

STANDARD DEVELOPMENT GROUP

UGANDA FOREST STEWARDSHIP STANDARD

Draft 2
FIELD-TESTED DRAFT

March 2016

The National Standard for responsible management of forests in Uganda

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ABBREVIATIONS

| | |
|--------|--|
| AAC | Allowable Annual Cut |
| CBD | Convention on Biological Diversity |
| CITES | Convention on International Trade on Endangered Species |
| EIA | Environmental Impact Assessment |
| FAO | Food and Agricultural Organization of the United Nations |
| FMP | Forest Management Plan |
| FMU | Forest Management Unit |
| FSC | Forest Stewardship Council |
| FSSD | Forestry Services Support Department |
| GMO | Genetically Modified Organism |
| HCV | High Conservation Value |
| HCVF | High Conservation Value Forest |
| ILO | International Labour Organization |
| IP | Indigenous Peoples |
| ISSMI | Integrated Stock Survey and Management Inventory |
| IUCN | International Union of Conservation of Nature |
| LPI | Low Potential Impact |
| LPIO | Low Potential Impact Organization |
| MWE | Ministry of Water and Environment |
| NEMA | National Environment Management Authority |
| NFA | National Forestry Authority |
| NFSS | National Forest Stewardship Standard |
| NFTPA | National Forestry and Tree Planting Act |
| NGO | Non-Government Organization |
| NTFP | Non-Timber Forest Product |
| P&C | Principles and Criteria |
| PFE | Permanent Forest Estate |
| PMU | Policy and Standard Unit |
| PSP | Permanent Sample Plot |
| RFM | Responsible Forest Management |
| SDG | Standard Development Group |
| SFM | Sustainable Forest Management |
| SIR | Scale, Intensity and Risk |
| SLIMF | Small and Low Intensity Managed Forest |
| SNR | Strict Nature Reserve |
| SPGS | Sawlog Production Grant Scheme |
| SPI | Standard Potential Impact |
| SPIO | Standard Potential Impact Organization |
| TMF | Tropical Moist Forest |
| UFWG | Uganda Forestry Working Group |
| | United Nations Declaration on the Rights of Indigenous Peoples |
| UNDRIP | |
| UWA | Uganda Wildlife Authority |
| WWF | Worldwide Fund for Nature |

1. PREFACE

1.1 Historic Context of Developing the SFM Standard

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

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

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

1.2 Descriptive Statement of FSC

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

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

2. INTRODUCTION TO THE STANDARD

2.1 Purpose of the Standard

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

1. To provide a yardstick for RFM in Uganda. In this respect, the Standard provides a level of excellence which Organization*'s worker*s would strive to achieve, even if they are not working for forest certification.
2. To serves as a tool of forest management through which Responsible Bodies (as defined in the National Forestry and Tree Planting Act, 2003) can conduct a self-assessment or audit to see to what extent they are meeting the requirements of responsible forest management.
3. To serve as the Standard to be used by FSC accredited Certification Bodies (CBs) to evaluate forest management practices at FMU level for purposes of forest certification in Uganda.

2.2 Scope of the Standard

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

2.3 Scale, Intensity and Risk (SIR)

2.3.1 Size category

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

Table 1: Categorization of forests according to Scale

| SCALE | Small Size | | Medium Size | |
|-------|-----------------|-------------|-----------------|----------------|
| | Natural Forests | Plantations | Natural Forests | Plantations |
| | <1,000ha | <1,000ha | 1,000-300,000ha | 1,000-80,000ha |

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

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

2.3.2 Intensity category

Intensity is a measure of the force, severity or strength of the impact of a management activity on environmental, social or economic values. In the context of forest management, intensity usually refers to site disturbing activities, such as disturbance caused by harvesting machinery, removal of trees, soil preparation, planting, use of fertilizers, use of pesticides, etc.

Management activities may be considered to have a high intensity when they have high direct or indirect impacts on environmental, social or economic values. An activity with a low intensity is expected to have a minor impact on a particular value, or on values in general.

2.3.3 Definitions of potential impact by different management regimes

a) Management Regimes of Low Potential Impact (LPI)

- Harvesting of Non-IUCN red-listed NTFP species only; OR
- Provision of ecosystem services; OR
- Sawlog Felling Cycle ≥ 30 years in natural forests; AND
- Sawlog Harvesting $\leq 30\text{m}^3/\text{ha}$ over the Felling Cycle in natural forests; OR
- Any combination or all of the activities above being carried out in one management unit; AND
- Not using heavy machinery; AND
- Not using chemicals

b) Management Regimes of Standard Potential Impact (SPI)

- Harvesting includes IUCN red-listed NTFP species; OR
- Provision of ecosystem services; OR
- Sawlog Felling Cycle ≥ 30 years in natural forests; AND
- Sawlog Harvesting $\leq 60\text{m}^3/\text{ha}$ over the rotation period in natural forests; OR
- Using either chemicals or heavy machinery, but not both; OR
- Any combination or all of the activities above being carried out in one management unit

c) Management Regimes of High Potential Impact (HPI)

- Sawlog Felling Cycle ≤ 30 years in natural forests; OR
- Sawlog harvesting $> 60\text{m}^3/\text{ha}$ over the rotation period in natural forests; OR
- Using chemicals; OR
- Using heavy machinery; OR
- Combining of any or all of the above with harvesting of IUCN red-listed species; OR
- Any combination or all of the activities above being carried out in one management unit

2.3.4 Potential Impacts

The scope of this Standard covers the Standard potential Impact organizations (under which the Standard Potential impact management regimes are applied) and the Low Potential Impact organizations (where low potential impact management regimes are applied). In Uganda, there are no high potential impact management regimes, and hence there are no High Potential Impact Organizations.

Specific alternative indicators have been developed to provide flexibility in applicability to the Low Potential Impact Organizations where lower minimal administrative burden are required. Such indicators are preceded by “**Low Potential Impact Organization**” to show that the alternative indicator was applicable only to the Low Impact Organization.

2.4 FSC Hierarchical framework

This Standard has been designed to comply with the requirements of FSC-STD-20-002 Structure and Content of Forest Stewardship Standards (February 2013), and founded on the 10 FSC Principles¹ (see

Table 2).

Table 2: FSC Principles of Responsible Forest Management

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

The Standard is structured in a hierarchy of FSC Principles, Criteria and a set of Indicators of forest management “best practice” that a forest owner or manager has to achieve under each criterion. For each indicator, Verifiers are provided. **Table 3** describes each element of the Standard.

Table 3: Hierarchy of the elements of the FSC Standard

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

¹ FSC Principles and Criteria for Forest Stewardship – FSC-STD-01-001 V5-1 EN

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

2.5 The Current Version

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

2.6 Effective Date

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

3. CONTEXT

3.1 General Description of the Area Covered by the Standard

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

3.2 Forestry in Uganda

Uganda has a total area of 24.155 million hectares, of which about 20.4 million is land, and the rest is covered by open water and wetlands. Forests cover 3.6 million ha (about 18% of land area), and are categorized broadly into forest plantations, tropical high forests, woodlands. However, there are also trees scattered in bushlands, grasslands, subsistence farmlands and commercial farmlands (**Table 4**).

Table 4: Uganda's National Land cover

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

Source: Adapted from National Forestry Authority, 2009

Almost all Ugandans use forest and tree products in one form or another (timber, poles, firewood, charcoal, non-timber forest products, or benefit from the ecological functions derived from the forests. However, there is increasing rate of deforestation. The National Forestry Authority estimated the average rate of deforestation in Uganda to be about 1.8%, based on the 2005 satellite imagery data (NFA, 2009). Deforestation was highest in woodlands (2%), followed by tropical high forests (0.9%) and plantations (0.3%). See **Table 5**.

Table 5: Changes in the forest cover between 1990 and 2005

| | Plantations | TMF | Woodlands | Total Forest cover |
|--------------------|-------------|----------|------------|--------------------|
| Area (ha) in 1990 | 35,066 | 924,207 | 3,974,102 | 4,933,375 |
| Area (ha) in 2005 | 33,527 | 792,649 | 2,777,998 | 3,604,174 |
| Change in Area | -1,539 | -131,558 | -1,196,104 | -1,329,201 |
| Annual change (ha) | -103 | -8,771 | -79,740 | 88,613 |
| % Change in Area | -4.4 | -14.2 | -30.1 | -26.9 |

| | Plantations | TMF | Woodlands | Total Forest cover |
|-------------------|-------------|------|-----------|--------------------|
| % Change per year | -0.3 | -0.9 | -2.0 | -1.8 |

Source: Adapted from NFA, 2009

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

3.3 The Process of Developing the Standard

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

Table 6: Members of the Standard Development Group

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

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

| Name | Organization | Institutional category | Expertise | Stakeholder interest |
|----------------------------|---------------------|------------------------|------------------------------|----------------------|
| | | | and stakeholder coordination | |
| 23. Mr. Steve Amooti Nsita | Havilah Company Ltd | Private sector | Expert on FSC Certification | Technical Support |
| 24. Mr. Stephen Khaukha | Havilah Company Ltd | Private sector | Forestry expert | Technical Support |
| 25. Mr. Edward K. Mupada | Havilah Company Ltd | Private sector | FSC Focal Point | Technical Support |

3.4 Associated documentation references in the Standard

| | |
|-------------------------------|---|
| <i>FSC-STD-01-001 V5-1 EN</i> | <i>FSC Principles and Criteria for Forest Stewardship</i> |
| <i>FSC-STD-60-004 V1-0 EN</i> | <i>International Generic Indicators</i> |
| <i>FSC-PRO-60-006 V2-0 EN</i> | <i>Development and Transfer of National Forest Stewardship Standards to the FSC Principles and Criteria Version 5-1</i> |
| <i>FSC-DIR-20-007 FSC</i> | <i>Directive on Forest Management Evaluations</i> |
| <i>FSC-ADV-30-901</i> | <i>Interpretation of Criterion 9-2</i> |
| <i>FSC-GUI-30-001 FSC</i> | <i>Pesticides Policy: Guidance on Implementation</i> |
| <i>FSC-GUI-30-004 FSC</i> | <i>Principles 2 and 3: Guidance on Interpretation</i> |
| <i>FSC-GUI-60-001</i> | <i>Guidance on the Interpretation of the FSC Principles and Criteria to Take Account of Small Scale and Low Intensity</i> |
| <i>FSC-GUI-60-002 V1-0 EN</i> | <i>Scale, Intensity and Risk (SIR) Guideline for Standard Developers</i> |
| <i>FSC-GUI-60-004 FSC</i> | <i>Forest Stewardship Standards: Structure, Content and Suggested Indicators</i> |
| <i>FSC-POL-01-004</i> | <i>Policy for the Association of Organizations with FSC</i> |
| <i>FSC-POL-10-004</i> | <i>Scope of Application of the FSC Principles and Criteria for Forest Stewardship, and associated FSC-DIS-01-001</i> |
| <i>FSC-POL-20-002</i> | <i>Partial Certification of Large Ownerships</i> |
| <i>FSC-POL-20-003</i> | <i>The Excision of Areas from the Scope of Certification</i> |
| <i>FSC-POL-30-001</i> | <i>FSC Pesticides Policy</i> |
| <i>FSC-POL-30-401 FSC</i> | <i>Certification and the ILO Conventions:</i> |
| <i>FSC-POL-30-602 FSC</i> | <i>Interpretation on GMOs (Genetically Modified Organisms)</i> |
| <i>FSC-PRO-01-001</i> | <i>The Development and Approval of FSC Social and Environmental International Standards</i> |
| <i>FSC-PRO-01-005</i> | <i>Processing Appeals</i> |
| <i>FSC-PRO-01-008</i> | <i>Processing Complaints in the FSC Certification Scheme</i> |
| <i>FSC-PRO-01-009</i> | <i>Processing Formal Complaints in the FSC Certification Scheme</i> |
| <i>FSC-STD-01-002</i> | <i>Glossary of Terms</i> |
| <i>FSC-STD-01-003</i> | <i>SLIMF Eligibility Criteria</i> |
| <i>FSC-STD-01-005 FSC</i> | <i>Dispute Resolution System</i> |
| <i>FSC-STD-20-001</i> | <i>General Requirements for FSC Accredited Certification Bodies</i> |

| | |
|-------------------------------|--|
| <i>FSC-STD-20-002 V2 1 EN</i> | <i>Structure and Content of Forest Stewardship Standards</i> |
| <i>FSC-STD-20-012</i> | <i>Standard for Evaluation of FSC Controlled Wood in Forest Management Enterprises</i> |
| <i>FSC-STD-30-005 FSC</i> | <i>Standard for Group Entities in Forest Management Groups</i> |
| <i>FSC-STD-30-010</i> | <i>Controlled Wood Standard for Forest Management Enterprises</i> |
| <i>FSC-STD-40-005</i> | <i>Standard for Company Evaluation of Controlled Wood</i> |
| <i>FSC-STD-60-002</i> | <i>Structure and Content of National Forest Stewardship Standards</i> |
| <i>FSC-STD-60-006</i> | <i>Development of National Forest Stewardship Standards</i> |

4. PRINCIPLES, CRITERIA AND INDICATORS

PRINCIPLE 1: COMPLIANCE WITH LAWS

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

1.1 *The Organization* shall* be a legally defined entity with clear, documented and unchallenged legal registration, with written authorization from the legally competent* authority for specific activities. (C1.1 V4)*

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|-------|---|---|---|---|---|
| 1.1.1 | Legal registration* to carry out all activities within the scope of the certificate is documented and unchallenged. | Legal registration* to carry out all activities within the scope of the certificate is documented and undisputed. | The term "unchallenged" is problematic to forest managers in Uganda given its political context | <ul style="list-style-type: none"> Documents of legal registration, which may include: Certificate of Incorporation (for Companies). | <p>Ref: The Companies Act, 1961</p> <p>Guide1: Government agencies are established by law or executive order. Registration of private and community based entities is normally carried out by the Registrar of Titles at national level and local government at district and sub-county level</p> <p>Guide 1: Legal registration to operate as an enterprise is done through the Registrar of companies,</p> |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|-------|---|---|-----------|--|---|
| | | | | | <p>NGO Registration Board, or Local Governments</p> <p>Guide2: Mandates of statutory bodies is prescribed in the respective Statutory Instruments establishing them. NFA (CFRs), local governments (LFRs), established under NFTP; UWA (wildlife conservation areas) established under Uganda Wildlife Act</p> |
| 1.1.2 | Legal registration* is granted by a legally competent* authority according to legally prescribed processes. | Legal registration* is granted by a legally competent* authority, according to legally prescribed processes | | <ul style="list-style-type: none"> • Evidence that the issuing body and signatory are legally authorized • Documents of legal registration, OR | <p>Guide:</p> <ul style="list-style-type: none"> • Legal registration to operate as an enterprise is done through the Registrar of companies, NGO Registration Board, or |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--|---------------------------------|--------------------------|-----------|--|--|
| | | | | <ul style="list-style-type: none"> • Statutory Instrument prescribing mandate | <p>Local Governments</p> <ul style="list-style-type: none"> • For CFRs, the NFTPAs defines the mandate of NFA as the responsible body • For LFRs, the NFTPAs defines local governments as responsible bodies • For Community Based Organisations: registration with the relevant District • For private individuals: The NFTPAs (2003) encourages the private forest owners to register with the respective District Land Boards |

1.2 The Organization* shall* demonstrate that the legal status of the Management Unit, including tenure and use rights, and its boundaries, are clearly defined. (C2.1 V4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|-------|--|---|---|---|--|
| 1.2.1 | Legal* tenure* to manage and use resources within the scope of the certificate is documented. | Legal* tenure* to manage and use resources within the scope of the certificate is documented. | | <ul style="list-style-type: none"> • Land titles • Certificates of customary ownership of land • Licenses, agreements, and confirmation letters from local authorities • Consultations with the Organization* 's worker*s and relevant stakeholders | <ul style="list-style-type: none"> • The Forest Reserves Declaration Order, 1998 (Schedule I: Central Forest Reserves, Schedule II Local Forest Reserves), • For private forests: The National Forestry and Tree Planting Act, Articles 21 (for private natural forest) and 22 (for private plantation forests). |
| 1.2.2 | Legal* tenure* is granted by a legally competent* authority according to legally prescribed processes. | Legal* tenure* is granted by a legally competent* authority or responsible body* according to legally prescribed processes. | In Uganda, a “Responsible body” means a body designated to manage, maintain and control a forest reserve, a community forest under the NFTP A and in case of a private forest, the owner or | <ul style="list-style-type: none"> • Land titles • Certificates of customary ownership • Licenses, agreements, and confirmation letters from local authorities • Consultations with the Organization* 's worker*s | Different responsible bodies for different forest categories are as follows (Ref NFTP A): <ul style="list-style-type: none"> • NFA - For Central Forest Reserves, • local government councils for Local Forest Reserves, • For community |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | | | person in charge of the forest | and relevant stakeholders | forests – a body declared by the Minister <ul style="list-style-type: none"> For private forests: the forest owner or person in charge of the forest |
| 1.2.3a | The boundaries of all Management Units* within the scope of the certificate are clearly marked or documented and clearly shown on maps. | The boundaries of all Management Units* within the scope of the certificate are clearly documented and shown on maps. | Separating the two aspects of the GI for clarity and specificity: One covering documentation and maps, and the second on marking the boundary on the ground. | <ul style="list-style-type: none"> boundary plan maps Forest Management Plans observation of boundary marks on the ground (cairns, live markers, direction trenches) interviews with the Organization’s workers and other stakeholders | <ul style="list-style-type: none"> Boundary description and maps are a requirement in a Forest Management Plan provided for under the NFTP. For the forest reserves, the Forest Reserves Declaration Order, 1998 gives reference to Boundary Plans (Schedule I: Central Forest Reserves, Schedule II Local Forest Reserves) |
| 1.2.3b | The boundaries of all Management Units* within | The boundaries of all Management Units* within | Arising from separation of indicator 1.2.3 for specificity. | <ul style="list-style-type: none"> observation of boundary marks on the ground | <p>Guidance</p> <ol style="list-style-type: none"> Legal obligation based on Management |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | the scope of the certificate are clearly marked or documented and clearly shown on maps. | the scope of the certificate are clearly marked on the ground. | It is important that boundaries for all FMUs are clearly marked on the ground, at least with live markers. This is already the practice in Uganda | (cairns, live markers, direction trenches) <ul style="list-style-type: none"> interviews with the Organization's workers and other stakeholders | Plan (sect 28) and sect 81(b) of the NFTP A which imply that managed forests have boundary marks; and guided by the Departmental Standing Orders (1997), as saved in the NFTP A and the regulations thereof 2. Clear marking and maintenance of the boundary on the ground is a good practice that addresses possible conflicts with neighbours and eases management |

1.3 The Organization* shall have legal rights to operate in the Management Unit*, which fit the legal status of The Organization* and of the Management Unit*, and shall* comply with the associated legal obligations in applicable national and local laws and regulations and administrative requirements. The legal* rights shall provide for harvest of products and/or supply of ecosystem services* from within the Management Unit*. The Organization* shall pay the legally prescribed charges associated with such rights and obligations. (C1.1, 1.2, 1.3 V4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| 1.3.1 | All activities, including the harvest of products and/or supply of ecosystem services*, are carried out in compliance with: 1. Applicable laws* and regulations and administrative requirements, 2. Obligatory codes of practice, and 3. Legal* and customary rights*. | All activities covered by the Management Plan, including the harvest of products and/or supply of ecosystem services*, are carried out in compliance with: 1. Applicable laws* and regulations and administrative requirements, 2. Obligatory codes of practice, and 3. Legal* and customary rights*. | | <ul style="list-style-type: none"> • The Forest Management Plan* and operational plans • Policies, operational procedures and standards. • Licences or permits • Interviews with, Organization *’s worker*s and other stakeholders. • Field observations | <p>Guide:</p> <p>1. See Annex A on applicable laws, regulations and administrative requirement and codes of practice</p> |
| 1.3.2 | Payment is made in <i>a timely manner*</i> of all applicable legally prescribed charges connected with forest* management. | Payment is made in <i>a timely manner*</i> of all applicable legally prescribed charges connected with forest* management. | | <ul style="list-style-type: none"> • Invoices, tax returns, receipts. • Books of Accounts • Interviews with the Organization’ s workers and other stakeholders. | <p>Guidance</p> <p>Legally prescribed charges include:</p> <ul style="list-style-type: none"> • Licence fees • Royalty fees • Land rent fees • Forest fees as prescribed in legal instrument 7 of 2000 • Forest produce fees and Licenses Order – SI No. 16 of 2000 • URA taxes (income tax, |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | | | | | pay as you earn, Value added tax, withholding tax, etc) as may be applicable <ul style="list-style-type: none"> • National Social Security Fund |

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

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| 1.4.1 a | Measures are implemented to provide protection* from unauthorized or illegal harvesting, hunting, fishing, trapping, collecting, settlement and other unauthorized activities. | Measures are implemented to provide protection* from unauthorized or illegal harvesting, hunting, fishing, trapping, collecting, settlement and other unauthorized activities. | | <ul style="list-style-type: none"> • A documented Forest protection Strategy • Records tracking various illegal activities • Field observations • interviews with Organization* 's worker*s and other stakeholders • Reports (monthly, situational, field visit reports, etc) | Guide: Illegal or prohibited activities are described in the NFTP Act, and other laws. |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | | | | • . | |
| 1.4.1b | | LPI Organizations Measures to control, monitor and prevent illegal and unauthorized activities on the Management Unit are in place and implemented | To cater for Low Potential Impact (LPI) Organizations | <ul style="list-style-type: none"> • Field observations • interviews with stakeholders | |
| 1.4.2 | Where protection* is the legal* responsibility of regulatory bodies, a system is implemented to work with these regulatory bodies to identify, report, control and discourage unauthorized or illegal* activities. | Where protection* is the legal responsibility of regulatory bodies, a system is implemented to work with these regulatory bodies to identify, report, control and discourage unauthorized or illegal* activities. | | <ul style="list-style-type: none"> • A record on collaborative activities • Interviews with Organization* 's worker*'s , regulatory bodies and other stakeholders | <ul style="list-style-type: none"> • The Ministry responsible for forestry is responsible for regulation and overall oversight of forestry sector • NFA is responsible for the management of CFRs • UWA is responsible for management of wildlife resources both inside and outside protected areas • Local governments are responsible for LFRs and |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | | | | | <p>decentralized forestry functions</p> <ul style="list-style-type: none"> NEMA is responsible for regulating environmental management |
| 1.4.3 | If illegal or unauthorized activities are detected, measures are implemented to address them. | If illegal or unauthorized activities are detected, measures are implemented to address them. | | <ul style="list-style-type: none"> Documented evidence Interviews with Organization*'s worker*s, regulatory bodies and other stakeholders | |

1.5 The Organization* shall comply with the applicable national laws*, local laws, ratified international conventions and obligatory codes of practice*, relating to the transportation and trade of forest products within and from the Management Unit*, and/or up to the point of first sale. (C1.1, 1.3)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|-------|--|--|-----------|--|---|
| 1.5.1 | Compliance with applicable national laws*, local laws*, ratified* international conventions and obligatory codes of practice* relating to the transportation and trade of forest products up to the point of first sale is | Compliance with applicable national laws*, local laws*, ratified* international conventions and obligatory codes of practice* relating to the transportation and trade of forest products up to the point of first sale is | | <ul style="list-style-type: none"> Records on compliance receipts, Produce Movement Permits, field observations interviews with | <p>Guidance</p> <ol style="list-style-type: none"> Ref: Annex A The NFTP Regulations provides requirements along the chain of custody The following |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | demonstrated. | demonstrated. | | stakeholders | <p>documents are important in tracking the chain of custody:</p> <ul style="list-style-type: none"> • License to harvest; • Forest Produce Declaration Form; • Receipt indicating payment for the produce; • the coding of the timber (using a hammer to number identification numbers) • The Forest Produce Movement Permit. |
| 1.5.2 | Compliance with CITES provisions is demonstrated, including through possession of certificates for harvest and trade in any CITES species. | Compliance with CITES provisions is demonstrated, including through possession of certificates for harvest and trade in any CITES species. | | <ul style="list-style-type: none"> • Lists of CITES plants and animals, (see Annex A) • Evidence of protection of CITES species • Interviews with the Organization's workers and other stakeholders | <ol style="list-style-type: none"> 1. See Annex A (Part IV) for the list of CITES species in Uganda 2. The Ministry of Wildlife, Tourism |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | | | | | and Antiquities is responsible for the management of CITES; 3. The list of species can be found at the Ministry of Wildlife and Antiquities (for animals); at the Ministry of Water and Environment (for plants) |

1.6 The Organization* shall identify, prevent and resolve disputes over issues of statutory or customary law, which can be settled out of court in a timely manner, through engagement with affected stakeholders. (C2.3 V4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| 1.6.1 a | <i>A publicly available* dispute*</i> | <i>A publicly available* dispute*</i> | | <ul style="list-style-type: none"> Documented dispute resolution | Comment: Where CFM processes exist |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | resolution mechanism is in place; developed through <i>culturally appropriate*</i> engagement* with affected stakeholders*. | resolution mechanism is in place; developed through <i>culturally appropriate*</i> engagement* with affected stakeholders*. | | <ul style="list-style-type: none"> mechanism Evidence of public availability of document Records of engagements | the CFM agreements are expected to have a provision for conflict resolution |
| 1.6.1b | | <p><u>LPI Organizations</u> Dispute resolution is implemented through the locally accepted practices</p> | | <ul style="list-style-type: none"> Interviews with stakeholders | <p><u>Guidance:</u> In most cases there is a will to resolve disputes amicably based on mutual understanding. However, where this fails, local leaders are called in for help. Minutes of proceedings are taken by the Secretary of the Council for future reference. However, in actions of criminal nature, the police is called in.</p> |
| 1.6.2 | <i>Disputes*</i> related to issues of <i>applicable laws*</i> or <i>customary law*</i> that can be settled out of court are responded to in a <i>timely manner*</i> , and are either resolved or are in the <i>dispute*</i> | <i>Disputes</i> related to issues of <i>applicable laws*</i> or <i>customary law*</i> that can be settled out of court are responded to in a <i>timely manner*</i> , and are either resolved or are in the <i>dispute*</i> | | <ul style="list-style-type: none"> Documentary evidence Interviews with the Organization's workers and other stakeholders | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | resolution process. | resolution process. | | | |
| 1.6.3 | Up to date record of disputes related to issues of applicable laws* or customary law, are held including: 1. Steps taken to resolve <i>disputes*</i> ; 2. Outcomes of all <i>dispute*</i> resolution processes; and 3. Unresolved <i>disputes*</i> , the reasons why they are not resolved, and how they will be resolved. | Up to date record of disputes related to issues of applicable laws* or customary law, are held including: 1. Steps taken to resolve <i>disputes*</i> ; 2. Outcomes of all <i>dispute*</i> resolution processes; and 3. Unresolved <i>disputes*</i> , the reasons why they are not resolved, and how they will be resolved. | | <ul style="list-style-type: none"> • Documented records of the disputes • Interviews with stakeholders | |
| 1.6.4 | Operations cease in areas where disputes exist of: 1. Substantial magnitude; 2. Substantial duration; or 3. Involving a significant* number of interests. | Operations cease in areas where disputes involving the following exist: 1. ownership and management rights of the resource is disputed 2. the safety of workers or local communities is threatened 3. court has issued an injunction | In Uganda, these are the key issues that constitute disputes of substantial magnitude, duration and usually involving a significant number of interests | <ul style="list-style-type: none"> • Interviews with Organization*'s worker*s and consultation with representatives of local communities, local government officials, traditional leaders and other opinion leaders. • Complete record of a history of disputes | Guidance: The indicator identifies the three key areas where disputes exist of: 1. Substantial magnitude; 2. Substantial duration, or 3. Involves significant numbers of interest |

1.7 The Organization* shall* publicize a commitment not to offer or receive bribes in money or any other form of corruption, and shall comply with anti-corruption legislation where this exists. In the absence of anti-corruption legislation, The Organization* shall* implement other anti-corruption measures proportionate to the scale* and intensity* of management activities and the risk* of corruption. (New)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| 1.7.1a | A policy is implemented that includes a commitment not to offer or receive bribes of any description. | A policy is implemented that includes a commitment not to offer or receive bribes of any description. | | <ul style="list-style-type: none"> • Policy statement • Interview with Organization's workers • Interview stakeholders | <p>Guidance:</p> <p>1. Refer to the Anti-Corruption Act (2009)</p> <p>In Uganda, the points in operations where corruption is likely to occur include getting a license to plant in FRs; payment of the necessary fees & taxes; under-declaration of forest produce (sizes, quantities, species), illegal harvesting in FRs and marketing</p> |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | | | | | produce, among others |
| 1.7.1b | | <p><u>Low Potential Impact Organizations</u></p> <p>A statement that identifies the points in operations where corruption is likely to occur is included in the Management Plan and is implemented</p> | Low impact organizations do not have a comprehensive policy, but a statement in the Management Plan would be just as good, without necessarily requiring the Organization to prepare an expensive policy. | <ul style="list-style-type: none"> • FMP • Interview with other stakeholders • Interview with Organization's workers | In Uganda, the points in operations where corruption is likely to occur include getting a license to plant in FRs; payment of the necessary fees & taxes; under-declaration of forest produce (sizes, quantities, species), illegal harvesting in FRs and marketing produce, among others |
| 1.7.2 | The policy meets or exceeds related legislation. | The policy or statement meets or exceeds related legislation. | | <ul style="list-style-type: none"> • Policy or statement | Refer to Annex A on laws related to corruption |
| 1.7.3 | The policy is <i>publicly available*</i> at no cost | The policy or statement is <i>publicly available*</i> at no cost | | <ul style="list-style-type: none"> • Evidence of public availability | |
| 1.7.4 | Bribery, coercion and other acts of corruption do not occur. | Bribery, coercion and other acts of corruption do not occur. | | <ul style="list-style-type: none"> • Audit and monitoring reports • Interviews | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | | | | with the Organization's workers and other stakeholders <ul style="list-style-type: none"> Record of relevant legal or administrative proceedings | |
| 1.7.5 | Corrective measures are implemented if corruption does occur. | Corrective measures are implemented if corruption does occur | | <ul style="list-style-type: none"> Documented evidence of corrective measures applied Audit reports Interview with stakeholders Interview with Organization's workers | Guidance Documented evidence and audit reports may not be required for the LIOs |

1.8 The Organization* shall* demonstrate a long-term commitment to adhere to the FSC Principles* and Criteria* in the Management Unit*, and to related FSC Policies and Standards. A statement of this commitment shall be contained in a publicly available document made freely available. (C1.6)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| 1.8.1 | A written policy, endorsed by an individual with authority to implement the policy, includes a long- term commitment to forest* management | A written policy, endorsed by an individual with authority to implement the policy, includes a long- term commitment to forest* management | | <ul style="list-style-type: none"> Written policy with appropriate statement is available Evidence of public display and dissemination of policy | For LIOs A statement in a Management Plan committing the Organization to FSC Principles, Criteria, related policies and |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | practices consistent with the FSC Principles* and Criteria* and related Policies and Standards. | practices consistent with the FSC Principles* and Criteria* and related Policies and Standards. | | <ul style="list-style-type: none"> Interviews with Organization *'s worker*s, and stakeholders | standards is sufficient |
| 1.8.2 | The policy is publicly available* at no cost. | The policy is publicly available* at no cost. | | <ul style="list-style-type: none"> Evidence of public availability | |

PRINCIPLE 2: WORKERS' RIGHTS AND EMPLOYMENT CONDITIONS.

