



## National Standards for Sustainable Forest Management in Nepal

GFN-STD-FM-01/2018

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## **National Standards of Sustainable Forest Management, Nepal**

### **Introduction:**

Nepal is a multi-lingual, multi-religious, multi-ethnic and multicultural country inhabited by over 125 castes and ethnic groups. A majority of the country's 26,494,504 people (CBS 2012, National Population and Housing Center 2011) live in rural mountain areas with fragile physiography and low economic productivity, thereby creating a very strong poverty-environment-health and vulnerability nexus.

Out of 147000 square km of country's area, about 44 percent is forests, which consists of forest and shrubland. In the country forest and biodiversity are closely linked with wellbeing of peoples specially in rural Nepal. A total of 118 ecosystems have been identified in Nepal, including 112 forest ecosystems, four cultivation ecosystems, one water body ecosystem and one glacier/snow/rock ecosystem. The country occupies about 0.1 percent of global area, but harbors 3.2 percent and 1.1 percent of the world's known flora and fauna, respectively. Many species of plants and animals are threatened. This includes 55 species of wild mammals and 18 species of trees found in the mountains. Birds are among the most threatened group. Fourteen bird species have not been recorded in the country for at least ten years, and the number of Threatened, Endangered, and Critically Endangered species significantly increased between 2004 and 2010. Therefore, sustainable management of Nepal's forest is very important.

After initiation of community forestry in Nepal, sustainable forest management (SFM) is discussed and practiced not only by foresters but also by peoples. Since, then sustainable forest management from perspectives of society, economic and ecology are discussed and practiced to some extent. In order to promote sustainable forest management from these perspectives, all Nepalese stakeholders join hands under the umbrella of Green Foundation and drafted this standards under the framework of PEFC.

In order to draft this standard, a notice for all interested stakeholders were published in national newspaper for three chambers specifically social, economic and ecological. Then the group discussed and drafted the standards. Pilot test was conducted in five community based forestry groups and the standard was finalized. There are nine broad standards, which cover social, economic and ecological issues including biodiversity conservation in Nepal as felt by the group.

## List of Abbreviations

CBD	Convention on Biological Diversity
CBS	Central Bureau of Statistics
CITES	Convention on International Trade in Endangered Species of Wild Fauna & Flora
FM	Forest Management
FMU	Forest Management Unit
FPIC	Free Prior and Informed Consent
I or V	Indicator or Verifier
ILO	International Labour Organisation
ITTA	International Tropical Timber Organization
NTFPs	Non-Timber Forest Products
OP	Operational Plan
PEFC	Program for the Endorsement of Forest Certification
RAMSAR	The Ramsar Convention on Wetlands of International Importance especially as Waterfowl Habitat
SFM	Sustainable Forest Management
UNDRIP	United Nations Declaration on the Rights of Indigenous Peoples
UNFCCC	United Nations Framework Convention on Climate Change
WTO	World Trade Organization

## **Hierarchy of the standards**

Standards are overall terms which implies from broad principle to minute verifier. In this document nine principles of sustainable forest management are identified and proposed. Under each principles, possible criteria are identified which will further support in implementation of the principle. Under each criteria further information is given which can be used either as verifier or as indicator.

## **Standards of sustainable forest management**

Among nine principles, Principle 1, deals with international conventions, treaties, agreement which should be honored and fulfilled in the process of forest management. Principle 2 deals with preparation of operational plan and 3 deals with monitoring of operational plan implementation in forest management. Principle 4 deals with sustainable forest management and production from forests. Principle 5 deal with ecological and social conservation.

Similarly, principle 6 deals with biodiversity conservation in local context. Principle 7 is on protection of forests from natural and human disturbances. Principle 8 is on rights of women, indigenous peoples and local communities. Principle 9 is on provision of workers right and safety.

