

	<b>SGS QUALIFOR</b> (Associated Documents)	Number:	<b>AD 33-08</b>
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## SGS QUALIFOR

### FSC FOREST MANAGEMENT STANDARD

#### (FSC-STD-UGA-01-2017 EN)

This checklist presents the SGS Qualifor template for forest certification against the FSC Principles and Criteria. The Checklist reflects the requirements set out in FSC-STD-60-004 V2-0 EN (International Generic Indicators) as adapted for the relevant country.

This standard forms the basis for:

- Scoping assessment
- Certification assessment
- Surveillance assessment
- Information to stakeholders on the assessment criteria used by SGS Qualifor

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**CHANGES SINCE THE PREVIOUS VERSION OF THE STANDARD**

Section	Change	Date
	Changes throughout	01/03/2019

**LAYOUT OF THE STANDARD:**

The standard follows the FSC Principles and Criteria of Forest Stewardship (January, 2000). The Standard is divided into 10 sections, each corresponding to one of the FSC principles with the criteria listed underneath each principle. Refer below for further clarification.

Each page of the standard is divided into 3 columns. The standard also serves as the checklist that is used during an assessment and for every criterion the following is provided:

<b>The Qualifor Requirement: Indicator</b>	This outlines the norm or indicators that Qualifor requires for compliance with the specific FSC criterion. A potential source of information or evidence that allows an auditor to evaluate compliance with an indicator. Some indicators make a distinction between the requirements for “normal” forests and SLIMF operations (Small and Low Intensity Managed Forests).
<b>Verifiers</b>	<b>Verifiers</b> are examples of what the SGS assessor will look for to ascertain if the specific norm or indicator has been met. This list is not exhaustive and the assessor may use other means of verifying the relevant indicator.
<b>Guidance</b>	<b>Guidance</b> is written in <i>italics</i> and assists the assessor in understanding the requirement of the specific indicator.

**PRINCIPLE 1: COMMUNITY RELATIONS AND WORKER’S RIGHTS:** Forest management operations shall maintain or enhance the long-term social and economic well being of forest workers and local communities.

**Criterion 4.1: The communities within, or adjacent to, the forest management area should be given opportunities for employment, training, and other services**

<p><b>Indicator 4.1.6</b></p> <p><b>Policies and procedures and the implementation thereof make qualifications, skills and experience the basis for recruitment, placement, training and advancement of staff at all levels</b></p> <p><b><u>SLIMF:</u></b>  <b>Employees are not discriminated in hiring, advancement, dismissal remuneration and employment related to social security</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p><i>No evidence of discrimination on the basis of: race, colour, culture, sex, age, religion, political opinion, national extraction or social origin</i></p> <p>Employment policies and procedures.</p> <p>Interviews with Forest Managers, workers and Labor Union representatives.</p> <p><b><u>SLIMF:</u></b>                  Interviews with workers and contractors</p>
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**The year of the evaluation**

**The SGS Qualifor Indicator**

**The SGS Qualifor observation i.t.o. the indicator**

**The SGS Qualifor verifier**

**The FSC Principle**

**The FSC Criterion**

**An SGS Qualifor Guideline (Italics)**

## THE STANDARD - FSC-STD-UGA-01-2017 EN

### PRINCIPLE 1. COMPLIANCE WITH LAWS:

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

**Criterion 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.

#### Indicator 1.1.1

**Legal registration\* to carry out all activities within the scope of the certificate is documented and unchallenged.**

#### Verifiers & Guidance:

##### Verifiers:

Documents of legal registration, which may include: Certificate of Incorporation (for Companies).

##### Comments / Guidance:

1. Ref: The Companies Act, 1961
2. 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
3. Legal registration to operate as an enterprise is done through the Registrar of companies, NGO Registration Board, or Local Governments
4. Mandates of statutory bodies are 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

#### Indicator 1.1.2

**Legal registration\* is granted by a legally competent\* authority, according to legally prescribed processes**

#### Verifiers & Guidance:

##### Verifiers:

- Evidence that the issuing body and signatory are legally authorized
- Documents of legal registration, OR
- Statutory Instrument prescribing mandate

##### Guide:

1. Legal registration to operate as an enterprise is done through the Registrar of companies, NGO Registration Board, or Local Governments
2. For CFRs, the NFTP defines the mandate of NFA as the responsible body
3. For LFRs, the NFTP defines local governments as responsible bodies
4. For Community Based Organisations: registration with the relevant District
5. For private individuals: The NFTP (2003) encourages the private forest owners to register with the respective District Land Boards

<b>Criterion 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.</b>	
<b>Indicator 1.2.1</b>	<b>Verifiers &amp; Guidance:</b>  <b>Verifiers</b> <ul style="list-style-type: none"> <li>• Statutory Instrument</li> <li>• Land titles</li> <li>• Certificates of customary ownership of land</li> <li>• Licenses</li> <li>• agreements, and confirmation letters from local authorities</li> <li>• Consultations with the Organization's workers and relevant stakeholders</li> </ul> <b>Reference:</b> <ul style="list-style-type: none"> <li>• The Forest Reserves Declaration Order, 1998 (Schedule I: Central Forest Reserves; Schedule II Local Forest Reserves),</li> <li>• For private forests: The National Forestry and Tree Planting Act, Articles 21 (for private natural forest) and 22 (for private plantation forests).</li> </ul>
<b>Legal* tenure* to manage and use resources within the scope of the certificate is documented.</b>	
<b>Indicator 1.2.2</b>	<b>Verifiers &amp; Guidance:</b>  <b>Verifiers</b> <ul style="list-style-type: none"> <li>• Land titles</li> <li>• Certificates of customary ownership</li> <li>• Licenses,</li> <li>• agreements, and confirmation letters from local authorities</li> <li>• Consultations with the Organization's workers and relevant stakeholders</li> </ul> <b>Comments</b>  Different responsible bodies for the different forest categories are as follows (Ref NFTP): <ul style="list-style-type: none"> <li>• National Forestry Authority - For Central Forest Reserves,</li> <li>• Respective local government councils for Local Forest Reserves under their jurisdiction,</li> <li>• For community forests – a body declared by the Minister to manage the specified forest</li> <li>• For private forests: the forest owner or person in charge of the forest</li> </ul>
<b>Legal* tenure* is granted by a legally competent* authority according to legally prescribed processes.</b>	
<b>Indicator 1.2.3 (a)</b>	<b>Verifiers &amp; Guidance:</b>  <b>Verifiers</b> <ul style="list-style-type: none"> <li>• boundary plan maps</li> <li>• Forest Management Plans</li> <li>• observation of boundary marks on the ground (cairns, live markers, direction trenches)</li> </ul>
<b>The boundaries of all Management Units* within the scope of the certificate are clearly documented and shown on maps.</b>	

	<ul style="list-style-type: none"> <li>interviews with the Organization's workers and other stakeholders</li> </ul> <p><b>Guidance</b></p> <ul style="list-style-type: none"> <li>Boundary description and maps are a requirement in a Forest Management Plan provided for under the NFTP.</li> <li>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)</li> </ul>
<p><b>Indicator 1.2.3 (b)</b></p> <p><b>The boundaries of all Management Units* within the scope of the certificate are clearly marked on the ground.</b></p>	<p><b>Verifiers &amp; Guidance:</b></p> <p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>Observation of boundary marks on the ground (cairns, live markers, direction trenches)</li> <li>Interviews with the Organization's workers and other stakeholders</li> </ul> <p><b>Guidance</b></p> <ul style="list-style-type: none"> <li>Legal obligation based on Management Plan (sect 28) and sect 81(b) of the NFTP which imply that managed forests have boundary marks; and guided by the Departmental Standing Orders (1997), as saved in the NFTP and the regulations thereof</li> <li>Clear marking and maintenance of the boundary on the ground is a good practice that addresses possible conflicts with neighbours and eases management</li> </ul>
<p><b>Criterion 1.3</b>     <b><i>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.</i></b></p>	
<p><b>Indicator 1.3.1</b></p> <p><b>All activities covered by the Management Plan, including the harvest of products and/or supply of ecosystem services*, are carried out in compliance with:</b></p> <ol style="list-style-type: none"> <li>Applicable laws* and regulations and administrative requirements,</li> <li>Obligatory codes of practice, and</li> <li>Legal* and customary rights*</li> </ol>	<p><b>Verifiers &amp; Guidance:</b></p> <p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>The Forest Management Plan and operational plans</li> <li>Policies, operational procedures and standards.</li> <li>Licence and permits</li> <li>Interviews with Organization's workers and other stakeholders</li> <li>Field observations</li> </ul> <p><b>Guidance</b></p> <p>See Annex A on applicable laws, regulations and administrative requirement and codes of practice</p>
<p><b>Indicator 1.3.2</b></p> <p><b>Payment is made in a <i>timely manner*</i> of all applicable legally prescribed charges connected with <i>forest*</i> management.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>Invoices, tax returns, receipts.</li> <li>Books of Accounts</li> <li>Interviews with the Organization's workers and other stakeholders</li> </ul> <p><b>Guidance</b></p> <p>Legally prescribed charges include:</p>

	<ul style="list-style-type: none"> <li>• Licence fees</li> <li>• Royalty fees</li> <li>• Land rent fees</li> <li>• Forest fees as prescribed in legal instrument 7 of 2000</li> <li>• Forest produce fees and Licenses Order – SI No. 16 of 2000</li> <li>• URA taxes (income tax, pay as you earn, Value added tax, withholding tax, etc.) as may be applicable</li> <li>• National Social Security Fund</li> </ul>
<b>Criterion 1.4</b>	<b><i>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.</i></b>
<b>Indicator 1.4.1 (a)</b>	<b>Verifiers &amp; Guidance:</b>
<b>Measures are implemented to provide <i>protection*</i> from unauthorized or illegal harvesting, hunting, fishing, trapping, collecting, settlement and other unauthorized activities.</b>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• A documented Forest protection Strategy</li> <li>• Records tracking various illegal activities</li> <li>• Field observations</li> <li>• interviews with Organization’s workers and other stakeholders</li> <li>• Reports (monthly, situational, field visit reports, etc.)</li> </ul> <p><b>Guidance</b></p> <p>Illegal or prohibited activities are described in the NFTP Act, and other laws</p>
<b>Indicator 1.4.1 (b)</b>	<b>Verifiers &amp; Guidance:</b>
<b>For LIO and SLIMF Measures to control, monitor and prevent illegal and unauthorized activities on the Management Unit are in place and implemented</b>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Field observations</li> <li>• interviews with stakeholders</li> <li>• A record on collaborative activities</li> <li>• Interviews with Organization’s worker’s, regulatory bodies and other stakeholders</li> </ul>
<b>Indicator 1.4.2</b>	<b>Verifiers &amp; Guidance:</b>
<b>Where <i>protection*</i> is the <i>legal*</i> responsibility of regulatory bodies, a system is implemented to work with these regulatory bodies to identify, report, control and discourage unauthorized or illegal activities.</b>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• A record on collaborative activities</li> <li>• Interviews with Organization’s worker’s, regulatory bodies and other stakeholders</li> </ul> <p><b>Guidance</b></p>

	<ul style="list-style-type: none"> <li>• The Ministry responsible for forestry is responsible for regulation and overall oversight of forestry sector</li> <li>• NFA is responsible for the management of CFRs</li> <li>• UWA is responsible for management of wildlife resources both inside and outside protected areas</li> <li>• Local governments are responsible for LFRs and decentralized forestry functions</li> <li>• NEMA is responsible for regulating environmental management</li> </ul>
<p><b>Indicator 1.4.3</b></p> <p>If illegal or unauthorized activities are detected, measures are implemented to address them.</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Documented evidence</li> <li>• Interviews with Organization's workers, regulatory bodies and other stakeholders</li> </ul>
<p><b>Criterion 1.5</b>     <i>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.</i></p>	
<p><b>Indicator 1.5.1</b></p> <p>Compliance with applicable national laws*, local laws*, ratified* international conventions and obligatory codes of practice* relating to the transportation and trade of forest products up to the point of first sale is demonstrated.</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Records on compliance</li> <li>• receipts,</li> <li>• Produce Movement Permits,</li> <li>• field observations</li> <li>• interviews with stakeholders</li> </ul> <p><b>Guidance</b></p> <ol style="list-style-type: none"> <li>1. Ref: Annex A</li> <li>2. The NFTP Regulations provides requirements along the chain of custody</li> <li>3. The following documents are important in tracking the chain of custody: <ul style="list-style-type: none"> <li>• License to harvest;</li> <li>• Forest Produce Declaration Form;</li> <li>• Receipt indicating payment for the produce;</li> <li>• the coding of the timber (using a hammer to number identification numbers)</li> <li>• The Forest Produce Movement Permit.</li> </ul> </li> </ol>
<p><b>Indicator 1.5.2</b></p> <p>Compliance with CITES provisions is demonstrated, including through possession of certificates for harvest and trade in any CITES species.</p>	<p><b>Verifiers &amp; Guidance:</b></p> <p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Lists of CITES plants and animals, (see Annex A)</li> <li>• Evidence of protection of CITES species</li> </ul>

	<ul style="list-style-type: none"> <li>Interviews with the Organization's workers and other stakeholders</li> </ul> <p>Guidance</p> <ol style="list-style-type: none"> <li>See Annex A (Part IV) for the list of CITES species in Uganda</li> <li>The Ministry of Wildlife, Tourism and Antiquities is responsible for the management of CITES;</li> <li>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)</li> </ol>
<p><b>Criterion 1.6</b>     <i>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*.</i></p>	
<p><b>Indicator 1.6.1 (a)</b></p>	<p><b>Verifiers &amp; Guidance:</b></p>
<p>A publicly available dispute resolution mechanism is in place; developed through culturally appropriate engagement with affected stakeholders</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>Documented dispute resolution mechanism</li> <li>Evidence of public availability of document</li> <li>Records of engagements</li> </ul> <p><b>Comment:</b> Where CFM processes exist the CFM agreements are expected to have a provision for conflict resolution</p>
<p><b>Indicator 1.6.1 (b)</b></p>	<p><b>Verifiers &amp; Guidance:</b></p>
<p>For LIO and SLIMF Dispute resolution is implemented through the locally accepted practices</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>Records / reports</li> <li>Interviews with stakeholders</li> </ul> <p><b>Guidance:</b> 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 are called in.</p>
<p><b>Indicator 1.6.2</b></p>	<p><b>Verifiers &amp; Guidance:</b></p>
<p>Disputes related to issues of applicable laws or customary law that can be settled out of court are responded to in a timely manner, and are either resolved or are in the dispute resolution process</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>Documentary evidence</li> </ul>



