



Forest Stewardship Council®



HCV Manager's Guide


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HCV Manager's Guide

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

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

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A Objective

Principle 9 requires extra safeguards and extra levels of protection, additional to those already provided under other Principles. This enhanced security is provided by requiring:

- Greater efforts to identify and assess High Conservation Values;
- More extensive engagement with Indigenous Peoples and stakeholders;
- More restrictive management strategies including at times full protection; and
- More rigorous monitoring to ensure the effectiveness of the management strategies and the maintenance, enhancement and / or restoration of HCVs.

This guide is written for forest managers and aims to clarify the specific requirements for the identification, management planning, operations, monitoring and restoration of High Conservation Values (HC) in FSC certified forests. In addition, this guide sets out to clarify how HCVs can best be maintained consistent to a number of recent changes in the FSC system, specifically:

- Free Prior and Informed Consent with Indigenous Peoples and local communities with legal rights and as described in FSC guidelines for the implementation of the right to free, prior and informed consent (FPIC) (2013)
- Intact Forest Landscapes, as defined in Policy Motion 65 (2014);
- Scale Intensity and Risk, as described in the FSC-GUI-60-002 Scale, Intensity and Risk Guideline for Standards Developers (2016);
- Payments for Ecosystem Services, as defined by FSC Ecosystem Services unit and as described in FSC-PRO-XX-XXX Procedure for Ecosystem Services; and
- Controlled Wood Category 3 requirements, as described in FSC-STD-40-005 V3-0 Requirements for Sourcing FSC Controlled Wood

B Scope

This guide describes how forest managers of FSC certified Organizations should:

- Assess the presence of each High Conservation Value (HCV);
- Engage with Indigenous Peoples, local communities and other stakeholders;
- Develop and implement strategies and action plans for maintaining, enhancing and restoring HCVs;
- Ensure consistency with the requirements of Motion 65 (2014) to identify Intact Forest Landscapes and protect core areas;
- Monitor the impacts of forest operations to HCV;
- Ensure these strategies and monitoring are consistent with a risk-based approach; and
- Consider how payment for *ecosystem services** aligns with the protection of HCVs.

In addition, this guide describes how forest managers and manufacturers down the supply chain should ensure consistency with Controlled Wood requirements.

C Effective Date and validity dates

Approval date	DRAFT
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Revision Date	DRAFT
Period of validity	DRAFT (or until replaced or withdrawn)

D References

The following referenced documents are essential for the application of this document. For undated references, the latest edition of the referenced document (including any amendments) applies.

- FSC-STD-01-001 FSC Principles and Criteria for Forest Stewardship
- FSC-STD-01-002 FSC Glossary of Terms
- FSC-STD-60-004 V1-1 International Generic Indicators
- FSC-STD-01-003 SLIMF eligibility criteria
- FSC-GUI-60-001 Guidance on the Interpretation of FSC Principles and Criteria to Take Account of Small Scale and Low Intensity
- FSC Step-by-step guide. Good practice guide to meeting FSC certification requirements for biodiversity and High Conservation Value Forests in Small and Low Intensity Managed Forests (SLIMFs)
- FSC-STD-20-007 Forest Management Evaluations;
- FSC-STD-20-006 Stakeholder consultation for forest evaluations;
- FSC-STD-30-005 FSC Standard for Group Entities in Forest Management Groups;
- FSC guidelines for the implementation of the right to free, prior and informed consent (FPIC) (2013);
- HCV Network: Common Guidance for the Identification of High Conservation Values (2013);
- Policy Motion 65 (2014)
- FSC-GUI-60-002 Scale, Intensity and Risk Guideline for Standards Developers (2016);
- FSC-PRO-XX-XXX Procedure for Ecosystem Services
- FSC-STD-40-005V3-0 Requirements for Sourcing FSC Controlled Wood

1. Maintaining High Conservation Values: New Considerations

The FSC system continues to evolve. With the approval of FSC-STD-01-001 FSC Principles and Criteria for Forest Stewardship in 2011 and of the approval of the FSC-STD-60-004 V1-1 International Generic Indicators in 2015 came a number of significant advancements. Not all of these relate directly to the identification and maintenance of *High Conservation Values**. However, several significant elements have been added to or improved within across the FSC network. The most important of these are the need to:

- Ensure Free Prior and Informed Consent* with Indigenous Peoples* and local communities* with legal* rights;
- Identify and maintain *Intact Forest Landscapes**;
- Be consistent with a risk-based approach to forest management;
- Consider payments for *ecosystem services**; and
- Be consistent with Controlled Wood Category 3 requirements for maintenance of HCVs.

How these new elements apply to the maintenance of HCVs is described below.

1.1 Free Prior and Informed Consent

The right to *free, prior and informed consent** (FPIC) is seen as one of the key principles of international human rights law to protect *Indigenous Peoples** from destruction of their lives, cultures and livelihoods.

Increasingly it is also seen as a right for *local communities** to protect themselves from *significant** impact on the resources and territories for which they can make a justified claim of long and established use. Obtaining the *free, prior and informed consent** of *Indigenous Peoples** and *local communities**, before undertaking forestry operations on lands they legally or customarily own and/or use, is therefore an important requirement in the new FSC Principles and Criteria for Forest Management.

Free Prior and Informed Consent

The right to participate in decision-making and to give, modify, withhold or withdraw consent to an activity affecting the holder of this right. Consent must be freely given, obtained prior to implementation of such activities and be founded upon an understanding of the full range of issues implicated by the activity or decision in question; hence the formulation: free, prior and informed consent.

Although the right to give or withhold consent has been recognized in the FSC system since its original Principles and Criteria (P&C) were published in 1994, there are not many documented examples of good practices of implementing this right. Moreover, several conflicts arising from disregarding this right have been reported. In other words, there is room and need for improving the way in which the right to FPIC is currently implemented in FSC certified *forests** and *plantations**. This Guidance is meant to facilitate that improved implementation.

The FSC Permanent Indigenous Peoples Committee is currently developing revised Guidance for FPIC. For more information please see the FSC Guidelines for the Implementation of the Right to Free, Prior and Informed Consent (2012).

1.2 Intact Forest Landscapes

*Intact Forest Landscapes** (IFLs) are the remaining large unfragmented areas of *forest**, undisturbed by roads or other *significant** human *infrastructure**. IFL patches are defined as unbroken expanses of natural forest ecosystems that may contain non-forested areas greater than 500 km². Ninety percent of the world's remaining IFLs are concentrated in only 11 countries. Just three of these - Canada, Russia and Brazil - contain approximately 65% of the world's entire IFL area. In response to the declining abundance of IFLs, the FSC membership widely supported Policy Motion 65 at the 2014 General Assembly.

This Guidance provides direction to forest managers for the identification, assessment and maintenance of IFL cores areas to ensure consistency with Policy Motion 65 (2014) and Motion 65 expectations for Standards. Recognizing that many of the remaining IFLs occur within forests of tremendous interest to or occupied by Indigenous Peoples', this guidance also defines Indigenous Cultural Landscapes.

IFL Core Areas

The portion of an *Intact Forest Landscape** that contains the most important ecological and cultural values and where harvesting and road building are generally not permitted.

1.3 Scale, Intensity and Risk

While the application of *Scale Intensity and Risk** (SIR) is new with the P&C, FSC manages risk throughout the global system. For example, the P&C are based on the *precautionary approach**, three chambers govern the FSC, National standards are developed by chamber balanced working groups, Controlled Wood includes a risk assessment and ASI ensures global consistency. While Forest Managers routinely manage for *risk**, the threshold for the management of *risk** is set by Standards Developers. As a result, it is important to understand how *risk** is addressed across the normative framework.

'Risk is built into the existing Principles and Criteria, particularly in how assessments of ecological values in *Principle** 6 support the identification and *protection** of HCV 1 (Species Diversity), HCV 2 (Landscape level ecosystems and mosaics), HCV 3 (Ecosystems and habitats), and HCV 4 (Critical ecosystem services) in *Principle** 9. Engagement requirements in Principles 3 and 4 support the identification and *protection** of HCV 5 (Community needs and HCV 6 (Cultural Values) in *Principle** 9.

