



**GUIDE TO
THE REVISED PRINCIPLES AND CRITERIA
(FSC STD-01-001-V5-0 D5-0)**

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Disclaimer

This summary is not the final draft of the revised Principles and Criteria (FSC-STD-01-001 V5-0 D5-0), which has been submitted to the vote by the FSC membership. This is a summary document intended to provide an introduction to the final draft of the revised Principles and Criteria and reasons why revisions were made. Its aim is to allow for an easy-to-read overview to help with the voting process on the revised Principles and Criteria.

A) Introducing this Guide

This guide was prepared to present the revised Principles and Criteria in an accessible, concise way, allowing for an easy-to-read overview to help with the voting process on the revised Principles and Criteria. Of course, some of the specific meanings have become less precise as compared with the actual final draft, as the language has been shortened and simplified. **This is not the document subject to the membership vote.** So readers should still refer to the actual final draft of the revised Principles and Criteria.

What are the revised Principles and Criteria?

The Forest Stewardship Council's Principles and Criteria (Principles and Criteria) are the requirements with which certified forest owners, managers or forest industries must comply in order to receive FSC forest management certification.

The Principles and Criteria consist of three main parts; the Preamble, the Principles and Criteria, and the Glossary of Terms. This guide is divided into two sections: The Preamble and the Practice. The Practice covers each Principle and Criterion.

Explanatory Notes were also developed together with the revised Principles and Criteria. Explanatory Notes expand on the meaning and desired outcomes of the Principles and Criteria, and offer some context, background information, and sources of further material. They are not mandatory, but are intended to provide one of the bases for the development of indicators for international, regional or national FSC Forest Stewardship Standards. There are also 'Rationales' that describe the reasons for certain decisions and revisions. Relevant information from the Explanatory Notes and Rationales is included in this summary.

There is also a Glossary of Terms, with more than 80 definitions, some new and some revised from the current Principles and Criteria. The Glossary of Terms is normative and the Glossary definitions are important because it is essential that the wording used in the Principles and Criteria is clear, and words are well defined, in order to avoid any ambiguity or vagueness that could make implementation of the Principles and Criteria difficult. This is especially important for key concepts, which are for this reason all included in the Glossary of Terms. A summary of the Glossary of Terms is not included in this guide. However, there are two key terms whose definitions may not be immediately apparent but which are of importance across the entire Principles and Criteria. Both definitions are provided below under "Who is responsible for compliance with the Principles and Criteria?"

B) The Preamble

This integral and normative part of the Principles and Criteria covers the following and other issues.

What are the FSC and the FSC certification system?

The Forest Stewardship Council was established in 1993 with the mission ‘to promote environmentally appropriate, socially beneficial, and economically viable management of the world’s forests’. The FSC is an international standard setting body that allows certificate holders (referred to as The Organization – see above) to market their products and services as resulting from responsible forest management. These standards include the Principles and Criteria, standards for the development of international, regional and national Forest Stewardship standards, which must be based on the Principles and Criteria. In addition, FSC also sets standards for the general functioning of the FSC certification system, for example for the accreditation of conformity assessment bodies (certification bodies) and for trademark use.

What are FSC’s Principles and Criteria?

The ten Principles are the essential rules or elements of responsible forest management. The Criteria in each Principle provide the means of judging whether or not a Principle has been fulfilled.

These are the foundation of the FSC certification scheme and together with the Preamble and Glossary, constitute a comprehensive standards package to be applied jointly at the level of the individual ‘Management Unit’.

What is the scope of the Principles and Criteria?

The scope of the Principles and Criteria includes natural forests, plantations, and other vegetation types involving the growing of trees but that also include ‘non-forest’ land as they contribute to the mission of the FSC. They cover the production of wood and non-timber products, conservation, protection, ecosystem services and other uses (including carbon sequestration).

The Principles and Criteria are to be used in conjunction with local, national and international laws and regulations, though the Principles and Criteria may contain provisions that are more stringent or demanding.

What are ‘Scale, Intensity and Risk’?

These terms refer to the common-sense concept that all activities in the Management Unit should be evaluated in the light of their scale (large or small), their intensity (high or low) and the risk that the activity may cause unacceptable impacts.

Who is responsible for compliance with the Principles and Criteria?

