

# SCS Final Interim Standard for Forest Management Certification in India under the Forest Stewardship Council, V2-0

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## A. INTRODUCTION

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

SCS updated this version based on feedback from stakeholders in regards to allowances on conversion, as well as experience in applying V1-1 of this standard in the field for the past four years.

## B. STANDARD USE

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

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

**PRINCIPLE #1: COMPLIANCE WITH LAWS AND FSC PRINCIPLES**

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

**C1.1. Forest management shall respect all national and local laws and administrative requirements.**

| Indicators  | Verifiers, Examples, and Notes  | Evaluation Team Notes | Conformance (C, NC or NA) |
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| 1.1.1. The Forest Management Enterprise (FME) maintains an up-to-date register (reference list; see Appendix 1) of all pertinent statutes and bodies of regulations and makes this register available to forest managers; summaries of key regulations are kept in field offices. |   |                       |                           |
| 1.1.2. The FME shall comply with all applicable national and local forestry, environmental, and labour laws and regulations. The FME resolves any case of incompliance with these laws and regulations with the appropriate authorities.  | Verifiers:<br>See Annex 1 and 2 for examples of pertinent laws and regulations.   |                       |                           |
| 1.1.3. The frequency and nature of regulatory violations shall <i>not</i> be indicative of widespread and systemic non-compliance; when violations occur, the FME acts promptly to correct and remediate the circumstances associated with the violation.                         | <b>Note: Non-conformance to this Indicator constitutes a <i>Major Failure</i> and precludes award of certification until appropriately corrected.</b> |                       |                           |
| <b>C1.2. All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid.</b>  |   |                       |                           |
| Indicators  | Verifiers, Examples, and Notes  | Evaluation Team Notes | Conformance (C, NC or NA) |

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| 1.2.1. The FME shall demonstrate evidence that payments of taxes, royalties, and other charges are made in a timely manner. There is no evidence of chronic non-payment.   |   |                       |                           |
| 1.2.2. The FME shall maintain up-to-date records of all payments and make these available to the SCS auditing team.  | Verifiers:<br>See above.  |                       |                           |
| <b>C1.3. In signatory countries, the provisions of all binding international agreements such as CITES, ILO Conventions, ITTA, and Convention on Biological Diversity, shall be respected.</b>                                  |   |                       |                           |
| Indicators   | Verifiers, Examples, and Notes  | Evaluation Team Notes | Conformance (C, NC or NA) |
| 1.3.1. The FME shall comply with the intentions of the international agreements that India has ratified (see Appendix 2).  |   |                       |                           |
| 1.3.2. The FME's forest managers and field technicians shall have access to and understand the applicable international agreements and how these are respected in the forest management.                                       | Verifiers: <ul style="list-style-type: none"> <li>• <i>Compendium of applicable international agreements that summarizes how the FME respects these.</i></li> <li>• <i>Said compendium is available in offices and field sites or camps.</i></li> </ul> |                       |                           |
| <b>C1.4. Conflicts between laws, regulations and the FSC Principles and Criteria shall be evaluated for the purposes of certification, on a case-by-case basis, by the certifiers and by the involved or affected parties.</b> |   |                       |                           |
| Indicators   | Verifiers, Examples, and Notes  | Evaluation Team Notes | Conformance (C, NC or NA) |
| 1.4.1. The FME shall conduct an analysis to identify potential conflicts between applicable national/local laws, the FSC P&C, and international agreements and inform SCS auditors of any such conflicts.                      |   |                       |                           |
| 1.4.2. The FME is willing to participate in appropriate  |   |                       |                           |

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| processes for resolving conflicts with pertinent entities in order to resolve conflicts between laws/regulations and the FSC P&C, as required by SCS and/or the FSC.   |   |                       |                           |
| <b>C1.5. Forest management areas should be protected from illegal harvesting, settlement and other unauthorized activities.</b>  |   |                       |                           |
| 1.5.1. The FME dedicates sufficient resources (human and financial) to monitor for unauthorized activities in such a way that these are promptly detected and controlled and, if appropriate, reported to the relevant authorities.                                      |   |                       |                           |
| 1.5.2. The FME shall demarcate and clearly post the property boundaries of the Forest Management Unit (FMU) in the field when this does not interfere with conservation or protection objectives.  |   |                       |                           |
| <b>C1.6. Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria.</b>  |   |                       |                           |
| Indicators   | Verifiers, Examples, and Notes  | Evaluation Team Notes | Conformance (C, NC or NA) |
| 1.6.1. In the management plan, or another appropriate document of broad public availability, there is an express statement of commitment to the FSC Principles and Criteria. When the FME uses contractors, it shall require its contractors to comply with the FSC P&C. | <i>Verifiers:<br/>Contracts contain clear and appropriate language that requires contractors to comply with the FSC P&amp;C</i> |                       |                           |
| 1.6.2. FME staff and contractors shall be informed about FSC requirements and FME  |   |                       |                           |

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| shall control how these requirements are upheld.  |  |  |  |
| 1.6.3. The FME shall provide information on all of the forested areas over which it exercises a certain degree of responsibility for forest management in order to demonstrate compliance with FSC policies on partial certification and on the exclusion of areas from the scope of the certificate. |  |  |  |
| 1.6.4. FME shall not implement activities that blatantly conflict with the FSC P&C on forest areas outside of the FMU under assessment on which it has direct or indirect involvement per the definitions in FSC-POL-01-004.  |  |  |  |

**PRINCIPLE #2: TENURE AND USE RIGHTS AND RESPONSIBILITIES**

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

**C2.1 Clear evidence of long-term forest use rights to the land (e.g. land title, customary rights, or lease agreements) shall be demonstrated.**

| Indicators  | Verifiers, Examples, and Notes  | Evaluation Team Notes | Conformance (C, NC or NA) |
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| 2.1.1. The FME shall demonstrate that land tenure and rights to the forest resource are clear, legally secure and documented. | Verifiers:<br>Legal use rights may be associated with: <ul style="list-style-type: none"> <li>• Authenticated copies of land titles of the FMU(s)</li> <li>• fee-simple ownership</li> <li>• long-term or renewable lease rights (at least one rotation)</li> <li>• long-term or renewable exclusive management agreements (at least one rotation)</li> </ul> |                       |                           |

|  | <ul style="list-style-type: none"> <li>• other mechanisms allocating long-term or renewable management rights and responsibilities to the forest manager.</li> </ul>  |                       |                           |
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| 2.1.2. In the case of usufruct agreements, the FME shall demonstrate documented evidence of its legal rights to the FMU and at least 10 years for forest management and use of forest resources for the FMU under evaluation for certification.  |   |                       |                           |
| <b>C2.2. Local communities with legal or customary tenure or use rights shall maintain control, to the extent necessary to protect their rights or resources, over forest operations unless they delegate control with free and informed consent to other agencies.</b>  |   |                       |                           |
| Indicators   | Verifiers, Examples, and Notes  | Evaluation Team Notes | Conformance (C, NC or NA) |
| 2.2.1. The FME shall identify the local communities, and/or other stakeholders with duly recognized legal or customary tenure or use rights within the FMU and describe the nature of these rights in the management plan. When appropriate to the scale and intensity of operations, areas associated with these rights should also be included on maps of the FMU. | <i>Examples of legal or customary tenure or use-rights may include:</i><br><i>-public rights of way;</i><br><i>-established easements;</i><br><i>-collection of non-timber forest products;</i><br><i>-hiking, fishing, hunting, or other recreation;</i><br><i>-firewood collection;</i><br><i>-visitation of culturally significant sites, such as religious shrines.</i> |                       |                           |
| 2.2.2. When communities have delegated control of their legal rights or customary tenure or use in whole or in part, this must be confirmed by documented agreements and / or interviews with  |   |                       |                           |

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| representatives of local communities.  |   |                       |                           |
| 2.2.3. Allocation of duly recognized legal or customary tenure or use rights by local communities to other parties shall be documented, with evidence of free and informed consent.  |   |                       |                           |
| <b>C2.3. Appropriate mechanisms shall be employed to resolve disputes over tenure claims and use rights. The circumstances and status of any outstanding disputes will be explicitly considered in the certification evaluation. Disputes of substantial magnitude involving a significant number of interests will normally disqualify an operation from being certified.</b> |   |                       |                           |
| Indicators   | Verifiers, Examples, and Notes  | Evaluation Team Notes | Conformance (C, NC or NA) |
| 2.3.1. Conflicts over land tenure and use rights shall be resolved or discussed in a systematic and legal manner, with preference given to voluntary and conciliatory methods rather than the through the judiciary mechanisms (e.g., courts).   | <i>Verifiers:<br/>Records or other relevant documents that detail past and current disputes over tenure claims and use rights are maintained and made available to SCS auditors. Agreements and / or mechanisms to resolve disputes over tenure claims and use rights are documented.</i> |                       |                           |
| 2.3.2 The magnitude and severity of unresolved tenure claims and use rights disputes are minor, relative to the scale of forest management operations.   |   |                       |                           |

**PRINCIPLE #3: INDIGENOUS PEOPLES' RIGHTS**

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

*NOTE: There are no people in India that meet the UN Definition of Indigenous People. Hence, the entirety of Principle 3 is inapplicable. Rights of local communities have been incorporated into Principles 2 and 4.*

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

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| <b>3.2. Forest management shall not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples.</b>   |
| <b>3.3. Sites of special cultural, ecological, economic or religious significance to indigenous peoples shall be clearly identified in cooperation with such peoples, and recognized and protected by forest managers.</b>   |
| <b>3.4. Indigenous peoples shall be compensated for the application of their traditional knowledge regarding the use of forest species or management systems in forest operations. This compensation shall be formally agreed upon with their free and informed consent before forest operations commence.</b> |