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

2.1 The Organization* shall* uphold* the principles* and rights at work as defined in the ILO Declaration on Fundamental Principles and Rights at Work (1998) based on the eight ILO Core Labour Conventions. (C4.3 V4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| 2.1.1 | Employment practices and conditions for workers* demonstrate conformity with or uphold the principles and rights of work addressed in the eight ILO Core Labour Conventions as defined in the ILO Declaration on Fundamental Principles and Rights at Work (1998). | Employment practices and conditions for workers* demonstrate conformity with or uphold the principles and rights of work addressed in the eight ILO Core Labour Conventions, as defined in the ILO Declaration on Fundamental Principles and Rights at Work (1998). | | <ul style="list-style-type: none"> Policies Interviews with workers and labour organizations Workers' contracts | Refer to Annex A (part II on laws related to workers' rights and employment conditions) |
| 2.1.2 | Workers* are able to establish | Workers* are able to establish | | <ul style="list-style-type: none"> Workers committees | Guidance 1 Implementation |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | or join labour organizations of their own choosing subject only to the rules of the labour organization concerned. | or join labour organizations of their own choosing subject only to the rules of the labour organization concerned. | | <ul style="list-style-type: none"> • Minutes of meetings for workers • Minutes of joint meetings between workers and Management | <p>of Article 5 of the Convention concerning Freedom of Association and Protection of the right to organize Convention (1948, No. 87).</p> <p>Ref: Annex A (Part II) on the 8 ILO Conventions and the Labour Union Act (2006).</p> <p><u>Guidance 2</u></p> <p>No specific Union branches exist for the forest sector in Uganda. But there are possibilities to join the Uganda National Organization of Trade Unions (UNATU).</p> |
| 2.1.3a | Agreements are implemented resulting from collective bargaining with formal and informal workers organization*. | Agreements are implemented resulting from collective bargaining with formal and informal workers organization*. | | <ul style="list-style-type: none"> • Evidence of agreements being implemented • Interviews with Organization *'s worker*s and Labour Union representatives, CSOs and local | <p><u>Guidance:</u> Implementation of the Right to Organize and Collective Bargaining Convention, 1949 (No. 98)</p> <p>Ref: Annex A on the 8 ILO Conventions and Sec 3 (c) and Sec</p> |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | | | | <ul style="list-style-type: none"> authorities • Copy of agreements | 24 (1) (d) of the Labour Unions Act (2006) |
| 2.1.3b | | There is no evidence of forced or compulsory labor in any operation under the control of the Organization*. | New national indicator aimed at domesticating the Forced Labour Convention, 1930 (No. 29) and the Abolition of Forced Labour Convention, 1957 (No. 105) | <ul style="list-style-type: none"> • Interviews with Organization *’s worker*s and Labour Union representatives, CSOs and local authorities | <p>Guidance:</p> <ol style="list-style-type: none"> 1. The indicator domesticates the Forced Labour Convention 130 (No. 29) and the Abolition of Forced Labour Convention, 1957 (No. 105). Ref: Annex A on the 8 ILO Conventions 2. Ref Sec 5 of the Employment Act (2006) |
| 2.1.3c | | Children under the age of twelve years are not employed. A child under the age of fourteen years is employed under supervision by an adult over eighteen years only where work is not injurious to the child physically, mentally and socially and does not affect the child’s education | New national indicator domesticating the Minimum Age Convention (1973) No. 138 | <ul style="list-style-type: none"> • Interviews with Organization *’s worker*s and Labour Union representatives, CSOs and local authorities • Specialized study reports • Field observations | <p>Guidance:</p> <p>Implementation of the Minimum Age Convention 1973 (No. 138)</p> <p>Ref: Annex A on the 8 ILO Conventions and Sec. 32 of the Employment Act (2006)</p> |

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

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| 2.2.1 | Systems are implemented that promote gender equality* and prevent gender discrimination in employment practices, training opportunities, awarding of contracts, processes of engagement* and management activities. | Systems are implemented that promote gender equality* and prevent gender discrimination in employment practices, training opportunities, awarding of contracts, processes of engagement* and management activities. | | <ul style="list-style-type: none"> • Policies, including the Human Resource Manual • Program / plans for implementing policies • Interviews with Organization*'s worker*s and labour union representatives, CSOs, local authorities. • | Guidance: Ref: Annex A, and Sec 6 of the Employment Act (2006) |
| 2.2.1b | | <p>Low Potential Impact Organizations</p> <p>There is commitment to promoting gender equity and preventing discrimination in management operations, awarding of contracts and training opportunities</p> | To cater for the Low Potential Impact Organizations | <ul style="list-style-type: none"> • Interviews with the Organization's workers and other stakeholders • Field observations | Guidance: Ref: Annex A, and Sec 6 of the Employment Act (2006) |
| 2.2.2 | Job opportunities are open to both women and men under the same conditions, and women are | Job opportunities are open to both women and men under the same conditions, and women are | | <ul style="list-style-type: none"> • Policies, including the Human Resource Manual • Interviews | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | encouraged to participate actively in all levels of employment. | encouraged to participate actively in all levels of employment | | <p>with Organization*'s worker*s and labour union representatives, CSOs, local authorities.</p> <ul style="list-style-type: none"> • Evidence that adverts encourage both women and men to apply | |
| 2.2.3 | Work typically carried out by women (nurseries, silviculture, Non Timber Forest Product harvesting, weighing, packing, etc) is included in training and health & safety programs to the same extent as work typically carried out by men. | Work typically carried out by women (nurseries, silviculture, Non Timber Forest Product harvesting, weighing, packing, etc) is included in training and health & safety programs to the same extent as work typically carried out by men | | <ul style="list-style-type: none"> • Training program • Interviews with workers • Training Reports (for large FMUs) | |
| 2.2.4 | Women and men are paid the same wage when they do the same work. | Women and men are paid the same wage when they do the same work. | | <ul style="list-style-type: none"> • Pay rolls • Interviews with the Organization's workers | |
| 2.2.5 | Women are paid directly and using mutually agreed methods (e.g. direct bank transfer, direct payments for school fees, etc.) to ensure they | Women are paid directly and using mutually agreed methods (e.g. direct bank transfer, direct payments for school fees, etc.) to ensure they | | <ul style="list-style-type: none"> • Evidence of direct payment to women • Interviews with the organization's workers | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | safely receive and retain their wages. | safely receive and retain their wages. | | | |
| 2.2.6a | Maternity leave is no less than a six-week period after childbirth. | Maternity leave is sixty working days, of which at least four weeks shall follow childbirth or miscarriage. | Indicator reworded to take into consideration the minimum legal requirements in Uganda | <ul style="list-style-type: none"> • Human Resource Manual (for large FMUs) • Interviews with the Organization's workers • Evidence of approval of maternity leave • Employment contracts | Guidance Refer to Sec 56 of the Employment Act (2006) |
| 2.2.6b | | Low Potential Impact Organizations Maternity leave is granted following childbirth or miscarriage | To cater for Low Potential Impact Organizations | <ul style="list-style-type: none"> • Interviews with the Organization's workers and other stakeholders • Field observations | Guidance: Refer to Sec 56 of the Employment Act (2006) |
| 2.2.7 | Paternity leave is available and there is no penalty for taking it. | Paternity leave is no less than four working days leave from work, fully paid and granted immediately after the delivery or miscarriage of a wife | Indicator reworded to take into consideration the minimum legal requirements in Uganda | <ul style="list-style-type: none"> • Human Resource Manual (for large FMUs) • Interviews with the Organization's workers • Evidence of approval of paternity leave • Employment contracts | Guidance: Refer to Sec 57 of the Employment Act (2006) |
| | | Low Potential Impact Organizations Paternity leave is granted | To cater for Low Potential Impact Organizations | <ul style="list-style-type: none"> • Interviews with the Organization's workers and other stakeholders | Guidance: Refer to Sec 57 of the Employment Act (2006) |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | | immediately after the delivery or miscarriage of a wife | | <ul style="list-style-type: none"> Field observations | |
| 2.2.8 | Meetings, management committees and decision-making forums are organized to include women and men, and to facilitate the active participation of both. | Meetings, management committees and decision-making forums are organized to include women and men, and to facilitate the active participation of both. | | <ul style="list-style-type: none"> Record of meetings and decision making forums Interview with the Organization's workers | |
| 2.2.9 | Confidential and effective mechanisms exist for reporting and eliminating cases of sexual harassment and discrimination based on gender, marital status, parenthood or sexual orientation. | Confidential and effective mechanisms exist for reporting and eliminating cases of sexual harassment and discrimination based on gender, marital status, parenthood, sex, race, colour, religion, political opinion, HIV status or disability. | To conform with Uganda's customs and law | <ul style="list-style-type: none"> Organizational policy and guidelines Structures to address the reported cases Interviews with the Organization's workers | |

2.3 The Organization* shall* implement health and safety practices to protect workers* from occupational safety and health hazards. These practices shall*, proportionate to scale, intensity and risk* of management activities, meet or exceed the recommendations of the ILO Code of Practice on Safety and Health in Forestry Work. (C4.2 V4, revised to comply with ILO and FSC-POL-30-401)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| 2.3.1a | Health and safety practices | Health and safety practices are | | <ul style="list-style-type: none"> Documented | Guidance Ref Sec 13 and |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | are developed and implemented that meet or exceed the ILO Code of Practice on Safety and Health in Forestry Work | developed and implemented that meet or exceed the ILO Code of Practice on Safety and Health in Forestry Work | | <p>H&S Strategy</p> <ul style="list-style-type: none"> • A record of health care services provided to workers • Interviews with the Organization’s workers • Field observations | 14 of the Occupational Safety and Health Act (2006) |
| 2.3.1b | | <p><u>Low Potential Impact Organizations</u></p> <p>The Health and safety requirements for the forest work and practices are known to the Organization’s workers and are appropriate commensurate with the nature of the job are implemented</p> | To cater for Low Potential Impact Organizations. | <ul style="list-style-type: none"> • Interviews with the Organization’s workers • Interview with other stakeholders • Field observations | <p><u>Guidance</u></p> <p>Ref Sec 13 and 14 of the Occupational Safety and Health Act (2006)</p> |
| 2.3.2 | Workers* have personal protective equipment appropriate to their assigned tasks. | Workers*have personal protective equipment appropriate to their assigned tasks. | | <ul style="list-style-type: none"> • Records • Interviews with workers • Observation | <p><u>Guidance:</u></p> <ol style="list-style-type: none"> 1. Ref to Sec 19 of the Occupational Safety and Health Act (2006) 2. The Guideline, “Safety and Health in Forest Work”, (ILO , 1998) |

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| | | | | | provides minimum requirements for personal protective equipment that are appropriate for various forestry operations such as planting, thinning, chemical spraying, logging, and chainsaw operations. The PPE include, among others, safety boots or shoes, safety trousers, gloves, close-fitting clothes, safety helmets, goggles, and nose & ear muffs |
| 2.3.3 | Use of personal protective equipment is enforced. | The Contracts of the Organization's workers includes compulsory and effective use of | As it stands in the IGI, it is difficult, if not impossible to enforce the use of protective equipment. | <ul style="list-style-type: none"> • Employment contract • Evidence of measures to ensure compliance | <p>Guidance: Ref to Sec 19 of the Occupational Safety and Health Act</p> |

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| | | appropriate personal protective equipment is implemented when undertaking forest work. | Hence rewording is aimed at enhancing applicability | <ul style="list-style-type: none"> • Interviews with workers • Observation | (2006) |
| 2.3.4a | Records are kept on Health and Safety practices, including accident rates and lost time to accidents. | Records are kept on Health and Safety practices, including accident rates and lost time to accidents. | | <ul style="list-style-type: none"> • Records • Reports of studies analyzing accidents | |
| 2.3.4b | | <u>Low Potential Impact Organizations</u> The Organization's workers are aware about any incidences of accidents related to Health and Safety practices and their impacts. | To cater for the low potential impact organizations | <ul style="list-style-type: none"> • Interviews with workers | |
| 2.3.5 | The frequency and severity of accidents are consistently low compared to national forest* industry averages. | The frequency and severity of accidents are assessed and are consistently low | Uganda does not have a system for establishing national forest industry averages for accidents. Periodic assessment of occurrence and severity is possible | <ul style="list-style-type: none"> • Records of types of accidents and their frequency • Interviews with the Organization's workers and other stakeholders | |
| 2.3.6 | The Health and Safety practices are reviewed | The Health and Safety practices are reviewed | There is a need for H&S practice to be reviewed | <ul style="list-style-type: none"> • Up-dated Health and Safety | |

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| | and revised as required after major incidents or accidents. | regularly, and at least annually. | regularly, regardless of the seriousness of the accidents/injuries | Strategy <ul style="list-style-type: none"> • Evidence of adaptive management with respect to health and safety • Interviews with Organization's workers | |

2.4 The Organization* shall* pay wages that meet or exceed minimum forest industry standards or other recognized forest* industry wage agreements or living wages*, where these are higher than the legal* minimum wages. When none of these exist, The Organization* shall* through engagement* with workers* develop mechanisms for determining living wages*. (New)

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| 2.4.1 | Wages paid by The Organization in all circumstances meet or exceed legal* minimum wage rates, where such rates exist. | Wages paid by The Organization in all circumstances meet or exceed legal* minimum wage rates, where such rates exist. | | <ul style="list-style-type: none"> • Employment contracts • Interviews with the workers • Salary and wage structure • Pay roll • Labour-related studies | Guidance: A Minimum wage of 6000 Ugandan Shillings exist at national level: Ref SI 221 (3) The Minimum Wages Advisory Boards and Wages Councils (Minimum Wages) Order). The rate has not been revised since 1984. However minimum wage of 6,000 |

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| | | | | | Ugandan shillings no longer makes economic sense as the value of Ugandan shillings has been declining through government policy and inflation. |
| 2.4.2 | <p>Wages paid meet or exceed:</p> <p>1) Minimum forest* industry standards; or 2) Other recognized forest* industry wage agreements; or 3) Living wages* that are higher than legal* minimum wages.</p> | <p>Wages paid meet or exceed:</p> <p>1) Minimum forest* industry standards; or 2) Other recognized forest* industry wage agreements; or 3) Living wages* that are higher than legal* minimum wages.</p> | | <ul style="list-style-type: none"> • Employment contracts • Salary and wage structure • Pay roll • Interviews with workers and other industry employers | <p>Guidance: Refer to SI 221 (3) - The Minimum Wages Advisory Boards and Wages Councils (Minimum Wages) Order). The minimum wage in Uganda is obsolete, and will be operational once updated by a revised Statutory Instrument</p> |
| 2.4.3 | <p>When no minimum wage levels exist, wages* are established through <i>culturally appropriate*</i> engagement* with workers* and / or formal and informal workers organizations*.</p> | <p>When no minimum wage exists, wages are negotiated and agreed upon as part of the contract of service.</p> | <p>The service contracts used in Uganda include the remuneration agreed upon by both parties and terms of payment</p> | <ul style="list-style-type: none"> • Interviews with workers • Salary and wage structure • Pay roll • Procedure used to determine wage rates • Interview | <p>Guide: Ref Employment Act, 2006).</p> |

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| | | | | with similar industry actors • | |
| 2.4.4 | Wages, salaries and contracts are paid on time. | Wages, salaries and contracts are paid on time. | | <ul style="list-style-type: none"> • Policy statement on wages and salaries • Interviews with workers • Pay rolls • Records showing that workers are paid on time • Service contract | <p>Guidance: The issue of timeliness depends on the employment contract, which states the conditions of employment.</p> <p>Ref. Employment Act (2006)</p> |

2.5 The Organization* shall* demonstrate that workers* have job-specific training and supervision to safely and effectively implement the Management Plan* and all management activities. (C7.3 V4)

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| 2.5.1 | Workers* have job specific training consistent with Annex B and supervision to safely and effectively contribute to the implementation of the management plan* and all management activities. | Workers* have job specific training consistent with Annex B and supervision to safely and effectively contribute to the implementation of the management plan* and all management activities. | | <ul style="list-style-type: none"> • Training program • Records of training events • Skills certificates • Field observation • Interviews of staff, contractors, workers and other stakeholder | Refer to Annex B |
| 2.5.2 | Up to date training records are kept for | Up to date training records are kept for | | <ul style="list-style-type: none"> • Records of training events | |

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| | all relevant workers* . . | all relevant workers* . | | • | |

2.6 The Organization* through engagement* with workers* shall* have mechanisms for resolving grievances and for providing fair compensation to workers for loss or damage to property, occupational diseases*, or occupational injuries* sustained while working for The Organization*. (New to address gap in P&C V4).

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| 2.6.1a | .A dispute resolution process is in place, developed through <i>culturally appropriate*</i> engagement* with workers* . | A dispute resolution process is in place, developed through <i>culturally appropriate*</i> engagement* with workers* . | | <ul style="list-style-type: none"> • Documented dispute resolution process • Human Resource Manual • Conflict management policy • Clauses for conflict resolution in employee contracts • Interviews with Organization* 's worker*s and contractors | <p>Guidance: In Uganda, “culturally appropriate” is very diverse and location specific. FMUs will have to document specific approaches. Refer to the Glossary for the definition of “<i>culturally appropriate</i>” .</p> |
| 2.6.1b | | <p>Low Potential Impact Organizations The contracts of service for the Organization’s workers include dispute resolution process or</p> | To provide to Low Potential Impact Organizations | <ul style="list-style-type: none"> • Contract of service • Interviews with organization’s workers | <p>Guidance Ref to the Labour Dispute (Arbitration and Dispute Settlement) Act, 2006</p> |

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| | | procedure and provides for possible arbitration or available legal means in case of failure to settle to disputes amicably | | | |
| 2.6.2 | Workers* grievances are identified and responded to and are either resolved or are in the dispute* resolution process. | Workers* grievances are identified and responded to and are either resolved or are in the dispute* resolution process. | | <ul style="list-style-type: none"> Record of reported grievances (For large FMUs) Proceedings of how the grievances were dealt with Interviews with Organization* 's worker*s and other stakeholders | |
| 2.6.3 | Up to date records of workers* grievances related to workers* loss or damage of property, occupational diseases* or injuries are maintained including: 1. Steps taken to resolve grievances; 2. Outcomes of all dispute resolution | Up to date records of workers* grievances related to workers* loss or damage of property, occupational diseases* or injuries are maintained including: 1. Steps taken to resolve grievances; 2. Outcomes of all dispute resolution processes | | <ul style="list-style-type: none"> Record of reported grievances Interviews with Organization* 's worker*s, and contractors, workers and other stakeholders | |

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| | processes including fair compensation; and 3. Unresolved disputes, the reasons they are not resolved and how they will be resolved. | including fair compensation; and 3. Unresolved disputes, the reasons they are not resolved, and how they will be resolved. | | | |
| 2.6.4 | <i>Fair compensation*</i> is provided to workers* for work-related loss or damage of property and occupational disease* or injuries. | <i>Fair compensation*</i> is provided to workers* for work-related loss or damage of property and occupational disease* or injuries. | | <ul style="list-style-type: none"> • Documented evidence of fair compensation • Interviews with workers and other stakeholders | Refer to the Workers Compensation Act (2000) and the related regulations |

PRINCIPLE 3: INDIGENOUS PEOPLES' RIGHTS

The Organization* shall identify and uphold* indigenous peoples'*legal* and customary rights* of ownership, use and management of land, territories and resources affected by management activities. (P3 V4)

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

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| 3.1.1 | Indigenous peoples* that | Indigenous peoples* that | | <ul style="list-style-type: none"> • Documented international | Guidance: 1. United Nations |

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| | may be affected by management activities are identified. | may be affected by management activities are identified. | | ly accepted process of identifying the indigenous peoples <ul style="list-style-type: none"> • Interviews with Organization *’s worker*s, affected stakeholders and other stakeholders | Declaration on the Rights of Indigenous Peoples 2. Indigenous peoples include: the Ik/Teuso in Mt. Timu CFR; the Tepeth in Moroto CFR; the Benets/Ndoboro in Mt Elgon National Park and the Batwa in Echuya CFR and Bwindi/Mugahinga N P, and the Batwa from Semliki NP and North Rwenzori CFR. See Glossary for the IPs of Uganda |
| 3.1.2 | Through <i>culturally appropriate*</i> engagement* with the indigenous peoples* identified in 3.1.1, the following issues are documented and/or mapped: 1. Their legal and customary rights of tenure*; 2. Their legal and customary access to, and use rights* of the forest* resources and ecosystem services*; | Through <i>culturally appropriate*</i> engagement* with the indigenous peoples*, identified in 3.1.1, the following issues are documented and/or mapped: 1. Their legal and customary rights of tenure*; 2. Their legal and customary access to, and use rights* of the forest* resources and ecosystem services*; | | <ul style="list-style-type: none"> • Documented indigenous peoples rights and obligations that include (1) - (5) • Documented system of engagement • Forest Management Plans and maps • Interviews with representatives of indigenous peoples. | Guidance: 1. “Culturally appropriate engagement” : The process was similar for all IPs, entailing three stages: Mobilization, conduct of meetings, documentation and follow-up arrangements. <ul style="list-style-type: none"> • Mobilization: Prior information to the IPs is important - with a personal physical approach through a respected opinion leader (guard against mobilizing using phone calls). The purpose of the meeting should be clarified from the beginning, and the time and duration |

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| | <p>3. Their legal and customary rights and obligations that apply ;</p> <p>4. The evidence supporting these rights and obligations;</p> <p>5. Areas where rights are contested between indigenous peoples*, governments and/or others.</p> <p>6. Summary of the means by which the legal* and customary rights* and contested rights, are addressed by <i>The Organization*</i>.</p> <p>7. The aspirations and goals of <i>indigenous peoples*</i> related to management activities.</p> | <p>3. Their legal and customary rights and obligations that apply;</p> <p>4. The evidence supporting these rights and obligations;</p> <p>5. Areas where rights are contested between indigenous peoples*, governments and/or others.</p> <p>6. Summary of the means by which the legal* and customary rights* and contested rights, are addressed by <i>The Organization*</i>.</p> <p>7. The aspirations and goals of <i>indigenous peoples*</i> related to management activities.</p> | | | <p>should be appropriate.</p> <ul style="list-style-type: none"> • <u><i>Conduct of the meeting:</i></u> The medium of communication should be appropriate - local language preferred, but use of English with interpretation is acceptable. The person chairing the meeting and one interpreting should be one of their own. Use of cameras/videos must be with prior consent. Focus group discussions are preferred for in depth discussions. • <u><i>Documentation -</i></u> resolutions from the meetings should be summarised, recorded and read back to the participants. Attendance list kept. • <u><i>Formation of committees</i></u> to follow up the outcomes and act as a conduit for feedback actions. Share contacts for future information sharing. They can |

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| | | | | | <p>also be engaged in formal or informal groups that are led by their leaders and organized by the IP.</p> <p>2. Tenure rights - Land ownership:</p> <p>The IPs have historically settled in areas which are now gazetted as protected areas - CFRs or NPs. Therefore they have customary claims arising from settling in the areas "from time immemorial". However, they do not hold legal claims over the land.</p> <ul style="list-style-type: none"> • The Iks and Tepeth are still living in the CFRs. • The majority of the Benets were resettled on 6,000 ha degazetted from Mt Elgon NP for this purpose, but there are some still living within the periphery of the NP. • All the Batwa have been removed from Bwindi and Mugahinga NPs; Echuya CFR; Semliki NP and Northern Rwenzori CFR. The majority have been resettled outside the protected areas through the |

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| | | | | | <p>NGOs such as the Bwindi Kellermann Foundation, and the Bwindi/Mugahinga Conservation Trust.</p> <p>3. Obligations of IPs in forest management: Authorized co-management is based on MoUs (with UWA) or CFM agreement (with NFA). The respective obligations are specified in the relevant documents, e.g. for the Batwa in Echuya CFR.</p> |

3.2 The Organization* shall* recognize and uphold* the legal* and customary rights* of indigenous peoples* to maintain control over management activities within or related to the Management Unit* to the extent necessary to protect their rights, resources and lands and territories*. Delegation by indigenous peoples* of control over management activities to third parties requires Free, Prior and Informed Consent*. (C3.1 and 3.2 V4)

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| 3.2.1a | Through culturally appropriate* engagement* Indigenous peoples* are informed when, where and how they can comment on and request modification to management activities to the extent necessary | Through culturally appropriate* engagement* Indigenous peoples* are informed when, where and how they can comment on and request modification to management activities to the extent necessary | | <ul style="list-style-type: none"> • Mutually agreed guidelines for engagement • Interviews with IPs and workers • Monitoring reports • Evidence of notices | The engagement process establishes the mechanism for feedback and consequent information flow, usually through a selected committee. |

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| | to protect their rights, resources, lands and territories*. | to protect their rights, resources, lands and territories*. | | | |
| | | The engagement process establishes the mechanism for feedback and consequent information flow, | To ensure that stakeholders are always informed about the decisions taken on the basis of negotiation | <ul style="list-style-type: none"> • Interviews with the Organization's workers and other stakeholders | |
| 3.2.1b | <i>NEW and applies to both Low Potential Impact (LPI) and Standard Potential Impact (SPI) Organizations</i> | There is evidence that steps have been taken to address the views and requests of the Indigenous Peoples, and that feedback is provided in line with Free Prior Informed Consent practices | This new indicator seeks to ensure that the concerns of the IPs are actually addressed or steps have been taken to consider them. It is applicable not only to the LPIs but to all organizations. | <ul style="list-style-type: none"> • Feedback mechanism • Management Plans and Annual Work Plans • Revised policies and strategies • Monitoring reports • Interviews with IPs and other stakeholders | |
| 3.2.2 | The legal* and customary rights* of indigenous peoples* are not violated by the Organization*. | The legal* and customary rights* of indigenous peoples* are not violated by the Organization*. | | <ul style="list-style-type: none"> • Interviews with IPs and other stakeholders • Field observations | Guide: where the IPs were moved out of the protected area, resettled and/or compensated their customary rights over access and use of such protected area |

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| | | | | | shall not be extinguished |
| 3.2.3 | Where evidence exists that legal* and customary rights* of indigenous peoples* related to management activities have been violated the situation is corrected, if necessary, through culturally appropriate* engagement* and/or through the dispute* resolution process as required in Criteria* 1.6 or 4.6 | Where evidence exists that legal* and customary rights* of indigenous peoples* related to management activities have been violated the situation is corrected, if necessary, through culturally appropriate* engagement* and/or through the dispute* resolution process as required in Criteria* 1.6 or 4.6. | | <ul style="list-style-type: none"> • Interviews with the indigenous peoples and other stakeholders • Evidence of correction of violations | |
| 3.2.4 | Free, prior and informed consent* is granted by indigenous peoples* prior to management activities that affect their identified rights through a process that includes: 1) Ensuring indigenous peoples* know their rights and obligations regarding the resource; 2) Informing the indigenous | Free, prior and informed consent* is granted by indigenous peoples* prior to management activities that affect their identified rights through a process that includes: 1) Ensuring indigenous peoples* know their rights and obligations regarding the resource; 2) Informing the indigenous peoples* of the | | <ul style="list-style-type: none"> • Documented processes for achieving FPIC • Agreements signed in a public ceremony • Interviews with representatives of indigenous peoples. | |

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| | peoples* of the value, in economic, social and environmental terms, of the resource over which they are considering delegation of control; 3) Informing the indigenous peoples* of their right to withhold or modify consent to the proposed management activities to the extent necessary to protect their rights, resources, lands and territories*; and 4) Informing the indigenous peoples* of the current and future planned forest* management activities. | value, in economic, social and environmental terms, of the resource over which they are considering delegation of control; 3) Informing the indigenous peoples* of their right to withhold or modify consent to the proposed management activities to the extent necessary to protect their rights, resources, lands and territories*; and 4) Informing the indigenous peoples* of the current and future planned forest* management activities. | | | |

3.3 In the event of delegation of control over management activities, a binding agreement between The Organization* and the indigenous peoples* shall* be concluded through Free, Prior and Informed Consent*. The agreement shall* define its duration, provisions for renegotiation, renewal, termination, economic conditions and other terms and conditions. The agreement shall make provision for monitoring by indigenous peoples* of The Organization*'s compliance with its terms and conditions. (New)

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| 3.3.1 | Where control over | Where control over | | <ul style="list-style-type: none"> • Documented | |

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| | management activities has been granted through Free Prior and Informed Consent* based on culturally appropriate* engagement*, the binding agreement* contains the duration, provisions for renegotiation, renewal, termination, economic conditions and other terms and conditions. | management activities has been granted through Free Prior and Informed Consent* based on culturally appropriate* engagement*, the binding agreement* contains the duration, provisions for renegotiation, renewal, termination, economic conditions and other terms and conditions. | | <p>process of negotiating the agreement</p> <ul style="list-style-type: none"> • Agreements signed by appointed representatives of the parties and witnesses in a public ceremony • Interviews with Organization*'s worker*s, representatives of indigenous peoples, and other stakeholders. | |
| 3.3.2 | Records of binding agreements are maintained. | Records of binding agreements are maintained. | | <ul style="list-style-type: none"> • Records of the Agreements maintained by all the parties involved | |
| 3.3.3 | The <i>binding agreement*</i> contains the provision for monitoring by <i>Indigenous Peoples*</i> of <i>The Organization*'s</i> compliance with its terms and conditions. | The <i>binding agreement*</i> contains the provision for monitoring by <i>Indigenous Peoples*</i> of <i>The Organization*'s</i> compliance with its terms and conditions. | | <ul style="list-style-type: none"> • The Binding Agreement • Evidence of monitoring by indigenous peoples | |

3.4 The Organization* shall* recognize and uphold* the rights, customs and culture of indigenous peoples* as defined in the United Nations Declaration on the Rights of Indigenous Peoples (2007) and ILO Convention 169 (1989) (C3.2 V4, revised to comply with FSC-POL-30-401, ILO 169 and UNDRIP)

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| 3.4.1 | The rights, customs and culture of indigenous peoples* as defined in UNDRIP and ILO Convention 169 are not violated by The Organization*. | The rights, customs and culture of indigenous peoples* as defined in UNDRIP and ILO Convention 169 are not violated by The Organization* | | <ul style="list-style-type: none"> • Written commitment to implement UNDRIP and ILO Convention 169 • Interviews with Organization *’s worker*s and other relevant stakeholders • Field observations | Ref to the UNDRIP and ILO Convention No. 169 |
| 3.4.2 | Where evidence that rights, customs and culture of indigenous peoples* as defined in UNDRIP and ILO Convention 169, have been violated by the Organization the situation is documented including steps to restore* these rights, customs and culture of indigenous peoples*, to the satisfaction of the rights holders. | Where evidence that rights, customs and culture of indigenous peoples* as defined in UNDRIP and ILO Convention 169, have been violated by the Organization the situation is documented including steps to restore* these rights, customs and culture of indigenous peoples*, to the satisfaction of the rights holders. | | <ul style="list-style-type: none"> • Records on violation and steps taken to restore IP rights • Interviews with the IPs and other relevant stakeholders • Monitoring reports | |

3.5 The Organization*, through engagement* with indigenous peoples*, shall* identify sites which are of special cultural, ecological, economic, religious or spiritual significance and for which these indigenous peoples* hold legal* or customary rights*. These sites shall* be recognized by The Organization* and their management, and/or protection* shall* be agreed through engagement* with these indigenous peoples*. (C3.3 V4, revised to POL 30-401)

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| 3.5.1 | Sites of special cultural, ecological, economic, religious or spiritual significance for which <i>indigenous peoples*</i> hold <i>legal*</i> or <i>customary rights*</i> are identified through culturally appropriate <i>engagement*</i> . | Sites of special cultural, ecological, economic, religious or spiritual significance for which <i>indigenous peoples*</i> hold <i>legal*</i> or <i>customary rights*</i> are identified through culturally appropriate <i>engagement*</i> . | | <ul style="list-style-type: none"> • Documented processes of engagement • Record of identified sites • Interviews with the Organization's workers, IPs and other stakeholders • Field observation | <p>Guidance: Sites of special interest:</p> <ol style="list-style-type: none"> 1. For the Benets, <ul style="list-style-type: none"> • sites where they collect clay (or "white chalk") used in circumcision ceremonies; • sites with salty water which is believed to have medicinal attributes for treating livestock; • special caves for burials; • rivers for various rituals; and • the Kapkoros - the sites used for prayers, e.g. for rain and thanksgiving. 2. For the Ik and Tepeth: <ul style="list-style-type: none"> • forested |

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| | | | | | <p>areas referred to as "Akeriket" used as meeting places for elders - to resolve problems, conduct ceremonies and hold prayer;</p> <ul style="list-style-type: none"> • sites with salty water, which they believe heals skin diseases and bad omen; • Caves - where rain-makers visit. <p>3. For the Batwa of Bundibugyo</p> <ul style="list-style-type: none"> • The Hot-springs of Semliki • The <i>Kigelia</i> trees, near which their dead are usually buried |
| 3.5.2 | Measures to protect such sites are agreed, documented and | Measures to protect such sites are agreed, documented and | | <ul style="list-style-type: none"> • Forest Management Plan • Implementation | |

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| | implemented through culturally appropriate <i>engagement*</i> with <i>indigenous peoples*</i> . When indigenous peoples* determine that physical identification of sites in documentation or on maps would threaten the value or protection* of the sites, then other means will be used. | implemented through culturally appropriate <i>engagement*</i> with <i>indigenous peoples*</i> . When indigenous peoples* determine that physical identification of sites in documentation or on maps would threaten the value or protection* of the sites, then other means will be used | | <p>reports</p> <ul style="list-style-type: none"> • Interviews with Organization’s workers, IPs and other stakeholders • Field observations | |
| 3.5.3 | Whenever sites of special cultural or ecological, economic, religious or spiritual significance are newly observed or discovered, management activities cease immediately in the vicinity until protective measures have been agreed to with the <i>indigenous peoples*</i> , and as directed by local and <i>national laws*</i> . | Whenever sites of special cultural or ecological, economic, religious or spiritual significance are newly observed or discovered, negotiations between the Organization and the indigenous peoples are initiated to agree on protective measures, otherwise activities cease within a period agreed upon by both parties. | Stopping management activities should depend on the value attachment by the IPs, the sensitivity and vulnerability of the site to destruction by continued activities, and the likelihood of promoting severe conflict. Otherwise, it would be a workable approach to initiate | <ul style="list-style-type: none"> • Records of new discoveries • Interviews with the Organization’s workers, Indigenous Peoples and other stakeholder • Field observations | |

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| | | | negotiations first between the Organization and the IPs once there is a new discovery. | | |

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

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|-------|---|---|-----------|---|---------------------|
| 3.6.1 | Traditional knowledge and <i>intellectual property*</i> are protected and are only used when the acknowledged owner of that traditional knowledge and <i>intellectual property*</i> have provided their <i>Free, Prior and Informed Consent*</i> formalized through a binding agreement*. | Traditional knowledge and <i>intellectual property*</i> are protected and are only used when the acknowledged owner of that traditional knowledge and <i>intellectual property*</i> have provided their <i>Free, Prior and Informed Consent*</i> formalized through a binding agreement*. | | <ul style="list-style-type: none"> • Documented indigenous knowledge • Documented process of engagement • Agreements • Interviews with Organization*'s worker*s, IPs and other stakeholders | |
| 3.6.2 | Indigenous peoples* are compensated according to the binding agreement* reached through <i>Free, Prior and</i> | Indigenous peoples are compensated according to the binding agreement reached through <i>Free, Prior and Informed Consent*</i> | | <ul style="list-style-type: none"> • Copies of agreement endorsed and maintained by representatives of all parties involved | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | <i>Informed Consent*</i> for the use of traditional knowledge and <i>intellectual property*</i> . | for the use of traditional knowledge and <i>intellectual property*</i> . | | <ul style="list-style-type: none"> Evidence of compensation | |

PRINCIPLE 4: COMMUNITY RELATIONS.