It is The Organization that is responsible for compliance with the Principles and Criteria. This responsibility also extends to other entities permitted or contracted by The Organization to carry out activities in the management unit.

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.

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.

C) The Practice - Introducing the revised Principles and Criteria - what has to be done to comply?

The following pages summarize the final draft of the Principles and Criteria and the revisions made during this review process. Organized by Principle, each includes a summary title and meaning, and a description of the topics covered by the Criteria, noting any key issues. This is followed by a table listing (in summary) each Principle and separate Criterion, and a note on why revisions were made.

Principle 1: Compliance with laws

To comply with all laws, regulations, treaties, conventions and agreement

This Principle covers the legal aspects of The Organization's work in the Management Unit, and related activities. The eight Criteria are grouped together to demonstrate compliance with legal requirements. Practical performance and quality issues are cov

The legal status of The Organization is covered by Criterion 1.1, that of the Management Unit by Criterion 1.2, and the rights to operate in the Management Unit in Criterion 1.3. The remaining five Criteria cover the need to protect against unauthorized and illegal activities (Criterion 1.4), tracking and tracing (Criterion 1.5), legal issues (Criterion 1.6), anti-corruption (Criterion 1.7), and the long-term commitment to FSC (Criterion 1.8).

International treaties, conventions and agreements apply only when, through ratification, they become law in the relevant country. However, requirements in Principles 2-10 may be more stringent than national or local laws and may require compliance with international law even when the conventions have not been ratified nationally.

Customary rights are covered in Principles 3 and 4, unless organized into a system recognized as equivalent to statutory or common law.

Complying with Principle 1 does not necessarily require documentation. Small and low intensity managed forest enterprises, for example, may not have the appropriate paperwork, but may be able to show compliance through oral records, honor systems, or visible evidence on the ground, etc.

Summary of revisions

Principle 1 and Criteria	Notes
P1 Comply with all applicable laws, regulations and nationally-ratified international treaties, conventions and agreements	Revised to simplify and clarify applicability of national legislation and international conventions (ratification).
C1.1 Be a legally defined entity, clear and unchallenged, with written authorization from competent authorities.	New, filling a gap in the Principles and Criteria in line with legality verification schemes.
C1.2 Demonstrate that the legal status of the Management Unit is clearly defined.	Revised, from current Criterion 2.1, as status of Management Units must be clearly established, apart from their relation to Organizations.
C1.3 Have all the legal rights to operate in the Management Unit, and comply with all applicable requirements.	Revised, from current Criterion 1.1 and 1.2 to include needs of legality verification schemes, and Criterion 1.3 for international agreements to be respected.
C1.4 Protect the Management Unit from unauthorized resource use, settlement and other illegal activities.	Revised, from current Criterion 1.5, with a more active approach to illegal or unauthorized activities, and requires the implementation of measures.
C1.5 Comply with applicable national and local laws, conventions and obligatory codes of practice.	Revised, from current Criterion 1.3, clarifying the need for tracking from the point of origin, and complementing chain of custody requirements.
C1.6 Identify, prevent and resolve legal disputes in a timely manner, and out of court where possible.	Revised, from current Criterion 2.3, moved because legal disputes can prevent certification. Part of Criterion 2.3 removed in line with a 2005 General Assembly motion, because it is guidance for conformity assessment bodies.
C1.7 Comply with anti-corruption legislation, or where this does not exist, implement other measures.	New, to respond to many examples of high levels of corruption in the forestry sector.

- C1.8** Demonstrate a long-term commitment to the Principles and Criteria in the Management Unit. Revised, from current Criterion 1.6, now this main defense against ‘green washing’ indicates how compliance should be demonstrated.

Principle 2: Workers’ rights and employment conditions

To maintain or enhance workers’ social and economic wellbeing

The six Criteria cover all areas of workers’ rights: the fundamentals (Criterion 2.1), gender equality (Criterion 2.2), health and safety (Criterion 2.3), minimum or ‘living’ wages (Criterion 2.4), training and supervision (Criterion 2.5), and grievances and compensation (Criterion 2.6). The requirements now include issues covered in conventions of International Labour Organization (ILO), and specifically the most relevant eight Core Labour Conventions.

Compliance does not require The Organization to provide contractors, sub-contractors or their employees with voluntary benefits that may be given to employed workers, such as pension schemes, bonuses, profit sharing.

