifiable targets, and the frequency that they are assessed, are established for *monitoring** the progress towards each *management objective** and used as the basis for *monitoring** in *Principle** 8.	Verifiable targets, and the frequency that they are assessed, are established for *monitoring** the progress towards each *management objective** and used as the basis for *monitoring** in *Principle** 8.		• Forest management Plan	***Guide:*** Examples of verifiable targets include: • Site productivity, yield of all products harvested; • Growth rates, regeneration and condition of the vegetation; • Composition and observed changes in the flora and fauna; • Water quality and quantity; • Soil erosion, compaction, fertility and carbon content;

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
					• Wildlife populations, biodiversity* and status of High Conservation • Values*; • Sensitive cultural and environmental resources; • Stakeholder satisfaction with engagement*; • Benefits of management operations provided to local communities*; • Number of occupational accidents*; and • Overall economic viability* of the Management Unit*

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 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
7.4.1	The management plan* is revised and	The management plan* is revised and		• Evidence of revised	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	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	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		Forest management Plan • Evidence of adaptive management	

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 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
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.	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		• Evidence of public availability	
7.5.2	Relevant components of the *management plan**, excluding	Relevant components of the *management plan**, excluding		• Procedure for access to the complete	***Guide:*** Examples of confidential information,

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	*confidential Information**, are available to affected stakeholders* on request at the actual costs of reproduction and handling.	*confidential information**, are available to affected stakeholders* on request at the actual costs of reproduction and handling.		Management Plan • Interviews with the Organization's workers and affected stakeholders	Includes data & content: a) Related to investment decisions; b) About intellectual property* rights; c) Client confidential; d) By law confidential; e) Protecting wildlife species and habitats*; and f) About sites that are of special cultural, ecological, economic, religious or spiritual significance to indigenous peoples* or local communities* (see Criterion* 3.5 and Criterion* 4.7) as requested by these groups.

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. (C4.4 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
7.6.1a	*Culturally appropriate**	*Culturally appropriate**		• Documented engagement	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	*engagement** is used to ensure that *affected stakeholders** are proactively and transparently engaged in the following processes: 1. Dispute resolution mechanisms (Criterion* 1.6, Criterion* 2.6, Criterion* 4.6); 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).	*engagement** is used to ensure that affected stakeholders* are proactively and transparently engaged in the following processes: 1. Dispute resolution mechanisms (Criterion* 1.6, Criterion* 2.6, Criterion* 4.6); 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).		process / strategy • Record of engagement activities • Interviews with Organization 's workers, affected stakeholders and other stakeholders	
7.6.1b		Affected stakeholders* are appropriately engaged in making decisions where management activities affect		• Interviews with Organization 's workers, affected stakeholders and other	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
		them.		stakeholders	
7.6.2a	*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, culturally appropriate communication channels are established and then used, allowing for information to flow in both directions; 3.Ensure all actors (women, youth, elderly, minorities) are represented and engaged with equally 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 engagement* activities will be shared with those	*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, culturally appropriate communication channels are established and then used, allowing for information to flow in both directions; 3. Ensure all actors (women, youth, elderly, minorities) are represented and engaged equally 4. 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 engagement* activities will be shared with those involved and how their formal content		• Procedure for engagement • Interviews with Organization ’s workers and other stakeholders	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	involved and how their formal content and intended use will be approved before proceeding with management activities.	and intended use will be approved before proceeding with management activities.			
7.6.2b		**LIOs** Locally acceptable procedures for engaging stakeholders are used to address issues affecting them		• Interviews with Organization's workers and other stakeholders	
7.6.3a	*Affected stakeholders** are provided with an opportunity for *culturally appropriate* engagement** in *monitoring** and planning processes of management activities that affect their interests	*Affected stakeholders** are provided with an opportunity for *culturally appropriate* engagement** in *monitoring** and planning processes of management activities that affect their interests		• Documented engagement process / strategy • Record of engagement activities • Interviews with Organization's workers, affected stakeholders and other stakeholders	
7.6.3b		**LIOs** *Affected stakeholders** are engaged in planning and monitoring of management activities that affect their interests		• Interviews with Organization's workers and affected stakeholders	
7.6.4	On request, *interested stakeholders** are provided with an opportunity for *engagement** in	On request, *interested stakeholders** are provided with an opportunity for *engagement** in		• Record of engagement activities • Interviews with Organization	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	*monitoring** and planning processes of management activities that affect their interests.	*monitoring** and planning processes of management activities that affect their interests.		's workers, affected stakeholders and other stakeholders	

PRINCIPLE 8: MONITORING AND ASSESSMENT

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

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

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
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*.	Procedures are documented and executed for monitoring* the implementation of the Management Plan* including its policies and management objectives* and achievement of verifiable targets*.		• Monitoring procedure • Monitoring plan • Annual reports • Monitoring reports	

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 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
8.2.1a	The social and environmental impacts of management	The social and environmental impacts of management		• Environmental Monitoring Plan • Monitoring	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	activities are monitored* consistent with Annex G (i).	activities are monitored* consistent with Annex G (i).		reports	
8.2.1b		The social and environmental impacts of management activities are monitored* consistent with Annex G (ii).		• Monitoring reports • Interviews with Organization's workers and other stakeholders	Monitoring methods will be in line with FSC Tools for simple monitoring
8.2.2a	Changes in environmental conditions are monitored* consistent with Annex G.	Changes in environmental conditions are monitored* consistent with Annex G (i).		• Environmental Monitoring Plan • Monitoring reports	
8.2.2b		Changes in environmental conditions are monitored* consistent with Annex G (ii).		• Monitoring reports • Interviews with Organization's workers and other stakeholders	Monitoring methods will be in line with FSC Tools for simple monitoring

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 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
8.3.1	*Adaptive management** procedures are implemented so that *monitoring** results feed into periodic updates to the management plan*..	*Adaptive management** procedures are implemented so that *monitoring** results feed into periodic updates to the management plan*.		• Monitoring reports • Updated forest management plan •	
8.3.2	If *monitoring** results show non-conformities with	If *monitoring** results show non-conformities with		• Monitoring reports • Revised	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	the FSC Standard then *management objectives**, *verifiable targets** and / or management activities are revised.	the FSC Standard then *management objectives**, *verifiable targets** and / or management activities are revised.		Management Plan • Interviews with the Organization's workers	
				•	

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

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
8.4.1a	A summary of the *monitoring** results consistent with Annex G, in a format comprehensible to stakeholders including maps and excluding *confidential information** is made publicly available* at no cost.	A summary of the *monitoring** results consistent with Annex G (i), in a format comprehensible to stakeholders including maps and excluding *confidential information** is made publicly available* at no cost.		• Documented summary of monitoring results • Evidence of no-cost dissemination • Interviews with the organization's workers and other stakeholders	
8.4.1b		**<u>LIOs</u>** A summary of the *monitoring** results consistent with Annex G (ii) is disseminated in accordance with local practice		• Evidence of dissemination of the monitoring results • Interviews with the organization's workers and other stakeholders	

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. (C8.3 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
8.5.1a	A system is implemented to track and trace all products that are marketed as FSC certified.	A system is implemented to track and trace all products that are marketed as FSC certified.		• Documented tracking and tracing system • Evidence of implementation of the system • Monitoring reports • Field observations	
8.5.1b		**<u>LIOs</u>** There is compliance with the national CoC Guidelines in tracking and tracing all products that are marketed as FSC certified.		• Receipts • Invoices • Other relevant documents	Guidelines to be developed by SDG
8.5.2	Information about all products that leave the *Management Unit** to be sold with an FSC claim is compiled and documented, including: 1. Species; 2. Product type; 3. Volume (or quantity) of product; 4. Information to trace the material to the cut block; 5. Logging or production date; and 6. Whether or not	Information about all products that leave the *Management Unit** to be sold with an FSC claim is compiled and documented, including:1. Species; 2. Product type; 3. Volume (or quantity) of product; 4. Information to trace the material to the cut block; 5. Logging or production date; and 6. Whether or not		• Documentation trail of all products leaving the forest • Interviews with Organization*'s worker*s and other stakeholders • Field observations	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	the material was sold to a Chain of Custody certified organization.	the material was sold to a Chain of Custody certified organization.			
8.5.3	Sales invoices or similar documentation are kept for a minimum of five years for all products sold with an FSC claim, which identify at a minimum, the following information: 1. Name and address of purchaser; 2. The date of sale; Species; 3. Product type; 4. The volume (or quantity) sold; 5. Forest Management / Chain of Custody certificate code; and 6. FSC Product Group.	Sales invoices or similar documentation are kept for a minimum of five years for all products sold with an FSC claim, which identify at a minimum, the following information: 1. Name and address of purchaser; 2. The date of sale; Species; 3. Product type; 4. The volume (or quantity) sold; 5. Forest Management / Chain of Custody certificate code; and 6. FSC Product Group.		• Sales Invoices or similar documents	