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

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

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| 4.1.1 | <i>Local communities*</i> that exist in the Management Unit* and those that may be affected by management activities are identified. | <i>Local communities*</i> that exist in the Management Unit* and those that may be affected by management activities are identified. | | <ul style="list-style-type: none"> Documented internationally accepted process of identifying the local communities Interviews with Organization*'s worker*s, local communities and other stakeholders Interview reports | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| 4.1.2 a | Through culturally appropriate* engagement* with the local communities* identified in 4.1.1, the following are documented and/or mapped: 1) Their legal* and customary rights* of tenure*; 2) Their legal* and customary* access to, and use rights*, of the forest* resources and ecosystem services*; 3) Their legal* and customary* rights* and obligations that apply; 4) The evidence supporting these rights and obligations; 5) Areas where rights are contested between local communities*, governments and/or others; 6) Summary of the means by which the legal* and customary rights*, and contested rights are addressed by The Organization*; and 7) The aspirations and goals of local communities* related to management | Through approaches mutually agreed upon, culturally appropriate* engagement* with the local communities* identified in 4.1.1, the following are documented and/or mapped: 1) Their legal* and customary rights* of tenure*; 2) Their legal* and customary* access to, and use rights*, of the forest* resources and ecosystem services*; 3) Their legal* and customary* rights* and obligations that apply; 4) The evidence supporting these rights and obligations; 5) Areas where rights are contested between local communities*, governments and/or others; 6) Summary of | | <ul style="list-style-type: none"> • Documented local community rights and obligations that include (1) - (5) • Documented system of engagement • Forest Management Plans and maps • Interviews with representatives of local communities. | <p>Guide: In Uganda, the engagement process shall take into account:</p> <ul style="list-style-type: none"> • The varied nature of the communities even around one FMU • Representation through methods agreeable to the communities |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | activities. | the means by which the legal* and customary rights*, and contested rights are addressed by The Organization*; and 7) The aspirations and goals of local communities* related to Management activities. | | | |

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| 4.1.2 b | | <p><u>Low Potential Impact Organizations</u> Through approaches agreed upon between the Organization and local communities, resource mapping is conducted and the rights, usage and responsibilities of relevant communities are defined</p> | To cater for Low Potential Impact Organizations | <ul style="list-style-type: none"> • Evidence of engagement with local communities • Forest management Plan • Interviews with the Organization's workers and other stakeholders • Field observation | |
| | | | | • | |

4.2 The Organization* shall* recognize and uphold* the legal* and customary rights* of local communities* * to maintain control over management activities within or related to the Management Unit* to the extent necessary to protect their rights, resources and lands and territories*. Delegation by local communities* of control over management activities to third parties requires Free, Prior and Informed Consent*. (C3.1 and 3.2 V4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| 4.2.1 | <i>Through culturally appropriate engagement, local communities* are informed of when, where and how they can comment on and request modification to management activities to the extent necessary</i> | <i>Through culturally appropriate engagement, local communities* are informed of when, where and how they can comment on and request modification to management activities to the extent necessary to</i> | | <ul style="list-style-type: none"> • Mutually agreed guidelines for engagement • evidence that steps have been taken to address the views & requests of the local communities | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | to protect their rights. | protect their rights. | | <p>and that feedback is provided in line with FPIC practices</p> <ul style="list-style-type: none"> • Interviews with local communities and workers • Monitoring reports • Evidence of engagement | |
| 4.2.2 | <i>The legal* and customary rights* of local communities* to maintain control over management activities are not violated by The Organization*.</i> | <i>The legal* and customary rights* of local communities* to maintain control over management activities are not violated by The Organization*.</i> | | <ul style="list-style-type: none"> • MoUs with local communities • Interviews with local communities and other stakeholders • Field observations | Guide: Ref: NFTP, which provides a right to communities to remove drywood and bamboo from forest reserves free of any charges |
| 4.2.3 | Where evidence exists that legal* and customary rights* of local communities* related to management activities have been violated the situation is corrected, if necessary, through culturally appropriate* engagement* and/or through the dispute* resolution process in Criteria* 1.6 or 4.6 | Where evidence exists that legal* and customary rights* of local communities* related to management activities have been violated the situation is corrected through approaches mutually agreed upon and/or through the dispute* resolution process in Criteria* 1.6 or 4.6 | If rights have effectively been violated then the issue should be fixed. Also remove the ambiguity related to “culturally appropriate engagement” | <ul style="list-style-type: none"> • Evidence of correction of violations • Interviews with the local communities and other stakeholders | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| 4.2.4a | Free, prior and informed consent* is granted by local communities* prior to management activities that affect their identified rights through a process that includes:: 1. Ensuring <i>local communities*</i> know their rights and obligations regarding the resource; 2. Informing the <i>local communities*</i> of the value, in economic, social and environmental terms, of the resource over which they are considering delegation of control; 3. Informing the <i>local communities*</i> of their right to withhold or modify consent to the proposed management activities to the extent necessary to protect rights, resources; and 4. Informing the | Free, prior and informed consent* is granted by local communities* prior to management activities that affect their identified rights through a process that includes:: 1. Ensuring <i>local communities*</i> know their rights and obligations regarding the resource; 2. Informing the <i>local communities*</i> of the value, in economic, social and environmental terms, of the resource over which they are considering delegation of control; 3. Informing the <i>local communities*</i> of their right to withhold or modify consent to the proposed management activities to the extent necessary to protect rights, resources; and 4. Informing the <i>local communities*</i> of the current and future planned <i>forest*</i> | | <ul style="list-style-type: none"> • Documented processes for achieving FPIC • Agreements signed in a public ceremony • Interviews with representatives of local communities. | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | <i>local communities*</i> of the current and future planned <i>forest*</i> management activities; | management activities; | | | |
| 4.2.4b | | <p><u>For Low Potential Impact Organizations</u></p> <p>The Organization and local communities have mutual agreement that requires:</p> <ol style="list-style-type: none"> 1. definition of legal and customary rights and responsibilities; 2. planned management activities that could affect those rights; and 3. means for the local communities to propose changes to the management activities that might affect their rights. | For LIOs, FPIC concept is not easily understood nor applicable without external help. Hence provision of an alternative indicator | <ul style="list-style-type: none"> • Interviews with the Organization's workers and other stakeholders | |

4.3 The Organization* shall* provide reasonable* opportunities for employment, training and other services to local communities*, contractors and suppliers proportionate to scale* and intensity* of its management activities. (C4.1 V4)

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| 4.3.1a | <p><i>Reasonable*</i> opportunities are communicated and provided to <i>local communities*</i>, local contractors and local suppliers for:</p> <p>1) Employment, 2) Training, and 3) Other services</p> | <p><i>Reasonable*</i> opportunities are communicated and provided to <i>local communities*</i>, local contractors and local suppliers for:</p> <p>1) Employment, 2) Training, and 3) Other services</p> | | <ul style="list-style-type: none"> Record of identification process for beneficiaries Evidence of communication of opportunities Interviews with the Organization's workers, local communities and other stakeholders | <p>Low impact Organizations should give preference to local people and services, or, in the case of group certification, to group members</p> <p>High impact Organizations should promote the local provision of employment and services. In order to be able to employ locally for regular activities, training opportunities may need to be provided in order to build up local availability in the medium to long term</p> |
| 4.3.1b | | <p><u>For Low Potential Impact Organizations</u></p> <p>Preference for employment and other services is given to local communities and local service providers</p> | To cater for Low Potential Impact Organizations | <ul style="list-style-type: none"> Interviews with the Organization's workers, local communities and other stakeholders | |

4.4 The Organization* shall* implement additional activities, through engagement* with local communities*, that contribute to their social and economic development, proportionate to the scale*, intensity* and socio-economic impact of its management activities. (C4.4 v4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| 4.4.1a | Opportunities for local social and economic development are identified through culturally appropriate <i>engagement*</i> with <i>local communities*</i> and other relevant organizations. | Opportunities for local social and economic development are identified through culturally appropriate <i>engagement*</i> with <i>local communities*</i> and other relevant organizations. | | <ul style="list-style-type: none"> • A local social-economic Development Strategy • Interviews with the organization’s workers local communities and other stakeholders | The Development Plan should include activities that are: <ol style="list-style-type: none"> a) Requested by free and collective decisions of the local communities; b) Priorities for the communities; c) Sustainable in the long term; d) Beneficial to the local communities as a whole; e) Relevant to the poverty status of the local communities; f) Distributed equitably within the local communities. |
| 4.4.1b | | <u>For Low Potential Impact Organizations</u> Opportunities for local social and economic development are known by the Organization’s | To cater for Low Potential Impact Organizations | <ul style="list-style-type: none"> • Interviews with the organization’s workers local communities and other stakeholders | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | | workers and local communities | | | |
| 4.4.2a | Projects and additional activities are implemented and / or supported that contribute to local social and economic benefits and are proportionate to the socioeconomic impact of management activities. | Projects and additional activities are implemented and / or supported that contribute to local social and economic benefits and are proportionate to the socioeconomic impact of management activities. | | <ul style="list-style-type: none"> • Record of projects • Field observations • Interviews with local communities | |
| 4.4.2b | | Activities are implemented and / or supported that contribute to local social and economic benefits. | To cater for small scale and low intensity | <ul style="list-style-type: none"> • Record of projects • Field observations • Interviews with local communities | |

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

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| 4.5.1 | Through <i>culturally appropriate*engagement* with local communities*</i> , measures are implemented to identify, avoid and mitigate negative social, environmental | Through <i>culturally appropriate*engagement* with local communities*</i> , measures are implemented to identify, avoid and mitigate negative social, environmental and | | <ul style="list-style-type: none"> • Record of engagement • Documented mitigation measures • Forest management | The engagement includes, at a minimum: <ul style="list-style-type: none"> • Informing the affected communities in a |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | and economic impacts of management activities. | economic impacts of management activities. | | <p>nt plan</p> <ul style="list-style-type: none"> • Interviews with the Organization's workers, local communities and other stakeholders • Routine monitoring Reports • Field Observations | <p>proactive manner on their special rights related to FSC certified Management Units;</p> <ul style="list-style-type: none"> • Providing capacity building to the affected communities to participate in impact assessment, FM planning and annual monitoring ; • Mechanisms for resolving grievances and providing fair compensation on e.g. spoiled drinking water, lost NTFPs, damage to community roads, etc. are agreed in a participato |

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| | | | | | ry manner |

4.6 The Organization*, through engagement* with local communities*, shall* have mechanisms for resolving grievances and providing fair compensation to local communities* and individuals with regard to the impacts of management activities of The Organization*.

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| 4.6.1 a | A publicly available dispute resolution process is in place, developed through <i>culturally appropriate*engagement* with local communities*</i> . | A publicly available dispute resolution process is in place, developed through <i>culturally appropriate*engagement* with local communities*</i> . | | <ul style="list-style-type: none"> • Documented process for dispute resolution • Evidence of public availability of the dispute resolution process • Interviews with the Organization's workers, local communities and other stakeholders | |
| 4.6.1 b | | For Low Potential Impact Organizations: A publicly available dispute resolution process is known to the Organization's workers and the local communities | | <ul style="list-style-type: none"> • Interview with the Organization's workers and other stakeholders • | |
| 4.6.2 | Grievances related to the impacts of management activities are responded to in a <i>timely manner*</i> , and are | Grievances related to the impacts of management activities are responded to in a <i>timely manner*</i> , and are either resolved | | <ul style="list-style-type: none"> • Processes and guidelines • Evidence of addressing | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | either resolved or in the <i>dispute</i> * resolution process. | or in the <i>dispute</i> * resolution process. | | grievances <ul style="list-style-type: none"> Interviews with the Organization's workers, local communities and other stakeholders | |
| 4.6.3 | An up to date record of grievances related to the impacts of management activities is held including: <ol style="list-style-type: none"> Steps taken to resolve grievances Outcomes of all disputes resolution processes including fair compensation to local communities and individuals; and Unresolved disputes, the reasons they are not resolved and how they will be resolved. | An up to date record of grievances related to the impacts of management activities is held including: <ol style="list-style-type: none"> Steps taken to resolve grievances Outcomes of all disputes resolution processes including fair compensation to local communities and individuals; and Unresolved disputes, the reasons they are not resolved and how they will be resolved. | | <ul style="list-style-type: none"> Record of grievances Grievance response plan | |
| 4.6.4 | Operations cease in areas while disputes exist of: <ol style="list-style-type: none"> Substantial magnitude; Substantial duration; Involving a <i>significant</i>* number of interests | 1. Drop the indicator | This indicator is the same as 1.6.4 | <ul style="list-style-type: none"> | |

4.7 The Organization*, through engagement* with local communities*, shall* identify sites which are of special cultural, ecological, economic, religious or spiritual significance, and for which these local communities* hold legal* or customary rights*. These sites shall* be recognized by The Organization*,

and their management and/or protection shall* be agreed through engagement* with these local communities*.*

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| 4.7.1a | Sites of special cultural, ecological, economic, religious or spiritual significance, for which <i>local communities*</i> hold <i>legal*</i> or <i>customary rights*</i> are identified through culturally appropriate <i>engagement*</i> , and are recognized by The Organization* | Sites of special cultural, ecological, economic, religious or spiritual significance, for which <i>local communities*</i> hold <i>legal*</i> or <i>customary rights*</i> are identified through culturally appropriate <i>engagement*</i> , and are recognized by The Organization*. | | <ul style="list-style-type: none"> • Documented processes of engagement • Record of identified sites • Interviews with the Organization’s workers, local communities and other stakeholders • Field observation | |
| 4.7.1b | | <p>For Low Potential Impact Organizations</p> <p>The Organization and communities have through a consultative and participative process identified sites of special cultural, ecological, economic, religious or spiritual significance, and documented in the management plan</p> | To cater for Low potential impact organizations | <ul style="list-style-type: none"> • Management Plan | |
| 4.7.2a | Measures to protect such sites are agreed, documented and implemented through culturally appropriate <i>engagement*</i> with <i>local</i> | Measures to protect such sites are agreed, documented and implemented through culturally appropriate <i>engagement*</i> with <i>local</i> | | <ul style="list-style-type: none"> • Record of the identified measures • Forest Management Plan • Evidence of implementation | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | <i>communities</i> *. When local communities* determine that physical identification of sites in documentation or on maps would threaten the value or protection* of the sites, then other means will be used. | <i>communities</i> *. When local communities* determine that physical identification of sites in documentation or on maps would threaten the value or protection* of the sites, then other means will be used. | | <ul style="list-style-type: none"> • Interviews with Organization's workers, local communities and other stakeholders • Field observations | |
| 4.7.2b | | For Low Potential Impact Organizations Measures are in place to protect those sites from management impacts | To cater for low Potential Impact organizations | <ul style="list-style-type: none"> • Interviews with the Organization's workers and other stakeholders • Filed observation | |
| 4.7.3 | Whenever sites of special cultural, ecological, economic, religious or spiritual significance are newly observed or discovered, management activities cease immediately in the vicinity until protective measures have been agreed to with the <i>local communities</i> * and as directed by local and <i>national laws</i> *. | Whenever sites of special cultural, ecological, economic, religious or spiritual significance are newly observed or discovered, negotiations between the Organization and the local communities are initiated to mutually agree on protective measures as directed by local and <i>national laws</i> *. | Stopping management activities should depend on the value attachment by the IPs, the sensitivity and vulnerability of the site to destruction by continued activities, and the likelihood of promoting severe conflict. Otherwise, it would be a workable | <ul style="list-style-type: none"> • Evidence that operations ceased • Interviews with the Organization's workers, local communities and other stakeholder • Field observations | |

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| | | | approach to initiate negotiations first between the Organization and the local communities once there is a new discovery. | | |

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

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|-------|--|--|-----------|---|---------------------|
| 4.8.1 | Traditional knowledge and <i>intellectual property*</i> are protected and are only used when the owners of the traditional knowledge and <i>intellectual property*</i> have provided their <i>Free, Prior and Informed Consent*</i> formalized through a <i>binding agreement*</i> . | Traditional knowledge and <i>intellectual property*</i> are protected and are only used when the owners of the traditional knowledge and <i>intellectual property*</i> have provided their <i>Free, Prior and Informed Consent*</i> formalized through a <i>binding agreement*</i> . | | <ul style="list-style-type: none"> • Documented indigenous knowledge • Documented process of engagement • Agreements • Interviews with Organization*'s worker*s, local communities and other stakeholders | |
| 4.8.2 | Local communities* are compensated according to the binding agreement reached through | Local communities* are compensated according to the binding agreement reached through | | <ul style="list-style-type: none"> • Copies of agreement endorsed and maintained by representative | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | <i>Free, Prior and Informed Consent*</i> for the use of traditional knowledge and <i>intellectual property*</i> . | <i>Free, Prior and Informed Consent*</i> for the use of traditional knowledge and <i>intellectual property*</i> . | | <ul style="list-style-type: none"> s of all parties involved Evidence of compensation | |

PRINCIPLE 5: BENEFITS FROM THE FOREST.

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

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

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| 5.1.1 | The range of resources and <i>ecosystem services*</i> that could strengthen and diversify the local economy are identified. | The range of resources and <i>ecosystem services*</i> that could strengthen and diversify the local economy are identified. | | <ul style="list-style-type: none"> Record of products and services Forest management plan Interviews with Organization*'s worker*s and other stakeholders | Ecosystem services might include: <ul style="list-style-type: none"> (i) Purification of air and water (ii) Regulation of water flow (iii) Detoxification and decomposition of wastes (iv) Generation and renewal of soil and soil fertility (v) Pollination of crops and natural vegetation (vi) Control of agricultural pests (vii) Dispersal of |

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| | | | | | seeds and translocation of nutrients (viii) Maintenance of biodiversity (ix) Partial climatic stabilization (x) Moderation of temperature extremes (xi) Wind breaks (xii) Support for diverse human cultures (xiii) Aesthetic beauty and landscape enrichment |
| 5.1.2 | Consistent with management objectives*, the identified benefits and products are produced by The Organization* and/or made available for others to produce, to strengthen and diversify the local economy. | Consistent with management objectives*, the identified benefits and products are produced by The Organization* and/or made available for others to produce, to strengthen and diversify the local economy. | | <ul style="list-style-type: none"> Records of organizations involved in the production processes Interviews with Organization*'s worker*s and other stakeholders Forest Management Plan | |
| 5.1.3 | When <i>The Organization*</i> makes FSC promotional claims regarding the | When <i>The Organization*</i> makes FSC promotional claims regarding the | FSC has not yet developed Annex C, and therefore, until this happens, | <ul style="list-style-type: none"> FMPs Annual management plans Interviews with the | Guide 2: Principles and Concepts underpinning PES include: |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | maintenance and/or enhancement of ecosystem services*, Annex C is followed regarding additional requirements. | maintenance and/or enhancement of ecosystem services*, a programme conforming to existing international best practices is developed and implemented. | Uganda will benchmark its PES practices on other internationally accepted best practices | <p>Organization's workers and other stakeholders</p> <ul style="list-style-type: none"> Field observations | <p>(i) Voluntary: stakeholders enter into PES agreements on a voluntary basis;</p> <p>(ii) Beneficiary pays: payments are made by the beneficiaries of ecosystem services (individuals, communities and businesses or governments acting on behalf of various parties);</p> <p>(iii) Direct payment: payments are made directly to ecosystem service providers (in practice, often via an intermediary or broker);</p> <p>(iv) Additionality: payments are made for actions over-and-above those which land or resource managers would generally be expected to undertake (note that precisely what constitutes additionality will vary from case-to-case but the actions paid for</p> |

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| | | | | | <p>must at the very least go beyond regulatory compliance);</p> <p>(v) Conditionality: payments are dependent on the delivery of ecosystem service benefits. In practice, payments are more often based on the implementation of management practices which the contracting parties agree are likely to give rise to these benefits;</p> <p>(vi) Ensuring permanence: management interventions paid for by beneficiaries should not be readily reversible, thus providing continued service provision; and</p> <p>(vii) Avoiding leakage: PES schemes should be set up to avoid leakage, whereby securing an ecosystem</p> |

5.2 The Organization* shall normally harvest products and services from the Management Unit* at or below a level which can be permanently sustained. (C5.6 V4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| 5.2.1a | <i>Timber harvesting levels* are based on an analysis of current Best Available Information* on growth and yield; inventory of the forest*; mortality rates; and maintenance of ecosystem functions*.</i> | <i>Timber harvesting levels* are based on an analysis of current Best Available Information* on growth and yield; inventory of the forest*; mortality rates; and maintenance of ecosystem functions*.</i> | | <ul style="list-style-type: none"> • Documented processes or systems for establishing harvesting rates • Forest Management Plan • Interviews with Organization* 's worker*s and other stakeholders | <p>Guidance: See Annex J for “Best available Information” for Standard Potential Impact Organizations. External experts or specialist are usually engaged (e.g. in timber inventory). Source of Best Available Information includes:</p> <ul style="list-style-type: none"> • A Guide to the Management of Tropical Moist Forest For Timber Production • PSP data • Inventory data • ISSIMI data • Specialist studies |
| 5.2.1b | | Low Potential Impact Organizations Timber harvesting levels* are estimated using Best Available Information* on | To cater for Low Potential Impact Organizations that would have difficulties to calculate | <ul style="list-style-type: none"> • Forest Management Plan • Interviews with Organization* 's worker*s and other | <p>Guidance: The “Best available Information” for Low Potential Impact Organizations</p> |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|--|---|--|---|--|
| | | timber yield and maintenance of ecosystem functions* | precise timber harvesting levels | stakeholders | is described in Annex J: Ref: <i>Guidelines For Management of Private Natural Forests In Uganda</i> |
| 5.2.2a | Based on the timber harvesting level analysis, a maximum allowable annual cut for timber is determined that does not exceed the harvest level that can be permanently sustained including by ensuring that harvest rates do not exceed growth. | Based on the timber harvesting level analysis, a maximum allowable annual cut for timber is determined that does not exceed the harvest levels that can be permanently sustained including ensuring that: For natural forests: (1) Sawlog Felling Cycle is ≥ 30 years; (2) Sawlog Harvesting $\leq 60\text{m}^3/\text{ha}$ over the Felling Cycle; and (3) the trees felled are not of less than the minimum girth prescribed in the forestry regulations for the species | To provide for the Standard Potential Impact management regime for Uganda as defined under this Standard | <ul style="list-style-type: none"> • A documented system for determining the maximum Annual Allowable Cut • Documented maximum Allowable Annual Cut • Interview with Organization* 's worker*s | Ref: National Forestry and Tree Planting Regulations (2016) for the Schedule on minimum girth for timber tree species |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|--|---|---|--|--|
| 5.2.2b | | <p>Low Potential Impact Organization Based on the timber harvesting level estimates, a maximum allowable annual cut for timber is determined that does not exceed the harvest levels that can be permanently sustained including ensuring that:</p> <p>For natural forests:</p> <p>(1) Sawlog Felling Cycle is ≥ 30 years;</p> <p>(2) Sawlog Harvesting $\leq 30\text{m}^3/\text{ha}$ over the Felling Cycle in natural forests; and</p> <p>(3) the trees felled are not of less than the minimum girth prescribed in the forestry regulations for the species</p> | To provide for the Low Potential Impact management regime for Uganda as defined under this Standard | <ul style="list-style-type: none"> Estimated maximum Allowable Annual Cut Interviews with the Organization's workers | Ref: National Forestry and Tree Planting Regulations (2016) for the Schedule on minimum girth for timber tree species |
| 5.2.3a | Actual annual harvest levels for timber are recorded and the harvest over a defined period | Actual annual harvest levels for timber are recorded and the harvest over a defined period | To align the indicator with the changes in indicator 5.2.2 | <ul style="list-style-type: none"> Records of timber harvesting compared with estimated | Guidance: Refer to the SIR model which indicates the thresholds for medium impact |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | does not exceed the allowable cut determined in 5.2.2 for the same defined period. | does not exceed the allowable cut determined in 5.2.2a for the same defined period. | | AAC <ul style="list-style-type: none"> • Interview with Organization* 's worker* | organizations (MIO) and low impact organizations (LIOs) |
| 5.2.3b | | Low Potential Impact Organizations Actual annual harvest levels for timber are recorded and the harvest over a defined period does not exceed the allowable cut determined in 5.2.2b for the same defined period. | To align the indicator with the changes in indicator 5.2.2 | <ul style="list-style-type: none"> • Records of timber harvesting • Interview with Organization* 's worker* | |
| 5.2.4a | For extraction of commercially harvested services and non-timber forest products* under The Organization's* control a sustainable harvest level is calculated and adhered to. Sustainable harvest levels are based on Best Available Information*. | For extraction of commercially harvested non-timber forest products* under The Organization's control a sustainable level is calculated and adhered to. Sustainable harvest levels are based on Best Available Information*. | | <ul style="list-style-type: none"> • Documented process for establishing harvesting rates for each product • Harvesting rates • Harvesting records • Interviews with Organization* 's worker*s and other stakeholders | Guidance <ol style="list-style-type: none"> 1. The major marketable NTFP in Uganda include, but not limited to: <ul style="list-style-type: none"> • rattan canes, • bamboo, • palms (Borrassus & other palms), • sand and stones, • honey, • fruits, 2. Refer to the SIR model which |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | | | | | indicates the thresholds for medium impact organizations (MIO) and low impact organizations (LIOs) |
| 5.2.4b | NEW | Extraction of NTFPs is regularly monitored with a view to establishing more precise sustainable extraction levels | There is no baseline information available for NTFP in Uganda. Therefore this indicator will be useful for gathering information required to establish sustainable yield for the management unit | <ul style="list-style-type: none"> • Harvesting reports for NTFPs • monitoring reports • Interviews with Organization* 's worker*s and other stakeholders | |

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

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| 5.3.1 | Costs related to preventing, mitigating or compensating for negative social and environment impacts of management activities are quantified and | The activities required to prevent and mitigate negative impacts have been identified and documented in the management plan | It may not be easy to calculate the costs of preventing, mitigating or compensating negative social and environmental | <ul style="list-style-type: none"> • Documented impacts • Documented strategies for dealing with them • Forest Management Plan • Interviews | <p>Guide: Possible impacts may include:</p> <ul style="list-style-type: none"> • damage to water quality and quantity, • soil |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | documented in the <i>management plan</i> *. | | impacts. Rather, it is easier to identify the activities for mitigating the impacts | with the Organization's workers and other stakeholders | erosion, <ul style="list-style-type: none"> • public works, • social stress, • etc. |
| 5.3.2 | Benefits related to positive social and environment impacts of management activities are identified and included in the <i>management plan</i> *. | Benefits related to positive social and environment impacts of management activities are identified and included in the <i>management plan</i> *. | | <ul style="list-style-type: none"> • Forest management plan • Interviews with the Organization's workers and other stakeholders | |

5.4 The Organization* shall use local processing, local services, and local value adding to meet the requirements of The Organization* where these are available, proportionate to scale, intensity and risk*. If these are not locally available, The Organization* shall make reasonable* attempts to help establish these services. (C5.2 V4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|-------|---|---|------------------|---|---|
| 5.4.1 | Where cost, quality and capacity of non-local and local options are at least equivalent, local goods, services, processing and value-added facilities are used. | Where cost, quality and capacity of non-local and local options are at least equivalent, local goods, services, processing, and value added facilities are used | | <ul style="list-style-type: none"> • Record of criteria for evaluating what to buy • Price lists of goods and services • Procurement policy • Interviews with the Organization's workers and other stakeholders | Guidance: 1. In this context, "local" is defined as "District or Districts within which the FMU is located" s |
| 5.4.2 | <i>Reasonable*</i> attempts are made | <i>Reasonable*</i> attempts are | | <ul style="list-style-type: none"> • Records of capacity | Guidance: The attempts |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | to establish and encourage capacity where local goods, services, processing and value-added facilities are not available. | made to establish and encourage capacity where local goods, services, processing and value-added facilities are not available. | | <ul style="list-style-type: none"> building actions Interviews of organization's workers, and other stakeholders Field observations | could include training, establishment of cooperative savings & credits organizations, establishing links with the relevant players (e.g. NGOs, government institutions) |

5.5 The Organization* shall demonstrate through its planning and expenditures proportionate to scale, intensity and risk*, its commitment to long-term economic viability*. (C5.1 V4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|---|---|--|---|----------------------------|
| 5.5.1a | Sufficient funds are allocated to implement the <i>Management Plan*</i> in order to meet this standard and to ensure long-term <i>economic viability*</i> . | Sufficient funds are allocated to implement the <i>Management Plan*</i> in order to meet this standard and to ensure long-term <i>economic viability*</i> . | | <ul style="list-style-type: none"> Forest Management Plan A comprehensive accounting system A Strategic Investment Plan Research and Development Strategy | |
| 5.5.1b | | For Low Potential Impact Organizations Sources of funds to implement the <i>Management Plan*</i> in order to meet this standard and to ensure long-term <i>economic</i> | To ensure that Low Potential Impact Organizations demonstrate their commitment to economic viability | <ul style="list-style-type: none"> Documentation Interviews with the Organization's workers | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|---|--|---|--|---------------------|
| | | <i>viability*</i> are secured. | | | |
| 5.5.2a | Expenditures and investments are made to implement the <i>Management Plan*</i> in order to meet this standard and to ensure long-term <i>economic viability*</i> .. | Expenditures and investments are made to implement the <i>Management Plan*</i> in order to meet this standard and to ensure long-term <i>economic viability*</i> . | | <ul style="list-style-type: none"> • Expenditure returns/financial statements • Evidence of re-investments • Interviews with the Organization's Executives • Field observation | |
| 5.5.2b | | Low Potential Impact Organizations An annual Plan and budget is in place, that incorporates expected costs and revenues | To cater for low Potential Impact Organizations | <ul style="list-style-type: none"> • Forest Management Plan • Annual Plan and Budget • Evidence that expenditure matches income | |

PRINCIPLE 6: ENVIRONMENTAL VALUES AND IMPACTS

The Organization* shall* maintain, conserve and/or restore ecosystem services* and environmental values* of the Management Unit*, and shall* avoid, repair or mitigate negative environmental impacts. (P6 V4)

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

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|-------|--|---|-----------|--|--|
| 6.1.1 | <i>Best Available Information* is used to identify</i> | Best Available Information* is used to identify | | <ul style="list-style-type: none"> • Assessment Reports • Forest | Guide: See Annex J for a list of possible |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | <i>environmental values* within, and, where potentially affected by management activities, outside of the Management Unit*.</i> | environmental values* within, and, where potentially affected by management activities, outside of the Management Unit*. | | Management Plan • | sources of Best Available Information |
| 6.1.2 | Assessments of environmental values* are conducted with a level of detail and frequency so that: 1) Impacts of management activities on the identified environmental values* can be assessed as per Criterion* 6.2; 2) Risks* to environmental values* can be identified as per Criterion* 6.2; 3) Necessary conservation* measures to protect values can be identified as per Criterion* 6.3; and, 4) Monitoring* of impacts or environmental changes can be conducted as per Principle* 8. | Drop indicator | There is a lot of cross-referencing with Criterion 6.2, 6.3 and Principle 8, which already cover the various aspects of this Indicator. Hence it is repetitive, confusing, and should be deleted. | | |

6.2 (revised 6.1) Prior to the start of site-disturbing activities, The Organization* shall* identify and assess the scale, intensity and risk* of potential impacts of management activities on the identified environmental values*. (C6.1 V4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|-------|--|--|------------------|---|--|
| 6.2.1 | An <i>environmental impact</i> assessment* identifies potential present and future impacts of all management activities on <i>environmental values*</i> from the stand level to the landscape level. | An <i>environmental impact</i> assessment* identifies potential present and future impacts of all management activities on <i>environmental values*</i> from the stand level to the landscape level. | | <ul style="list-style-type: none"> • Environment Impact Assessment Report • Forest Management Plan • Operational plans • Field observations | Section 19 of the National Environment Act |
| | | <p>Low Potential Impact Organizations</p> <p>Potential impacts of management activities on environmental values are identified before the commencement of site disturbing operations</p> | | <ul style="list-style-type: none"> • Forest Management Plan • Interviews with the organization’s workers and other stakeholders • Field observations | |
| 6.2.2 | The environmental impact assessment* identifies and assesses the impacts of the management activities prior to the start of site-disturbing activities. | The environmental impact assessment* identifies and assesses the impacts of the management activities prior to the start of site-disturbing activities. | | <ul style="list-style-type: none"> • Environmental Impact Assessment Reports • Forest Management Plan | <p>Guidance:</p> <ul style="list-style-type: none"> • 3rd Schedule of the National Environment Act lists projects for which an EIA is required • Section 6 of the Guidelines For |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--|---------------------------------|--------------------------|-----------|-----------|--|
| | | | | | Management Of Private Natural Forests In Uganda gives guidance on how small holders can proceed within the law |

6.3 (revised 6.1) The Organization* shall* identify and implement effective actions to prevent negative impacts of management activities on the environmental values*, and to mitigate and repair those that occur, proportionate to the scale, intensity and risk* of these impacts. (C6.1 V4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|-------|---|---|-----------|--|---------------------|
| 6.3.1 | Management activities are planned and implemented to prevent negative impacts and to protect <i>environmental values*</i> . | Management activities are planned and implemented to prevent negative impacts and to protect <i>environmental values*</i> . | | <ul style="list-style-type: none"> • Forest Management Plan • Routine Reports • Interviews with the Organization's workers and other stakeholders • Field observations | |
| 6.3.2 | Management activities prevent negative impacts to environmental values*. | Management activities prevent negative impacts to environmental values*. | | <ul style="list-style-type: none"> • Forest Management Plan • Routine Reports • Interviews with the Organization's workers and other stakeholders | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|-------|---|---|------------------|--|----------------------------|
| | | | | <ul style="list-style-type: none"> Field observations | |
| 6.3.3 | Where negative impacts to <i>environmental values*</i> occur, measures are adopted to prevent further damage, and negative impacts are <i>mitigated*</i> and/or repaired. | Where negative impacts to <i>environmental values*</i> occur, measures are adopted to prevent further damage, and negative impacts are <i>mitigated*</i> and/or repaired. | | <ul style="list-style-type: none"> Annual Work Plans and Budgets Monitoring Reports Interviews with the Organization's workers and other stakeholders Field observations | |

6.4 (revised 6.2) The Organization* shall* protect rare species* and threatened species* and their habitats* in the Management Unit* through conservation zones*, protection areas*, connectivity* through conservation zones*, protection areas*, connectivity* and/or (where necessary) other direct measures for their survival and viability. These measures shall* be proportionate to the scale, intensity and risk* of management activities and to the conservation* status and ecological requirements of the rare and threatened species*. The Organization* shall* take into account the geographic range and ecological requirements of rare and threatened species* beyond the boundary of the Management Unit*, when determining the measures to be taken inside the Management Unit*. (C6.2 V4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|---|---|------------------|--|---|
| 6.4.1a | Best Available Information is used to identify rare and threatened species*, and their habitats*, including CITES species (where applicable) and those listed on national, regional and local lists of rare and threatened species* that are present or likely to be present within | Best Available Information is used to identify rare and threatened species*, and their habitats*, including CITES species (where applicable) and those listed on national, regional and local lists of rare and threatened species* that are present or likely to be present within | | <ul style="list-style-type: none"> A list of rare, threatened and endangered species Study Reports Monitoring reports Interviews with the Organization's workers and other | See Annex J for a list of possible sources of Best Available Information |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | and adjacent to the Management Unit*. | and adjacent to the Management Unit*. | | stakeholders | |
| 6.4.1b | | LIOs Best Available Information is used to identify rare and threatened species*, and their habitats*. | | <ul style="list-style-type: none"> • A list of rare, threatened and endangered species • Interviews with the Organization's workers and other stakeholders | See Annex J for a list of possible sources of Best Available Information |
| 6.4.2 | Potential impacts of management activities on rare and threatened species* and their conservation* status and habitats* are identified and management activities are modified to avoid negative impacts | Potential impacts of management activities on rare and threatened species* and their conservation* status and habitats* are identified and management activities are modified to avoid negative impacts | | <ul style="list-style-type: none"> • Study Reports • Forest management plans • Monitoring reports | |
| 6.4.3a | The rare and threatened species* and their habitats* are protected, including through the provision of conservation zones*, protection areas*, connectivity*, and other direct means for their survival and viability, such as the species' recovery programs. | The rare and threatened species* and their habitats* are protected, including through the provision of conservation zones*, protection areas*, connectivity*, and other direct means for their survival and viability, such as the species' recovery programs. | | <ul style="list-style-type: none"> • Monitoring Reports • Maps • Field observations • Interviews with the Organization's workers and other stakeholders | Guide: national list of rare and threatened species Guide For forests, habitats include strict nature reserves & their buffer zones, National Parks and Wildlife Reserves which are protected by law |
| 6.4.3b | | Low Potential | | <ul style="list-style-type: none"> • Field | Guide |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | | <p>Impact Organizations Measures implemented to protect the rare and threatened species* and their habitats*, include a minimum of:</p> <ol style="list-style-type: none"> 1. Management activities scheduled to avoid disturbance during nesting or fruiting seasons; 2. use of reduced impact harvesting to protect nesting and breeding sites; 3. Establishment of conservation zones and protection areas; and 4. Designing mitigations measures for specific species and habitats. | | <p>observations</p> <ul style="list-style-type: none"> • Interviews with the Organization's workers and other stakeholders | <ul style="list-style-type: none"> • Reduced impact harvesting is based on forest prospecting prior to harvesting, and uses this data to design a layout of felling compartments and inventory units, and also to plan the timber harvesting operations • Refer to NFA guideline for management of production zones in tropical moist forest |
| 6.4.4 | Hunting, fishing, trapping and collection of rare or threatened species*is prevented. | Hunting, fishing, trapping and collection of rare or threatened species*is prevented. | | <ul style="list-style-type: none"> • Monitoring Reports • Interviews with the Organization's workers and other stakeholders | |