	<ul style="list-style-type: none"> <li>Interviews with the Organizations workers and other stakeholders</li> </ul>
<b>Indicator 1.6.3</b>	<b>Verifiers &amp; Guidance:</b>
<p>Up to date record of disputes related to issues of applicable laws* or customary law, are held including:</p> <ol style="list-style-type: none"> <li>Steps taken to resolve <i>disputes*</i>;</li> <li>Outcomes of all <i>dispute*</i> resolution processes; and</li> <li>Unresolved <i>disputes*</i>, the reasons why they are not resolved, and how they will be resolved.</li> </ol>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>Documented records of the disputes</li> <li>Interviews with stakeholders</li> </ul>
<b>Indicator 1.6.4</b>	<b>Verifiers &amp; Guidance:</b>
<p>Operations cease in areas where disputes involving the following exist:</p> <ol style="list-style-type: none"> <li>Ownership and management rights of the resource is disputed</li> <li>The safety of workers or local communities is threatened</li> <li>Court has issued an injunction</li> </ol>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>Interviews with Organization's workers and consultation with representatives of local communities, local government officials, traditional leaders and other opinion leaders.</li> <li>Complete record of a history of disputes</li> </ul> <p><b>Guidance:</b> The indicator identifies the three key areas where disputes exist of:</p> <ol style="list-style-type: none"> <li>Substantial magnitude;</li> <li>Substantial duration, or</li> <li>Involves significant numbers of interest</li> </ol>
<b>Criterion 1.7</b>	<b><i>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.</i></b>
<b>Indicator 1.7.1 (a)</b>	<b>Verifiers &amp; Guidance:</b>
<p>A policy is implemented that includes a commitment not to offer or receive bribes of any description.</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>Policy statement</li> <li>Interview with Organization's workers</li> <li>Interview stakeholders</li> </ul> <p><b>Guidance</b></p> <ol style="list-style-type: none"> <li>Refer to the Anti-Corruption Act (2009)</li> <li>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 &amp; taxes; under-declaration of forest produce (sizes, quantities,</li> </ol>

	species), illegal harvesting in FRs and marketing produce, among others
<b>Indicator 1.7.1 (b)</b>	<b>Verifiers &amp; Guidance:</b>
<b>For LIO and SLIMFs</b> <b>A policy statement against corruption is included in the Management Plan and is implemented</b>	<b>Verifiers</b> <ul style="list-style-type: none"> <li>• FMP</li> <li>• Interview with other stakeholders</li> <li>• Interview with Organization's workers</li> </ul> <b>Guidance</b> In Uganda, the points in operations where corruption is likely to occur include <ul style="list-style-type: none"> <li>• getting a license to plant in FRs;</li> <li>• payment of the necessary fees &amp; taxes;</li> <li>• under-declaration of forest produce (sizes, quantities, species),</li> <li>• illegal harvesting in FRs and</li> <li>• marketing forest produce, among others</li> </ul>
<b>Indicator 1.7.2</b>	<b>Verifiers &amp; Guidance:</b>
<b>The policy or statement meets or exceeds related legislation.</b>	<b>Verifiers</b> <ul style="list-style-type: none"> <li>• Policy or statement</li> <li>• Interview with Organization's workers</li> </ul> <b>Guidance</b> Refer to Annex A on laws related to corruption
<b>Indicator 1.7.3</b>	<b>Verifiers &amp; Guidance:</b>
<b>The policy or statement is publicly available at no cost</b>	<ul style="list-style-type: none"> <li>• Evidence of public availability</li> </ul>
<b>Indicator 1.7.4</b>	<b>Verifiers &amp; Guidance:</b>
<b>Bribery, coercion and other acts of corruption do not occur.</b>	<b>Verifiers</b> <ul style="list-style-type: none"> <li>• Audit and monitoring reports</li> <li>• Interviews with the Organization's workers and other stakeholders</li> <li>• Record of relevant legal or administrative proceedings</li> </ul>
<b>Indicator 1.7.5</b>	<b>Verifiers &amp; Guidance:</b>
<b>Corrective measures are implemented if corruption does occur.</b>	<b>Verifiers</b> <ul style="list-style-type: none"> <li>• Documented evidence of the corrective measures</li> </ul>

	<p>applied</p> <ul style="list-style-type: none"> <li>• Audit reports</li> <li>• Interview with the stakeholders</li> <li>• Interview with Organization's workers</li> </ul> <p><b>Guidance</b></p> <ul style="list-style-type: none"> <li>• Documented evidence and audit reports may not be required for the LIOs and SLIMFs</li> </ul>
<b>Criterion 1.8</b>	<b><i>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.</i></b>
<b>Indicator 1.8.1</b>	<b>Verifiers &amp; Guidance:</b>
A written policy, endorsed by an individual with authority to implement the policy, includes a <i>long-term*</i> commitment to <i>forest*</i> management practices consistent with <i>FSC Principles*</i> and <i>Criteria*</i> and related Policies and Standards.	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Written policy with appropriate statement is available</li> <li>• Evidence of public display and dissemination of policy</li> <li>• Interviews with Organization's workers, and stakeholders</li> </ul> <p><b>Guidance</b></p> <p><b><i>For LIOs and SLIMFs</i></b> A statement in a Management Plan committing the Organization to FSC Principles, Criteria, related policies and standards is sufficient</p>
<b>Indicator 1.8.2</b>	<b>Verifiers &amp; Guidance:</b>
The policy is <i>publicly available*</i> at no cost.	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Evidence of public availability</li> </ul>
<b>PRINCIPLE 2: WORKERS** RIGHTS AND EMPLOYMENT CONDITIONS:</b>	
<b><i>The Organization* shall* maintain or enhance the social and economic wellbeing of workers*.</i></b>	
<b>Criterion 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.</b>	
<b>Indicator 2.1.1</b>	<b>Verifiers</b>
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"> <li>• Policies</li> <li>• Interviews with workers and labour organizations</li> <li>• Workers' contracts</li> </ul> <p><b>Guidance</b></p> <p>Refer to Annex A (part III) on laws related to workers' rights and employment conditions</p>
<b>Indicator 2.1.2</b>	<b>Verifiers</b>

<p><b>Workers are able to establish or join labour organizations of their own choosing subject only to the rules of the labour organization concerned.</b></p>	<ul style="list-style-type: none"> <li>• Workers committees</li> <li>• Minutes of meetings for workers</li> <li>• Minutes of joint meetings between workers and Management</li> </ul> <p><b>Guidance</b></p> <ol style="list-style-type: none"> <li>1. Implementation of Article 5 of the Convention concerning Freedom of Association and Protection of the right to organize Convention (1948, No. 87).</li> </ol> <p>Ref: Annex A (Part III) on the 8 ILO Conventions and the Labour Union Act (2006).</p> <ol style="list-style-type: none"> <li>2. No specific Union branches exist for the forest sector in Uganda. But there are possibilities to join the National Organization of Trade Unions (NOTU).</li> </ol>
<p><b>Indicator 2.1.3 (a)</b></p>	<p><b>Verifiers</b></p>
<p><b>Agreements are implemented resulting from collective bargaining with formal and informal workers organization.</b></p>	<ul style="list-style-type: none"> <li>• Evidence of agreements being implemented</li> <li>• Interviews with Organization's workers and Labour Union representatives, CSOs and local authorities <ul style="list-style-type: none"> <li>• Copy of agreements</li> </ul> </li> </ul> <p><b>Guidance</b></p> <ul style="list-style-type: none"> <li>• Implementation of the Right to Organize and Collective Bargaining Convention, 1949 (No. 98)</li> <li>• Ref: Annex A (Part III) on the 8 ILO Conventions</li> <li>• Ref Sec 3 (c) and Sec 24 (1) (d) of the Labour Unions Act (2006)</li> </ul>
<p><b>Indicator 2.1.3 (b)</b></p>	<p><b>Verifiers</b></p>
<p><b>Forced or compulsory labour in all its forms is not used in all operations</b></p>	<ul style="list-style-type: none"> <li>• Interviews with Organization's workers and Labour Union representatives, CSOs and local authorities</li> </ul> <p><b>Guidance</b></p> <ol style="list-style-type: none"> <li>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</li> <li>2. Ref Sec 5 of the Employment Act (2006)</li> </ol>
<p><b>Indicator 2.1.3 (c)</b></p>	<p><b>Verifiers</b></p>
<p><b>Children under the age of twelve years are not employed.</b></p>	<ul style="list-style-type: none"> <li>• Interviews with Organization's worker's and Labour Union representatives, CSOs and local authorities</li> <li>• Specialized study reports if any</li> <li>• Field observations</li> </ul> <p><b>Guidance</b></p> <ol style="list-style-type: none"> <li>1. Implementation of the Minimum Age Convention 1973 (No. 138)</li> <li>2. Ref: Annex A (Part III) on the 8 ILO Conventions and Sec. 32 of the Employment Act (2006)</li> </ol>
<p><b>Indicator 2.1.3 (d)</b></p>	<p><b>Verifiers</b></p>
<p><b>A child at the age of fifteen (15) 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</b></p>	<ul style="list-style-type: none"> <li>• Interviews with Organization's worker's and Labour Union representatives, CSOs and local authorities</li> <li>• Specialized study reports if any</li> <li>• Field observations</li> </ul> <p><b>Guidance</b></p>

	<ol style="list-style-type: none"> <li>1. Implementation of the Minimum Age Convention 1973 (No. 138)</li> <li>2. Ref: Annex A (III) on the 8 ILO Conventions and Sec. 32 of the Employment Act (2006)</li> </ol>
<b>Criterion 2.2</b>	
<b>The Organization shall promote gender equality in employment practices, training opportunities, awarding of contracts, processes of engagement and management activities.</b>	
<b>Indicator 2.2.1 (a)</b>	<b>Verifiers</b>
<b>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.</b>	<ul style="list-style-type: none"> <li>• Policies, including the Human Resource Manual</li> <li>• Program / plans for implementing policies</li> <li>• Interviews with Organization*'s worker*s and labour union representatives, CSOs, local authorities</li> </ul> <p><b>Guidance</b> Ref: Annex A, and Sec 6 of the Employment Act (2006)</p>
<b>Indicator 2.2.1 (b)</b>	<b>Verifiers</b>
<b>For LIOs and SLIMF There is commitment to promoting gender equity and preventing discrimination in management operations</b>	<ul style="list-style-type: none"> <li>• Interviews with the Organization's workers and other stakeholders</li> <li>• Field observations</li> </ul> <p><b>Guidance</b> Ref: Annex A, and Sec 6 of the Employment Act (2006)</p>
<b>Indicator 2.2.1 (c)</b>	<b>Verifiers</b>
<b>For LIOs and SLIMF Awarding of contracts and training opportunities is done without gender discrimination</b>	<ul style="list-style-type: none"> <li>• Interviews with the Organization's workers and other stakeholders</li> <li>• Field observations</li> </ul> <p><b>Guidance</b> Ref: Annex A, and Sec 6 of the Employment Act (2006)</p>
<b>Indicator 2.2.2</b>	<b>Verifiers</b>
<b>Job opportunities are open to both women and men under the same conditions, and women are encouraged to participate actively in all levels of employment</b>	<ul style="list-style-type: none"> <li>• Policies, including the Human Resource Manual</li> <li>• Interviews with Organization*'s worker*s and labour union representatives, CSOs, local authorities.</li> <li>• Evidence that adverts encourage both women and men to apply</li> </ul>
<b>Indicator 2.2.3</b>	<b>Verifiers</b>
<b>Work typically carried out by women (nurseries, silviculture, Non-Timber Forest Product harvesting, weighing, packing, etc.) is included in training and health &amp; safety programs to the same extent as work typically carried out by men</b>	<ul style="list-style-type: none"> <li>• Training program</li> <li>• Interviews with workers</li> <li>• Training Reports (for large FMUs)</li> </ul>

<b>Indicator 2.2.4</b>	<b>Verifiers</b>
<b>Women and men are paid the same wage when they do the same work.</b>	<ul style="list-style-type: none"> <li>• Pay rolls</li> <li>• Interviews with the Organization's workers</li> </ul>
<b>Indicator 2.2.5</b>	<b>Verifiers</b>
<b>Women are paid directly and using mutually agreed methods (e.g. direct bank transfer, direct payments for school fees, etc.) to ensure they safely receive and retain their wages.</b>	<ul style="list-style-type: none"> <li>• Evidence of direct payment to women</li> <li>• Interviews with the organization's workers</li> </ul>
<b>Indicator 2.2.6</b>	<b>Verifiers</b>
<b>Maternity leave is no less than sixty working days in line with section 56 of the Employment Act (2006).</b>	<ul style="list-style-type: none"> <li>• Human Resource Manual (for large FMUs)</li> <li>• Interviews with the Organization's workers</li> <li>• Evidence of approval of maternity leave</li> <li>• Employment contracts</li> </ul> <p><b>Guidance</b></p> <ul style="list-style-type: none"> <li>• The Organization shall comply with Sec 56 of the Employment Act (2006)</li> </ul>
<b>Indicator 2.2.7</b>	<b>Verifiers</b>
<b>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 in line with section 57 of the Employment Act (2006)</b>	<ul style="list-style-type: none"> <li>• Human Resource Manual (for large FMUs)</li> <li>• Interviews with the Organization's workers</li> <li>• Evidence of approval of paternity leave</li> <li>• Employment contracts</li> </ul> <p><b>Guidance</b></p> <ul style="list-style-type: none"> <li>• The Organization shall comply with Sec 57 of the Employment Act (2006)</li> </ul>
<b>Indicator 2.2.8</b>	<b>Verifiers</b>
<b>Meetings, management committees and decision-making forums are organized to include women and men, and to facilitate the active participation of both.</b>	<ul style="list-style-type: none"> <li>• Record of meetings and decision making forums</li> <li>• Interview with the Organization's workers</li> </ul>
<b>Indicator 2.2.9</b>	<b>Verifiers</b>
<b>Confidential and effective mechanisms exist for reporting and eliminating cases of sexual harassment and discrimination based on the grounds of sex, gender, marital status, parenthood or any other such grounds</b>	<ul style="list-style-type: none"> <li>• Organizational policy and guidelines</li> <li>• Structures to address the reported cases</li> <li>• Interviews with the Organization's workers</li> </ul> <p><b>Guidance – Refer to</b></p> <ul style="list-style-type: none"> <li>• Articles 21, 24, 31, 32, 33 and 34 of the Constitution of the Republic of Uganda (1995), as amended 2005</li> <li>• Sections 6 and 7 of the Employment Act, 2006</li> </ul>

	<ul style="list-style-type: none"> <li>Sections 145, 146, 147 and 148 of the Penal Code Act</li> </ul>
<p><b>Criterion 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.</b></p>	
<p><b>Indicator 2.3.1 (a)</b></p> <p>Health and safety practices are developed and implemented that meet or exceed the ILO Code of Practice on Safety and Health in Forestry Work</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>Documented H&amp;S Strategy</li> <li>A record of health care services provided to workers</li> <li>Interviews with the Organization's workers</li> <li>Field observations</li> </ul> <p><b>Guidance</b></p> <ul style="list-style-type: none"> <li>Ref Sec 13 and 14 of the Occupational Safety and Health Act (2006)</li> </ul>
<p><b>Indicator 2.3.1 (b)</b></p> <p>For LIOs and SLIMF</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>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>Interviews with the Organization's workers</li> <li>Interview with other stakeholders</li> <li>Field observations</li> </ul> <p><b>Guidance</b></p> <ol style="list-style-type: none"> <li>Ref Sec 13 and 14 of the Occupational Safety and Health Act (2006)</li> </ol>
<p><b>Indicator 2.3.2</b></p> <p>Workers have personal protective equipment appropriate to their assigned tasks.</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>Records</li> <li>Interviews with workers</li> <li>Observation</li> </ul> <p><b>Guidance</b></p> <ol style="list-style-type: none"> <li>Ref to Sec 19 of the Occupational Safety and Health Act (2006)</li> <li>Ref to the Guideline, "Safety and Health in Forest Work", (ILO, 1998) 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 &amp; ear muffs</li> </ol>
<p><b>Indicator 2.3.3</b></p> <p>The Contracts of the Organization's workers includes compulsory and effective use of appropriate personal protective equipment is implemented when undertaking forest work.</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>Employment contract</li> <li>Evidence of measures to ensure compliance</li> <li>Interviews with workers</li> <li>Observation</li> </ul>

	<b>Guidance</b> Ref to Sec 19 of the Occupational Safety and Health Act (2006)
<b>Indicator 2.3.4 (a)</b>	<b>Verifiers</b>
<b>Records are kept on Health and Safety practices, including accident rates and lost time to accidents.</b>	<ul style="list-style-type: none"> <li>Records</li> <li>Reports of studies analyzing accidents</li> </ul>
<b>Indicator 2.3.4 (b)</b>	<b>Verifiers</b>
<b>For LIOs and SLIMF Records are kept on Health and Safety practices, including accidents</b>	<ul style="list-style-type: none"> <li>Records</li> </ul>
<b>Indicator 2.3.5</b>	<b>Verifiers</b>
<b>The frequency and severity of accidents are assessed and are consistently low in comparison with best available information</b>	<ul style="list-style-type: none"> <li>Records of types of accidents and their frequency</li> <li>Interviews with the Organization's workers and other stakeholders</li> </ul> <p><b>Guidance</b> Best available information can be derived from the Department of labour and labour unions</p>
<b>Indicator 2.3.6</b>	<b>Verifiers</b>
<b>The Health and Safety practices are reviewed regularly, after a major incident and at least annually</b>	<ul style="list-style-type: none"> <li>Up-dated Health and Safety Strategy</li> <li>Evidence of adaptive management with respect to health and safety</li> <li>Interviews with Organization's workers</li> </ul>
<b>Criterion 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.</b>	
<b>Indicator 2.4.1</b>	<b>Verifiers</b>
<b>Wages paid by The Organization in all circumstances meet or exceed legal minimum wage rates, where such rates exist.</b>	<ul style="list-style-type: none"> <li>Employment contracts</li> <li>Interviews with the workers</li> <li>Salary and wage structure</li> <li>Pay roll</li> <li>Labour-related studies</li> </ul> <p><b>Guidance</b> A Minimum wage of UGX 6,000 exists 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 Ugandan shillings no longer makes economic sense as the value of Ugandan shillings has been declining through government policy and inflation.</p>