This Principle applies to all ‘workers’. This includes public, part-time and seasonal employees, self employed contractors, sub-contractors and their employees, of all ranks and types – laborers, administrators, supervisors, executives, etc.

Most or all Criteria under this Principle may be met by complying with national laws, especially in countries that have ratified and implemented the ILO Core Labour Conventions. However, whenever social and labor laws are weaker than the requirements of the Principles and Criteria, the Principle and Criteria will prevail. Evaluation of compliance is required in either case.

Principle 2 was part of a major structural revision of the Principles and Criteria. Principle 2 now deals entirely with workers’ rights, which were previously covered by Principle 4, but which merited a Principle of its own. The requirements under current Principle 2 (Tenure and use rights and responsibilities) were transferred to Principles 1, 3 and 4. This left Principle 2 ‘open’.

Summary of revisions

Principle 2 and Criteria	Notes
P2 Maintain or enhance the social and economic wellbeing of workers.	Based on current Principle 4, now focusing on workers only.
C2.1 Uphold the ILO Declaration on Funda-	Revised, from current Criterion 4.3,



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| <p>mental Principles and Rights at Work (1998).</p> <p>C2.2 Promote gender equality in employment practices, training, contracts and management.</p> <p>C2.3 Protect workers following the ILO Code of Practice on Safety and Health in Forestry Work.</p> <p>C2.4 Pay wages at least to minimum relevant standards or wage agreements, or 'living wages' if higher.</p> <p>C2.5 Provide job-specific training and supervision to safely and effectively implement the management plan.</p> <p>C2.6 Resolving grievances and fairly compensate for occupational loss, damage, disease or injury.</p> | <p>referring more specifically to the ILO Declaration and Core Conventions, and to also include contractors.</p> <p>New, as gender equality is not covered by ILO Core Conventions, but is enshrined in the UN Universal Declaration of Human Rights (1948).</p> <p>Revised, from current Criterion 4.2, now requiring compliance with the ILO Code.</p> <p>New, including an important need to identify the level of a living wage where there are no established minimum wages.</p> <p>Revised, from current Criterion 7.3, mostly unchanged, to ensure that workers have the necessary set of skills to work properly and safely.</p> <p>New, addressing an identified gap in the current Principles and Criteria.</p> |
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Principle 3: Indigenous peoples' rights

To identify and uphold indigenous peoples rights of ownership and use of land and resources

The Organization should respect, sustain and support indigenous peoples' legal and customary rights. By upholding their rights, compliance with this Principle and its six Criteria means that The Organization will not reduce the actual rights held by indigenous peoples, nor their claim to legal rights.

The sequence of events that The Organization should follow are indicated in the first three Criteria, being the identification of any indigenous peoples within or affected by management activities in the certified area (Criterion 3.1), recognizing and upholding their right to control relevant management activities and requiring Free, Prior and Informed Consent in the case of delegation of these rights (Criterion 3.2), and making agreements with them through Free Prior and Informed consent in the case of delegation (Criterion 3.3). Outcomes which The Organization is required to demonstrate regarding indigenous peoples' rights are covered in Criterion 3.4, 3.5 and 3.6.

It is accepted that some indigenous peoples do not own the resources (legal title or ownership), but may continue to have resource access rights, such as collective or communal collecting of non-timber forest products for cultural reasons as well as for direct use, processing or sale.

In countries that have ratified the United Nations Declaration on the Rights of Indigenous Peoples (UNDRIP, 2007) and ILO Convention 169 (1989), Criteria under this Principle may be met by complying with national laws.

As with all the Principles and Criteria, other entities or persons permitted or contracted by The Organization to work in the Management Unit or undertake related operations, are also required to comply with the requirements under Principle 3.

The current Principle refers to recognizing and respecting the rights of indigenous peoples, but the new Principle and its Criteria make it more explicit that The Organization must identify and uphold them.