*Criteria** 6.1 to 6.8 require ecological values to be assessed, threats identified, and management strategies developed and implemented to prevent unacceptable negative impacts from management activities. Likewise, *Criteria** 3.1 to 3.6 require engagement with Indigenous Peoples to identify *legal** and *customary rights**, establish FPIC agreements and identify and protect special cultural sites. Similar requirements exist for *Principle 4* related to *local communities**. Conformance with the requirements of these Principles provides the forest manager with the basis for meeting the requirements of *Principle** 9.

Central to this approach is the notion that as conservation values become more concentrated, threatened or rare, the strength of HCV management strategies must also increase. As the concentration of, threat to, or rarity of, conservation values increase further these HCV strategies may become protective reserves under *Principle** 9. *Intact Forest Landscape core areas** are an example of this.

Risk

The probability of an unacceptable negative impact arising from any activity in the *Management Unit** combined with its seriousness in terms

Figure 1 provides a conceptual diagram to illustrate this continuum for conservation values.

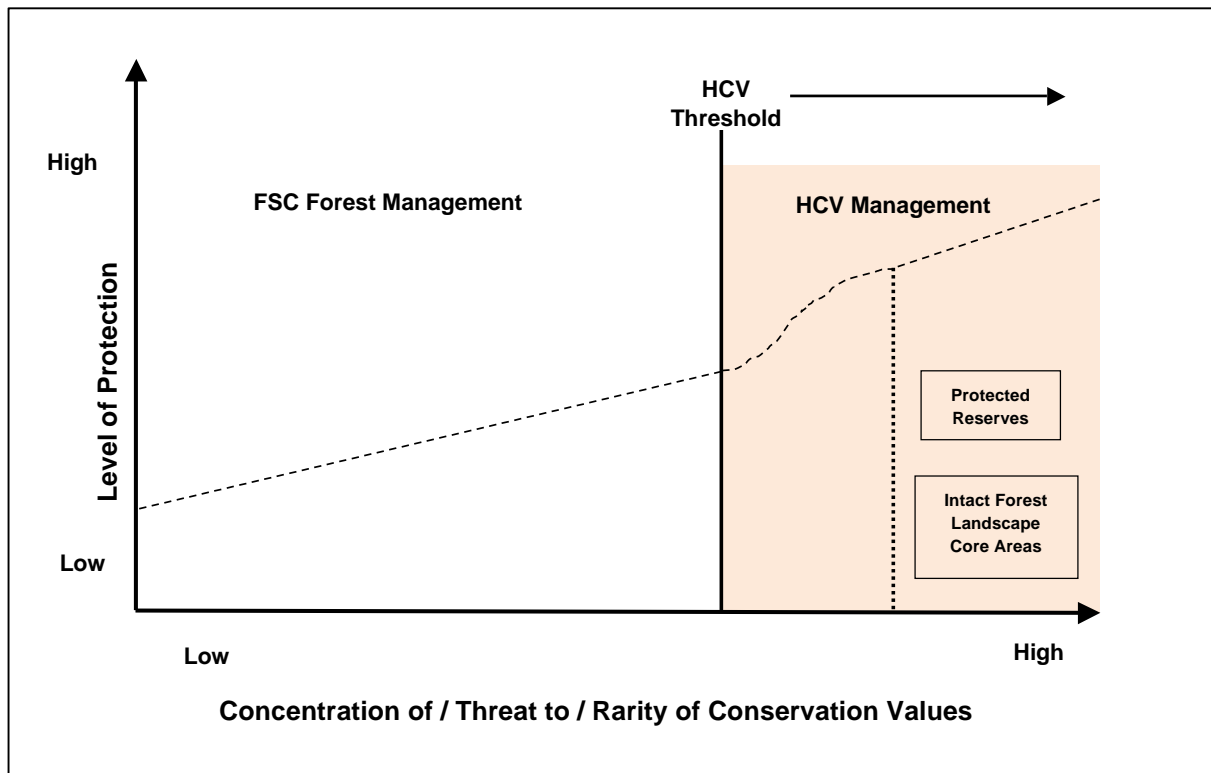


Figure 1. This conceptual diagram shows the relationship between the intensity of management required to protect or maintain conservation values. The P&C require all HCVs to be maintained, enhanced and/or restored. As the threat increases to conservation values from management activities, the level of protection on these values must also increase. This level and type of protection can move from limiting human activities to excluding human activities in reserves. The outcome must always be the protection, maintenance and / or restoration of HCVs.

Fundamental to reducing the potential unacceptable negative impact of management activities is incorporating a risk-based approach to management. The FSC Scale Intensity and Risk (SIR) Guideline contains several default assumptions:

- Activities with low potential of an unacceptable negative impact will require a reduced administrative burden to demonstrate conformance. This includes a reduced requirement for documenting engagement, conducting and documenting certain assessments, developing complex *management plans** and conducting and documenting monitoring.
- Activities with standard potential of an unacceptable negative impact must to meet the requirements listed in the IGI, or as adapted in national standards through the transfer process;
- Activities with high potential of an unacceptable negative impact will be required to demonstrate their compliance with a higher level of effort and / or more robust management strategies; and

The variable levels of performance required under different circumstances will be specified in FSC National Standards. These assumptions are summarized in Figure 2.

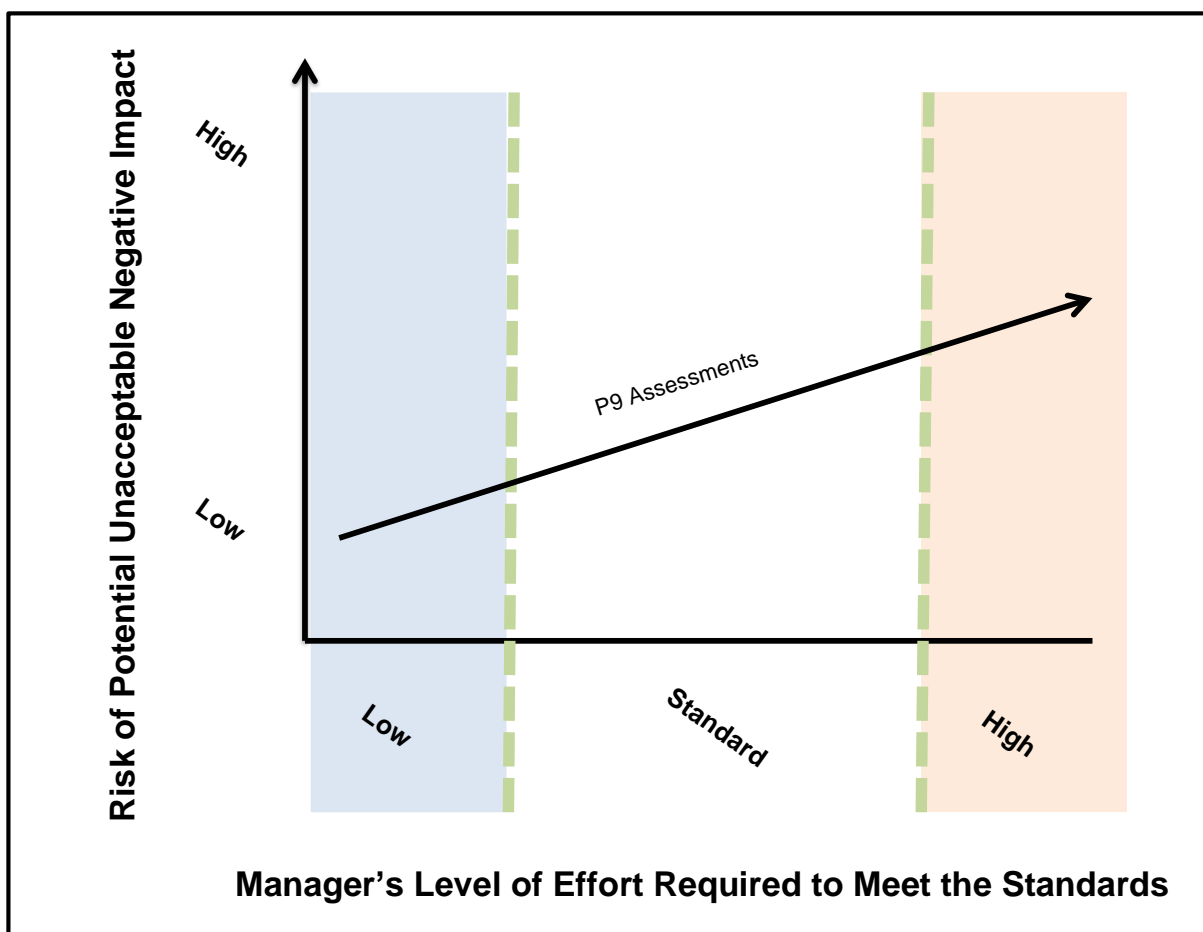


Figure 2. As the risk of potential unacceptable negative impact increases, so too should the forest manager's level of effort required to meet the standards. For example, the greater the concentration of ecological values, the more effort is required by the manager to do assessments of these values. Likewise, the presence of Indigenous People within and adjacent to the MU increases the level of engagement required.

