






Forest Stewardship Council®



The FSC National Forest Stewardship Standard of Australia

FSC-STD-AUS-01-2018 EN

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FSC Australia acknowledges the Traditional Owners and Elders past and present across Australia. We acknowledge the Wurundjeri people of the Kulin Nation, the Traditional Owners of the lands on which our office is located.

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PREFACE

Introduction to the Forest Stewardship Council®

The Forest Stewardship Council® (FSC®) is a global, market-based eco-label that promotes responsible management of the world's forests through standard setting and certification of both timber and non-timber forest products. As a not-for-profit membership-based organisation with three equal chambers - representing environmental, social and economic needs interests - FSC's forest management standards are developed by way of consensus to ensure environmentally appropriate, socially beneficial and economically viable forest management practices. The FSC provides a system for voluntary accreditation and independent third-party certification against FSC's standards for forest management and chain of custody assurance. FSC also drives improvement in forestry practices by encouraging the purchase of certified products across the supply chain and partnering with its membership and certificate holders, as well as businesses and communities, to promote FSC's brand and values.

The Forest Stewardship Council® Australia – National Office

Responsible Forest Management Australia Limited (ACN 120 667 870), trading as FSC Australia, was established in 2006 to promote FSC in Australia and seek accreditation as an FSC National Initiative. FSC Australia's mission is to promote environmentally appropriate, socially beneficial and economically viable management of forests in Australia and countries supplying the Australian forest products market.

In September 2013, FSC Australia began the process of developing a National Forest Stewardship Standard to apply FSC's Principles and Criteria of Responsible Forest Management to the Australian context, drive improvements in Australian forest management practices, and increase the reach of Australian products across international markets where demand for FSC certified products exists.

Standards Development Group

The FSC Australia Standards Development Group (SDG) is an independent, chamber balanced group made up of technical experts representing the various social, economic and environmental interests in Australian forestry. The SDG developed the Forest Stewardship Standard in accordance with the following FSC International normative standards and procedures:

- FSC-STD-60-006 (V1-2) EN ***Process Requirements for the Development and Maintenance of National Forest Stewardship Standards;***
- FSC-PRO-60-006 (V2-0) EN ***Development and Transfer of National Forest Stewardship Standards to the FSC Principles and Criteria Version 5;***
- FSC-STD-60-004 (V1-0) EN ***International Generic Indicators;*** and
- FSC-STD-60-002 (V1-0) EN ***Structure and Content of National Forest Stewardship Standards.***

The SDG comprises the following members:

Economic Chamber	Affiliation
Amanda Naismith	New Forests
Peter Grist	Individual
Suzette Weeding	Forestry Tasmania
Environment Chamber	Affiliation
Warrick Jordan	The Wilderness Society
David Blair	Australian National University
Paul Winn	Hunter Community Environment Centre
Social Chamber	Affiliation
Tim Anderson	Individual
Travis Wacey	Individual
Mark Annadale	Individual

Indigenous Working Group

Targeted and meaningful engagement with Australia's Indigenous stakeholders is a priority for FSC Australia. In order to deliver a credible Forest Stewardship Standard for Australia, the level of engagement with Indigenous stakeholders needed targeted focus, expertise and resources. To this end, FSC Australia established an Indigenous Working Group (IWG) in January 2015 which:

- (a) provided representational and expert feedback to FSC Australia on Indigenous issues and forestry in Australia;
- (b) provided expert advice to the SDG during development of the Forest Stewardship Standard; and
- (c) assisted the SDG in ensuring engagement with as many interested and affected Indigenous stakeholders as possible throughout the standard development process.

Inaugural IWG members:

- Mr David Collard: Aboriginal NRM Coordinator State, Western Australia. From the Ballardong region of the Nyungar Nation based in the southwest of Western Australia
- Mr Phil Duncan: Traditional Owner from Gamilaroi Nation, Moree in north western New South Wales ^[L]_{SEP}
- Mr Phil Rist: Executive Officer, Girringun Aboriginal Corporation, Queensland ^[L]_{SEP}

- Ms Denise Lovett: Liaison Officer, South West TAFE Koorie, Victoria (Gunditj Mirring Traditional Owners) ^[1]_[SEP]
- Dr Sue Feary: Heritage Consultant, New South Wales ^[1]_[SEP]
- Dr Hilary Smith: Principal, Latitude Forest Services Company, New South Wales ^[1]_[SEP]

Technical Experts

Throughout the standard development process, the SDG engaged the following technical experts:

- Aboriginal Carbon Fund - UNDRIP and ILO; Indigenous Engagement (January and February 2015)
- Biosis - Environmental Impact Assessment (August 2015)
- Rod Knight - Water and Riparian Protection (September 2015)
- Professor Breen Creighton - Workers' Rights (September 2015)
- Indigenous Working Group - Indigenous Rights and Issues (Ongoing from January 2015).

PREAMBLE

Purpose and Scope of the FSC Australia Forest Stewardship Standard

This document sets out the 10 FSC *Principles** of Responsible Forest Management and their associated *Criteria** and *Indicators**, Annexes, guidance as well as a Glossary of Terms. These are to be applied in the management and evaluation of native, plantation, and small and low intensity managed forest operations in all states and territories of Australia for the purposes of FSC certification. Essential information is also provided on how to read and apply FSC Australia's Forest Stewardship Standard in the field.

The FSC Policy Framework

FSC's policy and standards system utilises a hierarchical framework for describing and assessing performance against its 10 *Principles** of Responsible Forest Management. The methodology is laid out in the TROPENBOS International *Hierarchical Framework for the Formulation of Sustainable Forest Management Standards*.

Policy Hierarchy

The Forest Stewardship Standard is structured according to the following:

- **Principle*** - An essential rule or element, in FSC's case, of forest stewardship.
- **Criterion* (pl. Criteria*)** - A means of judging whether or not a *Principle** (of Forest Management) has been fulfilled.
- **Indicator*** - A quantitative or qualitative variable which can be measured or described, and provides a means of judging whether a *Management Unit** complies with the requirements of an FSC *Criterion**

- **Verifier** - This is a source of information for the indicator or for a reference value in the indicator.

FSC's *Principles** and *Criteria** are defined and mandated at the international level through its General Assembly and are encapsulated in FSC-STD-01-001 V5-0 D5-0 EN - *FSC Principles and Criteria for Forest Stewardship*. This is FSC International's fifth version, which has been in effect since December 2015.

It is the role of the SDG to develop the Forest Stewardship Standard at the indicator and verifier levels. Drafting of individual indicators is guided by the following FSC International normative documents:

- FSC-STD-60-004 (V1-0) EN International Generic Indicators
- FSC-PRO-60-006 (V1-0) EN Development and Transfer of National Forest Stewardship Standards to the FSC Principles and Criteria Version 5
- FSC-STD-60-002 (V1-0) EN Structure and Content of National Forest Stewardship Standards

The International Generic Indicators

FSC-PRO-60-006 (V1-0) outlines how the SDG uses the International Generic Indicators (IGIs) as a baseline for drafting the Forest Stewardship Standard and adapting FSC's *Principles** and *Criteria** to the national context. Specifically, the SDG has four options for interpreting each IGI:

- **Adopt** the proposed IGI word for word;
- **Adapt** the proposed IGI to the national situation, whilst retaining the elements and the baseline expressed in the IGIs, and justify this change;
- Propose a **New** indicator. Justification must be provided; and
- **Drop** the IGI, however all elements of the Criterion must be covered by at least one indicator.

Language used in the FSC® Australia Forest Stewardship Standard

The language used in the *Principles**, *Criteria**, *Indicators**, *Verifiers* and *Guidance* is deliberate, reflecting the agreed intent of the SDG. The following key terms and their meaning are to be noted.

“Shall”, “Should”, “May” and “Can”

- **Shall**: indicates requirements strictly to be followed in order to conform to the Forest Stewardship Standard.
- **Should**: indicates that among several possibilities, one is recommended as particularly suitable, without mentioning or excluding others, or that a certain course of action is preferred but not necessarily required.
- **May**: indicates a course of action permissible within the limits of the standard.
- **Can**: is used for statements of possibility and capability, whether material, physical or causal.

“Where applicable”, “where appropriate” or “where possible”

In various *indicators** and annexes throughout this Forest Stewardship Standard, the terms “where applicable”, “where appropriate” and “where possible” are used as variables. In these instances, it is the responsibility of *The Organisation** to provide sufficient rationale for any activities or measures deemed to not be relevant and that omission does not impinge on *The Organisation’s** ability to fulfil the relevant *Criterion**.

Definitions

Terms and concepts that have an official definition are accompanied with a ‘*’ (e.g. *monitoring**). The SDG has added extra definitions as well as adapted some others. Where definitions have been extended or developed specifically for use in the High Conservation Values Framework (Annex G), these definitions have been included in that Annex as well.

Verifiers

FSC-STD-60-002 establishes the content and structure requirements for FSC National Forest Stewardship Standards.

Regarding the use of verifiers, FSC-STD-60-002 states:

Means of verification are not normative. They do not define thresholds for compliance, but indicate potential sources of information or evidence that an auditor may find useful in evaluating compliance, such as records, documents, maps, field observations or interviews.

Thus, the provision of a verifier does not make it mandatory. Auditors may use other means for verification where appropriate. Forest Managers may also use verifiers as a guide to what may be required to demonstrate conformity.

Guidance

Guidance boxes are intended to help the certificate holder and the Certification Body understand how the *Principles**, *Criteria**, and *Indicators** should be applied in practice. Certification Bodies are expected to utilise the guidance language associated with each *indicator** when seeking and weighing evidence, and assessing conformance with the *indicator**.

Individual elements within the guidance, when considered separately, are not requirements of this Forest Stewardship Standard. However, in some circumstances, lack of performance relative to an individual guidance element could be interpreted to mean non-compliance if, when considering the sum of the evidence, the Certification Body finds that there is clear evidence that the *indicator** has not been met. Other information or management activity not specified in the guidance may be provided by the forest owner or manager to demonstrate conformance with the *indicator**.

Specific guidance on Impact Assessments to support Forest Managers in the application of *Principles** 4 and 6 is provided after *Principle** 10.

List of Acronyms

BAI - Best Available Information

CITES - Convention on International Trade in Endangered Species of Wild Fauna and Flora

CAR - Corrective Action Request

EIA - Environmental Impact Assessment

FPIC - Free, Prior and Informed Consent.

FSCA - Forest Stewardship Council Australia

FSCA-FSS - FSC Australia - Forest Stewardship Standard

FSCI - Forest Stewardship Council International

HCV - *High Conservation Value**

IA - Impact Assessment

ICOMOS - International Council on Monuments and Sites

IGIs - International Generic Indicators

IBRA - Interim Biogeographic Regionalisation for Australia

IWG - Indigenous Working Group

MU - *Management Unit**

SDG - Standards Development Group

SIR - Scale, Intensity and Risk

SOP - Standard Operating Procedure

WHS - Workplace Health and Safety

Annexes

Annex	
<i>Principle 1, Annex A</i>	Minimum list of <i>applicable laws</i> *, regulations and nationally ratified international treaties, conventions and agreements.
<i>Principle 2, Annex B</i>	Training requirements for workers.
<i>Principle 5, Annex C</i>	Additional requirements for making claims against Ecosystem Services.
<i>Principle 7, Annex E</i>	Elements of the <i>Management Plan</i> *.
<i>Principle 8, Annex F</i>	Monitoring requirements.
<i>Principle 9, Annex G</i>	HCV framework.

Note Regarding Auditing of Annexes

Individual numbered elements of an Annex are to be considered in their own right for the purposes of auditing. This means that any Minor or Major Corrective Action Request (CAR) issued against individual elements in an Annex that are referenced by an indicator are treated separately. For example:

If a CAR is issued against 2.5.1 Annex 1a), it is not the same as 2.5.1 Annex 1b). This means that a minor CAR for 2.5.1 Annex 1a) could be issued and closed, while at the same time a minor CAR for 2.5.1 Annex 1b) could be issued.

Best Available Information*

FSC's *Principles** and *Criteria** and the IGIs include a generic definition of *Best Available Information** (BAI). The SDG has used this definition as a baseline for its application throughout the Forest Stewardship Standard. However, in many cases, FSC International has identified areas where *Criteria** or *indicator**-specific clarification may be used. Where this has been included, details are provided below the relevant *indicator**. For audit purposes, wherever a specific BAI list has been provided under a *Criterion** or *Indicator**, it is intended to give further specificity to the generic glossary definition.

Specific BAI lists have also been developed for use of the HCV Framework (Annex G). The adapted definition reads:

Best Available Information: Data, facts, documents, expert opinions, contact information and results of field surveys, review of publicly available records 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**.

Scale, Intensity and Risk

Where a *Principle** or *Criterion** requires the consideration of scale, intensity and risk (SIR), FSC gives SDGs the option to develop additional variations of *indicators** and verifiers for low, medium and high-impact organisations. The FSC Australia Forest Stewardship Standard has two categories for scale, intensity and risk: Low SIR and Standard SIR.

Qualifying as Low SIR

- The *Management Unit** is smaller than 1000ha, or the *Management Unit** annual harvest is less than 5000 m³/per annum; and
- For *native forest** only operations, *management objectives** are to maintain and/or restore* stands* containing *multi-age forest** structure across the *Management Unit**.

Low SIR and Group Schemes

- Where each individual property within the scheme meets the above thresholds for Low SIR, the Group Scheme will be classed as Low SIR for the purposes of certification, regardless of whether the area or volume production of the aggregated Group Scheme properties exceed the 'Low' threshold.
- Where some but not all individual properties within the scheme meet the thresholds for Low SIR, those properties meeting the threshold can be classed as Low SIR for the purposes of approval of the forest Management Plan* by the Group Scheme manager.

Applying the FSC Australia Forest Stewardship Standard for Low SIR

There are two ways that the Forest Stewardship Standard provides differentiation in requirements based on SIR. Firstly, by providing an alternative *indicator**, and secondly, by specifying an *indicator** as not applicable. Otherwise, all *indicators** apply:

- If Low SIR distinction is with an alternative Low SIR specific *indicator**, it will have the same number as its alternate with an 'L' prefix. (e.g. L5.3.1).
- Where Low SIR distinction is based on an *indicator** not applying, a note will be at the start of the *Criterion's* indicators** to specify which *indicators** apply.

PRINCIPLE 1: COMPLIANCE WITH LAWS

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

- 1.1 *The Organisation* shall* be a legally defined entity with clear, documented and unchallenged legal registration*, with written authorisation from the legally competent* authority for specific activities. (new)***
- 1.1.1 *Legal registration* to carry out all activities within the scope of the certificate is documented and unchallenged.*
- 1.1.2 *Legal registration* is granted by a legally competent* authority according to legally prescribed processes.*
- 1.2 *The Organisation* shall* demonstrate that the legal* status of the Management Unit*, including tenure* and use rights*, and its boundaries, are clearly defined.***
- 1.2.1 *Legal* tenure* to manage and use resources within the scope of the certificate is documented.*
- 1.2.2 *Legal* tenure* is granted by a legally competent* authority according to legally prescribed processes.*
- 1.2.3 *The boundaries of all Management Units* within the scope of the certificate are clearly marked or documented and clearly shown on maps.*
- 1.3 *The Organisation* shall* have legal* rights to operate in the Management Unit*, which fit the legal* status of The Organisation* 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 Organisation* shall* pay the legally prescribed charges associated with such rights and obligations.***
- 1.3.1 *All activities undertaken in the Management Unit* are carried out in compliance with:*
- 1) *Applicable laws* and regulations and administrative requirements;*
 - 2) *Legal* rights; and*
 - 3) *Obligatory codes of practice*.*
- 1.3.2 *Payment is made in a timely manner* of all applicable legally prescribed charges connected with forest* management.*
- 1.3.3 *Activities covered by the Management Plan* are designed to comply with all applicable laws*.*
- 1.3.4 *Potential conflicts* between applicable Australian federal, state and/or local laws*, the FSC Principles & Criteria*, and international agreements are identified and recorded.*

1.4 The Organisation* shall* develop and implement measures, and/or shall* engage with regulatory agencies, to systematically protect the Management Unit* from unauthorised or illegal resource use, settlement and other illegal activities.

- 1.4.1 Measures are implemented aimed at providing *protection** from unauthorised or illegal harvesting, hunting, fishing, trapping, collecting, settlement and other unauthorised activities.
- 1.4.2 Where *protection** is the *legal** responsibility of regulatory bodies, a system is implemented to work with these regulatory bodies to identify, report, control and discourage unauthorised or illegal activities.
- 1.4.3 If illegal or unauthorised activities are detected, actions are undertaken, where appropriate, to mitigate impacts and improve systems aimed to prevent further illegal or unauthorised activities.

1.5 The Organisation* shall* comply with the applicable national laws*, local laws*, ratified* international conventions and obligatory codes of practice*, relating to the transportation and trade of forest products within and from the Management Unit*, and/or up to the point of first sale.

- 1.5.1 Compliance with *applicable national laws**, *local laws**, *ratified** international conventions and *obligatory codes of practice** relating to the transportation and trade of forest products up to the point of first sale is demonstrated.
- 1.5.2 Compliance with CITES provisions is demonstrated, including through possession of certificates for harvest and trade in any CITES species.

1.6 The Organisation* 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*.

Low SIR: Only 1.6.2 and 1.6.4 Apply

- 1.6.1 A *publicly available* dispute** resolution mechanism is in place, modified where necessary through *culturally appropriate** consultation with *affected stakeholders**.
- 1.6.2 *Disputes** related to issues of *applicable laws** or *customary law** that can be settled out of court in a *timely manner** are responded to promptly, and all *reasonable** steps are undertaken to resolve the *dispute**.
- 1.6.3 Up to date records of *disputes** related to issues of *applicable laws** are held including:
 - 1) Steps taken to resolve *disputes**;
 - 2) Outcomes of all *dispute** resolution processes; and
 - 3) Unresolved *disputes** and the reasons why they are not resolved, how they will be resolved, or why they are not resolvable.
- 1.6.4 Operations cease in areas where *disputes** exist:
 - 1) Of substantial magnitude*; or
 - 2) Of substantial duration*; or
 - 3) Involving a significant number of interests.