6.5 (revised 6.4 and 10.5) The Organization* shall* identify and protect representative sample areas of native ecosystems* and/or restore them to more natural conditions*. Where representative sample areas do not exist or are insufficient, The Organization shall* restore a proportion of the Management Unit* to more natural conditions*. The size of the areas and the measures taken for their protection or restoration, including within plantation, shall* be proportionate to the conservation* status and value of the ecosystems* at the landscape* level, and the scale, intensity and risk* of management activities. (C6.4 and 10.5 V4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| 6.5.1 | <i>Best Available Information*</i> is used to identify <i>native ecosystems*</i> that exist, or would exist under <i>natural conditions*</i> within the <i>Management Unit*</i> . | <i>Best Available Information*</i> is used to identify <i>native ecosystems*</i> that exist, or would exist under <i>natural conditions*</i> within the <i>Management Unit*</i> . | | <ul style="list-style-type: none"> • Study Report • Forest management plans • Field Monitoring reports • Interviews with the Organization’s workers and other stakeholders | See Annex J for possible sources of Best Available Information |
| 6.5.2a | <i>Representative sample areas*</i> of native ecosystems* are protected, where they exist. | <i>Representative sample areas*</i> of native ecosystems* are protected, where they exist. | | <ul style="list-style-type: none"> • Forest management plans • Forest resource Maps • Interviews with the Organization’s workers • Field observations | Guidance: Ref: Forest Nature Conservation Master Plan. In some CFRs biodiversity conservation zones have been set aside with the aim of achieving 20% of the whole area being a strict nature reserve and 30% of the whole area a buffer zone. The remaining |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | | | | | 50% is left as the Production Zone |
| 6.5.2b | <i>NEW</i> | Where representative samples of native ecosystem are not already protected in CFRs, at least 10% of the area is protected for this purpose | To cater for FMUs where there are no conservation zones | <ul style="list-style-type: none"> • Field observations • Forest resource Maps • Interviews with the Organization's workers | See Annex B diagram |
| 6.5.2c | | <u>For FMUs of Small Size</u> Where representative samples of native ecosystem are not already protected in CFRs, at least 5% of the area is protected for this purpose | To cater for small forest management units which need much of their land to be economically viable | <ul style="list-style-type: none"> • Management Map • Forest Management Plan • Field observations • Interviews with the Organization's workers | |
| 6.5.3 | Where representative sample areas* do not exist, or where existing sample areas inadequately represent native ecosystems*, or are otherwise insufficient, a proportion of the Management Unit* is restored* to more natural conditions*. | Where representative sample areas* do not exist, or where existing sample areas inadequately represent native ecosystems*, or are otherwise insufficient, a proportion of the Management Unit* is restored* to more natural conditions*. | | <ul style="list-style-type: none"> • Specialized study Reports • Maps • Forest Management Plan • Field observations • Interviews with the Organization's workers | Guidance: In some CFRs biodiversity conservation zones have been set aside with the aim of achieving 20% of the whole area being a strict nature reserve and 30% of the whole area a buffer zone Ref: Nature conservation master plan |

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| | | | | | of Uganda 2006 |
| 6.5.4 | The size of the <i>Representative Sample Areas*</i> and/or <i>restoration*</i> areas is proportionate to the <i>conservation*</i> status and value of the <i>ecosystems*</i> at the <i>landscape*</i> level, the size of the <i>Management Unit*</i> and the <i>intensity*</i> of <i>forest*</i> management. | Drop indicator | Already catered for in 6.5.2 & 6.5.3 | • | |
| 6.5.5 | Representative Sample Areas* in combination with other components of the conservation areas network* comprise a minimum 10% area of the Management Unit*. | Drop indicator | See 6.5.2 | • | |

6.6 (revised 6.2 and 6.3) *The Organization* shall* effectively maintain the continued existence of naturally occurring native species and genotypes*, and prevent losses of biological diversity*, especially through habitat* management in the Management Unit*. The Organization* shall* demonstrate that effective measures are in place to manage and control hunting, fishing, trapping and collecting. (C6.2 and C6.3 V4)*

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| 6.6.1 | Management activities maintain the plant communities and | Management activities maintain the plant communities and | | • Forest Management Plan | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | <i>habitat features*</i> found within native <i>ecosystems*</i> in which the <i>Management Unit*</i> is located. | <i>habitat features*</i> found within native <i>ecosystems*</i> in which the <i>Management Unit*</i> is located. | | <ul style="list-style-type: none"> • maps • Interviews with Organization's workers and other stakeholders • Field observations | |
| 6.6.2 | Where past management has eliminated plant communities or <i>habitat features*</i> , management activities aimed at re-establishing such <i>habitats*</i> are implemented. | Where past management has eliminated plant communities or <i>habitat features*</i> , management activities aimed at re-establishing such <i>habitats*</i> are implemented. | | <ul style="list-style-type: none"> • Forest Management Plan • maps • Interviews with Organization's workers and other stakeholders • Field observations | |
| 6.6.3 | Management maintains, enhances, or restores* <i>habitat features*</i> associated with native <i>ecosystems*</i> , to support the diversity of naturally occurring species and their genetic diversity. | Management maintains, enhances, or restores* <i>habitat features*</i> associated with native <i>ecosystems*</i> , to support the diversity of naturally occurring species and their genetic diversity. | | <ul style="list-style-type: none"> • Forest Management Plan • maps • Interviews with Organization's workers and other stakeholders • Field observations | |
| 6.6.4 | Effective measures are taken to manage and control hunting, fishing, trapping and collecting activities to ensure that naturally occurring native species*, their diversity within species and their | Effective measures are taken to manage and control hunting, fishing, trapping and collecting activities to ensure that naturally occurring native species*, their diversity within species and their | | <ul style="list-style-type: none"> • Forest Management Plan • Interviews with Organization's workers and other stakeholders • Field observations | <p>Guidance:</p> <ul style="list-style-type: none"> • See Guidance on Species that are threatened |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | natural distribution are maintained. | natural distribution are maintained. | | | |
| 6.6.5 | Mechanisms for wildlife protection* are in place: Applicable national and/or international regulations on protection*, hunting and trade in animal species or parts (trophies) shall* be known and complied with; | Mechanisms for wildlife protection* are in place: Applicable national and/or international regulations on protection*, hunting and trade in animal species or parts (trophies) shall* be known and complied with; | | <ul style="list-style-type: none"> • Policies and laws • Forest Management Plan • Monitoring reports | Guidance Uganda Wildlife Act 1996 provides for prohibited and allowed activities |
| 6.6.6 | An internal regulation banning and punishing the transportation of and trade in bush meat and firearms in the facilities and vehicles of The Organization*; | Except where there is legal authorization, an internal regulation is in place banning and punishing the transportation of and trade in bush meat and firearms in facilities and vehicles of <i>The Organization</i> , | "Except where there is legal authorization" has been added to cater for situations because Uganda Wildlife Authority is authorized to carry arms | <ul style="list-style-type: none"> • Policies and laws • Forest Management Plan • Monitoring reports • | |
| 6.6.7 | A system of regular and punctual controls to ensure hunting policies are respected is implemented; | A system of regular and punctual controls to ensure hunting policies are respected is implemented; | | <ul style="list-style-type: none"> • Policies and laws • Forest Management Plan • Monitoring reports | Uganda Wildlife Act (1996) provides for the controlling role of Uganda Wildlife Authority |
| 6.6.8 | Effective mitigation measures are in place to ensure that workers* do | Effective mitigation measures are in place to ensure | | <ul style="list-style-type: none"> • Forest Management Plan • Administrative | "workers" include the executives of the |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | not increase hunting trapping or collecting of bush meat or wild fish. | that <i>workers</i> * do not increase hunting trapping or collecting of bush meat or wild fish. | | guidelines | Organisation, as well as casual and permanent labourers in this context |

6.7 (revised 6.5 and 10.2) The Organization* shall* protect or restore natural water courses, water bodies, riparian zones and their connectivity*. The Organization* shall* avoid negative impacts on water quality and quantity and mitigate and remedy those that occur. (C6.5 V4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| 6.7.1 | Protection* measures are implemented to protect natural watercourses*, water bodies*, riparian zones* and their connectivity, including water quantity and water quality | In line with the National Environment Act and the associated regulations and guidelines, protection* measures are implemented to protect natural watercourses*, water bodies*, riparian zones* and their connectivity, including water quantity and water quality | Addition to cater for the national legal requirements | <ul style="list-style-type: none"> Record of regular water quality sampling and analysis Field observations Interviews with the Organization's workers and other stakeholders Monitoring and Evaluation Reports | <p>Guide: The National Environment Act requires a distance of 50 metres for streams, 100 metres for rivers and 200 metres for lakes</p> <p>Guide: In Uganda Stock Survey systems for harvesting trees in natural forests does not allow harvesting within 30 metres of water bodies</p> |
| 6.7.2 | Where implemented protection* measures do not protect watercourses*, | Where implemented protection* measures do not protect watercourses*, | | <ul style="list-style-type: none"> Forest Management Plan Operational Plans Monitoring and | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|-------|---|---|------------------|---|----------------------------|
| | water bodies*, riparian zones* and their connectivity*, water quantity or water quality from impacts of forest* management, restoration activities are implemented | water bodies*, riparian zones* and their connectivity*, water quantity or water quality from impacts of forest* management, restoration activities are implemented | | <p>Evaluation Reports</p> <ul style="list-style-type: none"> • Interviews with Organization *’s worker*s and other stakeholders • Field observation | |
| 6.7.3 | Where natural watercourses, water bodies*, riparian zones* and their connectivity*, water quantity or water quality have been damaged by past activities on land and water by The Organization*, restoration activities* are implemented. | Where natural watercourses, water bodies*, riparian zones* and their connectivity*, water quantity or water quality have been damaged by past activities on land and water by The Organization*, restoration activities* are implemented. | | <ul style="list-style-type: none"> • Forest Management Plan • Operational Plans • Monitoring and Evaluation Reports • Interviews with Organization *’s worker*s and other stakeholders • Field observation | |
| 6.7.4 | Where continued degradation exists to watercourses*, water bodies*, water quantity and water quality caused by previous managers and the activities of third parties, measures are implemented that prevent or mitigate this | Where continued degradation exists to watercourses*, water bodies*, water quantity and water quality caused by previous managers and the activities of third parties, measures are implemented that prevent or mitigate this | | <ul style="list-style-type: none"> • Forest Management Plan • Operational Plans • Monitoring and Evaluation Reports • Interviews with Organization *’s worker*s, local experts and relevant | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--|---------------------------------|--------------------------|-----------|--|---------------------|
| | degradation. | degradation. | | stakeholders <ul style="list-style-type: none"> • Field observation | |

6.8 (revised 10.2 and 10.3) The Organization* shall* manage the landscape* in the Management Unit* to maintain and/or restore a varying mosaic of species, sizes, ages, spatial scales and regeneration cycles appropriate for the landscape values* in that region, and for enhancing environmental and economic resilience*. (C10.2 V4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|-------|--|--|-----------|---|---------------------|
| 6.8.1 | A varying mosaic of species, sizes, ages, spatial <i>scales*</i> and regeneration cycles is maintained appropriate to the <i>landscape*</i> . | A varying mosaic of species, sizes, ages, spatial <i>scales*</i> is maintained appropriate to the <i>landscape*</i> | . | <ul style="list-style-type: none"> • Forest Management Guidelines • Forest Management Plan and maps • Field observation | |
| 6.8.2 | The mosaic of species, sizes, ages, spatial <i>scales*</i> and regeneration cycles is <i>restored*</i> where it has not been maintained appropriate to the <i>landscape*</i> | The mosaic of species, sizes, ages, spatial <i>scales*</i> and regeneration cycles is <i>restored*</i> where it has not been maintained appropriate to the <i>landscape*</i> | | <ul style="list-style-type: none"> • Forest Management Guidelines • Forest Management Plan and maps • Operational Plan • Monitoring and Evaluation Reports • Field observation | |

6.9 (revised 6.10) The Organization* shall* not convert natural forest* to plantations*, nor natural forests* or plantations* on sites directly converted from natural forest to no-forest land use, except when the conversion:

a) Affects a very limited portion of the area of the Management Unit*, and

b) Will produce clear, substantial, additional, secure long-term conservation* benefits in the Management Unit*, and

c) Does not damage or threaten High Conservation Values*, nor any sites or resources necessary to maintain or enhance those High Conservation Values*. (C6.10 V4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|-------|--|--|------------------|--|--|
| 6.9.1 | There is no conversion of natural forest* to plantations*, nor conversion of natural forests* to non-forest* land use, nor conversion of plantations* on sites directly converted from natural forest* to non-forest* land use, except when the conversion: 1) Affects a very limited portion* of the Management Unit*, and 2) The conversion will produce clear, substantial, additional, secure, long-term conservation* benefits in the Management Unit*; and 3) Does not damage or threaten High Conservation Values*, nor any sites or resources necessary to maintain or enhance those High Conservation Values*. | There is no conversion of natural forest* to plantations*, nor conversion of natural forests* to non-forest* land use, nor conversion of plantations* on sites directly converted from natural forest* to non-forest* land use, except when the conversion: 1) Affects a very limited portion* of the Management Unit*, and 2) The conversion will produce clear, substantial, additional, secure, long-term conservation* benefits in the Management Unit*; and 3) Does not damage or threaten High Conservation Values*, nor any sites or resources necessary to maintain or enhance those High Conservation Values*. | | <ul style="list-style-type: none"> • Maps • Forest management Plans • Field Observations • Interviews with organization's workers and other stakeholders | "limited portion* of the Management Unit*) is interpreted in line with FSC Policy of Excision (FSC-POL-20-003) |

6.10 (revised 10.9) Management Units* containing plantations* that were established on areas converted from natural forest* after November 1994 shall* not qualify for certification, except where:

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

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|---|---|------------------|---|--|
| 6.10.1 | Based on <i>Best Available Information*</i> , accurate data is compiled on all conversions since 1994 | Based on <i>Best Available Information*</i> , accurate data is compiled on all conversions since 1994. | | <ul style="list-style-type: none"> • Records of areas converted • Maps • Forest management Plans | See Annex J for sources of Best Available Information |
| 6.10.2 | Areas converted from natural forest* to plantation* since November 1994 are not certified, except where: 1) The Organization* provides clear and sufficient evidence that it was not directly or indirectly responsible for the conversion; or 2) The conversion is producing clear, substantial, additional, secure, long-term conservation* benefits in the Management Unit*; and 3) The total area of plantation* on sites converted from natural forest* since | Areas converted from natural forest* to plantation* since November 1994 are not certified, except where: 1) The Organization* provides clear and sufficient evidence that it was not directly or indirectly responsible for the conversion; or 2) The conversion is producing clear, substantial, additional, secure, long-term conservation* benefits in the Management Unit*; and 3) The total area of plantation* on sites converted from natural forest* since | | <ul style="list-style-type: none"> • Maps • Forest management Plans • Field Observations • Records of areas converted | “directly or indirectly responsible for the conversion” is interpreted within the context of the Policy for the Association of Organizations with FSC (FSC-POL-01-004 V2-0 EN) |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--|--|--|------------------|------------------|----------------------------|
| | November 1994 is less than 5% of the total area of the Management Unit*. | November 1994 is less than 5% of the total area of the Management Unit*. | | | |

PRINCIPLE 7: MANAGEMENT PLANNING

The Organization* shall have a management plan* consistent with its policies and objectives* and proportionate to scale, intensity and risks* of its management activities. The management plan shall be implemented and kept up to date based on monitoring information in order to promote adaptive management*. The associated planning and procedural documentation shall be sufficient to guide staff, inform affected stakeholders* and interested stakeholders* and to justify management decisions.

7.1 The Organization shall, proportionate to scale, intensity and risk* of its management activities, set policies (visions and values) and objectives* for management, which are environmentally sound, socially beneficial and economically viable. Summaries of these policies and objectives* shall be incorporated into the management plan*, and publicized. (C7.1 V4)*

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|--|--|-------------------|---|----------------------------|
| 7.1.1a | Policies (vision and values) that contribute to meeting the requirements of this standard are described in the management plan*. | Policies (vision and values) that contribute to meeting the requirements of this standard are described in the management plan*. | | <ul style="list-style-type: none"> • Documented policy • Forest management Plan | |
| 7.1.1b | | Low Potential Impact Organizations The Organization's commitment to environmental, social and economically viable management is stated in the Forest Management Plan | To cater for LIOs | <ul style="list-style-type: none"> • Forest management Plan | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|--|--|------------------|--|----------------------------|
| 7.1.2 | Specific, operational management objectives* that address the requirements of this standard are presented in the management plan*. | Specific, operational management objectives* that address the requirements of this standard are presented in the management plan*. | | <ul style="list-style-type: none"> • Forest management Plan | |
| 7.1.3a | Summaries of the defined policies and management objectives* are included in the management plan* and publicized. | Summaries of the defined policies and management objectives* are included in the management plan* and publicized. | | <ul style="list-style-type: none"> • Management Plan | |
| 7.1.3b | | Low Potential Impact Organizations Summaries of management objectives* are included in the management plan*. | | <ul style="list-style-type: none"> • Management Plan | |

7.2 The Organization shall have and implement a management plan* for the Management Unit* which is fully consistent with the policies and objectives* as established according to Criterion* 7.1. The management plan* shall describe the natural resources that exist in the Management Unit* and explain how the plan will meet the FSC certification requirements. The management plan* shall cover forest management planning and social management planning proportionate to scale*, intensity* and risk* of the planned activities. (C7.1 V4)*

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|---|---|------------------|---|----------------------------|
| 7.2.1a | The management plan* includes management actions, procedures, strategies and measures to achieve the management | The management plan* includes management actions, procedures, strategies and measures to achieve the management | | <ul style="list-style-type: none"> • Forest management Plan • Business Plan | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|--|--|------------------|--|----------------------------|
| | <i>objectives*</i> . | objective. | | | |
| 7.2.1b | | Low Potential Impact Organizations The <i>management plan*</i> includes management actions to achieve the management objective. | | <ul style="list-style-type: none"> • Forest management Plan | |
| 7.2.2a | The <i>management plan*</i> addresses the elements listed in Annex E, and is implemented | The <i>management plan*</i> addresses the elements listed in Annex E(i), and is implemented | | <ul style="list-style-type: none"> • Forest management Plan | |
| 7.2.2b | | Low Potential Impact Organizations The <i>management plan*</i> outlines actions to implement the elements listed in Annex E (ii), and is implemented | | <ul style="list-style-type: none"> • Forest management Plan | |

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

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|-------|---|---|------------------|--|--|
| 7.3.1 | Verifiable targets, and the frequency that they are assessed, are established for <i>monitoring*</i> the progress towards each <i>management objective*</i> . | Verifiable targets, and the frequency that they are assessed, are established for <i>monitoring*</i> the progress towards each <i>management objective*</i> . | | <ul style="list-style-type: none"> • Forest management Plan | Guide: 1. For verifiable targets refer to Annex G(i) for the Non-LIOs, and Annex G(ii) for LIOs <ul style="list-style-type: none"> • |

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

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|--|--|------------------|---|----------------------------|
| 7.4.1a | The management plan* is revised and updated periodically consistent with Annex F to incorporate: 1. Monitoring results, including results of certification audits; 2. Evaluation results; 3. Stakeholder engagement* results; 4. New scientific and technical information, and 5. Changing environmental, social, or economic circumstances | The management plan* is revised and updated periodically consistent with Annex F to incorporate: 1. Monitoring results, including results of certification audits; 2. Evaluation results; 3. Stakeholder engagement* results; 4. New scientific and technical information, and 5. Changing environmental, social, or economic circumstances | | <ul style="list-style-type: none"> Evidence of revised Forest management Plan Evidence of adaptive management | |
| 7.4.1b | | <p>Low Potential Impact Organizations</p> <p>The management plan* is revised and updated periodically consistent with the elements in Annex F(ii)</p> | | <ul style="list-style-type: none"> Forest management plan | |

7.5 The Organization* shall make publicly available* a summary of the management plan* free of charge. Excluding confidential information, other relevant components of the management plan* shall be made available to affected stakeholders* on request, and at cost of reproduction and handling. (C7.4 V4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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|--|--|---------------------------------|------------------|------------------|----------------------------|

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|-------|--|--|------------------|---|---|
| 7.5.1 | A summary of the management plan* in a format comprehensible to stakeholders including maps and excluding <i>confidential information*</i> is made <i>publicly available*</i> at no cost. | A summary of the management plan* in a format comprehensible to stakeholders including maps and excluding <i>confidential information*</i> is made <i>publicly available*</i> at no cost | | <ul style="list-style-type: none"> Evidence of public availability | |
| 7.5.2 | Relevant components of the <i>management plan*</i> , excluding <i>confidential Information*</i> , are available to affected stakeholders* on request at the actual costs of reproduction and handling. | <u>Standard Potential Impact Organizations only</u> Relevant components of the <i>management plan*</i> , excluding <i>confidential information*</i> , are available to affected stakeholders* on request at the actual costs of reproduction and handling. | | <p>Procedure for access to the complete Management Plan</p> <p>Interviews with the Organization's workers and affected stakeholders</p> | <p>Guide:</p> <p>1) Low Potential Impact Organizations are unlikely to be able to provide copy of such summary due to cost implication.</p> <p>2) Examples of confidential information, Includes data & content:</p> <p>a) Related to investment decisions;</p> <p>b) About intellectual property* rights;</p> <p>c) Client confidential;</p> <p>d) By law confidential;</p> <p>e) Protecting wildlife species and habitats*;</p> <p>and</p> <p>f) About sites that are of</p> |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | | | | | special cultural, ecological, economic, religious or spiritual significance to indigenous peoples* or local communities* (see Criterion* 3.5 and Criterion* 4.7) as requested by these groups. |

7.6 The Organization* shall, proportionate to scale, intensity and risk* of management activities, proactively and transparently engage affected stakeholders* in its management planning and monitoring processes, and shall engage interested stakeholders* on request. (C4.4 V4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|---|---|-----------|--|---------------------|
| 7.6.1a | <i>Culturally appropriate* engagement*</i> is used to ensure that <i>affected stakeholders*</i> are proactively and transparently engaged in the following processes: 1. Dispute resolution processes (Criterion* 1.6, Criterion* 2.6, Criterion* 4.6); 2. Definition of Living wages* (Criterion* 2.4); 3. Identification of rights (Criterion* | <i>Culturally appropriate* engagement*</i> is used to ensure that <i>affected stakeholders*</i> are proactively and transparently engaged in the following processes: 1. Dispute resolution processes (Criterion* 1.6, Criterion* 2.6, Criterion* 4.6); 2. Definition of Living wages* (Criterion* 2.4); 3. Identification of rights (Criterion* | | <ul style="list-style-type: none"> • Documented engagement process / strategy • Record of engagement activities • Interviews with Organization 's workers, affected stakeholders and other stakeholders | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|---|---|------------------|---|----------------------------|
| | 3.1, Criterion* 4.1), sites (Criterion* 3.5, Criterion* 4.7) and impacts (Criterion* 4.5); 4. Local communities'* socio-economic development activities (Criterion* 4.4); and 5. High Conservation Value* assessment, management and monitoring (Criterion* 9.1, Criterion* 9.2, Criterion* 9.4). | 3.1, Criterion* 4.1), sites (Criterion* 3.5, Criterion* 4.7) and impacts (Criterion* 4.5); 4. Local communities'* socio-economic development activities (Criterion* 4.4); and 5. High Conservation Value* assessment, management and monitoring (Criterion* 9.1, Criterion* 9.2, Criterion* 9.4). | | | |
| 7.6.1b | | Low Potential Impact Organizations Affected stakeholders* are appropriately engaged in making decisions where management activities affect them. | | <ul style="list-style-type: none"> Interviews with Organization's workers, affected stakeholders and other stakeholders | |
| 7.6.2a | Culturally appropriate* engagement* is used to: 1) Determine appropriate representatives and contact points (including where appropriate, local institutions, organizations and authorities); 2) Determine mutually agreed | Culturally appropriate* engagement* is used to: 1) Determine appropriate representatives and contact points (including where appropriate, local institutions, organizations and authorities); 2) Determine mutually agreed | | <ul style="list-style-type: none"> Procedure for engagement Interviews with Organization's workers and other stakeholders | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|--|--|------------------|--|----------------------------|
| | <p>communication channels allowing for information to flow in both directions;</p> <p>3) Ensure all actors (women, youth, elderly, minorities) are represented and engaged equitably;</p> <p>4) Ensure all meetings, all points discussed and all agreements reached are recorded;</p> <p>5) Ensure the content of meeting records is approved; and</p> <p>6) Ensure the results of all culturally appropriate* engagement* activities are shared with those involved.</p> | <p>communication channels allowing for information to flow in both directions;</p> <p>3) Ensure all actors (women, youth, elderly, minorities) are represented and engaged equitably;</p> <p>4) Ensure all meetings, all points discussed and all agreements reached are recorded;</p> <p>5) Ensure the content of meeting records is approved; and</p> <p>6) Ensure the results of all culturally appropriate* engagement* activities are shared with those involved.</p> | | | |
| 7.6.2b | | <p><u>Low Potential Impact Organizations</u></p> <p>Approaches that are mutually agreed upon are used for engaging stakeholders to address issues affecting them</p> | | <ul style="list-style-type: none"> • Interviews with Organization 's workers and other stakeholders | |
| 7.6.3a | <p><i>Affected stakeholders* are provided with an opportunity for culturally appropriate* engagement* in monitoring* and planning processes</i></p> | <p><i>Affected stakeholders* are provided with an opportunity for culturally appropriate* engagement* in monitoring* and planning processes</i></p> | | <ul style="list-style-type: none"> • Documented engagement process / strategy • Record of engagement activities • Interviews with | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|--|--|-----------|---|---------------------|
| | of management activities that affect their interests | of management activities that affect their interests | | Organization's workers, affected stakeholders and other stakeholders | |
| 7.6.3b | | <u>LIQs</u> <i>Affected stakeholders*</i> are engaged in planning and monitoring of management activities that affect their interests | | <ul style="list-style-type: none"> Interviews with Organization's workers and affected stakeholders | |
| 7.6.4 | On request, <i>interested stakeholders*</i> are provided with an opportunity for <i>engagement*</i> in <i>monitoring*</i> and planning processes of management activities that affect their interests. | On request, <i>interested stakeholders*</i> are provided with an opportunity for <i>engagement*</i> in <i>monitoring*</i> and planning processes of management activities that affect their interests. | | <ul style="list-style-type: none"> Record of engagement activities Interviews with Organization's workers, affected stakeholders and other stakeholders | |

PRINCIPLE 8: MONITORING AND ASSESSMENT

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

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

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|-------|--|--|-----------|--|---------------------|
| 8.1.1 | Procedures are documented and executed for | Procedures are documented and executed for | | <ul style="list-style-type: none"> Monitoring procedure Monitoring | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--|--|--|------------------|--|----------------------------|
| | monitoring* the implementation of the Management Plan* including its policies and management objectives* and achievement of verifiable targets*. | monitoring* the implementation of the Management Plan* including its policies and management objectives* and achievement of verifiable targets*. | | <ul style="list-style-type: none"> plan Annual reports Monitoring reports | |

8.2 The Organization* shall* monitor and evaluate the environmental and social impacts of the activities carried out in the Management Unit*, and changes in its environmental condition. (C8.2 V4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|---|---|-----------------------------------|---|---|
| 8.2.1a | The social and environmental impacts of management activities are monitored* consistent with Annex G (i). | The social and environmental impacts of management activities are monitored* consistent with Annex G (i). | | <ul style="list-style-type: none"> Environmental Monitoring Plan Monitoring reports | |
| 8.2.1b | | Low Potential Impact Organizations The social and environmental impacts of management activities are monitored* consistent with Annex G (ii). | To cater for LIOs | <ul style="list-style-type: none"> Monitoring reports Interviews with Organization's workers and other stakeholders | Monitoring methods will be in line with FSC Tools for simple monitoring |
| 8.2.2a | Changes in environmental conditions are monitored* consistent with Annex G. | Changes in environmental conditions are monitored* consistent with Annex G (i). | | <ul style="list-style-type: none"> Environmental Monitoring Plan Monitoring reports | |
| 8.2.2b | | Low Potential Impact Organizations | To cater for Low Potential Impact | <ul style="list-style-type: none"> Monitoring reports Interviews with | Monitoring methods will be in line |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--|---------------------------------|--|---------------|---|--------------------------------------|
| | | Changes in environmental conditions are monitored* consistent with Annex G (ii). | Organizations | Organization's workers and other stakeholders | with FSC Tools for simple monitoring |

8.3 The Organization* shall* analyze the results of monitoring and evaluation and feed the outcomes of this analysis back into the planning process. (C8.4 V4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|--|--|-----------|---|---------------------|
| 8.3.1a | Adaptive management* procedures are implemented so that monitoring* results feed into periodic updates to the planning process and the resulting management plan*. | Adaptive management* procedures are implemented so that monitoring* results feed into periodic updates to the planning process and the resulting management plan*. | | <ul style="list-style-type: none"> Monitoring reports Updated forest management plan | |
| 8.3.1b | | <p>Low Potential Impact Organizations</p> <p>The Organization takes into consideration the results of monitoring and evaluation during the planning process</p> | | <ul style="list-style-type: none"> Evidence of integration of monitoring results in revised plans Interviews with the Organization's workers and other stakeholders Field observations | |
| 8.3.2 | If <i>monitoring*</i> results show non-conformities with | If <i>monitoring*</i> results show non-conformities with | | <ul style="list-style-type: none"> Monitoring reports Revised | Guidance: |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | the FSC Standard then <i>management objectives*</i> , <i>verifiable targets*</i> and / or management activities are revised. | the FSC Standard then <i>management objectives*</i> , <i>verifiable targets*</i> and / or management activities are revised. | | Management Plan <ul style="list-style-type: none"> • Interviews with the Organization's workers | |

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

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|---|---|--|--|----------------------------|
| 8.4.1a | A summary of the <i>monitoring*</i> results consistent with Annex G, in a format comprehensible to stakeholders including maps and excluding <i>confidential information*</i> is made publicly available* at no cost. | A summary of the <i>monitoring*</i> results consistent with Annex G (i), in a format comprehensible to stakeholders including maps and excluding <i>confidential information*</i> is made publicly available* at no cost. | Two different Annexes (Gi and Gii) are created to address SIR. | <ul style="list-style-type: none"> • Documented summary of monitoring results • Evidence of no-cost dissemination • Interviews with the organization's workers and other stakeholders | |
| 8.4.1b | | <p>Low Potential Impact Organizations</p> <p>A summary of the <i>monitoring*</i> results consistent with Annex G (ii) is made available on request</p> | | <ul style="list-style-type: none"> • Evidence of dissemination of the monitoring results • Interviews with the organization's workers and other stakeholders | |

8.5 The Organization* shall* have and implement a tracking and tracing system proportionate to scale, intensity and risk* of its management activities, for demonstrating the source and volume in

proportion to projected output for each year, of all products from the Management Unit that are marketed as FSC certified. (C8.3 V4)*

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|-------|--|--|------------------|---|--|
| 8.5.1 | A system is implemented to track and trace all products that are marketed as FSC certified. | A system is implemented to track and trace all products that are marketed as FSC certified. | | <ul style="list-style-type: none"> • Documented tracking and tracing system • Evidence of implementation of the system • Monitoring reports • Field observations | Ref: National Forestry and Tree Planting Regulations, which provide for: <ul style="list-style-type: none"> • Licence / permit to fell trees or harvest other produce; • Forest Produce Declaration Form • Forest Produce Movement Permit |
| 8.5.2 | Information about all products sold is compiled and documented, including: 1) Common and scientific species name; 2) Product name or description; 3) Volume (or quantity) of product; 4) Information to trace the material to the source of origin logging block; 5) Logging date; 6) If basic | Information about all products sold is compiled and documented, including: 1) Common and scientific species name; 2) Product name or description; 3) Volume (or quantity) of product; 4) Information to trace the material to the source of origin logging site; 5) Logging date; 6) If basic processing | | <ul style="list-style-type: none"> • Documentation trail of all products leaving the forest • Interviews with Organization*'s worker*s and other stakeholders • Field observations | Ref: National Forestry and Tree Planting Regulations |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | processing activities take place in the forest, the date and volume produced; and 7) Whether or not the material was sold as FSC certified. | activities take place in the forest, the date and volume produced; and 7) Whether or not the material was sold as FSC certified. | | | |
| 8.5.3 | Sales invoices or similar documentation are kept for a minimum of five years for all products sold with an FSC claim, which identify at a minimum, the following information: 1) Name and address of purchaser; 2) The date of sale; 3) Common and scientific species name; 4) Product description; 5) The volume (or quantity) sold; 6) Certificate code; and 7) The FSC Claim "FSC 100%" identifying products sold as FSC certified. | Sales invoices or similar documentation are kept for a minimum of five years for all products sold with an FSC claim, which identify at a minimum, the following information: 1) Source of product (Forest, Compartment, Village, Subcounty, District) 2) Name and address of purchaser; 3) The date of sale; 4) Common and scientific species name; 5) Product description; 6) The volume (or quantity) sold; 7) Certificate code; and 8) The FSC Claim "FSC 100%" | Incorporating the source of product as an important element in tracking/tracing the product | <ul style="list-style-type: none"> • Sales Invoices or similar documents • Forest Produce Declaration Form • Forest Movement Permits | Guidance Ref the Forestry Regulations for samples of the documents under the relevant Schedules |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--|---------------------------------|---|-----------|-----------|---------------------|
| | | identifying products sold as FSC certified. | | | |

PRINCIPLE 9: HIGH CONSERVATION VALUES

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

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

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

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

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

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

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

HCV 6 – Cultural values. Sites, resources, habitats and landscapes of global or national cultural, archaeological or historical significance, and/or of critical* cultural, ecological, economic or religious/sacred importance for the traditional cultures of local communities* or indigenous peoples*, identified through engagement with these local communities* or indigenous peoples*. (C9.1 V4*

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|-------|---|---|-----------|---|---|
| 9.1.1 | An assessment is completed using Best Available | An assessment is completed using Best Available | | <ul style="list-style-type: none"> • Maps • Expert reviewed | Guide: Refer to Annex I (High |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|-------|--|--|------------------|--|--|
| | Information* that records the location and status of High Conservation Value* Categories 1-6, as defined in Criterion* 9.1; the High Conservation Value Areas* they rely upon (Annex I), and their condition. | Information* that records the location and status of High Conservation Value* Categories 1-6, as defined in Criterion* 9.1; the High Conservation Value Areas* they rely upon (Annex I), and their condition. | | <p>Assessment Report or reports for HCV</p> <ul style="list-style-type: none"> • Interviews with Organization*'s worker*s and other relevant stakeholders • Field observations | Conservation Value Framework for Uganda) and the possible sources of "Best Available Information" outlined in ANNEX |
| 9.1.2 | The assessment uses results from culturally appropriate* engagement* (Annex I) with affected* and interested stakeholders* with an interest in the conservation* of the High Conservation Values* | The assessment uses results from culturally appropriate* engagement* (Annex I) with affected* and interested stakeholders* with an interest in the conservation* of the High Conservation Values* | | <ul style="list-style-type: none"> • Stakeholder engagement strategy • Record of stakeholder engagement • Interviews with the Organization's workers | Comment: "Culturally appropriate engagement" is variable and will be specific to the area where the Organization operates |

9.2 The Organization* shall* develop effective strategies that maintain and/or enhance the identified High Conservation Values*, through engagement* with affected stakeholders*, interested stakeholders* and experts. (C9.2 V4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|-------|---|---|------------------|--|----------------------------|
| 9.2.1 | Threats to High Conservation Values* are identified using <i>Best Available Information*</i> (Annex I). | Threats to High Conservation Values* are identified using Best Available Information (Annex I). | | <ul style="list-style-type: none"> • Threat Assessment Reports • Interviews with the Organization's workers and other stakeholders | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|-------|---|---|---|---|---|
| 9.2.2 | Management strategies and actions are developed to maintain and/or enhance the identified High Conservation Values* and to maintain associated High Conservation Value* Areas* (Annex I) prior to implementing potentially harmful management activities. | Management strategies and actions are developed to maintain and/or enhance the identified High Conservation Values* and to maintain associated High Conservation Value* Areas* (Annex I) prior to implementing potentially harmful management activities. | | <ul style="list-style-type: none"> • Documented strategies and procedures • Forest management Plan | |
| 9.2.3 | <i>Affected*</i> and <i>interested stakeholders*</i> and experts are engaged in the development of management strategies and actions to maintain and/or enhance the identified <i>High Conservation Values*</i> . | <i>Affected*</i> and <i>interested stakeholders*</i> and experts are engaged in the development of management strategies and actions to maintain and/or enhance the identified <i>High Conservation Values*</i> . | | <ul style="list-style-type: none"> • Stakeholder engagement process • Documented management strategies • Interviews with organization’s works and other stakeholders | Comment: Among the “experts” are included the relevant District local government personnel, NGO, consultants. |
| 9.2.4 | The strategies developed are effective to maintain and/or enhance the High Conservation Values*. | The strategies developed are effective to maintain and/or enhance the High Conservation Values* and mitigate and/or control the threats identified in 9.1.1. | To cater for the mitigation measures to address the threats identified in 9.1.1 | <ul style="list-style-type: none"> • Documented management strategies • Monitoring reports • Interviews with organization’s works and other stakeholders • Field observations | |

9.3 The Organization* shall* implement strategies and actions that maintain and/or enhance the identified High Conservation Values*. These strategies and actions shall* implement the precautionary approach* and be proportionate to the scale, intensity and risk* of management activities. (C9.3 V4).