Summary of revisions

Principle 3 and Criteria	Notes
P3 Identify and uphold indigenous peoples' legal and customary rights of ownership, use and management of land, territories and resources affected by management activities.	Revision to clarify the responsibility to identify and uphold the rights of indigenous peoples.
C3.1 Identify indigenous peoples and their customary and legal rights, and any contested areas or issues.	New, addressing a gap in the current Principles and Criteria.
C3.2 Recognize and uphold the rights of indigenous peoples to control management activities to protect their rights and their resources. Delegation of control only through Free, Prior and Informed Consent.	Revised, from current Criterion 3.1 and 3.2, clarifying rights of indigenous peoples with more legally defensible and globally applicable wording.
C3.3 In the event of delegation of control, guarantee use of 'Free, Prior and Informed Consent' agreements.	New, further clarifying the rights of indigenous peoples.
C3.4 Uphold rights, customs and culture of indigenous peoples (as in UNDRIP, 2007; and ILO 169, 1989).	Revised, from current Criterion 3.2, strengthening the rights of indigenous peoples by linking to this Declaration and this Convention.
C3.5 Identify sites of special significance and agree their management or protection through engagement.	Revised, from current Criterion 3.3, addressing repeated concerns from indigenous peoples about damage

C3.6 Protect traditional knowledge and compensate for the utilization of such knowledge.

caused by careless or uninformed field crews.

Revised, from current Criterion 3.4, now requiring Free, Prior and Informed Consent to use indigenous peoples' knowledge even if compensation is paid.

Principle 4: Community relations

To maintain or enhance local communities' social and economic wellbeing

The eight Criteria cover the relationship between The Organization and communities in and around the certified area, and a guarantee that local peoples' concerns are heard and needs are met.

As with Principle 3, the same sequence of events (identification, engagement and agreement) is covered in Criterion 4.1 and 4.2. Six additional Criteria describe the required outcomes of securing positive social impacts (Criterion 4.3, 4.4, 4.7 and 4.8), addressing negative impacts (Criterion 4.5), resolving grievances (Criterion 4.6), protecting significant sites (Criterion 4.7) and protecting traditional knowledge and intellectual property (Criterion 4.8).

It is important to note that 'local communities' in the context of the Principles and Criteria *includes* communities made up of indigenous peoples. Principle 4 addresses some issues of concern to indigenous peoples (in criteria Criterion 4.3, 4.4, 4.5 and 4.6). They are included in this Principle, instead of in Principle 3, in recognition that the issues are equally relevant to all local communities.

The need for auditable evidence is not intended to impose extra burdens on The Organization, as all the suggested evidence should be held in business records in any case, or in oral records of some small low intensity managed forest enterprises.

Some of the revisions to Principle 4 (Criterion 4.1, 4.2, 4.7 and 4.8) are analogous to those of Principle 3, clarifying how The Organization engages with these communities. The other Criteria specify what practical actions may be undertaken to both enhance and protect wellbeing. The phrase 'long term' was removed as it proved difficult to audit and imposed unlimited future commitments.

Summary of revisions

Principle 4 and Criteria	Notes
P4 Maintain or enhance the long-term social and economic well-being of forest work-	Based on current Principle 4, now focusing on local communities only.



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| C4.1 | Identify local communities affected by management, their rights, access and use of forest resources. | New, addressing a gap in the Principles and Criteria, as a precursor to Criterion 4.2. |
| C4.2 | Recognize and uphold rights of local communities to maintain control and protect their rights and resources. | Revised, from current Criterion 2.2, moved because of the subject, and strengthened by requiring prior consent. |
| C4.3 | Provide employment, training and services to local communities. | Revised, from current Criterion 4.1, clarifying the application to contractors and suppliers and so clarifying the aims of promoting local development. |
| C4.4 | Additional activities to contribute to social and economic development of local communities. | Revised, from current Criterion 4.4, now focusing on the positive impacts (planning and consultation components now addressed in Principle 7). |
| C4.5 | Identify and avoid negative impacts of management activities on affected communities. | Revised, from current Criterion 4.4, now focusing on the negative impacts (planning and consultation components now addressed in Principle 7). |
| C4.6 | Resolving grievances and provide compensation to local communities and individuals regarding impacts. | Revised, from current Criterion 4.5, clarifying the responsibilities of The Organization. |
| C4.7 | Identify sites of special significance and agree on their management. | New, addressing repeated concerns from local communities about damage caused by careless or uninformed field crews. |
| C4.8 | Protect traditional knowledge and compensate local communities for the use of such intellectual property. | New, addressing a gap in the Principles and Criteria on intellectual property rights of local communities. |

Principle 5: Benefits from the forest

To maintain or enhance long term economic, social and environmental benefits

This Principle and its five Criteria require efficient management that aims to maintain or enhance long-term economic viability of The Organization and the range of ecosystem services and social benefits that can be provided by the Management Unit. The objectives have equal importance, and what is needed to achieve the required balance is described.