- 1.7** *The Organisation* shall* publicise 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 Organisation* shall* implement other anti-corruption measures proportionate to the scale* and intensity* of management activities and the risk* of corruption.*
- 1.7.1 *The Organisation's* Management Plan* and relevant contractual arrangements contain an anti-corruption commitment.*
 - 1.7.2 *The commitment meets or exceeds related legislation.*
 - 1.7.3 *The commitment is included in the public summary of the Management Plan*.*
 - 1.7.4 *No evidence is found of bribes offered by, or accepted by, The Organisation*, or any other form of corruption.*
 - 1.7.5 *Corrective measures are implemented if corruption does occur.*
- 1.8** *The Organisation* 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.*
- 1.8.1 *The Organisation* shall have a written statement, signed by someone with the authority to implement it, that includes a long-term* commitment to forest* management practices consistent with FSC Principles* and Criteria* and related Policies and Standards.*
 - 1.8.2 *The statement is publicly available* at no cost.*

**ANNEX A: MINIMUM LIST OF APPLICABLE LAWS*, REGULATIONS
AND NATIONALLY-RATIFIED INTERNATIONAL TREATIES,
CONVENTIONS AND AGREEMENTS***

The updated Annex is currently held online here: <https://au.fsc.org/en-au/standards/forest-management>

PRINCIPLE 2: WORKERS'* RIGHTS AND EMPLOYMENT CONDITIONS

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

2.1 The *Organisation* shall* uphold** the principles and rights at work as defined in the ILO Declaration on Fundamental Principles and Rights at Work (1998) based on the eight ILO Core Labour Conventions.

- 2.1.1 Employment practices and conditions for *workers** demonstrate conformity with or *uphold** the principles and rights of work addressed in the eight ILO Core Labour Conventions as defined in the ILO Declaration on Fundamental Principles and Rights at Work (1998).
- 2.1.2 *Workers** are able to establish or join labour organisations of their own choosing subject only to the rules of the labour organisation concerned.
- 2.1.3 Agreements are implemented resulting from collective bargaining with *formal and informal workers organisations**.

2.2 The *Organisation* shall* promote gender equality** in employment practices, training opportunities, awarding of contracts, processes of *engagement** and management activities.

- 2.2.1 Systems are in place that promote *gender equality** and prevent discrimination in employment practices, training opportunities, awarding of contracts, processes of *engagement** and management activities.
- 2.2.2 Job opportunities are open to both women and men under the same conditions, and women are encouraged to participate actively in all levels of employment.
- 2.2.3 Work undertaken by men and women are equally included in training and WHS programs.
- 2.2.4 Women and men of the same qualifications, skill and experience are paid the same wage when they do the same work.
- 2.2.5 When returning from maternity or paternity leave, if returning in a period less than 6 weeks after child birth, consideration of special provisions shall be provided to *workers** on their request, and if necessary will be granted in order to ensure workplace health and safety is maintained.
- 2.2.6 Meetings, management committees and decision-making forums are organised to include relevant *workers** including women and men, and to facilitate the active participation of both.
- 2.2.7 Paternity leave is available and there is no penalty for taking it.
- 2.2.8 Confidential and effective mechanisms exist for reporting and eliminating cases of sexual harassment and *discrimination**, workplace harassment or bullying.
- 2.2.9 Complaints of sexual harassment and discrimination, workplace harassment or bullying are treated seriously and investigated promptly, confidentially and impartially.

2.3 The *Organisation* 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 P&C V4)

- 2.3.1 A Workplace Health and Safety (WHS) program is in place, that meets or exceeds the ILO Code of Practice on Safety and Health in Forestry Work, and which complies with relevant workplace health and safety legislation and regulations, facilitates improvement in WHS and adopts working conditions that do not endanger *workers**.
 - 2.3.2 The program is developed and implemented in consultation and cooperation with *workers** and/or *workers**' representatives.
 - 2.3.3 *Workers** have personal protective equipment appropriate to their assigned tasks and its use is enforced.
 - 2.3.4 Records are kept on compliance with the WHS program and on all incidents including near misses, medical treatments and lost time. Accident rates and lost time to accidents will also be kept.
 - 2.3.5 The trend and severity of incidents are generally decreasing over time.
 - 2.3.6 The health and safety practices are reviewed and revised as required and after major workplace changes/alterations or incidents.
- 2.4 The *Organisation** shall* pay wages that meet or exceed minimum *forest** industry standards or other recognised *forest** industry wage agreements or *living wages**, where these are higher than the *legal** minimum wages. When none of these exist, the *Organisation** shall* through *engagement** with *workers** develop mechanisms for determining *living wages**.**
- 2.4.1 *Workers** are engaged freely and duly compensated for the work they perform.
 - 2.4.2 Wages paid by the *Organisation** in all circumstances meet or exceed *legal** minimum wage rates, where such rates exist.
 - 2.4.3 When either minimum industry wage standards or other recognised industry wage agreements or awards or *living wages** exist that are higher than *legal** minimum wage rates, then wages paid meet or exceed at least one of those higher minimums.
 - 2.4.4 When no minimum wage levels exist, wages are established through *culturally appropriate* engagement** with *workers** and/or *formal or informal labour organisations**.
 - 2.4.5 Records of pay rates across the *Organisation** and how these relate to established benchmarks (e.g. minimum wage) are maintained.
 - 2.4.6 Wages, salaries, superannuation and other entitlements and employment contracts are paid on time.
 - 2.4.7 *Workers** (male and female) are paid directly and using mutually agreed methods.
- 2.5 The *Organisation** shall* demonstrate that *workers** have job-specific training and supervision to safely and effectively implement the *Management Plan** and all management activities. (C7.3 P&C V4)**

- 2.5.1 *Workers** have adequate job specific training consistent with Annex B and supervision to safely and effectively undertake their roles and duties as part of the implementation of the *management plan**.
 - 2.5.2 Trainers possess *suitable competence and qualifications** to deliver training. Where applicable, training is provided by accredited providers to nationally accredited standards.
 - 2.5.3 Assessment of competence must be undertaken by an assessor with suitable competence and qualifications.
 - 2.5.4 Up to date training, education and competency assessment records are kept and maintained for all workers.
- 2.6 The *Organisation** 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 *Organisation**.**
- 2.6.1 A *publicly available* dispute** resolution process is in place, developed in consultation and agreement with *workers** and their representatives.
 - 2.6.2 *Workers** grievances are identified and responded to and are either resolved or are in the *dispute** resolution process.
 - 2.6.3 Up to date records of *workers** grievances related to *workers** loss or damage of property, *occupational diseases** or *occupational injuries** are maintained including:
 - a) Steps taken to resolve grievances;
 - b) Outcomes of all *dispute** resolution processes including *fair compensation**;
 - c) Unresolved grievances and the reasons why they were not resolved;
 - d) Unresolvable *disputes** and the reasons why they are not resolvable.
 - 2.6.4 *Fair compensation** is provided to *workers** for work-related loss or damage of property and *occupational diseases** or *occupational injuries**.

Annex B: TRAINING REQUIREMENTS FOR WORKERS*

The list of training requirements in this Annex is intended for those *workers** with specific job responsibilities related to the implementation of the FSC Australia – Forest Stewardship Standard (FSCA-FSS). Where applicable, training should be provided by credible providers to recognised or nationally accredited standards.

As applicable to their job-specific requirements *workers** shall* be able to:

- 1) Implement forest* activities to comply with applicable *legal** requirements (*Criterion** 1.5);
- 2) Understand the content, meaning and applicability of relevant workplace and industrial relations legislation (*Criterion** 2.1);
- 3) Recognise and report on instances of sexual harassment and gender discrimination (*Criterion** 2.2);
- 4) Safely handle and dispose of hazardous substances to ensure that use does not pose health risks* (*Criterion** 2.3);
- 5) Carry out their responsibilities for particularly dangerous jobs or jobs entailing a special responsibility (*Criterion** 2.5);
- 6) Identify where *Indigenous Peoples** have *legal** and *cultural responsibilities** related to management activities (*Criterion** 3.2);
- 7) Identify and implement applicable elements of UNDRIP and ILO Convention 169 (*Criterion** 3.4);
- 8) Identify sites of special cultural, ecological, economic, religious or spiritual significance to *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);
- 9) Identify where *local communities** have *legal* rights** related to management activities (*Criterion** 4.2);
- 10) Carry out social, economic and environmental *impact assessments** and develop appropriate mitigation measures (*Criterion** 4.5 and 6.2);
- 11) Implement activities related to the maintenance and/or enhancement of declared *ecosystem services** (*Criterion** 5.1);
- 12) Handle, apply and store *pesticides** safely (*Criterion** 10.7); and
- 13) Implement procedures for cleaning up spills of *waste materials** (*Criterion** 10.12).

PRINCIPLE 3: INDIGENOUS PEOPLES' RIGHTS

The Organisation shall identify and uphold Indigenous Peoples' legal and customary rights of ownership, use and management of land, territories and resources affected by management activities.

3.1 *The Organisation shall identify the Indigenous Peoples that exist within the Management Unit or those that are affected by management activities. The Organisation 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 Organisation shall also identify areas where these rights are contested.*

3.1.1 *Indigenous Peoples connected to the Management Unit, or that may be affected by management activities, are identified through a systematic process using Best Available Information.*

Verifiers:

- *Documentation of organisations engaged and databases accessed.*
- *Documentation of methods used for identification.*
- *Interviews with stakeholders.*

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

- 1) *Their legal rights of tenure;*
- 2) *Their cultural responsibilities to care for country, including use rights of the forest resources and ecosystem services that apply within the Management Unit;*
- 3) *The agreed and reasonable evidence supporting these rights, responsibilities and obligations;*
- 4) *Areas where rights and responsibilities are contested between Indigenous Peoples connected to the Management Unit, governments and/or others;*
- 5) *Summary of the means by which the legal rights, cultural responsibilities and any contested rights, are acknowledged by The Organisation; and*
- 6) *The aspirations and goals of Indigenous Peoples related to their identified legal rights and cultural responsibilities.*

Guidance on contested rights and conflict:

The Organisation is not required to resolve intergroup conflict, but it needs to provide a reasonable effort to incorporate the diversity of views that may arise from groups.

Some intergroup conflicts may not be able to be resolved within a reasonable timeframe, if at all. It is important to note that intergroup conflicts should not result in the cessation of the management activities.

3.2 The Organisation* shall* recognise and uphold* the legal* and customary rights* of Indigenous Peoples* to maintain control over management activities within or related to the Management Unit* to the extent necessary to protect their rights, resources and lands and territories*. Delegation by Indigenous Peoples* of control over management activities to third parties requires Free, Prior and Informed Consent*.

3.2.1 Through *culturally appropriate* engagement**, *Indigenous Peoples* connected to* the Management Unit** are informed when, where and how they can comment on and request modifications to management activities to the extent necessary to protect their rights, *cultural responsibilities**, resources, *lands and territories**.

3.2.2 The *legal* rights and cultural responsibilities** identified under 3.1.2 (sub-points 1&2) of *Indigenous Peoples* connected to* the Management Unit** are not violated by *The Organisation**.

3.2.3 Where evidence exists that *legal* rights and cultural responsibilities** of *Indigenous Peoples* connected to* the Management Unit** related to management activities have been violated, the situation is corrected, and if necessary, through *culturally appropriate* engagement** and/or through the *dispute* resolution process* as required in *Criteria* 1.6 or 4.6*.

3.2.4 *Free, Prior and Informed Consent** is granted by *Indigenous Peoples* connected to* the Management Unit** prior to management activities that affect their 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 right to withhold or modify consent to the proposed management activities to the extent necessary to protect their rights, resources, *lands and territories**; and
- 4) Informing the *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 Organisation* 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 Organisation's* compliance with its terms and conditions.

3.3.1 Where control over management activities has been granted through *Free Prior and Informed Consent** based on *culturally appropriate* engagement**, the legally *binding agreement** contains the duration, provisions for renegotiation, renewal, termination, economic conditions and other terms and conditions.

3.3.2 Records of legally *binding agreements** are maintained.

3.3.3 The legally *binding agreement** contains the provision of opportunities for monitoring by *Indigenous Peoples* connected to* the Management Unit** of *The Organisation's** compliance with its terms and conditions.

3.4 The Organisation* shall* recognise and uphold* the rights, customs and culture of Indigenous Peoples* as defined in the United Nations Declaration on the Rights of Indigenous Peoples* (2007) and ILO Convention 169 (1989).

3.4.1 The Organisation* demonstrates a commitment to *upholding** the rights, customs and culture of *Indigenous Peoples** as defined in UNDRIP and ILO Convention 169 through:

- 1) Compliance with national and state laws outlined in 3.2, 4.1, 4.2 and 4.3 of Annex A; and
- 2) An *anti-discrimination** policy or commitment.

3.4.2 Where evidence that rights, customs and culture of *Indigenous Peoples**, as defined in UNDRIP and ILO Convention 169 in 3.4.1, have been violated by *The Organisation**, the situation is documented including steps to *restore** these rights, customs and culture of *Indigenous Peoples**, to the satisfaction of the rights holders.

3.5 The Organisation*, 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 recognised by The Organisation* and their management, and/or protection* shall* be agreed through engagement* with these Indigenous Peoples*.

3.5.1 *Cultural landscapes** and sites of special cultural, ecological, economic, religious or spiritual significance for which *Indigenous Peoples** hold *legal** rights and/or *cultural responsibility** are identified through *culturally appropriate** Engagement* and *Best Available Information*.

Verifiers:

- *Documentation of sites and cultural landscapes**, including maps (as appropriate) identified through available heritage registers or databases or from *Indigenous Peoples** identified by 3.1.

3.5.2 Measures to protect such *cultural landscapes** and *cultural sites** are agreed through *culturally appropriate* engagement** with *Indigenous Peoples** connected to* the *Management Unit**. Measures are documented, implemented, and monitored. 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.

3.5.3 Wherever *cultural landscapes** or *cultural sites** of special cultural, ecological, economic, religious or spiritual significance are newly observed or discovered, management activities cease without delay in the vicinity until *protective** measures have been agreed to with the *Indigenous Peoples** connected to* the *Management Unit**, and/or as directed by *state and national laws**.

3.6 The Organisation* shall* uphold* the right of Indigenous Peoples* to protect* and utilise their traditional knowledge* and shall* compensate local communities* for the utilisation of such knowledge and their intellectual property*. A binding

agreement* as per Criterion* 3.3 shall* be concluded between The Organisation* and the Indigenous Peoples* for such utilisation through Free, Prior and Informed Consent* before utilisation takes place, and shall* be consistent with the protection of intellectual property* rights.

- 3.6.1 *Traditional knowledge* and intellectual property* are protected and are only used when the acknowledged owners of that traditional knowledge* and intellectual property* have provided their Free, Prior and Informed Consent* formalised through a legally binding agreement*.*
- 3.6.2 *Indigenous Peoples* are compensated according to the legally binding agreement* reached through Free, Prior and Informed Consent* for the use of traditional knowledge* and intellectual property*.*

Verifiers:

- *Documentation of Free, Prior and Informed Consent* where traditional knowledge* has been used.*
- *Documentation of any compensation payments for the use of traditional knowledge*.*

PRINCIPLE 4: COMMUNITY RELATIONS

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

4.1 *The Organisation* shall* identify the local communities* that exist within the Management Unit* and those that are affected by management activities. The Organisation* shall* then, through engagement* with these local communities*, identify their rights of tenure*, their rights of access to and use of forest* resources and ecosystem services*, their customary rights* and legal* rights and obligations, that apply within the Management Unit*.*

4.1.1 *Local communities* that exist in the Management Unit* and those that may be affected by management activities are identified through a systematic process using Best Available Information*.*

4.1.2 *Through a reasonable* level of culturally appropriate* engagement* with the local communities* identified in 4.1.1, the following are identified, documented and/or mapped within the Management Unit*, or outside the Management Unit* when identified by local communities* as being potentially impacted by The Organisation's* management activities within the Management Unit*:*

- 1) *Their legal* rights of access to the forest*, and use rights of the forest* resources and ecosystem services*;*
- 2) *Their demonstrated long and established use or association;*
- 3) *Their legal* rights and obligations that apply within the Management Unit*;*
- 4) *The evidence supporting these rights, associations and obligations;*
- 5) *Areas where these rights, associations and obligations are contested between The Organisation*, local communities, governments and/or others; and*
- 6) *Summary of the means by which the legal*, and contested rights, association and uses are acknowledged by The Organisation*.*

Guidance on “long and established use or association”:

Non-Indigenous groups or communities may have recognised (though not legal) access and use over many generations (for example fisher huts, stock and walking tracks) to areas of forest*. While some have a degree of legal protection and/or provisions for access etc., for instance through various national, state or local government listings, some do not. The inclusion of “long and established use or association” provides communities the opportunity to identify these to The Organisation*.

4.2 *The Organisation* shall* recognise and uphold* the legal* and customary rights* of local communities* to maintain control over management activities within or related to the Management Unit* to the extent necessary to protect their rights, resources, lands and territories*. Delegation by local communities* of control over management activities to third parties requires Free, Prior and Informed Consent*.*

4.2.1 *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.*

4.2.2 The *legal** rights and *agreed rights**, demonstrated through long and established use or association, of *local communities** are not infringed by *The Organisation**.

Guidance on “agreed rights demonstrated through long and established use or association”:

Community identification or claims to non-legally recognised use or access rights in 4.1.1 does not immediately establish these as having the same status as those with formal legal recognition. Where claims prove to be credible *The Organisation** should engage relevant parties to seek an agreed approach to preserving these rights where appropriate and relevant to *management objectives**.