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|-------|---|---|---|--|----------------------------------|
| 9.3.1 | The <i>High Conservation Values*</i> and the <i>High Conservation Value Areas*</i> on which they depend are maintained and/or enhanced, including by implementing the strategies developed (Annex I). | The <i>High Conservation Values*</i> and the <i>High Conservation Value Areas*</i> on which they depend are maintained and/or enhanced, including by implementing the strategies developed (Annex I). | | <ul style="list-style-type: none"> • Annual Work Plans and Budgets • Monitoring and evaluation reports • Routine reports • Interviews with Organization’s workers and other stakeholders • Field observations | Guidance: Ref Annex I. |
| 9.3.2 | The strategies and actions prevent damage and avoid risks to <i>High Conservation Values*</i> , even when the scientific information is incomplete or inconclusive, and when the vulnerability and sensitivity of <i>High Conservation Values*</i> are uncertain. | The strategies and actions prevent damage and avoid risks to <i>High Conservation Values*</i> . | Although the precautionary principle imbedded in the IGI is understood, its wording is subjected to confusion | <ul style="list-style-type: none"> • Study Reports • Environment Management Plan • Forest Management Plan • Documented measures • Interviews with Organization’s workers and other stakeholders • Field observations | |
| 9.3.3 | Activities that harm <i>High Conservation Values*</i> cease immediately and | Activities that harm <i>High Conservation Values*</i> cease immediately and | | <ul style="list-style-type: none"> • Monitoring and evaluation reports • Restoration | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | actions are taken to <i>restore*</i> and protect the <i>High Conservation Values*</i> . | actions are taken to <i>restore*</i> and protect the <i>High Conservation Values*</i> . | | Action Plans (For Large Scale) <ul style="list-style-type: none"> • Routine Reports • Interviews with Organization's workers and other stakeholders • Field observations | |

9.4 The Organization* shall* demonstrate that periodic monitoring is carried out to assess changes in the status of High Conservation Values*, and shall* adapt its management strategies to ensure their effective protection*. The monitoring shall be proportionate to the scale, intensity and risk* of management activities, and shall include engagement* with affected stakeholders*, interested stakeholders* and experts. (C9.4 V4).

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|--|--|-----------|---|---------------------|
| 9.4.1a | A program of periodic <i>monitoring*</i> (Annex G) assesses: 1. Implementation of strategies; 2. The status of <i>High Conservation Values*</i> including High Conservation areas on which they depend; and 3. The effectiveness of the management strategies and actions for the protection* of the <i>High Conservation Values*</i> to fully maintain and/or enhance the High | A program of periodic <i>monitoring*</i> (Annex G) assesses: 1. Implementation of strategies; 2. The status of <i>High Conservation Values*</i> including High Conservation areas on which they depend; and 3. The effectiveness of the management strategies and actions for the protection* of the <i>High Conservation Values*</i> to fully maintain and/or enhance the High | | <ul style="list-style-type: none"> • Monitoring program • Monitoring and evaluation Reports | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|---|---|--|--|----------------------------|
| | Conservation Values*. | Conservation Values*. | | | |
| 9.4.1b | | <p>Low Potential Impact Organizations Actions to monitor HCVs cover at a minimum: 1. The status of High Conservation Values* including High Conservation areas on which they depend; and 2. The effectiveness of the management actions for the protection* of the High Conservation Values* to fully maintain and/or enhance the High Conservation Values.</p> | | <ul style="list-style-type: none"> • Interviews with Organization 's workers and other stakeholders • Field observations | |
| 9.4.2a | The monitoring program includes <i>engagement*</i> with <i>affected*</i> and <i>interested stakeholders*</i> and experts. | The monitoring program includes <i>engagement*</i> with <i>affected*</i> and <i>interested stakeholders*</i> and experts. | | <ul style="list-style-type: none"> • Monitoring Program • Interviews with the Organization 's workers and stakeholders | |
| 9.4.2b | | <p>Low Potential Impact Organizations Monitoring is done through engagement with affected and interested stakeholders and local experts on request</p> | It is not necessary to subject every monitoring activity to stakeholder engagement | <ul style="list-style-type: none"> • Interviews with Organization 's workers and other stakeholders • Field observations | |
| 9.4.3 | The <i>monitoring*</i> program has | The <i>monitoring*</i> program has | | <ul style="list-style-type: none"> • Monitoring Program | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|-------|--|--|------------------|--|----------------------------|
| | sufficient scope, detail and frequency to detect changes in High Conservation Values*, relative to the initial assessment and status identified for each <i>High Conservation Value*</i> . | sufficient scope, detail and frequency to detect changes in High Conservation Values*, relative to the initial assessment and status identified for each <i>High Conservation Value*</i> . | | | |
| 9.4.4 | Management strategies and actions are adapted when monitoring or other new information shows that these strategies and actions are insufficient to ensure the maintenance and/or enhancement of <i>High Conservation Values*</i> . | Management strategies and actions are adapted when monitoring or other new information shows that these strategies and actions are insufficient to ensure the maintenance and/or enhancement of High Conservation Values*. | | <ul style="list-style-type: none"> • Monitoring and evaluation reports • Evidence of adaptation of results | |

PRINCIPLE 10: IMPLEMENTATION OF MANAGEMENT ACTIVITIES

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

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

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|--|--|------------------|---|----------------------------|
| 10.1.1 | Harvested sites are regenerated in a timely manner that: 1. Protects affected | Harvested sites are regenerated in a timely manner that: 1. Protects affected | | <ul style="list-style-type: none"> • Annual Work Plan and Budgets • Routine | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|--|--|------------------|---|----------------------------|
| | environmental values*, and 2. Is suitable to recover overall pre-harvest or natural forest* composition and structure | environmental values*, and 2. Is suitable to recover overall pre-harvest or natural forest* composition and structure | | <p>Reports</p> <ul style="list-style-type: none"> • Monitoring and Evaluation Reports • Field Observations • Interviews with Organization's workers and other stakeholders | |
| 10.1.2 | <p>Regeneration activities* are implemented in a manner that:</p> <p>1) For harvest of existing plantations*, regenerate to the vegetation cover that existed prior to the harvest or to more natural conditions* using ecologically well-adapted species;</p> <p>2) For harvest of natural forests*, regenerate to pre-harvest* or to more natural conditions*;</p> <p>or</p> <p>3) For harvest of degraded natural forests*, regenerate to more natural conditions*.</p> | <p>Regeneration activities* are implemented in a manner that:</p> <p>1) For harvest of existing plantations*, regenerate to the vegetation cover that existed prior to the harvest or to more natural conditions* using ecologically well-adapted species;</p> <p>2) For harvest of natural forests*, regenerate to pre-harvest* or to more natural conditions*;</p> <p>or</p> <p>3) For harvest of degraded natural forests*, regenerate to more natural conditions*.</p> | | <ul style="list-style-type: none"> • Forest Management Plan • Evidence for species-site matching • Routine Reports • Monitoring and Evaluation Reports • Field Observations • Interviews with Organization's workers and other stakeholders | |

10.2 The Organization* shall* use species for regeneration that are ecologically well adapted to the site and to the management objectives*. The Organization* shall* use native species* and local

genotypes for regeneration, unless there is clear and convincing justification for using others. (C10.4 C4).*

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|---|--|------------------|---|--|
| 10.2.1 | Species* chosen for regeneration are ecologically well adapted to the site, are native species* and are of local provenance, unless clear and convincing justification is provided for using non-local genotypes* or non-native species*. | a) Species* chosen for regeneration are ecologically well adapted to the site, are native species* and are of local provenance, unless clear and convincing justification is provided for using non-local genotypes* or non-native species*. | | <ul style="list-style-type: none"> • Forest Management Plan • Evidence for species-site matching • Field Observations • Interviews with Organization's workers and other stakeholders | <p>Guidance</p> <p>The Uganda Forestry Policy (2001) encourages commercial tree growing to address the growing wood shortage in the country. The selection of the species is based on species trials done in the 1950s-60s which established growth performance and therefore returns on investment. Currently, species choice depends on (1) growth rates, (2) species-site matching - suitability of soils and climate, (3) uses and markets.</p> |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|---|---|------------------|---|--|
| | | | | | Eucalyptus and pine have been preferred for their fast-growing, high-yielding performance. The Sawlog Production Grant Scheme developed a list of recommended species for commercial planting. |
| 10.2.2 | Species chosen for regeneration are consistent with the regeneration objectives* and with the management objectives*. | Species chosen for regeneration are consistent with the regeneration objectives* and with the management objectives*. | | <ul style="list-style-type: none"> • Forest Management Plan • Monitoring and Evaluation Reports • Field Observations | |

10.3 The Organization* shall* only use alien species* when knowledge and/or experience have shown that any invasive impacts can be controlled and effective mitigation measures are in place. (C6.9 and C10.8 V4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|--|--|------------------|---|--|
| 10.3.1 | Alien species* are used only when direct experience and / or the results of scientific research demonstrate that | Alien species* are used only when direct experience and / or the results of scientific research demonstrate that | | <ul style="list-style-type: none"> • Specialized study Reports • Forest Management Plan • Monitoring | The selection of the species like Eucalyptus, pine and Terminalia is based on species trials |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|--|--|---|--|---|
| | invasive impacts can be controlled. | invasive impacts can be controlled. | | and Evaluation Reports <ul style="list-style-type: none"> • Field Observations | done in the 1950s-60s which established growth performance and therefore site suitability and returns on investment. |
| 10.3.2 | Alien species* are used only when effective mitigation measures are in place to control their spread outside the area in which they are established. | Alien species* are used only when effective mitigation measures are in place to control their spread outside the area in which they are established. | | <ul style="list-style-type: none"> • Mitigation measures / strategies • Forest Management Plan • Monitoring and Evaluation Reports • Field Observations | |
| 10.3.3 | The spread of invasive species introduced by <i>The Organization*</i> is controlled | The spread of invasive species introduced by <i>The Organization*</i> is controlled inside the Forest management Unit and the surrounding areas | To ensure coverage of the impacts both inside the FMU and the surrounding areas | <ul style="list-style-type: none"> • Strategy for controlling Invasive species • Forest Management Plan • Monitoring and Evaluation Reports • Field Observations | |
| 10.3.4 | Management activities are implemented, preferably in cooperation with separate regulatory bodies where these exist, with an aim to | Management activities are implemented, preferably in cooperation with separate regulatory bodies where these exist, with an aim to | | <ul style="list-style-type: none"> • Strategy for controlling Invasive species • Forest Management Plan • Monitoring and | Guidance: The regulatory bodies include: <ul style="list-style-type: none"> • Directorate of Crop Protection, Ministry of Agriculture , Animal |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--|---|---|------------------|--|--|
| | control the invasive impacts of alien species* that were not introduced by The Organization*. | control the invasive impacts of alien species* that were not introduced by The Organization*. | | <ul style="list-style-type: none"> Evaluation Reports Field Observations | <ul style="list-style-type: none"> Industry and Fisheries; National Environment Authority Forestry Sector Support Department, |

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

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|--|--|------------------|--|----------------------------|
| 10.4.1 | Genetically Modified Organisms* are not used | Genetically Modified Organisms* are not used | | <ul style="list-style-type: none"> Forest Management Plan Field Observations Interviews with stakeholders | |

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

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|--|--|------------------|--|----------------------------|
| 10.5.1 | Silvicultural practices are implemented that are ecologically appropriate for the vegetation, species, sites and management objectives*. | Silvicultural practices are implemented that are ecologically appropriate for the vegetation, species, sites and management objectives*. | | <ul style="list-style-type: none"> Forest Management Plan Documented silvicultural systems Evidence of compliance | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | | | | with National Guidelines for management of natural forests an National Guidelines for Tree Growing <ul style="list-style-type: none"> • Monitoring and Evaluation Reports • Field Observations | |

10.6. The Organization* shall* minimize or avoid the use of fertilizers. When fertilizers are used, The Organization* shall demonstrate that use is equally or more ecologically and economically beneficial than use of silvicultural systems that do not require fertilizers, and prevent, mitigate, and/or repair damage to environmental values*, including soils. (C10.7 V4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|--|--|-----------|---|---------------------|
| 10.6.1 | The use of fertilizers* is minimized or avoided. | The use of fertilizers* is minimized or avoided. | | <ul style="list-style-type: none"> • Plans for use of fertilizers • Forest Management Plan • Monitoring and Evaluation Reports • Field Observations | |
| 10.6.2 | When fertilizers* are used, their ecological and economic benefits are equal to or higher than those | When fertilizers* are used, their ecological and economic benefits are equal to or higher than those | | <ul style="list-style-type: none"> • Evidence of ecological and economic benefits • Forest Management | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|---|---|------------------|---|---|
| | of silvicultural systems that do not require fertilizers*. | of silvicultural systems that do not require fertilizers*. | | <ul style="list-style-type: none"> nt Plan • Monitoring and Evaluation Reports • | |
| 10.6.3 | When fertilizers* are used, their types, rates, frequencies and site of application are documented | When fertilizers* are used, their types, rates, frequencies and site of application are documented | | <ul style="list-style-type: none"> • Plans for use of fertilizers • Forest Management Plan • Monitoring and Evaluation Reports | Guidance: The application of fertilizers in an area should be based on existing available research information, or information derived from on-site trials. |
| 10.6.4 | When fertilizers are used, environmental values are protected, including through implementation of measures to prevent damage | When fertilizers are used, environmental values are protected, including through implementation of measures to prevent damage | | <ul style="list-style-type: none"> • Measures for protection of environmental values • Monitoring reports • Maps (for Large Scale) | Guidance: The Occupational Health & Safety Act (2006) requires monitoring of chemicals/fertilizers release in the environment. |
| 10.6.5 | Damage to environmental values* resulting from fertilizer use is mitigated or repaired | Damage to environmental values* resulting from fertilizer use is mitigated or repaired | | <ul style="list-style-type: none"> • Monitoring and evaluation Reports • Mitigation Action Plan • Field observation | |

10.7 The Organization* shall* use integrated pest management and silviculture* systems which avoid, or aim at eliminating, the use of chemical pesticides*. The Organization* shall* not use any chemical pesticides* prohibited by FSC policy. When pesticides* are used, The Organization* shall* prevent, mitigate, and / or repair damage to environmental values* and human health. (C6. and C10.7 V4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|---------|--|--|------------------|---|--|
| 10.7.1a | Integrated pest management, including selection of silviculture* systems, is used to avoid, or aim to eliminate the frequency, extent, and amount of chemical pesticide* applications, and result in non-use or overall reductions in applications.” | Integrated pest management, including selection of silviculture* systems, is used to avoid, or aim to eliminate the frequency, extent, and amount of chemical pesticide* applications, and result in non-use or overall reductions in applications.” | | <ul style="list-style-type: none"> • Integrated Pest Management Strategy** • Monitoring and Evaluation Reports • Field observation | Guide: ‘FSC Guide to integrated pest, disease and weed management in FSC certified forests and plantations’ (2009) and associated policies, guidelines, advice notes |
| 10.7.1b | | <p>Low Potential Impact Organizations</p> <p>A policy is included in the Management Plan that shows commitment to reduction of chemical usage</p> | | <ul style="list-style-type: none"> • Management Plan • Records of chemical use • Interviews with the Organization’s workers and other stakeholders • Field observations | |
| 10.7.2 | Chemical pesticides* prohibited by FSC’s Pesticide Policy are not used or stored in the Management Unit unless FSC has granted derogation | Chemical pesticides* prohibited by FSC’s Pesticide Policy are not used or stored in the Management Unit unless FSC has granted derogation | | <ul style="list-style-type: none"> • No evidence of use of prohibited chemical pesticides • Derogation documents in case they are being used | Guidance: Ref. to FSC pesticide policy and list of prohibited pesticides (FSC-STD-30-01a) |
| 10.7.3 | Records of pesticide* usage are maintained, including trade | Records of pesticide* usage are maintained, including trade | | <ul style="list-style-type: none"> • Records | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|--|--|------------------|---|--------------------------------------|
| | name, active ingredient, quantity of active ingredient used, period of use, location and area of use, and reason for use | name, active ingredient, quantity of active ingredient used, period of use, location and area of use, and reason for use | | | |
| 10.7.4 | The use of pesticides* complies with the ILO document “Safety in the use of chemicals at work” regarding requirements for the transport, storage, handling, application and emergency procedures for cleanup following accidental spillages. | The use of pesticides* complies with the ILO document “Safety in the use of chemicals at work” regarding requirements for the transport, storage, handling, application and emergency procedures for cleanup following accidental spillages. | | <ul style="list-style-type: none"> • Documented procedures for use of pesticides in accordance with ILO Guides on: <ol style="list-style-type: none"> a. Safety and Health in the Use of Agrochemicals: A Guide b. Safety in the Use of Chemicals at Work | |
| 10.7.5 | If pesticides* are used, application methods minimize quantities used, while achieving effective results, and provide effective protection* to surrounding landscapes*. | If pesticides* are used, application methods minimize quantities used, while achieving effective results, and provide effective protection* to surrounding landscapes*. | | <ul style="list-style-type: none"> • Documented procedures for use of pesticides • Monitoring reports • Interviews with stakeholders | |
| 10.7.6 | Damage to environmental | Damage to environmental | | <ul style="list-style-type: none"> • Strategies for preventing | Guidance: The Occupational |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|--|--|------------------|--|--|
| | values* and human health from pesticide* use is prevented and mitigated or repaired where damage occurs | values* and human health from pesticide* use is prevented and mitigated or repaired where damage occurs | | damage to environmental values and human health <ul style="list-style-type: none"> • Monitoring reports • Interviews with stakeholders • Field observations | Health & Safety Act (2006) requires monitoring of chemicals/fertilizers release in the environment |
| 10.7.7 | When pesticides* are used: 1) The selected pesticide*, application method, timing and pattern of use offers the least risk to humans and non-target species; and 2) Objective evidence demonstrates that the pesticide* is the only effective, practical and cost effective way to control the pest. | When pesticides* are used: 1) The selected pesticide*, application method, timing and pattern of use offers the least risk to humans and non-target species; and 2) Objective evidence demonstrates that the pesticide* is the only effective, practical and cost effective way to control the pest. | | <ul style="list-style-type: none"> • Protocols for pesticide application • Monitoring reports • Interviews with stakeholders | |

10.8 The Organization* shall* minimize, monitor and strictly control the use of biological control agents* in accordance with internationally accepted scientific protocols*. When biological control agents* are used, The Organization* shall* prevent, mitigate, and/or repair damage to environmental values*. (C6.8 V4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|--|---------------------------------|------------------|---|---|
| 10.8.1 | The use of biological control | The use of biological control | | <ul style="list-style-type: none"> • Protocol used | Guidance: Relevant institutions for |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--------|--|--|------------------|---|---|
| | agents* is minimized, monitored* and controlled. | agents* is minimized, monitored* and controlled. | | | biological control include the National Forestry Resources Research Institute (NaFORRI), Ministry of Agriculture (Plant Protection Department) and NEMA |
| 10.8.2 | Use of biological control agents* complies with internationally accepted scientific protocols*. | Use of biological control agents* complies with internationally accepted scientific protocols*. | | <ul style="list-style-type: none"> • Certificate to use biological control agents • Protocols used • Interviews with the Organization's workers and other stakeholders | Guidance: Usage of biological agent requires a certificate from the Directorate of Plant Protection/Ministry of Agriculture, Animals, Industry and Fisheries. |
| 10.8.3 | The use of biological control agents* is recorded including type, quantity, period, location and reason for use. | The use of biological control agents* is recorded including type, quantity, period, location and reason for use. | | <ul style="list-style-type: none"> • Records | |
| 10.8.4 | Damage to <i>environmental values</i> * caused by the use of <i>biological control agents</i> * is prevented and <i>mitigated</i> * or <i>repaired</i> * where | Damage to <i>environmental values</i> * caused by the use of <i>biological control agents</i> * is prevented and <i>mitigated</i> * or <i>repaired</i> * where | | <ul style="list-style-type: none"> • Protocols used • Monitoring and evaluation Reports • Field observation | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
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| | damage occurs. | damage occurs. | | | |

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

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|---------|--|---|-----------|--|--|
| 10.9.1a | Potential negative impacts of natural <i>hazards*</i> on <i>infrastructure*</i> , <i>forest*</i> resources, and communities in the <i>Management Unit*</i> are assessed. | Potential negative impacts of natural <i>hazards*</i> on <i>infrastructure*</i> , <i>forest*</i> resources, and communities in the <i>Management Unit*</i> are assessed. | | <ul style="list-style-type: none"> • Risk Assessment Reports • | <p>Guidance: The potential natural hazards in Uganda include floods, drought, windstorms, hailstorms, earthquakes, landslides, lightening, and volcanic activities.</p> |
| 10.9.1b | | <p>Low Potential Impact Organizations Potential negative impacts of natural <i>hazards*</i> on <i>infrastructure*</i>, <i>forest*</i> resources, and communities in the <i>Management Unit*</i>.are known, determined on the basis of Best Available Information</p> | | <ul style="list-style-type: none"> • Checklist of potential impacts • Interview with the Organization’s works and other stakeholders • Filed observations | <p>Guidance: The potential natural hazards in Uganda include floods, drought, windstorms, hailstorms, earthquakes, landslides, lightening, and volcanic activities.</p> |
| 10.9.2 | Management activities mitigate these impacts | Management activities mitigate these impacts. | | <ul style="list-style-type: none"> • Management Plans • Annual work plans • Interviews with the Organization’s | <p>Guide: Measures may include:</p> <ul style="list-style-type: none"> • creation and maintenance of fire |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|---------|--|--|-----------|--|--|
| | | | | workers and other stakeholders | breaks and reservoir ponds to prevent fire damage; <ul style="list-style-type: none"> • apply silvicultural regimes that prevent storm damage and wind-throw; • controlled burning for pest control; • preserving natural patterns of drainage and • wetlands to prevent flood damage; |
| 10.9.3a | The <i>risk*</i> for management activities to increase the frequency, distribution, or severity of <i>natural hazards*</i> is identified for those <i>hazards*</i> that may be influenced by management. | The <i>risk*</i> for management activities to increase the frequency, distribution, or severity of <i>natural hazards*</i> is identified for those <i>hazards*</i> that may be influenced by management. | | <ul style="list-style-type: none"> • Risk Assessment Reports • Forest management Plan • Interviews with the Organization's workers and other stakeholders | |
| 10.9.3b | | Low Potential Impact Organizations The management | | <ul style="list-style-type: none"> • Management Plan • Interviews with the | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|---------|---|---|------------------|---|--|
| | | activities aim to minimize the risks and impacts of naturally occurring hazards | | Organization's workers and other stakeholders <ul style="list-style-type: none"> • Field observations | |
| 10.9.4a | Management activities are modified and/or measures are developed and implemented that reduce the identified <i>risks</i> *. | Management activities are modified and/or measures are developed and implemented that reduce the identified <i>risks</i> *. | | <ul style="list-style-type: none"> • Risk management strategy • Forest management plans • Monitoring reports | may implement the following measures: <ul style="list-style-type: none"> • In general: stakeholder engagement; public education; equipment; training; monitoring; risk mitigation; collaborate with other agencies, etc. • Fire damage: establish fire detection systems; fire management plans, including preparation and training of fire crews; provision and regular maintenance of suitable equipment. • Storm damage and wind-throw: develop wind maps. |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--|------------------------------------|-----------------------------|-----------|-----------|--|
| | | | | | <ul style="list-style-type: none"> • Pests, plant diseases, pathogens, invasive weeds: clearance of fallen wood, standing dead wood and coarse woody debris, in line with best scientific and local knowledge (keeping a balance to keep the wood needed for healthy decomposition cycles and populations of predators and parasites to exert natural control over pests); decreasing stress on species through species-site matching in accordance with Criterion 10.2, monitoring |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|---------|---------------------------------|--|-----------|---|---|
| | | | | | <p>(Principle 8), together with integrated pest management (Criterion 10.7), cover crops, species diversification, silvicultural practices which prevent weed growth and maintain growth of crop species at optimum levels and reduced harvest intensity.</p> <ul style="list-style-type: none"> • Flood damage: installing effective drainage structures. |
| 10.9.4b | | <p>Low Potential Impact Organizations Management activities are implemented that reduce the identified <i>risks</i>*.</p> | | <ul style="list-style-type: none"> • Risk management actions • Forest management plans • Interviews with the Organization's workers and other stakeholders | |

10.10 The Organization* shall* manage infrastructural development, transport activities and silviculture* so that water resources and soils are protected, and disturbance of and damage to rare and threatened species*, habitats*, ecosystems* and landscape values* are prevented, mitigated and/or repaired. (C6.5 V4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|---------|--|---|--|--|----------------------------|
| 10.10.1 | Development, maintenance and use of <i>infrastructure*</i> , as well as transport activities, are managed to protect <i>environmental values*</i> identified in <i>Criterion*</i> 6.1. | Development, maintenance and use of <i>infrastructure*</i> , as well as transport activities, are managed to protect <i>environmental values*</i> identified in <i>Criterion*</i> 6.1. | | <ul style="list-style-type: none"> • Forest Management Plan • Annual Work Plans • Monitoring and evaluation Reports • Field observations | |
| 10.10.2 | <i>Silviculture*</i> activities are managed to ensure protection of the <i>environmental values*</i> identified in <i>Criterion*</i> 6.1. | <i>Silviculture*</i> activities are managed to ensure protection of the <i>environmental values*</i> identified in <i>Criterion*</i> 6.1. | | <ul style="list-style-type: none"> • Forest Management Plan • Annual Work plans • Monitoring and evaluation Reports • Field observations | |
| 10.10.3 | Disturbance or damages to <i>water courses*</i> , <i>water bodies*</i> , <i>soils</i> , <i>rare and threatened species*</i> , <i>habitats*</i> , <i>ecosystems*</i> and <i>landscape values*</i> are prevented, <i>mitigated*</i> and <i>repaired*</i> in a <i>timely manner*</i> , and management activities modified | Disturbance or damages to the environmental values as identified under Criterion 6.1 are prevented, <i>mitigated*</i> and <i>repaired*</i> in a <i>timely manner*</i> , and management activities modified to prevent further damage. | To summarize the environmental values so that it is consistent with Indicators 10.10.1 & 10.10.2 | <ul style="list-style-type: none"> • Forest Management Plan • Annual Work plans • Monitoring and evaluation Reports • Field observations | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|--|--|---------------------------------|------------------|------------------|----------------------------|
| | to prevent further damage. | | | | |

10.11 The Organization* shall* manage activities associated with harvesting and extraction of timber and non-timber forest products* so that environmental values* are conserved, merchantable waste is reduced, and damage to other products and services is avoided. (C5.3 and C6.5 V4)

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|---------|--|--|------------------|---|----------------------------|
| 10.11.1 | Harvesting and extraction practices for timber and non-timber forest products* are implemented in a manner that conserves environmental values* as identified in Criterion* 6.1. | Harvesting and extraction practices for timber and non-timber forest products* are implemented in a manner that conserves environmental values* as identified in Criterion* 6.1. | | <ul style="list-style-type: none"> • Forest Management Plan • Harvesting Plans • Monitoring and evaluation Reports • Field observations | |
| 10.11.2 | Harvesting practices optimize the use of forest* products and merchantable materials | Harvesting practices optimize the use of forest* products and merchantable materials | | <ul style="list-style-type: none"> • Documented harvesting procedures • Forest Management Plan • Monitoring and evaluation Reports • Field observations | |
| 10.11.3 | Sufficient amounts of dead and decaying biomass and forest* structure are retained to conserve environmental values*. | Sufficient amounts of dead and decaying biomass and forest* structure are retained to conserve environmental values*. | | <ul style="list-style-type: none"> • Documented harvesting procedures • Forest Management Plan • Monitoring and evaluation Reports | |

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|---------|--|--|------------------|---|----------------------------|
| | | | | <ul style="list-style-type: none"> • Field observations | |
| 10.11.4 | Harvesting practices avoid damage to standing residual trees, residual woody debris on the ground and other environmental values*. | Harvesting practices avoid damage to standing residual trees, residual woody debris on the ground and other environmental values*. | | <ul style="list-style-type: none"> • Documented harvesting procedures • Forest Management Plan • Monitoring and evaluation Reports • Field observations | |

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

| | International Generic Indicator | Draft National Indicator | Rationale | Verifiers | Comments / Guidance |
|---------|--|--|------------------|---|----------------------------|
| 10.12.1 | Collection, clean up, transportation and disposal of all waste materials* is done in an environmentally appropriate way that conserves environmental values* as identified in Criterion* 6.1 | Collection, clean up, transportation and disposal of all waste materials* is done in an environmentally appropriate way that conserves environmental values* as identified in Criterion* 6.1 | | <ul style="list-style-type: none"> • Strategy for waste management • Interviews of Organizational workers and other stakeholders • Monitoring and evaluation Reports • Field observations | |

5. GLOSSARY

This glossary includes internationally accepted definitions from a limited number of sources whenever possible. These sources include the Convention on Biological Diversity (1992), the Millennium Ecosystem Assessment (2005) as well as definitions from online glossaries as provided on the websites of the World Conservation Union (IUCN), the International Labour Organisation (ILO) and the Invasive Alien Species Programme of the Convention on Biological Diversity. When other sources have been used, including the national-level definitions of terms, they are referenced accordingly.

Definitions developed in the course of the Principles and Criteria Review are referenced as FSC 2011. Definitions derived from Version 4-0 of the Principles and Criteria as originally published in November 1994 are referenced as FSC 1994.

The term 'based on' means that a definition was adapted from an existing definition as provided for example in Version 4-0 of the Principles and Criteria or other international source.

Words used in this version of the Principles and Criteria, if not defined in this Glossary of Terms or other normative FSC documents, are used as defined in most standard English language dictionaries.

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

Alien species: A species, subspecies or lower taxon, introduced outside its natural past or present distribution; includes any part, gametes, seeds, eggs, or propagules of such species that might survive and subsequently reproduce (Source: Convention on Biological Diversity (CBD), Invasive Alien Species Programme. Glossary of Terms as provided on CBD website).

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

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

(Source: FSC 2011).

Applicable law: Means applicable to The Organization as a legal person or business enterprise in or for the

benefit of the Management Unit and those laws which affect the implementation of the FSC Principles and Criteria. This includes any combination of statutory law (Parliament-approved) and case law (court interpretations), subsidiary regulations, associated administrative procedures, and the national Constitution (if present) which invariably takes legal precedence over all other legal instruments (Source: FSC, 2011).

Best Available Information: Data, facts, documents, expert opinions, and results of field surveys or consultations with stakeholders that are most credible, accurate, complete, and/or pertinent and that can be obtained through *reasonable** effort and cost, subject to the *scale** and *intensity** of the management activities and the *Precautionary Approach** (Source: FSC 2014).

Binding Agreement: A deal or pact, written or not, which is compulsory to its signatories and enforceable by law. Parties involved in the agreement do so freely and accept it voluntarily (Source: FSC 2014).

Biological control agents: Organisms used to eliminate or regulate the population of other organisms (Source: Based on FSC 1994 and World Conservation Union (IUCN). Glossary definitions as provided on IUCN website).

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

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

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

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

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

Confidential information: Private facts, data and content that, if made publicly available, might put at risk *The Organization**, its business interests or its relationships with stakeholders, clients and competitors (Source: FSC 2014).

Conflicts between the Principles and Criteria and laws: Situations where it is not possible to comply with the Principles and Criteria and a law at the same time (Source: FSC 2011).

Connectivity: A measure of how connected or spatially continuous a corridor, network, or matrix is. The fewer gaps, the higher the connectivity. Related to the structural connectivity concept; functional or behavioral connectivity refers to how connected an area is for a process, such as an animal moving through different types of landscape elements (Source: Based on R.T.T. Forman. 1995. Land Mosaics. The Ecology of Landscapes and

Regions. Cambridge University Press, 632pp). Aquatic connectivity deals with the accessibility and transport of materials and organisms, through groundwater and surface water, between different patches of aquatic ecosystems of all kinds.

Conservation Areas Network: Those portions of the *Management Unit** for which conservation is the primary and, in some circumstances, exclusive objective; such areas include *representative sample areas**, *conservation zones**, *protection areas**, *connectivity** areas and *High Conservation Value Areas** (Source: FSC 2014).

Conservation/Protection: These words are used interchangeably when referring to management activities designed to maintain the identified environmental or cultural values in existence long-term. Management activities may range from zero or minimal interventions to a specified range of appropriate interventions and activities designed to maintain, or compatible with maintaining, these identified values (Source: FSC 2011).

Conservation zones and protection areas: Defined areas that are designated and managed primarily to safeguard species, habitats, ecosystems, natural features or other site-specific values because of their natural environmental or cultural values, or for purposes of monitoring, evaluation or research, not necessarily excluding other management activities. For the purposes of the Principles and Criteria, these terms are used interchangeably, without implying that one always has a higher degree of conservation or protection than the other. The term 'protected area' is not used for these areas, because this term implies legal or official status, covered by national regulations in many countries. In the context of the Principles and Criteria, management of these areas should involve active conservation, not passive protection' (Source: FSC 2011).

Corruption: Transparency International(TI) defines corruption as the abuse of entrusted power for private gain. This definition encompasses corrupt practices in both the public and private sectors. The Corruption Perceptions Index (CPI) ranks countries according to the perception of corruption in the public sector. The CPI is an aggregate indicator that combines different sources of information about corruption, making it possible to compare countries. The CPI ranks almost 200 countries by their perceived levels of corruption, as determined by expert assessments and opinion surveys.