Criterion 5.1 clarifies the requirements in relation to strengthening and diversifying the local economy based on the range of products and services available from the Management Unit. Subsequently, according to Criterion 5.2, The Organization must ensure that this range of products and services is sustained over time. The operational plan will have impacts on the local economy and therefore Criterion 5.3 requires that these externalities are considered, while Criterion 5.4 specifically requires that local providers should be used where reasonable. All of these Criteria contribute to the overall economic viability of The Organization, which is further defined in Criterion 5.5.

This Principle applies equally to for-profit and not-for-profit operations respecting that some Management Units may not be managed to generate financial wealth as measured through normal economic viability practices. Management objectives may exclusively aim at providing social benefits or ecosystem services such as conservation or biodiversity protection, but such operations must still demonstrate sound economic management in order to deliver these objectives.

Efficient management aimed at enhancing social benefits may include providing opportunities to local entrepreneurs (Criterion 5.1 and 5.4).

Terms difficult to audit, such as 'encourage', were removed from here and elsewhere in the current Principles and Criteria.

Summary of revisions

Principle 5 and Criteria	Notes
P5 Efficiently manage multiple products and services of the Management Unit for long term economic viability and environmental and social benefits.	Revised for improved auditability. Clarity was given to the differences between long-term viability and short-term efficiency.
C5.1 Enable the production of diversified benefits based on the range of existing resources and ecosystem services.	Revised, from current Criterion 5.2 and 5.4, broadened from just timber to all potential products and services.
C5.2 Ensure that harvesting levels do not impair the long-term sustainability of yields, services and functions.	Revised, from current Criterion 5.6, now not just for timber but all products and services. It also allows for unforeseen natural events that may impact on regular harvests.
C5.3 Demonstrate that positive and negative externalities of operation are included in the management plan.	Revised, from current Criterion 5.1, separated into two (Criterion 5.3 and 5.1) to avoid 'compound' Criteria.
C5.4 Use local processing, services, and value addition where these are available, or	Revised, from current Criterion 5.2, now legally more compatible with

help establish them if appropriate.

C5.5 Demonstrate commitment to long-term economic viability.

international and national competition regulations.

Revised from current Criterion 5.1, as a culmination of the other Criteria, and to conclude a new logical sequence.

Principle 6: Environmental values and impacts

To maintain or restore the ecosystem, its biodiversity, resources, landscapes

Environmental values include ecosystem functions, biological diversity, biomass resources, water, soils, atmosphere and landscape values. The benefits people gain from them are called 'ecosystem services'. There are ten Criteria, and some elements are also covered under Principle 10.

Criteria 6.1, 6.2 and 6.3 are arranged in order: identifying and assessing environmental values in the Management Unit (Criterion 6.1), identifying potential negative impacts of management on these environmental values (Criterion 6.2) and describing measures to prevent or repair these negative impacts (Criterion 6.3).

The remaining Criteria provide specific guidance on the measures required for environmental values and impacts relating to: rare and threatened species (Criterion 6.4), ecosystems (Criterion 6.5), biological diversity (Criterion 6.6), aquatic resources including wetlands (Criterion 6.7), landscape values (Criterion 6.8), present and future conversion (Criterion 6.9), and past conversion (Criterion 6.10).

Results of the assessment need to be incorporated in the management plan (Criterion 7.2), and should include the environmental values and potential negative impacts. External events such as storms, fires, pests and changes to habitats and the environments inside and outside the Management Unit are among the potential negative impacts.

The word 'restoration' is used to mean either repairing damage done to environmental values, or forming more natural conditions in heavily degraded sites. The word 'restore' does not mean a need to re-create any historic ecosystem. However, when environmental values have been affected by factors beyond the control of The Organization (natural disasters, climate change, third party activities) they still need to be mentioned in the management plan.

Summary of revisions

	Principle 6 and Criteria	Notes
P6	Maintain or restore environmental val-	Clarification of previously unclear



ues ecosystem services of the management unit and avoid, repair or mitigate negative impacts.