**PRINCIPLE #4: COMMUNITY RELATIONS AND WORKER'S RIGHTS**

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

**C4.1. The communities within, or adjacent to, the forest management area should be given opportunities for employment, training, and other services.**

| Indicators  | Verifiers, Examples, and Notes   | Evaluation Team Notes | Conformance (C, NC or NA) |
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| 4.1.1. Qualified people in local communities are given preferential opportunities in employment and contracting; the FME actively targets the local workforce             | <i>Examples may include:<br/>-employment and contractual opportunities offered locally before they are offered outside the region.</i> |                       |                           |
| 4.1.2. The FME contributes to or directly develops training programs designed to enhance the capabilities and qualifications of local workers.                            |  |                       |                           |
| 4.1.3. There is active dialogue with representatives of workers and local communities about the identification of opportunities in employment, contracting, and training. |  |                       |                           |
| 4.1.4. The FME gives preference to local vendors of equipment and miscellaneous services, subject to cost considerations.   |  |                       |                           |

| <b>C4.2. Forest management should meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families.</b>                           |  |                       |                           |
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| Indicators  | Verifiers, Examples, and Notes   | Evaluation Team Notes | Conformance (C, NC or NA) |
| 4.2.1. The FME demonstrates a priority towards worker safety; there is an active safety program, appropriate to the scale of operations.  |  |                       |                           |
| 4.2.2. Written guidelines and policies, appropriate to the scale of operations, exist for workplace health and safety.  | <i>Examples may include:<br/>- written safety guidelines exist for each step of the latex production process, from rubber tapping to processing and manufacturing.</i> |                       |                           |
| 4.2.3. Appropriate safety equipment is made available to all workers; workers use safety equipment appropriately and demonstrate proper management and harvest techniques.        |  |                       |                           |
| 4.2.4. All equipment is periodically inspected and tested for safety performance.   |  |                       |                           |
| 4.2.5. Up-to-date information on pertinent health and safety laws and regulations is maintained by forest managers and appropriately disseminated to forest workers.              |  |                       |                           |
| 4.2.6. The FME maintains up-to-date safety records; such records indicate exemplary performance relative to industrial norms.   |  |                       |                           |
| 4.2.7. The FME's policies and labour practices shall guarantee the equal treatment of all employees (without discrimination based race, gender, religion or caste) in relation to |  |                       |                           |

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| recruitment, promotion, dismissal, remuneration and benefits.   |  |                       |                           |
| 4.2.8. The FME shall not allow the hiring or contracting of workers less than 14 years of age. In cases of such hiring or contracting, the work must be appropriate to the age, physical conditions, intellectual development, and worker’s morale (See ILO India’s ratified Conventions 5, 15, 90, and 123 and national policies, Child Labour (Prohibition and Regulations) Act of 1986 and the National Policy on Child Labour). |  |                       |                           |
| <b>C4.3. The rights of workers to organize and voluntarily negotiate with their employers shall be guaranteed as outlined in Conventions 87 and 98 of the International Labour Organization (ILO).</b>  |  |                       |                           |
| Indicators  | Verifiers, Examples, and Notes   | Evaluation Team Notes | Conformance (C, NC or NA) |
| 4.3.1. The FME shall recognize workers for their policies and actions, the right of free organization in any lawful and legitimate form, in compliance with ILO Convention 87 and guidance from the Ministry of Labour’s guide on “India and the ILO.”  |  |                       |                           |
| 4.3.2. The FME shall recognize the right of workers to bargain collectively with their employers, in compliance with ILO Convention 98 and guidance from the Ministry of Labour’s guide on “India and the ILO.”   |  |                       |                           |
| 4.3.3. The FME shall have documented procedures to a) investigate objectively and honestly the issues and   | Verifiers: <ul style="list-style-type: none"> <li>Interviews with forest managers, workers, and labour representatives.</li> </ul> |                       |                           |

| discrepancies raised by workers and / or their organizations and b) conflict resolution.  | <ul style="list-style-type: none"> <li>• Management plans</li> <li>• SOPs</li> </ul> <p>Note: National legislation or processes may be cited if they comply with this indicator.</p> |                       |                           |
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| <b>C4.4. Management planning and operations shall incorporate the results of evaluations of social impact. Consultations shall be maintained with people and groups (both men and women) directly affected by management operations.</b>                          |  |                       |                           |
| Indicators  | Verifiers, Examples, and Notes   | Evaluation Team Notes | Conformance (C, NC or NA) |
| 4.4.1 The FME shall conduct a social impact evaluation related to forest management activities.   |  |                       |                           |
| 4.4.2. The FME shall document in writing the processes that it will use to interact and consult groups of interest, local communities, and neighbouring properties that could be affected during the planning and implementation of forest management activities. |  |                       |                           |
| 4.4.3. The FME shall demonstrate that the information derived from social impact evaluations and/or consultation processes with stakeholders has been considered and/or addressed in the planning and implementation of forest management activities.             |  |                       |                           |
| <i>For FMUs meeting SLIMF requirements, only the following indicator(s) of this criterion apply; the following indicator(s) are not to be used for assessing non-SLIMF operations:</i>  |  |                       |                           |
| 4.4.4. The FME shall maintain an up-to-date list  | Verifiers:<br>List of stakeholders   |                       |                           |

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| of representatives of neighbouring properties or communities that could be affected during and after the implementation of forest management activities.  |                                |                       |                           |
| 4.4.5. The FME maintains regular communication with neighbours and other stakeholders of local communities. As appropriate, the FME's policies and activities are sensitive to the interests and expectations of these interested parties.  |                                |                       |                           |
| <b>C4.5. Appropriate mechanisms shall be employed for resolving grievances and for providing fair compensation in the case of loss or damage affecting the legal or customary rights, property, resources, or livelihoods of local peoples. Measures shall be taken to avoid such loss or damage.</b> |                                |                       |                           |
| Indicators  | Verifiers, Examples, and Notes | Evaluation Team Notes | Conformance (C, NC or NA) |
| 4.5.1. Where they exist and can be established according to bonafide procedures, preferably within legal frameworks, forest managers recognize and respect legal or customary rights that are subject to influence from management activities on the defined forest area.                             |                                |                       |                           |
| 4.5.2. Forest managers endeavour, through actions and policies, to avoid adverse impacts to the property, resources and/or livelihoods of local peoples.  |                                |                       |                           |
| 4.5.3. Adequate procedures are employed for resolving grievances and providing fair compensation where forest operations lead to loss or damage to property, resources, livelihoods and/or legal or customary   |                                |                       |                           |

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| use rights of local peoples. These procedures should be agreed upon with the parties involved. |  |  |  |
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**PRINCIPLE #5: BENEFITS FROM THE FOREST**

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

**C5.1. Forest management should strive toward economic viability, while taking into account the full environmental, social, and operational costs of production, and ensuring the investments necessary to maintain the ecological productivity of the forest.**

| Indicators  | Verifiers, Examples, and Notes   | Evaluation Team Notes | Conformance (C, NC or NA) |
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| 5.1.1. The FME has sufficient financial capital and human resources to implement the management plan, over the long run (at least one rotation in the case of plantations).   |  |                       |                           |
| 5.1.2. The FME shall conduct a long-term financial projection (e.g., budget) that includes income and environmental, social, and operational costs. The assumptions included in the budget or financial model must be duly substantiated. |  |                       |                           |
| 5.1.3. The FME shall make adequate investments of capital, machinery and human resources so as to maintain or restore the productive capacity, ecological integrity and socio-economic profile of the FMU.                                |  |                       |                           |
| 5.1.4. Commercial (income generating) activities are financially viable, given short and  | Verifiers: Annual or semi-annual balance sheets or other records that show the costs of management |                       |                           |

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| medium-term market conditions and costs.  | activities conducted, as well as the income received.   |                       |                           |
| <b>C5.2. Forest management and marketing operations should encourage the optimal use and local processing of the forest's diversity of products.</b>                        |   |                       |                           |
| Indicators  | Verifiers, Examples, and Notes  | Evaluation Team Notes | Conformance (C, NC or NA) |
| 5.2.1. Management and marketing policies, as well as field-level decisions, systematically assure that commercial forest products are sold for their highest and best uses. | <i>Examples may include:<br/>-new products are explored and developed for common but less used specie;s markets is explored and</i>   |                       |                           |
| 5.2.2. THE FME strives to diversify the mix of commercial products recovered from the forest and marketed.  | Examples:<br><ul style="list-style-type: none"> <li>○ When financially and technically viable, the FME commercializes non-timber forest products (NTFPs);</li> <li>○ When financially and technically viable, the FME commercializes environmental services, such as the protection of watersheds that serve hydroelectric dams or forest carbon offsets projects.</li> </ul> |                       |                           |
| 5.2.3. The FME has a demonstrated track record of favouring or encouraging local processing of wood, latex, and other forest products.                                      |   |                       |                           |
| <b>C5.3. Forest management should minimize waste associated with harvesting and on-site processing operations and avoid damage to other forest resources.</b>               |   |                       |                           |
| Indicators  | Verifiers, Examples, and Notes  | Evaluation Team Notes | Conformance (C, NC or NA) |
| 5.3.1. Harvesting operations minimize waste and residual stand damage.  | <i>Examples may include:<br/>-bumper trees and directional felling techniques are used to minimize unintentional tree damage.</i>   |                       |                           |
| 5.3.2. Yarding, log sorting, and onsite processing operations minimize product wastage, de-   |   |                       |                           |

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| grade and foregone revenue opportunities.  |  |                       |                           |
| 5.3.3. Log landings and/or other forest product staging areas on the FMU are kept to a minimum practicable number and size, and are located so as to minimize adverse environmental impacts.   |  |                       |                           |
| 5.3.4. Where on-site processing takes place, the footprint of the milling facility is kept to the smallest practicable size; the processing facilities are located in the most environmentally benign locales as well as in locations where losses to productive forest area are minimized.          | <i>Examples may include:<br/>-the FME locates charcoal kilns or portable sawmills only after evaluating the environmental impacts of the selected sites.</i> |                       |                           |
| 5.3.5 While minimizing undue waste, forest managers establish field guidelines that recognize the ecological value of biomass (e.g., tops and branches) being left on site; forest managers have documented guidelines for retention of downed woody debris and standing snags within harvest areas. | <i>Verifier:<br/>Written field guidelines or illustrations for biomass retention (snags, tops, downed woody debris, etc.).</i>                               |                       |                           |
| <b>C5.4 Forest management should strive to strengthen and diversify the local economy, avoiding dependence on a single forest product.</b>   |  |                       |                           |
| Indicators   | Verifiers, Examples, and Notes   | Evaluation Team Notes | Conformance (C, NC or NA) |
| 5.4.1. The FME demonstrates knowledge of the operation's effect on the local economy as it relates to existing and potential markets for a variety of timber and non-  |  |                       |                           |