A Risk-based approach to meeting the requirements of *Principle* 9* should consider the following:

Regarding engagement:

- A low potential of unacceptable negative impacts means that *the Organization** can reduce requirements for *stakeholder* engagement** to demonstrate conformance. This means that they should generally be required to understand the interests and concerns of neighbours and adjacent landowners without the need for extensive consultation. This may be extended to potentially *affected stakeholders** that are not adjacent neighbours, for example in MUs located upstream from water users.
- A high potential of unacceptable negative impact means that *the Organization** has increased requirements to demonstrate conformance and engage *local communities** and *Indigenous Peoples** with a consultation strategy that sets out, for example, the scope of their activities, the expected outcomes, the target audience, and the link to the *dispute** resolution process.

Regarding policies, procedures and assessments:

- Activities with low potential unacceptable negative impact mean that *the Organization** has reduced requirements to demonstrate conformance and may verbally communicate policies and procedures. Likewise, some assessments may be completed using experience, observations and local experts. Group Managers may also have an important role to play in developing procedures and policies and for conducting certain assessments.
- Activities with high potential unacceptable negative impact mean that *the Organization** has increased requirements to demonstrate conformance and is required to complete assessments with extensive fieldwork and professional expertise. Likewise social and economic decisions should be supported by social science and market research.

For more information please see: FSC-GUI-60-002 Scale, Intensity and Risk Guideline for Standards Developers (2016).

1.4 Payment for Ecosystem Services

[Responsible forest management](#) and the *protection** of High Conservation Values aims to maintain the full range of *ecosystem services**, taking care that more vulnerable and sensitive elements, such as *threatened species** or surface water, are not negatively impacted. Through consultations with *Indigenous Peoples**, *local communities** and other *stakeholders**, the expected outcome is that benefits are maintained and impacts minimized.

Providing rewards for the supply of *ecosystem services**, known as Payments for Environmental Services (PES), is a mechanism for compensating *Indigenous Peoples**, *local communities** and forest managers. PES is based on the notion that landowners and forest managers should have incentives for maintaining forest cover, productivity and integrity. These payments may be made by the immediate beneficiaries of such services such as residents in the forest, by companies compensating for environmental damage caused in other areas or by governments wanting to prevent land degradation and disasters.

The Forest Certification for Ecosystem Services (ForCES) project examines the changes needed if [FSC](#) is to become a global leader in the certification of *ecosystem services**.

Pilot tests are being carried out at ten forest sites under different socio-political and environmental conditions. A crucial factor will be the development of suitable compliance indicators, both at national and international levels. Newly developed impact indicators will be used to demonstrate positive outcomes and the achievement of social and environmental objectives.

As an outcome, [FSC](#) will have in place an enhanced global system for forest managers, targeting key *ecosystem services** that have market potential. Demonstration sites for *ecosystem services** will have been certified. And the positive impacts and added value of [FSC certification](#) will have been demonstrated to forest operations and *local communities**.

For more information please refer to FSC-PRO-XX-XXX Procedure for Ecosystem Services.

1.5 Controlled Wood

Controlled Wood is material that can be mixed with certified material during manufacturing FSC mix products. This enables manufacturers to manage low and fluctuating supplies of FSC certified forest products, while creating demand for FSC certified wood. Only materials from FSC-acceptable sources can be used as controlled wood.

There are 5 categories of unacceptable material that cannot be mixed with FSC certified materials:

- Category 1: Illegally harvested wood
- Category 2: Wood harvested in violation of traditional and human rights
- Category 3: Wood harvested in forests in which High Conservation Values are threatened by management activities (HCVs are areas particularly worth of protection)
- Category 4: Wood harvested in forests being converted to plantations or non-forest use
- Category 5: Wood from forests in which genetically modified trees are planted.

In order to meet the requirements for sourcing Controlled Wood specific to HCVs, forest managers shall provide:

- Records of an assessment (e.g. ecological assessment, *environmental impact assessment** or wildlife census, social assessment) appropriate to the size of the FMU and *intensity** of management to identify the presence of high conservation values;
- Evidence of consultation with *stakeholders** in relation to the *Precautionary Approach**, including NGOs and parties that are involved with or have an interest in the forest area with respect to social or environmental aspects. Where relevant, the assessment shall include consultation with representatives and members of communities and Indigenous Peoples living in or adjacent to the FMU;
- A list of the high conservation values thus identified in the FMU, together with evidence indicating that high conservation values are not threatened in the FMUs.

For more information please see FSC-STD-40-005 V3-0 Requirements for Sourcing FSC Controlled Wood and [FSC-STD-30-010](#) Controlled Wood Forest Management Standards.

2. Assessment of High Conservation Values*

2.1 *High Conservation Values** are assessed, specifically:

- a. For HCV 1 -- Biological diversity, consistent with *Criteria** 6.1, 6.4, 6.5 and 6.6, including *endemic** species, and *rare, threatened or endangered** (RTE) species, that are *significant** at global, regional or national levels and their *habitats**;

HCV 1: Significant concentrations of endemic* or rare threatened and endangered species refers to the conditions where these species occur in such great numbers or frequency that it is considered outstanding in comparison with other areas within the same biogeographic region.*

- b. The means for determining the significance of HCV1: Existing data or maps (See Annex 2); or through field assessments and *stakeholder** consultations; or by organizations and experts to this field.

- c. For HCV 2 -- Presence of *Intact Forest Landscapes** and *significant* landscape*-level ecosystems**, and *ecosystem** mosaics including as consistent with *Criteria** 6.1, .5 and 6.8 and all special instructions for *Intact Forest Landscapes**;

HCV 2: Significant landscape*-level ecosystems*, and ecosystem* mosaics refer to the conditions where these ecosystems* occur in sizes and / or quality that are recognized unique or outstanding in comparison with other areas within the regional, national and global levels.*

- d. The means for determining the significance of HCV2: Existing data or maps (See Annex 2); or through field assessments and *stakeholder** consultations; or by organizations and experts in this field.

- e. For HCV 3 -- Presence of *rare, threatened, or endangered* ecosystems*, habitats* or refugia** including as consistent with *Criteria** 6.1 and 6.4;

HCV3: Rare, threatened, or endangered ecosystems, habitats or refugia contain High Conservation Value* by the very nature of being rare, threatened* or endangered, the regional, national and global levels.*

- f. The means for determining the significance of HCV3: Existing data or maps (See Annex 2); or through field assessments and *stakeholder** consultations; or by organizations and experts to this field.