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| C6.1 | Assess environmental values, necessary conservation measures, and monitor management impacts. | New, as an essential and logical precursor to Criterion 6.2. |
| C6.2 | Assess potential environmental impacts before site-disturbing activities. | Revised, from current Criterion 6.1, complementing needs for Environmental Impact Assessments. |
| C6.3 | Prevent negative environmental impacts of management, and repair those that occur. | Revised, from current Criterion 6.1, active approaches now needed, and on all certified areas. |
| C6.4 | Protect rare and threatened species and their habitats, considering their absolute range and requirements. | Revised, from current Criterion 6.2, addressing landscape level considerations. |
| C6.5 | Conserve or restore representative areas of natural ecosystems within the Management Unit. | Revised, from current Criterion 6.4 and 10.5, reducing ambiguity, independent of conservation outside. |
| C6.6 | Ensure native species survival and manage hunting, fishing, trapping and collecting. | Revised, from current Criterion 6.2 and 6.3, improving clarity of wording and now for all situations not only RTEs. |
| C6.7 | Protect natural water courses, water bodies and riparian zones, including natural cycles and flows. | Revised, from current Criterion 6.5 and 10.2, focusing on water; other issues moved to other Criteria. |
| C6.8 | Maintain the landscape values for enhancing environmental and economic resilience. | Revised, from current Criterion 10.2 and 10.3, 'values' now included with other landscape elements. |
| C6.9 | Not allow any conversion of natural forest to plantations, unless in very limited and defined situations. | Revised, from current Criterion 6.10, extending the prohibition to other identified sites (e.g. HCVs). Clarifies the types of forests that are protected from conversion. |
| C6.10 | Plantations converted from natural forest after November 1994 cannot be certified. | Revised, from current Criterion 10.9 to improve clarity and in accordance with existing FSC policies. |

Principle 7: Management planning

To have a management plan, implemented, monitored and documented

Principle 7 ensures that every Management Unit has management planning and a management system, but provides flexibility to adapt this to each situation and The Organization's objectives.

This Principle and its six Criteria cover the needed policies, visions, values and objectives (Criterion 7.1), development and implementation of corresponding management plans (Criterion 7.2), establishment of indicators for evaluating success (Criterion 7.3), management plan revisions (Criterion 7.4), and information for, and engagement of, affected and interested stakeholders (Criterion 7.5 and 7.6).

The amount of documentation needs to be enough to help staff implement the management plan, and to justify management decisions for interested stakeholders and certification bodies. But in evaluating management planning, the focus should be on results, and not the level of documentation. Determining compliance may be done through site visits, interviews with knowledgeable groups or individuals if this is appropriate. Adaptive management is advised, which continually improves management policies and practices by learning from the results of what has already been done.

The documentation required should be evaluated based on scale, intensity and risk of the particular issue under review. The ultimate decision for determining the level of compliance needs to be the end result that has been achieved – not whether or not the documents are exhaustive.

Revised Principle 7 and its criteria now reflect that the whole process of management planning is covered, and not just the documentation.

Summary of revisions

Principle 7 and Criteria	Notes
P7 Have an up-to-date management plan consistent with policies and objectives to promote adaptive management and inform staff and stakeholders.	The revised principle clarifies that every management unit has management system suitable to type, situation and management objectives for the management unit.
C7.1 Establish policies and objectives for management that are environmentally sound, socially beneficial and economically viable.	Revised from current Criterion 7.1(a) to clarify the requirements in relation to establishing management objectives.
C7.2 Implement forest and social management planning that meets the FSC requirements, depending on scale, intensity and risk.	Revised, from the current Criterion 7.1. Management plan elements removed to allow development of management plans suitable for

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| <p>C7.3 Include verifiable targets by which progress towards the described objectives can be assessed.</p> <p>C7.4 Incorporate results of monitoring, evaluation, stakeholder engagement and changing circumstances into periodic revisions of the plan.</p> <p>C7.5 Make a management plan summary publicly available, on request and free of charge or at cost.</p> <p>C7.6 Transparently engage stakeholders in planning and monitoring, and respond to their requests.</p> | <p>specific situation.
New, closes a gap in relation to assessing achievement of management objectives.</p> <p>Revised, from the current Criterion 7.2, to include stakeholder engagement.</p> <p>Revised, from the current Criterion 7.4, for clarification and simplification.</p> <p>Revised, from the current Criterion 4.4 for clarification in line with the recommendations of the policy phase of the Plantations Review (2006).</p> |
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Principle 8: Monitoring and assessment

To demonstrate progress towards management objectives

This Principle requires that monitoring be carried out, allowing for adaptive management to occur.