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| timber forest products and services.   |                                |                       |                           |
| 5.4.2. The FME strives to diversify the economic use of the forest for a variety of timber and non-timber forest products and services.  |                                |                       |                           |
| <b>C5.5 Forest management operations shall recognize, maintain, and, where appropriate, enhance the value of forest services and resources such as watersheds and fisheries.</b>   |                                |                       |                           |
| Indicators   | Verifiers, Examples, and Notes | Evaluation Team Notes | Conformance (C, NC or NA) |
| 5.5.1. The management plan addresses the full range of forest services associated with the FMU including: municipal watersheds, commercial and recreational fisheries (or the supply of water to downstream fisheries), visual quality, contributions to regional biodiversity, recreation and tourism as identified by the FME. |                                |                       |                           |
| 5.5.2. Forest management activities are designed and implemented, spatially and temporally, with due consideration to the impacts on the forest services identified in 5.5.1.  |                                |                       |                           |
| 5.5.3. The FME engages in regular dialogue with stakeholders and advocates of forest services that are subject to impact from forest operations.   |                                |                       |                           |
| <b>C5.6 The rate of harvest of forest products shall not exceed levels that can be permanently sustained.</b>  |                                |                       |                           |
| Indicators   | Verifiers, Examples, and Notes | Evaluation Team Notes | Conformance (C, NC or NA) |
| 5.6.1. For natural/ semi-natural forest  |                                |                       |                           |

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| <p>management operations, the annual allowable cut (AAC) of forest products, either by area or volume, shall be established by a combination of empirical data and published literature, based on conservative, well-documented growth and yield estimates to ensure that the rate of harvest does not exceed the calculated rates of long-term growth.</p>  |   |  |  |
| <p>5.6.2. For plantation forest management, the growth and harvest rates (for thinning and final cuts), shall be based on well-documented information and/or field trials, and be consistent with the observed behaviour of the species at the national or regional level.</p>   | <p><i>Verifiers for 5.6.1 and 5.6.2:</i></p> <ul style="list-style-type: none"> <li>• <i>Growth and yield data</i></li> <li>• <i>Stand table projections</i></li> <li>• <i>Management plan</i></li> </ul>                               |  |  |
| <p>5.6.3. For large FMEs: Average annual harvest levels, over rolling periods of no more than 10 years, do not exceed the calculated AAC.</p> <p>For SLIMF: On SLIMF forests, harvest levels and rates do not exceed growth rates over successive harvests, contribute directly to achieving desired future conditions as defined in the forest management plans, and do not diminish the long term ecological integrity and productivity of the site.</p> | <p>Verifiers:</p> <ul style="list-style-type: none"> <li>• Harvest records</li> <li>• Comparison of records of harvested volume by species (or species groups) with the AAC established for the species (or species groups).</li> </ul> |  |  |

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| <p>5.6.4. Harvest levels shall be set such that inventories of desired species increase over time, unless it is substantiated that current inventories (measured in average standing volume per hectare) exceed optimal levels.</p>   |   |  |  |
| <p>5.6.5. For operations harvesting NTFPs, management strategies incorporate the best available monitoring and inventory data to calculate a conservative growth and harvest rates.</p>   |   |  |  |
| <p>5.6.6 For timber investment management programs (FSC-STD-50-001 (V1-2), section 9): If growth projections are used to make claims on the rate of financial return, the FME shall include a visible declaration on all material that carries the FSC or certification body trademarks regarding the responsibility of financial claims (e.g., “FSC and SCS are not responsible for and do not endorse any financial claims on returns on investments”).</p> | <p><i>Guidance: A timber investment organization is a forest management project established in a natural or plantation forest (e.g., a TIMO or REIT), where the FME uses funds from various investors to achieve management objectives, usually in exchange for returns on investment within a specified timeframe.</i></p> |  |  |

**PRINCIPLE #6: ENVIRONMENTAL IMPACT**

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

**C6.1. Assessments of environmental impacts shall be completed appropriate to the scale, intensity of forest management and the uniqueness of the affected resources and adequately integrated into management systems. Assessments shall include landscape level considerations as**

| well as the impacts of on site processing facilities. Environmental impacts shall be assessed prior to commencement of site disturbing operations.  |  |                       |                           |
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| Indicators  | Verifiers, Examples, and Notes   | Evaluation Team Notes | Conformance (C, NC or NA) |
| 6.1.1. Project (site)-level environmental impact assessments, scaled to the size and complexity of operations, are systematically completed prior to commencement of site disturbing activities.  |  |                       |                           |
| 6.1.2. In addition to project-level assessments, forest managers also complete landscape-level environmental impact assessments in which the cumulative effects of forest operations are considered.  | <i>Examples may include:<br/>- the FME does not conduct clearcuts next to adjacent previous clearcut harvests unless these previous harvests have adequate regeneration.</i> |                       |                           |
| 6.1.3. To provide background for environmental impact assessments, the regional, sub-regional, and landscape environmental context of the FMU is established and documented (preferably in the management plan), consistent with the scale and intensity of operations. |  |                       |                           |
| 6.1.4 Planned management activities are appropriately modified based upon the results of the environmental impact assessments.  |  |                       |                           |
| <i>For FMU's meeting SLIMF requirements, only the following indicator(s) of this criterion apply; the indicator(s) are not to be used for assessing non-SLIMF operations:</i>   | Guidance:<br>This applies to both small and low intensity SLIMFs.  |                       |                           |
| 6.1.5. The FME demonstrates knowledge of the possible negative impacts of its activities and  |  |                       |                           |

| implement measures to minimize them.   |   |                       |                           |
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| <b>C6.2. Safeguards shall exist which protect rare, threatened and endangered species and their habitats (e.g., nesting and feeding areas). Conservation zones and protection areas shall be established, appropriate to the scale and intensity of forest management and the uniqueness of the affected resources. Inappropriate hunting, fishing, trapping and collecting shall be controlled.</b> |   |                       |                           |
| Indicators   | Verifiers, Examples, and Notes  | Evaluation Team Notes | Conformance (C, NC or NA) |
| 6.2.1. Using the best information available and the results of field surveys, the FME shall identify the potential presence of rare, threatened or endangered (RTE) species (see Appendix 3) and their habitats within the FMU (e.g., nesting and feeding areas).  |   |                       |                           |
| 6.2.2. The FME shall establish, appropriate to the scale and intensity of the operation, conservation zones and/or other adequate protection measures for RTE species and their habitats. These conservation zones and other protection measures shall be described in the management plan.  |   |                       |                           |
| 6.2.3. The FME shall demarcate RTE conservation zones on maps, and when appropriate and it does not interfere with conservation objectives, in the field. These zones shall be respected in forest management activities.  |   |                       |                           |
| 6.2.4. The FME shall not harvest species that are included in Appendix I of CITES <b>(also applicable to SLIMF)</b> .  |   |                       |                           |
| 6.2.5. The FME shall have adequate control over and minimize illegal,  | <i>Examples may include:<br/>-Fences are installed to control grazing when appropriate;</i> |                       |                           |

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| unauthorized and/or inappropriate activities, such as hunting, fishing, trapping, harvesting of NTFPs or the collecting of RTE species <b>(also applicable to SLIMF)</b> .   | <i>-Established hunting or gathering seasons are respected in order to allow for reproduction.</i> |                       |                           |
| <i>For FMUs meeting SLIMF requirements, only 6.2.4, 6.2.5, and the following indicator(s) of this criterion apply; the following indicator(s) are not to be used for assessing non-SLIMF operations:</i>   |  |                       |                           |
| 6.2.6. Where information exists on RTE species and their habitats, the FME uses this information to map and protect these resources.   |  |                       |                           |
| 6.2.7. The use of fire is controlled within the FMU and the FME helps in its prevention and control in contiguous areas.   |  |                       |                           |
| <b>C6.3. Ecological functions and values shall be maintained intact, enhanced, or restored, including:</b> <ul style="list-style-type: none"> <li><b>a) Forest regeneration and succession.</b></li> <li><b>b) Genetic, species, and ecosystem diversity.</b></li> <li><b>c) Natural cycles that affect the productivity of the forest ecosystem.</b></li> </ul> <p><i>Note: indicators that are not applicable (NA) to plantations have been incorporated into C10.2 and C10.3.</i></p> |  |                       |                           |
| Indicators   | Verifiers, Examples, and Notes   | Evaluation Team Notes | Conformance (C, NC or NA) |
| 6.3.1. For large FMEs: Known ecological functions and values of natural ecosystems within the FMU are described in the management plan and updated periodically as additional information/knowledge is acquired.   |  |                       |                           |
| 6.3.2. For natural/ semi-natural forest management (NA for plantations): Subject   |  |                       |                           |