- g. For HCV 4 -- Presence of *critical* ecosystem services** including as consistent with 5.1, *Criteria** 6.1, 6.5 and 6.7;

HCV 4 – Critical ecosystem service may be present in following conditions:

- Water catchments where the water supplies are critical for human uses, and no tap water is available
- Erosion control: Steep slopes, fragile soils and other sites which are critically vulnerable to erosion, flooding, landslips or sedimentation
- Barriers to destructive fires: Forests, *wetlands** and other *ecosystems** which provide a protective barrier against destructive fires
- Natural *ecosystems** with globally, regionally and/or nationally significant amounts of carbon stored¹ in vegetation and soil
- Pollination services, local mitigation of stormy winds, vulnerable soils, aquifers and fisheries

h. For HCV 5 -- Presence of fundamental resources for basic necessities, consistent with *Criteria** 3.1, 3.5, 4.1 and 4.7; and

HCV 5 – - Fundamental resources for basic necessities refer to:

- Drinking water & irrigation water for subsistence crops
- Essential foods collected from forests or water *ecosystems**
- Vital famine foods, NTFPs, bush meat
- Medicinal plants
- Essential supplies of fuel for cooking, lighting and heating
- Building materials (poles, thatching), and the raw materials for handicrafts

i. For HCV 6 -- Presence of *significant** cultural values, consistent with *Criteria** 3.1, 3.5, 4.1 and 4.7.

HCV 6 – This usually refers to communities that:

- Are remote,
- Lack electricity, tap water, hospitals, transport services
- Have most houses built from locally available traditional materials

2.2 *High Conservation Values** assessments are supported by social ecological assessments and engagement with *Indigenous Peoples, affected** and *interested stakeholders** conducted to meet the requirements of other *Principles** and *Criteria**. See Figure 3.

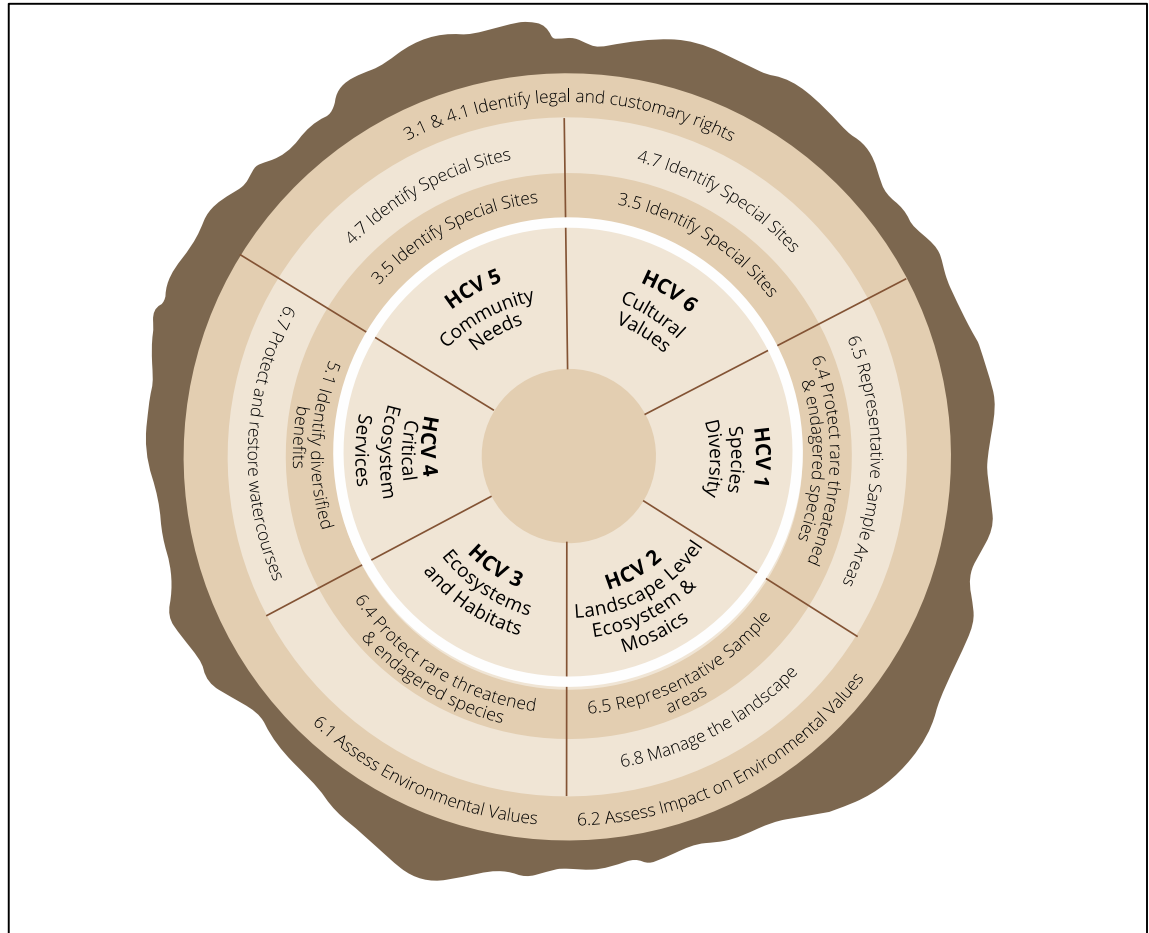


Figure 3. In some circumstances, the identification, assessment, maintenance and monitoring of High Conservation Values is supported by requirements throughout the Principles and Criteria.

2.3 This High Conservation Values* assessment:

- Uses *Best Available Information**, including sources listed in Annex 2;
- Applies the *precautionary approach** and records not only the proven presence, but also the likely presence of the *High Conservation Values**;
- Identifies, maps and records where these *High*

When implementing the *Precautionary Approach** *High Conservation Values** are understood to be *critical**, fundamental, *significant** or valuable, and therefore any *threat** to a *High Conservation Value** is considered to be a *threat** of severe or irreversible damage. Standard Developers *shall** also apply the principle of *Precautionary Approach** to the development of the National HCV Framework.

*Conservation Values** could be present;

- d. Describes the current condition of the *High Conservation Values** and whether they are declining, constant or increasing;
- e. Uses results from culturally appropriate* *engagement** with Indigenous Peoples, affected* and *interested stakeholders** with an interest in the conservation* of the *High Conservation Values**.

2.4 For *Intact Forest Landscapes**, this assessment:

- a. Assess characteristics of *Intact Forest Landscapes** to understand where the *core areas** are and how *Intact Forest Landscapes** fit into the broader *landscape**;
- b. Considers land uses, abundance and security of *Intact Forest Landscapes** within and adjacent to the *Management Unit**;
- c. Consider *Intact Forest Landscapes** degradation since 2000.

2.5 Process for the *Intact Forest Landscapes**, assessment

- a. Start the assessment with identifying *Intact Forest Landscapes** using the Global Forest Watch maps, or more accurate information developed at the national or *Management Unit** level;
- b. Identify *Best Available Information** for *Intact Forest Landscapes** locations if they are not adequately identified by the World Resource Institute maps, including where *Intact Forest Landscapes** include smaller areas;
- c. Based on consultation with *Indigenous Peoples**, *traditional peoples** and forest based communities and using *traditional ecological knowledge** and other information, identify and assess *Indigenous Cultural Landscapes**. See Section 6 below for more information on *engagement**;
- d. Identify the amount of *protection** already in place within the *Management Unit**;
- e. In regions where *Intact Forest Landscapes** are more rare or fragmented, consider adapting the *Intact Forest Landscapes** definition to include *Intact Forest Landscapes** below the World Resource Institute threshold;
- f. Clearly define as HCV2 any significant intact forests not defined as *Intact Forest Landscapes** as being HCV2;
- g. Assess the significance of each *Intact Forest Landscape** and its component areas in terms of relative intactness, percentage of the *Management Unit** that is *Intact Forest Landscapes**, distance to *forest edge**, potential for connectivity with other *Intact Forest Landscapes**, *habitat** value for *rare threatened and endangered** species and species requiring large contiguous *forest** *habitats**;

Risk Based Identification and Assessment of *High Conservation Values*

A risk-based approach to the assessment of *High Conservation Values** is intended to maximize the maintenance and enhancement of *High Conservation Values** while making efficient use of time and resources.

A risk-based approach has three levels of *High Conservation Values** assessment options based on the potential for unacceptable negative impacts from management activities:

Level 1: This level of *HCV assessment** would be required for very high *risk** situations, those with high potential unacceptable negative impacts, including:

- Large Scale Forestry Operations operating in areas with extensive conversion;
- Scarcity of contiguous forests;
- High concentration of rare threatened and endangered species;
- The presence of *Indigenous Peoples** who are not the forest managers;
- High likelihood of damage to HCV.