<b>Indicator 2.4.2</b>	<b>Verifiers</b>
<p><b>Wages paid meet or exceed:</b></p> <ol style="list-style-type: none"> <li>1. <b>Minimum forest industry standards; or</b></li> <li>2. <b>Other recognized forest industry wage agreements; or</b></li> <li>3. <b>Living wage that is higher than legal minimum wage.</b></li> </ol>	<ul style="list-style-type: none"> <li>• Employment contracts</li> <li>• Salary and wage structure</li> <li>• Pay roll</li> <li>• Interviews with workers and other industry employers</li> </ul> <p><b>Guidance</b></p> <p>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>
<b>Indicator 2.4.3</b>	<b>Verifiers</b>
<p><b>When no minimum wage exists, wages are negotiated and agreed upon as part of the contract of service and / or through formal and informal workers organizations*.</b></p>	<ul style="list-style-type: none"> <li>• Interviews with workers</li> <li>• Salary and wage structure</li> <li>• Pay roll</li> <li>• Procedure used to determine wage rates</li> <li>• Interview with similar industry actors</li> </ul> <p><b>Guidance</b></p> <p>Ref Employment Act, 2006).</p>
<b>Indicator 2.4.4</b>	<b>Verifiers</b>
<p><b>Wages, salaries and contracts are paid on time.</b></p>	<ul style="list-style-type: none"> <li>• Policy statement on wages and salaries</li> <li>• Interviews with workers</li> <li>• Pay rolls</li> <li>• Records showing that workers are paid on time</li> <li>• Service Contract</li> </ul> <p><b>Guidance</b></p> <ol style="list-style-type: none"> <li>1. The issue of timelines depends on the employment contract, which states the conditions of employment</li> <li>2. Ref. Employment Act (2006)</li> </ol>
<p><b>Criterion 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.</b></p>	
<b>Indicator 2.5.1</b>	<b>Verifiers</b>
<p><b>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.</b></p>	<ul style="list-style-type: none"> <li>• Training program</li> <li>• Records of training events</li> <li>• Skills certificates</li> <li>• Field observation</li> <li>• Interviews of staff, contractors, workers and other stakeholder</li> </ul> <p><b>Guidance</b></p> <p>Refer to Annex B</p>

<b>Indicator 2.5.2</b>	<b>Verifiers</b>
<b>Up to date training records are kept for all relevant workers.</b>	<ul style="list-style-type: none"> <li>Records of training events</li> </ul>
<b>Criterion 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.</b>	
<b>Indicator 2.6.1 (a)</b>	<b>Verifiers</b>
<b>A dispute resolution process is in place, developed through culturally appropriate engagement with workers.</b>	<ul style="list-style-type: none"> <li>Documented dispute resolution process</li> <li>Human Resources Manual</li> <li>Conflict Management Policy</li> <li>Clauses for conflict resolution in employee contracts</li> <li>Interviews with Organization's workers and contractors</li> </ul> <p><b>Guidance:</b> 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>
<b>Indicator 2.6.1 (b)</b>	<b>Verifiers</b>
<b>For LIOs and SLIMF</b> <b>The contracts of service for the Organization's workers include dispute resolution process or procedure and provides for possible arbitration or available legal means in case of failure to settle to disputes amicably.</b>	<ul style="list-style-type: none"> <li>Contract of service</li> <li>Interviews with organization's workers</li> </ul> <p><b>Guidance:</b> Ref to the Labour Dispute (Arbitration and Dispute Settlement) Act, 2006.</p>
<b>Indicator 2.6.2</b>	<b>Verifiers</b>
<b>Workers grievances are identified and responded to and are either resolved or are in the dispute* resolution process.</b>	<ul style="list-style-type: none"> <li>Record of reported grievances (<i>For large FMUs</i>)</li> <li>Proceedings of how the grievances were dealt with</li> <li>Interviews with Organization's workers and other stakeholders</li> </ul>
<b>Indicator 2.6.3</b>	<b>Verifiers</b>
<b>Up to date records of workers grievances related to workers loss or damage of property, occupational diseases or injuries are maintained including:</b> <ol style="list-style-type: none"> <li><b>Steps taken to resolve grievances;</b></li> <li><b>Outcomes of all dispute resolution processes including fair compensation; and</b></li> <li><b>Unresolved disputes, the reasons they are not resolved, and how they will be resolved.</b></li> </ol>	<ul style="list-style-type: none"> <li>Record of reported grievances</li> <li>Interviews with Organization's workers, and contractors, workers and other stakeholders</li> </ul>

<p><b>Indicator 2.6.4</b></p> <p>Fair compensation is provided to workers for work-related loss or damage of property and occupational disease or injuries.</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Documented evidence of fair compensation</li> <li>• Interviews with workers and other stakeholders</li> </ul> <p><b>Guidance</b></p> <ul style="list-style-type: none"> <li>• Refer to the Workers Compensation Act (2000) and the related regulations</li> </ul>
<p><b>PRINCIPLE 3: INDIGENOUS PEOPLES' RIGHTS:</b></p> <p><i>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.</i></p>	
<p><b>Criterion 3.1</b> <i>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.</i></p>	
<p><b>Indicator 3.1.1</b></p> <p><i>Indigenous Peoples* that may be affected by management activities are identified.</i></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Documented internationally accepted process of identifying the indigenous peoples</li> <li>• Interviews with Organization*'s worker*s, affected stakeholders and other stakeholders</li> </ul> <p><b>Guidance</b></p> <ol style="list-style-type: none"> <li>1. Refer to the United Nations Declaration on the Rights of Indigenous Peoples</li> <li>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 National Park, and the Batwa from Semliki NP and North Rwenzori CFR. <b>See Glossary for the IPs of Uganda</b></li> </ol>
<p><b>Indicator 3.1.2 (a)</b></p> <p>Through <i>culturally appropriate* engagement* with the Indigenous Peoples* identified in 3.1.1, the following are documented and/or mapped:</i></p> <ol style="list-style-type: none"> <li>1) Their <i>legal* and customary rights* of tenure*</i>;</li> <li>2) Their <i>legal* and customary* access to, and use rights*, of the forest* resources and ecosystem services*</i>,</li> <li>3) Their <i>legal* and customary rights* and obligations that apply</i>;</li> <li>4) The evidence supporting these rights and obligations;</li> <li>5) Areas where rights are contested between <i>Indigenous Peoples*</i>, governments and/or others;</li> </ol>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Documented indigenous peoples rights and obligations that include (1) – (5)</li> <li>• Documented system of engagement</li> <li>• Forest Management Plans and maps</li> <li>• Interviews with representatives of indigenous peoples.</li> </ul> <p><b>Guidance:</b></p> <ol style="list-style-type: none"> <li>1. <b>“Culturally appropriate engagement”:</b> 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"> <li>• <u>Mobilization:</u> Prior information to the Ips is important – with a personal physical approach</li> </ul> </li> </ol>

<p>6) Summary of the means by which the <i>legal*</i> and <i>customary rights*</i> and contested rights, are addressed by <i>The Organization*</i>; and</p> <p>7) The aspirations and goals of <i>Indigenous Peoples*</i> related to management activities, <i>Intact Forest Landscapes*</i> and <i>Indigenous cultural landscapes*</i>.</p>	<p>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 should be appropriate.</p> <ul style="list-style-type: none"> <li>• <i>Conduct of the meeting:</i> 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.</li> <li>• <i>Documentation</i> – resolutions from the meetings should be summarized, recorded and read back to the participants. Attendance list kept.</li> <li>• <i>Formation of committees</i> to follow up the outcomes and act as a conduit for feedback actions. Share contacts for future information sharing. They can also be engaged in formal or informal groups that are led by their leaders and organized by the IP.</li> </ul> <p><b>2. Tenure rights – Land ownership:</b></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"> <li>• The Iks and Tepeth are still living in the CFRs.</li> <li>• 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.</li> <li>• 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 NGOs such as the Bwindi Kellermann Foundation, and the Bwindi/Mugahinga Conservation Trust.</li> </ul> <p><b>3. Obligations of IPs in forest management:</b></p> <p>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>
<p><b>Indicator 3.1.2 (b)</b></p> <p><b>For LIOs and SLIMFs</b></p> <p><b>Culturally appropriate ways of engaging the Indigenous Peoples are being practiced</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Interviews with indigenous people</li> </ul>

<b>Criterion 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.</b>	
<b>Indicator 3.2.1 (a)</b>	<b>Verifiers</b>
<b>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 to protect their rights, resources, lands and territories.</b>	<ul style="list-style-type: none"> <li>• Mutually agreed guidelines for engagement</li> <li>• Interviews with IPs and workers</li> <li>• Monitoring reports</li> <li>• Evidence of notices</li> </ul>
	<b>Guidance</b> The engagement process establishes the mechanism for feedback and consequent information flow, usually through a selected committee.
<b>Indicator 3.2.1 (b)</b>	<b>Verifiers</b>
<b>The engagement process establishes the mechanism for feedback and consequent information flow</b>	<ul style="list-style-type: none"> <li>• Interviews with the Organization's workers and other stakeholders</li> </ul>
<b>Indicator 3.2.1 (c)</b>	<b>Verifiers</b>
<b>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</b>	<ul style="list-style-type: none"> <li>• Feedback mechanism</li> <li>• Management Plans and Annual Work Plans</li> <li>• Revised policies and strategies</li> <li>• Monitoring reports</li> <li>• Interviews with IPs and other stakeholders</li> </ul>
<b>Indicator 3.2.2</b>	<b>Verifiers</b>
<b>The legal and customary rights of indigenous peoples are not violated by the Organization.</b>	<ul style="list-style-type: none"> <li>• Interviews with IPs and other stakeholders</li> <li>• Field observations</li> </ul>
	<b>Guidance</b> 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 shall not be extinguished
<b>Indicator 3.2.3</b>	<b>Verifiers</b>
<b>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.</b>	<ul style="list-style-type: none"> <li>• Interviews with the indigenous peoples and other stakeholders</li> <li>• Evidence of correction of violations</li> </ul>
<b>Indicator 3.2.4</b>	

<p>Free, prior and informed consent is granted by indigenous peoples prior to management activities that affect their identified rights through a process that includes:</p> <ol style="list-style-type: none"> <li>1) Ensuring indigenous peoples* know their rights and obligations regarding the resource;</li> <li>2) Informing the indigenous peoples* of the value, in economic, social and environmental terms, of the resource over which they are considering delegation of control;</li> <li>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</li> <li>4) Informing the indigenous peoples* of the current and future planned forest* management activities.</li> </ol>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Documented processes for achieving FPIC</li> <li>• Agreements signed in a public ceremony</li> <li>• Interviews with representatives of indigenous peoples.</li> </ul>
<p><b>Criterion 3.3</b> 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.</p>	
<p><b>Indicator 3.3.1</b></p> <p>Where control over 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>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Documented process of negotiating the agreement</li> <li>• Agreements signed by appointed representatives of the parties and witnesses in a public ceremony</li> <li>• Interviews with Organization's workers, representatives of indigenous peoples, and other stakeholders.</li> </ul>
<p><b>Indicator 3.3.2</b></p> <p>Records of binding agreements are maintained.</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Records of the Agreements maintained by all the parties involved</li> </ul>
<p><b>Indicator 3.3.3</b></p> <p>The binding agreement contains the provision for monitoring by Indigenous Peoples of The Organization's compliance with its terms and conditions.</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• The Binding Agreement</li> <li>• Evidence of monitoring by indigenous peoples</li> </ul>
<p><b>Criterion 3.4</b> 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).</p>	
<p><b>Indicator 3.4.1</b></p> <p>The rights, customs and culture of indigenous peoples as defined in UNDRIP and ILO Convention 169 are not violated by The Organization.</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Written commitment to implement UNDRIP and ILO Convention 169</li> <li>• Interviews with Organization's workers and other relevant stakeholders</li> </ul>

	<ul style="list-style-type: none"> <li>Field observations</li> </ul> <p><b>Guidance</b> Ref to the UNDRIP and ILO Convention No. 169</p>
<p><b>Indicator 3.4.2</b></p> <p><b>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.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>Records on violation and steps taken to restore IP rights</li> <li>Interviews with the IPs and other relevant stakeholders</li> <li>Monitoring reports</li> </ul>
<p><b>Criterion 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.</b></p>	
<p><b>Indicator 3.5.1</b></p> <p><b>Sites of special cultural, ecological, economic, religious or spiritual significance for which indigenous peoples hold legal or customary rights are identified through culturally appropriate engagement.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>Documented processes of engagement</li> <li>Record of identified sites</li> <li>Interviews with the Organization's workers, IPs and other stakeholders</li> <li>Field observation</li> </ul> <p><b>Guidance</b> Sites of special interest:</p> <ol style="list-style-type: none"> <li>For the Benets, <ul style="list-style-type: none"> <li>sites where they collect clay (or "white chalk") used in circumcision ceremonies;</li> <li>sites with salty water which is believed to have medicinal attributes for treating livestock;</li> <li>special caves for burials;</li> <li>rivers for various rituals; and</li> <li>The Kapkoros - the sites used for prayers, e.g. for rain and thanksgiving.</li> </ul> </li> <li>For the Ik and Tepeth: <ul style="list-style-type: none"> <li>forested areas referred to as "Akeriket" used as meeting places for elders - to resolve problems, conduct ceremonies and hold prayer;</li> <li>sites with salty water, which they believe heals skin diseases and bad omen;</li> <li>Caves - where rain-makers visit.</li> </ul> </li> <li>For the Batwa (or Basua) of Bundibugyo <ul style="list-style-type: none"> <li>The Hot-springs of Semliki</li> <li>The <i>Kigelia</i> trees, near which their dead are usually buried</li> </ul> </li> </ol>

<b>Indicator 3.5.2</b>	<b>Verifiers</b>
Measures to protect such sites are agreed, documented and implemented through culturally appropriate engagement with indigenous peoples. 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	<ul style="list-style-type: none"> <li>• Forest Management Plan</li> <li>• Implementation reports</li> <li>• Interviews with Organization's workers, IPs and other stakeholders</li> <li>• Field observations</li> </ul>
<b>Indicator 3.5.3</b>	<b>Verifiers</b>
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.	<ul style="list-style-type: none"> <li>• Records of new discoveries</li> <li>• Interviews with the Organization's workers, Indigenous Peoples and other stakeholder</li> <li>• Field observations</li> </ul> <p><b>Guidance Note:</b> 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 negotiations first between the Organization and the IPs once there is a new discovery.</p>
<b>Criterion 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.</b>	
<b>Indicator 3.6.1</b>	<b>Verifiers</b>
Traditional knowledge and intellectual property are protected and are only used when the acknowledged owner of that traditional knowledge and intellectual property have provided their Free, Prior and Informed Consent formalized through a binding agreement.	<ul style="list-style-type: none"> <li>• Documented indigenous knowledge</li> <li>• Documented process of engagement</li> <li>• Agreements</li> <li>• Interviews with Organization's workers, IPs and other stakeholders</li> </ul>
<b>Indicator 3.6.2</b>	<b>Verifiers</b>
Indigenous peoples are compensated according to the binding agreement reached through Free, Prior and Informed Consent for the use of traditional knowledge and intellectual property.	<ul style="list-style-type: none"> <li>• Copies of agreement endorsed and maintained by representatives of all parties involved</li> <li>• Evidence of compensation</li> </ul>



**PRINCIPLE 4: COMMUNITY RELATIONS**

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

**Criterion 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.**

**Indicator 4.1.1**

**Local communities that exist in the Management Unit and those that may be affected by management activities are identified.**

**Verifiers:**

- Documented internationally accepted process of identifying the local communities
- Interviews with Organization's workers, local communities and other stakeholders
- Interview reports

**Indicator 4.1.2 (a)**

**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 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.

**Verifiers:**

- 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.