Law related into international and national contexts. Some of the major laws in national and international contexts include:

### **International Conventions and Treaties**

- Ramsar Convention 1971
- Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), 1973, amended 1979
- ILO Convention Article, 169 (Indigenous and Tribal Peoples Convention, 1989)
- Convention on Biological Diversity 1992
- UNFCCC (United Nation's Framework Convention on Climate Change, 1992)
- UN Declaration on Rights of Indigenous Peoples (2007)

## **National Documents**

### **Constitution of Nepal**



**Acts**

- National Parks and Wildlife Conservation Act, 2029 BS (1973 AD) (with amendments)
- Soil and Watershed Conservation Act, 2039 BS (1982 AD)
- Forest Act, 2049 BS (1993 AD)
- Child Labor (Prohibition and Regulation) Act, 2056 BS (2000 AD)
- Environment Protection Act, 2053 BS (1997 AD)
- CITES Act, 2074

**Rules**

- National Parks and Wildlife Conservation Rules 2030
- Labor Rules 2050 BS (1993 AD)
- Forest Rules, 2051 BS (1995 AD)
- Environment Protection Rules, 2054 (with amendments)
- Local Self Governance Rules, 2056 BS (2000 AD)

## **Initial Draft of Principles and Criteria for SFM Nepal**

### **NP Cert: A Forest Certification System Promoted by Green Foundations**

#### **Principles of sustainable forest management**

1. Forest management shall ensure compatibility with national and international laws related to forest management, carbon and water.
2. FM shall prepare an appropriate forest management plan /operation plan.
3. FM shall do appropriate monitoring and evaluations in order to assure proper implementation of operational plan and its outcomes
4. FM shall ensure sustainable forest management and production from forests
5. FM shall assure on ecological and social conservation aspects
6. FM shall focus and implement biodiversity conservation measures
7. FM shall protect forests from natural and human made disturbances
8. Forest management shall ensure rights of women, indigenous peoples and local communities.
9. FM shall respect and make provision of workers' rights and safety.

## **Green Foundation Standards for Sustainable Forest Management Forest management Compatibility**

### **1. Forest management shall ensure compliance with national and international laws ratified by Nepal which are related to forest management, carbon and water.**

1.1 FMU should obey all national laws.

#### **Criteria**

1.1.1 It shall obey acts, regulations, guidelines, issued by concerned government office.

i. Forest management plan / operational plan shall be approved or endorsed or recognized by the country's authority as per the country's legislation.

Indicator or verifier (I or V) tips to know how criteria are fulfilled: Provisions in forest operational plan and implementation of plan, list of actions taken against violation of laws, etc. A verifier could be court case, punishment records etc.

1.1.2 It shall promote awareness on national laws related with forest management among its users / members/ local stakeholder.

Indicator (I) or Verifier (V) tips: Number of awareness forum or training conducted to users/members/ stakeholders/committee, number of meetings conducted, meeting minutes, etc. (merge with 1.1.8)

1.1.3 All forestry operations shall comply to national laws by incorporating relevant operations in forest operational plan/ management plan.

I. Necessary provisions should be included.

V tips: Approved Operational plan.

1.1.4 FMU shall pay all royalty, taxes and fees which should be paid according to country's law

I. Provision on minute records and OP Provision

V: Receipt and papers of payment

1.1.5 FMU (forest management unit) shall be protected from illegal activities like encroachment, deforestation, making physical structures, etc. Listing probable illegal activities provided in OP as well as issued by government.

V tips: Papers issued from government, Minutes records, and Monitoring report.

1.2 FM shall have legal authority for conducting forest management and/or implementing management plan.

1.2.1 FM shall have legal authority for forest management

I or V tips: Authorization certificate issued from government.

1.3 FM shall respect all international laws.

1.3.1 FM shall know what they can do and cannot do according to provisions of international convention which include CITES, CBD, ITTA, ILO-169, WTO, UNFCCC, UNDRIP, RAMSAR etc, where Nepal is party to the conventions.

I: All international conventions related to forestry should be informed to main stakeholders through interaction.

I: Include in appropriate related provision in OP

V tips: Approved operational plan.

## **2. Forest management shall prepare an appropriate forest operation plan/ management plan.**

2.1 The forest operational plan shall have set of minimum requirements, which include:

- Objectives of forest management.
- Clear and detail boundary to recognize the physical land area.
- Inventory of major biological resource like wild flora and fauna, quantity and quality of timber and biomass.
- Process of forest management and/or silvi-cultural system
- Amount or volume to be harvest as timber and/or fuel wood and their site annually.
- Process and implementation of estimation of forest growth rate for products to be harvested.
- Identification of environmentally sensitive sites with FMU
- Protection measures to be implemented for rare, endangered and threatened species globally and national protected species.
- Use of machines and tools to be used during the process of harvesting and mode of transportation within the FMU.
- Provision of illegal activities.