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*. (C9.1 V4

	International Generic Indicator	**Draft National Indicator**	**Rationale**	**Verifiers**	**Comments / Guidance**
9.1.1a	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, and their condition.	An assessment is completed using Best Available Information that records the location and status of High Conservation Value* Categories1-6, as defined in *Criterion** 9.1; the *High Conservation Value* Areas** they rely upon, and their condition.		• Maps • Expert reviewed Assessment Report or reports for HCV • Interviews with Organization*'s worker*s and other relevant stakeholders • Field observations	***Guide:*** Best Available Information as included in ANNEX I
9.1.1b		An assessment is completed using Best Available Information that records the		• Maps • Interviews with Organization*'s worker*s	***Guide:*** Best Available Information as included in ANNEX I

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
		location and status of High Conservation Value* Categories1-6, as defined in *Criterion** 9.1; the *High Conservation Value* Areas** they rely upon, and their condition.		and other relevant stakeholders • Field observations	
9.1.2a	The assessment uses results from *culturally appropriate* engagement** with affected* and interested stakeholders* with an interest in *conservation** of the *High Conservation Values**.	The assessment uses results from *culturally appropriate* engagement** with affected* and interested stakeholders* with an interest in *conservation** of the *High Conservation Values**.		• Stakeholder engagement strategy • Record of stakeholder engagement • Interviews with the Organization's workers	
9.1.2b		**LIOs** The assessment uses results based on local participatory practices		• Interviews with the Organization's workers	

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 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
9.2.1	Threats to High Conservation Values* are identified using *Best Available*	Threats to High Conservation Values* are identified using Best Available		• Threat Assessment Reports • Interviews with the	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	*Information**.	Information.		Organization's workers and other stakeholders	
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* prior to implementing potentially harmful management activities.	Management strategies and actions are developed to maintain and/or enhance the identified High Conservation Values* and to maintain associated High Conservation Value* Areas* prior to implementing potentially harmful management activities.		• Documented strategies and procedures • Forest management Plan	
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**.	*Affected** and i*nterested stakeholders** and experts are engaged in the development of management strategies and actions to maintain and/or enhance the identified *High Conservation Values**.		• Stakeholder engagement process • Documented management strategies • Interviews with organization's works and other stakeholders	
9.2.4	The strategies developed are effective to maintain and/or enhance the High Conservation Values*.	The strategies developed are effective to maintain and/or enhance the High Conservation Values*.		• Documented management strategies • Monitoring reports • Interviews with organization's works and other stakeholders	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
				• Field observations	

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 V4).

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
9.3.1a	The *High Conservation Values**and the *High Conservation Areas** on which they depend are maintained and/or enhanced, including by implementing the strategies developed.	The *High Conservation Values**and the *High Conservation Areas** on which they depend are maintained and/or enhanced, including by implementing the strategies developed.		• Annual Work Plans and Budgets • Monitoring and evaluation reports • Routine reports • Interviews with Organization's workers and other stakeholders • Field observations	
9.3.1b		The *High Conservation Values**and the *High Conservation Areas** on which they depend are maintained on the basis of the national Guidelines for SIRs		• Interviews with Organization's workers and other stakeholders • Field observations	Guidelines to be developed by SDG
9.3.2a	The strategies and actions prevent damage and avoid risks to *High Conservation*	The strategies and actions prevent damage and avoid risks to *High Conservation*		• Study Reports • Environment Management Plan • Forest	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	*Values**, even when the scientific information is incomplete or inconclusive, and when the vulnerability and sensitivity of *High Conservation Values** are uncertain.	*Values**, even when the scientific information is incomplete or inconclusive, and when the vulnerability and sensitivity of *High Conservation Values** are uncertain.		Management Plan • Documented measures • Interviews with Organization's workers and other stakeholders • Field observations	
9.3.2b		**LIO** The actions prevent damage and avoid risks to *High Conservation Values**		• Forest Management Plan • Interviews with Organization's workers and other stakeholders • Field observations	
9.3.3a	Activities that harm *High Conservation Values** cease immediately and actions are taken to *restore** and protect the *High Conservation Values**.	Activities that harm *High Conservation Values** cease immediately and actions are taken to *restore** and protect the *High Conservation Values**.		• Monitoring and evaluation reports • Restoration Action Plans (For Large Scale) • Routine Reports • Interviews with Organization's workers and other stakeholders • Field observations	
9.3.3b		Activities to *restore** and protect the *High*		• Interviews with Organization's	**Guide** SDG to adapt FSC tools for

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
		*Conservation Values** apply FSC tools for scale, intensity and risk.		workers and other stakeholders • Field observations	SIR to Ugandan condition

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 V4).

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
9.4.1a	A program of periodic *monitoring** assesses: 1. Implementation of strategies; 2. The status of *High Conservation Values** including areas on which they depend; and 3. The effectiveness of the management strategies and actions for the protection* of the *High Conservation Values**..	A program of periodic *monitoring** assesses: 1. Implementation of strategies; 2. The status of *High Conservation Values** including areas on which they depend; and 3. The effectiveness of the management strategies and actions for the protection* of the *High Conservation Values**.		• Monitoring program • Monitoring and evaluation Reports	
9.4.1b		Actions to *monitor* HCVs cover at a minimum: 1. The status of *High Conservation Values** including areas on which they depend; and 2. The effectiveness of the management actions for the protection* of the		• Interviews with Organization ’s workers and other stakeholders • Field observations	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
		*High Conservation Values**.			
9.4.2a	The monitoring program includes *engagement** with *affected** and *interested stakeholders** and experts.	The monitoring program includes engagement* with *affected** and *interested stakeholders** and experts.		• Monitoring Program • Interviews with the Organization ’s workers and stakeholders	
9.4.2b		**LIOs** Monitoring is done in line with locally accepted participatory practices		• Interviews with Organization ’s workers and other stakeholders • Field observations	
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**.	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**.		• Monitoring Program	
9.4.4	Management strategies and actions are adapted when monitoring or other new information shows that these strategies and actions are ineffective to ensure the maintenance and/or enhancement of *High*	Management strategies and actions are adapted when monitoring or other new information shows that these strategies and actions are ineffective to ensure the maintenance and/or enhancement of High		• Monitoring and evaluation reports • Evidence of adaptation of results	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	*Conservation Values**.	Conservation Values*.			

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)

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).

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
10.1.1	Harvested sites are regenerated in a *timely manner** that: 1. Protects affected environmental values*, for example, exposed soils where these are at risk* of erosion; and 2. Is suitable to recover overall pre-harvest or natural forest* composition, structure, productivity, full stocking, and optimum growth rates of the managed species in order to maintain or enhance overall production from the Management Unit*.	Harvested sites are regenerated in a timely manner that: 1. Protects affected environmental values*, for example, exposed soils where these are at risk* of erosion; and 2. Is suitable to recover overall pre-harvest or natural forest* composition, structure, productivity, full stocking, and optimum growth rates of the managed species in order to maintain or enhance overall production from the Management Unit*.		• Annual Work Plan and Budgets • Routine Reports • Monitoring and Evaluation Reports • Field Observations • Interviews with Organization's workers and other stakeholders	
10.1.2	*Regeneration*	*Regeneration*		• Forest	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
a	*activities** are implemented in a manner that: 1.For harvest of existing plantations, regeneration vegetation cover that existed prior to the harvest or more natural conditions using ecologically well adopted species; 2. For harvest of natural forests* regeneration pre-harvest* or more natural conditions, or 3) For harvest of degraded *natural forests**, regenerate more *natural conditions*	*activities** are implemented in a manner that: 1.For harvest of existing plantations, regeneration vegetation cover that existed prior to the harvest or more natural conditions using ecologically well adopted species; 2. For harvest of natural forests* regeneration pre-harvest* or more natural conditions, or 3) For harvest of degraded *natural forests**, regenerate more *natural conditions*		Management Plan • Evidence for species-site matching • Routine Reports • Monitoring and Evaluation Reports • Field Observations • Interviews with Organization's workers and other stakeholders	

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. (C10.4 C4).