The main requirements of this option include:

- The mandatory use of licensed HCV assessors (via the existing [HCV Assessor Licensing Scheme](#)); and
- Independent peer review of HCV reports and evaluation of HCV reports by a quality panel.

This option is the most time-consuming and costly of the three options, but it is also the most robust.

Level 2: This level of HCV assessment would be required for medium *risk** situations, those with standard potential unacceptable negative impact.

The main characteristics of this option include:

- The assessment is led by a local/ national expert with relevant experience (but they would not need an Assessor Licensing Scheme licence);
- The full HCV Guidance and applicable national standards apply to this level.

Level 3: This level of *HCV assessment** would be required for low *risk** situations, those with low potential unacceptable negative impact. This level is aimed at:

- Smallholders involved in group certification;
- Reduced impact logging;
- Areas with low *risk** of damage to HCV

The main characteristics of this option include:

- *HCV assessments** are carried out by Group Managers

For more information please see FSC-GUI-60-002 Scale, Intensity and Risk Guideline for Standards Developers (2016)

3. Identification of Threats to *High Conservation Values**

- 3.1 Threats to *High Conservation Values** are identified including:
- a. Threats posed by management activities such as road building and logging;
 - b. Threats posed by non-forestry activities, such as climate change poaching, slash and burn farming and *invasive species**;
- 3.2 These threats are identified using:
- a. *Best Available Information** including sources listed in Annex 2;
 - b. Culturally appropriate* engagement* with Indigenous Peoples*, and affected* and interested stakeholders*;
 - c. Consultation with *experts**;

Threat Analysis

An analysis of the *Management Plan** should include direct threats from activities such as road construction and timber harvesting as well as indirect threats such as the risks of forest fires and forest health issues within and outside of the *Management Unit**. Specific to HCVs, threats include both those from the Organization's own activities, as well as the activities of other entities that may have an impact on the HCVs in the *Management Unit**.

4. Developing Management Strategies and Actions

- 4.1 In order to develop management strategies and actions to maintain and/or enhance the identified *High Conservation Values** and to maintain associated *High Conservation Value Areas** the forest manager:
- a. Uses *Best Available Information** including sources listed in Annex 2;
 - b. Identifies *Indigenous Peoples**, *interested** and *affected stakeholders**. This includes those people and communities who might be affected by the management strategy and actions, such as indigenous peoples, forest dwellers, neighbouring landowners, local processors, local businesses, forest *workers**, land use right holders, organizations acting on behalf of *affected stakeholders**, for example social and environmental NGOs, labour unions, etc.;
 - c. Explores opportunities for co-management of *High Conservation Values**;
 - d. Informs *Indigenous Peoples**, *interested** and *affected stakeholders** about the management planning;
 - e. Solicits stakeholders advice, co-operation and acceptance in order to make sure that their concerns, desires, expectations, needs, rights and opportunities are considered in drafting, implementation and updating of the management strategies and action plan;
 - f. Solicits input from *experts**;
- 4.2 Management strategies and action plans are developed with appropriate measures for maintaining and enhancing *High Conservation Values** and addressing identified threats, including:
- a. For HCV 1 – *Protection** zones, harvest prescriptions, and/or other strategies to protect threatened, endangered, *endemic** species, or concentrations of *biological diversity** and the ecological communities and *habitats** upon which they depend, sufficient to prevent reductions in the extent, integrity, quality, and viability of the *habitats** and species occurrences. Where enhancement is identified as the *objective**, measures to develop, expand, and/or *restore*habitats** for such species are in place;
 - b. For HCV 2 – For *Intact Forest Landscapes* and landscape* level ecosystems**, *and mosaics*, strategies that fully maintain the extent and intactness of the *forest*ecosystems** and the viability of their biodiversity concentrations, including plant and animal indicator species, *keystone species**, and/or guilds associated with large intact *natural forest*ecosystems**. Examples include *protection** zones and set-aside areas, with any commercial activity in areas that are not set-aside being limited to *low-intensity** operations that fully maintain *forest** structure, composition, regeneration, and disturbance patterns at all times. Where enhancement is identified as the *objective**, measures to *restore** and reconnect *forest*ecosystems**, their intactness, and *habitats** that support natural *biological diversity** are in place;
 - c. For HCV 3 – Strategies that fully maintain the extent and integrity of rare or threatened *ecosystems**, *habitats**, or *refugia**. Where enhancement is identified as the *objective**, measures to *restore** and/or develop rare or threatened *ecosystems**, *habitats**, or *refugia** are in place;
 - d. For HCV 4 Strategies to protect any water catchments of importance to *local communities** located within or downstream of the *Management Unit**, and areas

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

- e. For HCV 5 – Strategies to protect the community's and/or *Indigenous Peoples** needs in relation to the *Management Unit** are developed in cooperation with representatives and members of *local communities** and *Indigenous Peoples**. This includes measures to protect, drinking water & irrigation water resources for subsistence crops, essential foods collected from forests or water *ecosystems**, vital famine foods, NTFPs, bush meat; medicinal plants; essential supplies of fuel for cooking, lighting and heating; building materials (poles, thatching), and the raw materials for handicrafts; and
- f. For HCV 6 – Strategies to protect the cultural values are developed in cooperation with representatives and members of *local communities** and *Indigenous Peoples**.

4.3 In developing management strategies for *Intact Forest Landscapes**, forest managers should:

- a. Ensure that management strategies are consistent with national standards and FSC Motion 65 (2014);
- b. Identify appropriate buffer zone widths adjacent to *Intact Forest Landscape* core areas**, where road construction and other activities are minimized to prevent edge effect impacts within the core areas*;

4.4 In developing management strategies for *Intact Forest Landscapes* core areas**, forest managers should:

- a. Assess the *Intact Forest Landscape** areas that are of greatest economic, social and ecological value. The reason for this is that these different values will determine the designation of *core areas**;

4.5 To support *core area* protection**, forest managers should:

- a. Respect the legal* and customary rights* of *Indigenous Peoples** to use the *Intact Forest Landscape* core areas**;
- b. *Protect** the integrity and other ecological attributes of *Intact Forest Landscape* core areas** from activities that impact their intactness including commercial logging, mining, and the construction of roads, dams, and other *infrastructure**;

- c. Minimize road construction and the *intensity** of other activities adjacent to *Intact Forest Landscape** *core areas** to prevent illegal logging, windthrow, depredation, and other edge effect impacts within *core areas**;
 - d. Minimize road density and impacts to forest cover in areas that provide *connectivity** between *Intact Forest Landscape**;
 - e. Identify appropriate buffer zone widths adjacent to *Intact Forest Landscape** *core areas** where road construction and other activities are minimized to prevent edge effect impacts within the *core areas**;
 - f. Secure long-term* protection* for *Intact Forest Landscape** *core areas**; and
 - g. Ensure *Indigenous Peoples** are given priority for participation in alternative forest management projects and other low impact activities that are compatible with *protection** of *Intact Forest Landscape** *core areas**.
- 4.6 When the strategy and action plan are completed, the *experts**:
- a. Assess the effectiveness of the management strategies actions to maintain and enhance *High Conservation Values** and address identified threats. Effectiveness includes the concept that the strategies prevent damage and avoid risks to *High Conservation Values**, even when the scientific information is incomplete or inconclusive, and when the vulnerability and sensitivity of *High Conservation Values** are uncertain;
 - b. Conduct field inspection and interview *stakeholders** to verify the management strategies actions to maintain and enhance *High Conservation Values** and address threats; and
 - c. Report the results of the review including recommending requirements for improvements where results are insufficient.
- 4.7 If the expert review identifies gaps in the strategies or actions, they are revised to fully maintain and/or enhance the identified *High Conservation Values**.
- 4.8 In cases where *Indigenous People** or *local communities** have *legal** or *customary rights** a *binding agreement** is negotiated through *Free, Prior and Informed Consent** before any management activities are taken. See Section 6 below for more information on *engagement**.
- 4.9 If the expert review identifies gaps in the *Free, Prior and Informed Consent** agreement, the strategies or actions, they are revised to fully maintain and/or enhance the identified *High Conservation Values**;
- 4.10 Strategies and actions to maintain and / or enhance the identified *High Conservation Values** are incorporated in the *Management Plan** and implemented in a *timely manner**.
- 4.11 If monitoring indicates that strategies are ineffective and damage or harm has been done to *High Conservation Values**, actions are taken to repair the damage

or harm, to ensure the maintenance and / or enhancement *High Conservation Values**. Managers should also be aware of how they or others may be affecting *High Conservation Values**, be observant of potential gaps or weaknesses in their management strategies, and take any additional steps that might be required at different times to protect, enhance and / or *restore** the *High Conservation Values**.