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| to the scale of operations, the forest is managed so as to maintain a full range of successional stages at distributions within the range of natural variability.  |  |  |  |
| 6.3.3 For natural/ semi-natural forest management (NA for plantations): The management plan incorporates principles of landscape and ecosystem-based planning; the plan contains goals pertaining to biological diversity for the range of spatial scales from genetic diversity to landscape diversity. |  |  |  |
| 6.3.4. For natural/ semi-natural forest management (NA for plantations): Management practices maintain, enhance or restore natural forest composition; management is aimed at maintaining all naturally occurring species.   |  |  |  |
| 6.3.5. Harvesting and other management practices are designed and laid out, over time and space, with consideration of the types, sizes and frequency of natural disturbances as well as connectivity of wildlife habitats.  |  |  |  |
| 6.3.6. Regeneration after final harvests are timely and successful; young stands, either planted or naturally established, are well-stocked with desired species, vigorous and on the trajectory to healthy merchantable stands.   |  |  |  |

| <b>C6.4 Representative samples of existing ecosystems within the landscape shall be protected in their natural state and recorded on maps, appropriate to the scale and intensity of operations and the uniqueness of the affected resources.</b>  |   |                       |                           |
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| Indicators   | Verifiers, Examples, and Notes  | Evaluation Team Notes | Conformance (C, NC or NA) |
| 6.4.1 The FME compiles and reviews information on the amount of representative samples of existing ecosystems protected within the regional landscape, both within and outside of the FMU.   |   |                       |                           |
| 6.4.2. Selection of regional RSEs to be preserved as required in 6.4.1 shall be based on the identification of key ecological areas (i.e., based on plant community distribution, soil types, etc) identified through consultation with environmental stakeholders, local government and scientific authorities. | <p><i>Verifiers:</i></p> <ul style="list-style-type: none"> <li>• <i>Information on regional protected areas, such as national parks, is reviewed and analyzed in the management plan.</i></li> <li>• <i>The FME documents and takes measures to prevent adverse effects to protected areas.</i></li> </ul> |                       |                           |
| 6.4.3. Protected areas within the FMU are delineated on maps and protection policies are included in the management plan.  |   |                       |                           |
| <i>For FMUs meeting SLIMF requirements, only the following indicator(s) apply; the indicator(s) are not to be used for assessing non-SLIMF operations:</i>   |   |                       |                           |
| 6.4.4. Representative samples of ecosystems are identified, recorded on maps, and excluded from the harvesting area. If existing representative samples of ecosystems are already adequately protected on other private or public properties within  |   |                       |                           |

| the region then no additional samples need to be identified and protected.  |   |                       |                           |
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| <b>C6.5. Written guidelines shall be prepared and implemented to control erosion; minimize forest damage during harvesting, road construction, and all other mechanical disturbances; and to protect water resources.</b>   |   |                       |                           |
| Indicators  | Verifiers, Examples, and Notes  | Evaluation Team Notes | Conformance (C, NC or NA) |
| 6.5.1. The FME shall have written guidelines that cover all technical specifications required in this Criterion.  | <i>Guidance: Documented guidelines may be in the form of manuals, illustrations, videos, etc. or a combination thereof.</i>   |                       |                           |
| 6.5.2. Forest operations meet or exceed Best Management Practices (BMPs) that address components of the Criterion where the operation takes place.  |   |                       |                           |
| 6.5.3. Management activities including site preparation, harvest prescriptions, techniques, timing, and equipment are selected and used to protect soil and water resources and to avoid erosion, landslides, and significant soil disturbance. Logging and other activities that significantly increase the risk of landslides are excluded in areas where risk of landslides is high. The following actions are addressed: <ul style="list-style-type: none"> <li>• Slash/ logging residue is concentrated only as much as necessary to achieve the goals of site preparation and the reduction of fuels to moderate or low levels of fire hazard.</li> <li>• Disturbance of topsoil is limited to the minimum</li> </ul> | <p>Intent: This Indicator includes soil productivity, function, and habitat (including the leaf litter layer and fine woody debris) in all stands, management systems, and harvest objectives.</p> <p>Guidance: Attention to this Indicator is expected to increase with the amount and frequency of woody material removed from the site (e.g., biomass removals and whole tree harvests).</p> <p>Decisions are made based on objective data regarding slope, erosion-hazard rating, potential for soil compaction, rutting, and risk of landslides.</p> |                       |                           |

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| <p>necessary to achieve successful regeneration of species native to the site.</p> <ul style="list-style-type: none"> <li>• Rutting, compaction, and erosion are minimized.</li> <li>• Soil erosion is not accelerated.</li> <li>• Burning is only done when consistent with natural disturbance regimes and/or national/ local laws.</li> <li>• Natural ground cover disturbance is minimized to the extent necessary to achieve regeneration objectives.</li> <li>• Whole tree harvesting on any site over multiple rotations is only done when research indicates soil productivity will not be harmed.</li> <li>• Techniques and equipment that minimize impacts to vegetation, soil, and water resources are used whenever feasible.</li> </ul> |  |  |  |
| <p>6.5.4. The transportation system, including design and placement of permanent and temporary haul roads, skid trails, water crossings and other harvesting infrastructure, is designed, constructed, maintained, and/or reconstructed to reduce short and long-term environmental impacts, habitat fragmentation, soil and water disturbance and cumulative adverse effects, while allowing for</p>  |  |  |  |

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| <p>customary uses and use rights. This includes:</p> <ul style="list-style-type: none"> <li>• access to all roads and trails (temporary and permanent) and off-road travel, is controlled, as possible, to minimize ecological impacts;</li> <li>• road density is minimized;</li> <li>• erosion is minimized;</li> <li>• sediment discharge to streams is minimized;</li> <li>• there is free upstream and downstream passage for aquatic organisms;</li> <li>• impacts of transportation systems on wildlife habitat and migration corridors are minimized;</li> <li>• area converted to roads, landings and skid trails is minimized;</li> <li>• habitat fragmentation is minimized;</li> <li>• unneeded roads are closed and rehabilitated.</li> </ul> |  |  |  |
| <p>6.5.5. In consultation with appropriate expertise, the FME implements documented Riparian Management Zone (RMZ) buffer management guidelines to prevent or mitigate negative environmental impact, and include protecting and restoring water quality, hydrologic conditions in rivers and stream corridors, wetlands, vernal pools, seeps and springs, lake and pond shorelines, and other</p>   | <p><i>Guidance: If there are any nationally or locally applicable laws or regulations in regards to RMZ buffers, the FME should have them referenced or otherwise documented per indicator 6.5.1. Where no such laws or regulations exist, FME may develop or adopt guidelines for RMZs in consultation with stakeholders and/or through consulting relevant literature/ research.</i></p> |  |  |

| hydrologically sensitive areas. The guidelines include vegetative buffer widths and protection measures that are acceptable within those buffers.  |  |                       |                           |
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| <b>C6.6. Management systems shall promote the development and adoption of environmentally friendly non chemical methods of pest management and strive to avoid the use of chemical pesticides. World Health Organization Type 1A and 1B and chlorinated hydrocarbon pesticides; pesticides that are persistent, toxic or whose derivatives remain biologically active and accumulate in the food chain beyond their intended use; as well as any pesticides banned by international agreement, shall be prohibited. If chemicals are used, proper equipment and training shall be provided to minimize health and environmental risks.</b> |  |                       |                           |
| Indicators   | Verifiers, Examples, and Notes   | Evaluation Team Notes | Conformance (C, NC or NA) |
| 6.6.1. All chemical pesticide use in nurseries, FMUs or processing facilities occurs within the context of an integrated pest management program; pesticides are only used when non-chemical management has been proven ineffective or cost-prohibitive.   | Verifiers: <ul style="list-style-type: none"> <li>• Silvicultural prescriptions are selected and designed to minimize the dependence on chemical pesticides.</li> <li>• The FMU can demonstrate evidence of reduction or elimination of the use of chemical pesticides over time.</li> </ul> |                       |                           |
| 6.6.2. If the FME uses chemical pesticides, the FME and its contractors shall: <ul style="list-style-type: none"> <li>• Have a complete list of chemical pesticides used;</li> <li>• Maintain records of all pesticides used, including the name of the product, active ingredient(s), location and method of application, total quantity applied, and the dates of application;</li> <li>• Comply with all safety regulations during the transport, manipulation,</li> </ul>  |  |                       |                           |

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| <p>application, and storage of chemical pesticides;</p> <ul style="list-style-type: none"> <li>• Where required by law, field personnel shall be properly licensed to apply chemical pesticides;</li> <li>• Use appropriate equipment and gear to assure safe application;</li> <li>• Provide adequate supervision and training to personnel and contractors related to the transport, storage, manipulation, and application of chemical pesticides.</li> </ul> |  |                              |                                  |
| <p>6.6.3. The FME shall not use highly hazardous chemical pesticides as defined by the FSC (FSC-POL-30-601), those prohibited in India, pesticides classified as Type 1A or 1B by the World Health Organization (WHO) or pesticides composed of hydrocarbons or chlorine. Exceptions are made when the FSC has permitted a formal derogation in the applicable territory. In such cases, the FME shall follow the terms of the approved derogation.</p>          | <p><b>Note: Non-conformance to this Indicator constitutes a <i>Major Failure</i> and precludes award of certification until appropriately corrected.</b></p> |                              |                                  |
| <p><b>C6.7. Chemicals, containers, liquid and solid non organic wastes including fuel and oil shall be disposed of in an environmentally appropriate manner at off site locations.</b></p>   |  |                              |                                  |
| <p>Indicators</p>  | <p>Verifiers, Examples, and Notes</p>  | <p>Evaluation Team Notes</p> | <p>Conformance (C, NC or NA)</p> |
| <p>6.7.1. Toxic chemicals and their containers are disposed of, off site, in an environmentally sound and legal manner.</p>  |  |                              |                                  |
| <p>6.7.2. The FME shall have contingency plans and</p>   |  |                              |                                  |