**Guidance**

- In Uganda, the engagement process shall take into account:
- The varied nature of the communities even around one FMU
- Representation through methods agreeable to the communities

**Indicator 4.1.2 (b)****For LIOs and SLIMFs**

**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**

**Verifiers**

- Evidence of engagement with local communities
- Forest management Plan
- Interviews with the Organization's workers and other stakeholders
- Field observation

**Criterion 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.**

**Indicator 4.2.1**

<p>Through culturally appropriate engagement, local communities are informed of when, where and how they can comment on and request modification to management activities to the extent necessary to protect their rights.</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Mutually agreed guidelines for engagement</li> <li>• evidence that steps have been taken to address the views &amp; requests of the local communities and that feedback is provided in line with FPIC practices</li> <li>• Interviews with local communities and workers</li> <li>• Monitoring reports</li> <li>• Evidence of engagement</li> </ul>
<p><b>Indicator 4.2.2</b></p> <p>The legal and customary rights of local communities to maintain control over management activities are not violated by The Organization.</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• MoUs with local communities</li> <li>• Interviews with local communities and other stakeholders</li> <li>• Field observations</li> </ul> <p><b>Guide:</b> Ref: NFTPFA, which provides a right to communities to remove dry wood and bamboo from forest reserves free of any charges</p>
<p><b>Indicator 4.2.3</b></p> <p>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</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Evidence of correction of violations</li> <li>• Interviews with the local communities and other stakeholders</li> </ul>
<p><b>Indicator 4.2.4 (a)</b></p> <p>Free, prior and informed consent is granted by local communities prior to management activities that affect their identified rights through a process that includes:</p> <ol style="list-style-type: none"> <li>1. Ensuring local communities know their rights and obligations regarding the resource;</li> <li>2. Informing the local communities of the value, in economic, social and environmental terms, of the resource over which they are considering delegation of control;</li> <li>3. Informing the local communities of their right to withhold or modify consent to the proposed management activities to the extent necessary to protect rights, resources; and</li> <li>4. Informing the local communities of the current and future planned forest management activities;</li> </ol>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Documented processes for achieving FPIC</li> <li>• Agreements signed in a public ceremony</li> <li>• Interviews with representatives of local communities.</li> </ul>
<p><b>Indicator 4.2.4 (b)</b></p> <p>For <u>LIOs and SLIMFs</u></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Interviews with the Organization's workers and other stakeholders</li> </ul>

<p>The Organization and local communities have mutual agreement that requires:</p> <ol style="list-style-type: none"> <li>1. definition of legal and customary rights and responsibilities;</li> <li>2. planned management activities that could affect those rights; and</li> <li>3. Informing the local communities of their right to withhold or modify consent to the proposed management activities to the extent necessary to protect their rights and resources</li> </ol>	
<p><b>Criterion 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.</b></p>	
<p><b>Indicator 4.3.1 (a)</b></p> <p>Reasonable opportunities are communicated and provided to local communities, local contractors and local suppliers for:</p> <ol style="list-style-type: none"> <li>1) Employment,</li> <li>2) Training, and</li> <li>3) Other services</li> </ol>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Record of identification process for beneficiaries</li> <li>• Evidence of communication of opportunities</li> <li>• Interviews with the Organization’s workers, local communities and other stakeholders</li> </ul> <p><b>Guidance:</b></p> <p><i>LIOs</i> should give preference to local people and services, or, in the case of group certification, to group members</p> <p><b>High Potential Impact Organizations</b> 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 capacity and availability in the medium to long term</p>
<p><b>Indicator 4.3.1 (b)</b></p> <p>For <u>LIOs and SLIMFs</u></p> <p>Preference for employment and other services is given to local communities and local service providers</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Interviews with the Organization’s workers, local communities and other stakeholders</li> </ul>
<p><b>Criterion 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.</b></p>	
<p><b>Indicator 4.4.1 (a)</b></p> <p>Opportunities for local social and economic development are identified through culturally appropriate engagement with local communities and other relevant organizations.</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• A local social-economic Development Strategy</li> <li>• Interviews with the organization’s workers local communities and other stakeholders</li> </ul> <p><b>Guidance:</b></p> <p>The Development Plan should include activities that are:</p> <ol style="list-style-type: none"> <li>a) Requested by free and collective decisions of the local communities;</li> <li>b) Priorities for the communities;</li> </ol>

	<p>c) Sustainable in the long term;</p> <p>d) Beneficial to the local communities as a whole;</p> <p>e) Relevant to the poverty status of the local communities;</p> <p>f) Distributed equitably within the local communities.</p>
<b>Indicator 4.4.1 (b)</b>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Interviews with the organization's workers local communities and other stakeholders</li> </ul>
<p><b>For LIOs and SLIMFs</b></p> <p><b>Opportunities for local social and economic development are known by the Organization's workers and local communities</b></p>	
<b>Indicator 4.4.2 (a)</b>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Record of projects</li> <li>• Field observations</li> <li>• Interviews with local communities</li> </ul>
<p><b>Projects and additional activities are implemented and / or supported that contribute to local social and economic benefits and are proportionate to the socio-economic impact of management activities.</b></p>	
<b>Indicator 4.4.2 (b)</b>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Record of projects</li> <li>• Field observations</li> <li>• Interviews with the local communities</li> </ul>
<p><b>For LIOs and SLIMFs:</b></p> <p><b>Activities are implemented and / or supported that contribute to local social and economic benefits.</b></p>	
<p><b>Criterion 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.</b></p>	
<b>Indicator 4.5.1</b>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Record of engagement</li> <li>• Documented mitigation measures</li> <li>• Forest management plan</li> <li>• Interviews with the Organization's workers, local communities and other stakeholder</li> <li>• Routine monitoring Reports</li> <li>• Field Observations</li> </ul> <p><b>Guidance:</b></p> <p>The engagement includes, at a minimum:</p> <ul style="list-style-type: none"> <li>• Informing the affected communities in a proactive manner on their special rights related to FSC certified Management Units;</li> <li>• Providing capacity building to the affected communities to participate in impact assessment, FM planning and annual monitoring;</li> <li>• 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 participatory manner</li> </ul>
<p><b>Through culturally appropriate engagement with local communities, measures are implemented to identify, avoid and mitigate negative social, environmental and economic impacts of management activities.</b></p>	

<b>Criterion 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.</b>	
<b>Indicator 4.6.1 (a)</b>	<b>Verifiers</b>
<b>A publicly available dispute resolution process is in place, developed through culturally appropriate engagement with local communities.</b>	<ul style="list-style-type: none"> <li>• Documented process for dispute resolution</li> <li>• Evidence of public availability of the dispute resolution process</li> <li>• Interviews with the Organization's workers, local communities and other stakeholders</li> </ul>
<b>Indicator 4.6.1 (b)</b>	<b>Verifiers</b>
<b>For LIOs and SLIMFs</b> <b>A publicly available dispute resolution process is known to the Organization's workers and the local communities</b>	<ul style="list-style-type: none"> <li>• Interview with the Organization's workers and other stakeholders</li> </ul>
<b>Indicator 4.6.2</b>	<b>Verifiers</b>
<b>Grievances related to the impacts of management activities are responded to in a timely manner, and are either resolved or in the dispute resolution process.</b>	<ul style="list-style-type: none"> <li>• Processes and guidelines</li> <li>• Evidence of addressing grievances</li> <li>• Interviews with the Organization's workers, local communities and other stakeholders</li> </ul>
<b>Indicator 4.6.3</b>	<b>Verifiers</b>
<b>An up to date record of grievances related to the impacts of management activities is held including:</b> <ol style="list-style-type: none"> <li>1. Steps taken to resolve grievances</li> <li>2. Outcomes of all disputes resolution processes including fair compensation to local communities and individuals; and</li> <li>3. Unresolved disputes, the reasons they are not resolved and how they will be resolved.</li> </ol>	<ul style="list-style-type: none"> <li>• Record of grievances</li> <li>• Grievance response plan</li> </ul>
<b>Indicator 4.6.4</b>	<b>Verifiers</b>
<b>Operations cease in areas while disputes exist of:</b> <ol style="list-style-type: none"> <li>1. Substantial magnitude;</li> <li>2. Substantial duration;</li> <li>3. Involving a <i>significant</i>* number of interests</li> </ol>	<ul style="list-style-type: none"> <li>• Interviews with Organization**s worker*s</li> <li>• Interviews of other stakeholders</li> <li>• Complete record of a history of disputes</li> </ul>
<b>Criterion 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.</b>	
<b>Indicator 4.7.1 (a)</b>	

<p><b>Sites of special cultural, ecological, economic, religious or spiritual significance, for which local communities hold legal or customary rights are identified through culturally appropriate engagement, and are recognized by The Organization.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Documented processes of engagement</li> <li>• Record of identified sites</li> <li>• Interviews with the Organization’s workers, local communities and other stakeholders</li> <li>• Field observation</li> </ul>
<p><b>Indicator 4.7.1 (b)</b></p> <p><b>For LIOs and SLIMFs</b></p> <p><b>The Organization and communities have through a consultative and participative process identified sites of special cultural, ecological, economic, religious or spiritual significance, and documented them in the management plan</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Management Plan</li> </ul>
<p><b>Indicator 4.7.2 (a)</b></p> <p><b>Measures to protect such sites are agreed, documented and implemented through culturally appropriate engagement with local communities. When local communities determine that physical identification of sites in documentation or on maps would threaten the value or protection of the sites, then other means will be used.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Record of the identified measures</li> <li>• Forest Management Plan</li> <li>• Evidence of implementation</li> <li>• Interviews with Organization’s workers, local communities and other stakeholders</li> <li>• Field observations</li> </ul>
<p><b>Indicator 4.7.2 (b)</b></p> <p><b>For LIOs and SLIMFs</b></p> <p><b>Measures are in place to protect those sites from management impacts</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Interviews with the Organization’s workers and other stakeholders</li> <li>• Filed observation</li> </ul>
<p><b>Indicator 4.7.3</b></p> <p><b>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 national laws.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Evidence negotiations and mutual agreement</li> <li>• Interviews with the Organization’s workers, local communities and other stakeholder</li> <li>• Field observations</li> </ul>
<p><b>Criterion 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.</b></p>	
<p><b>Indicator 4.8.1</b></p> <p><b>Traditional knowledge and intellectual property are protected and are only used when the owners of the traditional knowledge and intellectual property have provided their Free, Prior and Informed Consent formalized through a binding agreement.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Documented indigenous knowledge</li> <li>• Documented process of engagement</li> <li>• Agreements</li> </ul>

	<ul style="list-style-type: none"> <li>Interviews with Organization's workers, local communities and other stakeholders</li> </ul>
<b>Indicator 4.8.2</b>	<b>Verifiers</b>
<b>Local communities are compensated according to the binding agreement reached through Free, Prior and Informed Consent for the use of traditional knowledge and intellectual property.</b>	<ul style="list-style-type: none"> <li>Copies of agreement endorsed and maintained by representatives of all parties involved</li> <li>Evidence of compensation</li> </ul>
<p><b>PRINCIPLE 5: BENEFITS FROM THE FOREST</b></p> <p><b>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.</b></p>	
<p><b>Criterion 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.</b></p>	
<b>Indicator 5.1.1</b>	<b>Verifiers</b>
<b>The range of resources and ecosystem services that could strengthen and diversify the local economy are identified.</b>	<ul style="list-style-type: none"> <li>Record of products and services</li> <li>Forest management plan</li> <li>Interviews with Organization's workers and other stakeholders</li> </ul> <p><b>Guidance:</b> Ecosystem services might include:</p> <ul style="list-style-type: none"> <li>(i) Purification of air and water</li> <li>(ii) Regulation of water flow</li> <li>(iii) Detoxification and decomposition of wastes</li> <li>(iv) Generation and renewal of soil and soil fertility</li> <li>(v) Pollination of crops and natural vegetation</li> <li>(vi) Control of agricultural pests</li> <li>(vii) Dispersal of seeds and translocation of nutrients</li> <li>(viii) Maintenance of biodiversity</li> <li>(ix) Partial climatic stabilization</li> <li>(x) Moderation of temperature extremes</li> <li>(xi) Wind breaks</li> <li>(xii) Support for diverse human cultures</li> <li>(xiii) Aesthetic beauty and landscape enrichment</li> </ul>
<b>Indicator 5.1.2</b>	<b>Verifiers</b>
<b>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.</b>	<ul style="list-style-type: none"> <li>Records of organizations involved in the production processes</li> <li>Interviews with Organization's workers and other stakeholders</li> <li>Forest Management Plan</li> </ul>

<p><b>Indicator 5.1.3</b></p> <p><b>When the Organization makes FSC promotional claims regarding the maintenance and/or enhancement of ecosystem services, a programme conforming to existing international best practices is developed and implemented.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• FMPs</li> <li>• Annual management plans</li> <li>• Interviews with the Organization’s workers and other stakeholders</li> <li>• Field observations</li> </ul> <p><b>Guidance:</b></p> <p>Principles and Concepts underpinning PES include:</p> <p>(i) <b>Voluntary:</b> stakeholders enter into PES agreements on a voluntary basis;</p> <p>(ii) <b>Beneficiary pays:</b> payments are made by the beneficiaries of ecosystem services (individuals, communities and businesses or governments acting on behalf of various parties);</p> <p>(iii) <b>Direct payment:</b> payments are made directly to ecosystem service providers (in practice, often via an intermediary or broker);</p> <p>(iv) <b>Additionality:</b> 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 must at the very least go beyond regulatory compliance);</p> <p>(v) <b>Conditionality:</b> 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) <b>Ensuring permanence:</b> management interventions paid for by beneficiaries should not be readily reversible, thus providing continued service provision; and</p> <p>(vii) <b>Avoiding leakage:</b> PES schemes should be set up to avoid leakage, whereby securing an ecosystem</p>
<p><b>Criterion 5.2 The Organization shall normally harvest products and services from the Management Unit at or below a level which can be permanently sustained.</b></p>	
<p><b>Indicator 5.2.1 (a)</b></p> <p><b>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</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Documented processes or systems for establishing harvesting rates</li> <li>• Forest management plan</li> <li>• Interviews with Organization’s workers and other stakeholders</li> </ul> <p><b>Guidance:</b></p> <ol style="list-style-type: none"> <li>1. See Annex J for “Best available Information” for Standard Potential Impact Organizations.</li> <li>2. External experts or specialist are usually engaged (e.g. in timber inventory).</li> <li>3. Source of Best Available Information includes:</li> </ol>



	<ul style="list-style-type: none"> <li>• A Guide to the Management of Tropical Moist Forest For Timber Production</li> <li>• Permanent Sample Plot (PSP) data</li> <li>• Inventory data</li> <li>• ISSIMI data</li> <li>• Specialist studies</li> </ul>
<b>Indicator 5.2.1 (b)</b>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Forest Management Plan</li> <li>• Interviews with Organization's workers and other stakeholders</li> </ul> <p><b>Guidance:</b></p> <ol style="list-style-type: none"> <li>1. The "Best available Information" for Low Potential Impact Organizations is described in Annex J:</li> <li>2. Ref: <i>Guidelines For Management of Private Natural Forests In Uganda</i></li> </ol>
<p><b>For LIOs and SLIMFs</b></p> <p>Timber harvesting levels are estimated using Best Available Information on timber yield and maintenance of ecosystem functions.</p>	
<b>Indicator 5.2.2 (a)</b>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• A documented system for determining the maximum Annual Allowable Cut</li> <li>• Documented maximum Allowable Annual Cut</li> <li>• Interview with Organization's workers</li> </ul> <p><b>Reference:</b> National Forestry and Tree Planting Regulations (2016) for the Schedule on minimum girth for timber tree species</p>
<p>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:</p> <p><b>For natural forests:</b></p> <ul style="list-style-type: none"> <li>• Sawlog Felling Cycle is <math>\geq 30</math> years;</li> <li>• Sawlog Harvesting <math>\leq 60\text{m}^3/\text{ha}</math> over the Felling Cycle; and</li> <li>• The trees felled are not of less than the minimum girth prescribed in the forestry regulations for the species</li> </ul>	
<b>Indicator 5.2.2 (b)</b>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Estimated maximum Allowable Annual Cut</li> <li>• Interviews with the Organization's workers</li> </ul>
<p><b>For LIOs and SLIMFs</b></p> <p>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><b>For natural forests:</b></p> <ul style="list-style-type: none"> <li>• Sawlog Felling Cycle is <math>\geq 30</math> years;</li> <li>• Sawlog Harvesting <math>\leq 30\text{m}^3/\text{ha}</math> over the Felling Cycle in natural forests; and</li> <li>• the trees felled are not of less than the minimum girth prescribed in the forestry regulations for the species</li> </ul>	
<b>Indicator 5.2.3 (a)</b>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Records of timber harvesting compared with estimated AAC</li> <li>• Interview with Organization's worker</li> </ul>
<p>Actual annual harvest levels for timber are recorded and the harvest over a defined period does not exceed the allowable cut determined in 5.2.2a for the same defined period.</p>	