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

Critical: The concept of criticality or fundamentality in Principal 9 and HCVs relates to irreplaceability and to cases where loss or major damage to this HCV would cause serious prejudice or suffering to affected stakeholders. An ecosystem service is considered to be critical (HCV 4) where a disruption of that service is likely to cause, or poses a threat of, severe negative impacts on the welfare, health or survival of local communities, on the environment, on HCVs, or on the functioning of significant infrastructure (roads, dams, buildings etc.). The notion of criticality here refers to the importance and risk for natural resources and environmental and socio-economic values (Source: FSC 2011).

Culturally appropriate [mechanisms]: Means/approaches for outreach to target groups that are in harmony with the customs, values, sensitivities, and ways of life of the target audience (Source: FSC 2014). In Uganda, the target groups are highly diverse and therefore culturally appropriate practices, mechanisms, etc. shall be identified at forest management unit level.

Customary law: Interrelated sets of customary rights may be recognized as customary law. In some jurisdictions, customary law is equivalent to statutory law, within its defined area of competence and may replace the statutory law for defined ethnic or other social groups. In some jurisdictions customary law complements statutory law and is applied in specified circumstances (Source: Based on N.L. Peluso and P. Vandergeest. 2001. Genealogies of the political forest and customary rights in Indonesia, Malaysia and Thailand, *Journal of Asian Studies* 60(3):761–812).

Customary rights: Rights which result from a long series of habitual or customary actions, constantly repeated, which have, by such repetition and by uninterrupted acquiescence, acquired the force of a law within a geographical or sociological unit (Source: FSC 1994).

Dispute: for the purpose of the IGIs, this is an expression of dissatisfaction by any person or organization presented as a complaint to *The Organization**, relating to its management activities or its conformity with the FSC Principles and Criteria, where a response is expected (Source: based on FSC 2014. FSC-PRO-01-005 V3-0 Processing Appeals).

Dispute of substantial duration: Conflicts that continue for more than twice as long as the predefined timelines in the FSC System (this is, for more than 6 months after receiving the complaint, based on FSC-STD-20-001) (Source: FSC 2014).

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

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

(Source: Adapted from FSC 2014).

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

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

Ecosystem function: An intrinsic ecosystem characteristic related to the set of conditions and processes whereby an ecosystem maintains its integrity (such as primary productivity, food chain, biogeochemical cycles). Ecosystem functions include such processes as decomposition, production, nutrient cycling, and fluxes of nutrients and energy. For FSC purposes, this definition includes ecological and evolutionary processes such as gene flow and disturbance regimes, regeneration cycles and ecological seral development (succession) stages. (Source: Based on R. Hassan, R. Scholes and N. Ash. 2005. *Ecosystems and Human Well-being: Synthesis*. The

Millennium Ecosystem Assessment Series. Island Press, Washington DC; and R.F. Noss. 1990. Indicators for monitoring biodiversity: a hierarchical approach. *Conservation Biology* 4(4):355–364).

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

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

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

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

Engaging or engagement: The process by which *The Organization* communicates, consults and/or provides for the participation of interested and/or affected stakeholders ensuring that their concerns, desires, expectations, needs, rights and opportunities are considered in the establishment, implementation and updating of the management plan (Source: FSC 2011).

Environmental Impact Assessment (EIA): Systematic process used to identify potential environmental and social impacts of proposed projects, to evaluate alternative approaches, and to design and incorporate appropriate prevention, mitigation, management and monitoring measures (Source: based on Environmental impact assessment, guidelines for FAO field projects. Food and agriculture organization of the United Nations (FAO). Rome, 2011).

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

- a. ecosystem functions (including carbon sequestration and storage)
- b. biological diversity
- c. water resources
- d. soils
- e. atmosphere
- f. landscape values (including cultural and spiritual values).

The actual worth attributed to these elements depends on human and societal perceptions (Source: FSC 2011).

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

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

Externalities: The positive and negative impacts of activities on stakeholders that are not directly involved in those activities, or on a natural resource or the environment, which do not usually enter standard cost accounting systems, such that the market prices of the products of those activities do not reflect the full costs or benefits (Source: FSC 2011).

Fair compensation: Remuneration that is proportionate to the magnitude and type of services rendered by another party or of the harm that is attributable to the first party (Source: FSC 2014).

Fertilizer: Mineral or organic substances, most commonly N, P₂O₅ and K₂O, which are applied to soil for the purpose of enhancing plant growth (Source: FSC 2014).

Forest: A tract of land dominated by trees (Source: FSC 2011. Derived from FSC Guidelines for Certification Bodies, Scope of Forest Certification, Section 2.1 first published in 1998, and revised as FSC-GUI-20-200 in 2005, and revised again in 2010 as FSC-DIR-20-007 FSC Directive on Forest Management Evaluations, ADVICE-20-007-01).

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

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

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

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

Formal and informal workers organization: associations of *workers**, whether recognized by law or by *The Organization** or neither, which have the aim of promoting *workers** rights and to represent *workers** in dealings with *The Organization** particularly regarding working conditions and compensation (Source: FSC 2014).

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

Gender equality: Gender equality or gender equity means that women and men have equal conditions for realizing their full human rights and for contributing to, and benefiting from, economic, social, cultural and political development (Source: Adapted from FAO, IFAD and ILO workshop on 'Gaps, trends and current research in gender dimensions of agricultural and rural employment: differentiated pathways out of poverty', Rome, 31 March to 2 April 2009.).

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

Interpretation on GMO (Genetically Modified Organisms)).

Genotype: The genetic constitution of an organism (Source: FSC 2011).

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

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

- a. Old commercial and non-commercial trees whose age noticeably exceeds the average age of the main canopy;
- b. Trees with special ecological value;
- c. Vertical and horizontal complexity;
- d. Standing dead trees;
- e. Dead fallen wood;
- f. Forest openings attributable to natural disturbances;
- g. Nesting sites;
- h. Small wetlands, bogs, fens;
- i. Ponds;
- j. Areas for procreation;
- k. Areas for feeding and shelter, including seasonal cycles of breeding;
- l. Areas for migration;
- m. Areas for hibernation.

(Source: FSC 2014).

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

HCV1 - Species Diversity. Concentrations of biological diversity* including endemic species, and rare, threatened or endangered* species, that are significant at global, regional or national levels.

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

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

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

HCV 5 - Community needs. Sites and resources fundamental for satisfying the basic necessities of local communities or indigenous peoples* (for example for livelihoods, health, nutrition, water), identified through engagement with these communities or indigenous peoples.

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

(Source: FSC 2011)

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

High grading: High grading is a tree removal practice in which only the best quality, most valuable timber trees are removed, often without regenerating new tree seedlings or removing the remaining poor quality and suppressed understory trees and, in doing so, degrading the ecological health and commercial value of the forest. High grading stands as a counterpoint to sustainable resource management (Source: based on Glossary of Forest Management Terms. North Carolina Division of Forest Resources. March 2009).

High Potential Impact Management Regime: refers to the management unit where the following are applicable:

- Sawlog Felling Cycle ≤ 30 years in natural forests; OR
- Sawlog harvesting $> 60 \text{ m}^3/\text{ha}$ over the rotation period in natural forests; OR
- Using chemicals; OR
- Using heavy machinery; OR
- Combining of any or all of the above with harvesting of IUCN red-listed species; OR
- Any combination or all of the activities above being carried out in one management unit

High Potential Impact Organization: An Organization where a High Potential Impact Regime is implemented

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

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

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

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

The Indigenous Peoples in Uganda include:

- (1) The Ik (also known as the Teuso) living in Mt Timu Central Forest Reserve (CFR), in Timu parish, Kalapata sub-county, Dodoth County, Kaabong District, and also in Mt. Morungole CFR in Kawalakol parish , Kapedo sub-county, Dodoth County in Kaabong District;
- (2) The Tepeth found in Mt. Moroto CFR, within Katikekile and Tapac sub-counties, Matheniko County, Moroto District;

- (3) The Benets (also known as the Ndorobos) - originally found in Mt. Elgon National Park (NP). Some of the Benets were resettled by Government on the 6,000 ha of land degazetted from the Park in 2000's, although some are reportedly not yet resettled and still within the NP. They are in Kwasir, Benet and Kitawoi sub-counties, Kween County of Kween District. They are also found in Kwoti parish of Kapchesombe subcounty, Kapchorwa District, and in Kapsekek parish of Chepkwasta sub-county of Bukwo District.
- (4) The Batwa, originally found in Bwindi NP, Mugahinga NP and Echuya CFR. In Kanungu District, they are found in Kayonza sub-county, especially in Mukono and Bujengwe parishes and Butagota Trading Centre. They are also found in Bulemba Parish of Mpungu subcounty, Kitariro Batwa Settlement in Kirima subcounty, and Kihembe Parish of Kaanyantorogo subcounty. Echuya CFR covers part of Kabale District and crosses into Kisoro District.

Infrastructure: In the context of forest management, roads, bridges, culverts, log landings, quarries, impoundments, buildings and other structures required in the course of implementing the *management plan** (Source: FSC 2014).

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

Intensity: A measure of the force, severity or strength of a management activity or other occurrence affecting the nature of the activity's impacts (Source: FSC 2011).

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

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

(Source: FSC 2011)

Internationally accepted scientific protocol: A predefined science-based procedure which is either published by an international scientific network or union, or referenced frequently in the international scientific literature (Source: FSC 2011).

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

Lands and territories: For the purposes of the Principles and Criteria these are lands or territories that indigenous peoples or local communities have traditionally owned, or customarily used or occupied, and where access to natural resources is vital to the sustainability of their cultures and livelihoods. (Source: Based on

World Bank safeguard OP 4.10 Indigenous Peoples, section 16 (a). July 2005.)

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

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

Legal: In accordance with primary legislation (national or local laws) or secondary legislation (subsidiary regulations, decrees, orders, etc.). 'Legal' also includes rule-based decisions made by legally competent agencies where such decisions flow directly and logically from the laws and regulations. Decisions made by legally competent agencies may not be legal if they do not flow directly and logically from the laws and regulations and if they are not rule-based but use administrative discretion (Source: FSC 2011).

Legally competent: Mandated in law to perform a certain function (Source: FSC 2011).

Legal registration: National or local legal license or set of permissions to operate as an enterprise, with rights to buy and sell products and/or services commercially. The license or permissions can apply to an individual, a privately-owned enterprise or a publicly-owned corporate entity. The rights to buy and sell products and/or services do not carry the obligation to do so, so legal registration applies also to Organizations operating a Management Unit without sales of products or services; for example, for unpriced recreation or for conservation of biodiversity or habitat (Source: FSC 2011).

Legal status: The way in which the Management Unit is classified according to law. In terms of tenure, it means the category of tenure, such as communal land or leasehold or freehold or State land or government land, etc. If the Management Unit is being converted from one category to another (for example, from State land to communal indigenous land) the status includes the current position in the transition process. In terms of administration, legal status could mean that the land is owned by the nation as a whole, is administered on behalf of the nation by a government department, and is leased by a government Ministry to a private sector operator through a concession (Source: FSC 2011).

Living wage: The level of wages sufficient to meet the basic living needs of an average-sized Family in a particular economy (Source: International Labour Organization (ILO). Bureau of Library and Information Services. ILO Thesaurus as provided on ILO website).

Local communities: Communities of any size that are in or adjacent to the Management Unit, and also those that are close enough to have a significant impact on the economy or the environmental values of the Management Unit or to have their economies, rights or environments significantly affected by the management activities or the biophysical aspects of the Management Unit (Source: FSC 2011).

Local expert(s): Include relevant District local government personnel, non-government organizations and consultants that are knowledgeable in the relevant field(s) of specialization.

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

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

Low Potential Impact Management Regime: refers to the management unit where the following are applicable:

- Harvesting of Non-IUCN red-listed NTFP species only; OR
- Provision of ecosystem services; OR
- Sawlog Felling Cycle ≥ 30 years in natural forests; AND
- Sawlog Harvesting $\leq 30\text{m}^3/\text{ha}$ over the rotation period in natural forests; OR
- Any combination or all of the activities above being carried out in one management unit, AND
- Not using heavy machinery; AND
- Not using chemicals

Low Potential Impact Organization: An Organization where a Low Potential Impact Regime is implemented

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

Management plan: The collection of documents, reports, records and maps that describe, justify and regulate the activities carried out by any manager, staff or organization within or in relation to the Management Unit, including statements of objectives and policies (Source: FSC 2011).

Management Plan Monitoring: Follow up and oversight procedures for the purpose of evaluating the achievement of the management *objectives**. The results of the monitoring activities are utilized in the implementation of *adaptive management** (Source: FSC 2014).

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

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

(Source: FSC 2011).

Managerial control: Responsibility of the kind defined for corporate directors of commercial enterprises in national commercial law, and treated by FSC as applicable also to public sector organizations (Source: FSC

2011).

National laws: The whole suite of primary and secondary laws (acts, ordinances, statutes, decrees), which is applicable to a national territory, as well as secondary regulations, and tertiary administrative procedures (rules / requirements) that derive their authority directly and explicitly from these primary and secondary laws (Source: FSC 2011).

Native species: Species, subspecies, or lower taxon, occurring within its natural range (past or present) and dispersal potential (that is, within the range it occupies naturally or could occupy without direct or indirect introduction or care by humans) (Source: Convention on Biological Diversity (CBD). Invasive Alien Species Programme. Glossary of Terms as provided on CBD website).

Natural conditions/native ecosystem: For the purposes of the Principles and Criteria and any applications of restoration techniques, terms such as 'more natural conditions', 'native ecosystem' provide for managing sites to favor or restore native species and associations of native species that are typical of the locality, and for managing these associations and other environmental values so that they form ecosystems typical of the locality. Further guidelines may be provided in FSC Forest Stewardship Standards (Source: FSC 2011).

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

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

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

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

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

conditions, or may be converted to other land uses.

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

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

(Source: FSC 2011).

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

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

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

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

Obligatory code of practice: A manual or handbook or other source of technical instruction which The Organization must implement by law (Source: FSC 2011).

Occupational accident: An occurrence arising out of, or in the course of, work which results in fatal or non-fatal injury (Source: International Labour Organization (ILO). Bureau of Library and Information Services. ILO Thesaurus as provided on ILO website).

Occupational disease: Any disease contracted as a result of an exposure to risk factors arising from work

activity (Source: International Labour Organization (ILO). Bureau of Library and Information Services. ILO Thesaurus as provided on ILO website).

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

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

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

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

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

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

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

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

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

- Areas which would initially have complied with this definition of 'plantation' but which, after the passage of years, contain many or most of the principal characteristics and key elements of native ecosystems, may be classified as natural forests.
- Plantations managed to restore and enhance biological and habitat diversity, structural complexity and ecosystem functionality may, after the passage of years, be classified as natural forests.
- Boreal and north temperate forests which are naturally composed of only one or few tree species, in which a combination of natural and artificial regeneration is used to regenerate forest of the same native species, with most of the principal characteristics and key elements of native ecosystems of that site, may be considered as natural forest, and this regeneration is not by itself considered as conversion to plantations. (Source: FSC 2011)

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

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

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

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

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

Protection: See definition of Conservation.

Protection Area: See definition of Conservation Zone.

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

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

Ratified: The process by which an international law, covenant or agreement (including multilateral environmental agreement) is legally approved by a national legislature or equivalent legal mechanism, such that the international law, covenant or agreement becomes automatically part of national law or sets in motion the development of national law to give the same legal effect (Source: FSC 2011).

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

Reduced impact harvesting: Harvesting (including logging) using techniques to reduce the impact on the residual stand (Source: Based on Guidelines for the Conservation and Sustainable Use of Biodiversity in Tropical

Timber Production Forests, IUCN 2006).

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

Representative Sample Areas: Portions of the *Management Unit** delineated for the purpose of conserving or restoring viable examples of an ecosystem that would naturally occur in that geographical region (Source: FSC 2014).

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

Responsible body: a body designated to manage, maintain and control a forest reserve, a community forest under the National Forestry and Tree Planting Act (2003), and in case of a private forest, the owner or person in charge of the forest.

Restore / Restoration: These words are used in different senses according to the context and in everyday speech. In some cases 'restore' means to repair the damage done to environmental values that resulted from management activities or other causes. In other cases 'restore' means the formation of more natural conditions in sites which have been heavily degraded or converted to other land uses. In the Principles and Criteria, the word 'restore' is not used to imply the recreation of any particular previous, pre-historic, preindustrial or other pre-existing ecosystem (Source: FSC 2011)

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

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

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

Risk: The probability of an unacceptable negative impact arising from any activity in the Management Unit combined with its seriousness in terms of consequences (Source: FSC 2011).

Scale: A measure of the extent to which a management activity or event affects an environmental value or a management unit, in time or space. An activity with a small or low spatial scale affects only a small proportion of the forest each year, an activity with a small or low temporal scale occurs only at long intervals (Source: FSC 2011).

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

Shall: Indicates a requirement of the standard.

Shall not: Indicates a prohibition.

Should/ and should not: Indicate a recommendation. (Source: Based on ISO Guide 2, General Vocabulary section 7.1; and ISO/IEC Directives Part 2, Fifth edition. 2004. Annex H, Verbal forms for the expression of provisions).

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

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

Any one of these forms will justify designation as HCVs 1, 2 and 6. Many regions of the world have received recognition for their biodiversity importance, measured in many different ways. Existing maps and classifications of priority areas for biodiversity conservation play an essential role in identifying the potential presence of HCVs 1, 2 and 6 (Source: FSC 2011).

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

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

Stakeholder: See definitions for ‘affected stakeholder’ and ‘interested stakeholder’.

Standard Potential Impact Management Regime: refers to the management unit where the following are applicable:

- Harvesting includes IUCN red-listed NTFP species; **OR**
- Provision of ecosystem services; **OR**
- Sawlog Felling Cycle ≥ 30 years in natural forests; **AND**
- Sawlog Harvesting $\leq 60\text{m}^3/\text{ha}$ over the rotation period in natural forests; **OR**
- Using either chemicals or heavy machinery, but not both; **OR**
- Any combination or all of the activities above being carried out in one management unit

Standard Potential Impact Organization: An Organization where a Standard Potential Impact Regime is implemented

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

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

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

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

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

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

Timber harvesting rate: The actual harvest levels executed on the *Management Unit**, tracked by either volume (e.g., cubic meters or board feet) or area (e.g., hectares or acres) metrics for the purpose of comparison with calculated (maximum) allowable harvest rates (Source: FSC 2014).

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

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

Traditional peoples: Traditional peoples are social groups or peoples who do not 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 2011).

Use rights: Rights for the use of resources of the Management Unit that can be defined by local custom, mutual agreements, or prescribed by other entities holding access rights. These rights may restrict the use of particular resources to specific levels of consumption or particular harvesting techniques (Source: FSC 2011).

Verifiable targets: Specific goals, such as desired future forest conditions, established to measure progress towards the achievement of each of the *management objectives**. These goals are expressed as clear outcomes, such that their attainment can be verified and it is possible to determine whether they have been accomplished or not (Source: FSC 2014).

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

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

- a. Hazardous waste, including chemical waste and batteries;
- b. Containers;
- c. Motor and other fuels and oils;
- d. Rubbish including metals, plastics and paper; and
- e. Abandoned buildings, machinery and equipment.

(Source: FSC 2014)

Water bodies (including water courses): Seasonal, temporary, and permanent brooks, creeks, streams, rivers, ponds, and lakes. Water bodies include riparian or wetland systems, lakes, swamps, bogs and springs (Source: FSC 2014).

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

6. ANNEXES

ANNEX A: APPLICABLE LAWS* AND REGULATIONS

I. National Laws

| Category of legislation | Coverage | Applicable National Laws |
|---|--|---|
| 1. Legal rights to harvest | | |
| 1.1 Land tenure* and management rights | Legislation covering land tenure* rights, including customary rights as well as management rights that includes the use of legal* methods to obtain tenure* rights and management rights. It also covers legal* business registration and tax registration, including relevant legal* required licenses. | <ul style="list-style-type: none"> • The Constitution of the Republic of Uganda (1995), amended 2005 • Land Act (1998), • Land (Amendment) Act (2010), • National Environment Act (1995), • Local Government Act (1997), • Wildlife Act (1995), • Land Acquisition Act (1965), • Mining Act (2003), • Petroleum (Exploration, Development and Production) Act (2013), • The Traditional Rulers (Restitution of Assets and Properties) Act (1993), • Roads Act (1949) • The Access to Roads Act (1969) • The Companies Act (1961) • The Business Names Registration Act, Cap 109 • The Business Names Registration (Amendment) Rules, 2005 SI 53/2005 • The Business Names Registration (Appointment of Registrar) Order SI 109-2 • The Finance Act bill 2013-viz the Taxes and Duties (Provisional) Order No. 27 of 2013 • The Business Names Registration (Appointment of Registrar) Order SI 109-2 • The Partnerships Act, 2010 |
| 1.2 Concession licenses | Legislation regulating procedures for the issuing of forest* concession licenses, including use of legal* methods to obtain concession license. Especially bribery, corruption and nepotism are well-known issues in connection with concession licenses. | <ul style="list-style-type: none"> • National Forestry & Tree Planting Act (2003), • Public Procurement and Disposal of Public Assets Act (2003) • National Environment Act (1995), • Wildlife Act (1995), • Land Act (1998), • Inspectorate of Government Act (2002) • Leadership Code Act (2002) |

| Category of legislation | Coverage | Applicable National Laws |
|---|--|--|
| | | <ul style="list-style-type: none"> • Whistle blowers Act (2010), • The Trade (Licensing) Act (1969), • The Income Tax Act (1997) • Value added Tax Act (1996) |
| 1.3 Management and harvesting planning | Any national or sub-national legal* requirements for Management Planning, including conducting forest* inventories, having a forest* Management Plan* and related planning and monitoring, impact assessments, consultation with other entities, as well as approval of these by legally competent* authorities. | <ul style="list-style-type: none"> • National Forestry & Tree Planting Act (2003), • National Forestry & Tree Planting Regulations (2014) • National Environment Act (1995), • Environmental Impact Assessment Regulations (1998) • Uganda Wildlife Act (1995) • Local Governments Act (1997) |
| 1.4 Harvesting permits | National and sub-national laws and regulations regulating the issuing of harvesting permits, licenses or other legal* document required for specific harvesting operations. It includes the use of legal* methods to obtain the permit. Corruption is a well-known issue in connection with the issuing of harvesting permits. | <ul style="list-style-type: none"> • National Forestry & Tree Planting Act (2003), • National Forestry & Tree Planting Regulations (2014) • Public Procurement and Disposal of Public Assets Act (2003) • Anti corruption Act (2009), • The Trade (Licensing) Act (1969), • The Income Tax Act (1997) • Value added Tax Act (1996) |
| 2. Taxes and fees | | |
| 2.1 Payment of royalties and harvesting fees | Legislation covering payment of all legally required forest* harvesting specific fees such as royalties, stumpage fees and other volume based fees. It also includes payments of the fees based on correct classification of quantities, qualities and species. Incorrect classification of forest* products is a well-known issue often combined with bribery of officials in charge of controlling the classification. | <ul style="list-style-type: none"> • National Forestry & Tree Planting Act (2003) , • National Forestry & Tree Planting Regulations (2014), • Anti corruption Act (2009) • The Trade (Licensing) Act (1969), • The Income Tax Act (1997) • Value added Tax Act (1996) |
| 2.2 Value added taxes and other sales taxes | Legislation covering different types of sales taxes which apply to the material being sold, including selling material as growing forest* (standing stock sales). | <ul style="list-style-type: none"> • National Forestry and Tree Planting Act (2003), • National Forestry and Tree Planting Regulations (2014) • Local Governments (Financial and Accounting) Regulations (2007) • The Local Governments Finance Commission Act (2003) • The Trade (Licensing) Act (1969), • The Income Tax Act (1997), • The Public Finance and Accountability Act (2003) |

| Category of legislation | Coverage | Applicable National Laws |
|--|---|---|
| | | <ul style="list-style-type: none"> • Value added Tax Act (1996) |
| 2.3 Income and profit taxes | Legislation covering income and profit taxes related to the profit derived from sale of forest* products and harvesting activities. This category is also related to income from the sale of timber and does not include other taxes generally applicable for companies or related to salary payments. | <ul style="list-style-type: none"> • The Income Tax Act (1997) • Value added Tax Act (1996) |
| 3. Timber harvesting activities | | |
| 3.1 Timber harvesting regulations | Any legal* requirements for harvesting techniques and technology including selective cutting, shelter wood regenerations, clear felling, transport of timber from felling site and seasonal limitations etc. Typically this includes regulations on the size of felling areas, minimum age and/or diameter for felling activities and elements that shall* be preserved during felling etc. Establishment of skidding or hauling trails, road construction, drainage systems and bridges etc. shall* also be considered as well as planning and monitoring of harvesting activities. Any legally binding codes for harvesting practices shall* be considered. | <ul style="list-style-type: none"> • National Forestry & Tree Planting Regulations (2014), • National Environment Act (1995) • The Roads Act (1949) • The Uganda National Roads Authority Act (2006) • National Forestry & Tree Planting Regulations |
| 3.2 Protected sites and species | International, national, and sub national treaties, laws, and regulations related to protected areas allowable forest* uses and activities, and/or, rare, threatened, or endangered species, including their habitats* and potential habitats*. | <ul style="list-style-type: none"> • National Forestry & Tree Planting Act (2003), • National Forestry & Tree Planting Regulations (2014), • National Environment Act (1995), • Wildlife Act (1995), • The Plant Protection Act (1937), • Land Act (1998), • Agricultural Seeds and Plant Act (1994) • Seed and Plant Act (2006) • Water Act (1997), • National Environment wetlands, riverbanks and lakeshores regulations |

| Category of legislation | Coverage | Applicable National Laws |
|---------------------------------------|--|---|
| 3.3 Environmental requirements | National and sub national laws and regulations related to the identification and/or protection* of environmental values* including but not limited to those relating to or affected by harvesting, acceptable level for soil damage, establishment of buffer zones (e.g. along water courses, open areas, breeding sites), maintenance of retention trees on felling site, seasonal limitation of harvesting time, environmental requirements for forest* machineries, use of pesticides* and other chemicals, biodiversity conservation*, air quality, protection* and restoration* of water quality, operation of recreational equipment, development of non-forestry infrastructure, mineral exploration and extraction, etc. | <ul style="list-style-type: none"> • National Forestry & Tree Planting Act (2003), • National Forestry & Tree Planting Regulations (2014), • National Environment Act (1995), • Wildlife Act (1995), • Plant protection Act, • Land Act (1998), • Water Act (1997), • National Environment wetlands, riverbanks and lakeshores regulations, • Mining Act (2003), • Petroleum (Exploration,, Development and Production) Act (2013), • The Control of Agricultural Chemicals Act (1989) |
| 3.4 Health and safety | Legally required personal protection* equipment for persons involved in harvesting activities, use of safe felling and transport practice, establishment of protection* zones around harvesting sites, and safety requirements to machinery used. Legally required safety requirements in relation to chemical usage. The health and safety requirements that shall* be considered relate to operations in the forest* (not office work, or other activities less related to actual forest* operations). | <ul style="list-style-type: none"> • National Forestry and Tree Planting Regulations (2014) • Employment Act (2006) • The Occupational Safety and Healthy safety Act (2006), • Labour Disputes (Arbitration & Settlement) Act (2006) • Workers Compensation Act (2000) • Workers Compensation Regulations. Statutory Instrument 225-1 (2000) • National Environment Act (1995) |
| 3.5 Legal employment | Legal requirements for employment of personnel involved in harvesting activities including requirement for contracts and working permits, requirements for obligatory insurances, requirements for competence certificates and other training requirements, and payment of social and income taxes withhold by employer. Furthermore, the points cover observance of minimum working age and minimum age for personal involved in hazardous work, legislation against forced and compulsory labor, and discrimination and freedom of association. | <ul style="list-style-type: none"> • The Employment Act (2006), • The Employment Regulations (2011) • Labour Union Act (2006), • Labour Disputes (Arbitration & Settlement) Act (2006), • Workers Compensation Act (2000), • Childrens Act (1997), • The Occupational Safety and Healthy safety Act (2006), • The Income Tax Act (1997) • The Equal Opportunities Commission Act (2007) |
| 4. Third parties' rights | | |

| Category of legislation | Coverage | Applicable National Laws |
|---|---|--|
| 4.1 Customary rights | Legislation covering customary rights relevant to forest* harvesting activities including requirements covering sharing of benefits and indigenous rights | <ul style="list-style-type: none"> • The Constitution of the Republic of Uganda (1995) as amended 2005 • The Land Act (1998) as amended 2010 • National Forestry & Tree Planting Act (2003), • Traditional Rulers (Restitution) Act (1993) • Local Governments Act (1997) |
| 4.2 Free prior and informed consent | Legislation covering “free prior and informed consent” in connection with transfer of forest* management rights and customary rights to the organization in charge of the harvesting operation | <ul style="list-style-type: none"> • The Constitution of the Republic of Uganda (1995) as amended 2005 • National Forestry & Tree Planting Act (2003) • National Environment Act (1995) • Local governments Act (1997) |
| 4.3 Indigenous peoples rights | Legislation that regulates the rights of indigenous people* as far as it’s related to forestry activities. Possible aspects to consider are land tenure*, right to use certain forest* related resources or practice traditional activities, which may involve forest* lands | <ul style="list-style-type: none"> • The Constitution of the Republic of Uganda (1995) as amended 2005 • Wildlife Act (1995), • National Forestry & Tree Planting Act (2003) |
| 5. Trade and transport | | |
| NOTE: This section covers requirements for forest* management operations as well as processing and trade | | |
| 5.1 Classification of species, quantities, qualities | Legislation regulating how harvested material is classified in terms of species, volumes and qualities in connection with trade and transport. Incorrect classification of harvested material is a well-known method to reduce/avoid payment of legality prescribed taxes and fees. | <ul style="list-style-type: none"> • National Forestry & Tree Planting Act (2003) • National Forestry & Tree Planting Regulations (2014) • Seed & Plant Act (2006), • Public Procurement and Disposal Act, 2003 |
| 5.2 Trade and transport | All required trading permits shall* exist as well as legally required transport document which accompany transport of wood from forest* operation. | <ul style="list-style-type: none"> • National Forestry & Tree Planting Act (2003) • National Forestry & Tree Planting Regulations (2014) • Trade (Licensing) Act (1969), • Value added Tax Act (1996), as amended (2012) • Companies Act (1961) |

| Category of legislation | Coverage | Applicable National Laws |
|--|---|---|
| 5.3 Offshore trading and transfer pricing | Legislation regulating offshore trading. Offshore trading with related companies placed in tax havens combined with artificial transfer prices is a well-known way to avoid payment of legally prescribed taxes and fees to the country of harvest and considered as an important generator of funds that can be used for payment of bribery and black money to the forest* operation and personal involved in the harvesting operation. Many countries have established legislation covering transfer pricing and offshore trading. It should* be noted that only transfer pricing and offshore trading as far as it is legally prohibited in the country, can be included here. | <ul style="list-style-type: none"> • Trade (Licensing) Act (1969), • Anti- Corruption Act (2009), • Anti- money laundering Act (2013), • Public Finance and Accountability Act (2003) • |
| 5.4 Custom regulations | Custom legislation covering areas such as export/import licenses, product classification (codes, quantities, qualities and species). | <ul style="list-style-type: none"> • Uganda Revenue Authority Act (1991), • Customs Tariff Act (1970) • Trade (Licensing) Act (1969), • Value added Tax Act (1996), • Companies Act • National Forestry & Tree Planting Act (2003) • National Forestry & Tree Planting Regulations (2014) |
| 5.5 CITES | CITES Certificates (the Convention on International Trade in Endangered Species of Wild Fauna and Flora, also known as the Washington Convention). | <ul style="list-style-type: none"> • No specific law, but Uganda has the obligation to enforce the CITES provisions. Uganda ratified the Convention on 18th July 1991) • The Ministry of Tourism, Wildlife and Antiquities is spearheading the process to revise the main wildlife law in Uganda (The Uganda Wildlife Act (Cap 200 of 2000) with a view to domesticating and mainstreaming CITES into the national legislation |
| 6 Due diligence / due care | | |
| 6.1 Due diligence / due care procedures | Legislation requiring due diligence/due care procedures, including e.g. due diligence/due care systems, declaration obligations, and/or the keeping of trade related documents etc. | <ul style="list-style-type: none"> • |

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

| TREATY/CONVENTION/AGREEMENT |
|-----------------------------|
|-----------------------------|

| | |
|-----|---|
| 1. | The Ramsar Convention on Wetlands, 1971 |
| 2. | The Convention for the Protection of World Cultural and Natural Heritage, 1972; |
| 3. | The Convention on International Trade in Endangered Species, 1973; |
| 4. | The Bonn Convention on Migratory Species, 1979 |
| 5. | Agenda 21, 1992; |
| 6. | The Convention on Biological Diversity, 1992 |
| 7. | The United Nations Framework Convention on Climate Change, 1992 |
| 8. | The Convention to Combat Desertification, 1994 |
| 9. | The Africa Forest Law Enforcement and Governance |
| 10. | The Common Market for Eastern and Southern Africa (COMESA) |
| 11. | Protocol on the Sustainable Development of Lake Victoria Basin; |
| 12. | The East African Community Protocol on Environment and Natural Resources Management |
| 13. | The African Great Lakes Pact |
| 14. | Kagera Basin Agreement, 1997 |
| | |

III. THE EIGHT CORE INTERNATIONAL LABOUR ORGANIZATION CONVENTIONS

Uganda has ratified to the following eight Core International Labour Organization Conventions as defined in the ILO Declaration on Fundamental Principles and Rights at Work (1998):

| No. | Convention | Year Ratified | Related National legislation |
|-----|---|-----------------------------|---|
| 29 | Forced Labour Convention, 1930 | 4 th June 1963 | Employment Act, 2006 (Sec 5) |
| 87 | Freedom of Association and Protection of the Right to Organise Convention, 1948 | 2 nd June 2005 | Labour Unions Act, 2006 |
| 98 | Right to Organize and Collective Bargaining Convention, 1949 | 4 th June 1963 | Labour Unions Act, 2006 |
| 100 | Equal Remuneration Convention, 1951 | 2 nd June 2005 | The Equal Opportunities Commission Act, 2007; Employment Act, 2006 (Sec 6) |
| 105 | Abolition of Forced Labour Convention, 1957 | 4 th June 1963 | Employment Act, 2006 (Sec 5) |
| 111 | Discrimination (Employment and Occupation) Convention, 1958 | 4 th June 1963 | Employment Act, 2006 (Sec 6) |
| 138 | Minimum Age Convention, 1973. (Minimum age specified is 14 years) | 25 th March 2003 | Employment Act, 2006 (Sec 32) |
| 182 | Worst Forms of Child Labour Convention, 1999 | 21 st June 2001 | |

IV. IUCN RED LIST OF THREATENED SPECIES

Uganda CITES Species website:

<http://www.wipo.int/edocs/lexdocs/laws/en/ug/ug021en.pdf>

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

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

Threatened Species

Species within the categories of Critically Endangered (CR), Endangered (EN), and Vulnerable (VU) are termed *threatened*.

As of July 10, 2009, the IUCN database included 196 threatened species in [Uganda](#) which are listed here.