Verifier: Approved operational plan

**2.2 While preparing forest management plan mentioned as above (or taking decisions in production, protection and use of forests), FM shall ensure involvement key forestry stakeholders in decision making in inclusive manner.**

2.2.1 Identify households which are likely to be affected by the forest management

2.2.2 Include indigenous peoples and local communities in preparing management plan to the extent possible.

2.2.3 Implement FPIC process for indigenous peoples and local communities.

I or V tips: Review of operational plan and discussion with communities

I. Inclusive executive committee or V tips: meeting minutes/general assembly decision, management plan /constitution.

**2.3 A detail management plan or updated management plan shall be implemented with above requirement (mentioned in 2.1)**

2.3.1 Check management plan and find if the bullets needed are mentioned.

I or V: Check status of implementation of management plan or monitoring of management

2.3.2 Provide summary of operational plan in prominent places

I. to be added appropriate or V tips: minutes and OP implementation progress report.

**2.4 The operational plan or updated OP shall have provision to protect all forest resources (NTFPs, trees, water, etc) and bio-diversity within forest management unit from means of destructions (insect, fire and other means).**

2.4.1 Operational plan shall have clear information on detail provision on its resources (NTFP, Trees, Water, etc) and their site of occurrence.

I : Check of operational plan has resource occurrence maps

V tips: Check the contents or provisions in forest operational plan.

2.4.2 Operational plan shall have clear information on conservation measures and specific needs indigenous peoples and local communities for their daily livelihood, religious and cultural needs

I or V tips: Check the contents or provisions in forest operational plan and mapping of the sites in operational plan.

2.4.3 Management plan/ operation plan shall have mentioned details on protection measures like

- Protection of trees, plants and wild animals
- Protection from pest and disease (should write in simple language)
- Protection from forest fire
- Protection of water resources and water ways
- Protection of existing cultural and religious features within the area of FMU
- Protection from unwanted human activities

I or V tips: Check the contents or provisions in forest operational plan.

This also should be in forest protection section.

2.4.4 Details of maintenance of biological diversity, soil and water conservation shall be incorporated.

I or V tips: Check the contents or provisions in forest operational plan.

2.4.5 Details description on flora and fauna which must be preserved according to countries regulations (if existed).

I or V tips: Check the contents or provisions in forest operational plan.

2.4.6 Conservation plan of rare, endangered, threatened and protected species.

I or V tips: Check the contents or provisions in forest operational plan.

2.4.7 List techniques and tools, which will be used in harvesting forest products and if any, list tools which are prohibited for harvesting the forest products.

I or V tips: Check the contents or provisions in forest operational plan and if tool used accordingly.

2.4.8 If the FMU is more than 100 ha then it should demonstrate local natural ecosystem in 5 percent of total area.

I or V tips: Check the contents or provisions in forest operational plan. Also check the provision in implementations.

2.4.9 Details on monitoring measures on harvesting and protection shall be defined in the management plan and communicated to implementers and or local communities.

I or V tips: Check the contents or provisions in forest operational plan.

**2.5 Forest management shall have details on management model and /or process including strategy for re-growth of forest resources to be harvested.**

Indicator 6: Elaboration of silvicultural system or other strategies of regrowth defined in operational plan.

V: Check the contents or provisions in forest operational plan and their implementation status with local community.

**2.6 FM has minimum financial resources for implementation of the operational plan activities without giving burden to poor indigenous peoples and local communities**

2.6.1 Estimate amount of resources needed for management of FMU.

I or V tips: Check in operational plan and interview with key officials in FM

2.6.2 Sources of resources sponsored for implementation of the plan

I or V tips: Check in operational plan and interview with key officials in FM

2.6.3 Forest management shall spent 25% percent of its income in sustainable forest management according to present understandings of Nepalese stakeholders.