Of the five Criteria, the first three cover monitoring the implementation of the management plan (Criterion 8.1), environmental and social impacts (Criterion 8.2) and feedback of results into periodic revision (Criterion 8.3). To improve transparency, non-confidential results are made available (Criterion 8.4), and the provenance and quantity of forest products are monitored, and not just the activities, objectives and impacts (Criterion 8.5). There is linkage to Principle 7, especially regarding stakeholder involvement (Criterion 7.4 and 7.6).

Monitoring procedures must be 'fit for purpose', able to identify risks and unacceptable impacts, and suitable and consistent over time. This depends on the scale, intensity and risk, but high risk activities take priority.

Lesson-learning and continuous improvement of the quality of the management is needed to conform to the adaptive management approach as part of Principle 7. For this, The Organization must estimate what changes are due to management activities, natural processes, external changes or unexplained effects.

Compliance requires that forest products must be covered by a valid chain of custody certificate or by a joint forest management/chain of custody certificate in order for the FSC trademarks to be used.

Summary of revisions

Principle 8 and Criteria	Notes
P8 Monitor achievement of management objectives, impacts and condition of management unit in order to implement adaptive management.	'Risk' was added to require the appropriate level of monitoring, and to minimize hazards of possible negative impacts of management activities. The wording was updated to emphasize the adaptive management process.
C8.1 Monitor implementation of the management plan and achievement of its verifiable targets.	New, so that monitoring of the implementation of the management plan is in line with the adaptive management process.
C8.2 Monitor and evaluate environmental and social impacts and changes in environmental conditions.	Revised, details of elements to be monitored removed, in order to allow adaptation to scale, intensity and risk.
C8.3 Analyze the results of monitoring and evaluation and feed back into the planning process.	Revised, from current Criterion 8.4, by including evaluation.
C8.4 Make a summary of the monitoring publicly available, free of charge.	Revised, from current Criterion 8.5, for simplification and clarity in relation to confidential information.
C8.5 Demonstrate the source and volume of all products that are marketed as FSC certified.	Revised, from current Criterion 8.3, to align with FSC-STD-20-007 Forest Management Evaluations.

Principle 9: High Conservation Values

To maintain or enhance special conservation values using a precautionary approach

The Organization is obliged to maintain or enhance High Conservation Values (HCVs) that exist/existed at the time of certification. Unlike Principle 6 that deals with protection and restoration of 'normal' environmental values, this Principle deals with unique or exceptionally important values that need extra precautionary measures.

The four Criteria follow a process of first assessing whether there are High Conservation Values on the certified area (Criterion 9.1), developing strategies for their maintenance and enhancement (Criterion 9.2), implementing those strategies (Criterion 9.3), and finally, monitoring changes and applying adaptive management where and when needed (Criterion 9.4).

The 'precautionary approach' requires that, when management activities pose a threat of severe environmental damage or a threat to human welfare, The Organization will take effective preventative measures, even when the scientific information is incomplete or uncertain. However, The Organization is not obliged to restore High Conservation Values affected by factors beyond its control (natural disasters, climate change, previous managers, etc.), or that may have existed in the historic or pre-historic past.

This Principle covers all types of vegetation and space within the certified area, and where there are High Conservation Values, their protection and maintenance should be described in the management plan (Criterion 7.2), and must be monitored (Criterion 8.2 and 9.4).

In Principle 9, High Conservation Values have replaced High Conservation Value Forests and the six categories of High Conservation Values are included within Criterion 9.1.