4.2.3 Where evidence exists that *legal** rights and agreed rights, demonstrated through long and established use or association, of *local communities** related to management activities have been infringed the situation is corrected, if necessary, through *engagement** and/or through the *dispute** resolution process in *Criteria** 1.6 or 4.6.

4.2.4 *Free, Prior and Informed Consent** is granted by *local communities** prior to management activities that affect their *legal** and *agreed** rights through long use of association 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 of the resource, in economic, social and environmental terms;
- 3) Informing the *local communities** of their right to withhold or modify consent to the proposed management activities to the extent necessary to protect their rights and resources; and
- 4) Informing the *local communities** of the current and future planned *forest** management activities.

4.3 *The Organisation* shall* provide reasonable* opportunities for employment, training and other services to local communities*, contractors and suppliers proportionate to scale* and intensity* of its management activities.*

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

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

Verifiers:

- ***Documentation of opportunities provided to workers and/or contractors from local communities* (newspaper ads, use of local employment services etc.).***

4.4 The Organisation* shall* implement additional activities, through engagement* with local communities*, that contribute to their social and economic development, proportionate to the scale*, intensity* and socio-economic impact of its management activities.

4.4.1 Opportunities for local social and economic development are identified through engagement* with local communities* and other relevant organisations proportionate to the scale*, intensity* and socio-economic impact of its management activities.

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

4.5 The Organisation*, 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.

FSC Australia has also developed guidance regarding social impact evaluations. It is not normative, The Organisation* may use other methods to meet the requirements under 4.5. The guidance follows at the end of Principle 10.*

Low SIR: Only L4.5.1 applies.

4.5.1 The Organisation* shall* conduct a social impact evaluation* related to forest management activities, appropriate to the scale* and intensity* of operations.

L4.5.1 Actions are implemented to identify, avoid and mitigate significant* negative social impacts of management activities.

4.5.2 The Organisation* shall* document the processes that it will use to engage* with stakeholders*, including local communities* and neighbours, that could be affected during the planning and implementation of forest management activities.

4.5.3 The Organisation* provides regular opportunities for engagement* with all stakeholders* and local communities* affected by its operations in order to identify social impacts and the potential to avoid or reduce such impacts on an ongoing basis.

4.5.4 The Organisation* shall* demonstrate that the information derived from social impact evaluations* and/or consultation processes with stakeholders* has been considered and, where appropriate, addressed in the planning and implementation of forest management activities.

4.6 The Organisation*, 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 Organisation*.

4.6.1 A publicly available* dispute* resolution mechanism is in place, with opportunity for modification through consultation with affected local communities*.

- 4.6.2 Grievances related to the impacts of management activities are responded to promptly, and all *reasonable** steps are undertaken to resolve them.
- 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 grievance resolution processes including *fair compensation**; and
 - 3) Unresolved *disputes** and the reasons why they are not resolved, how they will be resolved, or why they are not resolvable.
- 4.6.4 *Fair compensation** is provided to *local communities** and individuals for *damage** proven to be caused by negative impacts of management activities.
- 4.6.5 Operations cease in applicable areas while there exist *disputes of substantial magnitude**.
- 4.7 *The Organisation**, 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 recognised by *The Organisation**, and their management and/or *protection** shall* be agreed through *engagement** with these *local communities**.**
- 4.7.1 Sites of special cultural, ecological, economic, religious or spiritual significance for which *local communities** hold *legal** rights or agreed rights demonstrated through long and established use or association, are identified through *culturally appropriate** *engagement** and are recognised by *The Organisation**.
- 4.7.2 Measures to *protect** such sites are documented and implemented through 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.
- 4.7.3 Wherever and whenever cultural or archaeological sites are newly observed or discovered, any management activities impacting these sites cease without delay in the vicinity until *protective** measures have been implemented.
- 4.8 *The Organisation** shall* uphold* the right of *local communities** to *protect** and utilise their *traditional knowledge** and shall* compensate *local communities** for the utilisation of such knowledge and their *intellectual property**. A *binding agreement** as per *Criterion** 3.3 shall* be concluded between *The Organisation** and the *local communities** for such utilisation through *Free, Prior and Informed Consent** before utilisation takes place, and shall* be consistent with the *protection** of *intellectual property** rights. (New)**
- 4.8.1 *Traditional knowledge** and its associated *intellectual property** are protected and are only used when the owners of that *traditional knowledge** have provided their *Free, Prior and Informed Consent** formalised through a *binding agreement**.
- 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 its associated *intellectual property**.

PRINCIPLE 5: BENEFITS FROM THE FOREST*

The Organisation* 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 Organisation* 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.*

Low SIR: Only L5.1.2 applies

- 5.1.1 Consistent with *management objectives**, the range of forest products and *ecosystem services** that could strengthen and diversify the local economy are identified.
- 5.1.2 Consistent with *management objectives**, the identified benefits and products are produced by *The Organisation** and/or made available for others to produce, to strengthen and diversify the local economy.
- L5.1.2 Consistent with *management objectives**, forest products are produced by *The Organisation** and/or made available for others to produce, to strengthen and diversify the local economy.
- 5.1.3 When *The Organisation** makes FSC promotional claims regarding the maintenance and/or enhancement of *ecosystem services**, Annex C is followed regarding additional requirements.

5.2 *The Organisation* shall* normally harvest products and services from the Management Unit* at or below a level that can be permanently sustained.*

- 5.2.1 *Timber harvesting levels** are based on an analysis of current *Best Available Information** on:
 - 1) Growth and yield;
 - 2) Inventory of the *forest**;
 - 3) Mortality rates;
 - 4) Maintenance of *ecosystem functions**;
 - 5) *Conservation* of biological diversity**;
 - 6) Maintenance of ecosystem health and vitality;
 - 7) Maintenance of soil and water;
 - 8) Maintenance of carbon cycles;
 - 9) Maintenance of productive capacity;
 - 10) Maintenance of natural and cultural heritage;
 - 11) Maintenance of socio-economic benefit; and
 - 12) Impact from climate change, pests, diseases and *natural hazards**.

L5.2.1 *Timber harvesting levels** are based on an analysis of current *Best Available Information** on:

- 1) Growth and yield;
- 2) Inventory of the *forest**;
- 3) Mortality rates; and
- 4) Other relevant environmental and social considerations.

- 5.2.2 For *native forests**, the average annual *timber harvest level** across the *Management Unit** over a 20-year period does not exceed a level that can be sustained in the long-term (> 100 years).
- 5.2.3 For *native forests**, harvesting levels maintain or increase the standing timber stock over the *long-term** and productive capacity of the forest estate.
- 5.2.4 Actual annual harvest levels for timber are recorded and are consistent with the projected harvest level identified under 5.2.2.
- 5.2.5 For *plantations**, the *timber harvesting level** does not exceed the productive capacity of the site to sustain similar levels of yield through cycles of harvest and *regeneration**. Productive capacity may be informed by current economic constraints, productivity indices, estate models, growth models and past historic records.
- 5.2.6 *Timber harvest levels** are reviewed periodically (at least five-year intervals) to ensure that they are based on current growth estimates, regulatory requirements, previously recorded actual versus projected yield and market conditions.
- 5.2.7 For extraction of commercially harvested services and biological *non-timber forest products** under *The Organisation's** control a sustainable harvest level is calculated and adhered to. Sustainable harvest levels are based on *Best Available Information**.

5.3 *The Organisation* shall* demonstrate that the positive and negative externalities* of operations are included in the Management Plan*.*

- 5.3.1 Strategies and safeguards to prevent, mitigate or compensate for potential negative social and environment impacts of management activities are identified and included in the *Management Plan**.
- 5.3.2 Benefits related to positive social and environment impacts of management activities are identified and included in the *Management Plan**.

5.4 *The Organisation* shall* use local processing, local services, and local value-adding to meet the requirements of The Organisation* where these are available, proportionate to scale, intensity and risk*. If these are not locally available, The Organisation* shall* make reasonable* attempts to help establish these services.*

Low SIR: Only 5.4.1 Applies.

- 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.
- 5.4.2 *Reasonable** attempts are made to support and encourage establishment of capacity where local goods, services, processing and value-added facilities are not available.

5.4.3 In the absence of a third party able to provide the local good and/or service, where economically viable, *reasonable** and consistent with *management objectives**, *The Organisation** shall make *reasonable** attempts to establish capacity.

5.5 *The Organisation* shall* demonstrate through its planning and expenditures proportionate to scale, intensity and risk*, its commitment to long-term* economic viability*.*

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

L5.5.1 Sufficient funds are allocated to implement the *Management Plan** in order to meet this standard.

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

ANNEX C: ADDITIONAL REQUIREMENTS FOR ECOSYSTEM SERVICES*

Introduction:

Annex C and its accompanying documents have been developed for forest owners seeking FSC endorsement of promotional claims in relation to the provision of *ecosystem services**.

This Annex is a purely voluntary component of the standard. It is supplementary to the core *Principles** and *Criteria** for obtaining certification under the FSC Australia - Forest Stewardship Standard (FSCA-FSS). If certification of *ecosystem services** is to be achieved, all other requirements in this Standard continue to apply; however, there is no obligation for *The Organisation** to comply with this Annex if claims for *ecosystem services** are not made.

*The Organisation** may also refer to supporting documents *FSC-PRO-30-006 Ecosystem Services Procedure: Impact Demonstration and Market Tools* and *FSC-GUI-30-006 Guidance for Demonstrating Ecosystem Services Impacts*.

I. General Indicators

- 1) A *publicly available** *ecosystem services** Certification Document is developed and includes:
 - a) Identification of the *ecosystem services** for which a promotional claim is being or will be made;
 - b) A description of the current condition of the *declared ecosystem services**;
 - c) *Legal* tenure** and/or management rights to use and/or receive payments for *declared ecosystem services**;
 - d) *Management objectives**, activities and strategies related to maintenance and/or enhancement of *declared ecosystem services**;
 - e) *Verifiable targets** related to maintenance and/or enhancement of *declared ecosystem services**;
 - f) Areas within and outside the *Management Unit** that contribute to the *declared ecosystem services**;
 - g) Threats to the *declared ecosystem services** within and outside the *Management Unit**;
 - h) A description of management activities within the *Management Unit** to reduce the threats to *declared ecosystem services** within and outside the *Management Unit**;
 - i) A description of the methodology used to evaluate the impacts of management activities on the *declared ecosystem services** within and outside the *Management Unit**, based on the *FSC Procedure for Demonstrating the Impact of Forest Stewardship on Ecosystem Services*;
 - j) A description of monitoring results related to the implementation of management activities and strategies to maintain, enhance and/or address threats to *declared ecosystem services**;
 - k) A list of communities and other organisations involved in activities related to the *declared ecosystem services**; and
 - l) A summary of *culturally appropriate* engagement** with *Indigenous Peoples** and *local communities**, related to the *declared ecosystem services** and including *ecosystem services** access and use, and benefit sharing, consistent with *Principle* 3* and *Principle* 4*.
- 2) *The Organisation** shall undertake social and environmental impact evaluations to:

- a) Measure performance against the *verifiable targets** for the maintenance and/or enhancement of the *declared ecosystem services** and
 - b) Measure impacts from management activities on the *declared ecosystem services** within and outside of the *Management Unit**.
- 3) If impact evaluation results show that *verifiable targets** for the maintenance and/or enhancement of the *declared ecosystem services** are not met, *The Organisation** shall, prior to any further promotional claims:
- a) Revise *management objectives** and/or management activities related to the maintenance and/or enhancement of the *declared ecosystem services** to meet the verifiable targets, and
 - b) Implement *adaptive management** procedures so that evaluation results feed into periodic updates to the planning process and the resulting *management plan**, to ensure *verifiable targets** are met.
- 4) If impact evaluation results reveal negative impacts from management activities on the *declared ecosystem services** within or outside of the *Management Unit**, *The Organisation** shall, prior to any further promotional claims:
- a) Implement measures to prevent further negative impacts, and ensure any *damage** is *mitigated** and/or *repaired**, and
 - b) Revise *management objectives** and/or management activities to prevent further negative impacts, and
 - c) Implement *adaptive management** procedures so that evaluation results feed into periodic updates to the planning process and the resulting *management plan**.
- 5) Management of all *ecosystem services** ensures:
- a) *Peatlands** are not drained;
 - b) *Wetlands**, *peatlands**, savannahs or natural *grasslands** are not converted to *plantations** or any other land use;
 - c) Areas converted from *wetlands**, *peatlands**, savannahs or natural *grasslands** to *plantation** since November 1994 are not certified, except where:
 - i) *The Organisation** provides clear and sufficient evidence that it was not directly or indirectly responsible for the conversion; or
 - ii) The conversion is producing clear, substantial, additional, secure, *long-term** *conservation** benefits in the *Management Unit**; and
 - iii) The total area of *plantation** on sites converted since November 1994 is less than 5% of the total area of the *Management Unit**.
- 6) Knowledgeable experts independent of *The Organisation** confirm the effectiveness of management strategies, actions and/or *monitoring** methodologies, to maintain and/or enhance the identified *High Conservation Value Areas** relevant to the *declared ecosystem service**.

II Specific Management Indicators for Declared Ecosystem Services

A. Carbon Sequestration and Storage

- 1) In addition to requirements to maintain *environmental values** in *Principle** 6, and *Principle** 9* when promotional claims are made regarding carbon sequestration and storage, the following are demonstrated:

- a) *Forests** managed for their carbon stocks, according to the *FSC Guidance for Maintaining and Enhancing Ecosystem Services** or other *credible ecosystem service guidelines** are identified.
- b) Management activities maintain, enhance or *restore** carbon storage in the *forest**; including through *forest* management and protection** and *reduced impact harvesting** practices for carbon, as described in the *FSC Guidance for Maintaining and Enhancing Ecosystem Services** or other *credible ecosystem service guidelines**.

B. Biological Diversity* Conservation*

- 1) In addition to provisions to protect *biological diversity** in *Principle* 6* and *Principle* 9*, when promotional claims are made regarding *biological diversity* conservation**, the following are demonstrated:
 - a) Management activities maintain, enhance or *restore**:
 - i) *Rare and threatened species** and their *habitats**, including through the provision of *conservation zones**, *protection areas**, *connectivity**, and other direct means for their survival and viability; and
 - ii) Natural *landscape*-level* characteristics, including *forest** diversity, composition and structure.
 - b) The *conservation areas network**, and *conservation** areas outside the Management Unit*:
 - i) Represent the full range of *environmental values** in the *Management Unit**;
 - ii) Have sufficient size or functional *connectivity**, to support natural processes;
 - iii) Contain the full range of *habitats** present for *focal species** and *rare and threatened species**; and
 - iv) Have sufficient size or functional *connectivity** with other suitable *habitat** to support viable populations of *focal species** including *rare and threatened species** in the region.
 - c) Knowledgeable experts independent of *The Organisation** and/or knowledgeable *stakeholders**, confirm the sufficiency of the *conservation area network**.

C. Watershed Services

- 1) In addition to measures to protect water in *Principle* 6* and measures to reduce the impact from *natural hazards** in *Principle* 10*, where promotional claims are made regarding *watershed services**:
 - a) An assessment identifies:
 - i) Hydrological features and connections, including permanent and temporary *water bodies**, *watercourses**, and *aquifers**;
 - ii) Domestic water needs for *Indigenous Peoples** and *local communities** within and outside the *Management Unit** that may be impacted by management activities;
 - iii) Areas of *water stress** and *water scarcity**; and
 - iv) Consumption of water by *The Organisation** and other users.
- 2) Measures are implemented to maintain, enhance or *restore** permanent and temporary *water bodies**, *watercourses**, and areas with a *critical** recharging effect on *aquifers**;

- 3) Chemicals, waste and sediment are not discharged into *water bodies**, *watercourses** or *aquifers**; and
- 4) Management activities and strategies respect universal access to water, as defined in Australian law.

D. Soil Conservation

- 1) In addition to measures related to soil in *Principle* 6* and *Principle* 10*, where promotional claims are made regarding *soil conservation**, the following are demonstrated:
 - a) Vulnerable or high-risk soils are identified, including thin soils, soils with poor drainage and subject to water logging, and soils prone to compaction, erosion, instability and run-off;
 - b) Measures are implemented to reduce compaction, erosion and landslides;
 - c) Management activities maintain, enhance or restore soil stability and fertility. Fertility is to be maintained, enhanced or restored to natural levels or to levels that are ecologically advantageous for Indigenous flora; and
 - d) Chemicals and waste are not discharged into soil.

E. Recreational Services

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

Note: Please refer to preamble note regarding “where possible”.

PRINCIPLE 6: ENVIRONMENTAL VALUES* AND IMPACTS

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

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

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

Verifiers:

- *Documentation of the specific environmental values, including their locations, using maps and other relevant documents.*

Best Available Information* should include where applicable:

- 1) Mapping or other assessment of erosion risk.
- 2) Mapping or other assessment of *forest** and other vegetation communities.
- 3) Mapping or other assessment of *significant** species known or likely to occur in the *Management Unit** that may be negatively affected by management activities.
- 4) Mapping or other assessment of important visual or *landscape** features.
- 5) Relevant experts or consultation with knowledgeable *stakeholders** within and/or independent of *The Organisation**.
- 6) Mapping or other assessment of soil type, erodibility and acid sulphate soils.
- 7) Assessment of water resources and quality.
- 8) An assessment of the adequacy and currency of *Best Available Information** for assessing *environmental values** and any further information that may need to be acquired.

For Low SIR: 1-5 apply

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

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

6.2 Prior to the start of site-disturbing activities, *The Organisation* shall* identify and assess the scale, intensity and risk* of potential impacts of management activities on the identified environmental values*.*

FSC Australia has also developed guidance regarding environmental impact assessments. It is not normative. The Organisation* may use other methods to meet the requirements under 6.2. The guidance follows at the end of Principle 10.*

Low SIR: Only L6.2.1 & 6.2.3 apply.