**2.7 Forest management shall have involved women, indigenous peoples, and local communities in process of overall forest management.**

2.7.1 Is there any training identified as need for women, indigenous peoples and local communities.

I or V tips: Check the contents or provisions in forest operational plan. Interview with stakeholders to know if the provisions are implemented.

2.7.2 Identify training needed on different field to the local communities who will be involved in the process of forest management.

I or V tips: Check in operational plan and interview with key officials in FM

**2.8 Forest management shall have protected rights and cultural features of indigenous peoples and local communities.**

2.8.1 Conservation of traditional rights of indigenous peoples and local communities.

I or V tips: Check the contents or provisions in forest operational plan. Interview with stakeholders if the provisions are implemented.

### 2.8.2 Conservation of special features within FMU

I or V tips: Check the contents or provisions in forest operational plan. Also check the provision in implementations.

### **2.9 FM shall have statement of environmental and social impacts from implementation of operational plan**

I or V tips: Check the contents or provisions in forest operational plan.

### **3. FM shall do appropriate monitoring and evaluations to assure proper implementation of operational plan and its outcomes**

#### **3.1 Appropriate to the scale and intensity of forest management, monitoring shall be done periodically (5 years) in following features:**

- Overall stock and growth rate of the products to be harvested.
- Forests regeneration
- All harvesting and transportation operations within FMU.
- Maintain species wise record keeping on products harvested, site of harvest, and volume of harvest.
- Maintain records on whom the product was sold, how much, where the products was taken.
- To the extent possible, use sign in the product which cannot be altered (like hammer mark in timber)
- Use of chemical or pesticides
- Status of rare, endangered, threatened and protected species of flora and fauna
- Soil and water protection within FMU
- Susceptibility on forest fire and measure to protect fire.
- Forest encroachment and theft of forest products
- Overall health and vitality of forest resources
- Availability of traditional goods and/or services for indigenous peoples' and local communities
- Establishment of complain mechanism and review on complains of indigenous peoples' and local communities
- Implementation of activities which are necessary according to national laws.

I or V tips: Check in operational plan and interview with key officials in FM and interview with peoples living around the FMU.



### **3.2 A good monitoring system in local context is prepared and implemented.**

3.2.1 Monitoring shall be a part of forest management plan and shall be included in operational plan itself.

I or V tips: Check in operational plan.

3.2.2 Monitoring shall identify sites where conservation and/or improvement is needed.

I or V tips: Check in monitoring report and interview with officials.

3.2.3 To the extent possible, local communities should be included in monitoring team.

I or V tips: Monitoring reports, discussion with local communities.

### **3.3 Forest management shall prepare a summary of monitoring activities and made public by putting a copy in relevant place like key places around forests, local government office and other important places.**

I or V tips: Check if the report is prepared and ask with peoples living around forest management unit.

## **4. FM shall ensure sustainable forest management and production from forests**

### **4.1 An appropriate sustainable forest management system for productions is prepared and implemented**

4.1.1 What silviculture system or management or regrowth strategies adopted should be clearly elaborated.

I or V: Operational plan. Progress reports, monitoring reports, discussion with officials and local communities.

4.1.2 Keep records on allocated area for production of specific goods or services.

I or V tips: Check in operational plan.

4.1.3 Forest management shall identify and elaborate on use of sustainable management systems for the products, which forest management unit is used for harvesting.

I or V tips: Check in operational plan.

4.1.4 FM shall use of a safety factor while estimating products to be harvested to ensure against overharvesting

I or V tips: Check in operational plan, interview with officials and see document on estimation of safety factors.

## **4.2 NTFP harvesting plan shall be prepared under the framework of forest operational plan**

4.2.1 A commercial species of NTFPs are identified jointly with indigenous peoples and local communities.

I or V tips: Check identification in management plans, reports and guidelines.

4.2.2 Management plan for identified NTFPs are prepared jointly with indigenous peoples and local communities. To the extent possible, identify level of annual harvest.

I or V tips: Check if any plans, reports and guidelines are prepared.

4.2.3 NTFP management plan is implemented

I or V tips: Report, discussion.