5. Monitoring the Impacts of Operations

5.1 In order to develop a monitoring program to maintain and/or enhance the *identified High Conservation Values** and to maintain *associated High Conservation Value Areas** the manager:

- a. Uses Best Available Information including sources listed in Annex 2;
- b. Identifies *Indigenous Peoples**, *interested* and *affected stakeholders**. This includes those people, environmental groups and communities who might be affected by the management strategy and actions, such as *Indigenous Peoples**, forest dwellers, neighbouring landowners, local processors, local businesses, forest *workers**, land use right holders, organizations acting on behalf of *affected stakeholders**, for example social and environmental NGOs, labour unions, etc;
- c. Explores opportunities for co-management of *High Conservation Values**;
- d. Informs *Indigenous Peoples**, *interested* and *affected stakeholders** about the management planning;
- e. Solicits and incorporates advice from *Indigenous peoples**, *interested** and *affected stakeholders**, co-operation and acceptance in order to make sure that their concerns, desires, expectations, needs, rights and opportunities are considered in drafting, implementation and updating of the management strategies and action plan;
- f. Solicits and incorporates input from *experts**

5.2 This *monitoring** program evaluates:

- a. The implementation of strategies;
- b. The implementation of the action plan;
- c. Compliance with agreements with Indigenous Peoples* and local communities* achieved through Free Prior and Informed Consent*
- d. The status of *significant** concentrations of biodiversity;
- e. The status of areas on which the concentrations of *biological diversity** depend; and
- f. The effectiveness of the management strategies and actions to fully maintain and/or enhance the *High Conservation Values**. This means that the key metric is not if a plan has been implemented, but if the plan has achieved the desired results;

Adaptive Management

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

- 5.3 This *monitoring** program should:
- Be conducted with appropriate frequency to detect change. Some elements, such as *Intact Forest Landscapes**, should be *monitored** annually to ensure there as been no change. Others, such as carbon sequestration will likely not need to be monitored as intensively, depending on the nature of management operations in the forest;
 - Consider all *High Conservation Values** in planning
 - Include measurable *targets**;
 - Describe appropriate action based on observations on High Conservation Values* presented by *Indigenous Peoples**, *affected** and *interested stakeholders** and *experts**;
 - Have sufficient scope, scale and frequency to detect changes in the *High Conservation Values** relative to the initial baseline assessment;
 - Record the results of the monitoring;
 - Provide analysis of the results;

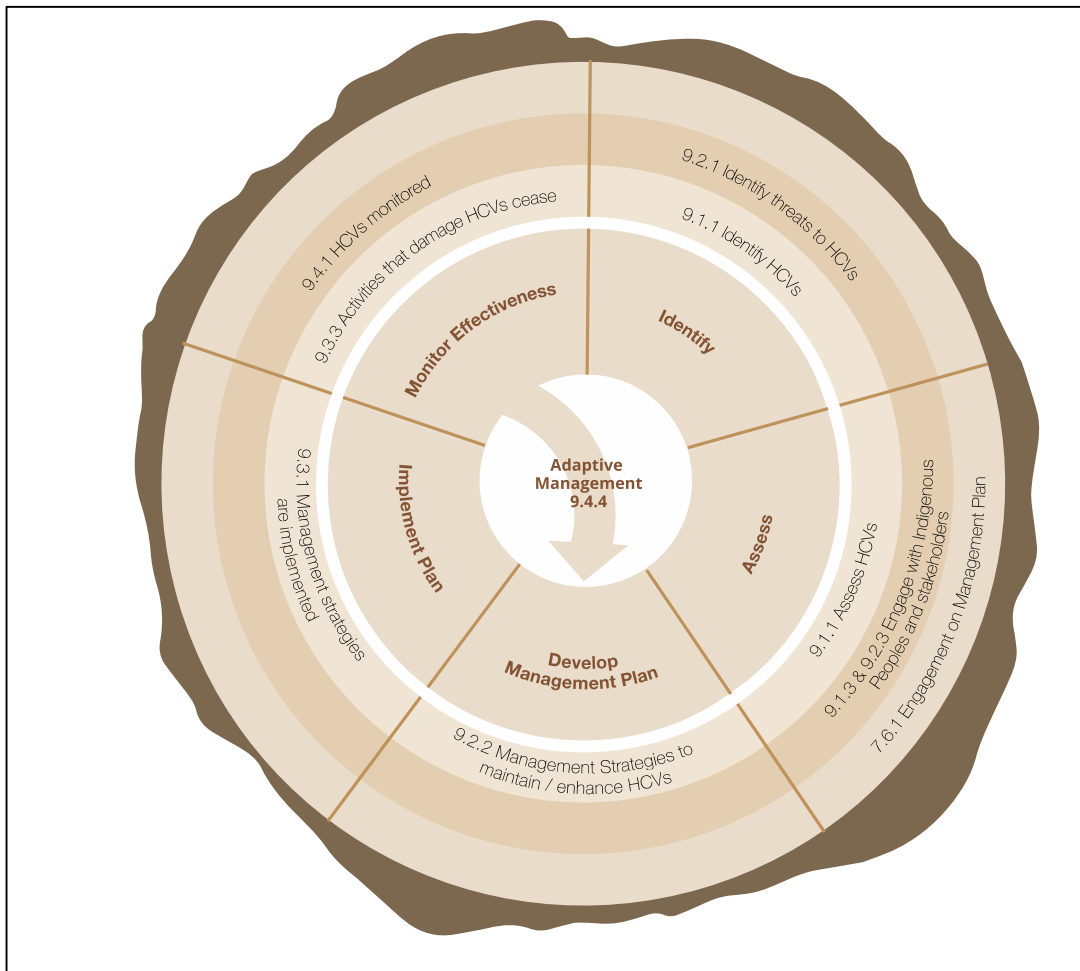


Figure 4. The identification, assessment, maintenance and monitoring of High Conservation Values is framed within the adaptive management framework.

- 5.4 *Experts** and a multi *stakeholder** group involving *affected** and *interested stakeholders** are consulted to:
- Review *monitoring** results to maintain and enhance *High Conservation Values**;
 - Review compliance with agreements with *Indigenous Peoples** and *local communities** achieved through *Free Prior and Informed Consent**;
 - Conduct field inspection to check the quality of the Monitoring Program;
 - Suggest cost-efficient improvements to the monitoring system; and
 - Deliver a Review report
- 5.5 A summary of the *monitoring** results is publically available.
- 5.6 If monitoring indicates strategies and actions fail to protect and enhance the *High Conservation Values** then these activities cease immediately until the issues have been addressed.
- 5.7 Management strategies and actions are modified immediately to address the results of *monitoring** to ensure the maintenance and/or enhancement of *High Conservation Values**.