- 6.2.1 An *environmental impact assessment** identifies potential impacts, both direct and cumulative, of management activities on *environmental values** at a *stand** level.

Verifiers:

- *Documentation of the environmental impact assessment* methodology used that identifies appropriate baselines and likely impacts and considers cumulative impacts.*

- L6.2.1 An *environmental impact assessment** identifies potential impacts of management activities on *environmental values** at a *stand** level.

- 6.2.2 An *environmental impact assessment** identifies potential impacts, both direct and cumulative, of management activities on *environmental values** at the *landscape** level.

- 6.2.3 The *environmental impact assessment** identifies and assesses the impacts of the management activities prior to the start of site-disturbing activities.

6.3 *The Organisation* shall* identify and implement effective actions to prevent negative impacts of management activities on the environmental values*, and to mitigate and repair those that occur, proportionate to the scale, intensity and risk* of these impacts.*

- 6.3.1 Management activities are planned and implemented to *protect* environmental values**.

- 6.3.2 Management activities protect *environmental values**.

- 6.3.3 Where *damage** to *environmental values** occurs, measures are adopted to prevent further *damage**, and the *damage** is *mitigated** and/or *repaired**.

6.4 *The Organisation* shall* protect rare species* and threatened species* and their habitats* in the Management Unit* through conservation zones*, protection areas*, connectivity* and/or (where necessary) other direct measures for their survival and viability. These measures shall* be proportionate to the scale, intensity and risk* of management activities and to the conservation* status and ecological requirements of the rare and threatened species*. The Organisation* 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*.*

For Low SIR: Only 6.4.1, 6.4.3 & 6.4.4 apply.

- 6.4.1 *Rare and threatened species**, and their *habitats** are identified using *Best Available Information**, 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**.
- 6.4.2 *Best Available Information**, including expert opinion and targeted *field surveys**, is used to identify specific locations of *habitat** of endangered and critically endangered species that are present or likely to be present within and adjacent to the *Management Unit**.

***Best Available Information** includes where applicable:**

- 1) Mapping or other assessment, including surveys and consultation of database records, of *rare and threatened species** and their *habitat** known or likely to occur in the *Management Unit** that may be negatively affected by management activities, including an assessment of known and likely locations and *habitat** locations.
- 2) A review of the assessment of *rare and threatened species** undertaken by a locally knowledgeable expert independent of *The Organisation**.
- 3) Pre-harvest surveys and/or *habitat** assessments.
- 4) An assessment of the adequacy and currency of *Best Available Information** in identifying species, impacts and management response, and further information that may need to be acquired.
- 5) Consultation with relevant expert or knowledgeable stakeholders.

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

Verifiers:

- *Documentation of potential impacts and modifications to management activities.*

- 6.4.4 The *rare and threatened species** and their *habitats** in the *Management Unit** are *protected**, at operational and *landscape** level, including through the provision of *conservation zones**, *protection areas**, *connectivity**, and other direct means for their survival and/or viability, such as species recovery programs.

Verifiers:

- *Documentation of management strategies and actions in protecting rare and threatened species* and their habitats* is with relevant information on species populations, habitat* protections, and/or other information.*

- 6.4.5 Measures are in place to prevent unauthorised hunting, fishing, trapping and collection of *rare or threatened species**.

- 6.5 The Organisation* 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 Organisation* shall* restore* a proportion of the Management Unit* to more natural conditions*.**

The size of the areas and the measures taken for their protection* or restoration, including within plantations*, shall* be proportionate to the conservation* status and value of the ecosystems* at the landscape* level, and the scale, intensity and risk* of management activities.

- 6.5.1 *Best Available Information** is used to identify native ecosystems* that exist within the *Management Unit** including assessments of the *conservation status** and value of the ecosystems* at the *landscape** level.

Verifiers:

- *Documentation of native ecosystems*, including their locations, using maps and other relevant documents.*
- *Documentation of the conservation* status of identified native ecosystems*.*

***Best Available Information** includes, where applicable:**

- 1) Forest ecosystem and vegetation mapping.
- 2) Bioregional ecosystem *protection** targets such as *conservation status** and other bioregional assessments by government bodies and/or recognised experts.

- L6.5.1 *Best Available Information** is used to identify native ecosystems* that exist within the *Management Unit**.

***Best Available Information** includes, where applicable:**

- 1) Forest ecosystem and vegetation mapping.

- 6.5.2 *The Organisation** shall identify *conservation** measures for the *protection** and/or *restoration** of *representative sample areas**. These areas in combination with other components of the conservation area network comprise a minimum of 10% of the Forest Management Unit.

- 6.5.3 For *Management Units** where *native forest** harvesting occurs, *representative sample areas** of native ecosystems* are protected, where they exist, 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.

- 6.6 ***The Organisation* 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 Organisation* shall** demonstrate that effective measures are in place to manage and control hunting, fishing, trapping and collecting.**

- 6.6.1 *Best Available Information** is used to identify *habitat features** including hollow bearing trees to support the diversity of naturally occurring native fauna species.

Best Available Information* includes, where applicable:

- 1) Mapping or other assessment of hollow-dependent species of *conservation** significance known or likely to occur in the *Management Unit** that may be negatively affected by management activities, including the location of concentrations or important occurrences of *habitat features**.
- 2) An assessment of *habitat features**.
- 3) Relevant experts or consultation with knowledgeable *stakeholders** within and/or independent of *The Organisation**.

- 6.6.2 Management planning identifies specific prescriptions and guidelines for maintaining *habitat features**.
- 6.6.3 Management maintains, enhances, or *restores** plant communities and *habitat features** associated with *native ecosystems**, to support the diversity of naturally occurring species and their genetic diversity.

Verifiers:

- *Documentation of the effectiveness of management strategies and actions in maintaining, enhancing or restoring plant communities and habitat features**.

- 6.6.4 Where past management by *The Organisation** has eliminated plant communities or *habitat features**, management activities aimed at re-establishing such *habitats** are implemented.
- 6.6.5 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.

6.7 *The Organisation* shall* protect* or restore* natural watercourses, water bodies*, riparian zones* and their connectivity*. The Organisation* shall* avoid negative impacts on water quality and quantity and mitigate and remedy those that occur.*

Low SIR: 6.7.4 does not apply

- 6.7.1 Management measures are developed using *Best Available Information**, including buffers, machinery exclusion zones, and/or filter strips, with the aim to protect water quality and quantity in natural watercourses, *water bodies** and *riparian zones**. Such zones are increased where required for the management of slope, erosion risk or *threatened species**.

Best Available Information* should include information such as:

- Slope; soil type and erodibility; seasonality and intensity of flows; extreme weather events; in-stream and stream-dependent biota
- Catchment health, land use and vegetation cover
- Catchment water yield, interception and use
- Catchment-level groundwater assessments
- The potential impacts of management activities on nutrient and sediment loads, sediment deposition and erosion, stream temperature, and in-stream and stream-

dependent biota

- Relevant regulations, guidelines and codes of practice
- Assessments of hydrological flows
- Catchment management plans and objectives.

6.7.2 Management measures for *headwater streams** and *drainage lines** include the following, except at designated crossing points:

- 1) *Headwater streams**: *buffer* zones*, *machinery exclusion zones** or *filter strips** that extend a minimum of 10 metres from the stream bank; and
- 2) *Drainage lines**: *buffer* zones*, *machinery exclusion zones** or *filter strips** that extend a minimum of two metres from the centre of the *drainage line**; and
- 3) Such zones are increased where required for the management of slope, erosion risk or *threatened species**, and considerate of risks associated with 10.7.5.

6.7.3 Management measures are implemented that protect natural *watercourses**, *water bodies**, *riparian zones**, identified *groundwater recharge areas** and their *connectivity**, including water quantity and water quality.

6.7.4 A program of periodic monitoring assesses the effectiveness of management measures in protecting natural *watercourses**, *water bodies**, *riparian zones** and their *connectivity**, including water quantity and water quality, and includes verifiable targets.

Verifiers:

- *Documentation of the monitoring program that monitors the above values as well as any other involvement by any other organisations or authorities.*

Guidance:

There are a number of methods and factors that could be considered in relation to adequately assessing the effectiveness of management methods. Indications of effectiveness for consideration can include nutrient and sediment loads, sediment deposition and erosion, stream temperature, and the health of in-stream and stream-dependent biota. Monitoring programs could be undertaken in conjunction with, or by, other organisations or authorities, including reporting from, participation in or modification of existing programs.

6.7.5 Where implemented management measures do not protect *watercourses**, *water bodies**, *riparian zones** and their *connectivity**, water quantity or water quality from impacts of *forest** management, *restoration** activities or mitigation measures are implemented.

6.7.6 Where natural *watercourses**, *water bodies**, *riparian zones** and their *connectivity**, water quantity or water quality have been damaged by past activities on land and water by *The Organisation**, *restoration** activities or mitigation measures are implemented.

6.7.7 Where continued degradation exists to *watercourses**, *water bodies**, water quantity and water quality caused by previous managers and the activities of third parties, measures are implemented that prevent or mitigate this degradation.

6.8 *The Organisation* shall* manage the landscape* in the Management Unit* to maintain and/or restore* a varying mosaic of species, sizes, ages, spatial scales* and regeneration* cycles appropriate for the landscape values* in that region, and for enhancing environmental and economic resilience*.*

6.8.1 The *landscape** in a *native forest** component of the *Management Unit** (i.e., that within the control of *The Organisation**) is managed to maintain and/or *restore** *habitat* connectivity** and a varying mosaic of species, sizes, ages, spatial *scales** and *regeneration** cycles consistent with *native forest** types and disturbance patterns.

Verifiers:

- *Documentation of management strategies and actions to maintain a mosaic of age classes, species mix, and disturbance patterns on the Management Unit*.*
- *Documentation of management strategies and actions to maintain and/or restore* connectivity* between habitats.*

6.8.2 For *native forest** components within the *Management Unit**, where the current mosaic of species, sizes, ages, spatial *scales** and *regeneration** cycles lacks natural levels of diversity, management activities and measures are implemented that enhance and/or *restore** spatial diversity.

6.9 *The Organisation* shall* not convert natural forest* to plantations*, nor natural forests* or plantations* on sites directly converted from natural forest* to non-forest* land use, except when the conversion:*

1. *Affects a very limited portion* of the area of the Management Unit*, and*
2. *Will produce clear, substantial, additional, secure long-term conservation* benefits in the Management Unit*, and*
3. *Does not damage* or threaten High Conservation Values*, nor any sites or resources necessary to maintain or enhance those High Conservation Values*.*

6.9.1 There is no conversion of *native forest** to *plantation**, nor conversion of *native forests** to *non-forest** land use, nor conversion of *plantations** on sites directly converted from *native forests** to *non-forest** 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, long-term conservation* benefits in the Management Unit*; and*
- 3) *Does not damage* or threaten High Conservation Values*, nor any sites or resources necessary to maintain or enhance those High Conservation Values*.*

6.9.2 *The Organisation** shall not revert *plantations** to *non-forest** land use except where *The Organisation** demonstrates:

- 1) *That a decision not to replant current or alternative species is due to unforeseen factors or external decisions not under The Organisation's* control; or*

- 2) That replanting would not be economically viable; and
- 3) The social benefits of reversion, including its ability to maintain contractual obligations.

6.10 *Management Units containing *plantations** that were established on areas converted from *natural forest** after November 1994 *shall** not qualify for certification, except where:**

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

6.10.1 Based on *Best Available Information**, accurate data is compiled on all conversions since 1994.

6.10.2 Areas converted from *native forest** to *plantation** since November 1994 are not certified, except where:

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

PRINCIPLE 7: MANAGEMENT PLANNING

The Organisation* 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.

For verification of indicators in Principle 7 and Annex E:

- *Documentation associated with the Management Plan* and related processes.*
- *Interviews with workers* and/or stakeholders.*
- *Documentation of relevant stakeholder* correspondence.*

7.1 The Organisation* 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 publicised.

- 7.1.1 Policies (vision and values) that contribute to meeting the requirements of this standard are defined.
- 7.1.2 Specific operational *management objectives** that address the requirements of this standard are defined.
- 7.1.3 Summaries of the defined policies and *management objectives** are included in the *Management Plan** and publicised.

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

- 7.2.1 The *Management Plan** includes management actions, procedures, strategies and measures to achieve the *management objectives**.
- 7.2.2 The *Management Plan** addresses the applicable elements listed in Annex E, and is implemented.

7.3 The Management Plan* shall* include verifiable targets* by which progress towards each of the prescribed management objectives* can be assessed.

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

7.4 *The Organisation* shall* update and revise periodically the Management Planning* and procedural documentation to incorporate the results of monitoring and evaluation, stakeholder engagement* or new scientific and technical information, as well as to respond to changing environmental, social and economic circumstances. (C7.2 P&C V4)*

7.4.1 The *Management Plan** is revised and updated periodically 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.

7.5 *The Organisation* shall* make publicly available* a summary of the Management Plan* free of charge. Excluding confidential information*, other relevant components of the Management Plan* shall* be made available to affected stakeholders* on request, and at cost of reproduction and handling.*

7.5.1 A summary of the *Management Plan**, listing its components, in a format comprehensible to *stakeholders** including maps and excluding *confidential information** is made *publicly available** at no cost.

7.5.2 Relevant components of the *Management Plan**, including relevant supporting information, excluding *confidential information**, are available to *affected stakeholders** on request at the actual costs of reproduction and handling.

7.5.3 Relevant components of the *Management Plan**, excluding *confidential information**, are available to *interested stakeholders** where specific concerns are identified and where requests are *reasonable** and practicable. At its discretion *The Organisation** may charge for reproduction and handling.

7.6 *The Organisation* 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.*

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

- 1) *Dispute** resolution processes (*Criterion** 1.6, *Criterion** 2.6, *Criterion** 4.6);
- 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).

7.6.2 *Culturally appropriate* engagement** and *best efforts** are used to:

- 1) Determine appropriate representatives and contact points (including, where appropriate, local institutions, local/state/national organisations and authorities);
- 2) Identify *interested** and *affected stakeholders**;
- 3) Determine mutually agreed communication channels allowing for information to flow in both directions;
- 4) Ensure *stakeholders** are provided with equal opportunities to *engage**;
- 5) Ensure all meetings, all points discussed and all agreements reached are recorded;
- 6) Ensure the content of meeting records is circulated;
- 7) Ensure the results of all *culturally appropriate* engagement** activities are shared with those involved; and
- 8) Ensure relevant data in appropriate formats is provided, allowing information to flow in both directions.

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

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

ANNEX E: ELEMENTS OF THE MANAGEMENT PLAN*

*Management Plan** includes, where applicable and relevant, the elements listed below, proportionate to *scale, intensity and risk**, and consistent with existing national and sub-national *management planning** frameworks.

- 1) The results of assessments, including:
 - a) Natural resources and *environmental values**, as identified in *Principle* 6* and *Principle* 9*;
 - b) Social, economic and cultural resources and condition, as identified in *Principle* 6*, *Principle* 2* to *Principle* 5* and *Principle* 9*;
 - c) Major social and environmental risks in the area, as identified in *Principle* 6*, *Principle* 2* to *Principle* 5* and *Principle* 9*; and
 - d) The maintenance and/or enhancement of *ecosystem services** for which promotional claims are made as identified in *Criterion* 5.1* and Annex C.
- 2) Programs and activities regarding:
 - a) *Workers'** rights, *workplace health and safety** (WHS), *equal treatment**, *living wages** as identified in *Principle* 2*;
 - b) *Indigenous Peoples**, community relations, local economic and social development, as identified in *Principle* 3*, *Principle* 4* and *Principle* 5*;
 - c) *Stakeholder* engagement** and the resolution of *disputes** and grievances, as identified in *Principle* 1*, *Principle* 2* and *Principle* 7*;
 - d) Planned management activities and timelines, *silvicultural** systems used, typical harvesting methods and equipment, as identified in *Principle* 10*;
 - e) The rationale for harvesting rates of timber and other natural resources, as identified in *Principle* 5*.
- 3) Measures to *conserve** and/or *restore**:
 - a) *Rare and threatened species** and *habitats**;
 - b) *Water bodies** and *riparian zones**;
 - c) *Landscape* connectivity**, including wildlife corridors;
 - d) *Declared ecosystem services** as identified in *Criterion* 5.1*, and Annex C;
 - e) *Representative Sample Areas**, as identified in *Principle* 6*; and
 - f) *High Conservation Values**, as identified in *Principle* 9*.
- 4) Measures to assess, prevent, and mitigate negative impacts of management activities on:
 - a) *Environmental values**, as identified in *Principle* 6* and *Principle* 9*;
 - b) *Declared ecosystem services** as identified in *Criterion* 5.1* and Annex C; and
 - c) 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:
 - a) Growth and yield, as identified in *Principle* 5*;
 - b) *Declared ecosystem services** as identified in *Criterion* 5.1* and Annex C;
 - c) *Environmental values**, as identified in *Principle* 6*;
 - d) Operational impacts, as identified in *Principle* 10*;

- e) *High Conservation Values**, as identified in *Principle* 9*;
- f) Monitoring systems based on *stakeholder* engagement** planned or in place, as identified in *Principle* 2* to *Principle* 5* and *Principle* 7*; and
- g) Maps describing the natural resources and land use zoning on the *Management Unit**.

PRINCIPLE 8: MONITORING AND ASSESSMENT

The Organisation* 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*.

For verification of indicators* in Principle 8 and Annex F:

- *Documentation associated with monitoring and adaptive management processes*.*
- *Interviews with workers* and/or stakeholders*.*
- *Documentation of relevant stakeholder* correspondence.*

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

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**.

8.2 *The Organisation* shall* monitor* and evaluate the environmental and social impacts of the activities carried out in the Management Unit*, and changes in its environmental condition.*

Low SIR: Only L8.2.1 Applies

8.2.1 The social and environmental impacts of management activities are *monitored** consistent with the applicable elements of Annex F.