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| procedures for prevention and cleanup following spills or other accidents involving chemical pesticides, oils, fuels, and other chemicals.   |   |                       |                           |
| 6.7.3. There are on-site facilities for secure collection of waste, including oil and fuel.  |   |                       |                           |
| <b>C6.8. Use of biological control agents shall be documented, minimized, monitored and strictly controlled in accordance with national laws and internationally accepted scientific protocols. Use of genetically modified organisms shall be prohibited.</b> |   |                       |                           |
| Indicators   | Verifiers, Examples, and Notes  | Evaluation Team Notes | Conformance (C, NC or NA) |
| 6.8.1. There shall be no use (defined as commercial use as well as for research purposes) of genetically modified organisms within the FMU.  | <b>Note: Non-conformance to this Indicator constitutes a <i>Major Failure</i> and precludes award of certification until appropriately corrected.</b> |                       |                           |
| 6.8.2 All use of biological control agents takes place within the context of an integrated pest management program that will document, minimize, monitor, and strictly control their application.  |   |                       |                           |
| 6.8.3. Use of biological control agents takes place only where demonstrably necessary and only under strict protocols in compliance with applicable laws and regulations.  |   |                       |                           |
| <b>C6.9. The use of exotic species shall be carefully controlled and actively monitored to avoid adverse ecological impacts.</b>   |   |                       |                           |
| Indicators   | Verifiers, Examples, and Notes  | Evaluation Team Notes | Conformance (C, NC or NA) |
| 6.9.1. Exotic species (tree species as well as other flora and fauna) are introduced into the defined forest area only after active investigation demonstrates that they are not invasive.   |   |                       |                           |

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| 6.9.2. Exotic species use is governed by written guidelines for controlling off-site regeneration; active ongoing monitoring is mandatory.   | <i>Verifier:<br/>Control and monitoring of exotic species is included in the management plan (C7.1) and monitoring program (C8.1).</i> |                       |                           |
| 6.9.3. In areas where invasive exotic plants are problematic, the FME develops and implements appropriate control measures   |  |                       |                           |
| <b>C6.10. Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion:</b> <ul style="list-style-type: none"> <li><b>a) entails a very limited portion of the forest management unit; and</b></li> <li><b>b) does not occur on high conservation value forest areas; and</b></li> <li><b>c) will enable clear, substantial, additional, secure, long term conservation benefits across the forest management unit.</b></li> </ul> |  |                       |                           |
| Indicators   | Verifiers, Examples, and Notes   | Evaluation Team Notes | Conformance (C, NC or NA) |
| 6.10.1. FME shall not convert forests to plantations or non- forest land uses, except where the conversion meets the conditions of 6.10.2 – 6.10.4 below.  |  |                       |                           |
| 6.10.2. If conversion occurs, the area affected shall not exceed 0.5% of the area of the FMU in any one year, nor affect a total of more than 5% of the area of the FMU.   |  |                       |                           |
| 6.10.3. If conversion occurs, the forest manager shall demonstrate that any conversion produces clear, substantial, additional, secure, long-term conservation benefits across the forest management unit.   |  |                       |                           |
| 6.10.4. If the conversion occurs, it shall not occur on  |  |                       |                           |

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| high conservation value forest areas. |  |  |  |
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**PRINCIPLE #7: MANAGEMENT PLAN**

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

**7.1. The management plan and supporting documents shall provide:**

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

| Indicators  | Verifiers, Examples, and Notes  | Evaluation Team Notes | Conformance (C, NC or NA) |
|---|---|-----------------------|---------------------------|
| 7.1.1. Appropriate to the scale, intensity, and complexity of operations, there shall be a written management plan for the defined forest area that addresses the subjects and plan components enumerated in this criterion, above, as well as provisions for protection against forest fires, forest pests and diseases, illegal settlement and harvesting, hunting and fishing policies, safeguarding archaeological sites, and others. | <b>Note: Non-conformance to this Indicator constitutes a <i>Major Failure</i> and precludes award of certification until appropriately corrected.</b> |                       |                           |
| 7.1.2. The management plan contains both long term goals and objectives as well   |   |                       |                           |

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| as short and near term tactical direction.  |  |  |  |
| 7.1.3. There are sufficient resources invested in plan development so as to produce a functional and effective management plan.   |  |  |  |
| <i>For FMUs meeting SLIMF requirements, only the following indicator(s) of this criterion apply; the indicator(s) are not to be used for assessing non-SLIMF operations:</i>  |  |  |  |
| <p>7.1.4. A written management plan exists and is implemented. The management plan includes at least the following:</p> <ul style="list-style-type: none"> <li>a) the objectives of management;</li> <li>b) a description of the forest;</li> <li>c) how the objectives will be met, harvesting methods and silviculture (clear cuts, selective cuts, thinnings) to ensure sustainability;</li> <li>d) sustainable harvest limits (which must be consistent with FSC criteria 5.6)</li> <li>e) plans for monitoring forest growth;</li> <li>f) environmental/ social impacts of the plan;</li> <li>g) conservation of rare species and any high conservation values;</li> <li>h) maps of the forest, showing protected areas, planned management and land ownership;</li> </ul> |  |  |  |

| i) Pest and weed control planned;<br>Duration of the plan.  |                                |                       |                           |
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| <b>C7.2. The management plan shall be periodically revised to incorporate the results of monitoring or new scientific and technical information, as well as to respond to changing environmental, social and economic circumstances.</b>  |                                |                       |                           |
| Indicators  | Verifiers, Examples, and Notes | Evaluation Team Notes | Conformance (C, NC or NA) |
| 7.2.1. The management plan is revised and updated at regular intervals, the frequency of which is appropriate to the scale and intensity of operations.   |                                |                       |                           |
| 7.2.2. The FME shall incorporate the results of monitoring or new scientific or technical information (e.g., silvicultural, environmental, social, and economic conditions) in the revision or adjustment of the management plan, appropriate to the scale and intensity of operations. |                                |                       |                           |
| 7.2.3. Over time, the management plan is kept current and relevant; as such, the plan is able to provide ongoing guidance to the management of the defined forest area.   |                                |                       |                           |
| <i>For FMUs meeting SLIMF requirements, only the following indicator(s) of this criterion apply; the indicator(s) are not to be used for assessing non-SLIMF operations:</i>  |                                |                       |                           |
| 7.2.4 The management plan is revised and updated at regular intervals, the frequency of which is appropriate to the scale and intensity of operations.  |                                |                       |                           |
| <b>C7.3. Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plan.</b>   |                                |                       |                           |

| Indicators   | Verifiers, Examples, and Notes | Evaluation Team Notes | Conformance (C, NC or NA) |
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| 7.3.1. Appropriate to the scale and intensity of operations, there is a documented protocol by which forest workers (including subcontractors and rubber tappers) are duly trained as to their role in implementing the management plan. |                                |                       |                           |
| 7.3.2. Records are maintained as to when each forest worker received management plan training.   |                                |                       |                           |
| 7.3.4. There is a demonstrable track record of compliance with and implementation of the management plan.  |                                |                       |                           |
| <i>For FMUs meeting SLIMF requirements, only the following indicator(s) apply:</i>   |                                |                       |                           |
| 7.3.5. Appropriate to the scale and intensity of operations, forest workers (including subcontractors, rubber tappers, etc.) are duly trained, according to a documented protocol, as to their role in implementing the management plan. |                                |                       |                           |
| <b>C7.4. While respecting the confidentiality of information, forest managers shall make publicly available a summary of the primary elements of the management plan, including those listed in Criterion 7.1.</b>                       |                                |                       |                           |
| Indicators   | Verifiers, Examples, and Notes | Evaluation Team Notes | Conformance (C, NC or NA) |
| 7.4.1. Interested stakeholders are readily able to obtain a public summary of the management plan, which provides information  |                                |                       |                           |

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| on the elements enumerated in criterion 7.1.  |  |  |  |
| 7.4.2. The FME shall update the public summary of the FMP as necessary, or, at a minimum, during full revisions of the FMP. |  |  |  |

**PRINCIPLE #8: MONITORING AND ASSESSMENT**

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

**C8.1. The frequency and intensity of monitoring should be determined by the scale and intensity of forest management operations as well as the relative complexity and fragility of the affected environment. Monitoring procedures should be consistent and replicable over time to allow comparison of results and assessment of change.**

| Indicators  | Verifiers, Examples, and Notes | Evaluation Team Notes | Conformance (C, NC or NA) |
|---|--------------------------------|-----------------------|---------------------------|
| 8.1.1. Appropriate to the scale and intensity of operations, there are consistent and replicable procedures for the periodic monitoring of forest conditions, management activities, management plan compliance and chain-of-custody. |                                |                       |                           |
| 8.1.2. The frequency and intensity of monitoring shall be based on the scale and intensity of the operation, as well as the fragility of the resources to be managed.   |                                |                       |                           |
| 8.1.3 Forest managers have a demonstrated track record of implementing monitoring protocols which are consistent and replicable over time.  |                                |                       |                           |
| <i>For FMUs meeting SLIMF requirements, only the following indicator(s) apply:</i>  |                                |                       |                           |
| 8.1.4 Appropriate to the scale and intensity of operations, periodic  |                                |                       |                           |

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| <p>monitoring of forest conditions, management activities, management plan compliance and chain-of-custody is conducted, and done so according to written protocols.</p>   |  |                              |                                  |
| <p><b>C8.2. Forest management should include the research and data collection needed to monitor, at a minimum, the following indicators:</b></p> <ul style="list-style-type: none"> <li><b>a) Yield of all forest products harvested.</b></li> <li><b>b) Growth rates, regeneration and condition of the forest.</b></li> <li><b>c) Composition and observed changes in the flora and fauna.</b></li> <li><b>d) Environmental and social impacts of harvesting and other operations.</b></li> <li><b>e) Costs, productivity, and efficiency of forest management.</b></li> </ul> |  |                              |                                  |
| <p>Indicators</p>  | <p>Verifiers, Examples, and Notes</p>  | <p>Evaluation Team Notes</p> | <p>Conformance (C, NC or NA)</p> |
| <p>8.2.1. Appropriate to the scale and intensity of operations, the FME’s monitoring plan shall include protocols to periodically gather information on components a) – e) enumerated in this criterion, above.</p>  |  |                              |                                  |
| <p>8.2.2. Written records shall be kept of the annual or periodic harvest levels of each commercial forest product, at levels of specificity appropriate to the scale and intensity of operations</p>  | <p><i>Examples may include:</i><br/> <i>-Records of timber harvest volume by species;</i><br/> <i>-Records of rubber collection or latex production by volume.</i></p> |                              |                                  |
| <p>8.2.3. The FME shall demonstrate a commitment to acquiring and utilizing information on key indicators pertaining to the production, environmental and socio-economic profiles of its operation.</p>  |  |                              |                                  |
| <p><i>For FMUs meeting SLIMF requirements, only the following indicator(s) of this criterion apply; the indicator(s) are not to be</i></p>   |  |                              |                                  |