*Monitoring** of the *engagement** process can be divided in two phases:

- In phase 1, Forest Managers should establish the outputs of the engagement process including: the number and diversity of participants; the provision of adequate, accurate and timely information, the degree of the involvement of stakeholders in the discussions of management strategies about *High Conservation Values**;
- In phase 2, Monitoring of outcomes requires longer time lines as well as evaluation of a wider set of drivers and conditions. Longer time lines and increased complexity also mean increased funding requirements. However, this type of monitoring does allow forest managers to track the actual effectiveness of the *engagement** process as an agent of change of the relationship among stakeholders and forest managers. Examples can include: The impact of community and stakeholder contributions on forest management outcomes, the relationships with community and stakeholders after the process of *engagement** and the achievement of management strategies concerning *High Conservation Values** rights and protection and *Free Prior and Informed Consent* agreements;

In all phases, the *monitoring** of the *engagement** process should be participatory. It is not a question of an external evaluator solely determining the project outcome; the evaluation needs to be participatory, with people themselves – both organizational staff and stakeholders – having a voice;

- 5.8 *Monitoring** of the *engagement** process should be:
- a. Based on the interests of the communities as an outcome of *engagement**
 - b. Initiated over the short term. The effectiveness of the *engagement** process can be monitored, and the process can be adjusted for improvement in the ongoing process;
 - c. Integrated and not separate. The *monitoring** of the *engagement** process should be an integral part of the implementation of forest management strategies.
 - d. Continuous and regular. The *monitoring** of the *engagement** process should be maintained at a steady and continuous pace in order to ensure continuity in the data and information collected; and
 - e. Shared in a transparent manner to confirm positive and negative results, understandings and views.

6. Engagement

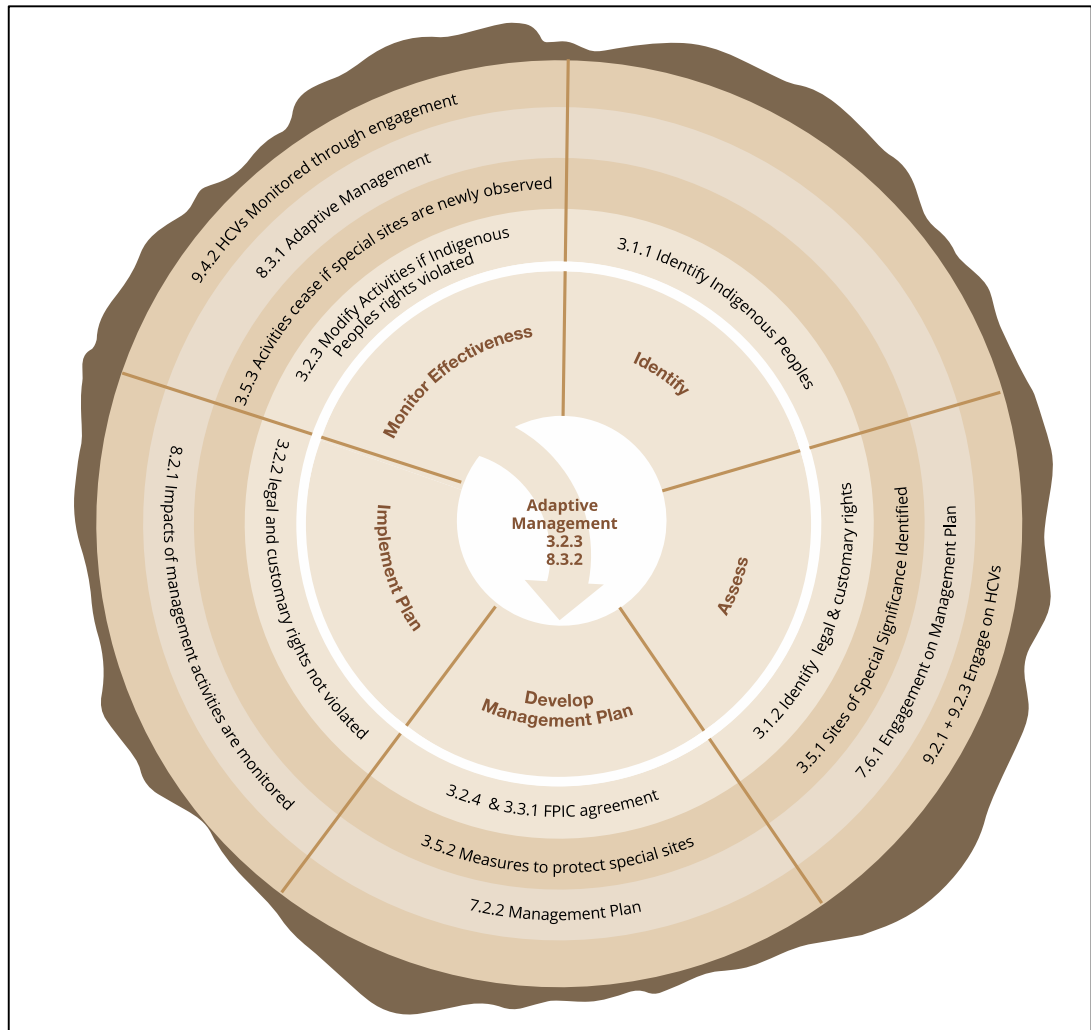


Figure 5. The engagement process to identify legal and customary rights, to develop agreements that respect and *uphold** free, prior and informed consent and to modify management activities is based on the adaptive management framework. This engagement process is also supported by requirements in other Criteria.

6.1. Prior to *engagement**, forest managers should:

- a. Prepare the assessment team: When hiring an external team (social experts) or preparing an internal social team build a multidisciplinary team: ecologists, economists, sociologists and anthropologist working alongside will produce better and more accurate assessments;
- b. Engage the assessment team in the early phases of the *High Conservation Values** 5 and 6 assessments to ensure that the people responsible for the implementation of *Management Plan** understand the implications of protecting *High Conservation Values** 5 and 6;

- c. Ensure appropriate communication skills. The assessment team needs specific skills including command of the local language, the ability to listen and understand more than trying to convince people about their opinions, be open minded, because perceptions can differ of *High Conservation Values** 5 and 6 between a forest manager and a member. Forest managers need to provide sufficient and appropriate training to the social team in order to ensure appropriate skills.
 - d. Provide sufficient resources to support the planning process. The Forest Manager should provide resources to ensure that the community can obtain and understand information independently. Civil society and non governmental organizations may be helpful here;
 - e. Gather secondary data: Review published socio-economic studies on *Indigenous Peoples** and *local communities***legal** and *customary rights**, how resources are used such as for food, construction materials, firewood and medicines, the level of dependence of communities on these resources and resource uses or practices that may affect *High Conservation Values** 5 and 6;
 - f. Determine *Indigenous Peoples*'* and *local communities*'*;
 - g. Different methods of consultation can be applied, including: collective events, such as workshops, group meetings in each village or community area and interview with families. A combination of these three methods can also be used.
- 6.2 Prior to *engagement**, forest managers should identify, map the *rights* of and collect contact information for:
- a. *Indigenous Peoples**
 - b. *Local communities**; and
 - c. *Interested** and *affected stakeholders**
- 6.3 Prior to *engagement**, forest managers should develop information for each group identified on:
- a. The recognized representatives;
 - b. Local governance;
 - c. Decision-making mechanisms, political hierarchies and languages;
 - d. The nature of the *legal** or *customary rights**, for example access to watersheds, bushmeat and the collection of NTFP
- 6.4 For each group identified, forest managers should engage *Indigenous Peoples** on values, interests and needs related to any impacts that may be caused to the *High Conservation Values** and *Intact Forest Landscapes** and document potential impacts and conflicts to *legal** and *customary rights** with *High Conservation Values** and *Intact Forest Landscapes** proposed activities;

- 6.5 The implementation of the *engagement** process should ensure that:
- a. The process includes minority, women, vulnerable and marginalized groups. Social groups are never homogenous. Perceptions of resources and cultural values, rules of use and their importance can vary within and between *Indigenous Peoples** and *local communities**;
 - b. The fundamental resources for basic necessities and the boundaries of HCV5 and HCV 6 areas that support them are being documented,
 - c. The precautionary approach is being used;
 - d. *Engagement** should include all affected communities, not just those immediately adjacent to the sites or resources, with special attention to groups with less power and influence;
- 6.6 The results obtained through the *engagement** and on the ground assessment should be documented in maps, descriptive written documents or in video and/or audio according to the wishes of the *Indigenous Peoples** and *local communities**.