L8.2.1 The social and environmental impacts of management activities are *monitored** consistent with identified impacts.

8.2.2 Changes in environmental conditions are *monitored** consistent with Annex F.

8.3 *The Organisation* shall* analyse the results of monitoring and evaluation and feed the outcomes of this analysis back into the planning process.*

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

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

8.4 *The Organisation* shall* make publicly available* a summary of the results of monitoring free of charge, excluding confidential information*.*

- 8.4.1 A summary of the monitoring results consistent with the applicable elements of Annex F, in a format comprehensible to *stakeholders** including maps and excluding *confidential information** is made *publicly available** at no cost.
- L8.4.1 A summary of the monitoring results is made available to *stakeholders** upon request. At its discretion *The Organisation** may charge for the actual costs of reproduction and handling.
- 8.4.2 Upon *reasonable** request where specific concerns are identified, *The Organisation** shall provide summaries of the relevant methodology and management responses to monitoring activities, or if agreed, in-person briefings, excluding *confidential information**. At its discretion *The Organisation** may charge for the actual costs of reproduction and handling.

8.5 *The Organisation* 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.*

- 8.5.1 A system is implemented to track and trace all products that are sold by *The Organisation** as FSC certified.
- 8.5.2 Information about all products sold is compiled and documented, including:
 - 1) Common and scientific species name, or where necessary, species group;
 - 2) Product name or description;
 - 3) Volume (or quantity) of product;
 - 4) Information to trace the material to the source of origin harvest block;
 - 5) Harvest date range;
 - 6) If basic processing activities take place in the forest, the date and volume produced; and
 - 7) Whether or not the material was sold as FSC certified.
- 8.5.3 Sales invoices or similar documentation are kept for a minimum of five years for all products sold with an FSC claim, which identify at a minimum, the following information:
 - 1) Name and address of purchaser;
 - 2) The date of sale;
 - 3) Common and scientific species name or, where necessary, species group;
 - 4) Product description;
 - 5) The volume (or quantity) sold;
 - 6) Certificate code; and
 - 7) The FSC Claim "FSC 100%" identifying products sold as FSC certified.

ANNEX F: MONITORING* REQUIREMENTS

*Monitoring** is scheduled in the Management *Planning** cycles, so that *monitoring** results can be used in decision-making at an early stage of the planning of a new cycle. *Monitoring** procedures *shall** be consistent and replicable over time, suitable for quantifying changes over time with spatial *scales** appropriate to the *indicator** and value, and suitable for identifying *risks** and unacceptable impacts beyond defined acceptable ranges. *Monitoring** *shall** include the changes of the conditions of the *Management Unit**, with and without interventions.

- 1) Monitoring in 8.2.1 is sufficient to identify and describe the environmental impacts of management activities, including where applicable:
 - a) The results of *regeneration** activities (*Criterion** 10.1);
 - b) The use of ecologically well adapted species for *regeneration** (*Criterion** 10.2);
 - c) Invasiveness or other adverse impacts associated with any *exotic species** within and outside the *Management Unit** (*Criterion** 10.3);
 - d) The use of *genetically modified organisms** to confirm that they are not being used (*Criterion** 10.4);
 - e) The results of *silvicultural** activities including areas harvested by forest type, and *silvicultural** method (*Criterion** 10.5);
 - f) Adverse impacts to *environmental values** from the use of *fertilisers** (*Criterion** 10.6);
 - g) Adverse impacts to *environmental values** from the use of *pesticides** (*Criterion** 10.7);
 - h) Adverse impacts to *environmental values** from the use of *biological control agents** (*Criterion** 10.8);
 - i) The impacts from *natural hazards** including areas burnt by forest type and fire severity (*Criterion** 10.9);
 - j) The impacts of infrastructural development, transport activities and *silviculture** on *rare and threatened species**, *habitats**, *ecosystems**, *landscape values**, water and soils (*Criterion** 10.10);
 - k) 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
 - l) 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:
 - a) Evidence of illegal or unauthorised activities (*Criterion** 1.4);
 - b) Compliance with *applicable laws**, *local laws**, *ratified** international conventions and obligatory *codes of practice** (*Criterion** 1.5);
 - c) Resolution of *disputes** and grievances (*Criterion** 1.6, *Criterion** 2.6, *Criterion** 4.6);
 - d) Employment practices and conditions for *workers** (*Criterion** 2.1);
 - e) Programs supporting *gender equality**, and actions addressing sexual harassment and gender *discrimination** (*Criterion** 2.2);
 - f) Programs and activities regarding occupational health and safety (*Criterion** 2.3);
 - g) Payment of wages (*Criterion** 2.4);
 - h) *Workers** training (*Criterion** 2.5);
 - i) Where *pesticides** are used, the health of *workers** exposed to *pesticides** (*Criterion** 2.5 and *Criterion** 10.7);
 - j) The identification of *Indigenous Peoples** and *local communities** and their *legal** and *customary rights** (*Criterion** 3.1 and *Criterion** 4.1);
 - k) Full implementation of the terms in *binding agreements** (*Criterion** 3.2);
 - l) *Indigenous Peoples** and community relations (*Criterion** 3.2, *Criterion** 3.3 and *Criterion** 4.2);
 - m) *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);
 - n) The use of *traditional knowledge** and *intellectual property** (*Criterion** 3.6 and *Criterion** 4.8);
 - o) Local economic and social development (*Criterion** 4.2, *Criterion** 4.3, *Criterion** 4.4.);
 - p) Social impacts (*Criterion** 4.5)
 - q) The production of diversified benefits and/or products (*Criterion** 5.1);
 - r) The maintenance and/or enhancement of *ecosystem services** (*Criterion** 5.1);
 - s) Activities to maintain or enhance *ecosystem services** (*Criterion** 5.1);
 - t) Actual compared to projected annual harvests of timber and *non-timber forest products** (*Criterion** 5.2);
 - u) The use of local processing, local services and local value added manufacturing (*Criterion** 5.4);
 - v) *Long-term** *economic viability** (*Criterion** 5.5); and
 - w) *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:
 - a) The maintenance and/or enhancement of *ecosystem services** (*Criterion** 5.1) (when *The Organisation** makes FSC promotional claims regarding the provision of *ecosystem services**, or receives payment for the provision of *ecosystem services**);
 - b) *Environmental values** (*Criterion** 6.1); including the effectiveness of actions identified and implemented to prevent, mitigate and repair negative impacts to *environmental values** (*Criterion** 6.3);

- c) *Rare and threatened species**, and the effectiveness of actions implemented to protect them and their *habitats** (*Criterion** 6.4);
- d) *Representative sample areas** and the effectiveness of actions implemented to maintain, enhance and/or *restore** them (*Criterion** 6.5);
- e) Naturally occurring *native species**, plant communities and *habitat features** and the effectiveness of actions implemented to maintain, enhance and/or *restore** them (*Criterion** 6.6);
- f) Water courses, *water bodies**, water quantity and water quality and the effectiveness of actions implemented to maintain, enhance and/or *restore** them (*Criterion** 6.7);
- g) *Landscape values** and the effectiveness of actions implemented to maintain and/or *restore** them (*Criterion** 6.8);
- h) Conversion of *native forest** to *plantations** or conversion to *non-forest** (*Criterion** 6.9);
- i) The status of *plantations** established after 1994 (*Criterion** 6.10); and
- j) *High Conservation Values* 1 to 4* identified in *Criterion** 9.1 and the effectiveness of actions implemented to maintain and/or enhance them.

PRINCIPLE 9: HIGH CONSERVATION VALUES*

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

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

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

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

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

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

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

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

9.1.1 An assessment is completed consistent with Annex G 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.

Verifiers:

- *Documentation of the assessment methodology.*

9.1.2 The assessment considers results from *culturally appropriate* engagement** with *affected** and *interested stakeholders** with an interest in the *conservation** of the *High Conservation Values**.

Verifiers:

- *Documentation of responses to stakeholder* comment.*

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

9.2.1 Threats to *High Conservation Values** are identified as required by Annex G.

Verifiers:

- *Documentation of specific threats to the maintenance and enhancement of identified HCVs*.*

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.

Verifiers:

- *Documentation of Management Plans* including management strategies and actions to maintain and/or enhance HCVs*, including strategies in response to identified threats.*

9.2.3 *Affected and interested stakeholders** and regional experts with knowledge of the *conservation** of *HCVs** are consulted in the development of management strategies and actions to maintain and/or enhance the identified *High Conservation Values**.

Verifiers:

- *Documentation of correspondence, interviews, and data provision from stakeholders*.*
- *Documentation of responses to stakeholder* comment and information.*

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

9.3.1 The *High Conservation Values** are maintained and/or enhanced, including by implementing the strategies developed.

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

Verifiers:

- *Documentation of the implementation of strategies and actions to maintain and/or enhance HCVs*, including the level of scientific uncertainty.*

9.3.3 Activities that *damage** *High Conservation Values** are suspended without delay and where necessary actions are taken to *restore** and protect the *High Conservation Values**.

Verifiers:

- *Documentation of any instances of suspension of activities, including the period between identification of damage* and suspension of activities.*
- *Documentation of actions to restore* and protect HCVs* proportionate to the harm caused.*

9.4 *The Organisation* 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.*

9.4.1 A program of periodic *monitoring** assesses the following, consistent with Annex G:

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

9.4.2 The monitoring methodology and a periodic public summary of monitoring results are made *publicly available**, excluding *confidential information**. At its discretion *The Organisation** may charge for the actual costs of reproduction and handling.

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**.

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

ANNEX G: FRAMEWORK FOR ASSESSMENT, MANAGEMENT AND MONITORING* OF HIGH CONSERVATION VALUES*

This Annex shall be used in the implementation of *Principle 9 – High Conservation Values** (HCVs*) of the standard. The Annex has two main sections:

Section 1

- Includes definitions and guidance that pertains to all six categories of HCVs*.

Section 2

- Provides a definition of each HCV* category together with a breakdown of subsets of values that are considered under each category to be important in the Australian context. These values are not a comprehensive list. They represent a minimum requirement of what must be considered subject to *scale, intensity and risk** (SIR) in each category in the Australian context.
- Each HCV* category includes variations of the minimum requirement of values to be considered for Low SIR. Given the small scale, lower *intensity**, and consequently lower risk for Low SIR operations, a number of HCV* subset values are much less likely to be applicable.
- *Stakeholders** and experts may identify more values. If these are identified they should be considered where appropriate and relevant during the HCV* evaluation process.

Section 1: Overarching Guidance

1.1 Definitions

Where a term or concept is followed with a “*” (e.g. *monitoring**) it means that a definition has been provided, either within this Annex or in the FSCA-FSS.

1.2 Bioregional Assessment Scale

The scale for assessment and identification of values is dependent on the value being assessed. Generally, this will be at the Interim Biogeographic Regionalisation for Australia (IBRA) scale, while recognising that some *landscape values** will cross IBRA regions. Where appropriate, including on the basis of *scale, intensity and risk**, finer resolution of analysis may be required.

1.3 Best Available Information*

Specific guidance on *Best Available Information** has been developed for each of the six HCV* categories.

1.4 Applying FSCA-FSS HCV* definitions and wording to local conditions

Where the definitions provided in this Annex do not provide locally specific detail for assessing HCVs* *The Organisation** shall use the best available scientific information, including recognised government and expert definitions, to determine how FSCA-FSS HCV* definitions are most appropriately applied.

1.5 Minimum area threshold for HCV Areas*

For some HCV* values, a minimum area threshold for identifying what constitutes an HCV Area* is required. This applies particularly to HCV* values relating to specific vegetation types or *habitat** requirements. In the identification of HCV Areas*, the minimum size threshold will be the smallest area in which the viability and integrity of that particular value can be maintained, based on the best available scientific information, including recognised government and expert definitions and research.

1.6 Field Assessment*

A field visit to the site associated with planning and is often undertaken in conjunction with surveys for other aspects of management. *Field assessments** should involve the use of standardised techniques and reporting that are relevant to the values being assessed. The intensity of survey effort, expertise of assessors, and survey techniques will vary depending on the result of desktop assessments, the intensity of operations, and other factors. *Field assessments** may result in the need for more detailed targeted surveys and *habitat** evaluations.

1.7 Targeted Survey and Habitat* Evaluations

In-forest surveys or evaluations of *habitat** suitability, performed by qualified experts and/or other suitably trained individuals in accordance with scientifically rigorous methods, that seek to identify locations of individuals or populations of single or multiple species, or *habitat** likely to be suitable for individuals or populations of single or multiple species. These surveys or evaluations may be undertaken in order to calibrate desktop assessments, inform *landscape** planning, inform operational management responses, *monitor** the effectiveness of management measures, or other purposes.

1.8 Threat Assessment

The process of identifying specific threats to the maintenance and/or enhancement of identified *HCVs**, including an assessment of the likelihood of occurrence and the severity of consequences. Threats may include those from management activities and other causes.

1.9 Monitoring

The requirements for monitoring of *HCVs** under the *HCV** pathways encompass two broad types of monitoring:

1. Compliance monitoring: used to determine whether prescribed management is actually conducted; and
2. Effectiveness monitoring: used to determine whether the management specified has achieved its objective and whether the outcome was actually a consequence of management.

For the purposes of the Annex, Low SIR forest managers are only required to undertake compliance *monitoring**, as relevant to identified *HCVs**. However, Low SIR forest managers are encouraged to undertake effectiveness monitoring when particularly vulnerable *HCVs** are identified.

There are a wide range of options for effectiveness *monitoring**, including systematic field survey programs; *pre-harvest** survey data collation; *forest** health *monitoring**; remote sensing; and use of and collaboration with third-party researchers; statistical modelling; and qualitative and expert assessments. The appropriate effectiveness *monitoring** methods can be determined by a number of factors, including *management objectives**, thresholds, and metrics; *HCV* scale**, threat, *risk**, and vulnerability; ability to *monitor** multiple *HCVs**; cost and efficiency; and availability of existing programs and data.

It is important that monitoring methods are adequate to detect changes in *HCVs** and to allow data to be clearly reported and interpreted. The following list describes characteristics that contribute to appropriately designed and fit-for-purpose monitoring methods and programs:

- Systematic, transparent, credible and repeatable
- Has clear thresholds linked to *management objectives**
- Sufficiently sensitive to detect change and whether impacts are within acceptable ranges, or require intervention

- Demonstrated suitability for the value being measured
- Applied with due consideration of *risk** and the *precautionary approach**
- Time frames and spatial *scales** are explicit and relevant to the value being monitored.

1.10 Adaptive Management

A systematic process of improving management policies and practices by learning from the outcomes of existing measures and *monitoring**.

Section 2: HCV* Specific Requirements and Guidance

HCV 1

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.**

Values to be assessed for HCV 1.

Sub Value Category	Sub Value	Variation for Low SIR
HCV 1.1	Areas that contain <i>significant concentrations*</i> of <i>rare and threatened species*</i> or that contain <i>habitat* critical*</i> to the survival and long-term viability of these species.	Required
HCV 1.2	Areas that contain centres of endemism.	Not Required
HCV 1.3	Areas that contain <i>significant concentrations*</i> of <i>rare species*</i> that are poorly reserved at the IBRA* region scale.	Not Required
HCV 1.4	Areas with mapped significant <i>seasonal concentrations*</i> of species.	Required
HCV 1.5	Areas of high species/communities diversity.	Not Required
HCV 1.6	<i>Refugia*</i> .	Not Required

HCV 1 - Definitions

‘Refugia’: an area identified in formally recognised reports or peer-reviewed journals as performing a significant function in maintaining species during, for example, periods of climate variability and extremes; human-induced causes such as disease; or population fluctuations from natural or human-induced causes.

‘Significant concentrations’: Concentrations of species that are considered significant at a global, regional or national scale.

‘Areas that contain significant concentrations of rare and threatened species’** may include specific areas where there are a significant number of multiple species, or where there is a proportionately large population of an individual species. Concentrations of species are often linked to one stage of a species’ life history and associated with activities such as breeding, staging, feeding or over-wintering.

‘Areas with significant seasonal concentrations of species’: areas important to the lifecycle or migration paths of migratory and communal breeding species.

Best Available Information* for HCV 1

Includes as applicable:

- Recovery plans and related documents
- *Habitat** mapping
- Databases
- Peer reviewed journal articles
- Reports by government bodies and credible institutions, organisations and experts
- Expert research and advice (including for high SIR operations, provided by a locally knowledgeable expert independent of the organisation)
- Expert and knowledgeable *stakeholder** data
- Field surveys

2.1 Assessment Pathway for HCV 1

SIR Potential Impact category	
Low	<p>1: Consult the <i>Best Available Information*</i> to identify relevant datasets and prepare lists and maps of potential <i>HCV*</i> accordingly.</p> <p>2: Identify management required (see HCV 1 Management Guidance under Pathway) including actions such as exclusion areas and/or management prescriptions.</p> <p>3: Develop a program of periodic <i>monitoring*</i>, and <i>adaptive management*</i> as required.</p> <p>4: Consult <i>stakeholders*</i> on assessment, management and <i>monitoring*</i>.</p> <p>5: Finalise assessment, and implement management and <i>monitoring*</i> plan.</p>
Standard	<p>1: Consult the <i>Best Available Information*</i> to identify relevant datasets and prepare lists and maps of potential <i>HCV*</i> accordingly.</p> <p>2: Consult experts and other knowledgeable <i>stakeholders*</i> to identify <i>HCVs*</i>.</p> <p>3 (if required): Undertake a gap analysis of the adequacy of existing data with a focus on Endangered and Critically Endangered species and undertake further investigation and/or research and consultation to address identified significant data gaps, including targeted surveys/<i>habitat*</i> evaluations where required.</p>

	<p>4: Undertake a <i>threat assessment</i>* of proposed management activities on identified <i>HCVs</i>*.</p> <p>5: Identify management required to maintain and/or enhance identified <i>HCVs</i>* (see HCV 1 Management Guidance under Pathway), including actions such as exclusion areas and/or management prescriptions as required, at the FMU and/or operational level.</p> <p>6: Develop a program of periodic <i>monitoring</i>* and if required, <i>adaptive management</i>*.</p> <p>7: Consult <i>stakeholders</i>* on assessment, management and <i>monitoring</i>*.</p> <p>8: Finalise assessment, and implement management and <i>monitoring</i>* plan.</p>
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HCV 1 Management Guidance

Measures to maintain identified *HCV Areas** should aim to prevent reductions in the extent, integrity, and quality of *habitat** that negatively impact on long-term viability of species populations. Where enhancement is identified as the objective, measures are in place to develop, expand, and/or restore *habitats*, and improve the *long-term** viability of species populations.