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
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	a) 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		• Forest Management Plan • Evidence for species-site matching • Field Observations • Interviews with Organization'	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	genotypes* or non-native species*.	provided for using non-local genotypes* or non-native species*.		s workers and other stakeholders	
10.2.2	Species chosen for regeneration are consistent with the regeneration objectives.	Species chosen for regeneration are consistent with the regeneration objectives.		• Forest Management Plan • Monitoring and Evaluation Reports • Field Observations	

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 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
10.3.1	Alien species* are used only when direct experience and / or the results of scientific research demonstrate that impacts can be controlled and effective measures are in place to control their spread outside the area in which they are established	Alien species* are used only when direct experience and / or the results of scientific research demonstrate that impacts can be controlled and effective measures are in place to control their spread outside the area in which they are established		• Specialized study Reports • Forest Management Plan • Monitoring and Evaluation Reports • Field Observations	
10.3.2	The spread of invasive species introduced by *The Organization** *is* controlled	The spread of invasive species introduced by *The Organization** is controlled		• Strategy for controlling Invasive species • Forest Management Plan	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
				• Monitoring and Evaluation Reports • Field Observations	
10.3.3	Management activities are implemented, 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*	Management activities are implemented, 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*		• Strategy for controlling Invasive species • Forest Management Plan • Monitoring and Evaluation Reports • Field Observations	

10.4 The Organization* shall* not use genetically modified organisms* in the Management Unit*. (C6.8 V4).

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
10.4.1	Genetically Modified Organisms* are not used	Genetically Modified Organisms*are not used		• Forest Management Plan • Field Observations • Interviews with stakeholders	

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

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
10.5.1	Silvicultural	Silvicultural		• Forest	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	practices are implemented that are ecologically appropriate for the vegetation, species, sites and management objectives*.	practices are implemented that are ecologically appropriate for the vegetation, species, sites and management objectives*.		Management Plan • Documented silvicultural systems • Evidence of compliance with National Guidelines for management of natural forests an National Guidelines for Tree Growing • Monitoring and Evaluation Reports • Field Observations	

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 silvicultrual systems that do not require fertilizers, and prevent, mitigate, and/or repair damage to environmental values*, including soils***. (C10.7 V4)***

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
10.6.1	The use of fertilizers is avoided, or they are being used with the aim of eliminating their use.	The use of fertilizers is avoided, or they are being used with the aim of eliminating their use.		• Plans for use of fertilizers • Forest Managemen t Plan • Monitoring and Evaluation Reports • Field Observations	
10.6.2	When fertilizers are used, their types,	When fertilizers are used, their types,		• Plans for use of fertilizers	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	rates and frequencies; and site of application are documented	rates and frequencies; and site of application are documented		• Forest Management Plan • Monitoring and Evaluation Reports	
10.6.3	When fertilizers are used, environmental values are protected, including through implementation of measures to prevent damage	When fertilizers are used, environmental values are protected, including through implementation of measures to prevent damage		• Measures for protection of environmental values • Monitoring reports • Maps (for Large Scale)	
10.6.4	Damage to environmental values* resulting from fertilizer use is mitigated or repaired	Damage to environmental values* resulting from fertilizer use is mitigated or repaired		• Monitoring and evaluation Reports • Mitigation Action Plan • Field observation	

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. and C10.7 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
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	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		• Integrated Pest Management Strategy** • Monitoring and Evaluation Reports • Field observation	***Guide:*** 'FSC Guide to integrated pest, disease and weed management in FSC certified forests and plantations' (2009) and associated

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	result in non-use or overall reductions in applications."	result in non-use or overall reductions in applications."			policies, guidelines, advice notes
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	Chemical pesticides* prohibited by FSC's Pesticide Policy are not used or stored in the Management Unit unless FSC has granted derogation		• No evidence of use of prohibited chemical pesticides • Derogation documents in case they are being used	
10.7.3	Records of pesticide* usage are maintained, including trade name, active ingredient, quantity of active ingredient used, period of use, location of use, and reason for use	Records of pesticide* usage are maintained, including trade name, active ingredient, quantity of active ingredient used, period of use, location of use, and reason for use		• Records	
10.7.4	The use of pesticides* complies with the ILO requirements for the transport, storage, handling, application and emergency procedures for clean-up following accidental spillages.	The use of pesticides* complies with the ILO requirements for the transport, storage, handling, application and emergency procedures for clean-up following accidental spillages as specified in ILO publications on the use of chemicals, national publications and national laws* and local laws*.		• Documented procedures for use of pesticides in accordance with ILO Guides on: a. Safety and Health in the Use of Agrochemicals: A Guide b. Safety in the Use of Chemicals at Work	
10.7.5	If pesticides* are used, application methods minimize quantities used,	If pesticides* are used, application methods minimize quantities used,		• Documented procedures for use of pesticides	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	while achieving effective results, and provide effective protection* to surrounding landscapes*.	while achieving effective results, and provide effective protection* to surrounding landscapes*.		• Monitoring reports • Interviews with stakeholders	
10.7.6	Damage to environmental values* or human health from pesticide* use is prevented and mitigated or repaired where damage occurs	Damage to environmental values* or human health from pesticide* use is prevented and mitigated or repaired where damage occurs		• Strategies for preventing damage to environmental values and human health • Monitoring reports • Interviews with stakeholders • Field observations	
10.7.7	When pesticides* are used: 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.	When pesticides* are used: 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.		• Protocols for pesticide application • Monitoring reports • Interviews with stakeholders	

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 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
10.8.1	Use of biological control agents* complies with internationally accepted scientific protocols*.	Use of biological control agents* complies with internationally accepted scientific protocols*.		• Protocol used	
10.8.2	The use of *biological control agents** is recorded including type, quantity used, period of use, location of use, and reason for use.	The use of *biological control agents** is recorded including type, quantity used, period of use, location of use, and reason for use.		• Records	
				•	
10.8.3	The use of biological control agents* is minimized, monitored and controlled.	The use of biological control agents* is minimized, monitored and controlled.		• A strategy for use of biological control agents • Monitoring and evaluation Reports • Field observations	
10.8.4	Damage to *environmental values** caused by the use of *biological control agents** is prevented and *mitigated** or *repaired** where damage occurs.	Damage to *environmental values** caused by the use of *biological control agents** is prevented and *mitigated** or *repaired** where damage occurs.		• Protocols used • Monitoring and evaluation Reports • Field observations	

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)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
10.9.1a	Potential negative impacts are assessed of natural *hazards** on *infrastructure**, *forest** resources, and communities in the *Management Unit**.	Potential negative impacts are assessed of natural *hazards** on *infrastructure**, *forest** resources, and communities in the *Management Unit**.		• Risk Assessment Reports	
10.9.1b		**LIOs** Potential negative impacts of natural *hazards** on *infrastructure**, *forest** resources, and communities in the *Management Unit**.are determined on the basis of Best Available Information		• Interview with the Organization's works and other stakeholders •	
10.9.2a	Management activities mitigate these impacts.	Management activities mitigate these impacts.		• Management Plans • Annual Work Plans • Monitoring Plans • Reports	
10.9.2b		**LIOs** Management activities mitigate these impacts.		• Management Plans • Interviews with the Organization's workers and other stakeholders	***Guide***: Measures may include: • creation and maintenance of fire breaks and reservoir ponds to prevent fire damage; • apply silvicultural

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
					regimes that prevent storm damage and wind-throw; • controlled burning for pest control; • preserving natural patterns of drainage and • wetlands to prevent flood damage;
10.9.3a	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.	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.		• Risk Assessment Reports • Forest management Plan • Interviews with the Organization's workers and other stakeholders	
10.9.3b		The *risk** for management activities to increase the frequency, distribution, or severity of *natural hazards** is known to the Organization's workers		• Interviews with the Organization's workers and other stakeholders	
10.9.4a	Management	Management		• Risk	may

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	activities are modified and/or measures are developed and implemented that reduce the identified *risks**.	activities are modified and/or measures are developed and implemented that reduce the identified *risks**.		management strategy • Forest management plans • Monitoring reports	implement the following measures: • In general: stakeholder engagement; public education; equipment; training; monitoring; risk mitigation; collaborate with other agencies, etc. • Fire damage: establish fire detection systems; fire management plans, including preparation and training of fire crews; provision and regular maintenance of suitable equipment. • Storm damage and wind-throw: develop wind maps. • Pests, plant diseases, pathogens, invasive weeds: clearance of fallen wood,

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
					standing dead wood and coarse woody debris, in line with best scientific and local knowledge (keeping a balance to keep the wood needed for healthy decompositi on cycles and populations of predators and parasites to exert natural control over pests); decreasing stress on species through species-site matching in accordance with Criterion 10.2, monitoring (Principle 8), together with integrated pest management (Criterion

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
					10.7), cover crops, species diversification, silvicultural practices which prevent weed growth and maintain growth of crop species at optimum levels and reduced harvest intensity. • Flood damage: installing effective drainage structures.
10.9.4b		Management activities are implemented that reduce the identified *risks**.		• Risk management actions • Forest management plans • Interviews with the Organization's workers and other stakeholders	