Summary of revisions

Principle 9 and Criteria	Notes
P9 Maintain or enhance the High Conservation Values in the management unit through applying the precautionary approach.	The wording was condensed to reduce ambiguity and revised to clarify that all High Conservation Values, are covered.
C9.1 Record all High Conservation Values present in the Management Unit.	Revised to clearly define the High Conservation Values that might be present in the management unit and need to be recorded.
C9.2 Maintain or enhance any High Conservation Values through engagement with stakeholders and experts.	Revised in order to align the requirements for stakeholder engagement in strategies for maintenance and enhancement of High Conservation Values.
C9.3 Using the precautionary approach, implement strategies and actions depending on scale, intensity and risk.	Revised in order to remove ambiguity.
C9.4 Monitor status changes in High Conservation Values periodically and adapt management to ensure effective protection.	Revised to recognize that changes are not always caused by human activities and that frequency of monitoring depends on the nature of the High Conservation Values.

Principle 10: Implementation of management activities

Outcomes from field activities, design and application of silvicultural systems are in line with management objectives and policies and the Principles and Criteria.

This Principle lays down requirements for management activities, but without being technically prescriptive. Management activities typically include road building, harvesting, and silvicultural practices. It replaces the current Principle 10 on plantations, which was dissolved into the other nine Principles.

The Criteria cover regeneration and species choice (Criterion 10.1 to 10.4), silviculture (Criterion 10.5) and other aspects of stand management (Criterion 10.6 to 10.9), infra-structural development (Criterion 10.10), harvesting (Criterion 10.11) and waste management (Criterion 10.12). Each is concerned with minimizing negative ecological and human impacts.

Some individual Criteria cover specific issues such as 'no genetically modified organisms', and the minimal, reduced or careful use of alien species, biological control agents, fertilizers and chemical pesticides.

This Principle covers operational aspects of policies, objectives and procedures developed through planning (Principle 7), and allows compliance with environmental (Principles 6 and 9) and economic requirements (Principle 5).

As recommended by the Plantations Review current Principle 10 (plantations) and its criteria were dissolved into Principles 1 to 9 in recognition that the Principles and Criteria apply to all types of forest and tree-related vegetation .

Summary of revisions

	Principle 10 and Criteria	Notes
P10	Management activities are consistent with the economic, environmental and social policies and objectives and the FSC Principles and Criteria	New, to cover previously missing aspects of in-filed activities. The wording requires that field practice is in line with management objectives and policies and Principles and Criteria.
C10.1	Regenerate vegetation cover to pre-harvesting or more natural conditions in a timely fashion.	New, to require a practical commitment to restore pre-harvest vegetation if appropriate. The main intention is to restore soil-covering vegetation.
C10.2	Use species well adapted to the site and objectives, using native species unless a change is justified.	Revised, from current Criterion 10.4 and 10.8, to prefer the use of local species where possible.
C10.3	Alien species to be used only if they	Revised, from current Criterion 6.9



- are shown not to be invasive or can be effectively controlled.
- C10.4** The Organization shall not use genetically modified organisms in the Management Unit. Revised, from current Criterion 6.8, unchanged, but now separated from use of biological control agents.
- C10.5** Use only silvicultural practices that are ecologically appropriate for the vegetation, sites and objectives. New, to logically follow decisions made in Criterion 10.1 and the management objectives in Criterion 7.2, and to ensure soil and water conservation.
- C10.6** Avoid or aim to eliminate use of fertilizers, and if used, repair damage to environmental values. Revised, from current Criterion 10.7, now separated from use of pesticides.
- C10.7** Avoid or aim to eliminate use of chemical pesticides, not use FSC 'prohibited pesticides', and repair any damage. Revised, from current Criterion 6.6 and 10.7, focusing on the use of integrated pest management.
- C10.8** Control the use of biological control agents in accordance with international protocols. Revised, from the current Criterion 6.8, unchanged, but now separated from use of GMOs.
- C10.9** Reduce potential negative impacts from natural hazards proportionate to scale, intensity, and risk. New, including droughts, floods, fires, landslides, storms, pests, diseases and weeds.
- C10.10** Manage infrastructure and transport to protect water resources, soils, species, habitats, ecosystems, etc. Revised, from current Criterion 6.5, but noting that roads can impact values in other Principles.
- C10.11** When harvesting timber and other products, conserve environmental values and reduce waste and damage. Revised, from current Criterion 5.3 and 6.5, referring to other site disturbing activities at harvesting.
- C10.12** The Organization shall dispose of waste materials in an environmentally appropriate manner. Revised, from current Criterion 6.7, acknowledging that the best means could be on-site disposal.