Management strategies and actions for identified *HCV Areas** may include *protection** zones, harvest prescriptions, vegetation retention, *landscape** scale *protections**; *habitat** *restoration**, *connectivity** planning, *field assessment*, *pre-harvest** surveys and/or *habitat** evaluations.

*HCV Areas** that are more vulnerable and subject to higher threat levels are more likely to require operational level *field assessment** and targeted surveys/*habitat** evaluations; harvest exclusions; and/or site-specific actions.

HCV 2

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.**

Values to be assessed for HCV 2.

Sub Value Category	Sub Value	Variation for Low SIR
HCV 2.1	<i>Landscape-level</i> * <i>native forests</i> * with successional stages, forest structures, and species composition that are similar in distribution and abundance to <i>native forests</i> * that have experienced minimal human disturbance, excluding traditional <i>Indigenous</i> * management regimes.	Not Required
HCV 2.2	Forests recognised as being regionally	Not required

	significant at the bioregion or larger scale in formally recognised reports or peer-reviewed journals, due to the unusual <i>landscape*-scale*</i> biodiversity values provided by size and condition of the forest relative to regional forest land cover and land use trends.	
HCV 2.3	Forests that provide regionally significant <i>habitat* connectivity*</i> between larger forest areas and/or <i>refugia*</i> .	Required
HCV 2.4	<i>Intact Forest Landscapes*</i> , wilderness areas, forests that are roadless, and/or have not been affected by forest management activity.	Required

The focus of this *HCV** category is **regionally significant large *landscape*-level forests***. Under this *HCV** category, areas that are generally thousands or tens of thousands of hectares in size which contain the above values qualify as HCV 2.

HCV 2 Definitions

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

Intact Forest Landscape Core Areas: The portion of an Intact Forest *landscape** that contains the most important ecological and cultural values.

Definition of 'Large *landscape*-level native forests':** Relatively contiguous areas of forest (which may be crossed by land management roads or public roads). At the minimum these forests are likely to be thousands or tens of thousands of hectares in size.

However, "large" is relative to regional *landscape** context (particularly the size of forested blocks in the bioregion) and might be smaller or larger than this figure as indicated by consultation with regional experts.

In regions where *native forests** are heavily fragmented by forest type conversion or land use conversion, the increased value of smaller occurrences of remaining natural forest should also be included in the assessment. The forest may be in single or multiple ownerships.

HCV 2 includes areas that are in (or close to) what might be called their 'natural' condition. Such areas have a relatively full complement of the species that are appropriate to the *habitat**. HCV 2 designation may arise because the intact forest area is unusually large and therefore of high value due to its contribution to wilderness or *landscape values**.

The general approach in assessing for HCV 2 is to compare forest characteristics (such as extent and intensity of harvest practices, forest communities, successional stages, structures, and species composition and abundance) with *native forests** that have only been subject to natural disturbance processes or minimal human intervention. Aerial photography or satellite images of the surrounding landscape should also be considered.

‘Regionally Significant’: The forest is significant in the region due to its size, condition, and/or importance to biodiversity conservation. Factors to consider include:

- Rarity of forests of this size and quality within the region
- Less affected by anthropogenic factors than similar areas in the region.

Best Available Information* for HCV 2

Includes where applicable:

- Mapping and other data on forest cover, age, succession, structure, species composition, *habitat** connectivity, anthropogenic disturbance, roadless areas, wilderness, and intact forests
- Peer reviewed journals, government or expert reports and data identifying significant *landscape**-level forests
- For *Intact Forest Landscapes**, mapping and data from Global Forest Watch and World Resource Institute.

2.2 Assessment Pathway for HCV 2

SIR Potential Impact category	
Low	<p>1: Consult the <i>Best Available Information*</i> to identify relevant datasets and prepare lists and maps of potential <i>HCV*</i> accordingly.</p> <p>2: Identify management required (see HCV 2 Management Guidance under Pathway).</p> <p>3: Develop a program of periodic <i>monitoring*</i>, and <i>adaptive management*</i> as required.</p> <p>4: Consult <i>stakeholders*</i> on assessment, management and monitoring.</p> <p>5: Finalise assessment, and implement management and monitoring plan.</p>
Standard	<p>1: Consult the <i>Best Available Information*</i> to identify relevant datasets and prepare lists and maps of potential <i>HCV*</i> accordingly.</p> <p>2: Consult experts and other knowledgeable <i>stakeholders*</i> to identify <i>HCVs*</i>.</p> <p>3: Identify management required to maintain and/or enhance identified <i>HCVs*</i> (see HCV 2 Management Guidance under Pathway).</p> <p>4: Develop a program of periodic <i>monitoring*</i> and <i>adaptive management*</i> as required.</p> <p>5: Consult <i>stakeholders*</i> on assessment, management and <i>monitoring*</i>.</p> <p>6: Finalise assessment, and implement management and <i>monitoring*</i> plan.</p>

HCV 2 Management Guidance

Management strategies and actions to maintain and/or enhance identified HCVs are likely to include measures to maintain the integrity of *landscape**-level values of identified HCV 2 areas.

Measures to maintain identified HCV 2 may include *protection** zones; lowered harvest intensity and lengthened rotations; harvest distribution; *landscape**-*scale** protections; *connectivity** corridors; and/or other measures to maintain forest structure, composition, *regeneration** and disturbance patterns. Measures to enhance identified HCV 2 may include restoration, and reconnection of intact areas.

HCV 2 areas that constitute *Intact Forest Landscapes**, provide *habitat** connectivity, and that most closely resemble undisturbed forests are more likely to require *conservation** and *protection** zones, with a particular emphasis on IFL Core Areas. HCV 2 areas that contain unusual *landscape**-*scale** biodiversity values and that have higher levels of disturbance are more likely to be managed through longer harvest rotation, harvest distribution, lower harvest intensity, and/or *landscape** management measures.

HCV 3

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

Ecosystems that are rare and/or threatened at a global, national or regional level. Distinctiveness in terms of size, quality (particularly lack of human disturbance), or location within the *ecosystems** geographic range may be considered in assessing *ecosystem** rarity.

Values to be assessed for HCV 3

Sub Value Category	Sub Value	Variation for Low SIR
HCV 3.1	<i>Ecosystems</i> * (including rainforests) that are threatened, depleted or poorly reserved at the IBRA* bioregion scale, or are subject to threatening processes predicted to substantially reduce their extent and function.	Required
HCV 3.2	Areas for <i>conservation</i> * of important genes or genetically distinct populations.	Not required
HCV 3.3	<i>Old-growth forest</i> *.	Required
HCV 3.4	Remnant vegetation in heavily cleared landscapes and mature forest in degraded landscapes.	Required

The focus of this *HCV** category is forests that are in rare, threatened or endangered *ecosystems**, or that contain such *ecosystems**.

Guidance on *old-growth forest:** Identification and assessment of HCV 3.3 should include consideration of:

- The degree to which it is rare and/or threatened at a global, national or regional level
- Its distinctiveness in terms of size and quality (including *stand** structural characteristics and ecological functions) in a *landscape** level context
- Geographic range.

Determining these *shall** be based on assessments by government agencies, peer reviewed literature, or assessments by recognised experts, and be considered at the *landscape** level.

It is important to note that the presence of HCV 3.3 *old-growth forest** in the management unit does not necessarily exclude harvesting. It is the responsibility of *The Organisation** to demonstrate that its status at a *landscape** level will be maintained and not threatened as a result of management activities.

HCV 3 Definitions

‘Mature Forest’: Mature Forests are forests that contain overstorey trees typically greater than 100 years old and beginning to develop structural features typically found in older forests, including large spreading crowns, tree hollows and stages of senescence.

‘Mature forest in degraded landscapes’: A forest area containing mature forest where mature forest is rare in the surrounding landscape and/or is reduced in extent such that it is inadequate in maintaining landscape or ecological functions. Thresholds for determining rareness and degradation shall be based on assessments by government agencies, peer reviewed literature, or assessments by recognised experts, and be considered at the *landscape** level.

‘Old-growth forest’: Ecologically mature forest where the effects of disturbances are now negligible.

Best Available Information* for HCV 3

Includes, as applicable, mapping and other data on:

- Ecosystem* protection* and conservation status* at IBRA* scales
- Old-growth forest*
- Forest cover and disturbance
- Forest maturity
- Anthropogenic disturbance at the *landscape** scale.

2.3 Assessment Pathway for HCV 3

SIR Potential Impact	
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category	
Low	<p>1: Consult the <i>Best Available Information</i>* to identify relevant datasets and prepare lists and maps of potential <i>HCV</i>* accordingly.</p> <p>2: Identify management required (see HCV 3 Management Guidance under Pathway), including actions such as exclusion areas and/or management prescriptions.</p> <p>3: Develop a program of periodic <i>monitoring</i>*, and <i>adaptive management</i> as required.</p> <p>4: Consult <i>stakeholders</i>* on assessment, management and <i>monitoring</i>*.</p> <p>5: Finalise assessment, and implement management and <i>monitoring</i>* plan</p>
Standard	<p>1: Consult the <i>Best Available Information</i>* to identify relevant datasets and prepare lists and maps of potential <i>HCV</i>* accordingly.</p> <p>2: Consult experts and other knowledgeable <i>stakeholders</i>* to identify <i>HCVs</i>*.</p> <p>3: Undertake a <i>threat assessment</i>* of management activities on identified <i>HCVs</i>*.</p> <p>4: Identify management required to maintain and/or enhance identified <i>HCVs</i>* (see HCV 3 Management Guidance under Pathway), including actions such as exclusion areas and/or management prescriptions as required, at the <i>Management Unit</i>* and/or operational level.</p> <p>5: Develop a program of periodic <i>monitoring</i>* and <i>adaptive management</i>* as required.</p> <p>6: Consult <i>stakeholders</i>* on assessment, management and <i>monitoring</i>*.</p> <p>7: Finalise assessment, and implement management and <i>monitoring</i>* plan.</p>

HCV 3 Management Guidance

Management strategies and actions to maintain and/or enhance identified HCV 3 areas include measures to maintain and/or enhance *ecosystem* extent, integrity, structure and/or function and should be considered at the *landscape* level.

Measures to maintain identified HCV 3 may include *protection** zones; target-based *protections**; *landscape**-scale* *protections**; harvest exclusions, and/or retention in harvest areas. Measures to enhance identified HCV 3 may include *restoration** of vegetation cover, remnants, degraded forest with reduced age structures, and recruitment for mature forest elements.

*HCV** areas that are more vulnerable and subject to higher threat levels are more likely to require operational-level *field assessment**, verification of desktop data, harvest exclusions, and/or site-specific actions.

HCV 4

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 4 is focused on basic *ecosystem services** in *critical situations**. Substantial alteration of these forests is likely to result in an unacceptable impact on the delivery of *ecosystem services**.

Values to be assessed for HCV 4.

Sub Value Category	Sub Value	Variation for Low SIR
HCV 4.1	Areas that provide <i>protection*</i> from flooding.	Not Required
HCV 4.2	Areas that provide <i>protection*</i> from erosion.	Required
HCV 4.3	Areas that provide barriers to the spread of destructive fires.	Not Required
HCV 4.4	Areas that provide clean water catchments.	Not Required

HCV 4 Definitions

'Critical situations'*: An *ecosystem service** is considered to be *'critical*'* 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 *High Conservation Values**, 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 socioeconomic values.

Best Available Information* for HCV 4

Includes, as applicable, mapping, reports, expert consultation and other data on:

- Flood risk
- Soil erodibility and erosion *risk**
- Fire risk and behaviour in the *landscape**
- Water catchment location and water quality.

2.4 Assessment Pathway for HCV 4

SIR Potential Impact category	
Low	<p>1: Consult the <i>Best Available Information*</i> to identify relevant datasets and prepare lists and maps of potential <i>HCV*</i> accordingly.</p> <p>2: Identify management required (see HCV 4 Management Guidance</p>

	<p>under Pathway).</p> <p>3: Develop a program of periodic <i>monitoring*</i>, and <i>adaptive management*</i> as required.</p> <p>4: Consult <i>stakeholders*</i> on assessment, management and <i>monitoring*</i>.</p> <p>5: Finalise assessment, and implement management and <i>monitoring*</i> plan</p>
Standard	<p>1: Consult the <i>Best Available Information*</i> to identify relevant datasets and prepare lists and maps of potential <i>HCV*</i> accordingly.</p> <p>2: Consult experts and other knowledgeable <i>stakeholders*</i> to identify <i>HCVs*</i>.</p> <p>3: Undertake a <i>threat assessment*</i> of management activities on identified <i>HCVs*</i>.</p> <p>4: Identify management required to maintain and/or enhance identified <i>HCVs*</i> (see HCV 4 Management Guidance under Pathway), including exclusion areas and/or management prescriptions.</p> <p>5: Develop a program of periodic <i>monitoring*</i> and <i>adaptive management*</i> as required.</p> <p>6: Consult <i>stakeholders*</i> on assessment, management and <i>monitoring*</i>.</p> <p>7: Finalise assessment, and implement management and <i>monitoring*</i> plan.</p>

HCV 4 Management Guidance

Management strategies to maintain and/or enhance areas identified under HCV 4 may include *protection** zones, harvest prescriptions, chemical use restrictions, and/or prescriptions for road construction and maintenance. Where enhancement is identified as the *objective**, measures may include action to *restore** water quality and quantity.

HCV 5

HCV 5 – Forest areas fundamental to meeting basic needs of *local communities** (e.g. subsistence, health).

A site or resource is fundamental for satisfying basic needs if the services it provides are irreplaceable (i.e., if alternatives are not readily accessible or affordable), and if its loss or *damage** would cause serious suffering to *affected stakeholders**. HCV 5 is most likely to be more important in areas where whole communities or significant portions of them are heavily dependent on those *ecosystems** for their livelihoods, and where there is limited availability of alternatives. In general, if local people are dependent on *Indigenous** or traditionally managed *ecosystems**, HCV 5 may be present.

Values to be assessed for HCV 5.

Sub Value Category	Sub Value	Variation for Low SIR
HCV 5.1	Unique/main sources of water <i>fundamental*</i> for	Required

	drinking and other daily uses.	
HCV 5.2	Unique/main sources of water <i>fundamental*</i> for the irrigation of subsistence food crops.	Required
HCV 5.3	Food and medicines <i>fundamental*</i> for local traditional <i>Indigenous*</i> uses.	Required

HCV 5 Definitions

‘Basic human needs’: Local people use the area to obtain resources on which they are critically dependent. Potential fundamental basic needs include, but are not limited to: unique sources of water for drinking and other daily uses; food, medicine, fuel, building and craft resources; the production of food crops and subsistence cash crops; *protection** of “agricultural” plots against adverse microclimate, and traditional farming practices.

‘Fundamental’: Loss of the resources from this area would have a significant impact in the supply of the resource and decrease local community well-being.

Best Available Information* for HCV 5

Includes:

- Mapping, reports, expert and *stakeholder** consultation and other data on unique and primary sources of water for daily uses and the location of areas that provide traditional food and medicines.

2.5 Assessment Pathway for HCV 5

SIR Potential Impact category	
Low	<ol style="list-style-type: none"> 1: Consult the <i>Best Available Information*</i> to identify relevant datasets and prepare lists and maps of potential <i>HCV*</i> accordingly. 2: Identify management required (see HCV 5 Management Guidance under Pathway). 3: Develop a program of periodic <i>monitoring*</i>, and <i>adaptive management*</i> as required. 4: Consult <i>stakeholders*</i> on assessment, management and <i>monitoring*</i>. 5: Finalise assessment, and implement management and <i>monitoring*</i> plan
Standard	<ol style="list-style-type: none"> 1: Consult the <i>Best Available Information*</i> to identify relevant datasets and prepare lists and maps of potential <i>HCV*</i> accordingly. 2: Consult experts and other knowledgeable <i>stakeholders*</i> to identify <i>HCVs*</i>. 3: Undertake a <i>threat assessment*</i> of management activities on identified <i>HCVs*</i>.

- 4: Identify management required to maintain and/or enhance identified *HCVs** (see HCV 5 Management Guidance under Pathway), including exclusion areas and/or management prescriptions.
- 5: Develop a program of periodic *monitoring** and *adaptive management** as required.
- 6: Consult *stakeholders** on assessment, management and *monitoring**.
- 7: Finalise assessment, and implement management and *monitoring** plan.

HCV 5 Management Guidance

Management strategies to maintain and/or enhance areas identified under HCV 5 should be developed in cooperation with representatives and members of affected *local communities** and *Indigenous Peoples**.

HCV 6

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**.**

Values to be assessed for HCV 6.