## **4.3 A record keeping system shall be maintained to support sustainable productions.**

4.3.1 Maintain records of annual inventory on products which FMU has been harvesting.

I or V tips: Interview with officials and see document on estimation of safety factors.

4.3.2 Maintain species wise record keeping on products harvested, site of harvest, and volume of harvest.

I or V tips: Interview with officials and see documents are maintained.

## **4.4 During forest operations waste and damages shall be minimized.**

4.4.1 Minimize waste when products are harvested and transported as well as in other forestry operations like stacking, piling etc.

I or V tips: Interview with officials and see the harvesting sites.

4.4.2 Rehabilitate any land which can affect the production of FMU according to operational plan.

I or V tips: Interview with officials and see in the sites.

4.4.2 A training on waste minimization is given to the persons who involve in the works.

I or V: Training reports, guidelines, discussion.

## **4.5 Forest management shall conduct monitoring of sustainable forest management activities.**

4.5.1 Assure that rate of periodic harvest is not more than rate of periodic growth and/ or periodic increment.

I or V tips: See the provisions in operational plan, interview with key officials and further record on harvests.

4.5.2 Through inventory, survey and mapping, FMU shall confirm that minimum quantity of biomass is retained within the boundary of FMU.

I or V tips: See the provisions in operational plan, interview with key officials and further record on harvests.

4.5.3 FMU shall monitor mid-term periodic growth rate of forests to ensure that over harvesting is not done.

I or V tips: Interview with key officials and further reports.

4.5.4 Similarly monitor periodic growth rate of NTFP to be harvested so that stock in FMU has enough parental materials for re-growth. Or minimize risk of over harvesting.

I or V tips: Interview with key site officials and existing reports containing details on harvesting practices on NTFPs.

## **5. Forest managements hall assure on ecological and social conservation aspects**

### **5.1 FM shall assure conservation of ecological and social components**

5.1.1 After major harvest, forest management shall conduct local environment assessment against negative impact on soil, water, and biodiversity particularly rare, endangered, threatened and protected species as well as potential negative impact of social features like religious plants, trees, grave, temples, etc.

I or V tips: Interview with key site officials and existing reports containing details on harvesting practices.

5.1.2 FMU shall identify buffer area of 25 meter along the stream channels and water ways. (See in water induced disaster policy BS 2071)

I or V tips: Check provisions in operational plan, interview with key officials and site visit.

5.1.3 FMU shall assure minimum damage to soil during harvesting and transportation of trees.

I or V tips: Interview with key officials and field visit.

5.1.4 FMU shall carry out monitoring of negative impact of forest management like compaction of soil and erosion of soil in surface. If found negative, forest management shall mitigate the negative impact from appropriate cultural practice.

I or V tips: Interview with key officials and field visit.

5.1.5 In order to conserve ecological component, if needed, forest management shall develop and implement procedures to use of hazardous material. The use can be permitted with recommendation by a biochemist/ forester.

I or V tips: Interview with key officials and field visit.

5.1.6 FM shall encourage green road management and avoid soil erosion and landslides on forest land or near the forests.

I or V tips: Interview with key officials and field visit.

5.1.7 FMU shall keep ecological functions intact, if possible enhanced and restored.

I or V tips: Interview with key officials and field visit.

**5.2 FMU shall assure sustainable supply of products needed for indigenous peoples and local communities including their requirements to maintain traditional culture.**

5.2.1 Products needed for use of indigenous peoples and local communities shall be prioritized in operational plan.

I or V tips: Interview with people living around forest.

5.2.2 In the process of implementation of forest operations plan, products needed for traditional life system of indigenous peoples and local community should be prioritized in harvesting.

I or V tips: Interview with people living around forest.

5.2.3 FM shall ensure social equity in sharing economic benefits including benefits from products, employment, and recreation.

I or V tips: Review operational plan, discussion on implementation of plan, interview with people living around forest. Is the review result incorporated in further implementation such updating of plan and improvement in benefits sharing mechanism and/or actual benefits?

5.2.4 FM shall allocate and spent 35% of the income from forests for up-liftment of women, indigenous peoples and local communities according to present understandings of major stakeholders.

I or V tips: Reports on forest operational plan implementation and interview with people living around forest.