	<p><b>Guidance:</b></p> <p>Refer to the SIR model which indicates the thresholds for medium impact organizations (MIO) and low impact organizations (LIOs)</p>
<b>Indicator 5.2.3 (b)</b>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Records of timber harvesting</li> <li>• Interview with Organization's workers</li> </ul>
<p><b>For LIOs and SLIMFs:</b></p> <p><b>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.</b></p>	
<b>Indicator 5.2.4 (a)</b>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Documented process for establishing harvesting rates for each product</li> <li>• Harvesting rates</li> <li>• Harvesting records</li> <li>• Interviews with Organization's workers and other stakeholders</li> </ul> <p><b>Guidance</b></p> <p>1. The major marketable NTFP in Uganda include, but not limited to:</p> <ul style="list-style-type: none"> <li>• rattan canes,</li> <li>• bamboo,</li> <li>• palms (Borrassus &amp; other palms),</li> <li>• sand and stones,</li> <li>• honey,</li> <li>• fruits,</li> </ul> <p>2. Refer to the SIR model which indicates the thresholds for Standard Potential impact organizations and low potential impact organizations (LIOs)</p>
<p><b>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.</b></p>	
<b>Indicator 5.2.4 (b)</b>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Harvesting reports for NTFPs</li> <li>• Monitoring reports</li> <li>• Interviews with Organization's worker*s and other stakeholders</li> </ul>
<p><b>Extraction of NTFPs is regularly monitored with a view to establishing more precise sustainable extraction levels</b></p>	
<p><b>Criterion 5.3 The Organization shall demonstrate that the positive and negative externalities of operations are included in the management plan.</b></p>	
<b>Indicator 5.3.1</b>	

<p><b>The activities required to prevent and mitigate negative impacts have been identified and documented in the management plan</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Documented impacts</li> <li>• Documented strategies for dealing with them</li> <li>• Forest Management Plan</li> <li>• Interviews with the Organization’s workers and other stakeholders</li> </ul> <p><b>Guide:</b> Possible impacts may include:</p> <ul style="list-style-type: none"> <li>• Damage to water quality and quantity,</li> <li>• Soil erosion,</li> <li>• Public works,</li> <li>• Social stress etc.</li> </ul>
<p><b>Indicator 5.3.2</b></p> <p><b>Benefits related to positive social and environment impacts of management activities are identified and included in the management plan.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Forest management plan</li> <li>• Interviews with the Organization’s workers and other stakeholders</li> </ul>
<p><b>Criterion 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.</b></p>	
<p><b>Indicator 5.4.1</b></p> <p><b>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</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Record of criteria for evaluating what to buy</li> <li>• Price lists of goods and services</li> <li>• Procurement policy</li> <li>• Interviews with the Organization’s workers and other stakeholders</li> </ul> <p><b>Guidance:</b> In this context, “local” is defined as “District or Districts within which the FMU is located”</p>
<p><b>Indicator 5.4.2</b></p> <p><b>Reasonable attempts are made to establish and encourage capacity where local goods, services, processing and value-added facilities are not available.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Records of capacity building actions</li> <li>• Interviews of organization’s workers, and other stakeholders</li> <li>• Field observations</li> </ul> <p><b>Guidance:</b> The attempts could include training, establishment of cooperative savings &amp; credits organizations, establishing links with the relevant players (e.g. NGOs, government institutions)</p>
<p><b>Criterion 5.5 The Organization shall demonstrate through its planning and expenditures proportionate to scale, intensity and risk, its commitment to long-term economic viability.</b></p>	
<p><b>Indicator 5.5.1 (a)</b></p>	

<p><b>Sufficient funds are allocated to implement the Management Plan in order to meet this standard and to ensure long-term economic viability.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Forest Management Plan</li> <li>• A comprehensive accounting system</li> <li>• A Strategic Investment Plan</li> <li>• Research and Development Strategy</li> </ul>
<p><b>Indicator 5.5.1 (b)</b></p> <p><b>For LIOs and SLIMFs</b></p> <p><b>Sources of funds to implement the Management Plan in order to meet this standard and to ensure long-term economic viability are secured.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Documentation</li> <li>• Interviews with the Organization's workers</li> </ul>
<p><b>Indicator 5.5.2 (a)</b></p> <p><b>Expenditures and investments are made to implement the Management Plan in order to meet this standard and to ensure long-term economic viability.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Expenditure returns/financial statements</li> <li>• Evidence of re-investments</li> <li>• Interviews with the Organization's Executives</li> <li>• Field observation</li> </ul>
<p><b>Indicator 5.5.2 (b)</b></p> <p><b>For LIOs and SLIMFs</b></p> <p><b>An annual Plan and budget is in place, that incorporates expected costs and revenues</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Forest Management Plan</li> <li>• Annual Plan and Budget</li> <li>• Evidence that expenditure matches income</li> </ul>
<p><b>PRINCIPLE 6: ENVIRONMENTAL VALUES AND IMPACTS.</b></p> <p><b>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.</b></p>	
<p><b>Criterion 6.1 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.</b></p>	
<p><b>Indicator 6.1.1</b></p> <p><b>Best Available Information is used to identify environmental values within, and, where potentially affected by management activities, outside of the Management Unit</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Assessment Reports</li> <li>• Forest Management Plan</li> </ul> <p><b>Guide:</b></p> <p>See <b>Annex J</b> for a list of possible sources of Best Available Information</p>
<p><b>Indicator 6.1.2</b></p> <p><b>Assessments of environmental values are conducted with a level of detail and frequency so that:</b></p> <ul style="list-style-type: none"> <li>• Impacts of management activities on the identified environmental values can be assessed as per Criterion 6.2;</li> </ul>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Assessment Reports</li> <li>• Forest Management Plan</li> </ul>

<ul style="list-style-type: none"> <li>• Risks to environmental values can be identified as per Criterion 6.2</li> <li>• Necessary conservation measures to protect values can be identified as per Criterion 6.3; and</li> <li>• Monitoring of impacts or environmental changes can be conducted as per Principle 8.</li> </ul>	
<p><b>Criterion 6.2 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.</b></p>	
<p><b>Indicator 6.2.1 (a)</b></p> <p><b>An environmental impact assessment identifies potential present and future impacts of all management activities on environmental values from the stand level to the landscape level.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Environment Impact Assessment Report</li> <li>• Forest Management Plan</li> <li>• Operational plans</li> <li>• Field observations</li> </ul> <p><b>Guidance</b> Section 19 of the National Environment Act</p>
<p><b>Indicator 6.2.1 (b)</b></p> <p><b>For LIOs and SLIMFs</b></p> <p><b>Potential impacts of management activities on environmental values are identified before the commencement of site disturbing operations</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Forest Management Plan</li> <li>• Interviews with the organization's workers and other stakeholders</li> <li>• Field observations</li> </ul>
<p><b>Indicator 6.2.2</b></p> <p><b>The environmental impact assessment identifies and assesses the impacts of the management activities prior to the start of site-disturbing activities.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Environmental Impact Assessment Reports</li> <li>• Forest Management Plan</li> </ul> <p><b>Guidance:</b></p> <ul style="list-style-type: none"> <li>• Third Schedule of the National Environment Act lists projects for which an EIA is required</li> <li>• Section 6 of the Guidelines for Management of Private Natural Forests In Uganda gives guidance on how small holders can proceed within the law</li> </ul>
<p><b>Criterion 6.3 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</b></p>	
<p><b>Indicator 6.3.1</b></p> <p><b>Management activities are planned and implemented to prevent negative impacts and to protect <i>environmental values</i>*.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Forest Management Plan</li> <li>• Routine Reports</li> <li>• Interviews with the Organization's workers and other stakeholders</li> <li>• Field observations</li> </ul>
<p><b>Indicator 6.3.2</b></p>	<p><b>Verifiers</b></p>

<p><b>Management activities prevent negative impacts to environmental values*.</b></p>	<ul style="list-style-type: none"> <li>• Forest Management Plan</li> <li>• Routine Reports</li> <li>• Interviews with the Organization*'s workers and other stakeholders</li> <li>• Field observations</li> </ul>
<p><b>Indicator 6.3.3</b></p>	<p><b>Verifiers</b></p>
<p><b>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.</b></p>	<ul style="list-style-type: none"> <li>• Annual Work Plans and Budgets</li> <li>• Monitoring Reports</li> <li>• Interviews with the Organization's workers and other stakeholders</li> <li>• Field observations</li> </ul>
<p><b>Criterion 6.4 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*.</b></p>	
<p><b>Indicator 6.4.1 (a)</b></p>	<p><b>Verifiers</b></p>
<p><b>Best Available Information is used to identify rare, threatened and endangered 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 and adjacent to the Management Unit*.</b></p>	<ul style="list-style-type: none"> <li>• A list of rare, threatened and endangered species</li> <li>• Study Reports</li> <li>• Monitoring reports</li> <li>• Interviews with the Organization's workers and other stakeholders</li> </ul> <p><b>Guidance</b> See <b>Annex J</b> for a list of possible sources of Best Available Information</p>
<p><b>Indicator 6.4.1 (b)</b></p>	<p><b>Verifiers</b></p>
<p><b>For LIOs and SLIMFs Best Available Information is used to identify rare, threatened and endangered species*, and their habitats*, including CITES species (where applicable) and those listed on national, regional and local lists of rare</b></p>	<ul style="list-style-type: none"> <li>• A list of rare, threatened and endangered species</li> <li>• Interviews with the Organization's workers and other stakeholders</li> </ul> <p><b>Guidance</b> See <b>Annex J</b> for a list of possible sources of Best Available Information</p>

<p>and threatened species* that are present or likely to be present within and adjacent to the Management Unit*.</p>	
<p><b>Indicator 6.4.2</b></p> <p>Potential impacts of management activities on rare, threatened and endangered species* and their conservation* status and habitats* are identified and management activities are modified to avoid negative impacts.</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Study Reports</li> <li>• Forest management plans</li> <li>• Monitoring reports</li> </ul>
<p><b>Indicator 6.4.3 (a)</b></p> <p>The rare, threatened and endangered 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.</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Monitoring Reports</li> <li>• Maps</li> <li>• Field observations</li> <li>• Interviews with the Organization's workers and other stakeholders</li> </ul> <p><b>Guide:</b></p> <ul style="list-style-type: none"> <li>• National list of rare and threatened species</li> <li>• For forests, habitats include strict nature reserves &amp; their buffer zones, National Parks and Wildlife Reserves which are protected by law</li> </ul>
<p><b>Indicator 6.4.3 (b)</b></p> <p>Measures implemented to protect the rare threatened and endangered species* and their habitats*, include a minimum of:</p> <ul style="list-style-type: none"> <li>• Management activities scheduled to avoid disturbance during nesting or fruiting seasons;</li> <li>• use of reduced impact harvesting to protect nesting and breeding sites;</li> </ul>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Field observations</li> <li>• Interviews with the Organization's workers and other stakeholders</li> </ul> <p><b>Guide</b></p> <ul style="list-style-type: none"> <li>• 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</li> <li>• Refer to NFA guideline for management of production zones in tropical moist forest</li> </ul>

<ul style="list-style-type: none"> <li>• Establishment of conservation zones and protection areas; and</li> <li>• Designing mitigations measures for specific species and habitats.</li> </ul>	
<p><b>Indicator 6.4.4 (a)</b></p> <p><b>Hunting, fishing, trapping and collection of nationally “critically endangered” and “endangered” categories of species*is prevented.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Monitoring Reports</li> <li>• Interviews with the Organization’s workers and other stakeholders</li> </ul> <p><b>Guidance:</b></p> <ol style="list-style-type: none"> <li>1. Where a species is endangered or critically endangered globally, but is stable or has recovered in Uganda, it does no harm if it is harvested using practices that will maintain or even improve stability</li> <li>2. Hunting, fishing, trapping and collection of globally endangered or critically endangered species can be permitted in Uganda where there is sufficient evidence to show that such species is stable or has recovered, and there is no harm if it is harvested using practices that maintain or even improve stability</li> </ol>
<p><b>Indicator 6.4.4 (b)</b></p> <p><b>Harvesting of species in the nationally “vulnerable”, “near threatened” or “of least concern” categories is done only after objectively verifiable scientific studies have shown that the species is stable in Uganda or has recovered.</b></p>	<p><b>Verifiers</b></p> <ol style="list-style-type: none"> <li>1. Reports of studies through which the Red List status of each species are established</li> <li>2. Harvesting records</li> <li>3. Monitoring Reports</li> </ol> <p><b>Guidance</b></p> <p>Guide needed to cover LIOs (small operations)</p> <ul style="list-style-type: none"> <li>• See Nationally Threatened Species for Uganda, 2016 and any subsequent revisions</li> <li>• The studies should have been done according to the Guidelines for Application of IUCN Red List Criteria at Regional and National Levels (a version that is current at the time the particular study was undertaken)</li> <li>• Verification of the studies that established the sustainable harvesting levels done through validation meetings attended by the key stakeholders that are relevant to the particular species</li> </ul>
<p><b>Indicator 6.4.4 (c)</b></p> <p><b>Harvesting of species in the nationally “vulnerable”, “near threatened” or “of least concern” categories is done in such a way that the population of the species is increasing</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Cumulative records of the population levels of the species</li> <li>• Harvesting Plans</li> <li>• FMPs</li> </ul>
<p><b>Indicator 6.4.4 (d)</b></p> <p><b>Where populations of the species being</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Cumulative records of the population levels of the species</li> <li>• Annual work plans</li> </ul>



<p>harvested within the MU shows a decline over a three year period, harvesting ceases and management actions are undertaken to allow populations to recover</p>	<ul style="list-style-type: none"> <li>Revisions in the FMPs</li> </ul>
<p><b>Criterion 6.5</b> 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.</p>	
<p><b>Indicator 6.5.1</b></p> <p>Best Available Information* is used to identify native ecosystems* that exist, or would exist under natural conditions* within the Management Unit*.</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>Study Report</li> <li>Forest management plans</li> <li>Field Monitoring reports</li> <li>Interviews with the Organization's workers and other stakeholders</li> </ul> <p><b>Guidance</b></p> <p>See <b>Annex J</b> for possible sources of Best Available Information</p>
<p><b>Indicator 6.5.2</b></p> <p>Representative sample areas* of native ecosystems* are protected, where they exist.</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>Forest management plans</li> <li>Forest resource Maps</li> <li>Interviews with the Organization's workers</li> <li>Field observations</li> </ul> <p><b>Guidance</b></p> <ul style="list-style-type: none"> <li>Ref: Forest Nature Conservation Master Plan.</li> <li>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 50% is left as the Production Zone</li> </ul>
<p><b>Indicator 6.5.3</b></p> <p>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</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>Specialized study Reports</li> <li>Maps</li> <li>Forest Management Plan</li> <li>Field observations</li> <li>Interviews with the Organization's workers</li> </ul> <p><b>Guidance:</b></p> <p>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 of Uganda 2006</p>

<p><b>Indicator 6.5.4</b></p> <p>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.</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Maps</li> <li>• Forest Management Plan</li> <li>• Field observations</li> <li>• Interviews with the Organization's workers</li> </ul>
<p><b>Indicator 6.5.5</b></p> <p>Representative <i>Sample Areas*</i> in combination with other components of the <i>conservation areas network*</i> comprise a minimum 10% area of the <i>Management Unit*</i>.</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Maps</li> <li>• Forest Management Plan</li> <li>• Field observations</li> <li>• Interviews with the Organization's workers</li> </ul>
<p><b>Criterion 6.6</b> 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.</p>	
<p><b>Indicator 6.6.1</b></p> <p>Management activities maintain the plant communities and <i>habitat features*</i> found within native <i>ecosystems*</i> in which the <i>Management Unit*</i> is located.</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Forest Management Plan</li> <li>• Maps</li> <li>• Interviews with Organization's workers and other stakeholders</li> <li>• Field observations</li> </ul>
<p><b>Indicator 6.6.2</b></p> <p>Where past management has eliminated plant communities or <i>habitat features*</i>, management activities aimed at re-establishing such <i>habitats*</i> are implemented.</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Forest Management Plan</li> <li>• Maps</li> <li>• Interviews with Organization's workers and other stakeholders</li> <li>• Field observations</li> </ul>