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| <i>used for assessing non-SLIMF operations:</i>  |   |                       |                           |
| 8.2.4. Appropriate to the scale and intensity of operations, forest managers periodically gather information on components a) – e) enumerated in this criterion, above.  |   |                       |                           |
| 8.2.5. Information necessary to judge progress towards management objectives is collected and recorded. In all cases this will include: <ul style="list-style-type: none"> <li>▪ Amount of all commercial forest products harvested, by species</li> <li>▪ Effects of operations as identified under Criteria 6.1</li> <li>▪ Changes in features identified under Criteria 6.2</li> <li>▪ Annual monitoring of high conservation values identified under Criteria 9.1</li> </ul> Invasive exotic species | <i>Examples may include:</i><br>-Records of timber harvest volume by species;<br>-Records of rubber collection or latex production by volume. |                       |                           |
| <b>C8.3. Documentation shall be provided by the forest manager to enable monitoring and certifying organizations to trace each forest product from its origin, a process known as the "chain of custody."</b>  |   |                       |                           |
| Indicators   | Verifiers, Examples, and Notes  | Evaluation Team Notes | Conformance (C, NC or NA) |
| 8.3.1. The FME shall have documented procedures for the tracking of certified products per SCS' COC indicators for FMEs.   |   |                       |                           |
| 8.3.2. The FME shall implement consistently the COC procedures defined in indicator 8.3.1.   |   |                       |                           |
| <b>C8.4. The results of monitoring shall be incorporated into the implementation and revision of the management plan.</b>  |   |                       |                           |
| Indicators   | Verifiers, Examples, and Notes  | Evaluation Team Notes | Conformance (C, NC or NA) |

|   |                                |                       |                           |
|---|--------------------------------|-----------------------|---------------------------|
| 8.4.1. The FME shall demonstrate a commitment to adaptive management where information gathered during systematic monitoring is incorporated into revisions to the management plan, as well as revisions to its annexes, standard operating procedures or other planning documents (see Criterion 7.2). |                                |                       |                           |
| 8.4.2. For non-SLIMF: The evolution of the management plan over successive revisions demonstrates that the results of monitoring are being appropriately incorporated and used to implement new or modified procedures in the field.  |                                |                       |                           |
| <b>C8.5. While respecting the confidentiality of information, forest managers shall make publicly available a summary of the results of monitoring indicators, including those listed in Criterion 8.2.</b>   |                                |                       |                           |
| Indicators  | Verifiers, Examples, and Notes | Evaluation Team Notes | Conformance (C, NC or NA) |
| 8.5.1. The FME shall make available a public summary of the results of periodic monitoring that addresses the indicators listed in C8.2.  |                                |                       |                           |
| 8.5.2. The FME shall propose and respect an adequate and economically realistic time period for the periodic update of the public summary of monitoring, appropriate to the scale and intensity of operations.  |                                |                       |                           |

**PRINCIPLE #9: MAINTENANCE OF HIGH CONSERVATION VALUE FORESTS**

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

| <b>C9.1. Assessment to determine the presence of the attributes consistent with High Conservation Value Forests will be completed, appropriate to scale and intensity of forest management.</b>   |                                |                       |                           |
|---|--------------------------------|-----------------------|---------------------------|
| Indicators  | Verifiers, Examples, and Notes | Evaluation Team Notes | Conformance (C, NC or NA) |
| <p>9.1.1. The FME shall conduct an evaluation to identify High Conservation Values (HCV) attributes present in the FMU. This evaluation, at a minimum, shall include:</p> <ul style="list-style-type: none"> <li>• Consultation of regional or national conservation databases and maps;</li> <li>• Consultation of the national HCVF toolkit, if it exists, or the first and third parts of the international toolkit for HCV presence (see <i>HCVF Toolkit</i> by WWF)<sup>1</sup>;</li> <li>• Consideration of forest inventory data and observations from field workers, contractors or consultants of the FME;</li> <li>• Interviews with biologist and scientific experts, local communities, and other stakeholders;</li> <li>• Identification and documentation of possible threats to HCVs.</li> </ul> |                                |                       |                           |
| <p>9.1.2. For non-SLIMF operations, the FME shall:</p> <ul style="list-style-type: none"> <li>• Provide a written evaluation for HCVs that includes the elements of 9.1.1 and proposals to protect these HCVs;</li> <li>• Provide a technical explanation for the HCVs identified and the recommendations</li> </ul>  |                                |                       |                           |

<sup>1</sup> *HCVF Toolkit: Guidance for High Conservation Value Forests assessment*  
[\(http://www.panda.org/what\\_we\\_do/how\\_we\\_work/conservation/forests/tools/hcvf\\_toolkit/\)](http://www.panda.org/what_we_do/how_we_work/conservation/forests/tools/hcvf_toolkit/)

|  |                                       |                              |                                  |
|--|---------------------------------------|------------------------------|----------------------------------|
| <p>presented for the protection of these attributes; and</p> <ul style="list-style-type: none"> <li>• Demonstrate that actions are being taken to protect and/or reduce threats to HCVs that stem from the FME’s management activities.</li> </ul>   |                                       |                              |                                  |
| <p><i>For FMU’s meeting SLIMF requirements, only the following indicator(s) of this criterion apply; the indicator(s) are not to be used for assessing non-SLIMF operations:</i></p>   |                                       |                              |                                  |
| <p>9.1.3. The FME shall consult environmental stakeholders, government officials or researchers to identify HCVs. If there are HVCs present, the FME shall take all reasonable action to protect these values and/or reduce threats to them.</p>   |                                       |                              |                                  |
| <p>9.1.4. The FME shall consult the national HCVF toolkit, if it exists, or other relevant regional information to identify potential HCVs. In the absence of sufficient national or regional guidance, the first and third parts of the international toolkit for HCV presence should be consulted.</p> |                                       |                              |                                  |
| <p><b>C9.2. The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.</b></p>  |                                       |                              |                                  |
| <p>Indicators</p>  | <p>Verifiers, Examples, and Notes</p> | <p>Evaluation Team Notes</p> | <p>Conformance (C, NC or NA)</p> |
| <p>9.2.1. The results of stakeholder consultation related to HCVs shall specify clearly the conservation</p>   |                                       |                              |                                  |

|  |                                |                       |                           |
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| values that were identified, as well as the proposed strategies for their maintenance, enhancement or reduction of threats. Large FMEs shall document this consultation.   |                                |                       |                           |
| 9.2.2. The FME shall maintain a list of all of pertinent stakeholders that the certifier can interview related to HCVFs.   |                                |                       |                           |
| 9.2.3. The results of stakeholder consultation shall indicate that the FME consistently considers and protects areas of HCV.   |                                |                       |                           |
| <b>C9.3. The management plan shall include and implement specific measures that ensure the maintenance and/or enhancement of the applicable conservation attributes consistent with the precautionary approach. These measures shall be specifically included in the publicly available management plan summary.</b> |                                |                       |                           |
| Indicators   | Verifiers, Examples, and Notes | Evaluation Team Notes | Conformance (C, NC or NA) |
| 9.3.1. The FME, in the management plan and its public summary, shall describe the conservation values of each area of HCV identified in the FMU, as well as the actions taken to maintain and/or enhance these values.   |                                |                       |                           |
| 9.3.2. The FME shall propose and respect an adequate and economically realistic time period for the periodic update of the public summary of areas of HCV, appropriate to the scale and intensity of operations.   |                                |                       |                           |
| 9.3.3. The FME shall provide evidence in the field that it implements measures to maintain and/or enhance HCVs, consistent with a precautionary approach.  |                                |                       |                           |

| <b>C9.4. Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.</b>  |                                |                       |                           |
|--|--------------------------------|-----------------------|---------------------------|
| Indicators   | Verifiers, Examples, and Notes | Evaluation Team Notes | Conformance (C, NC or NA) |
| 9.4.1. Measurable effectiveness indicators are developed and presented in the HCVF section of the management plan.   |                                |                       |                           |
| 9.4.2. Appropriate to the scale of and intensity of operations, annual monitoring is conducted that focuses on the effectiveness by which HCVF management and protection measures are maintaining and/or enhancing the pertinent conservation attributes according to the indicators developed in 9.4.1. |                                |                       |                           |
| 9.4.3. The results of HCVF monitoring are used adaptively in modifying HCVF management and protection policies, as well in revising the management plan.   |                                |                       |                           |

**PRINCIPLE # 10: PLANTATIONS**

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

**C10.1. The management objectives of the plantation, including natural forest conservation and restoration objectives, shall be explicitly stated in the management plan, and clearly demonstrated in the implementation of the plan.**

| Indicators  | Verifiers, Examples, and Notes | Evaluation Team Notes | Conformance (C, NC or NA) |
|---|--------------------------------|-----------------------|---------------------------|
| 10.1.1. The management plan for plantations shall include silvicultural and socioeconomic objectives, as well as for conservation |                                |                       |                           |