## **6. Forest management shall focus and implement biodiversity conservation measures**

### **6.1 FM shall prioritize bio-diversity conservation in written approved operational plan.**

6.1.1 FM shall identify and map biodiversity hot spots, and sensitive area from perspectives important biodiversity. Also put signs in sites.

I or V tips: Check the provisions in operational plan, interview with key officials and field visit.

6.1.2 FM shall enhance conditions of biological hot spots through written provision and implementation. A site plan for conservation should be prepared and annexed in the operation plan before initiation of certification process.

I or V tips: Check if the report is prepared.

6.1.3 Periodic monitoring shall be done to ensure conservation of components of biodiversity hot spots and improve the management plan accordingly.

I or V tips: Check if the report, interview with key officials and field visit.

6.1.4 If biodiversity hot spots exist, environmental assessment shall deal specifically on such sites

I or V tips: Check the report and interview with key officials.

### **6.2 Forest management shall focus to enhance knowledge on biodiversity conservation among women, indigenous peoples and local communities**

6.2.1 FMU shall involve and train women, Indigenous peoples and local community in identification of importance of biological conservation in FMU. If such site exists, such program should be part of management plan or any activity prepared in line with management plan.

I or V tips: Check the training report, interview with key officials.

6.2.2 Forest management shall prohibit use of genetically modified trees and plants.

I or V tips: Check the training report, interview with key officials or local knowledgeable persons.

### **6.3 Indigenous traditional knowledge (ITK) proven useful for forest management shall be identified and conserved.**

6.3.1 Identify and document list of useful ITK. Also conserve and promote such knowledge.

V tips: List of ITK documented.

## **7. FMU shall protect forests from natural and human made disturbances**

### **7.1 FM shall identify and monitor natural or human made disturbance**

7.1.1 FM shall identify natural disturbances like pest and disease, erosion by rain, flood, cyclone, earthquake, etc.

I or V tips: Check the report, interview with key officials.

7.1.2 FM shall identify human made disturbances like encroachment, illegal logging, forest fire, hunting and poaching. Also take actions accordingly to minimize the damage.

I or V tips: Check the report, interview with key officials.

7.1.3 Also monitor effect of such disturbances when feel necessary.

I or V tips: Check the report, interview with key officials.

### **7.2 FM shall use environment friendly pest management and seek to minimize chemical pesticides.**

7.2.1 FM shall document the procedure of limited use of chemical pesticides

I or V tips: Check the report, interview with key officials.

7.2.2 FM shall ensure conformity with legal requirements when chemical pesticides are used

I or V tips: Check the report, interview with key officials.

7.2.3 FM shall explain procedure of storage, handling, transportation and use and disposal of chemicals

I or V tips: Check the report, interview with key officials.

7.2.4 FM shall provide training to use the pesticides

I or V tips: Check the report, interview with key officials.

### **7.3. Forest management shall use smart green infrastructure for conservation of human made disturbances**

7.3.1 Forest management shall implement mobile phone and other internet-based forest fire information system for immediate actions by its stakeholders.

I or V tips: Check in field visit, interview with key officials.

7.3.2 FM shall implement measures to protect forest from non-permitted grazing

I or V tips: Check in field visit, interview with key officials.

7.3.3 FM shall implement measure to protect forest from non-permitted or illegal activities and also inform to concerned government agencies.

I or V tips: Interview with key officials and see if such letters are send to concerned officials

## **8. Rights of women, indigenous peoples and local communities are ensured in forest management**

### **8.1 FM shall ensure that women, indigenous peoples and local communities control forest management for the products they are concerned, according to operational plan.**

8.1.1 There shall conduct separate discussion with women, indigenous peoples and local communities to incorporate their needs in operation plan.

I or V tips: Check in operational plan, interview with key officials and indigenous peoples, further reports in the issue.

8.1.2 There shall be proportionate representation of women, indigenous peoples and local communities in decision making about the forest operations and benefit sharing.

I or V tips: Check in operational plan, interview with key officials and indigenous peoples, further reports in the issue.

8.1.3 In the minute of discussion, request and concerns of indigenous peoples and local communities shall be documented.

I or V tips: Check in operational plan, interview with key officials and indigenous peoples, further reports in the issue.