Critically endangered plants

Afrothismia winkleri

Diospyros katendei

Encephalartos equatorialis

Endangered plants

Brazzeia longipedicellata

Dialium excelsum

Dracaena ombet

Lovoa swynnertonii

Vulnerable plants

1. *Afzelia africana*

2. *Afzelia bipindensis*

3. *Albizia ferruginea*

4. *Antrocaryon micraster*

5. *Beilschmiedia ugandensis*

6. *Cola bracteata*

7. *Cordyla richardii*

8. *Crassocephalum bauchiense*

9. *Deschampsia angusta*

10. *Encephalartos macrostrobilus*

11. *Encephalartos whitelockii*

12. *Entandrophragma angolense*

13. *Entandrophragma cylindricum*

14. *Entandrophragma utile*

15. *Euphorbia bwambensis*
16. *Guarea cedrata*
17. *Guarea mayombensis*
18. *Hallea stipulosa*
19. *Khaya anthotheca*
20. *Khaya grandifoliola*
21. *Khaya senegalensis*
22. *Lophira alata*
23. *Lovoa trichilioides*
24. *Memecylon bequaertii*
25. *Mikaniopsis vitalba*
26. *Millettia lacus-alberti*
27. *Nauclea diderrichii*
28. *Ocotea kenyensis*
29. *Pavetta intermedia*
30. *Prunus africana*
31. *Secamone racemosa*
32. *Turraeanthus africanus*
33. *Vitellaria paradoxa*

This list combines species from several endangered species lists. Using the total at the bottom of this page as an official count of endangered species of the world is not recommended. For more information on what creatures are listed on this site, please visit our [About Us](#) page.

| | Species Name | Scientific Name | Group | Range | Code |
|----|---|---------------------------|---------|---|------|
| 1. | African Butter Catfish | Schilbe mystus | Fishes | Uganda | 1 |
| 2. | African Elephant | Loxodonta africana | Mammals | Africa | 1 |
| 3. | African Golden Cat | Caracal aurata | Mammals | Africa | 1 |
| 4. | African Gray Parrot | Psittacus erithacus | Birds | Africa | 1 |
| 5. | African Green Broadbill | Pseudocalyptomena graueri | Birds | Democratic Republic of Congo (Zaire), Uganda | 1 |
| 6. | African Lion | Panthera leo | Mammals | Africa, Asia | 1 |
| 7. | African Mahogany | Khaya ivorensis | Plants | Benin, Cote d'Ivoire, Democratic Republic of Congo (Zaire), Ghana, Guinea, Nigeria, Sudan, Togo, Uganda | 1 |
| 8. | African Mahogany | Khaya grandifoliola | Plants | Benin, Cote d'Ivoire, | 1 |

| | Species Name | Scientific Name | Group | Range | Code |
|-----|--|------------------------|------------|--|------|
| | | | | Democratic Republic of Congo (Zaire), Ghana, Guinea, Nigeria, Sudan, Togo, Uganda | |
| 9. | African Mahogany | Khaya anthotheca | Plants | Angola, Cameroon, Cote d'Ivoire, Democratic Republic of Congo (Zaire), Ghana, Liberia, Malawi, Mozambique, Nigeria, Republic of Congo, Sierra Leone, Tanzania, Uganda, Zambia, Zimbabwe | 1 |
| 10. | African Mahogany | Khaya senegalensis | Plants | Benin, Burkina Faso, Cameroon, Central African Republic, Chad, Cote d'Ivoire, Gabon, Gambia, Ghana, Guinea, Guinea-Bissau, Mali, Niger, Nigeria, Senegal, Sierra Leone, Sudan, Togo, Uganda | 1 |
| 11. | African Skimmer | Rynchops flavirostris | Birds | Africa, Asia, Middle East | 1 |
| 12. | African Walnut | Lovoa trichilioides | Plants | Angola, Cameroon, Cote d'Ivoire, Democratic Republic of Congo (Zaire), Gabon, Ghana, Liberia, Nigeria, Republic of Congo, Sierra Leone, Tanzania, Uganda | 1 |
| 13. | African White-bellied Pangolin | Phataginus tricuspis | Mammals | Angola, Benin, Cameroon, Central African Republic, Cote d'Ivoire, Democratic Republic of Congo (Zaire), Equatorial Guinea, Gabon, Ghana, Kenya, Liberia, Nigeria, Republic of Congo, Rwanda, Sierra Leone, Sudan, Tanzania, Togo, Uganda, Zambia | 1 |
| 14. | African Wild Dog 🐾 | Lycaon pictus | Mammals | Sub-saharan Africa | 1 |
| 15. | Afrocarpus dawei | Afrocarpus dawei | Plants | Tanzania, Uganda | 1 |
| 16. | Agriocnemis palaeforma | Agriocnemis palaeforma | Insects | Uganda | 1 |
| 17. | Ahl's Reed Frog | Hyperolius castaneus | Amphibians | Burundi, Democratic Republic | 1 |

| | Species Name | Scientific Name | Group | Range | Code |
|-----|---|------------------------|---------|--|------|
| | | | | of Congo (Zaire), Rwanda, Uganda | |
| 18. | Albert Lates | Lates macrophthalmus | Fishes | Democratic Republic of Congo (Zaire), Uganda | 1 |
| 19. | Albizia ferruginea | Albizia ferruginea | Plants | Angola, Benin, Cameroon, Central African Republic, Cote d'Ivoire, Democratic Republic of Congo (Zaire), Gabon, Gambia, Ghana, Guinea, Guinea-Bissau, Nigeria, Republic of Congo, Senegal, Sierra Leone, Togo, Uganda | 1 |
| 20. | Antrocaryon | Antrocaryon micraster | Plants | Cameroon, Cote d'Ivoire, Democratic Republic of Congo (Zaire), Ghana, Nigeria, Sierra Leone, Uganda | |
| 21. | Apa | Afzelia bipindensis | Plants | Angola, Cameroon, Central African Republic, Democratic Republic of Congo (Zaire), Gabon, Nigeria, Republic of Congo, Uganda | |
| 22. | Aspatharia divaricata | Aspatharia divaricata | Clams | Tanzania, Uganda | |
| 23. | Azobe | Lophira alata | Plants | Africa | |
| 24. | Babault's Mouse Shrew | Myosorex babaulti | Mammals | Burundi, Democratic Republic of Congo (Zaire), Uganda | |
| 25. | Barbus alluaudi | Barbus alluaudi | Fishes | Uganda | |
| 26. | Barbus huloti | Barbus huloti | Fishes | Democratic Republic of Congo (Zaire), Uganda | |
| 27. | Barbour's Vlei Rat | Otomys barbouri | Mammals | Kenya, Uganda | |
| 28. | Basra Reed Warbler | Acrocephalus griseldis | Birds | Botswana, Egypt, Ethiopia, Iran, Israel, Kenya, Kuwait, Malawi, Mozambique, Saudi Arabia, Somalia, Sudan, Tanzania, Uganda | |
| 29. | Beaudouin's Snake-eagle | Circaetus beaudouini | Birds | Burkina Faso, Cameroon, Central African Republic, Chad, | |

| | Species Name | Scientific Name | Group | Range | Code |
|-----|---|---------------------------|--------|---|------|
| | | | | Cote d'Ivoire, Democratic Republic of Congo (Zaire), Gambia, Guinea, Mali, Mauritania, Niger, Nigeria, Senegal, Sudan, Uganda | |
| 30. | Beilschmiedia ugandensis | Beilschmiedia ugandensis | Plants | Democratic Republic of Congo (Zaire), Sudan, Tanzania, Uganda | |
| 31. | Bellamya jucunda | Bellamya jucunda | Snails | Kenya, Tanzania, Uganda | |
| 32. | Bellamya costulata | Bellamya costulata | Snails | Kenya, Tanzania, Uganda | |
| 33. | Bellamya constricta | Bellamya constricta | Snails | Kenya, Tanzania, Uganda | |
| 34. | Bellamya trochearis | Bellamya trochearis | Snails | Kenya, Tanzania, Uganda | |
| 35. | Bellamya rubicunda | Bellamya rubicunda | Snails | Democratic Republic of Congo (Zaire), Uganda | |
| 36. | Bellamya phthinotropis | Bellamya phthinotropis | Snails | Kenya, Tanzania, Uganda | |
| 37. | Black Crowned-crane | Balearica pavonina | Birds | Africa, Middle East | |
| 38. | Black-tailed Godwit | Limosa limosa | Birds | Africa, Asia, Australia, Central America, Europe, Middle East, North America (including United States Territory), Oceanic | |
| 39. | Black-winged Pratincole | Glareola nordmanni | Birds | Africa to Asia | |
| 40. | Blue Swallow | Hirundo atrocaerulea | Birds | Democratic Republic of Congo (Zaire), Kenya, Malawi, Mozambique, South Africa, Swaziland, Tanzania, Uganda, Zambia, Zimbabwe | |
| 41. | Brazzeia longipedicellata | Brazzeia longipedicellata | Plants | Democratic Republic of Congo (Zaire), Uganda | |
| 42. | Bread Palm | Encephalartos whitelockii | Plants | Uganda | |
| 43. | Bread Palm | Encephalartos | Plants | Uganda | |

| | Species Name | Scientific Name | Group | Range | Code |
|-----|---------------------------------------|----------------------------|------------|---|------|
| | | macrostrobilus | | | |
| 44. | Bread Palm | Encephalartos equatorialis | Plants | Uganda | |
| 45. | Brown Mahogany | Lovoa swynnertonii | Plants | Democratic Republic of Congo (Zaire), Kenya, Mozambique, Tanzania, Uganda, Zimbabwe | |
| 46. | Bulinus transversalis | Bulinus transversalis | Snails | Kenya, Uganda | |
| 47. | Bulinus mutandensis | Bulinus mutandensis | Snails | Uganda | |
| 48. | Burnupia stuhlmanni | Burnupia stuhlmanni | Snails | Kenya, Tanzania, Uganda | |
| 49. | Bushoho Reed Frog | Hyperolius frontalis | Amphibians | Democratic Republic of Congo (Zaire), Uganda | |
| 50. | Chapin's Flycatcher | Muscicapa lendu | Birds | Democratic Republic of Congo (Zaire), Kenya, Uganda | |
| 51. | Charming Thicket Rat | Thamnomys venustus | Mammals | Democratic Republic of Congo (Zaire), Uganda | |
| 52. | Checkedred Sengi | Rhynchocyon cirnei | Mammals | Democratic Republic of Congo (Zaire), Malawi, Mozambique, Tanzania, Uganda, Zambia | |
| 53. | Cheetah 🐆 | Acinonyx jubatus | Mammals | Africa to India | |
| 54. | Chimpanzee 🐼 | Pan troglodytes | Mammals | Africa | |
| 55. | Chlorocnemis pauli | Chlorocnemis pauli | Insects | Democratic Republic of Congo (Zaire), Kenya, Nigeria, Uganda | |
| 56. | Chlorocypha molindica | Chlorocypha molindica | Insects | Burundi, Democratic Republic of Congo (Zaire), Uganda | |
| 57. | Chlorocypha jacksoni | Chlorocypha jacksoni | Insects | Burundi, Democratic Republic of Congo (Zaire), Kenya, Malawi, Republic of Congo, Tanzania, Uganda | |
| 58. | Cleopatra cridlandi | Cleopatra cridlandi | Snails | Kenya, Tanzania, Uganda | |
| 59. | Common Hippopotamus | Hippopotamus amphibius | Mammals | Africa | |
| 60. | Cordyla richardii | Cordyla richardii | Plants | Sudan, Uganda | |

| | Species Name | Scientific Name | Group | Range | Code |
|-----|---|-----------------------------|------------|---|------|
| 61. | Cream-banded Swallowtail | Papilio leucotaenia | Insects | Burundi, Rwanda, Uganda | |
| 62. | De Graaff's Praomys | Praomys degraaffi | Mammals | Burundi, Rwanda, Uganda | |
| 63. | Delany's Swamp Mouse | Delanymys brooksi | Mammals | Burundi, Democratic Republic of Congo (Zaire), Rwanda, Uganda | |
| 64. | Denham's Bustard | Neotis denhami | Birds | Africa | |
| 65. | Deschampsia angusta | Deschampsia angusta | Plants | Kenya, Uganda | |
| 66. | Dialium excelsum | Dialium excelsum | Plants | Democratic Republic of Congo (Zaire), Uganda | |
| 67. | Diospyros katendei | Diospyros katendei | Plants | Uganda | |
| 68. | Disc-fingered Reed Frog | Hyperolius discodactylus | Amphibians | Burundi, Democratic Republic of Congo (Zaire), Rwanda, Uganda | |
| 69. | Dragon Tree | Dracaena ombet | Plants | Djibouti, Egypt, Ethiopia, Saudi Arabia, Somalia, Sudan, Uganda | |
| 70. | Dwarf Honeyguide | Indicator pumilio | Birds | Democratic Republic of Congo (Zaire), Rwanda, Uganda | |
| 71. | Eastern Gorilla | Gorilla beringei | Mammals | Democratic Republic of Congo (Zaire), Rwanda, Uganda | |
| 72. | Egyptian Vulture 📷 | Neophron percnopterus | Birds | Europe, Africa, Asia, and the Middle East | |
| 73. | Entandrophragma angolense | Entandrophragma angolense | Plants | Africa | |
| 74. | Entandrophragma utile | Entandrophragma utile | Plants | Africa | |
| 75. | Entandrophragma cylindricum | Entandrophragma cylindricum | Plants | Africa | |
| 76. | Euphorbia bwambensis | Euphorbia bwambensis | Plants | Republic of Congo, Uganda | |
| 77. | Eurasian Curlew | Numenius arquata | Birds | Africa, Asia, Australia, Central America, Europe, Middle East, | |

| | Species Name | Scientific Name | Group | Range | Code |
|-----|---|-----------------------------|---------|---|------|
| | | | | North America (United States Territory), Oceanic | |
| 78. | Eurasian Peregrine Falcon 📷 | Falco peregrinus peregrinus | Birds | Eurasia south to Africa and Mideast | |
| 79. | Forest Ground-thrush | Zoothera oberlaenderi | Birds | Democratic Republic of Congo (Zaire), Uganda | |
| 80. | Forest Thicket Rat | Grammomys dryas | Mammals | Burundi, Democratic Republic of Congo (Zaire), Uganda | |
| 81. | Fox's Weaver | Ploceus spekeoides | Birds | Uganda | |
| 82. | Giant Ground Pangolin | Smutsia gigantea | Mammals | Africa | |
| 83. | Golden-naped Weaver | Ploceus aureonucha | Birds | Democratic Republic of Congo (Zaire), Uganda | |
| 84. | Grauer's Cuckooshrike | Coracina graueri | Birds | Democratic Republic of Congo (Zaire), Uganda | |
| 85. | Grauer's Swamp Warbler | Bradypterus graueri | Birds | Burundi, Democratic Republic of Congo (Zaire), Rwanda, Uganda | |
| 86. | Great Snipe | Gallinago media | Birds | Africa, Asia, Europe | |
| 87. | Greater Large-headed Shrew | Paracrocidura maxima | Mammals | Burundi, Democratic Republic of Congo (Zaire), Rwanda, Uganda | |
| 88. | Greater Spotted Eagle | Aquila clanga | Birds | Africa, Asia, Europe, Middle East | |
| 89. | Guarea cedrata | Guarea cedrata | Plants | Cameroon, Cote d'Ivoire, Democratic Republic of Congo (Zaire), Ghana, Liberia, Nigeria, Republic of Congo, Sierra Leone, Uganda | |
| 90. | Guarea mayombensis | Guarea mayombensis | Plants | Democratic Republic of Congo (Zaire), Gabon, Uganda | |
| 91. | Hallea stipulosa | Hallea stipulosa | Plants | Angola, Cameroon, Central African Republic, Democratic Republic of Congo (Zaire), Gabon, Gambia, Ghana, | |

| | Species Name | Scientific Name | Group | Range | Code |
|------|---|-------------------------------|--------|--|------|
| | | | | Guinea, Nigeria, Republic of Congo, Senegal, Sierra Leone, Sudan, Uganda, Zambia | |
| 92. | Haplochromis bayoni | Haplochromis bayoni | Fishes | Kenya, Tanzania, Uganda | |
| 93. | Haplochromis ishmaeli | Haplochromis ishmaeli | Fishes | Kenya, Tanzania, Uganda | |
| 94. | Haplochromis oregosoma | Haplochromis oregosoma | Fishes | Uganda | |
| 95. | Haplochromis serranus | Haplochromis serranus | Fishes | Kenya, Tanzania, Uganda | |
| 96. | Haplochromis worthingtoni | Haplochromis worthingtoni | Fishes | Uganda | |
| 97. | Haplochromis barbarae | Haplochromis barbarae | Fishes | Tanzania, Uganda | |
| 98. | Haplochromis heusinkveldi | Haplochromis heusinkveldi | Fishes | Kenya, Tanzania, Uganda | |
| 99. | Haplochromis obliquidens | Haplochromis obliquidens | Fishes | Kenya, Tanzania, Uganda | |
| 100. | Haplochromis saxicola | Haplochromis saxicola | Fishes | Tanzania, Uganda | |
| 101. | Haplochromis welcommei | Haplochromis welcommei | Fishes | Tanzania, Uganda | |
| 102. | Haplochromis annectidens | Haplochromis annectidens | Fishes | Uganda | |
| 103. | Haplochromis granti | Haplochromis granti | Fishes | Kenya, Tanzania, Uganda | |
| 104. | Haplochromis nuchisquamulatus | Haplochromis nuchisquamulatus | Fishes | Kenya, Tanzania, Uganda | |
| 105. | Haplochromis sauvagei | Haplochromis sauvagei | Fishes | Kenya, Tanzania, Uganda | |
| 106. | Haplochromis victorianus | Haplochromis victorianus | Fishes | Kenya, Tanzania, Uganda | |
| 107. | Haplochromis aeneocolor | Haplochromis aeneocolor | Fishes | Uganda | |

| | Species Name | Scientific Name | Group | Range | Code |
|------|--|----------------------------|--------|-------------------------|------|
| 108. | Haplochromis crassilabris | Haplochromis crassilabris | Fishes | Tanzania, Uganda | |
| 109. | Haplochromis megalops | Haplochromis megalops | Fishes | Kenya, Tanzania, Uganda | |
| 110. | Haplochromis prodromus | Haplochromis prodromus | Fishes | Kenya, Tanzania, Uganda | |
| 111. | Haplochromis venator | Haplochromis venator | Fishes | Uganda | |
| 112. | Haplochromis aelocephalus | Haplochromis aelocephalus | Fishes | Tanzania, Uganda | |
| 113. | Haplochromis chromogynos | Haplochromis chromogynos | Fishes | Kenya, Tanzania, Uganda | |
| 114. | Haplochromis maxillaris | Haplochromis maxillaris | Fishes | Kenya, Tanzania, Uganda | |
| 115. | Haplochromis plagiostoma | Haplochromis plagiostoma | Fishes | Uganda | |
| 116. | Haplochromis velifer | Haplochromis velifer | Fishes | Uganda | |
| 117. | Haplochromis acidens | Haplochromis acidens | Fishes | Kenya, Tanzania, Uganda | |
| 118. | Haplochromis chilotes | Haplochromis chilotes | Fishes | Kenya, Tanzania, Uganda | |
| 119. | Haplochromis lividus | Haplochromis lividus | Fishes | Kenya, Tanzania, Uganda | |
| 120. | Haplochromis phytophagus | Haplochromis phytophagus | Fishes | Kenya, Tanzania, Uganda | |
| 121. | Haplochromis spekii | Haplochromis spekii | Fishes | Kenya, Tanzania, Uganda | |
| 122. | Haplochromis brownae | Haplochromis brownae | Fishes | Tanzania, Uganda | |
| 123. | Haplochromis latifasciatus | Haplochromis latifasciatus | Fishes | Uganda | |
| 124. | Haplochromis petronius | Haplochromis petronius | Fishes | Uganda | |
| 125. | Haplochromis sp. | Haplochromis sp. | Fishes | Uganda | |

| | Species Name | Scientific Name | Group | Range | Code |
|------|---|-------------------------------------|------------|---|------|
| | nov. 'ruby' | nov. 'ruby' | | | |
| 126. | Haplochromis beadlei | Haplochromis beadlei | Fishes | Uganda | |
| 127. | Haplochromis labiatus | Haplochromis labiatus | Fishes | Democratic Republic of Congo (Zaire), Uganda | |
| 128. | Haplochromis paropius | Haplochromis paropius | Fishes | Kenya, Tanzania, Uganda | |
| 129. | Haplochromis simpsoni | Haplochromis simpsoni | Fishes | Uganda | |
| 130. | Harpagochromis sp. nov. 'frogmouth' | Harpagochromis sp. nov. 'frogmouth' | Fishes | Kenya, Uganda | |
| 131. | Idomacromia jilliana | Idomacromia jilliana | Insects | Uganda | |
| 132. | Jackson's Mongoose | Bdeogale jacksoni | Mammals | Kenya, Tanzania, Uganda | |
| 133. | Kahuzi Swamp Shrew | Crocidura stenocephala | Mammals | Democratic Republic of Congo (Zaire), Uganda | |
| 134. | Karamoja Apalis | Apalis karamojae | Birds | Kenya, Tanzania, Uganda | |
| 135. | Karissimbi Forest Treefrog | Leptopelis karissimbensis | Amphibians | Democratic Republic of Congo (Zaire), Rwanda, Uganda | |
| 136. | Kivu Banana Frog | Afraxalus orophilus | Amphibians | Burundi, Democratic Republic of Congo (Zaire), Rwanda, Uganda | |
| 137. | Kivu Ground-thrush | Zoothera tanganjicae | Birds | Burundi, Democratic Republic of Congo (Zaire), Rwanda, Uganda | |
| 138. | Kivu Tree Frog | Leptopelis kivuensis | Amphibians | Burundi, Democratic Republic of Congo (Zaire), Rwanda, Uganda | |
| 139. | Kola Nut | Cola duparquetiana | Plants | Uganda | |
| 140. | Kola Nut | Cola bracteata | Plants | Uganda | |
| 141. | Lagden's Bush-shrike | Malaconotus lagdeni | Birds | Cote d'Ivoire, Democratic Republic of Congo (Zaire), Ghana, Liberia, Rwanda, Sierra Leone, Uganda | |

| | Species Name | Scientific Name | Group | Range | Code |
|------|--|--|---------|---|------|
| 142. | Lappet-faced Vulture | Torgos tracheliotos | Birds | Africa, Asia, Europe, Middle East | |
| 143. | Large-eared Free-tailed Bat | Otomops martiensseni | Mammals | Africa, Asia, Middle East | |
| 144. | Lesser Flamingo | Phoeniconaias minor | Birds | Africa, Asia, Europe, Middle East, Oceanic | |
| 145. | Lesser Kestrel | Falco naumanni | Birds | Africa, Asia, Europe, Middle East | |
| 146. | Lesser Kudu | Tragelaphus imberbis | Mammals | Ethiopia, Kenya, Somalia, Sudan, Tanzania, Uganda | |
| 147. | Lipochromis sp. nov. 'parvidens-like' | Lipochromis sp. nov. 'parvidens-like' | Fishes | Uganda | |
| 148. | Lipochromis sp. nov. 'small obesoid' | Lipochromis sp. nov. 'small obesoid' | Fishes | Uganda | |
| 149. | Lipochromis sp. nov. 'backflash cryptodon' | Lipochromis sp. nov. 'backflash cryptodon' | Fishes | Uganda | |
| 150. | Lokia coryndoni | Lokia coryndoni | Insects | Uganda | |
| 151. | Maccoa Duck | Oxyura maccoa | Birds | Angola, Botswana, Burundi, Democratic Republic of Congo (Zaire), Eritrea, Ethiopia, Kenya, Lesotho, Malawi, Namibia, Rwanda, South Africa, Sudan, Swaziland, Tanzania, Uganda, Zimbabwe | |
| 152. | Macroleuroodus bicolor | Macroleuroodus bicolor | Fishes | Kenya, Tanzania, Uganda | |
| 153. | Madagascar Pond-heron | Ardeola idae | Birds | Africa | |
| 154. | Marcusenius victoriae | Marcusenius victoriae | Fishes | Kenya, Rwanda, Tanzania, Uganda | |
| 155. | Medium-tailed Brush-furred Rat | Lophuromys medicaudatus | Mammals | Democratic Republic of Congo (Zaire), Rwanda, Uganda | |
| 156. | Memecylon bequaertii | Memecylon bequaertii | Plants | Democratic Republic of Congo (Zaire), Uganda | |

| | Species Name | Scientific Name | Group | Range | Code |
|------|---|---------------------------------|---------|---|------|
| 157. | Mikaniopsis vitalba | Mikaniopsis vitalba | Plants | Angola, Cameroon, Democratic Republic of Congo (Zaire), Gabon, Uganda | |
| 158. | Milletia lacus-alberti | Milletia lacus-alberti | Plants | Democratic Republic of Congo (Zaire), Uganda | |
| 159. | Montane Mouse Shrew | Myosorex blarina | Mammals | Democratic Republic of Congo (Zaire), Uganda | |
| 160. | Montane Shaggy Rat | Dasymys montanus | Mammals | Uganda | |
| 161. | Moon Forest Shrew | Sylvisorex lunaris | Mammals | Burundi, Democratic Republic of Congo (Zaire), Rwanda, Uganda | |
| 162. | Moon Striped Mouse | Hybomys lunaris | Mammals | Democratic Republic of Congo (Zaire), Uganda | |
| 163. | Nahan's Francolin | Francolinus nahani | Birds | Democratic Republic of Congo (Zaire), Uganda | |
| 164. | Nauclea diderrichii | Nauclea diderrichii | Plants | Africa | |
| 165. | Neochromis simotes | Neochromis simotes | Fishes | Uganda | |
| 166. | Niobe's Shrew | Crocidura niobe | Mammals | Burundi, Democratic Republic of Congo (Zaire), Uganda | |
| 167. | Nothobranchius aff. taeniopygus | Nothobranchius aff. taeniopygus | Fishes | Uganda | |
| 168. | Ocotea kenyensis | Ocotea kenyensis | Plants | Africa | |
| 169. | Onychogomphus styx | Onychogomphus styx | Insects | Kenya, Tanzania, Uganda, Zambia | |
| 170. | Oreochromis variabilis | Oreochromis variabilis | Fishes | Kenya, Tanzania, Uganda | |
| 171. | Oreochromis esculentus | Oreochromis esculentus | Fishes | Kenya, Tanzania, Uganda | |
| 172. | Pallid Harrier | Circus macrourus | Birds | Africa, Asia, Europe, Middle East | |
| 173. | Papyrus Gonolek | Laniarius mufumbiri | Birds | Burundi, Democratic Republic of Congo (Zaire), Kenya, | |

| | Species Name | Scientific Name | Group | Range | Code |
|------|--|---|-------------|--|------|
| | | | | Rwanda, Tanzania, Uganda | |
| 174. | Papyrus Yellow Warbler | <i>Chloropeta gracilirostris</i> | Birds | Burundi, Democratic Republic of Congo (Zaire), Kenya, Rwanda, Tanzania, Uganda, Zambia | |
| 175. | Paralabidochromis victoriae | <i>Paralabidochromis victoriae</i> | Fishes | Kenya, Tanzania, Uganda | |
| 176. | Pavetta intermedia | <i>Pavetta intermedia</i> | Plants | Democratic Republic of Congo (Zaire), Uganda | |
| 177. | Platytaeniodus degeni | <i>Platytaeniodus degeni</i> | Fishes | Kenya, Tanzania, Uganda | |
| 178. | Potamonautes mutandensis | <i>Potamonautes mutandensis</i> | Crustaceans | Uganda | |
| 179. | Potamonautes ignestii | <i>Potamonautes ignestii</i> | Crustaceans | Ethiopia, Uganda | |
| 180. | Potamonautes gonocristatus | <i>Potamonautes gonocristatus</i> | Crustaceans | Democratic Republic of Congo (Zaire), Uganda | |
| 181. | Prognathochromis sp. nov. 'long snout' | <i>Prognathochromis sp. nov. 'long snout'</i> | Fishes | Uganda | |
| 182. | Pseudagrion bicoerulans | <i>Pseudagrion bicoerulans</i> | Insects | Kenya, Tanzania, Uganda | |
| 183. | Pyxichromis orthostoma | <i>Pyxichromis orthostoma</i> | Fishes | Uganda | |
| 184. | Rahm's Brush-furred Rat | <i>Lophuromys rahmi</i> | Mammals | Democratic Republic of Congo (Zaire), Rwanda, Uganda | |
| 185. | Red-faced Barbet | <i>Lybius rubrifacies</i> | Birds | Burundi, Rwanda, Tanzania, Uganda | |
| 186. | Ring-necked Francolin | <i>Fringolius streptophorus</i> | Birds | Burundi, Cameroon, Kenya, Rwanda, Tanzania, Uganda | |
| 187. | Rueppell's Vulture | <i>Gyps rueppellii</i> | Birds | Africa | |
| 188. | Ruwenzori Horseshoe Bat | <i>Rhinolophus ruwenzorii</i> | Mammals | Democratic Republic of Congo (Zaire), Rwanda, Uganda | |
| 189. | Ruwenzori Shrew | <i>Ruwenzorisorex suncooides</i> | Mammals | Burundi, Democratic Republic of Congo (Zaire), Rwanda, | |

| | Species Name | Scientific Name | Group | Range | Code |
|------|--|--------------------------------------|------------|---|------|
| | | | | Uganda | |
| 190. | Rwanda River Frog | Phrynobatrachus versicolor | Amphibians | Burundi, Democratic Republic of Congo (Zaire), Rwanda, Uganda | |
| 191. | Rwenzori Otter Shrew | Micropotamogale ruwenzorii | Mammals | Democratic Republic of Congo (Zaire), Uganda | |
| 192. | Secamone racemosa | Secamone racemosa | Plants | Burundi, Cameroon, Democratic Republic of Congo (Zaire), Equatorial Guinea (Bioko), Rwanda, Uganda | |
| 193. | Semi-collared Flycatcher | Ficedula semitorquata | Birds | Africa, Asia, Europe, Middle East | |
| 194. | Shea Butter Tree | Vitellaria paradoxa | Plants | Cameroon, Cote d'Ivoire, Democratic Republic of Congo (Zaire), Ghana, Guinea, Nigeria, Senegal, Sudan, Uganda | |
| 195. | Shelley's Crimson-wing | Cryptospiza shelleyi | Birds | Burundi, Democratic Republic of Congo (Zaire), Rwanda, Uganda | |
| 196. | Shoebill | Balaeniceps rex | Birds | Burundi, Central African Republic, Democratic Republic of Congo (Zaire), Ethiopia, Kenya, Malawi, Rwanda, Sudan, Tanzania, Uganda, Zambia | |
| 197. | Shovelmouth | Astatotilapia sp. nov. 'shovelmouth' | Fishes | Uganda | |
| 198. | Straw-coloured Fruit Bat | Eidolon helvum | Mammals | Africa, Asia, Middle East | |
| 199. | Synodontis victoriae | Synodontis victoriae | Fishes | Kenya, Tanzania, Uganda | |
| 200. | Synodontis macrops | Synodontis macrops | Fishes | Uganda | |
| 201. | Taita Falcon | Falco fasciinucha | Birds | Botswana, Ethiopia, Kenya, Malawi, Mozambique, South Africa, Sudan, Tanzania, Uganda, Zambia, Zimbabwe | |

| | Species Name | Scientific Name | Group | Range | Code |
|------|---|----------------------------|-------------|---|------|
| 202. | Tarella Shrew | Crocidura tarella | Mammals | Democratic Republic of Congo (Zaire), Uganda | |
| 203. | Temnick's Ground Pangolin  | Manis temminckii | Mammals | Africa | |
| 204. | Tetrathemis ruwensoriensis | Tetrathemis ruwensoriensis | Insects | Uganda | |
| 205. | Tetrathemis denticauda | Tetrathemis denticauda | Insects | Democratic Republic of Congo (Zaire), Uganda | |
| 206. | Thermodiaptomus galeboides | Thermodiaptomus galeboides | Crustaceans | Kenya, Tanzania, Uganda | |
| 207. | Tropodiaptomus stuhlmanni | Tropodiaptomus stuhlmanni | Crustaceans | Kenya, Tanzania, Uganda | |
| 208. | Turner's Eremomela | Eremomela turneri | Birds | Democratic Republic of Congo (Zaire), Kenya, Uganda | |
| 209. | Turraeanthus africanus | Turraeanthus africanus | Plants | Angola, Benin, Cameroon, Cote d'Ivoire, Democratic Republic of Congo (Zaire), Equatorial Guinea, Ghana, Nigeria, Sierra Leone, Uganda | |
| 210. | Varicorhinus ruwenzori | Varicorhinus ruwenzori | Fishes | Uganda | |
| 211. | Victoria Robber | Brycinus jacksonii | Fishes | Burundi, Democratic Republic of Congo (Zaire), Tanzania, Uganda | |
| 212. | Volcano Shrew | Sylvisorex vulcanorum | Mammals | Burundi, Democratic Republic of Congo (Zaire), Rwanda, Uganda | |
| 213. | White Rhinoceros | Ceratotherium simum | Mammals | Africa | |
| 214. | White-backed Vulture | Gyps africanus | Birds | Africa | |
| 215. | White-headed Vulture | Trigonoceps occipitalis | Birds | Africa | |
| 216. | White-naped Pigeon | Columba albinucha | Birds | Cameroon, Democratic Republic of Congo (Zaire), | |

| | Species Name | Scientific Name | Group | Range | Code |
|------|---|---|--------|---------------|------|
| | | | | Sudan, Uganda | |
| 217. | Xystichromis sp. nov. 'Kyoga flameback' | Xystichromis sp. nov. 'Kyoga flameback' | Fishes | Uganda | |

V. LOCAL STANDARDS AND BEST PRACTICE

| | |
|-----|---|
| 1. | Guidelines for development of Forest Management Plans (National Forestry Authority, 2005) |
| 2. | A Guide to the Management of Uganda's Tropical Moist Forests for Timber Production (NFA, 2006) |
| 3. | Standards For Boundary Demarcation (NFA, 2005) |
| 4. | A field guide for assessing and restoring growth and development in degraded natural forests in Uganda (NFA, 2007) |
| 5. | Guidelines For Environmental Impact Assessment of Forestry Developments (NFA, 2005) |
| 6. | Guideline for land allocation in Central Forest Reserves (NFA, 2005) |
| 7. | A Field Guide to Exploratory Inventory in Uganda's Tropical Moist Forests in Central Forest Reserves (NFA, 2008) |
| 8. | Designing a licencing system for grazing domestic animals in Central Forest Reserves (NFA, 2005) |
| 9. | Exploratory inventory and integrated stock-survey and management inventory (contained in the report on the Management of Tropical Moist Forests in Uganda, Denis Alder, NFA 2005) |
| 10. | Guidelines for felling trees in built-up areas (NFA, 2003) |
| 11. | Logging in Natural Forests: Supervisor's Toolkit (NFA, 2005) |
| 12. | Plantation development guidelines for Plantation Planning, management, costings, productivity and profitability (NFA, 2006) |
| 13. | Guidelines for Collaborative Forest Management |
| 14. | Guidelines for successful communication at the National Forestry Authority - NFA Guidelines and Standards No. 8 (NFA, 2005) |
| 15. | Guidelines for valuing natural forestry resources in Uganda (NFA, 2006) |
| 16. | Guidelines for valuing plantation forestry resources in Uganda (NFA, 2007) |
| 17. | Guidelines for verification of legal sources of timber – the Case for Central Forest Reserves in Uganda (NFA, 2007) |
| 18. | Tree Improvement for Timber Plantations in Uganda |
| 19. | Threat reduction assessment (TRA): A field manual (NFA, 2008) |
| 20. | Mechanism for collaboration between UWA and the Forestry Department (2003) |
| 21. | Guidelines for the preparation of species action plans at the forest management unit level (David N.L. Hafashimana) |
| 22. | Forest Nature Conservation Master Plan |

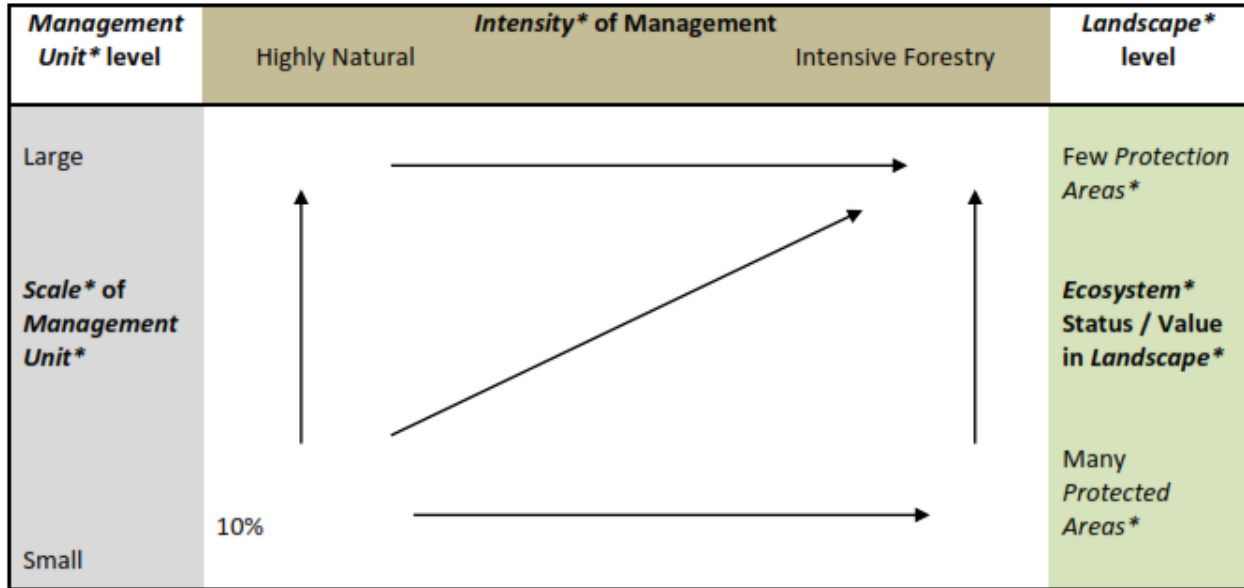
ANNEX B: TRAINING REQUIREMENTS FOR RELEVANT WORKERS

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

ANNEX C: PAYMENTS FOR ECOSYSTEM SERVICES

To be developed later after FSC Guide

ANNEX D: CONSERVATION AREA DESIGN CONCEPTUAL DIAGRAM



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

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

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

ANNEX E (i): ELEMENTS OF THE MANAGEMENT PLAN FOR NON-LOW IMPACT ORGANIZATIONS

The following elements shall be included in the Management Plan

1) A description of the FMU, including:

- i. Location, registration of the Organization, as in accordance to Principle 1;
- ii. Legal tenure to manage and use resources;
- iii. Boundaries of the FMU, including a boundary map

2) The results of assessments, including:

- i. Natural resources and environmental values*, as identified in Principle* 6 and Principle* 9;
- ii. Social, economic and cultural resources and condition, as identified in Principle* 6, Principle* 2 to Principle* 5 and Principle* 9; and
- iii. Major social and environmental risks in the area, as identified in Principle 6, Principle* 2 to Principle* 5 and Principle* 9.