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 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
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.	Development, maintenance and use of *infrastructure**, as well as transport activities, are managed to protect *environmental values** identified in *Criterion** 6.1.		• Forest Management Plan • Annual Work Plans • Monitoring and evaluation Reports • Field observations	
10.10.2	*Silviculture** activities are managed to ensure protection of the *environmental values** identified in *Criterion** 6.1.	*Silviculture** activities are managed to ensure protection of the *environmental values** identified in *Criterion** 6.1.		• Forest Management Plan • Annual Work plans • Monitoring and evaluation Reports • Field observations	
10.10.3	Disturbance or damages to *water courses**, *water bodies**, soils, *rare and threatened species**, *habitats**, *ecosystems** and *landscape values** are *mitigated**, *repaired** and *restored** in a *timely manner**, and management activities modified to prevent further damage.	Disturbance or damages to *water courses**, *water bodies**, soils, *rare and threatened species**, *habitats**, *ecosystems** and *landscape values** are *mitigated**, *repaired** and *restored** in a *timely manner**, and management activities modified to prevent further damage.		• Forest Management Plan • Annual Work plans • Monitoring and evaluation Reports • Field observations	

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 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
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.	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.		• Forest Management Plan • Harvesting Plans • Monitoring and evaluation Reports • Field observations	
10.11.2	Harvesting practices optimize the use of forest* products and merchantable materials	Harvesting practices optimize the use of forest* products and merchantable materials		• Documented harvesting procedures • Forest Management Plan • Monitoring and evaluation Reports • Field observations	
10.11.3	Sufficient amounts of dead and decaying biomass and forest* structure are retained to conserve environmental values*.	Sufficient amounts of dead and decaying biomass and forest* structure are retained to conserve environmental values*.		• Documented harvesting procedures • Forest Management Plan • Monitoring and evaluation Reports • Field observations	
10.11.4	Harvesting practices minimize damage to standing residual trees,	Harvesting practices minimize damage to standing residual trees,		• Documented harvesting procedures • Forest	

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
	residual woody debris on the ground and other environmental values*.	residual woody debris on the ground and other environmental values*.		Management Plan • Monitoring and evaluation Reports • Field observations	

10.12 The Organization* shall* dispose of waste materials in an environmentally appropriate manner. (C6.7 V4)

	International Generic Indicator	Draft National Indicator	Rationale	Verifiers	Comments / Guidance
10.12.1	Collection, clean up, transportation and disposal of all waste materials* is done in an environmentally appropriate way that conserves environmental values* as identified in Criterion* 6.1	Collection, clean up, transportation and disposal of all waste materials* is done in an environmentally appropriate way that conserves environmental values* as identified in Criterion* 6.1		• Strategy for waste management • Interviews of Organizational workers and other stakeholders • Monitoring and evaluation Reports • Field observations	

5. GLOSSARY

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 (Parliament-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).

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** (Source: FSC 2014).

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 (Source: FSC 2014).

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).

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 diversity values: The intrinsic, ecological, genetic, social, economic, scientific, educational, cultural, recreational and aesthetic values of biological diversity and its components. (see Convention on Biological Diversity, 1992)

Buffer zone: A zone within a protected area, protecting particularly sensitive areas such as strict nature reserves from undue human pressure that may exist outside the protected area, usually by allowing some limited and controlled human use within the buffer (Grove, 1995)

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

Certificate: A document issued under the rules of a certification system, indicating that adequate confidence is provided that a duly identified product, process or service is in conformity with a specific standard or other normative document [ISO/IEC Guide 2:1991 paragraph 14.8 and ISO/CASCO 193 paragraph 4.5].

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 (Source: FSC 2014).

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 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** (Source: FSC 2014).

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).

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

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).

Culturally appropriate [mechanisms]: Means/approaches for outreach to target groups that are in harmony with the customs, values, sensitivities, and ways of life of the target audience (Source: FSC 2014).

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 1994).

Dispute: for the purpose of the IGIs, 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 2014. FSC-PRO-01-005 V3-0 Processing Appeals).

Dispute of substantial duration: Conflicts that continue 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) (Source: FSC 2014).

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

a. Affects the *legal** or *customary rights** of *Indigenous Peoples** and *local communities**;
c. Where court has issued an injunction that affects management activities
d. Where ownership and management rights of the resource is disputed
b. Where the negative impact of management activities is of such a scale that it cannot be reversed or mitigated;
e. Physical violence;
f. Destruction of property;
g. Presence of military bodies;
h. Acts of intimidation against *forest** *workers* and stakeholders.
i. Where the safety of workers or local communities is threatened

(Source: Adapted from FSC 2014).

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 WEBSTEa 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, 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).

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

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 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, 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).

Environmentally sensitive area: An area of land that is particularly susceptible to damage by forestry operations and where operations are prohibited or restricted: for example, wetlands, watersheds, streamside buffer zones, conservation zones, recreation areas, areas near human settlements, sites of special ecological significance, habitats of rare or endangered species (Higman et al., 2002).

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

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).

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 (Source: FSC 2014).

Fertilizer: Mineral or organic substances, most commonly N, P2O5 and K20, which are applied to soil for the purpose of enhancing plant growth (Source: FSC 2014).

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).

Forest certification: The process of verification by a body of proven independence that the management of a forest has reached a specified standard (Uganda Forestry Policy, 2001).

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

Forest management/manager: The people responsible for the operational management of the forest resource and of the enterprise, as well as the management system and structure, and the planning and field operations.

Forest management unit (FMU): A clearly defined forest area with mapped boundaries, managed by a single managerial body to a set of explicit objectives which are expressed in a self-contained multi-year management plan

Formal and informal workers organization: associations 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 (Source: FSC 2014).

Free, Prior, and Informed Consent: 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 organisms: 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).

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

a. Old commercial and non-commercial trees whose age noticeably exceeds the average age of the main canopy;
b. Trees with special ecological value;
c. Vertical and horizontal complexity;
d. Standing dead trees;

e. Dead fallen wood;
f. Forest openings attributable to natural disturbances;
g. Nesting sites;
h. Small wetlands, bogs, fens;
i. Ponds;
j. Areas for procreation;
k. Areas for feeding and shelter, including seasonal cycles of breeding;
l. Areas for migration;
m. Areas for hibernation.

(Source: FSC 2014).

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)

High Conservation Value Areas: Zones and physical spaces which possess and/or are needed for the existence and maintenance of identified *High Conservation Values** (Source: FSC 2014).

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).

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

Declaration of the Rights of Indigenous Peoples: Part VI)

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

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

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

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

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

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

Management Objective: Specific management goals, practices, outcomes, and approaches established to achieve the requirements of this standard (Source: FSC 2014).

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 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** (Source: FSC 2014).

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

Natural forest: 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 belowground 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 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 2011).

Natural Hazards: disturbances that can present risks to social and *environmental values** in the *Management Unit** but that may also comprise important ecosystem functions; examples include drought, flood, fire, landslide, storm, avalanche, etc. (Source: FSC 2014).

Non-compliance: Any failure to meet the threshold requirement(s) of an indicator.

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

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 which results in fatal or non-fatal injury (Source: International Labour Organization (ILO). Bureau of Library and Information Services. ILO Thesaurus as provided on ILO website).

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

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

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

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

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

Permanent forest estate (PFE): Land set aside for forestry activities in perpetuity (Uganda Forestry Policy, 2001).

Personal Protective Equipment / Gear: Suitable and appropriate personal protective equipment and clothing to protect users from risk or injury.

Pest: Organisms, which are harmful or perceived as harmful and as prejudicing the achievement of management goals. Some pests, especially introduced exotics, may also pose serious ecological threats, and suppression may be recommended. They include animal pests, plant weeds, pathogenic fungi and other micro-organisms.

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).

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

Environment and Development, 1992, and Wingspread Statement on the Precautionary Principle of the Wingspread Conference, 23–25 January 1998).

Pre-harvest [condition]: The diversity, composition, and structure of the *forest** or plantation prior to felling timber and appurtenant activities such as road building (Source: FSC 2014).

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

Production forest: A forest which is available for wood supply and other uses.

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).

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 (Source: FSC 2014).

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, preindustrial 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.

Riparian zone: Interface between land and a water body, and the vegetation associated to it (Source: FSC 2014).

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).

SLIMF (Small or low intensity managed forest): A forest management unit which meets specific FSC requirements related to size and/or intensity.

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).

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

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)).

Timber harvesting rate: The actual harvest levels 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 rates (Source: FSC 2014).

Timely manner: As promptly as circumstances reasonably allow; not intentionally postponed by *The Organization*;* in compliance with applicable laws, contracts, licenses or invoices (Source: FSC 2014).

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 selfidentify 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).

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 (Source: FSC 2014).

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 2009. FSC-STD-01-002 V1-0 FSC Glossary of Terms).

Waste materials: unusable or unwanted substances or by-products, such as:
a. Hazardous waste, including chemical waste and batteries;
b. Containers;
c. Motor and other fuels and oils;
d. Rubbish including metals, plastics and paper; and
e. Abandoned buildings, machinery and equipment.
(Source: FSC 2014)

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 (Source: FSC 2014).