<b>Indicator 6.6.3</b>	<b>Verifiers</b>
<b>Management maintains, enhances, or restores* habitat features* associated with native ecosystems*, to support the diversity of naturally occurring species and their genetic diversity.</b>	<ul style="list-style-type: none"> <li>• Forest Management Plan</li> <li>• Maps</li> <li>• Interviews with Organization’s workers and other stakeholders</li> <li>• Field observations</li> </ul>
<b>Indicator 6.6.4</b>	<b>Verifiers</b>
<b>Effective measures are taken to manage and control hunting, fishing, trapping and collecting activities to ensure that naturally occurring native species*, their diversity within species and their natural distribution are maintained.</b>	<ul style="list-style-type: none"> <li>• Forest Management Plan</li> <li>• Interviews with Organization’s workers and other stakeholders</li> <li>• Field observations</li> </ul> <p><b>Guidance:</b></p> <ul style="list-style-type: none"> <li>• See Guidance on Species that are threatened</li> </ul>
<b>Indicator 6.6.5</b>	<b>Verifiers</b>
<b>Mechanisms for wildlife <i>protection</i>* are in place: Applicable national and/or international regulations on <i>protection</i>*, hunting and trade in animal species or parts (trophies) <i>shall</i>* be known and complied with</b>	<ul style="list-style-type: none"> <li>• Policies and laws</li> <li>• Forest Management Plan</li> <li>• Monitoring reports</li> </ul> <p><b>Guidance</b></p> <p>Uganda Wildlife Act 1996 provides for prohibited and allowed activities</p>
<b>Indicator 6.6.6</b>	<b>Verifiers</b>
<b>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>*</b>	<ul style="list-style-type: none"> <li>• Policies and laws</li> <li>• Forest Management Plan</li> <li>• Monitoring reports</li> </ul>
<b>Indicator 6.6.7</b>	

<p><b>A system of regular and punctual controls to ensure hunting policies are respected is implemented;</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Policies and laws</li> <li>• Forest Management Plan</li> <li>• Monitoring reports</li> </ul> <p><b>Guidance</b></p> <p>Uganda Wildlife Act (1996) provides for the controlling role of Uganda Wildlife Authority</p>
<p><b>Indicator 6.6.8</b></p> <p><b>Effective mitigation measures are in place to ensure that workers* do not increase hunting trapping or collecting of bush meat or wild fish.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Forest Management Plan</li> <li>• Administrative guidelines</li> </ul> <p><b>Guidance</b></p> <p>“workers” include the executives of the Organisation, as well as casual and permanent labourers in this context</p>
<p><b>Criterion 6.7 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.</b></p>	
<p><b>Indicator 6.7.1</b></p> <p><b>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</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Record of regular water quality sampling and analysis</li> <li>• Field observations</li> <li>• Interviews with the Organization’s workers and other stakeholders</li> <li>• Monitoring and Evaluation Reports</li> </ul> <p><b>Guide:</b></p> <ol style="list-style-type: none"> <li>1. The National Environment Act requires a distance of 50 metres for streams, 100 metres for rivers and 200 metres for lakes</li> <li>2. In Uganda Stock Survey systems for harvesting trees in natural forests does not allow harvesting within 30 metres of water bodies</li> </ol>
<p><b>Indicator 6.7.2</b></p> <p><b>Where implemented protection* measures do not protect watercourses*, water bodies*, riparian zones* and their connectivity*, water quantity or water quality from impacts of forest* management, restoration activities are implemented</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Forest Management Plan</li> <li>• Operational Plans</li> <li>• Monitoring and Evaluation Reports</li> <li>• Interviews with Organization*s worker*s and other stakeholders</li> <li>• Field observation</li> </ul>

<p><b>Indicator 6.7.3</b></p> <p>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.</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Forest Management Plan</li> <li>• Operational Plans</li> <li>• Monitoring and Evaluation Reports</li> <li>• Interviews with Organization*'s worker*s and other stakeholders</li> <li>• Field observation</li> </ul>
<p><b>Indicator 6.7.4</b></p> <p>Where continued degradation exists to watercourses*, water bodies*, water quantity and water quality caused by previous managers and the activities of third parties, measures are implemented that prevent or mitigate this degradation.</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Forest Management Plan</li> <li>• Operational Plans</li> <li>• Monitoring and Evaluation Reports</li> <li>• Interviews with Organization*'s worker*s, local experts and relevant stakeholders</li> <li>• Field observation</li> </ul>
<p><b>Criterion 6.8</b> 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*.</p>	
<p><b>Indicator 6.8.1</b></p> <p>A varying mosaic of species, sizes, ages, spatial scales*is maintained appropriate to the landscape*</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Forest Management Guidelines</li> <li>• Forest Management Plan and maps</li> <li>• Field observation</li> </ul>
<p><b>Indicator 6.8.2</b></p> <p>The mosaic of species, sizes, ages, spatial scales and regeneration cycles is restored* where it has not been maintained appropriate to the landscape*</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Forest Management Guidelines</li> <li>• Forest Management Plan and maps</li> <li>• Operational Plan</li> <li>• Monitoring and Evaluation Reports</li> <li>• Field observation</li> </ul>

**Criterion 6.9 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\*.**

<p><b>Indicator 6.9.1</b></p>	<p><b>Verifiers</b></p>
<p><b>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:</b></p> <ol style="list-style-type: none"> <li><b>1. Affects a very limited portion* of the Management Unit*, and</b></li> <li><b>2. The conversion will produce clear, substantial, additional, secure, long-term conservation* benefits in the Management Unit*;</b> and</li> <li><b>3. Does not damage or threaten High Conservation Values*, nor any sites or resources necessary to maintain or enhance those High Conservation Values*.</b></li> </ol>	<ul style="list-style-type: none"> <li>• Maps</li> <li>• Forest Management Plans</li> <li>• Field observation</li> <li>• Interviews with the organization’s workers and other stakeholders</li> </ul> <p><b>Guidance:</b>                  “Limited portion* of the Management Unit**” is interpreted in line with FSC Policy of Excision (FSC-POL20-003)</p>

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

- 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\*.

Indicator 6.10.1	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Records of areas converted</li> <li>• Maps <ul style="list-style-type: none"> <li>• Forest management Plans</li> </ul> </li> </ul> <p><b>Guidance:</b></p> <ul style="list-style-type: none"> <li>• See <b>Annex J</b> for sources of <i>Best Available Information*</i></li> </ul>
<p><b>Based on Best Available Information*</b>, accurate data is compiled on all conversions since 1994.</p>	
Indicator 6.10.2	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Maps</li> <li>• Forest Management Plans</li> <li>• Field observation</li> <li>• Records of areas converted</li> </ul> <p><b>Guidance</b></p> <p>“Directly or indirectly responsible for the conversion” is interpreted within the context of the Policy for the Association of Organizations with FSC (FSC-POL-01004 V2-0 EN)</p>
<p><b>Areas converted from natural forest* to plantation* since November 1994 are not certified, except where:</b></p> <ol style="list-style-type: none"> <li>1. The <b>Organization*</b> provides clear and sufficient evidence that it was not directly or indirectly responsible for the conversion; or</li> <li>2. The conversion is producing clear, substantial, additional, secure, long-term conservation* benefits in the Management Unit*; and</li> <li>3. The total area of plantation* on sites converted from natural forest* since November 1994 is less than 5% of the total area of the Management Unit*.</li> </ol>	

**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.

**Criterion 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.**

<b>Indicator 7.1.1 (a)</b>	<b>Verifiers</b>
<b>Policies (vision and values) that contribute to meeting the requirements of this standard are described in the management plan*.</b>	<ul style="list-style-type: none"> <li>• Documented policy</li> <li>• Forest management Plan</li> </ul>
<b>Indicator 7.1.1 (b)</b>	<b>Verifiers</b>
<b>For LIOs and SLIMFs The Organization's commitment to environmental, social and economically viable management is stated in the Forest Management Plan</b>	<ul style="list-style-type: none"> <li>• Forest Management Plan</li> </ul>
<b>Indicator 7.1.2</b>	<b>Verifiers</b>
<b>Specific, operational management objectives* that address the requirements of this standard are presented in the management plan*.</b>	<ul style="list-style-type: none"> <li>• Forest Management Plan</li> </ul>
<b>Indicator 7.1.3 (a)</b>	<b>Verifiers</b>
<b>Summaries of the defined policies and management objectives* are included in the management plan* and publicized.</b>	<ul style="list-style-type: none"> <li>• Management Plan</li> </ul>
<b>Indicator 7.1.3 (b)</b>	



For LIOs and SLIMFs Summaries of management objectives* are included in the management plan*	Verifiers • Management Plan
Criterion 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.	
Indicator 7.2.1 (a) The <i>management plan*</i> includes management actions, procedures, strategies and measures to achieve the management objective.	Verifiers • Forest management Plan • Business plan
Indicator 7.2.1 (b) The <i>management plan*</i> includes management actions to achieve the management objective.	Verifiers • Forest management Plan
Indicator 7.2.2 (a) The <i>management plan*</i> addresses the elements listed in Annex E(i), and is implemented	Verifiers • Forest management Plan
Indicator 7.2.2 (b) For LIOs and SLIMFs The <i>management plan*</i> outlines actions to implement the elements listed in Annex E (ii), and is implemented.	Verifiers • Forest management Plan
Criterion 7.3. The management plan* shall include verifiable targets by which progress towards each of the prescribed management objectives* can be assessed.	
Indicator 7.3.1 Verifiable targets, and the frequency	Verifiers • Forest management Plan Guide:

that they are assessed, are established for <i>monitoring</i> * the progress towards each <i>management objective</i> *.	For verifiable targets refer to Annex G(i) for the Non-LIOs, and Annex G(ii) for LIOs
<b>Criterion 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.</b>	
<b>Indicator 7.4.1 (a)</b>  <b>The management plan* is revised and updated periodically consistent with Annex F to incorporate:</b> <ol style="list-style-type: none"> <li>1. Monitoring results, including results of certification audits;</li> <li>2. Evaluation results;</li> <li>3. Stakeholder engagement* results;</li> <li>4. New scientific and technical information, and</li> <li>5. Changing environmental, social, or economic circumstances*.</li> </ol>	<b>Verifiers</b> <ul style="list-style-type: none"> <li>• Evidence of revised Forest management Plan</li> <li>• Evidence of adaptive management</li> </ul>
<b>Indicator 7.4.1 (b)</b>  <b>For LIOs and SLIMFs</b> <b>The management plan* is revised and updated periodically consistent with the elements in Annex F(ii)</b>	<b>Verifiers</b> <ul style="list-style-type: none"> <li>• Forest management Plan</li> </ul>
<b>Criterion 7.5. The Organization* shall make publicly available* a summary of the management plan* free of charge. Excluding information, other relevant components of the management plan* shall be made available to affected stakeholders* on request, and at cost of reproduction and handling.</b>	
<b>Indicator 7.5.1 (a)</b>	<b>Verifiers</b>
<b>A summary of the management plan* in a format comprehensible to stakeholders including maps</b>	<ul style="list-style-type: none"> <li>• Evidence of public availability</li> </ul>

<p>and excluding <i>confidential information*</i> is made <i>publicly available*</i> at no cost.</p>	
<p><b>Indicator 7.5.2</b></p> <p><b>For Standard Potential Impact Organizations only: 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.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Procedure for access to the complete Management Plan</li> <li>• Interviews with the Organization's workers and affected stakeholders</li> </ul> <p><b>Guidance:</b></p> <p>1) Low Potential Impact Organizations and SLIMFs are unlikely to be able to provide copy of such summary due to cost implication.</p> <p>2) Examples of confidential information, includes data &amp; content:</p> <ol style="list-style-type: none"> <li>a) Related to investment decisions;</li> <li>b) About intellectual property* rights;</li> <li>c) Client confidential;</li> <li>d) By law confidential;</li> <li>e) Protecting wildlife species and habitats*; and</li> <li>f) About sites that are of 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.</li> </ol>
<p><b>Criterion 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.</b></p>	
<p><b>Indicator 7.6.1 (a)</b></p> <p><b><i>Culturally appropriate* engagement*</i> is used to ensure that affected stakeholders* are proactively and transparently engaged in the following processes:</b></p> <ol style="list-style-type: none"> <li>1. <b>Dispute resolution processes (Criterion* 1.6, Criterion* 2.6, Criterion* 4.6);</b></li> <li>2. <b>Definition of Living wages* (Criterion* 2.4);</b></li> <li>3. <b>Identification of rights (Criterion* 3.1, Criterion* 4.1), sites (Criterion* 3.5, Criterion* 4.7) and impacts (Criterion* 4.5);</b></li> <li>4. <b>Local communities* socio-economic development activities (Criterion* 4.4); and</b></li> <li>5. <b>High Conservation Value* assessment, management and monitoring (Criterion* 9.1, Criterion* 9.2, Criterion* 9.4).</b></li> </ol>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Documented engagement process / strategy</li> <li>• Record of engagement activities</li> <li>• Interviews with Organization's workers, affected stakeholders and other stakeholders</li> </ul>
<p><b>Indicator 7.6.1 (b)</b></p> <p><b>For LIOs and SLIMFs: Affected stakeholders* are appropriately engaged in making decisions where management activities affect them.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Interviews with Organization's workers, affected stakeholders and other stakeholders</li> </ul>
<p><b>Indicator 7.6.2 (a)</b></p> <p><b>Culturally appropriate* engagement* is used to:</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Procedure for engagement</li> </ul>

<ol style="list-style-type: none"> <li>1. Determine appropriate representatives and contact points (including where appropriate, local institutions, organizations and authorities);</li> <li>2. Determine mutually agreed communication channels allowing for information to flow in both directions;</li> <li>3. Ensure all actors (women, youth, elderly, minorities) are represented and engaged equitably;</li> <li>4. Ensure all meetings, all points discussed and all agreements reached are recorded;</li> <li>5. Ensure the content of meeting records is approved; and</li> <li>6. Ensure the results of all culturally appropriate* engagement* activities are shared with those involved.</li> </ol>	<ul style="list-style-type: none"> <li>• Interviews with Organization's workers and other stakeholders</li> </ul>
<p><b>Indicator 7.6.2 (b)</b></p> <p>For <u>LIOs</u> and SLIMFs</p> <p>Approaches that are mutually agreed upon by both the Organization and stakeholders are used for engaging stakeholders to address issues affecting them</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Interviews with Organization's workers and other stakeholders</li> </ul> <p><b>Guidance:</b> Mutual agreement in the Uganda context will normally be achieved through community meetings</p>
<p><b>Indicator 7.6.3 (a)</b></p> <p>Affected stakeholder* are provided with an opportunity for culturally appropriate* engagement* in monitoring* and planning processes of management activities that effect their interests</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Documented engagement process / strategy</li> <li>• Record of engagement activities</li> <li>• Interviews with Organization's workers, affected stakeholders and other stakeholders</li> </ul>
<p><b>Indicator 7.6.3 (b)</b></p> <p>For <u>LIOs</u> and SLIMFs</p> <p>Affected stakeholders* are engaged in planning and monitoring of management activities that affect their interests</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Interviews with Organization's workers, and affected stakeholders</li> </ul>
<p><b>Indicator 7.6.4</b></p> <p>On request, interested stakeholders* are provided with an opportunity for engagement* in monitoring* and planning processes of management activities that affect their interests.</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Record of engagement activities</li> <li>• Interviews with Organization's workers, affected stakeholders and other stakeholders</li> </ul>

**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\*

**Criterion 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.**

<b>Indicator 8.1.1</b>	<b>Verifiers</b>
<b>Procedures are documented and executed for monitoring* the implementation of the Management Plan* including its policies and management objectives* and achievement of verifiable targets*.</b>	<ul style="list-style-type: none"> <li>• Monitoring procedure</li> <li>• Monitoring plan</li> <li>• Annual reports</li> <li>• Monitoring reports</li> </ul>