Sub Value Category	Sub Value	Low Potential Impact (SIR)
HCV 6.1	Aesthetic values.	Not Required
HCV 6.2	Historic values of global or national cultural or archaeological significance.	Required
HCV 6.3	Long term research sites.	Required
HCV 6.4	Social (including economic) values.	Not Required
HCV 6.5	Spiritual and cultural values.	Required

HCV 6 Definitions:

‘Cultural significance’: This Annex has adopted the ICOMOS Burra Charter definition of Cultural Significance which is recognised at all levels of government and in legislation in Australia:

“‘Cultural significance’ means aesthetic, historic, scientific, social or spiritual value for past, present or future generations. Cultural significance is embodied in the place itself, its fabric, setting, use, associations, meanings, records, related places and related objects. Places may have a range of values for different individuals or groups.”¹

Best Available Information* for HCV 6

Includes as applicable:

- Mapping
- Reports
- Databases
- Field surveys
- Expert and knowledgeable *stakeholder** consultation.

2.6 Assessment Pathway for HCV 6

SIR Potential Impact category	
Low	<p>1: Consult the <i>Best Available Information*</i> to identify relevant datasets and prepare lists and maps of potential <i>HCV*</i> accordingly.</p> <p>2: Identify management required (see HCV 6 Management Guidance under Pathway).</p> <p>3: Develop a program of periodic <i>monitoring*</i>, and <i>adaptive management*</i> as required.</p> <p>4: Consult <i>stakeholders*</i> on assessment, management and <i>monitoring*</i>.</p> <p>5: Finalise assessment, and implement management and <i>monitoring*</i> plan.</p>
Standard	<p>1: Consult the <i>Best Available Information*</i> to identify relevant datasets and prepare lists and maps of potential <i>HCV*</i> accordingly.</p> <p>2: Consult experts and other knowledgeable <i>stakeholders*</i> to identify <i>HCVs*</i>.</p> <p>3: Undertake a <i>threat assessment*</i> of management activities on identified <i>HCVs*</i>.</p> <p>4: Identify management required to maintain and/or enhance identified <i>HCVs*</i> (see HCV 6 Management Guidance under Pathway), including exclusion areas and/or management prescriptions.</p> <p>5: Develop a program of periodic <i>monitoring*</i> and <i>adaptive management*</i> as required.</p> <p>6: Consult <i>stakeholders*</i> on assessment, management and <i>monitoring*</i>.</p>

¹ The Burra Charter: *The Australia ICOMOS Charter of Places of Cultural Significance 1999.*

	7: Finalise assessment, and implement management and <i>monitoring</i> * plan.
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HCV 6 Management Guidance

Management strategies to maintain and/or enhance *HCV Areas** identified under HCV 6 may include *protection** zones; target-based protections; *landscape**-*scale** *protections**; harvest exclusions, and/or retention in harvest areas.

Measures for maintaining and/or enhancing cultural values should be agreed to with the *Indigenous Peoples** *connected to** the *Management unit**, and/or as directed by state and *national laws**.

PRINCIPLE 10: IMPLEMENTATION OF MANAGEMENT ACTIVITIES

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

10.1 After harvest or in accordance with the *Management Plan**, *The Organisation** shall*, by natural or artificial *regeneration** methods, regenerate vegetation cover in a timely fashion to pre-harvesting or more *natural conditions**. (New)

10.1.1 Harvested sites are *regenerated** in a *timely manner** and using a method that:

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

Verifiers:

- *Documentation of environmental values* identification, assessment and management for both native forests* and plantations*.*
- *Documentation of pre-harvest* conditions for native forests*.*

10.1.2 Planned *regeneration** or replanting activities are implemented in a *timely manner** that:

- 1) For harvest of existing *plantations**, re-establish *plantation** or *regenerate** to *pre-harvest** or more *natural conditions** using ecologically well-adapted species;
- 2) For harvest of *native forests**, *regenerate** to *pre-harvest** or more *natural conditions**; or
- 3) For harvest of degraded *native forests**, regenerate to more *natural conditions**.

Verifiers:

- *Documentation of assessments of pre-harvest* conditions.*
- *Documentation of regeneration* plans, including targets and timings.*

10.2 *The Organisation** shall* use species for *regeneration** that are ecologically well adapted to the site and to the *management objectives**. *The Organisation** shall* use *native species** and local *genotypes** for regeneration, unless there is clear and convincing justification for using others.

Guidance: Justification for non-local *genotypes** may include:

- Growth rates not meeting *management objectives**
- Yields not being viable for the local species
- *Native species** and/or local *genotypes** becoming extinct
- *Native species** and/or local *genotypes** not being resistant to disease and pests
- Site stresses, such as water
- Afforestation of degraded agriculture and range lands

- Climate change adaptation
- Capacity to stock carbon.

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

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

10.3 *The Organisation* shall* only use exotic species* when knowledge and/or experience have shown that any invasive impacts can be controlled and effective mitigation measures are in place.*

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

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

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

10.3.4 Management activities are implemented, in cooperation with separate regulatory bodies where these exist, with an aim to control the invasive impacts of *exotic species**.

10.4 *The Organisation* shall* not use genetically modified organisms* in the Management Unit*.*

10.4.1 *Genetically modified organisms** are not used.

Verifiers:

- *Documentation of seed origins.*
- *Documentation of compliance with any state/federal regulations such as the Office of the Gene Technology Regulator.*

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

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

10.6 *The Organisation* shall* minimise or avoid the use of fertilisers*. When fertilisers* are used, The Organisation* shall* demonstrate that use is equally or more ecologically and economically beneficial than use of silvicultural systems that do not require fertilisers*, and prevent, mitigate*, and/or repair damage* to environmental values*, including soils.*

10.6.1 The use of *fertilisers** is minimised or avoided.

Verifiers:

- *Documentation of application of fertilisers.*

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

Verifiers:

- *Documentation of assessments of alternative non-fertiliser reliant silvicultural* methods.*

10.6.3 In *native forests**, *fertilisers** are only used where there are clear ecological benefits.

10.6.4 When *fertilisers** are used, their types, rates, frequencies and site of application are documented.

10.6.5 When *fertilisers** are used, *environmental values** are *protected**, including through implementation of measures to prevent *damage**.

Verifiers:

- *Documentation of environmental values* for both native forests* and plantations*, including the use of any buffer zones around rare plant communities, riparian zones*, watercourses and water bodies*.*

10.6.6 *Damage** to *environmental values** resulting from *fertiliser** use is *mitigated or repaired**.

10.7 The Organisation* shall* use integrated pest management and silviculture* systems which avoid, or aim at eliminating, the use of chemical pesticides*. The Organisation* shall* not use any chemical pesticides* prohibited by FSC policy. When pesticides* are used, The Organisation* shall* prevent, mitigate, and/or repair damage* to environmental values* and human health.

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.

Verifiers:

- *Documentation of company policy/strategy outlining procedures involved in avoiding the use of pesticides*.*

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.

10.7.3 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;
- 2) Objective evidence demonstrates that the *pesticide** is the only effective and practical way to control the pest; and
- 3) Documentation exists to demonstrate commitment, and/or participation in research to investigate means to avoid and reduce the volume and/or adverse effect of chemical usage.

10.7.4 Records of *pesticide** usage are maintained, including trade name, active ingredient, quantity of active ingredient used, period of use, location and area of use and reason for use.

Verifiers:

- *Documentation of applications of pesticides**.

10.7.5 The use of *pesticides** complies with national, state and/or international guidelines, as well as those advised by the manufacturer, through provision of training, information and protective equipment to ensure adequate *protection** of *workers** or any other persons involved in the;

- 1) Transport of chemicals;
- 2) Storage and labelling of chemicals;
- 3) Handling and application; and
- 4) Emergency procedures for clean-up following accidental spillages.

Verifiers:

- *Documentation of health and safety incident reporting.*
- *Relevant and up-to-date chemical safety data sheets.*
- *Training and accreditation records.*

10.7.6 If *pesticides** are used, application methods minimise quantities used, while achieving effective results, and provide effective *protection** to surrounding areas, waterways and *landscapes**.

Verifiers:

- *Documentation of monitoring and relevant responses.*

10.7.7 *Damage** to *environmental values** and human health from *pesticide** use is prevented and *mitigated or repaired** where *damage** occurs.

Verifiers:

- *Documentation of health and safety reporting and relevant responses.*

10.8 *The Organisation* shall* minimise, monitor and strictly control the use of biological control agents* in accordance with internationally accepted scientific protocols*. When biological control agents* are used, The Organisation* shall* prevent, mitigate and/or repair* damage* to environmental values*.*

10.8.1 The use of *biological control agents** is minimised, *monitored** and controlled.

10.8.2 Use of *biological control agents** complies with *internationally accepted scientific protocols**.

10.8.3 The use of *biological control agents** is recorded including type, quantity, period, location and reason for use.

10.8.4 *Damage** to *environmental values** caused by the use of *biological control agents** is prevented and *mitigated or repaired** where *damage** occurs.

10.9 *The Organisation* shall* assess risks* and implement activities that reduce potential negative impacts from natural hazards* proportionate to scale, intensity, and risk*.*

Low SIR: Only 10.9.1 and 10.9.2 apply

10.9.1 Potential negative impacts of *natural hazards** on *infrastructure**, *forest** resources and communities in the *Management Unit** are assessed.

10.9.2 Where possible, management activities mitigate these impacts.

Note: Please refer to preamble note regarding “where possible”.

10.9.3 The *risk** for management activities to increase the frequency, distribution or severity of *natural hazards** is identified for those hazards that may be influenced by management.

10.9.4 Management activities are modified and/or measures are developed and implemented that reduce the identified *risks** where possible.

Note: Please refer to preamble note regarding “where possible”.

10.10 The Organisation* shall* manage infrastructural* development, transport activities and silviculture* so that water resources and soils are protected, and disturbance of and damage* to rare and threatened species*, habitats*, ecosystems* and landscape values* are prevented, mitigated and/or repaired*.

10.10.1 Development, maintenance and use of *infrastructure**, as well as transport activities, are managed to protect *environmental values** identified in *Criterion** 6.1 and *Cultural Sites** identified in *Criterion** 3.5.

Verifiers:

- *Documentation of strategies and activities to protect environmental values**.

10.10.2 *Silviculture** activities are managed to protect the *environmental values** identified in *Criterion** 6.1 and *Cultural Sites** identified in *Criterion** 3.5.

Verifiers:

- *Documentation of strategies and activities to protect environmental values**.

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.

10.11 The Organisation* shall* manage activities associated with harvesting and extraction of timber and non-timber forest products* so that environmental values* are conserved, merchantable waste is reduced, and damage* to other products and services is avoided.

10.11.1 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 and *Cultural Sites* identified in *Criterion** 3.5 over the *long-term**.

Verifiers:

- *Documentation of training materials and procedures related to conserving environmental values* and cultural sites.*

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

Verifiers:

- *Compliance records related to utilisation.*

10.11.3 Sufficient amounts of dead and decaying biomass and *forest** structure in *native forests** are retained to conserve *environmental values** with preference given to retaining biomass and structure of the largest sizes available.

10.11.4 Harvesting practices minimise *damage** to standing residual trees, residual woody debris on the ground and other *environmental values** identified in *Criterion** 6.1 and Cultural Sites* identified in *Criterion** 3.5

10.12 *The Organisation* shall* dispose of waste materials* in an environmentally appropriate manner.*

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.

Guidance for Conducting an Impact Assessment* .

What is an impact assessment?

*Impact Assessment** (IA) is the process of identifying the consequences of a current or proposed action. The “impact” is the difference between what would happen *with* the action and what would happen *without it*.

More technically, IA is defined in the FSCA-FSS as:

Impact Assessment: The process of identifying, predicting, evaluating and mitigating the physical, social, and other relevant effects of forest management activities.

*Impact Assessments**:

- 1) Predict the significance and consequences of management activities before those activities are undertaken;
- 2) Enable decisions about whether to proceed with a management activity;
- 3) Monitor the significance and consequences of management activities as they are undertaken; and
- 4) Identify methods to avoid, minimise or mitigate significant impacts, either before an activity is undertaken, or as an *adaptive management** response to observed impacts.

How does impact assessment apply to forest managers?

The FSCA-FSS requires consideration of impacts in two areas:

- C4.5: Social impact evaluations (local social impact assessment)
- C6.2 and 6.3: Environmental impact assessments

Guidance on Methods for Impact Assessment*

The following *impact assessment** method can be undertaken for social and environmental impacts, noting that the information inputs will vary depending on the specific value being considered. *Impact assessment** considers both positive and negative impacts resulting from management activities.

Forest managers may also draw on specific methodologies for social and environmental impact assessment, particularly those specifically relevant to the Australian forestry context. Depending on the *scale, intensity and risk** (including perceived risks) *The Organisation** may elect to have surveys conducted by independent experts or to have a credible independent review of the assessments undertaken.

*Criteria** 6.2 and 6.4 require the assessment of environmental impacts of a specified list of environmental values:

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

- *ecosystem functions** (carbon storage and sequestration)
- biological diversity* (*rare and threatened species**, vegetation communities, *habitat features**, fauna and flora)
- water resources (water quantity and quality)
- soils (stability)
- atmosphere (air quality)

- *landscape values** (visual and amenity values)

'*Social Impact Evaluation**' under *Criterion** 4.5 requires an assessment of a specific list of social and economic values relevant to the local community:

Social Impact Evaluation*: an assessment of social impacts in *local communities** resulting from current or planned forest management activities that includes the following as appropriate:

- Employment and economic activity generated from management activities
- Impacts on other industries resulting from activities
- Impacts on property values
- Health impacts
- Impacts on cultural heritage
- Impacts on recreational, visual or amenity values.

Forest managers should undertake and document the following steps (for example, in a table or report) in relation to the values above:

Scoping: List the details of the specific social or *environmental values* likely to be impacted by management activities* (for example, highly erodible soils; local sawmill employment) over the life of a forest *Management Plan**.

Impact Analysis: Using data, research, expert advice, *stakeholder** consultation, and professional judgment, **identify the likely impact of management activities**. For example, local processing policies will increase local employment, or harvesting in areas with erodible soils in high rainfall periods creates an erosion risk.

Cumulative Impacts: In some cases, the social impacts of forestry operations occur as a consequence of the actions of multiple forest managers, rather than being attributable to a single manager. This type of 'cumulative impact' can for example occur when a large area of land is established to *plantation** in a particular local area. While multiple companies may be involved, and the effect of any one forest manager's actions may be minimal, the cumulative effect of the actions of multiple forest managers may be substantial. **The potential for cumulative effects across multiple forest managers should be identified**, and where it is assessed as potentially significant, a process of assessment of effects arising as a result of cumulative impacts implemented.

Impact Significance: Predict the '**significance**' of each of the impacts that have been analysed, in order to prioritise the importance of management responses. This can involve a qualitative matrix analysis that assesses the likelihood and potential consequences. For example, local processing policies may substantially increase employment opportunities in small *local communities** with limited alternative employment options, or harvesting in areas of erodible soils in high-rainfall periods may result in substantial downstream increases in turbidity and impacts on stream-dependent fauna.

Impact management and examination of alternatives: Identify measures to **avoid, minimise and mitigate negative significant impacts**, for the list of potential impacts analysed, including any alternatives to the proposed management activities.

Glossary of Terms

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

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

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

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

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

- Local communities
- Indigenous Peoples
- Workers
- Forest dwellers
- Neighbours
- Downstream landowners
- Local processors
- Local businesses
- Tenure and use rights holders, including landowners
- Organisations authorised or known to act on behalf of affected stakeholders, for example social and environmental NGOs, labour unions, etc.

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

Agreed rights: Rights of access or use that are demonstrated through long and established use or association and which are recognised and agreed between local communities and a forest manager and/or a land owner, and/or local, state or Commonwealth government authorities. **(New)**

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

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

Best Available Information: Data, facts, documents, expert opinions, contact information and results of field surveys, review of publicly available records 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.

Best efforts: Means taking, in good faith, reasonable steps to achieve the objective, carrying the process to its logical conclusion and doing everything known to be usual, necessary and proper for ensuring the success of the endeavour.

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

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

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

Buffer: A forested area near a watercourse which helps shade and protect a stream from the impact of adjacent land uses within which soil disturbing management activities and harvesting is excluded.

Comprehensive Regional Assessments: Assessments of the environment, heritage, social and economic uses and values of certain forests in Australia as part of the Regional Forests Agreements process. Information and mapping available at: <http://www.agriculture.gov.au/forestry/policies/rfa>

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

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

Connected to: regardless of tenure or legal right 'connection' is established through identification of and consultation with:

- Traditional Owners (TO)
- Delegated custodianship transfer through marriage or transfer of responsibility by TO
- Representative bodies who have the authority to manage the asset (e.g. Local Aboriginal Land Councils, Trusts)
- For more information see Guidance regarding application of Principle 3

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 behavioural connectivity refers to how connected an area is for a process, such as an animal moving through different types of landscape elements. Aquatic connectivity deals with the accessibility and transport of materials and organisms, through groundwater and surface water, between different patches of aquatic ecosystems of all

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

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

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

Conservation Status (native ecosystems): The current levels of protection of native *ecosystems** in comparison to protection targets established by government bodies and/or recognised experts. These targets are generally set at the *landscape** level.

Conservation zones and protection areas: Defined areas that are designated and managed primarily to safeguard species, habitats, ecosystems, natural features or other site-specific values because of their natural environmental or cultural values, or for purposes of monitoring, evaluation or research, not necessarily excluding other management activities. For the purposes of the Principles and Criteria, these terms are used interchangeably, without implying that one always has a higher degree of conservation or protection than the other. The term 'protected area' is not used for these areas, because this term implies legal or official status, covered by national regulations in many countries. In the context of the Principles and Criteria, management of these areas should involve active conservation, not passive protection (Source: FSC-STD-01-001 V5-0)

Credible Ecosystem Service Guidelines: Up to date, relevant, and tested guidelines, methodologies or frameworks for the maintenance and enhancement of Ecosystem Services. Options chosen should be widely accepted by methodology developers, scientists, industry bodies and/or national or international government bodies.

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

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

Cultural landscapes: A landscape that is imbued with cultural meaning (including individual places but not limited to sites or artefacts) that are connected by Indigenous lore (cultural and spiritual significance).