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).

6. ANNEXES

ANNEX A: APPLICABLE LAWS* AND REGULATIONS

I. National Laws

Category of legislation	Coverage	Applicable National Laws
1. Legal rights to harvest		
1.1 Land tenure* and management rights	Legislation covering land tenure* rights, including customary rights as well as management rights that includes the use of legal* methods to obtain tenure* rights and management rights. It also covers legal* business registration and tax registration, including relevant legal* required licenses.	• The Constitution of the Republic of Uganda (1995), amended 2005 • Land Act (1998), • Land (Amendment) Act (2010), • National Environment Act (1995), • Local Government Act (1997), • Wildlife Act (1995), • Land Acquisition Act (1965), • Mining Act (2003), • Petroleum (Exploration, Development and Production) Act (2013), • The Traditional Rulers (Restitution of Assets and Properties) Act (1993), • Roads Act (1949) • The Access to Roads Act (1969) • The Companies Act (1961) • The Business Names Registration Act, Cap 109 • The Business Names Registration (Amendment) Rules, 2005 SI 53/2005 • The Business Names Registration (Appointment of Registrar) Order SI 109-2 • The Finance Act bill 2013-viz the Taxes and Duties (Provisional) Order No. 27 of 2013 • The Business Names Registration (Appointment of Registrar) Order SI 109-2 • The Partnerships Act, 2010
1.2 Concession licenses	Legislation regulating procedures for the issuing of forest* concession licenses, including use of legal* methods to obtain concession license. Especially bribery, corruption and nepotism are well-known issues in connection with concession licenses.	• National Forestry & Tree Planting Act (2003), • Public Procurement and Disposal of Public Assets Act (2003) • National Environment Act (1995), • Wildlife Act (1995), • Land Act (1998), • Inspectorate of Government Act (2002) • Leadership Code Act (2002) • Whistle blowers Act (2010),

Category of legislation	Coverage	Applicable National Laws
		• The Trade (Licensing) Act (1969), • The Income Tax Act (1997) • Value added Tax Act (1996)
1.3 Management and harvesting planning	Any national or sub-national legal* requirements for Management Planning, including conducting forest* inventories, having a forest* Management Plan* and related planning and monitoring, impact assessments, consultation with other entities, as well as approval of these by legally competent* authorities.	• National Forestry & Tree Planting Act (2003), • National Forestry & Tree Planting Regulations (2014) • National Environment Act (1995), • Environmental Impact Assessment Regulations (1998) • Uganda Wildlife Act (1995) • Local Governments Act (1997)
1.4 Harvesting permits	National and sub-national laws and regulations regulating the issuing of harvesting permits, licenses or other legal* document required for specific harvesting operations. It includes the use of legal* methods to obtain the permit. Corruption is a well-known issue in connection with the issuing of harvesting permits.	• National Forestry & Tree Planting Act (2003), • National Forestry & Tree Planting Regulations (2014) • Public Procurement and Disposal of Public Assets Act (2003) • Anti corruption Act (2009), • The Trade (Licensing) Act (1969), • The Income Tax Act (1997) • Value added Tax Act (1996)
2. Taxes and fees		
2.1 Payment of royalties and harvesting fees	Legislation covering payment of all legally required forest* harvesting specific fees such as royalties, stumpage fees and other volume based fees. It also includes payments of the fees based on correct classification of quantities, qualities and species. Incorrect classification of forest* products is a well-known issue often combined with bribery of officials in charge of controlling the classification.	• National Forestry & Tree Planting Act (2003) , • National Forestry & Tree Planting Regulations (2014), • Anti corruption Act (2009) • The Trade (Licensing) Act (1969), • The Income Tax Act (1997) • Value added Tax Act (1996)
2.2 Value added taxes and other sales taxes	Legislation covering different types of sales taxes which apply to the material being sold, including selling material as growing forest* (standing stock sales).	• National Forestry and Tree Planting Act (2003), • National Forestry and Tree Planting Regulations (2014) • Local Governments (Financial and Accounting) Regulations (2007) • The Local Governments Finance Commission Act (2003) • The Trade (Licensing) Act (1969), • The Income Tax Act (1997), • The Public Finance and Accountability Act (2003) • Value added Tax Act (1996)

Category of legislation	Coverage	Applicable National Laws
2.3 Income and profit taxes	Legislation covering income and profit taxes related to the profit derived from 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 or related to salary payments.	• The Income Tax Act (1997) • Value added Tax Act (1996)
3. Timber harvesting activities		
3.1 Timber harvesting regulations	Any legal* requirements for harvesting techniques and technology including selective cutting, shelter wood regenerations, clear felling, transport of timber from felling site and 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 planning and monitoring of harvesting activities. Any legally binding codes for harvesting practices shall* be considered.	• National Forestry & Tree Planting Regulations (2014), • National Environment Act (1995) • The Roads Act (1949) • The Uganda National Roads Authority Act (2006) • National Forestry & Tree Planting Regulations
3.2 Protected sites and species	International, national, and sub national treaties, laws, and regulations related to protected areas allowable forest* uses and activities, and/or, rare, threatened, or endangered species, including their habitats* and potential habitats*.	• National Forestry & Tree Planting Act (2003), • National Forestry & Tree Planting Regulations (2014), • National Environment Act (1995), • Wildlife Act (1995), • The Plant Protection Act (1937), • Land Act (1998), • Agricultural Seeds and Plant Act (1994) • Seed and Plant Act (2006) • Water Act (1997), • National Environment wetlands, riverbanks and lakeshores regulations

Category of legislation	Coverage	Applicable National Laws
3.3 Environmental requirements	National and sub national laws and regulations related to the identification and/or protection* of environmental values* including but not limited to those relating to or affected by harvesting, acceptable level for soil damage, establishment of buffer zones (e.g. along water courses, open areas, breeding sites), maintenance of retention trees on felling site, seasonal limitation of harvesting time, environmental requirements for forest* machineries, use of pesticides* and other chemicals, biodiversity conservation*, air quality, protection* and restoration* of water quality, operation of recreational equipment, development of non-forestry infrastructure, mineral exploration and extraction, etc.	• National Forestry & Tree Planting Act (2003), • National Forestry & Tree Planting Regulations (2014), • National Environment Act (1995), • Wildlife Act (1995), • Plant protection Act, • Land Act (1998), • Water Act (1997), • National Environment wetlands, riverbanks and lakeshores regulations, • Mining Act (2003), • Petroleum (Exploration,, Development and Production) Act (2013), • The Control of Agricultural Chemicals Act (1989)
3.4 Health and safety	Legally required personal protection* equipment for persons involved in harvesting activities, use of safe felling and transport practice, establishment of protection* zones around harvesting sites, and safety requirements to machinery used. Legally required safety requirements in relation to chemical usage. The health and safety requirements that shall* be considered relate to operations in the forest* (not office work, or other activities less related to actual forest* operations).	• National Forestry and Tree Planting Regulations (2014) • Employment Act (2006) • The Occupational Safety and Healthy safety Act (2006), • Labour Disputes (Arbitration & Settlement) Act (2006) • Workers Compensation Act (2000) • Workers Compensation Regulations. Statutory Instrument 225-1 (2000) • National Environment Act (1995)
3.5 Legal employment	Legal requirements for employment of personnel involved in harvesting activities including requirement for contracts and working permits, requirements for obligatory insurances, requirements for competence certificates and other training requirements, and payment of social and income taxes withhold by employer. Furthermore, the points cover observance of minimum working age and minimum age for personal involved in hazardous work, legislation against forced and compulsory labor, and discrimination and freedom of association.	• The Employment Act (2006), • The Employment Regulations (2011) • Labour Union Act (2006), • Labour Disputes (Arbitration & Settlement) Act (2006), • Workers Compensation Act (2000), • Childrens Act (1997), • The Occupational Safety and Healthy safety Act (2006), • The Income Tax Act (1997) • The Equal Opportunities Commission Act (2007)
4. Third parties' rights		