**Criterion 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.**

<b>Indicator 8.2.1 (a)</b>	<b>Verifiers</b>
<b>The social and environmental impacts of management activities are monitored* consistent with Annex G (i).</b>	<ul style="list-style-type: none"> <li>• Environmental Monitoring Plan</li> <li>• Monitoring reports</li> </ul>

<b>Indicator 8.2.1 (b)</b>	<b>Verifiers</b>
<b>For LIOs and SLIMFs</b> <b>The social and environmental impacts of management activities are monitored* consistent with Annex G (ii).</b>	<ul style="list-style-type: none"> <li>• Monitoring reports</li> <li>• Interviews with Organization's workers and other stakeholders</li> </ul> <p><b>Comment /Guidance</b> Monitoring methods will be in line with FSC Tools for simple monitoring</p>

<b>Indicator 8.2.2 (a)</b>	<b>Verifiers</b>
<b>Changes in environmental conditions are monitored* consistent with Annex G (i).</b>	<ul style="list-style-type: none"> <li>• Environmental Monitoring Plan</li> <li>• Monitoring reports</li> </ul>

<b>Indicator 8.2.2 (b)</b>	<b>Verifiers</b>
<b>For LIOs and SLIMFs</b> <b>Changes in environmental conditions are monitored* consistent with Annex G (ii).</b>	<ul style="list-style-type: none"> <li>• Monitoring reports</li> <li>• Interviews with Organization's workers and other stakeholders</li> </ul> <p><b>Comment /Guidance</b> Monitoring methods will be in line with FSC Tools for simple monitoring</p>

<b>Criterion 8.3. The Organization* shall* analyze the results of monitoring and evaluation and feed the outcomes of this analysis back into the planning process.</b>	
<b>Indicator 8.3.1 (a)</b>	<b>Verifiers</b>
<b>Adaptive management* procedures are implemented so that monitoring* results feed into periodic updates to the planning process and the resulting management plan*.</b>	<ul style="list-style-type: none"> <li>• Monitoring reports</li> <li>• Updated forest management plan</li> </ul>
<b>Indicator 8.3.1 (b)</b>	<b>Verifiers</b>
<b>For LIOs and SLIMFs The Organization takes into consideration the results of monitoring and evaluation during the planning process</b>	<ul style="list-style-type: none"> <li>• Evidence of integration of monitoring results in revised plans</li> <li>• Interviews with the Organization's workers and other stakeholders</li> <li>• Field observations</li> </ul>
<b>Indicator 8.3.2</b>	<b>Verifiers</b>
<b>If <i>monitoring*</i> results show non-conformities with the FSC Standard then <i>management objectives*</i>, <i>verifiable targets*</i> and / or management activities are revised.</b>	<ul style="list-style-type: none"> <li>• Monitoring reports</li> <li>• Revised Management Plan</li> <li>• Interviews with the Organization's workers</li> </ul>
<b>Criterion 8.4. The Organization* shall* make publicly available a summary of the results of monitoring free of charge, excluding confidential information.</b>	
<b>Indicator 8.4.1 (a)</b>	<b>Verifiers</b>
<b>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.</b>	<ul style="list-style-type: none"> <li>• Documented summary of monitoring results</li> <li>• Evidence of no-cost dissemination</li> <li>• Interviews with the organization's workers and other stakeholders</li> </ul>
<b>Indicator 8.4.1 (b)</b>	<b>Verifiers</b>
<b>For LIOs and SLIMFs A summary of the <i>monitoring*</i> results consistent with Annex G (ii) is made available on request</b>	<ul style="list-style-type: none"> <li>• Evidence of dissemination of the monitoring results</li> <li>• Interviews with the organization's workers and other stakeholders</li> </ul>
<b>Criterion 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.</b>	
<b>Indicator 8.5.1</b>	<b>Verifiers</b>
<b>A system is implemented to track and trace all products that are marketed as FSC certified.</b>	<ul style="list-style-type: none"> <li>• Documented tracking and tracing system</li> <li>• Evidence of implementation of the system</li> <li>• Monitoring reports <ul style="list-style-type: none"> <li>• Field observations</li> </ul> </li> </ul>
	<b>Comment / Guidance</b>

	<p>Ref: National Forestry and Tree Planting Regulations, which provide for:</p> <ul style="list-style-type: none"> <li>• Licence / permit to fell trees or harvest other produce;</li> <li>• Forest Produce Declaration Form</li> <li>• Forest Produce Movement Permit</li> </ul>
<p><b>Indicator 8.5.2</b></p> <p>Information about all products sold is compiled and documented, including:</p> <ol style="list-style-type: none"> <li>1) Common and scientific species name;</li> <li>2) Product name or description;</li> <li>3) Volume (or quantity) of product;</li> <li>4) Information to trace the material to the source of origin logging site;</li> <li>5) Logging date;</li> <li>6) If basic processing activities take place in the forest, the date and volume produced; and</li> <li>7) Whether or not the material was sold as FSC certified.</li> </ol>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Documentation trail of all products leaving the forest</li> <li>• Interviews with Organization*s worker*s and other stakeholders</li> <li>• Field observations</li> </ul> <p><b>Comment / Guidance</b></p> <p>Ref: National Forestry and Tree Planting Regulations</p>
<p><b>Indicator 8.5.3</b></p> <p>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:</p> <ol style="list-style-type: none"> <li>1. Source of product (Forest, Compartment, Village, Subcounty, District)</li> <li>2. Name and address of purchaser;</li> <li>3. The date of sale;</li> <li>4. Common and scientific species name;</li> <li>5. Product description;</li> <li>6. The volume (or quantity) sold;</li> <li>7. Certificate code; and</li> <li>8. The FSC Claim "FSC 100%" identifying products sold as FSC certified.</li> </ol>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Sales Invoices or similar documents</li> <li>• Forest Produce Declaration Form</li> <li>• Forest Movement Permits</li> </ul> <p><b>Guidance</b></p> <p>Ref thee Forestry Regulations for samples of the documents under the relevant Schedules</p>
<p><b>PRINCIPLE 9: HIGH CONSERVATION VALUES</b></p>	
<p><b>THE ORGANIZATION* SHALL* MAINTAIN AND/OR ENHANCE THE HIGH CONSERVATION VALUES* IN THE MANAGEMENT UNIT* THROUGH APPLYING THE PRECAUTIONARY APPROACH*</b></p>	
<p><b>Criterion 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*:</b></p> <p><b>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.</b></p> <p><b>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</b></p>	

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\*.

<b>Indicator 9.1.1</b>	<b>Verifiers</b>
An assessment is completed using Best Available 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.	<ul style="list-style-type: none"> <li>• Maps</li> <li>• Expert reviewed Assessment Report or reports for HCV</li> <li>• Interviews with Organization*'s worker*s and other relevant stakeholders</li> <li>• Field observations</li> </ul> <p><b>Guide:</b> Refer to <b>Annex I</b> (High Conservation Value Framework for Uganda) and the possible sources of "Best Available Information" outlined in <b>Annex J</b></p>
<b>Indicator 9.1.2</b>	<b>Verifiers</b>
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"> <li>• Stakeholder engagement strategy</li> <li>• Record of stakeholder engagement <ul style="list-style-type: none"> <li>• Interviews with the Organization's workers</li> </ul> </li> </ul> <p><b>Comment:</b> "Culturally appropriate engagement" is variable and will be specific to the area where the Organization operates</p>
<b>Criterion 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.</b>	
<b>Indicator 9.2.1</b>	<b>Verifiers</b>
Threats to High Conservation Values* are identified using Best Available Information	<ul style="list-style-type: none"> <li>• Threat Assessment Reports</li> <li>• Interviews with the Organization's workers and other stakeholders</li> </ul>
<b>Indicator 9.2.2</b>	<b>Verifiers</b>
Management strategies and actions are developed to maintain and/or enhance the identified High	<ul style="list-style-type: none"> <li>• Documented strategies and procedures</li> </ul>



<p><b>Conservation Values* and to maintain associated High Conservation Value* Areas*(Annex I) prior to implementing potentially harmful management activities.</b></p>	<ul style="list-style-type: none"> <li>• Forest management Plan</li> </ul>
<p><b>Indicator 9.2.3</b></p> <p><b><i>Affected* and interested stakeholders* and experts are engaged in the development of management strategies and actions to maintain and/or enhance the identified High Conservation Values*.</i></b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Stakeholder engagement process</li> <li>• Documented management strategies <ul style="list-style-type: none"> <li>• Interviews with organization’s works and other stakeholders</li> </ul> </li> </ul> <p><b>Comment:</b> Among the “experts” are included the relevant District local government personnel, NGOs, consultants.</p>
<p><b>Indicator 9.2.4</b></p> <p><b>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.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Documented management strategies</li> <li>• Monitoring reports</li> <li>• Interviews with organization’s works and other stakeholders</li> <li>• Field observations</li> </ul>
<p><b>Criterion 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.</b></p>	
<p><b>Indicator 9.3.1</b></p> <p><b>The High Conservation Values*and the High Conservation Value Areas* on which they depend are maintained and/or enhanced, including by implementing the strategies developed (Annex I).</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Annual Work Plans and Budgets</li> <li>• Monitoring and evaluation reports</li> <li>• Routine reports</li> <li>• Interviews with Organization’s workers and other stakeholders</li> <li>• Field observations</li> </ul> <p><b>Guidance:</b> Ref Annex I.</p>
<p><b>Indicator 9.3.2</b></p> <p><b>The strategies and actions prevent damage and avoid risks to High Conservation Values*.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Study Reports</li> <li>• Environment Management Plan</li> <li>• Forest Management Plan</li> <li>• Documented measures</li> <li>• Interviews with Organization’s workers and other stakeholders</li> <li>• Field observations</li> </ul>
<p><b>Indicator 9.3.3</b></p>	

<p>Activities that harm <i>High Conservation Values</i>* cease immediately and actions are taken to <i>restore</i>* and protect the <i>High Conservation Values</i>*.</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Monitoring and evaluation reports</li> <li>• Restoration Action Plans (For Large Scale)</li> <li>• Routine Reports</li> <li>• Interviews with Organization's workers and other stakeholders</li> <li>• Field observations</li> </ul>
<p><b>Criterion 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.</b></p>	
<p><b>Indicator 9.4.1 (a)</b></p> <p>A program of periodic <i>monitoring</i>* (Annex G) assesses:</p> <ol style="list-style-type: none"> <li>1. Implementation of strategies;</li> <li>2. The status of <i>High Conservation Values</i>* including High Conservation areas on which they depend; and</li> <li>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 Conservation Values*.</li> </ol>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Monitoring program</li> <li>• Monitoring and evaluation Reports</li> </ul>
<p><b>Indicator 9.4.1 (b)</b></p> <p>For LIOs and SLIMFs</p> <p>Actions to monitor HCVs cover at a minimum:</p> <ol style="list-style-type: none"> <li>1. The status of High Conservation Values* including High Conservation areas on which they depend; and</li> <li>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.</li> </ol>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Interviews with Organization's workers and other stakeholders</li> <li>• Field observations</li> </ul>
<p><b>Indicator 9.4.2 (a)</b></p> <p>The monitoring program includes engagement* with <i>affected</i>* and <i>interested stakeholders</i>* and experts.</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Monitoring Program</li> <li>• Interviews with the Organization's workers and stakeholders</li> </ul>
<p><b>Indicator 9.4.2 (b)</b></p> <p>For LIOs and SLIMFs</p> <p>Monitoring is done through engagement with affected and interested stakeholders and local experts on request</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Interviews with Organization's workers and other stakeholders</li> <li>• Field observations</li> </ul>
<p><b>Indicator 9.4.3</b></p>	

<p>The <i>monitoring</i>* program has 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>*.</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>Monitoring Program</li> </ul>
<p><b>Indicator 9.4.4</b></p> <p>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*.</p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>Monitoring and evaluation reports</li> <li>Evidence of adaptation of results</li> </ul>
<p><b>PRINCIPLE 10: IMPLEMENTATION OF MANAGEMENT ACTIVITIES</b></p> <p>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.</p>	
<p><b>Criterion 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*.</b></p>	
<p><b>Indicator 10.1.1</b></p> <p>Harvested sites are regenerated in a timely manner that:</p> <ol style="list-style-type: none"> <li>Protects affected environmental values*, and</li> <li>Is suitable to recover overall pre-harvest or natural forest* composition and structure</li> </ol>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>Annual Work Plan and Budgets</li> <li>Routine Reports</li> <li>Monitoring and Evaluation Reports</li> <li>Field Observations</li> <li>Interviews with Organization's workers and other stakeholders</li> </ul>
<p><b>Indicator 10.1.2</b></p> <p>Regeneration activities* are implemented in a manner that:</p> <ol style="list-style-type: none"> <li>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;</li> <li>For harvest of natural forests*, regenerate to pre-</li> </ol>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>Forest Management Plan</li> <li>Evidence for species-site matching</li> <li>Routine Reports</li> <li>Monitoring and Evaluation Reports</li> <li>Field Observations</li> <li>Interviews with Organization's workers and other stakeholders</li> </ul>

<p>harvest* or to more natural conditions*; or 3. For harvest of degraded natural forests*, regenerate to more natural conditions*.</p>	
<p><b>Criterion 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.</b></p>	
<p><b>Indicator 10.2.1</b></p> <p><b>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 nonlocal genotypes* or non-native species*.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Forest Management Plan</li> <li>• Evidence for species-site matching</li> <li>• Field Observations <ul style="list-style-type: none"> <li>• Interviews with Organization’s workers and other stakeholders</li> </ul> </li> </ul> <p><b>Guidance</b></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. 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.</p>
<p><b>Indicator 10.2.2</b></p> <p><b>Species chosen for regeneration are consistent with the regeneration objectives* and with the management objectives*.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Forest Management Plan</li> <li>• Monitoring and Evaluation Reports</li> <li>• Field Observations</li> </ul>
<p><b>Criterion 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.</b></p>	
<p><b>Indicator 10.3.1</b></p> <p><b>Alien species* are used only when direct experience and / or the results of scientific research demonstrate that invasive impacts can be controlled.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Specialized study Reports</li> <li>• Forest Management Plan</li> <li>• Monitoring and Evaluation Reports <ul style="list-style-type: none"> <li>• Field Observations</li> </ul> </li> </ul> <p><b>Comment / Guidance</b></p> <p>The selection of the species like Eucalyptus, pine and Terminalia is based on species trials done in the 1950s-60s which established growth performance and therefore site suitability and returns on investment.</p>
<p><b>Indicator 10.3.2</b></p>	

<p><b>Alien species* are used only when effective mitigation measures are in place to control their spread outside the area in which they are established.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Mitigation measures / strategies</li> <li>• Forest Management Plan</li> <li>• Monitoring and Evaluation Reports</li> <li>• Field Observations</li> </ul>
<p><b>Indicator 10.3.2</b></p> <p><b>The spread of invasive species introduced by <i>The Organization*</i> is controlled inside the Forest management Unit and the surrounding areas</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Strategy for controlling Invasive species</li> <li>• Forest Management Plan</li> <li>• Monitoring and Evaluation Reports</li> <li>• Field Observations</li> </ul>
<p><b>Indicator 10.3.3</b></p> <p><b>The spread of invasive species introduced by <i>The Organization*</i> is controlled inside the Forest management Unit and the surrounding areas</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Strategy for controlling Invasive species</li> <li>• Forest Management Plan</li> <li>• Monitoring and Evaluation Reports</li> <li>• Field Observations</li> </ul>
<p><b>Indicator 10.3.4</b></p> <p><b>Management activities are implemented, preferably in cooperation with separate regulatory bodies where these exist, with an aim to control the invasive impacts of alien species* that were not introduced by <i>The Organization*</i>.</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Strategy for controlling Invasive species</li> <li>• Forest Management Plan</li> <li>• Monitoring and Evaluation Reports</li> <li>• Field Observations</li> </ul> <p><b>Guidance:</b> The regulatory bodies include:</p> <ul style="list-style-type: none"> <li>• Directorate of Crop Protection, Ministry of Agriculture, Animal Industry and Fisheries;</li> <li>• National Environment Authority</li> <li>• Forestry Sector Support Department</li> </ul>
<p><b>Criterion 10.4. The Organization* shall* not use genetically modified organisms* in the Management Unit*.</b></p>	
<p><b>Indicator 10.4.1</b></p> <p><b>Genetically Modified Organisms*are not used</b></p>	<p><b>Verifiers</b></p> <ul style="list-style-type: none"> <li>• Forest Management Plan</li> <li>• Field Observations</li> <li>• Interviews with stakeholders</li> </ul>