Cultural responsibilities: Inherent custodial interests in country including their unique responsibility to care for landscapes, biodiversity and places of particular cultural significance. "Customary right" and "customary law" are the same as "cultural responsibility" to care for country. For more information see Guidance regarding application of Principle 3.

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

Customary law: Interrelated sets of customary rights may be recognised as customary law. In some jurisdictions, customary law is equivalent to statutory law, within its defined area of competence and may replace the statutory law for defined ethnic or other social groups. In

some jurisdictions customary law complements statutory law and is applied in specified circumstances. (Source: Based on N.L. Peluso and P. Vandergeest. 2001. Genealogies of the political forest and customary rights in Indonesia, Malaysia and Thailand, Journal of Asian Studies 60(3):761–812)

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

Damage/Damaging: Physical harm that impairs the value, usefulness or normal function.

Declared Ecosystem Services: The ecosystem services for which a verified ecosystem services claim can be made, subject to the requirements of the ES Procedure (FSC PRO-30-002).

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

Dispute of substantial duration: Dispute that continues for more than twice as long as the predefined timelines in the FSC system (this is for more than six months after receiving the complaint), with consideration to existing court proceedings and timelines.

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

- It affects the legal or customary rights of Indigenous Peoples and local communities;
- The negative impact of management activities is of such a scale that it cannot be reversed or mitigated;
- Acts of intimidation, physical violence and/or destruction of property against forest workers and/or stakeholders.

Discrimination: Favourable or unfavourable treatment that is based on race, colour, sex, sexual orientation, gender identity, intersex status, age, physical or mental disability, marital or relationship status, family or carers' responsibilities, pregnancy, religion, political opinion, union membership, national extraction or social origin.

Drainage lines: Areas of slope convergence where water naturally concentrates and flows. Drainage lines have an incised channel with defined bed and banks or evidence of active erosion or deposition, e.g. gravel, pebble, rock bed or scour.

Ecologically Sustainable: Ecologically sustainable forest management involves integrating commercial and non-commercial values of forests so that the welfare of society (both material and non-material) is improved, whilst ensuring that the values of forests, both as a resource for commercial use and for conservation, are not lost or degraded for current and future generations.

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

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

Ecosystem function: An intrinsic ecosystem characteristic related to the set of conditions and processes whereby an ecosystem maintains its integrity (such as primary productivity, food chain, biogeochemical cycles). Ecosystem functions include such processes as decomposition, production, nutrient cycling, and fluxes of nutrients and energy. For FSC

purposes, this definition includes ecological and evolutionary processes such as gene flow and disturbance regimes, regeneration cycles and ecological seral development (succession) stages. (Source: Based on R. Hassan, R. Scholes and N. Ash. 2005. Ecosystems and Human Well-being: Synthesis. The Millennium Ecosystem Assessment Series. Island Press, Washington DC; and R.F. Noss. 1990. Indicators for monitoring biodiversity: a hierarchical approach. Conservation Biology 4(4):355–364)

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

- Provisioning services such as food and water;
- Regulating services such as regulation of floods, drought, land degradation, air quality, climate and disease;
- Supporting services such as soil formation and nutrient cycling; and
- Cultural services and cultural values such as recreational, spiritual, religious and other non-material benefits.

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

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

Environmental Impact Assessment (EIA): Systematic process used to identify potential environmental 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 organisation of the United Nations (FAO). Rome, -STD-01-001 V5-0). Guidance on Impact Assessments is available at the end of Principle 10 This guidance is not normative, and is only intended to assist those forest managers who don't already have a robust and credible system in place.

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

- Ecosystem functions (carbon storage and sequestration)
- Biological diversity (rare and threatened species, vegetation communities, habitat features, fauna and flora)
- Water resources (water quantity and quality)
- Soils (stability)
- Atmosphere (air quality)
- Landscape values (visual and amenity values).

Exotic 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 Exotic Species Programme. Glossary of Terms as provided on CBD website)

Externalities: The positive and negative impacts of activities on stakeholders that are not directly involved in those activities, or on a natural resource or the environment, which do not

usually enter standard cost accounting systems, such that the market prices of the products of those activities do not reflect the full costs or benefits. (Source: FSC-STD-01-001 V5-0)

Fair compensation: Remuneration that is proportionate to the magnitude and type of services rendered by another party or payment that is proportional to the harm or injury caused to the affected party, determined either through negotiation between parties or by legal determination.

Fertiliser: Mineral or organic substances, most commonly (N) Nitrogen, (P2O5) Phosphate and (K2O) Potash, which are applied to soil for the purpose of enhancing plant growth.

Field Assessment: Any field visit to the site associated with planning for biodiversity. This is often undertaken in conjunction with survey for other aspects of management. Field assessments should involve the use of standardised techniques and reporting that are relevant to the values being assessed. The intensity of survey effort, expertise of assessors, and survey techniques will vary depending on the result of desktop assessments, the intensity of operations, and other factors. Field assessments may result in the need for more detailed targeted surveys and habitat evaluations.

Filter strip: Vegetation alongside a watercourse which helps to slow the flow of runoff water and functions to control sediment movement. Machinery movements are permitted provided they are consistent with the intended function of the filter strip.

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

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

Formal and informal workers organisation: Association or union of workers, whether recognised by law or by The Organisation or neither, which has the aim of promoting workers' rights and representing workers in dealings with The Organisation particularly regarding working conditions and compensation.

Free, Prior, and Informed Consent (FPIC): A legal condition whereby a person or community can be said to have given consent to an action prior to its commencement, based upon a clear appreciation and understanding of the facts, implications and future consequences of that action, and the possession of all relevant facts at the time when consent was 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 realising their full human rights and for contributing to, and benefiting from, economic, social, cultural and political development. (Source: Adapted from FAO, IFAD and ILO workshop on 'Gaps, trends and current research in gender dimensions of agricultural and rural employment: differentiated pathways out of poverty', Rome, 31 March to 2 April 2009.)

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

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

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

Ground Water Recharge Areas: Ground water recharge is defined as the natural process of infiltration and percolation of rainwater from land areas or streams through permeable soils into water-holding rocks or unconsolidated materials (such as sands and gravels) that provide underground storage in saturated zones known as ground water.

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: Naturally occurring forest stand attributes and structures, including but not limited to:

- Old trees whose age noticeably exceeds the average age of the main canopy
- Hollow-bearing trees
- Dead standing trees
- Coarse woody debris
- Natural treeless forest openings
- Known nesting, foraging and breeding sites
- Small wetlands, soaks and ponds
- Karst, caves, overhangs and other significant rock features
- Areas for migration
- Areas for hibernation.

Headwater streams: Permanent, intermittent and ephemeral first order streams (Strahler stream order) with identifiable aquatic habitats. Headwater streams will commonly have distinct banks and riparian zones will be defined as extending from the incised stream banks.

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

- HCV 1: Species Diversity. Concentrations of biological diversity including endemic species, and rare, threatened or endangered species, that are significant at global, regional or national levels.
- HCV 2: Landscape-level ecosystems and mosaics. Intact Forest Landscapes, large landscape-level ecosystems and ecosystem mosaics that are significant at global, regional or national levels, and that contain viable populations of the great majority of the naturally occurring species in natural patterns of distribution and abundance.
- HCV 3: Ecosystems and habitats. Rare, threatened, or endangered ecosystems, habitats or refugia.
- HCV 4: Critical ecosystem services. Basic ecosystem services in critical situations, including protection of water catchments and control of erosion of vulnerable soils and slopes.
- HCV 5: Community needs. Sites and resources fundamental for satisfying the basic necessities of local communities or Indigenous Peoples (for example for livelihoods, health, nutrition, water), identified through engagement with these communities or Indigenous Peoples.
- HCV 6: Cultural values. Sites, resources, habitats and landscapes of global or national cultural, archaeological or historical significance, and/or of critical cultural, ecological, economic or religious/sacred importance for the traditional cultures of local

communities or Indigenous Peoples, identified through engagement with these local communities or Indigenous Peoples.

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

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

Impact Assessment: The process of identifying, predicting, evaluating and mitigating the physical, social, and other relevant effects of forest management activities. Guidance on Impact Assessments is available at the end of Principle 10 This guidance is not normative, and is only intended to assist those forest managers who don't already have a robust and credible system in place.

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

Indigenous Peoples: People and groups of people that can be identified or characterised as follows:

- The key characteristic or Criterion is self-identification as Indigenous Peoples at the individual level and acceptance by the community as their member;
- Historical continuity with pre-colonial and/or pre-settler societies;
- Strong link to territories and surrounding natural resources;
- Distinct social, economic or political systems;
- Distinct language, culture and beliefs;
- Form non-dominant groups of society;
- Resolve to maintain and reproduce their ancestral environments and systems as distinctive peoples and communities.
- (Source: Adapted from United Nations Permanent Forum on Indigenous, Factsheet 'Who are Indigenous Peoples' October 2007; United Nations Development Group, 'Guidelines on Indigenous Peoples' Issues' United Nations 2009, United Nations Declaration on the Rights of Indigenous Peoples, 13 September 2007)

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

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

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

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

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

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

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

Interim Biogeographic Regionalisation for Australia (IBRA): A biogeographic regionalisation of Australia developed by the Australian Government. For more information: <http://www.environment.gov.au/land/nrs/science/ibra>

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

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

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

Landscape: The geographical context in which a forest is located. The IBRA classification system should be used as the basic unit for determining landscape scale, however other units, such as catchments, administrative units, or species' range may be appropriate in specific contexts.

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

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

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

Legal registration: National or local legal license or set of permissions to operate as an enterprise, with rights to buy and sell products and/or services commercially. The licence 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 the Organisations operating a Management Unit without sales of products or services; for example, for unpriced recreation or for conservation of biodiversity or habitat. (Source: FSC-STD-01-001 V5-0)

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

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

Local communities: Communities of any size that are in or adjacent to the Management Unit, and also those that are close enough to have a significant impact on the economy or the environmental values of the Management Unit or to have their economies, rights or environments significantly affected by the management activities or the biophysical aspects of the Management Unit (Source: FSC-STD-01-001 V5-0). In a continent with a recent colonial history, the customary rights potentially exercised by non-indigenous Australians are limited. Without denying the existence of non-indigenous customary rights, with an expansive definition these are likely to be largely related to recent and recreational activities. Recent colonial history – including dispossession, violence and their ongoing effects on the indigenous community – requires a response that elevates the comparative importance of indigenous customary rights over those of non-indigenous Australians, as a matter of respect and justice. Noting, however, that this should be done whilst still retaining the prospect of identifying non-indigenous customary rights.

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

Local provenance: Originating from within a locally natural range, and that forms part of the natural biodiversity of the place, or propagated from collections from locations as close geographically and in terms of habitat as practicable to the location where regeneration is to occur. (Source: <http://www.iffa.org.au>)

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

Machinery exclusion zone: Area within which no machinery is permitted.

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

Management plan: The collection of documents, reports, records and maps that describe, justify and regulate the activities carried out by any manager, staff or organisation within or

in relation to the Management Unit, including statements of objectives and policies. (Source: FSC-STD-01-001 V5-0)

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

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

- All facilities and area(s) within or adjacent to this spatial area or areas under legal title or management control of, or operated by or on behalf of The Organisation, 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 Organisation, solely for the purpose of contributing to the management objectives.

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

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

Mitigate and/or repair: FSC requires prevention of negative impacts as the preferred aim. However, in instances where damage occurs The Organisation shall first seek to mitigate damage through reduction and avoidance of further damage if necessary, and then assess whether repairs or restoration to the damaged value are possible and implement these.

Monitoring/Monitored: See Management Plan monitoring.

Multi-age forest: Forest stands that contain two or more age groups that can be distinguished within the stand, although the boundaries may not be clearly defined. Examples of multi-aged stands include stands where regeneration is occurring in patches opened in the stand (due to timber harvesting or the death of over-mature trees), and two tiered or two storeyed forests.

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

Nationally-ratified: See Ratified.

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 Exotic 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 favour or restore native species and associations of native species that are typical of the locality, and for managing these associations and other environmental values so that they form ecosystems typical of the locality. Further guidelines may be provided in FSC Forest Stewardship Standards. (Source: FSC-STD-01-001 V5-0)

Native/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 plantation.

'Native 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 native forests in that site, and where many of the above-ground and below-ground characteristics of the native 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 plantation;
- Native forests which are maintained by traditional silvicultural practices including natural or assisted natural regeneration;
- Well-developed secondary or colonising forest of native species which has regenerated in non-forest areas;
- The definition of 'native forest' may include areas described as wooded ecosystems, woodland and savannah.

'Native 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 native forest after some years of ecological progression.

Pending such guidance, areas dominated by trees, mainly of native species, may be considered as native 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 colonising 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 native forest through ecological progression after the passage of years;
- Young natural regeneration growing in native forest areas may be considered as native 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 native 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.

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

Native title: A form of land title that recognises the unique ties some Aboriginal groups have to land. **Australian** law recognises that **Native Title** exists where Aboriginal people have maintained a traditional connection to their land and waters, since sovereignty, and where acts of government have not removed it. (Source: www.dpc.wa.gov.au)

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

Non-forest: See definition for forest.

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

Objective: The basic purpose laid down by The Organisation 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 that The Organisation must implement by law. (Source: FSC-STD-01-001 V5-0)

Occupational accident: An occurrence arising out of, or in the course of, work which results in fatal or non-fatal injury. (Source: International Labour Organisation (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 Organisation (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 Organisation (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 Organisation: The person or entity holding or applying for certification and therefore responsible for demonstrating compliance with the requirements upon which FSC certification is based. (Source: FSC-STD-01-001 V5-0)

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

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

Plantation: A forest area established by planting or sowing with using either exotic 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 native forests. (Source: FSC-STD-01-001 V5-0)

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

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

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

Protection: See definition of Conservation.

Protection Area: See definition of Conservation Zone.

Provenance: See local provenance definition.

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

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

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

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

Recreational Services: An area of forest is considered to be available for recreation and tourism if there are no legal or other forms of prohibition on access to the forest for recreation and tourism activities. This includes areas where patrons may have to pay for public access to private land (e.g. a wildlife park). (Source: <http://www.agriculture.gov.au/abares/forestsaustralia/sofr/sofr-2013>)

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

Refugia: An isolated area where extensive changes, typically due to changing climate or 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)

Regeneration: the renewal or re-establishment of native forest flora by natural or artificial means following disturbance such as a timber harvesting operation or fire.

Repair: See mitigate and/or repair.

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

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

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

The Organisation is not necessarily obliged to restore those environmental values that have been affected by factors beyond the control of The Organisation, for example by natural disasters, by climate change, or by the legally authorised 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 Organisation 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 organisations. However, The Organisation is expected to take reasonable measures to mitigate, control and prevent environmental degradation that is continuing in the Management Unit as a result of such previous impacts.

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

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

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

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

Shall: Indicates requirements to be strictly followed.

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

- A designation, classification or recognised 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 organisation, on the basis of its concentration of biodiversity;
- A voluntary recognition by the manager, owner or The Organisation, on the basis of available information, or of the known or suspected presence of a significant biodiversity concentration, even when not officially designated by other agencies.

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

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

Social Impact Evaluation: An assessment of social impacts in local communities resulting from current or planned forest management activities and that includes the following as appropriate:

- Employment and economic activity generated from management activities
- Impacts on other industries resulting from activities
- impacts on property values
- health impacts
- Impacts on cultural heritage
- impacts on recreational, visual or amenity values.

Guidance on Impact Evaluations is available at the end of Principle 10. This guidance is not normative, and is only intended to assist those forest managers who don't already have a robust and credible system in place.

Soil Conservation for ecosystem services: Key soil functions or indications of soil health essential to the range of ecosystem services which are essential to our health and well-being (IPCC 2002), including:

- Decomposition and cycling of organic matter
- Gas exchange and carbon sequestration
- Maintenance of soil structure
- Production of food, fuel and energy
- Regulation of nutrients and uptake
- Soil detoxification
- Soil formation and prevention of soil erosion
- Suppression of pests and diseases.

(Source: <http://www.fao.org/agriculture/crops/thematic-sitemap/theme/spi/soil-biodiversity/soil-ecosystems-services/en/>)

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

Stand: An individual portion of the Management Unit managed as a singular unit. This may be in the form of a coupe, harvest block, regeneration area or a designated conservation zone and should be identifiable in Management Plans and mapping. (Source: <http://fennerschool-associated.anu.edu.au/mensuration/stand.htm>)

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

Substantial duration: See Dispute of substantial duration.

Substantial magnitude: see Dispute of substantial magnitude.

Suitable competence and qualifications: Suitable competence and qualifications, as recognised by internal or external training requirements or educational attainment.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Watershed ecosystem services: These are the ecosystem services provided by fresh water and the hydrologic cycle (MEA, 2005). Services include:

- Provisioning: water (quantity and quality) for consumptive user, water for non-consumptive user (hydroelectricity, transport), aquatic organisms for food and medicines;
- Regulatory: maintenance of water quality (natural filtration and water treatment), buffering of flood flows, erosion control through water/land interactions and flood control infrastructure;
- Cultural: recreation, tourism, existence values; and
- Supporting: role in nutrient cycling (floodplain fertility), primary production, predator/prey relationships and ecosystems resilience.

These services can be tracked geographically using a Watershed as an analysis unit. (source: <http://www.watershedmarkets.org/glossary.html>)

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

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

Under the Ramsar Convention, wetlands can include tidal mudflats, natural ponds, marshes, potholes, wet meadows, bogs, peatlands, freshwater swamps, mangroves, lakes, rivers and even some coral reefs. (Source: IUCN, IUCN Definitions – English)

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

Workplace, health and safety (WHS): WHS refers to the risk management principle that workers and other persons should, so far as is reasonably practicable, be given the highest level of protection against harm to their health, safety and welfare from hazards and risks arising from work. Health covers both physical and psychological health, including psychosocial risks to health such as stress, fatigue and bullying.