Category of legislation	Coverage	Applicable National Laws
4.1 Customary rights	Legislation covering customary rights relevant to forest* harvesting activities including requirements covering sharing of benefits and indigenous rights	• The Constitution of the Republic of Uganda (1995) as amended 2005 • The Land Act (1998) as amended 2010 • National Forestry & Tree Planting Act (2003), • Traditional Rulers (Restitution) Act (1993) • Local Governments Act (1997)
4.2 Free prior and informed consent	Legislation covering "free prior and informed consent" in connection with transfer of forest* management rights and customary rights to the organization in charge of the harvesting operation	• The Constitution of the Republic of Uganda (1995) as amended 2005 • National Forestry & Tree Planting Act (2003) • National Environment Act (1995) • Local governments Act (1997)
4.3 Indigenous peoples rights	Legislation that regulates the rights of indigenous people* as far as it's related to forestry activities. Possible aspects to consider are land tenure*, right to use certain forest* related resources or practice traditional activities, which may involve forest* lands	• The Constitution of the Republic of Uganda (1995) as amended 2005 • Wildlife Act (1995), • National Forestry & Tree Planting Act (2003)
5. Trade and transport		
NOTE: This section covers requirements for forest* management operations as well as processing and trade		
5.1 Classification of species, quantities, qualities	Legislation regulating how harvested material is classified in terms of species, volumes and qualities in connection with trade and transport. Incorrect classification of harvested material is a well-known method to reduce/avoid payment of legality prescribed taxes and fees.	• National Forestry & Tree Planting Act (2003) • National Forestry & Tree Planting Regulations (2014) • Seed & Plant Act (2006), • Public Procurement and Disposal Act, 2003
5.2 Trade and transport	All required trading permits shall* exist as well as legally required transport document which accompany transport of wood from forest* operation.	• National Forestry & Tree Planting Act (2003) • National Forestry & Tree Planting Regulations (2014) • Trade (Licensing) Act (1969), • Value added Tax Act (1996), as amended (2012) • Companies Act (1961)

Category of legislation	Coverage	Applicable National Laws
5.3 Offshore trading and transfer pricing	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 considered as an important generator of funds that can be used for payment of bribery and black money to the forest* operation and personal 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.	• Trade (Licensing) Act (1969), • Anti Corruption Act (2009), • Anti money laundering Act (2013), • Public Finance and Accountability Act (2003) •
5.4 Custom regulations	Custom legislation covering areas such as export/import licenses, product classification (codes, quantities, qualities and species).	• Uganda Revenue Authority Act (1991), • Customs Tariff Act (1970) • Trade (Licensing) Act (1969), • Value added Tax Act (1996), • Companies Act • National Forestry & Tree Planting Act (2003) • National Forestry & Tree Planting Regulations (2014
5.5 CITES	CITES Certificates (the Convention on International Trade in Endangered Species of Wild Fauna and Flora, also known as the Washington Convention).	• Uganda Wildlife Act (1995) •
6 Due diligence / due care		
6.1 Due diligence / due care procedures	Legislation requiring due diligence/due care procedures, including e.g. due diligence/due care systems, declaration obligations, and/or the keeping of trade related documents etc.	•

II. LIST OF NATIONALLY-RATIFIED* INTERNATIONAL TREATIES, CONVENTIONS AND AGREEMENTS

	TREATY/CONVENTION/AGREEMENT
1.	The Ramsar Convention on Wetlands, 1971
2.	The Convention for the Protection of World Cultural and Natural Heritage, 1972;
3.	The Convention on International Trade in Endangered Species, 1973;
4.	The Bonn Convention on Migratory Species, 1979
5.	Agenda 21, 1992;

6.	The Convention on Biological Diversity, 1992
7.	The United Nations Framework Convention on Climate Change, 1992
8.	The Convention to Combat Desertification, 1994
9.	The Africa Forest Law Enforcement and Governance
10.	The Common Market for Eastern and Southern Africa (COMESA)
11.	Protocol on the Sustainable Development of Lake Victoria Basin;
12.	The East African Community Protocol on Environment and Natural Resources Management
13.	The African Great Lakes Pact
14.	Kagera Basin Agreement, 1997

III. IUCN RED LIST OF THREATENED SPECIES

The IUCN Red List of Threatened Species provides information on plants and animals that have evaluated against a number of criteria designed to determine their relative risk of extinction. Species for which there is sufficient data are ranked on a scale:

- Extinct (EX)
- Extinct in the Wild (EW)
- Critically Endangered (CR)
- Endangered (EN)
- Vulnerable (VU)
- Near Threatened (NT)
- Least Concern (LC)

Threatened Species

Species within the categories of Critically Endangered (CR), Endangered (EN), and Vulnerable (VU) are termed *threatened.*
As of July 10, 2009, the IUCN database included 196 threatened species in Uganda which are listed here.

Critically endangered plants
Afrothismia winkleri
Diospyros katendei
Encephalartos equatorialis

Endangered plants

Brazzeia longipedicellata
Dialium excelsum
Dracaena ombet
Lovoa swynnertonii

Vulnerable plants

1. *Afzelia africana*
2. *Afzelia bipindensis*
3. *Albizia ferruginea*

4. *Antrocaryon micraster*
5. *Beilschmiedia ugandensis*
6. *Cola bracteata*
7. *Cordyla richardii*
8. *Crassocephalum bauchiense*
9. *Deschampsia angusta*
10. *Encephalartos macrostrobilus*
11. *Encephalartos whitelockii*
12. *Entandrophragma angolense*
13. *Entandrophragma cylindricum*
14. *Entandrophragma utile*
15. *Euphorbia bwambensis*
16. *Guarea cedrata*
17. *Guarea mayombensis*
18. *Hallea stipulosa*
19. *Khaya anthotheca*
20. *Khaya grandifoliola*
21. *Khaya senegalensis*
22. *Lophira alata*
23. *Lovoa trichilioides*
24. *Memecylon bequaertii*
25. *Mikaniopsis vitalba*
26. *Millettia lacus-alberti*
27. *Nauclea diderrichii*
28. *Ocotea kenyensis*
29. *Pavetta intermedia*
30. *Prunus africana*
31. *Secamone racemosa*
32. *Turraeanthus africanus*
33. *Vitellaria paradoxa*

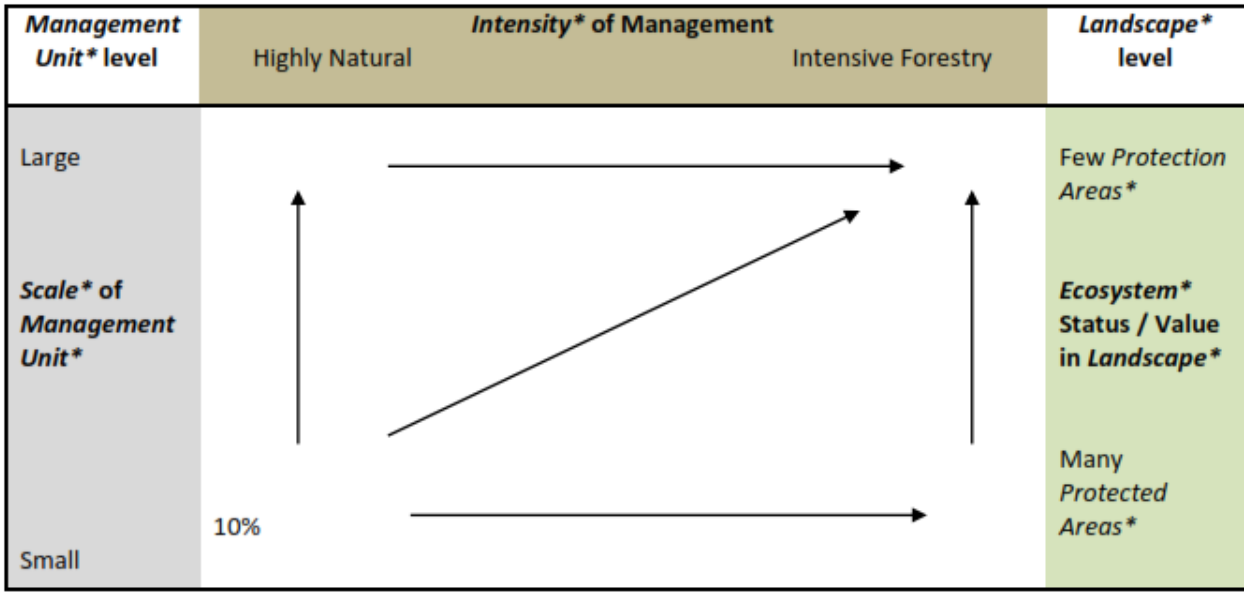
ANNEX B: TRAINING REQUIREMENTS FOR RELEVANT WORKERS

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

ANNEX C: PAYMENTS FOR ECOSYSTEM SERVICES

To be developed later after FSC Guide

ANNEX D: CONSERVATION AREA DESIGN CONCEPTUAL DIAGRAM



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

The far right column titled 'Ecosystems* Status / Value in the Landscape*' signifies the extent to which native ecosystems* are protected at the landscape* level and the relative requirements for further protection* in the Management Unit*.

The far left column titled 'Area of Management Unit*' shows that as the Management Unit* area increases, the Management Unit* will itself be at the landscape* level and so will be expected to have a Conservation Area Network* containing functional examples of all of the naturally occurring ecosystems* for that landscape*.