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

<b>Indicator 10.5.1</b>	<b>Verifiers</b>
<b>Silvicultural practices are implemented that are ecologically appropriate for the vegetation, species, sites and management objectives*.</b>	<ul style="list-style-type: none"> <li>• Forest Management Plan</li> <li>• Documented silvicultural systems</li> <li>• Evidence of compliance with National Guidelines for management of natural forests an National Guidelines for Tree Growing</li> <li>• Monitoring and Evaluation Reports</li> <li>• Field Observations</li> </ul>

**Criterion 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.**

<b>Indicator 10.6.1</b>	<b>Verifiers</b>
<b>The use of fertilizers* is minimized or avoided.</b>	<ul style="list-style-type: none"> <li>• Plans for use of fertilizers</li> <li>• Forest Management Plan</li> <li>• Monitoring and Evaluation Reports</li> <li>• Field Observations</li> </ul>

<b>Indicator 10.6.2</b>	<b>Verifiers</b>
<b>When fertilizers* are used, their ecological and economic benefits are equal to or higher than those of silvicultural systems that do not require fertilizers*.</b>	<ul style="list-style-type: none"> <li>• Evidence of ecological and economic benefits</li> <li>• Forest Management Plan</li> <li>• Monitoring and Evaluation Reports</li> </ul>

<b>Indicator 10.6.3</b>	<b>Verifiers</b>
<b>When fertilizers* are used, their types, rates, frequencies and site of application are documented</b>	<ul style="list-style-type: none"> <li>• Plans for use of fertilizers</li> <li>• Forest Management Plan <ul style="list-style-type: none"> <li>• Monitoring and Evaluation Reports</li> </ul> </li> </ul> <p><b>Guidance:</b> The application of fertilizers in an area should be based on existing available research information, or information derived from on-site trials.</p>

<b>Indicator 10.6.4</b>	<b>Verifiers</b>
<b>When fertilizers are used, environmental values are protected, including through implementation of</b>	<ul style="list-style-type: none"> <li>• Measures for protection of environmental values</li> <li>• Monitoring reports <ul style="list-style-type: none"> <li>• Maps (for Large Scale)</li> </ul> </li> </ul> <p><b>Guidance:</b></p>

<b>measures to prevent damage</b>	The Occupational Health & Safety Act (2006) requires monitoring of chemicals/fertilizers release in the environment.	
<b>Indicator 10.6.5</b>	<b>Verifiers</b>	
<b>Damage to environmental values* resulting from fertilizer use is mitigated or repaired</b>	<ul style="list-style-type: none"> <li>• Monitoring and evaluation Reports</li> <li>• Mitigation Action Plan</li> <li>• Field observation</li> </ul>	
<b>Criterion 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.</b>		
<b>Indicator 10.7.1 (a)</b>	<b>Verifiers</b>	
<b>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."</b>	<ul style="list-style-type: none"> <li>• Integrated Pest Management Strategy**</li> <li>• Monitoring and Evaluation Reports <ul style="list-style-type: none"> <li>• Field observation</li> </ul> </li> </ul> <b>Guide:</b> 'FSC Guide to integrated pest, disease and weed management in FSC certified forests and plantations' (2009) and associated policies, guidelines, advice notes	
<b>Indicator 10.7.1 (b)</b>	<b>Verifiers</b>	
<b>For LIOs and SLIMFs Actions are included in the Management Plan that show commitment to reduction and eventual elimination of chemical usage</b>	<ul style="list-style-type: none"> <li>• Management Plan</li> <li>• Records of chemical use</li> <li>• Interviews with the Organization's workers and other stakeholders</li> <li>• Field observations</li> </ul>	
<b>Indicator 10.7.2</b>	<b>Verifiers</b>	
<b>Chemical pesticides* prohibited by FSC's Pesticide Policy are not used or stored in the Management Unit unless FSC has granted derogation</b>	<ul style="list-style-type: none"> <li>• No evidence of use of prohibited chemical pesticides <ul style="list-style-type: none"> <li>• Derogation documents in case they are being used</li> </ul> </li> </ul> <b>Guidance:</b> Ref. to FSC pesticide policy and list of prohibited pesticides (FSC-STD-30-01a)	
<b>Indicator 10.7.3</b>	<b>Verifiers</b>	
<b>Records of pesticide* usage are maintained, including trade name, active ingredient, quantity of</b>	<ul style="list-style-type: none"> <li>• Records</li> </ul>	

active ingredient used, period of use, location and area of use, and reason for use	
<b>Indicator 10.7.4</b> <b>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 clean-up following accidental spillages.</b>	<b>Verifiers</b> <ul style="list-style-type: none"> <li>• Documented procedures for use of pesticides in accordance with ILO Guides on: <ul style="list-style-type: none"> <li>• Safety and Health in the Use of Agrochemicals: A Guide</li> <li>• Safety in the Use of Chemicals at Work</li> </ul> </li> </ul> <b>Guidance:</b> Refer to the International Labour Organisation code of practice on health and safety in forestry work ( <a href="http://www.ilo.org">www.ilo.org</a> )
<b>Indicator 10.7.5</b> <b>If pesticides* are used, application methods minimize quantities used, while achieving effective results, and provide effective protection* to surrounding landscapes*.</b>	<b>Verifiers</b> <ul style="list-style-type: none"> <li>• Documented procedures for use of pesticides</li> <li>• Monitoring reports</li> <li>• Interviews with stakeholders</li> </ul>
<b>Indicator 10.7.6</b> <b>Damage to environmental values* and human health from pesticide* use is prevented and mitigated or repaired where damage occurs</b>	<b>Verifiers</b> <ul style="list-style-type: none"> <li>• Strategies for preventing damage to environmental values and human health</li> <li>• Monitoring reports</li> <li>• Interviews with stakeholders <ul style="list-style-type: none"> <li>• Field observations</li> </ul> </li> </ul> <b>Guidance:</b> The Occupational Health & Safety Act (2006) requires monitoring of chemicals/fertilizers release in the environment
<b>Indicator 10.7.7</b> <b>When pesticides* are used:</b> <ol style="list-style-type: none"> <li>1. The selected pesticide*, application method, timing and pattern of use offers the least risk to humans and non-target species; and</li> <li>2. Objective evidence demonstrates that the pesticide* is the only effective, practical and cost effective way to control the pest.</li> </ol>	<b>Verifiers</b> <ul style="list-style-type: none"> <li>• Protocols for pesticide application</li> <li>• Monitoring reports</li> <li>• Interviews with stakeholders</li> </ul>
<b>Criterion 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*.</b>	
<b>Indicator 10.8.1</b>	<b>Verifiers</b> <ul style="list-style-type: none"> <li>• Protocol used</li> </ul>
<b>The use of biological control agents* is minimized, monitored* and controlled.</b>	<b>Guidance:</b> Relevant institutions for biological control include the National Forestry Resources Research Institute



	(NaFORRI), Ministry of Agriculture (Crop Protection Department) and NEMA
<b>Indicator 10.8.2</b>	<b>Verifiers</b>
<b>Use of biological control agents* complies with internationally accepted scientific protocols*.</b>	<ul style="list-style-type: none"> <li>• Certificate to use biological control agents</li> <li>• Protocols used <ul style="list-style-type: none"> <li>• Interviews with the Organization's workers and other stakeholders</li> </ul> </li> </ul> <p><b>Guidance:</b> Usage of biological agent requires a certificate from the Directorate of Crop Protection/Ministry of Agriculture, Animals, Industry and Fisheries.</p>
<b>Indicator 10.8.3</b>	<b>Verifiers</b>
<b>The use of biological control agents* is recorded including type, quantity, period, location and reason for use.</b>	<ul style="list-style-type: none"> <li>• Records</li> </ul>
<b>Indicator 10.8.4</b>	<b>Verifiers</b>
<b>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 occurs.</b>	<ul style="list-style-type: none"> <li>• Protocols used</li> <li>• Monitoring and evaluation Reports</li> <li>• Field observation</li> </ul>
<b>Criterion 10.9. The Organization* shall* assess risks* and implement activities that reduce potential negative impacts from natural hazards proportionate to scale, intensity, and risk*.</b>	
<b>Indicator 10.9.1 (a)</b>	<b>Verifiers</b>
<b>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.</b>	<ul style="list-style-type: none"> <li>• Risk Assessment Reports</li> </ul> <p><b>Guidance:</b> The potential natural hazards in Uganda include floods, drought, windstorms, hailstorms, earthquakes, landslides, lightening, and volcanic activities.</p>
<b>Indicator 10.9.1 (b)</b>	<b>Verifiers</b>
<b>For LIOs and SLIMFs</b> <b>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</b>	<ul style="list-style-type: none"> <li>• Checklist of potential impacts</li> <li>• Interview with the Organization's works and other stakeholders <ul style="list-style-type: none"> <li>• Field observations</li> </ul> </li> </ul> <p><b>Guidance:</b> The potential natural hazards in Uganda include floods, drought, windstorms, hailstorms, earthquakes, landslides, lightening, and volcanic activities.</p>
<b>Indicator 10.9.2</b>	<b>Verifiers</b>
<b>Management activities mitigate these impacts.</b>	<ul style="list-style-type: none"> <li>• Management Plans</li> <li>• Annual work plans</li> </ul>

	<ul style="list-style-type: none"> <li>• Interviews with the Organization's workers and other stakeholders</li> </ul> <p><b>Guide:</b> Measures may include:</p> <ul style="list-style-type: none"> <li>• creation and maintenance of fire breaks and reservoir ponds to prevent fire damage;</li> <li>• apply silvicultural regimes that prevent storm damage and wind-throw;</li> <li>• controlled burning for pest control;</li> <li>• preserving natural patterns of drainage and wetlands to prevent flood damage;</li> </ul>
<b>Indicator 10.9.3 (a)</b>	<b>Verifiers</b>
<p>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.</p>	<ul style="list-style-type: none"> <li>• Risk Assessment Reports</li> <li>• Forest management Plan</li> <li>• Interviews with the Organization's workers and other stakeholders</li> </ul>
<b>Indicator 10.9.3 (b)</b>	<b>Verifiers</b>
<p>For LIOs and SLIMFs The management activities aim to minimize the risks and impacts of naturally occurring hazards</p>	<ul style="list-style-type: none"> <li>• Management Plan</li> <li>• Interviews with the Organization's workers and other stakeholders</li> <li>• Field observations</li> </ul>
<b>Indicator 10.9.4 (a)</b>	<b>Verifiers</b>
<p>Management activities are modified and/or measures are developed and implemented that reduce the identified <i>risks</i>*.</p>	<ul style="list-style-type: none"> <li>• Risk management strategy</li> <li>• Forest management plans <ul style="list-style-type: none"> <li>• Monitoring reports</li> </ul> </li> </ul> <p><b>Guidance</b> May implement the following measures:</p> <ul style="list-style-type: none"> <li>• In general: stakeholder engagement; public education; equipment; training; monitoring; risk mitigation; collaborate with other agencies, etc.</li> <li>• Fire damage: establish fire detection systems; fire management plans, including preparation and training of fire crews; provision and regular maintenance of suitable equipment.</li> <li>• Storm damage and wind-throw: develop wind maps.</li> <li>• 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 (Principle 8), together with integrated pest management (Criterion 10.7), cover crops, species diversification, silvicultural practices which prevent weed growth and maintain growth of</li> </ul>

	<p>crop species at optimum levels and reduced harvest intensity.</p> <ul style="list-style-type: none"> <li>Flood damage: installing effective drainage structures.</li> </ul>
<b>Indicator 10.9.4 (b)</b>	<b>Verifiers</b>
<p>For LIOs and SLIMFs</p> <p>Management activities are implemented that reduce the identified <i>risks</i>*.</p>	<ul style="list-style-type: none"> <li>Risk management actions</li> <li>Forest management plans</li> <li>Interviews with the Organization's workers and other stakeholders</li> </ul>
<p><b>Criterion 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.</b></p>	
<b>Indicator 10.10.1 (a)</b>	<b>Verifiers</b>
<p>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.</p>	<ul style="list-style-type: none"> <li>Forest Management Plan</li> <li>Annual Work Plans</li> <li>Monitoring and evaluation Reports</li> <li>Field observations</li> </ul>
<b>Indicator 10.10.1 (b)</b>	<b>Verifiers</b>
<p>Road networks (including watercourse crossings) are mapped, and their density within the FMU known</p>	<ul style="list-style-type: none"> <li>Forest Management Plan</li> <li>Annual Work Plans</li> <li>Monitoring and evaluation Reports</li> <li>Field observations</li> </ul>
<b>Indicator 10.10.1 (c)</b>	<b>Verifiers</b>
<p>Road network densities and watercourse crossings are reduced</p>	<ul style="list-style-type: none"> <li>Forest Management Plan</li> <li>Annual Work Plans</li> <li>Monitoring and evaluation Reports</li> <li>Field observations</li> </ul>
<b>Indicator 10.10.1 (d)</b>	<b>Verifiers</b>
<p>Infrastructural development, including transport activities are maintained and managed to protect identified environmental values (Principle 6).</p>	<ul style="list-style-type: none"> <li>Forest Management Plan</li> <li>Annual Work Plans</li> <li>Monitoring and evaluation Reports</li> <li>Field observations</li> </ul>
<b>Indicator 10.10.2</b>	<b>Verifiers</b>
<p><i>Silviculture</i>* activities are managed to ensure protection of the <i>environmental values</i>* identified in <i>Criterion</i>* 6.1.</p>	<ul style="list-style-type: none"> <li>Forest Management Plan</li> <li>Annual Work plans</li> <li>Monitoring and evaluation Reports</li> <li>Field observations</li> </ul>

<b>Indicator 10.10.3</b>	<b>Verifiers</b>
<b>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.</b>	<ul style="list-style-type: none"> <li>• Forest Management Plan</li> <li>• Annual Work plans</li> <li>• Monitoring and evaluation Reports</li> <li>• Field observations</li> </ul>
<b>Criterion 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.</b>	
<b>Indicator 10.11.1</b>	<b>Verifiers</b>
<b>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.</b>	<ul style="list-style-type: none"> <li>• Forest Management Plan</li> <li>• Harvesting Plans</li> <li>• Monitoring and evaluation Reports</li> <li>• Field observations</li> </ul>
<b>Indicator 10.11.2</b>	<b>Verifiers</b>
<b>Harvesting practices optimize the use of forest* products and merchantable materials.</b>	<ul style="list-style-type: none"> <li>• Documented harvesting procedures</li> <li>• Forest Management Plan</li> <li>• Monitoring and evaluation Reports</li> <li>• Field observations</li> </ul>
<b>Indicator 10.11.3</b>	<b>Verifiers</b>
<b>Sufficient amounts of dead and decaying biomass and forest* structure are retained to conserve environmental values*.</b>	<ul style="list-style-type: none"> <li>• Documented harvesting procedures</li> <li>• Forest Management Plan</li> <li>• Monitoring and evaluation Reports</li> <li>• Field observations</li> </ul>
<b>Indicator 10.11.4</b>	<b>Verifiers</b>
<b>Harvesting practices avoid damage to standing residual trees, residual woody debris on the ground and other environmental values*.</b>	<ul style="list-style-type: none"> <li>• Documented harvesting procedures</li> <li>• Forest Management Plan</li> <li>• Monitoring and evaluation Reports</li> <li>• Field observations</li> </ul>
<b>Criterion 10.12. The Organization* shall* dispose of waste materials in an environmentally appropriate manner.</b>	
<b>Indicator 10.12.1</b>	<b>Verifiers</b>
<b>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</b>	<ul style="list-style-type: none"> <li>• Strategy for waste management</li> <li>• Interviews of Organizational workers and other stakeholders</li> <li>• Monitoring and evaluation Reports</li> <li>• Field observations</li> </ul>

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## ANNEXES