Regarding *High Conservation Values** category 5 assessment:

There are two criteria for identifying HCV 5 areas important for meeting basic needs of local people:

- First, a forest area or other natural *ecosystem** that provides important natural resources to a local community where such resources cannot be replaced with readily available alternatives from nearby forest areas or other natural ecosystems.
- Second, resources that are used by local people, or that local people actively try to protect, use of which does not place undue pressure on the maintenance of other *High Conservation Values** such as critically endangered species under *High Conservation Values** 1.2);

An area is deemed important if it is used by one or more members of the community to meet subsistence needs in the absence of realistic alternatives or substitute materials.

Regarding *High Conservation Values** category 6 assessment: In some cases those who value the cultural resources do not live locally. For example, communities that maintain active cultural rituals linked to areas inhabited by their ancestors and communities that perform pilgrimages to sacred sites far from their homes.

Annex 1: Notes on development of this guide

Conserving the major environmental, social and cultural values of natural forests has been in the core of FSC certification since 1995. The wording of this requirement has evolved in different versions of Principles and Criteria, and is currently expressed in six separate High Conservation Values (HCVs). Meanwhile, the HCV concept has spread outside of FSC to many other processes intending to promote best practices in natural resources management.

The need for further guidance on managing the HCVs has been repeatedly expressed both by the FSC stakeholders and wider audience. Consequently, FSC and WWF decided by 2012 on the production of two guidance documents, one specifically for FSC certified forest operations and another more general for the HCV Resource Network audience:

- The present guide is the one developed only for FSC purposes and it is based on the document discussed at FSC HCV2/IFL Workshop at Bonn, in October 2012 and revised according to the participants' feedback at 2013 by FSC IC Policy and Standards Unit.
- Parallel to this guide, HCV Resource Network has produced Common Guidance for the Identification of HCVs (2013), which is intended for contributing a holistic identification of High Conservation Values, both for the FSC stakeholders and for the wider audience.

Annex 2: Checklist for information sources

- a. National and regional data sources
- b. National and Regional High Conservation Value Guidance
- c. National and Regional definitions and examples of High Conservation Values in National and Regional Standards
- d. Check www.biodiversitya-z.org
- e. Biodiversity Hotspots (34 +): www.biodiversityhotspots.org
- f. Intact Forest Landscapes: www.intactforests.org Approx. 13 million sq km. Such areas are highly likely to have HCV 2, and may contain HCV 1.
- g. Frontier Forests: www.wri.org/publication/last-frontier-forests-ecosystems-and-economies-edge www.globalforestwatch.org
- h. WWF Terrestrial Ecoregions: www.worldwildlife.org/science/ecoregions
“defined as relatively large units of land or water containing a distinct assemblage of natural communities sharing a large majority of species, dynamics, and environmental conditions. Ecoregions represent the original distribution of distinct assemblages of species and communities. This concept may be helpful for resolving issues of Scale, and for ensuring a full coverage of conservation sites.
- i. WWF Global 200 Ecoregions:
www.worldwildlife.org/science/ecoregions/g200.cfm
- j. Important Bird Areas IBAs, ~12 000 sites worldwide, many quite small (e.g. 314 in Australia): Birdlife International www.birdlife.org These do one or more of three things: (1) They hold significant numbers of one or more globally threatened species, (2) They are one of a set of sites that together hold a suite of restricted-range species or biome-restricted species, and (3) They have exceptionally large numbers of migratory or congregatory species. Cf. also Endemic Bird Areas, EBAs, covering over 7 million km².
- k. PlantLife International: IPAs, Important Plant Areas: www.plantlife.org.uk
- l. World Heritage Sites (207 natural + mixed sites): UNESCO + IUCN.
whc.unesco.org
- m. Centres of Plant Diversity, IUCN, WCMC. www.unep-wcmc.org/species/sca/GSPC.htm
- n. Conservation International: Key Biodiversity Areas and Important Plant Areas
- o. RAMSAR sites, designated under the Ramsar Convention, the Convention on Wetlands of International Importance (~1900 sites): www.ramsar.org
- p. GSBA: Globally Significant Biodiversity Areas, identified in some regions.
- q. KBAs, Key Biodiversity Areas, identified with IBAT: Integrated Biodiversity Assessment Tool (IUCN, CI and others), www.IBATforbusiness.org
- r. Natura2000: System of strict nature reserves in Europe: www.natura.org
- s. NatureServe: Database especially for species in USA and Canada.
www.NatureServe.org
- t. IUCN Red List of Threatened Species <http://www.iucnredlist.org/>

Annex 3: Terms and Definitions

Normative definitions for terms are given in FSC-STD-01-002 *FSC Glossary of Terms* apply. This glossary includes internationally accepted definitions whenever possible. These sources include, for instance, the Food and Agriculture Organization of the United Nations (FAO), the Convention on Biological Diversity (1992), the Millennium Ecosystem Assessment (2005) as well as definitions from online glossaries as provided on the websites of the World Conservation Union (IUCN), the International Labour Organization (ILO) and the Invasive Alien Species Programme of the Convention on Biological Diversity. When other sources have been used they are referenced accordingly.

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

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

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

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

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

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

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

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

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

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

Core areas: The portion of an *Intact Forest Landscape** where intactness is maintained, that contains the most important ecological and cultural values and where timber harvesting and road building are generally not permitted.

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

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

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

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

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

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

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

Endemic: A characteristic of species unique to a defined geographic location or habitat type (Source: pending).

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

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

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

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

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

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

- HCV1: Species Diversity. Concentrations of *biological diversity** including *endemic** species, and rare, *threatened or endangered** species, that are significant at global, regional or national levels.
- HCV 2: Landscape-level *ecosystems** and mosaics. *Intact Forest Landscapes**, large landscape-level *ecosystems** and ecosystem mosaics that are significant at global, regional or national levels, and that contain viable populations of the great majority of the naturally occurring species in natural patterns of distribution and abundance.
- HCV 3: Ecosystems and habitats. Rare, threatened, or endangered ecosystems, *habitats** or *refugia**.
- HCV 4: Critical ecosystem services. Basic *ecosystem services** in critical situations, including protection of water catchments and control of erosion of vulnerable soils and slopes.
- HCV 5: Community needs. Sites and resources fundamental for satisfying the basic necessities of local communities or *Indigenous Peoples** (for example for livelihoods, health, nutrition, water), identified through engagement with these communities or *Indigenous Peoples**.
- HCV 6: Cultural values. Sites, resources, habitats and *landscapes** of global or national cultural, archaeological or historical significance, and/or of critical cultural, ecological, economic or religious/sacred importance for the traditional cultures of local communities or *Indigenous Peoples**, identified through engagement with these local communities or *Indigenous Peoples**.

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

High Conservation Value assessment: The complete process of identifying HCVs and developing management and monitoring plans to ensure that the values identified are maintained or enhanced (Source: Stewart et al. 2008).

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

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

Indigenous Cultural Landscapes: [pending]

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

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

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

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

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

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

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

- Conservation organizations, for example environmental NGOs;
- Labour (rights) organizations, for example labour unions;

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

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

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

Keystone species: A species which performs a crucial linkage in the food web (e.g. as a predator, or as a critical seasonal food source, or as a critical dispersal agent, or as an “ecosystem engineer”) with a disproportionately large effect on its environment relative to its abundance (Source: pending).

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

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

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

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

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

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

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

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

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

Mitigation Measures: Any measures taken by the forest managers or others which help to reduce the negative impacts caused by stress factors on the environmental values of the forest (Source: pending).

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

'Natural forest' includes the following categories:

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

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

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

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

Thresholds and guidelines may cover areas such as:

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

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

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

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

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

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

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

- Areas which would initially have complied with this definition of 'plantation' but which, after the passage of years, contain many or most of the principal

characteristics and key elements of native ecosystems, may be classified as natural forests.

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

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

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

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

Protection / Protected: See definition of Conservation.

Protection Area: See definition of Conservation Zone.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Use rights: Rights for the use of resources of the Management Unit that can be defined by local custom, mutual agreements, or prescribed by other entities holding access rights.

These rights may restrict the use of particular resources to specific levels of consumption or particular harvesting techniques (Source: FSC-STD-01-001 V5-0).

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

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

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



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