ANNEX E (I): ELEMENTS OF THE MANAGEMENT PLAN FOR HIGH IMPACT ORGANNIZATIONS

The following elements shall be included in 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 condition, as identified in Principle* 6, Principle* 2 to Principle* 5 and Principle* 9; and
iii. Major social and environmental risks in the area, as identified in Principle 6, Principle* 2 to Principle* 5 and Principle* 9.

2) Programs and activities regarding:

i. Workers*' rights, occupational health and safety, gender equality*, as identified in Principle* 4;
ii. Indigenous peoples*, community relations, local economic and social development, identified, as in Principle* 3, Principle* 4 and Principle* 5; and
iii. Stakeholder engagement* and the resolution of disputes*; and grievances, as identified in Principle* 7 and Principle* 9;
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 conserve* and/or restore*:

i. Rare and threatened species* and habitats*;
ii. Water bodies* and riparian zones*;
iii. Landscape* connectivity*, including wildlife corridors;
iv. Representative Sample Areas*, as identified in Principle* 6; and
v. High Conservation Values*, as identified in Principle* 9

4) Measures to assess, prevent, and mitigate negative impacts of management activities on:

i. Environmental values*, as identified in Principle* 6 and Principle* 9; and
ii. Social Values, as identified in Principle* 2 to Principle* 5 and Principle* 9;

5) A description of the monitoring* program, as identified in Principle* 8, including:

i. Growth and yield, as identified in Principle* 5;
ii. Environmental values*, as identified in Principle* 6;
iii. Operational impacts, as identified in Principle* 10;
iv. High Conservation Values*, as identified in Principle* 9; and
v. Monitoring* systems based on stakeholder engagement* planned or in place, as identified in Principle* 2 to Principle* 5 and Principle* 9; and
vi. Maps describing the natural resources and land use zoning on the Forest* Management Unit*.

ANNEX E (II): ELEMENTS OF THE MANAGEMENT PLAN FOR LOW IMPACT ORGANNIZATIONS

1) Actions regarding:

i) Workers*' rights, occupational health and safety, gender equality*, as identified in Principle* 4;
ii) Indigenous peoples*, community relations, local economic and social development, identified, as in Principle* 3, Principle* 4 and Principle* 5; and
iii) Stakeholder engagement* and the resolution of disputes*; and grievances, as identified in Principle* 7 and Principle* 9;
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;

2) Actions to conserve* and/or restore*:

i) Rare and threatened species* and habitats*;
ii) Water bodies* and riparian zones*;
iii) Representative Sample Areas*, as identified in Principle* 6; and
iv) High Conservation Values*, as identified in Principle* 9

3) Actions to mitigate negative impacts of management activities on:

i) Environmental values*, as identified in Principle* 6 and Principle* 9; and
ii) Social Values, as identified in Principle* 2 to Principle* 5 and Principle* 9;

4) Actions to monitor.

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; and

ANNEX F (i): CONCEPTUAL FRAMEWORK FOR PLANNING / MONITORING HIGH IMPACT ORGANIZATIONS

Sample Management Plan Document	Management Plan Revision Periodicity	Element Being Monitored	Monitoring Periodicity	Who Monitors this Element?	FSC Principle / Criterion
Annual Work Plan	Annual	River / stream crossings	When in the field and annually	Field staff	P10
		Roads	When in the field and annually	Field staff	P10
		Natural vegetation belts / patches	Annually Sample	Field staff	P6, P10
		Rare Threatened and Endangered	Annually	Forest Manager	P6
		Annual harvest levels	Annually	Forest Manager	C 5.2
		Insect disease outbreaks	Ongoing	Forest Manager	P 10
Budgeting	Annual	Expenditures	Annually	Finance Manager	P5
		Incomes	Annually	Finance Manager	P5
		Contribution to local economy	Annually	General Manager	P5
Engagement Plan	Annual	Employment statistics	Annually	General Manager	P3, P4
		Social Agreements	A annually as agreed in Engagement Plan	Social Coordinator	P3, P4
		Internal grievances and disputes	Ongoing	Human Resource Manager	P2, P3, P4
		External grievances and disputes	Ongoing	General Manager	P2, P3, P4
Forest Management Plan	5years	wildlife populations	5 years	Consultants	P6
		Rare Threatened and Endangered	Every 3 years	Consultants	P6
		Age/size class distribution	5 years	Forest Manager	P10
		course/ woody debris	annually	Forest Manager	P10
		Free growing/ regeneration	annually; sample	Forest Manager	P10
		Species – site performance	Every 3 years	Forest Manager	P10

ANNEX F (ii): CONCEPTUAL FRAMEWORK FOR PLANNING / MONITORING LOW IMPACT ORGANIZATIONS

Sample Management Plan Document	Management Plan Revision Periodicity	Element Being Monitored	Monitoring Periodicity	Who Monitors this Element	FSC Principle / Criterion
Annual Work Plan	Annual	River / stream crossings	When in the field and annually	Field staff	P10
		Roads	When in the field and annually	Field staff	P10
		Natural vegetation belts / patches	Annually Sample	Field staff	P6, P10
		Rare Threatened and Endangered	Annually	Forest Manager	P6
		Annual harvest levels	Annually	Forest Manager	C 5.2
		Insect disease outbreaks	Ongoing	Forest Manager	P 10
Budgeting	Annual	Expenditures	Annually	Finance Manager	P5
		Incomes	Annually	Finance Manager	P5
Forest Management Plan	5years	Age/size class distribution	5 years	Forest Manager	P10
		course/ woody debris	annually	Forest Manager	P10
		Free growing/ regeneration	annually;	Forest Manager	P10
		Species – site performance	Ongoing	Forest Manager	P10
		Employment statistics	Annually	General Manager	P3, P4
		Community based activities	Annually	General Manager	P5
		Internal grievances and disputes	Ongoing	Human Resource Manager	P2, P3, P4
		External grievances and disputes	Ongoing	General Manager	P2, P3, P4

ANNEX G (I): MONITORING REQUIREMENTS FOR HIGH IMPACT ORGNAIZATIONS

Monitoring Requirements

1) Monitoring* in 8.2.1 is sufficient to identify and describe the environmental impacts of management activities, including:

i. The results of regeneration activities (Criterion* 10.1);
ii. The use of ecologically well adapted species for regeneration (Criterion* 10.2)
iii. Invasiveness or other adverse impacts associated with any alien species* within and outside the Management Unit* (Criterion* 10.3);
iv. The use of genetically modified organisms* to confirm that they are not being used. (Criterion* 10.4);
v. The results of silvicultural activities (Criterion* 10.5);
vi. Adverse impacts to environmental values* from fertilizers* (Criterion* 10.6);
vii. Adverse impacts from the use of pesticides* (Criterion* 10.7)
viii. Adverse impacts from the use of biological control agents (Criterion* 10.8);
ix. The impacts from natural hazards* (Criterion* 10.9);
x. The impacts of infrastructural development*, transport activities and silviculture to rare and threatened species*, habitats*, ecosystems*, landscape values* water and soils (Criterion* 10.10);
xi. 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); and
xii. Environmentally appropriate disposal of waste materials* (Criterion* 10.12)

2) Monitoring* in 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,
i. Criterion* 4.6);
iv. Programs and activities regarding workers'* rights (Criterion* 2.1);
v. Gender equality*, Sexual harassment and gender discrimination (Criterion* 2.2);
vi. Programs and activities regarding occupational health and safety (Criterion* 2.3);
vii. Payment of wages (Criterion* 2.4);
viii. Worker* Training (Criterion* 2.5);

ix. Where pesticides* are used, the health of workers* exposed to pesticides* (Criterion* 2.5 and Criterion* 10.7)
x. The identification of indigenous peoples* and local communities* and their legal* and customary rights* (Criterion* 3.1 and Criterion* 4.1);
xi. Full implementation of the terms in binding agreements* (Criterion* 3.2 and Criterion* 4.2);
xii. Indigenous peoples* and community relations (Criterion* 3.2, Criterion 3.3 and Criterion* 4.2);
xiii. Protection* of sites of special cultural, ecological, economic, religious or spiritual significance to indigenous peoples* and local communities* (Criterion* 3.5 and Criterion* 4.7);
xiv. The use of traditional knowledge* and intellectual property* (Criterion* 3.6 and Criterion* 4.8);
xv. Local economic and social development (Criterion* 4.2, Criterion* 4.3, Criterion* 4.4, Criterion* 4.5);
xvi. The production of diversified benefits and / or products (Criterion* 5.1);

3) Monitoring procedures in 8.2.2 are sufficient to identify and describe changes in environmental conditions including where applicable:

i. The provision 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); 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);
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* and water quality and the effectiveness of actions implemented to conserve* and/or restore* them (Criterion* 6.7);
vii. Landscape values* and the effectiveness of actions implemented to maintain and/or restore* them (Criterion* 6.8);
viii. Conversion of natural forest* to plantations* or conversion to non-forest* (Criterion* 6.9);
ix. The status of plantations* established after 1994 (Criterion* 6.10); and x. High Conservation Values* 1 to 4 identified in Criterion* 9.1 and the effectiveness of actions implemented to maintain and/or enhance them.