3) Programs and activities regarding:

- i. Workers*' rights, occupational health and safety, gender equality*, as identified in Principle* 4 and Principle 2;
- ii. Indigenous peoples*, community relations, local economic and social development, identified, as in Principle* 3, Principle* 4 and Principle* 5; and
- iii. Stakeholder engagement* and the resolution of disputes*; and grievances, as identified in Principle* 7 and Principle* 9;
- iv. Planned management activities and timelines, silvicultural systems used, typical harvesting methods and equipment, as identified in Principle* 10
- v. The rationale for harvesting rates of timber and other natural resources, as identified in Principle* 5;

4) Measures to conserve* and/or restore*:

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

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

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

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

- i. Growth and yield, as identified in Principle* 5;
- ii. Environmental values*, as identified in Principle* 6;
- iii. Operational impacts, as identified in Principle* 10;
- iv. High Conservation Values*, as identified in Principle* 9; and
- v. Monitoring* systems based on stakeholder engagement* planned or in place, as identified in Principle* 2 to Principle* 5 and Principle* 9; and

vi. Maps describing the natural resources and land use zoning on the Forest* Management Unit*.

ANNEX E (ii): ELEMENTS OF THE MANAGEMENT PLAN FOR LOW IMPACT ORGANIZATIONS

1) A description of the FMU, including:

- i. Location, registration of the Organization, as in accordance to Principle 1;
- ii. Legal tenure to manage and use resources;
- iii. Boundaries of the FMU, including a boundary map

2) Actions regarding:

- i) Workers*' rights, occupational health and safety, gender equality*, as identified in Principle* 4;
- ii) Indigenous peoples*, community relations, local economic and social development, identified, as in Principle* 3, Principle* 4 and Principle* 5; and
- iii) Stakeholder engagement* and the resolution of disputes*; and grievances, as identified in Principle* 7 and Principle* 9;
- iv) Planned management activities and timelines, silvicultural systems used, typical harvesting methods and equipment, as identified in Principle* 10
- v) The rationale for harvesting rates of timber and other natural resources, as identified in Principle* 5;

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

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

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

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

5) Actions to monitor.

- i) Growth and yield, as identified in Principle* 5;
- ii) Environmental values*, as identified in Principle* 6;
- iii) Operational impacts, as identified in Principle* 10;
- iv) High Conservation Values*, as identified in Principle* 9; and

ANNEX A (i): CONCEPTUAL FRAMEWORK FOR PLANNING / MONITORING NON-LOW IMPACT ORGANIZATIONS

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

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

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

ANNEX B (i): MONITORING REQUIREMENTS FOR NON-LOW IMPACT ORGANIZATIONS

Monitoring Requirements

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

- i. The results of regeneration activities (Criterion* 10.1);
- ii. The use of ecologically well adapted species for regeneration (Criterion* 10.2)
- iii. Invasiveness or other adverse impacts associated with any alien species* within and outside the Management Unit* (Criterion* 10.3);
- iv. The use of genetically modified organisms* to confirm that they are not being used. (Criterion* 10.4);
- v. The results of silvicultural activities (Criterion* 10.5);
- vi. Adverse impacts to environmental values* from fertilizers* (Criterion* 10.6);
- vii. Adverse impacts from the use of pesticides* (Criterion* 10.7)
- viii. Adverse impacts from the use of biological control agents (Criterion* 10.8);
- ix. The impacts from natural hazards* (Criterion* 10.9);
- x. The impacts of infrastructural development*, transport activities and silviculture to rare and threatened species*, habitats*, ecosystems*, landscape values*, water and soils (Criterion* 10.10);
- xi. The impacts of harvesting and extraction of timber on non-timber forest products*, environmental values*, merchantable wood waste and other products and services (Criterion* 10.11); and
- xii. Environmentally appropriate disposal of waste materials* (Criterion* 10.12)

2) Monitoring* in 8.2.1 is sufficient to identify and describe social impacts of management activities, including where applicable:

- i. Evidence of illegal or unauthorized activities (Criterion* 1.4);
- ii. Compliance with applicable laws*, local laws*, ratified* international conventions and obligatory codes of practice* (Criterion* 1.5);
- iii. Resolution of disputes* and grievances (Criterion* 1.6, Criterion* 2.6,
i. Criterion* 4.6);
- iv. Programs and activities regarding workers'* rights (Criterion* 2.1);
- v. Gender equality*, Sexual harassment and gender discrimination (Criterion* 2.2);
- vi. Programs and activities regarding occupational health and safety (Criterion* 2.3);
- vii. Payment of wages (Criterion* 2.4);
- viii. Worker* Training (Criterion* 2.5);
- ix. Where pesticides* are used, the health of workers* exposed to pesticides* (Criterion* 2.5 and Criterion* 10.7)

- x. The identification of indigenous peoples* and local communities* and their legal* and customary rights* (Criterion* 3.1 and Criterion* 4.1);
- xi. Full implementation of the terms in binding agreements* (Criterion* 3.2 and Criterion* 4.2);
- xii. Indigenous peoples* and community relations (Criterion* 3.2, Criterion 3.3 and Criterion* 4.2);
- xiii. Protection* of sites of special cultural, ecological, economic, religious or spiritual significance to indigenous peoples* and local communities* (Criterion* 3.5 and Criterion* 4.7);
- xiv. The use of traditional knowledge* and intellectual property* (Criterion* 3.6 and Criterion* 4.8);
- xv. Local economic and social development (Criterion* 4.2, Criterion* 4.3, Criterion* 4.4, Criterion* 4.5);
- xvi. The production of diversified benefits and / or products (Criterion* 5.1);
- xvii. The maintenance and/or enhancement of *ecosystem services** (Criterion* 5.1);
Activities to maintain or enhance *ecosystem services** (Criterion* 5.1);
- xviii. Actual compared to projected annual harvests of timber and *non-timber forest products** (Criterion* 5.2);
- xix. The use of local processing, local services and local value added manufacturing (Criterion* 5.4);
- xx. *Long term* economic viability** (Criterion* 5.5); and
- xxi. *High Conservation Values** 5 and 6 identified in Criterion* 9.1

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

- i. The maintenance and/or enhancement of *ecosystem services** (Criterion* 5.2) (when *The Organization** makes FSC promotional claims regarding the provision of *ecosystem services**, or receives payment for the provision of *ecosystem services**);
- ii. Environmental values* and ecosystem functions* including carbon sequestration and storage (Criterion* 6.1); including the effectiveness of actions identified and implemented to prevent, mitigate and repair negative impacts to environmental values* (Criterion 6.3);
- iii. Rare and threatened species*, and the effectiveness of actions implemented to protect them and their habitats*(Criterion* 6.4);
- iv. Representative sample areas* and the effectiveness of actions implemented to conserve* and/or restore* them (Criterion* 6.5);
- v. Naturally occurring native species* and biological diversity* and the effectiveness of actions implemented to conserve* and/or restore* them (Criterion* 6.6);
- vi. Water courses, *water bodies**, water quantity and water quality and the effectiveness of actions implemented to *conserve** and/or *restore** them (Criterion* 6.7);
- vii. Landscape values* and the effectiveness of actions implemented to maintain and/or restore* them (Criterion* 6.8);
- viii. Conversion of natural forest* to plantations* or conversion to non-forest* (Criterion* 6.9);
- ix. The status of plantations* established after 1994 (Criterion* 6.10); and
- x. High Conservation Values* 1 to 4 identified in Criterion* 9.1 and the effectiveness of actions implemented to maintain and/or enhance them.

4) Monitoring procedures in 8.2.2 are sufficient to identify and describe changes in the High Conservation Values which include:

- i. Implementation of strategies;
- ii. The status of High Conservation Values* including High Conservation areas on which they
- iii. depend; and
- iv. The effectiveness of the management strategies and actions for the protection* of the High Conservation Values* to fully maintain and/or enhance the High Conservation Values*.

ANNEX G (ii): MONITORING REQUIREMENTS FOR LOW IMPACT ORGANIZATIONS

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

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

2) Monitoring* in 8.2.1 is sufficient to identify and describe social impacts of management activities, including where applicable:

- i. Evidence of illegal or unauthorized activities (*Criterion** 1.4);
- ii. Compliance with applicable laws*, local laws*, (*Criterion** 1.5);
- iii. Resolution of disputes* and grievances (*Criterion** 1.6, *Criterion** 2.6, *Criterion** 4.6);
- iv. Programs and activities regarding workers'* rights (*Criterion** 2.1);
- v. Activities regarding occupational health and safety (*Criterion** 2.3);
- vi. Payment of wages (*Criterion** 2.4);
- vii. Worker* Training (*Criterion** 2.5);
- viii. The identification of indigenous peoples* and local communities* and their legal* and customary rights* (*Criterion** 3.1 and *Criterion** 4.1);
- ix. Indigenous peoples* and community relations (*Criterion** 3.2, *Criterion** 3.3 and *Criterion** 4.2);
- x. Protection* of sites of special cultural, ecological, economic, religious or spiritual significance to indigenous peoples* and local communities* (*Criterion** 3.5 and *Criterion** 4.7);
- xi. The production of diversified benefits and / or products (*Criterion** 5.1);
- xii. Actual compared to projected annual harvests of timber and non-timber forest products* (*Criterion** 5.2);
- xiii. High Conservation Values* 5 and 6 identified in *Criterion** 9.1.

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

- i. *Representative sample areas** and the effectiveness of actions implemented to *conserve** and/or *restore** them (*Criterion** 6.5);
- ii. Water courses, water bodies* and water quality and the effectiveness of actions implemented to *conserve** and/or *restore** them (*Criterion** 6.7);
- iii. Conversion of *natural forest** to *plantations** or conversion to *non-forest** (*Criterion** 6.9);

4) Actions to monitor HCVs cover at a minimum:

- i. The status of High Conservation Values* including High Conservation areas on which they depend; and
- ii. The effectiveness of the management actions for the protection* of the High Conservation Values* to fully maintain and/or enhance the High Conservation Values.

ANNEX H: STRATEGIES FOR MAINTAINING HIGH CONSERVATION VALUES*

INSTRUCTIONS FOR STANDARD DEVELOPERS:

Standard Developers *shall** consider the following strategies to inform the development of indicators to maintain *High Conservation Values**.

Strategies for maintaining *High Conservation Values** may not necessarily preclude harvesting. However, the only way to maintain some *High Conservation Values** will be through *protection** of the *High Conservation Value Area** that supports them.

HCV 1 – Protection zones, harvest prescriptions, and/or other strategies to protect threatened, endangered, endemic species, or other 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.

HCV 2 – 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.

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.

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.

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**.

HCV 6 – Strategies to protect the cultural values are developed in cooperation with representatives and members of *local communities** and *Indigenous Peoples**.

ANNEX I: HIGH CONSERVATION VALUE FRAMEWORK

| HCV Category | National Description | Additional SDG comments |
|---|---|-------------------------|
| HCV 1 – Species diversity. Concentrations of biological diversity* including endemic species, and rare*, threatened* or endangered species, that are significant* at global, regional or national levels. | | |
| HCV1.1 Protected areas (PAs) | All National Parks, Wildlife Reserves and Forest Reserves have HCV | |
| | All Conservation areas (Strict Nature Reserves and Buffer Zones) as provided for in the Nature Conservation Master Plan | |
| | RAMSAR Sites | |
| | UNESCO designated Natural World Heritage Site | |
| HCV1.2 Threatened and endangered species | Forest areas containing any threatened and endangered species in the IUCN Red List for Uganda | |
| HCV1.3 Endemic species | Forests containing species that are endemic to Uganda, as described in the Forest Nature Conservation Master Plan. | |
| | Forests containing species that are regionally endemic | |
| HCV1.4 Critical temporal use | Critical breeding sites, | |
| | migration sites, | |
| | migration routes or corridors | |
| | Seasonal feeding sites | |
| | Sites of special scientific interest as defined in the National Forestry and Tree Planting Act, 2003 | |
| | Areas which are nationally designated for production of tree seed | |
| | | |
| 1. Description of Best Available Information in the country for identifying HCV1: | Use of the Uganda Forestry Nature Conservation Master Plan, National HCV framework for Uganda, Uganda Forestry Biodiversity reports, UWA & NFA documents, State of Environment reports, Research reports from NARO & Universities | |

| HCV Category | National Description | Additional SDG comments |
|---|--|-------------------------|
| 2. Description of interested and affected stakeholders: | The lead Natural Resource management agencies (e.g. Uganda Wildlife Authority, National Forestry Authority), Research organizations, Indigenous peoples & local communities, Higher educational institutions, Ministry of Water & Environment, Ministry of Trade & Industry, and other main stream ministries, certification bodies, private forestry organizations, local governments and civil society | |
| 3. Description of culturally appropriate engagement for identifying HCVs: | Description of culturally appropriate engagement for identifying HCVs:: engagement will be community specific | |
| 4. Examples of HCV1 species in the country: | <p>Examples of HCV1 species: Critically endangered plants Afrothismia winkleri Diospyros katendei Encephalartos equatorialis</p> <p>Endangered plants Brazzeia longipedicellata Dialium excelsum Dracaena ombet Lovoia swynnertonii</p> | |
| 5. Geographic areas where HCV1 is likely present: | Albertine Rift and the Uganda Northern Range, National Parks, Mabira forest and forests on Sese Islands | |
| 6. Maps of HCV1 areas in the country: | Maps of HCV1 areas in the country: Maps available in Uganda Wildlife Authority, National Forestry Authority, Wildlife Conservation Society | |
| 7. Threats to HCV1 areas in the country: | Threats to HCV1 areas in the country: poaching, encroachments, overharvesting, corruption, poor governance, change of land use | |
| | | |
| STRATEGIES FOR MAINTAINING HCV1 | National Description | |
| 1) Protection zones, harvest prescriptions, and/or other strategies to protect threatened, endangered, endemic species, | 1) Protection zones, harvest prescriptions, and/or other strategies to protect threatened, endangered, | |

| HCV Category | National Description | Additional SDG comments |
|---|--|--------------------------------|
| or other 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. | endemic species, or other 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. | |
| 2) Where enhancement is identified as the objective*, measures to develop, expand, and/or restore* habitats* for such species are in place. | Nature Conservation forests described in the Master Plan | |
| | | |
| MONITORING HCV1 | Patrols, demarcation of boundaries, strict regulation of harvesting, strict code of conduct, adopt legally acceptable procedures for land use change, awareness, community relations, law enforcement planning | |
| | | |
| HCV Category | National Description | |
| HCV 2 – Landscape*-level ecosystems* and mosaics. Intact forest landscapes and large landscape*-level ecosystems* and ecosystem* mosaics that are significant* at global, regional or national levels, and that contain viable populations of the great majority of the naturally occurring species in natural patterns of distribution and abundance. | All forest areas identified as priority landscape forests in the national network of forest Nature Reserves as identified in the Forest Nature Conservation Master Plan, and other international biodiversity hotspots in Uganda | |
| | | |
| 1. Description of Best Available Information in the country for identifying HCV2: | Nature Conservation forests described in the Master Plan, National Biomass study reports, maps and data, FAO reports, State of the environment reports, Wildlife Conservation Society study reports | |
| 2. Description of interested and affected stakeholders: | The lead Natural Resource management agencies (e.g. Uganda Wildlife Authority, National Forestry Authority), Research organizations, local communities, Higher educational institutions, Ministry of Water & Environment, Ministry of Trade & | |

| HCV Category | National Description | Additional SDG comments |
|---|--|-------------------------|
| | Industry, certification bodies, private forestry organizations, | |
| 3. Examples of HCV2 areas in the country: | Geographic areas where IFLs or other types of HCV2 is likely present:: Albertine Rift, Mt. Elgon system, Northern Uganda Mountain forest ecosystems, | |
| 4. Geographic areas where intact landscape forests (IFLs) or other types of HCV2 is likely present: IFLs are present in Angola, Argentina, Australia, Belize, Bhutan, Bolivia, Brazil, Brunei, Cambodia, Cameroon, Canada, Central African Republic, Chile, China, Colombia, Congo DRC, Costa Rica, Cote d'Ivoire, Dominican Rep, Ecuador, Equatorial Guinea, Ethiopia, Finland, French Guiana, Gabon, Georgia, Guatemala, Guyana, Honduras, India, Indonesia, Japan, Kazakhstan, Laos, Liberia, Madagascar, Malaysia, Mexico, Mongolia, Myanmar, New Zealand, Nicaragua, Nigeria, Norway, Panama, Papua N Guinea, Paraguay, Peru, Philippines, Repl. Congo, Russia, Solomon Islands, Suriname, Sweden, Tanzania, Thailand, Uganda, United States, Venezuela and Vietnam. See IFL shape files: https://www.dropbox.com/s/o4icmu9uujn3nvw/IFL_final_data_UMD_20150121.zip?dl=0 In the absence of a robust process, reliable science and consensus orientated outcome connected to the implementation of motion 65, the default IFL protection threshold shall be 80% of the of the Intact Forest Landscapes* within the Management Unit | Geographic areas where IFLs or other types of HCV2 is likely to present:: Areas within the Albertine Rift, Mt Elgon and surrounding areas and Northern Uganda, Mabira and Sese Islands | |
| 5. Maps of HCV2 areas in the country: | Maps of HCV2 areas in the country: Maps available in Uganda Wildlife Authority, National Forestry Authority, Wildlife Conservation Society | |

| HCV Category | National Description | Additional SDG comments |
|--|---|--------------------------------|
| 6. Threats to HCV2 areas in the country: | Threats to HCV2 areas in the country: poaching, encroachments, overharvesting, corruption, poor governance, change of land use, | |
| | | |
| STRATEGIES FOR MAINTAINING HCV2 | National Description | |
| 1) 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*. | Protection through central and local government agencies, collaborative management arrangements, Landscape restoration, strict nature conservation zoning, low impact harvesting practices, ecotourism, forest based enterprises, benefit sharing, incentives, buffer crops, certification of forest management & agricultural practices, Chain of custody, | |
| 2) 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. | Strict nature reserves and buffer zones as described in the FNMCP; low impact production zones in natural forests | |
| 3) 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. | 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. | |
| 4) The core area of each Intact Forest Landscape* within the Management Unit* is protected, comprising at least 80% of the Intact Forest Landscapes within the Management Unit. | The core area of each Intact Forest Landscape* within the Management Unit* is protected, comprising at least 80% of the Intact Forest Landscapes within the Management Unit. | |
| MONITORING HCV2 | Patrols, demarcation of boundaries, strict regulation of harvesting, strict code of conduct, adopt legally acceptable procedures for land use change | |
| | | |
| HCV Category | National Description | |

| HCV Category | National Description | Additional SDG comments |
|---|---|--------------------------------|
| HCV3 – Ecosystems* and habitats*. Rare*, threatened*, or endangered ecosystems*, habitats* or refugia*. | Ecosystems containing Prime, Core and Secondary Conservation forests as described in the Forest Nature Conservation Master Plan | |
| | Ecosystems that have been dramatically reduced from their original extent due to the activities of man | |
| | Ecosystems which are so threatened by existing and planned activities that they should be conserved | |
| | | |
| IDENTIFICATION OF HCV3 | | |
| 1. Description of Best Available Information in the country for identifying HCV3: | Use of the Uganda Forestry Nature Conservation Master Plan, National HCV framework for Uganda, Uganda Forestry Biodiversity reports | |
| 2. Description of Interested and affected stakeholders: | The lead Natural Resource management agencies (e.g. Uganda Wildlife Authority, National Forestry Authority), Research organizations, local communities, Higher educational institutions, Ministry of Water & Environment, Ministry of Trade & Industry, certification bodies, private forestry organizations, | |
| 3. Examples of HCV3 ecosystems and habitats in the country: | Prime and Core Conservation forests as described in the Uganda Forestry Nature Conservation Master Plan | |
| 4. Geographic areas where HCV3 is likely present: | Areas within the Albertine Rift, Mt Elgon and surrounding areas and Northern Uganda | |
| 5. Maps of HCV3 areas in the country: | Maps of HCV3 areas in the country: Maps available in Uganda Wildlife Authority, National Forestry Authority, Wildlife Conservation Society | |
| 6. Threats to HCV3 areas in the country: | Threats to HCV3 areas in the country: poaching, encroachments, overharvesting, corruption, poor governance, change of land use | |
| | | |
| STRATEGIES FOR MAINTAINING HCV3 | | |
| | National Description | |

| HCV Category | National Description | Additional SDG comments |
|---|--|--------------------------------|
| 5) Strategies that fully maintain the extent and integrity of rare or threatened ecosystems*, habitats*, or refugia*. | protection, inventories at regular intervals; collaborative forest management; research and others depending on the FMU | |
| 6) Where enhancement is identified as the objective*, measures to restore* and/or develop rare or threatened ecosystems*, habitats*, or refugia* are in place. | habitat restoration, including protection, collaborative forest management, encouraging natural regeneration, and other strategies depending on the FMU | |
| MONITORING HCV3 | Patrols, demarcation of boundaries, strict regulation of harvesting, strict code of conduct, adopt legally acceptable procedures for land use change | |
| | | |
| HCV Category | National Description | |
| HCV4 – Critical* ecosystem services*. Basic ecosystem services* in critical* situations, including protection* of water catchments and control of erosion of vulnerable soils and slopes. | | |
| HCV4.1 Forests critical to water catchments | A forest area which covers the whole or part of the catchment of a stream, lake or wetland on which a community (or communities) depends for their water supply and other critical livelihood activities | |
| | Buffer Zones established between protected areas and communities for management purposes | |
| HCV4.2 Forests critical to erosion control | Forest area that are critical for the control of landslides | |
| | Forests that are critical for controlling water erosion and preventing sedimentation of natural water courses and bodies | |
| | Forests critical for prevention of serious wind erosion | |
| HCV4.3 Forests providing barriers to destructive fire | Forest areas providing shelterbelts to fire susceptible infrastructural installations and established forest plantations will be considered HCVF | |
| | | |
| IDENTIFICATION OF HCV4 | | |

| HCV Category | National Description | Additional SDG comments |
|---|---|--------------------------------|
| 1. Description of Best Available Information in the country for identifying HCV4: | Nature Conservation forests described in the Master Plan, National Biomass study reports, maps and data, FAO reports, State of the environment reports, Wildlife Conservation Society study reports | |
| 2. Description of Interested and affected stakeholders: | The lead Natural Resource management agencies (e.g. Uganda Wildlife Authority, National Forestry Authority), Research organizations, local communities, Higher educational institutions, Ministry of Water & Environment, Ministry of Trade & Industry, certification bodies, private forestry organizations, | |
| 3. Examples of HCV4 critical ecosystem services in the country: | protection of water bodies; steep slopes, filtration of urban waste, carbon sequestration, and others depending on the FMU | |
| 4. Geographic areas where HCV4 is likely present: | Mountain ranges in Northern Uganda; Albertine Rift, Mt Elgon Ecosystem; Lake Victoria Crescent | |
| 5. Maps of HCV4 areas in the country: | Maps of HCV3 areas in the country: Maps available in Uganda Wildlife Authority, National Forestry Authority, Wildlife Conservation Society | |
| 6. Threats to HCV4 areas in the country: | Poaching, encroachments, overharvesting, corruption, poor governance, change of land use | |
| | | |
| STRATEGIES FOR MAINTAINING HCV4 | National Description | |
| 7) 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. | protection, inventories at regular intervals; collaborative forest management; research and others depending on the FMU | |
| 8) 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. | Prime and Core Conservation forests as described in the Uganda Forestry Nature Conservation Master Plan; forest improvement management system for natural forests, use of chemicals limited to glyphosate in plantations; not-use of chemicals for | |

| HCV Category | National Description | Additional SDG comments |
|---|--|--------------------------------|
| | refining in natural forests; implementation of prescriptions in the relevant guidelines for plantation and natural forests | |
| 9) Where enhancement is identified as the objective*, measures to restore* water quality and quantity are in place. | habitat restoration, including protection, collaborative forest management, encouraging natural regeneration, and other strategies depending on the FMU | |
| 10) Where identified HCV 4 ecosystem services* include climate regulation, strategies to maintain or enhance carbon sequestration and storage are in place. | Climate Change Policy; National strategy for REDD+; prescription for vision 2040; NAPA, National Development Plan; Project Design Documents; national guidelines for REDD+ project development | |
| MONITORING HCV4 | monitoring plans, strict regulation of harvesting, strict code of conduct, adopt legally acceptable procedures for land use change | |
| | | |
| HCV Category | National Description | |
| HCV5 – Community needs. Sites and resources fundamental for satisfying the basic necessities of local communities* or Indigenous Peoples* (for livelihoods, health, nutrition, water, etc.), identified through engagement* with these communities or Indigenous Peoples. | Forests which are critical for the food security, health and general wellbeing of the local communities. Such a forest will be a source of a basic need in a situation where the majority of the local people or the poorest populations among the local people have no realistic alternative. The basic needs, which areas satisfied within the context of this Standard, are considered to be: | |
| | Food | |
| | NTFP harvesting where this provides essential household income; | |
| | Medicinal materials in the absence or lack of access to local clinics, or in cases where traditional medicine is the only affordable option; | |
| | Building materials (e.g. roof thatches, | |

| HCV Category | National Description | Additional SDG comments |
|---|---|--------------------------------|
| | wood etc); | |
| | Household needs such as fuel wood (for heating) or pestle (for preparing staple food forming the main diet of the community) where there are no affordable alternatives | |
| | Forests that host local shrines | |
| | | |
| IDENTIFICATION OF HCV5 | | |
| 1. Description of Best Available Information in the country for identifying HCV5: | Nature Conservation foersts described in the Master Plan, State of the environment reports, Wildlife Conservation Society study reports and other study reports that are FMU specific | |
| 2. Description of Interested and affected stakeholders: | The lead Natural Resource management agencies (e.g. Uganda Wildlife Authority, National Forestry Authority), Research organizations, local communities, Higher educational institutions, Ministry of Water & Environment, Ministry of Trade & Industry, certification bodies, private forestry organizations, | |
| 3. Examples of HCV5 sites and resources fundamental for local communities in the country: | Cultural sites of the Benet in Mt. Elgon; the Batwa in Echuya, Bwindi, Mt. Rwenzori and others which are FMU specific | |
| 4. Geographic areas where HCV5 is likely present: | Mt. Elgon, South West and Western Uganda; | |
| 5. Maps of HCV5 areas in the country: | Maps of HCV3 areas in the country: Maps available in Uganda Wildlife Authority, National Forestry Authority, Wildlife Conservation Society | |
| 6. Threats to HCV5 areas in the country: | Threats to HCV3 areas in the country: poaching, encroachments, overharvesting, corruption, poor governance, change of land use | |
| | | |
| STRATEGIES FOR MAINTAINING HCV5 | National Description | |

| HCV Category | National Description | Additional SDG comments |
|---|---|--------------------------------|
| 11) 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*. | protection, inventories at regular intervals; collaborative forest management; research and others depending on the FMU | |
| MONITORING HCV5 | monitoring plans, including patrols, demarcation of boundaries, strict regulation of harvesting, strict code of conduct, adopt legally acceptable procedures for land use change | |
| | | |
| HCV Category | National Description | |
| 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. | A forest is considered HCVF if it defines the cultural identity of the local people such that its absence will lead to 'cultural erosion'. The main characteristics of forests associated with the cultural identity of local people include: | |
| | Forest areas in which sites for performing cultural rites are located; | |
| | Forest areas in which sites for traditional religious worship are located | |
| | | |
| IDENTIFICATION OF HCV 6 | | |
| 1. Description of Best Available Information in the country for identifying HCV6: | Nature Conservation forests described in the Master Plan, National Biomass study reports, maps and data, specialized study reports, State of the environment reports, Wildlife Conservation Society study reports | |
| 2. Description of Interested and affected stakeholders: | The lead Natural Resource management agencies (e.g. Uganda Wildlife Authority, National Forestry Authority), Research organizations, local communities, Higher educational institutions, Ministry of Water & Environment, Ministry of Trade & | |

| HCV Category | National Description | Additional SDG comments |
|---|--|--------------------------------|
| | Industry, certification bodies, private forestry organizations, | |
| 3. Examples of HCV6 significant cultural values in the country: | Mt. Elgon, South West and Western Uganda; | |
| 4. Geographic areas where HCV6 is likely present: | | |
| 5. Maps of HCV6 areas in the country: | Maps available in Uganda Wildlife Authority, National Forestry Authority, Wildlife Conservation Society | |
| 6. Threats to HCV6 areas in the country: | poaching, encroachments, overharvesting, corruption, poor governance, change of land use | |
| | | |
| STRATEGIES FOR MAINTAINING HCV6 | National Description | |
| | protection, inventories at regular intervals; collaborative forest management; research and others depending on the FMU; use of indigenous knowledge; regulation of off-take | |

ANNEX J: BEST AVAILABLE INFORMATION SOURCES

Standard Potential Impact Organizations

The Standard Potential Impact Organizations require more in-depth information to guide decision making. To this end, it is important for them as much as possible to engage national and local authorities, scientific experts and/or other knowledgeable stakeholders mandated for or specialized in the ecosystem conservation, protection or restoration. Among such stakeholders include, but not limited to:

1. National Forestry Resources Research Institute (NaFORRI);
2. Wildlife Conservation Society
3. Relevant academic / research institutions such as Makerere University, including College of Natural Sciences (CONAS) and College of Agricultural and College of Veterinary Medicine, Animal Resources and Bio-safety (COVAB)
4. Ministry of Wildlife, Tourism and Antiquities, including the Department of Wildlife Management, Uganda Wildlife Authority, Uganda Tourism Board
5. Ministry of Agriculture, Animal Industry and Fisheries (Plant Protection);
6. Ministry of Energy and Minerals Development;
7. Ministry of Water and Environment, including National Environment Authority, national Forestry Authority, Forestry Sector Support Department,
8. Uganda Revenue Authority
9. Uganda Road Authority
10. World Wide Fund for Nature (WWF) Uganda Office
11. International Union for Nature (IUCN) Uganda
12. Nature Uganda
13. CARE International in Uganda
14. Certified and Registered Environmental Practitioners in Uganda
15. Focal Points for UN Conventions, eg. CBD (NEMA)
16. Engagement* with indigenous peoples*, local communities* and affected stakeholder* and interested stakeholder*
17. Consultation with other relevant local and regional experts;

The following are some of the documented sources of information that are useful.

1. Uganda Forest Nature Conservation Master Plan
2. Forest biodiversity reports
3. Local Forestry Development Plans
4. District Environment Plans
5. State of Environment Reports
6. A Guide to the Management of Tropical Moist Forest For Timber Production" for pre-harvesting inventory (compulsory within CFR)
7. Specialized studies
8. Field surveys
9. National HCV Framework for Uganda;
10. HCV surveys of the Management Unit*
11. Relevant databases and maps;

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

Low Potential Impact Organizations,

For the Low Potential Impact Organizations, Best Available Information includes what the manager knows and observes, and what he/she learns from neighbours or stakeholders, together with existing assessments and mapping. To this end, the sources of Best Available Information include, but not limited to:

1. Qualifications, competences and experience of the managers;
2. Engagement* with indigenous peoples*, local communities* and affected stakeholder* and interested stakeholder*
3. Consultation with other relevant local and regional experts;
4. Guidelines and codes of practice in place (See Annex A), e.g. Guidelines for Management of Private Natural Forests In Uganda, Guidelines for plantation management, etc