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| and restoration of natural forests.  |  |                       |                           |
| 10.1.2. The FME shall demonstrate evidence of implementation of the objectives identified in 10.1.1 and their associated policies in forest management activities and/or administrative actions.   |  |                       |                           |
| <b>C10.2. The design and layout of plantations should promote the protection, restoration and conservation of natural forests, and not increase pressures on natural forests. Wildlife corridors, streamside zones and a mosaic of stands of different ages and rotation periods shall be used in the layout of the plantation, consistent with the scale of the operation. The scale and layout of plantation blocks shall be consistent with the patterns of forest stands found within the natural landscape.</b> |  |                       |                           |
| Indicators   | Verifiers, Examples, and Notes   | Evaluation Team Notes | Conformance (C, NC or NA) |
| 10.2.1. For non-SLIMF and 'low intensity' SLIMF: The scale and layout of existing and new plantation blocks are consistent with the patterns of natural forest stands within the landscape.  | <i>Examples of patterns may include contours, soil types, water courses, slope, etc.</i> |                       |                           |
| 10.2.2. The FME shall design plantations to include stands with a diversity of age classes and rotation periods.   |  |                       |                           |
| 10.2.3. The FME identifies and conserves all areas of natural vegetation within the FMU.   |  |                       |                           |
| 10.2.4. The FME protects, maintains, and enhances natural vegetation and wildlife corridors in accordance to Criterion 6.3.  |  |                       |                           |
| 10.2.5. Buffer zones of natural vegetation are maintained or established   |  |                       |                           |

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| along watercourses in accordance to C6.5.  |                                |                       |                           |
| <b>C10.3. Diversity in the composition of plantations is preferred, so as to enhance economic, ecological and social stability. Such diversity may include the size and spatial distribution of management units within the landscape, number and genetic composition of species, age classes and structures.</b>  |                                |                       |                           |
| Indicators   | Verifiers, Examples, and Notes | Evaluation Team Notes | Conformance (C, NC or NA) |
| 10.3.1. The FME shall employ a variety of species, provenances, and/or clones to achieve optimal economic, ecological and social stability.  |                                |                       |                           |
| 10.3.2. The FME shall introduce diversity to established and new plantations in accordance to indicators 10.2.2 and 10.3.1, and through practices such as: cut blocks of different size and shape, and maintenance of volunteer (naturally established) seedlings and other structural components within plantation stands.  |                                |                       |                           |
| <b>C10.4. The selection of species for planting shall be based on their overall suitability for the site and their appropriateness to the management objectives. In order to enhance the conservation of biological diversity, native species are preferred over exotic species in the establishment of plantations and the restoration of degraded ecosystems. Exotic species, which shall be used only when their performance is greater than that of native species, shall be carefully monitored to detect unusual mortality, disease, or insect outbreaks and adverse ecological impacts.</b> |                                |                       |                           |
| Indicators   | Verifiers, Examples, and Notes | Evaluation Team Notes | Conformance (C, NC or NA) |
| 10.4.1. Exotic tree species are planted only after an assessment of native species is conducted, in which it is demonstrated that native species cannot achieve comparable performance levels.   |                                |                       |                           |
| 10.4.2. Periodic monitoring is conducted of  |                                |                       |                           |

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| the adaptability of exotic stands, as indicated by measured levels of mortality, disease and insect outbreaks.   |                                |                       |                           |
| 10.4.3 Selection of plantation species and provenances is based on documented trials that demonstrate their suitability to the plantation sites and management objectives.   |                                |                       |                           |
| 10.4.4. Information about the source of seed or planting stock is presented in the management plan or another suitable document.   |                                |                       |                           |
| <b>C10.5. A proportion of the overall forest management area, appropriate to the scale of the plantation, shall be managed so as to restore the site to a natural forest cover.</b>  |                                |                       |                           |
| Indicators   | Verifiers, Examples, and Notes | Evaluation Team Notes | Conformance (C, NC or NA) |
| 10.5.1. Representative samples of existing natural ecosystems are being protected or restored in their natural state, per the requirements of C6.4.  |                                |                       |                           |
| <b>C10.6. Measures shall be taken to maintain or improve soil structure, fertility, and biological activity. The techniques and rate of harvesting, road and trail construction and maintenance, and the choice of species shall not result in long term soil degradation or adverse impacts on water quality, quantity or substantial deviation from stream course drainage patterns.</b> |                                |                       |                           |
| Indicators   | Verifiers, Examples, and Notes | Evaluation Team Notes | Conformance (C, NC or NA) |
| 10.6.1. Explicit measures shall be taken to maintain or enhance the soil in terms of structure, fertility and biological activity.   |                                |                       |                           |
| 10.6.2. The FME shall implement BMPs established in C6.5 to minimize impacts to soil and water resources.  |                                |                       |                           |

| <p>10.6.3. Where degradation and/or other negative impacts to soil and water resources have occurred on the FMU, the FME shall implement measures to mitigate such impacts.</p>   |                                |                       |                           |
|---|--------------------------------|-----------------------|---------------------------|
| <p><b>C10.7. Measures shall be taken to prevent and minimize outbreaks of pests, diseases, fire and invasive plant introductions. Integrated pest management shall form an essential part of the management plan, with primary reliance on prevention and biological control methods rather than chemical pesticides and fertilizers. Plantation management should make every effort to move away from chemical pesticides and fertilizers, including their use in nurseries. The use of chemicals is also covered in Criteria 6.6 and 6.7.</b></p> |                                |                       |                           |
| Indicators  | Verifiers, Examples, and Notes | Evaluation Team Notes | Conformance (C, NC or NA) |
| <p>10.7.1. Plantation forest standard operating procedures include regular monitoring for pest and pathogen activity, inordinate levels of mortality, and the spread of invasive exotic plants.</p>   |                                |                       |                           |
| <p>10.7.2. If chemical pesticides and fertilizers are used or included as a management option in the management plan, the FME shall have policies and guidelines for integrated pest management that are demonstrably followed in the field.</p>  |                                |                       |                           |
| <p>10.7.3. The FME, through its policies and actions, demonstrates a commitment to progressively lessen the use of chemical pesticides and fertilizers.</p>   |                                |                       |                           |
| <p>10.7.4. Appropriate to the scale and intensity of operations, is the FME has a written fire prevention and suppression plan.</p>   |                                |                       |                           |

**C10.8 Appropriate to the scale and diversity of the operation, monitoring of plantations shall include regular assessment of potential on-site and off-site ecological and social impacts, (e.g. natural regeneration, effects on water resources and soil fertility, and impacts on local welfare and social well-being), in addition to those elements addressed in Principles 8, 6 and 4. No species should be planted on a large scale until local trials and/or experience have shown that they are ecologically well-adapted to the site, are not invasive, and do not have significant negative ecological impacts on other ecosystems. Special attention will be paid to social issues of land acquisition for plantations, especially the protection of local rights of ownership, use or access.**

| Indicators   | Verifiers, Examples, and Notes | Evaluation Team Notes | Conformance (C, NC or NA) |
|--|--------------------------------|-----------------------|---------------------------|
| 10.8.1. Monitoring of the impacts of plantations, both on and off-site, shall be conducted in the same manner as the monitoring of natural forests, in accordance with Principles 4, 6, and 8. |                                |                       |                           |
| 10.8.2 Acquisition of land for establishment of plantation forests does not adversely impact, without due compensation, local ownership rights or access/use patterns.                         |                                |                       |                           |

**C10.9 Plantations established in areas converted from natural forests after November 1994 normally shall not qualify for certification. Certification may be allowed in circumstances where sufficient evidence is submitted to the certification body that the manager/owner is not responsible directly or indirectly of such conversion.**

| Indicators   | Verifiers, Examples, and Notes | Evaluation Team Notes | Conformance (C, NC or NA) |
|--|--------------------------------|-----------------------|---------------------------|
| 10.9.1. Records are of sufficient detail to enable the SCS auditor(s) to determine if conversion of natural forests to plantations has occurred since November, 1994.                    |                                |                       |                           |
| 10.9.2. Areas converted from natural forest to plantation since November 1994 are not certified, except where the FME provides clear and sufficient evidence that it was not directly or |                                |                       |                           |

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| indirectly responsible for the conversion. |  |  |  |
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## ANNEX 1 - Pertinent Laws and Regulations to Plantation Forest Management in India

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India's Ministry of Environment & Forests provides a comprehensive list related to the management and protection of the environment, forests, and wildlife at: <http://envfor.nic.in/legis/legis.html>.