ANNEX G (II): MONITORING REQUIREMENTS FOR LOW IMPACT ORGNAIZATIONS

1) ***Monitoring* in 8.2.1 is sufficient to identify and describe the environmental impacts of management activities, including:***
   i. The results of regeneration activities (*Criterion** 10.1);
   ii. Invasiveness or other adverse impacts associated with any *alien species** within and outside the *Management Unit** (*Criterion** 10.3);
   iii. The results of silvicultural activities (*Criterion** 10.5);
   iv. The impacts from *natural hazards** (*Criterion** 10.9);
   v. The impacts of *infrastructural development**, transport activities and silviculture (*Criterion** 10.10);
   vi. The impacts of harvesting and extraction of timber on *non-timber forest products**, (*Criterion** 10.11); and
   vii. Environmentally appropriate disposal of *waste materials** (*Criterion** 10.12)

2) ***Monitoring* in 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*, (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);
   v. Activities regarding occupational health and safety (Criterion* 2.3);
   vi. Payment of wages (Criterion* 2.4);
   vii. Worker* Training (Criterion* 2.5);
   viii. The identification of indigenous peoples* and local communities* and their legal* and customary rights* (Criterion* 3.1 and Criterion* 4.1);
   ix. Indigenous peoples* and community relations (Criterion* 3.2, Criterion 3.3 and Criterion* 4.2);
   x. Protection* of sites of special cultural, ecological, economic, religious or spiritual significance to indigenous peoples* and local communities* (Criterion* 3.5 and Criterion* 4.7);
   xi. The production of diversified benefits and / or products (Criterion* 5.1);
   xii. Actual compared to projected annual harvests of timber and non-timber forest products* (Criterion* 5.2);
   xiii. High Conservation Values* 5 and 6 identified in Criterion* 9.1.

3) ***Monitoring procedures in 8.2.2 are sufficient to identify and describe changes in environmental conditions including where applicable:***
   i. *Representative sample areas** and the effectiveness of actions implemented to *conserve** and/or *restore** them (*Criterion** 6.5);
   ii. Water courses, water bodies* and water quality and the effectiveness of actions implemented to *conserve** and/or *restore** them (*Criterion** 6.7);
   iii. Conversion of *natural forest** to *plantations** or conversion to non-*forest** (*Criterion** 6.9);

ANNEX H: STRATEGIES FOR MAINTAINING HIGH CONSERVATION VALUES

FSC HVC	Definition of HCV
HCV1. Forest areas containing globally, regionally or nationally significant concentrations of biodiversity values	•
HCV1.1 Protected areas (PAs)	• All NPs, WRs and CWA have HCV • All Conservation areas (Nature Reserves and Buffer Zones) as provided for in the Nature Conservation Master Plan • RAMSAR Sites • UNESCO World Heritage Site
HCV1.2 Threatened and endangered species	Forest areas containing any threatened and endangered species in the IUCN Red List for Uganda
HCV1.3 Endemic species	• Forests containing species that are endemic to Uganda, as described in the Forest Nature Conservation Master Plan. • Forests containing species that are regionally endemic
HCV1.4 Critical temporal use	Forest areas used at certain times or at certain phases in the life-history of wild fauna. • Critical breeding sites, • migration sites, • migration routes or corridors • Seasonal feeding sites
HCV2. Forest areas containing globally, regionally or nationally significant large landscape level forests, contained within, or containing the management unit, where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance.	All forest areas identified as priority landscape forests in the national network of forest Nature Reserves as identified in the Forest Nature Conservation Master Plan and any other forests in the Albertine Rift.
HCV3. Forest areas that are in or contain rare, threatened or endangered ecosystems.	• Ecosystems containing Prime, Core and Secondary Conservation forests as described in the Forest Nature Conservation Master Plan • Ecosystems that have been dramatically reduced from their original extent due to the activities of man • Ecosystems which are so threatened by existing and planned activities that they should be considered threatened/endangered
HCV4. Forest areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control).	
HCV4.1 Forests critical to water catchments	A forest area will be considered as HCVF if it covers the whole or part of the catchment of a stream, lake or wetland on which a community (or communities) depends for their water supply and other critical livelihood activities
HCV4.2 Forests critical to erosion control	• Forest area that are critical for the control of landslides • Forests that are critical for controlling water erosion

FSC HVC	Definition of HCV
	and preventing sedimentation of natural water courses and bodies • Forests critical for prevention of serious wind erosion
HCV4.3 Forests providing barriers to destructive fire	Forest areas providing shelterbelts to fire susceptible infrastructural installations and established forest plantations will be considered HCVF
HCV5. Forest areas fundamental to meeting basic needs of local communities (e.g. subsistence, health).	Forests which are critical for the food security, health and general well being of the local communities. Such a forest will be a source of a basic need in a situation where the majority of the local people or the poorest populations among the local people have no realistic alternative. The basic needs are considered to be: • Food • NTFP harvesting (e.g. rattan) where this provides essential household income; • Medicinal materials in the absence or lack of access to local clinics, or in cases where traditional medicine is the only affordable option; • Building materials (e.g. roof thatches, wood etc); • Household needs such as fuel wood (for heating) or pestle (for preparing staple food forming the main diet of the community) where there are no affordable alternatives
HCV6. Forest areas critical to local communities' traditional cultural identity (identified in cooperation with such local communities).	A forest is considered HCVF if it defines the cultural identity of the local people such that its absence will lead to 'cultural erosion' The main characteristics of forests associated with the cultural identity of local people include: • Forest areas in which sites for performing cultural rites are located; • Forest areas in which sites for traditional religious worship are located;;

ANNEX I: BEST AVAILABLE INFORMATION SOURCES

High Impact Organizations should engage national and local authorities, scientific experts and/or other knowledgeable stakeholders mandated for or specialized in the ecosystem conservation, protection or restoration. For Low Impact Organizations, Best Available Information 'includes what the manager knows and observes, and what he/she learns from neighbours or stakeholders, together with existing assessments and mapping.

In Uganda, the Best Available Information may be derived from the following sources, among others:

1. Uganda Forest Nature Conservation Master Plan
2. Forest biodiversity reports
3. Local Forestry Development Plans
4. District Environment Plans
5. State of Environment Reports
6. Specialized studies
7. Field surveys
8. National HCV Framework for Uganda;
9. HCV surveys of the Management Unit*
10. Relevant databases and maps;
11. Consultation with relevant local and regional experts;
12. All CITES species and those listed on national, regional and local lists of rare and threatened species*;
13. Engagement* with indigenous peoples*, local communities* and affected stakeholder* and interested stakeholder*.
14. For purposes of HCVs, the the following sources of information could be used:
    i. To assess the presence of HCVs: www.biodiversitya-z.org
    ii. Biodiversity Hotspots: www.biodiversityhotspots.org ;
    iii. Intact Forest Landscapes: http://www.globalforestwatch.org/. Such areas are highly likely to have HCV 2, and may contain HCV 1;
    iv. Frontier Forests: www.wri.org/publication/lastfrontier-forests-ecosystems-and-economiesedge; www.globalforestwatch.org ;
    v. WWF Terrestrial Ecoregions: www.worldwildlife.org/science/ecoregions.
    vi. WWF Global 200 Ecoregions: www.worldwildlife.org/science/ecoregions/g200.cfm ;
    vii. Important Bird Areas IBAs, ~12,000 sites worldwide, many quite small (e.g. 314 in Australia): Birdlife International www.birdlife.org. ;
    viii. Plant Life International: IPAs, Important Plant Areas: www.plantlife.org.uk ;
    ix. World Heritage Sites (207 natural + mixed sites): UNESCO + IUCN. www.whc.unesco.org ;
    x. Centres of Plant Diversity, IUCN, WCMC. www.unep-wcmc.org/species/sca/GSPC.htm ;
    xi. Conservation International: Key Biodiversity Areas and Important Plant Areas;
    xii. RAMSAR sites, designated under the Ramsar Convention, the Convention on Wetlands of International Importance (~1900 sites): www.ramsar.org ;
    xiii. GSBAs: Globally Significant Biodiversity Areas, identified in some regions;
    xiv. KBAs, Key Biodiversity Areas, identified with IBAT: Integrated Biodiversity Assessment Tool (IUCN, CI and others),www.IBATforbusiness.org;
    xv. Natura2000: System of strict nature reserves in Europe: www.natura.org ;
    xvi. NatureServe: Database especially for species in USA and Canada: www.NatureServe.org;
    xvii. IUCN Red List of Threatened Species: http://www.iucnredlist.org/ .
15. Any other sources of information that may not be included here.