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

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

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

| <b>Laws related to Industrial Relations</b>                                 |   |
|---|---|
| 1   | <a href="#">The Trade Unions Act, 1926</a><br><a href="#">The Trade Unions (Amendments) Act, 2001</a>   |
| 2   | <a href="#">The Industrial Employment (Standing Orders) Act, 1946</a><br><a href="#">The Industrial Employment (Standing Orders) Rules, 1946</a>  |
| 3   | <a href="#">The Industrial Disputes Act, 1947</a>   |
| <b>Laws related to Wages</b>  |   |
| 1   | <a href="#">The Payment of Wages Act, 1936</a><br><a href="#">The Payment of Wages Rules, 1937</a><br><a href="#">The Payment of Wages (AMENDMENT) Act, 2005</a>  |
| 2   | <a href="#">The Minimum Wages Act, 1948</a><br><a href="#">The Minimum Wages (Central) Rules, 1950</a>  |
| 3   | <a href="#">The Working Journalist (Fixation of Rates of Wages) Act, 1958</a><br><a href="#">Working Journalist (Conditions of service) and Miscellaneous Provisions Rules, 1957</a>  |
| 4   | <a href="#">The Payment of Bonus Act, 1965</a><br><a href="#">The Payment of Bonus Rules, 1975</a>  |
| <b>Laws related to Working Hours, Conditions of Services and Employment</b> |   |
| 1   | <a href="#">The Factories Act, 1948</a>   |
| 2   | <a href="#">The Dock Workers (Regulation of Employment) Act, 1948</a>   |
| 3   | <a href="#">The Plantation Labour Act, 1951</a>   |
| 4   | <a href="#">The Mines Act, 1952</a>   |
| 5   | <a href="#">The Working Journalists and other Newspaper Employees' (Conditions of Service and Misc. Provisions) Act, 1955</a><br><a href="#">The Working Journalists and other Newspaper Employees' (Conditions of Service and Misc. Provisions) Rules, 1957</a>        |
| 6   | <a href="#">The Merchant Shipping Act, 1958</a>   |
| 7   | <a href="#">The Motor Transport Workers Act, 1961</a>   |
| 8   | <a href="#">The Beedi &amp; Cigar Workers (Conditions of Employment) Act, 1966</a>  |
| 9   | <a href="#">The Contract Labour (Regulation &amp; Abolition) Act, 1970</a><br><a href="#">The Contract Labour Regulation Rules</a>  |
| 10  | <a href="#">The Sales Promotion Employees (Conditions of Service) Act, 1976</a><br><a href="#">The Sales Promotion Employees (Conditions of Service) Rules, 1976</a>  |
| 11  | <a href="#">The Inter-State Migrant Workmen (Regulation of Employment and Conditions of Service) Act, 1979</a>  |
| 12  | <a href="#">The Shops and Establishments Act</a>  |
| 13  | <a href="#">The Cinema Workers and Cinema Theatre Workers (Regulation of Employment) Act, 1981</a><br><a href="#">The Cinema Workers and Cinema Theatre Workers (Regulation of Employment) Rules, 1984</a><br><a href="#">The Cine Workers' Welfare Fund Act, 1981.</a> |
| 14  | <a href="#">The Dock Workers (Safety, Health &amp; Welfare) Act, 1986</a>   |
| 15  | <a href="#">The Building &amp; Other Construction Workers (Regulation of Employment &amp; Conditions of Service) Act, 1996</a>  |
| 16  | <a href="#">The Dock Workers (Regulation of Employment) (inapplicability to Major Ports) Act, 1997</a>  |
| <b>Laws related to Equality and Empowerment of Women</b>                    |   |
| 1   | <a href="#">The Maternity Benefit Act, 1961</a>   |
| 2   | <a href="#">The Equal Remuneration Act, 1976</a>  |
| <b>Laws related to Deprived and Disadvantaged Sections of the Society</b>   |   |
| 1   | <a href="#">The Bonded Labour System (Abolition) Act, 1976</a>  |
| 2   | <a href="#">The Child Labour (Prohibition &amp; Regulation) Act, 1986</a>   |
| 3   | <a href="#">The Children (Pledging of Labour) Act, 1933</a>   |
| <b>Laws related to Social Security</b>                                      |   |
| 1   | <a href="#">The Workmen's Compensation Act, 1923</a><br><a href="#">The Workmen's Compensation (Amendments) Act, 2000</a>   |
| 2   | <a href="#">The Employees' State Insurance Act, 1948</a>  |

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| 3  | <a href="#">The Employees' Provident Fund &amp; Miscellaneous Provisions Act, 1952</a><br><a href="#">The Employees' Provident Fund &amp; Miscellaneous Provisions (Amendment) Act, 1996</a> |
| 4  | <a href="#">The Payment of Gratuity Act, 1972</a><br><a href="#">The Payment of Gratuity Rules</a>   |
| 5  | <a href="#">The Unorganised Workers' Social Security Act 2008</a> <b>NEW</b><br><a href="#">The Unorganised Workers' Social Security Rules 2008</a> <b>NEW</b>                               |
| <b>Laws related to Labour Welfare</b>            |  |
| 1  | <a href="#">The Mica Mines Labour Welfare Fund Act, 1946</a>   |
| 2  | <a href="#">The Limestone &amp; Dolomite Mines Labour Welfare Fund Act, 1972</a>   |
| 3  | <a href="#">The Beedi Workers Welfare Fund Act, 1976</a>   |
| 4  | <a href="#">The Beedi Workers Welfare Cess Act, 1976</a><br><a href="#">The Beedi Worker's Welfare Cess Act Rules, 1977</a>  |
| 5  | <a href="#">The Iron Ore Mines, Manganese Ore Mines &amp; Chrome Ore Mines Labour Welfare Fund Act, 1976</a>   |
| 6  | <a href="#">The Iron Ore Mines, Manganese Ore Mines &amp; Chrome Ore Mines Labour Welfare Cess Act, 1976</a>   |
| 7  | <a href="#">The Cine Workers Welfare Fund Act, 1981</a>  |
| 8  | <a href="#">The Cine Workers Welfare Cess Act, 1981</a>  |
| 9  | <a href="#">The Employment of Manual Scavengers and Construction of Dry latrines Prohibition Act, 1993</a>   |
| <b>Laws related to Employment &amp; Training</b> |  |
| 1  | <a href="#">The Employment Exchanges (Compulsory Notification of Vacancies) Act, 1959</a><br><a href="#">The Employment Exchanges (Compulsory Notification of Vacancies) Rules, 1959</a>     |
| 2  | <a href="#">The Apprentices Act, 1961</a>  |
| <b>Others</b>                                    |  |
| 1  | <a href="#">The Fatal Accidents Act, 1855</a>  |
| 2  | <a href="#">The War Injuries Ordinance Act, 1943</a>   |
| 3  | <a href="#">The Weekly Holiday Act, 1942</a>   |
| 4  | <a href="#">The National and Festival Holidays Act</a>   |
| 5  | <a href="#">The War Injuries (Compensation Insurance) Act, 1943</a>  |
| 6  | <a href="#">The Personal Injuries (Emergency) Provisions Act, 1962</a>   |
| 7  | <a href="#">The Personal Injuries (Compensation Insurance) Act, 1963</a>   |
| 8  | <a href="#">The Coal Mines (Conservation and Development) Act, 1974</a>  |
| 9  | <a href="#">The Emigration Act, 1983</a><br>— <a href="#">The Emigration Rules, 1983</a>   |
| 10   | <a href="#">The Labour Laws (Exemption from Furnishing Returns and Maintaining Register by Certain Establishments) Act, 1988</a>   |
| 11   | <a href="#">The Public Liability Insurance Act, 1991</a>   |

Last updated on 08/07/09

## ANNEX 2 - List of Multilateral Environmental Agreements and ILO Conventions

### Multilateral Environmental Agreements:

- Convention on International Trade of Endangered Species of Wild Fauna and Flora (CITES) – ratification and entry into force 1982;
- Convention on Biological Diversity – ratified 1994; Cartagena Protocol on Biosafety – ratified 2003;
- Convention on Migratory Species – entry into force 1983;
- International Tropical Timber Agreement – signed 1994;
- International Tropical Timber Organization – ratified 2008;

- United Nations Framework Convention on Climate Change – ratified 1993; Kyoto Protocol – ascension 2002, entry into force 2005 (has not signed);
- RAMSAR – entry into force 1982;
- Stockholm Convention on Persistent Organic Pollutants – ratified 2006.

### **International Labour Organisation Information:**

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

Core Conventions of the ILO:

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

- Forced Labour Convention (No. 29)
  - Abolition of Forced Labour Convention (No.105)
  - Equal Remuneration Convention (No.100)
  - Discrimination (Employment Occupation) Convention (No.111)
- (The above four have been ratified by India).
- Freedom of Association and Protection of Right to Organised Convention (No.87)
  - Right to Organise and Collective Bargaining Convention (No.98)
  - Minimum Age Convention (No.138)
  - Worst forms of Child Labour Convention (No.182)
- (These four are yet to be ratified by India)

**REASONS FOR NON-RATIFICATION: CONVENTIONS NO.87 AND 98:** Convention No.87 provides for the right of workers and employers, without any distinction to establish and join organizations of their own choosing without previous authorisation. Their organizations have the right to form or join federations and confederations, including on the international level. These organizations or federations may not be liable to arbitrary dissolution or suspension by an administrative authority. The only exception provided for in the Convention to the right to organise “without distinction whatsoever” is the armed forces and the police, to whom special rules and regulations may apply. Convention No.98 aims to protect the exercise of the right to organise and to promote voluntary collective bargaining. The guarantees provided for under these two Conventions are by and large available to workers in India by means of constitutional provisions, laws and regulations and practices. The main reason for our not ratifying these two Conventions is the inability of the Government to promote unionisation of the Government servants in a highly politicised trade union system of the country. Freedom of expression, freedom of association and functional democracy are guaranteed by our Constitution. The Government has promoted and implemented the principles and rights envisaged under these two Conventions in India and the workers are exercising these rights in a free and fare democratic society. Our Constitution guarantees job security, social security and fair working conditions and fair wages to the Government

servants. They have also been provided with alternative grievance redressal mechanisms like Joint Consultative Machinery, Central Administrative Tribunal etc. Hence, our stand has been that this section of the workforce cannot be said to have been deprived of the right of association.

### Other ILO information

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

## ANNEX 3 - List of Endangered Species

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

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

## ANNEX 4 - Glossary

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

**Biological diversity:** The variability among living organisms from all sources including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are a part; this includes diversity within species, between species and of ecosystems.

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

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

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

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

**Customary rights:** Rights which result from a long series of habitual or customary actions, constantly repeated, which have, by such repetition and by uninterrupted acquiescence, acquired the force of a law within a geographical or sociological unit.

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

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

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

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

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

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

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

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

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

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

a) forest areas containing globally, regionally or nationally significant : concentrations of biodiversity values (e.g. endemism, endangered species, refugia); and/or large landscape level forests, contained

within, or containing the management unit, where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance

- b) forest areas that are in or contain rare, threatened or endangered ecosystems
- c) forest areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control)
- d) forest areas fundamental to meeting basic needs of local communities (e.g. subsistence, health) and/or critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).

**Landscape:** A geographical mosaic composed of interacting ecosystems resulting from the influence of geological, topographical, soil, climatic, biotic and human interactions in a given area.

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

**Long term:** The time-scale of the forest owner or manager as manifested by the objectives of the management plan, the rate of harvesting, and the commitment to maintain permanent forest cover. The length of time involved will vary according to the context and ecological conditions, and will be a function of how long it takes a given ecosystem to recover its natural structure and composition following harvesting or disturbance, or to produce mature or primary conditions.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**Use rights:** Rights for the use of forest resources that can be defined by local custom, mutual agreements, or prescribed by other entities holding access rights. These rights may restrict the use of particular resources to specific levels of consumption or particular harvesting techniques.