8.1.4 As directed by government norms, 35 percentage (According to present understandings of major stakeholders) of income from forests shall be spent in economic upliftment of women indigenous peoples and poor local communities

I or V tips: Check in operational plan, interview with key officials and indigenous peoples, further reports in the issue.

8.1.5 Forest operational plan shall target to produce the products needed for indigenous peoples and local communities in relation to their daily livelihood, religious and cultural norms.

I or V tips: Check in operational plan, interview with key officials and indigenous peoples, further reports in the issue.

8.1.6 FM shall conduct public auditing of all forestry operations especially on the need of product by women, indigenous peoples and local communities.

I or V tips: Check in operational plan, interview with key officials and indigenous peoples, further reports in the issue.

**8.2 FM shall assure that women, Indigenous peoples and local communities should have ownership in forest management.**

8.2.1 Rights of women, indigenous peoples and local communities shall be clearly written in forest operational plan or other relevant document.

I or V tips: Check in operational plan, interview with key officials and indigenous peoples, further reports in the issue

8.2.2 In the process of forest management traditional rights of indigenous peoples and local communities shall be honored and maintained.

I or V tips: Check in operational plan, interview with key officials and indigenous peoples, further reports in the issue.

8.2.3 FM shall provide opportunities of equal access for employment first to women, indigenous peoples and local communities.

I or V tips: Check the report in the issue, interview with key officials and indigenous peoples, further site visit.

8.2.4 FM shall ensure social equity while sharing benefits and services.

I or V tips: Various reports and discussion with local communities.

8.2.5 FM shall establish conflict management mechanisms with respect to decision making in case of conflict, where the product is commercially sold or used within the group.

I or V tips: Various reports and discussion with local communities.

**8.3. FM shall optimize the benefits from forests by using ecotourism: Should go in benefit part or management plan part**

8.3.1 Ecotourism is one of the good services from which to indigenous peoples and local communities could get benefits, so to the extent possible FM shall promote ecotourism.

I or V tips: Check in operational plan, interview with key officials and indigenous peoples, further reports in the issue.



8.3.2 FM shall provide training to women, indigenous peoples and local communities/forest managers and owners where their capacity is not up to the required level in forest, production and ecotourism.

I or V tips: interview with indigenous peoples, further reports in the issue.

**8.4FM shall identify and conserve special sites which are of cultural, religious and economic importance to indigenous peoples and local communities.**

8.4.1 Cultural, religious and economic sites of indigenous peoples and local communities shall be identified with them, put in maps in forest operational plan.

I or V tips: Check in operational plan, interview with key officials and indigenous peoples and field visits.

8.4.2 There shall be provision to protect these sites in operational plan.

I or V tips: Check in operational plan, interview with key officials and indigenous peoples and field visits.

**8.5FM shall honor and use indigenous technical knowledge possessed by indigenous peoples and local communities by appropriate documentation.**

8.5.1 Document the skill and knowledge on forest management which indigenous peoples have.

I or V tips: Check in operational plan, interview with key officials and indigenous peoples and field visits.

8.5.2 While using their knowledge, indigenous peoples shall be priorly informed and honored (compensated)

I or V tips: Check in operational plan, interview with key officials and indigenous peoples, further reports in the issue.

## **Workers' rights and safety**

### **9.1 FM shall ensure safety features for workers as provisioned by the law of the country**

9.1.1 FM shall use workers according to laws prevailed in the country in working hours and wage

I or V tips: Interview with forest workers and further reports in the issue.

9.1.2 FM shall let workers to form union or affiliate with any such union by their wish

I or V tips: Interview with forest workers and further reports in the issue.

9.1.3 FM shall not use child labor (age below 14 years) in its operations

I or V tips: Interview with forest workers and further reports in the issue.

### **9.2 FM shall provide safety tools and protective gears, to the extent possible to its workers.**

I: Provisions made in guidelines or decisions made to provide such protective gears

V tips: Interview with forest workers and further reports in the issue.

### **9.3 FM shall provide training to workers on use of safety tools and protective gears.**

I: Provisions in operational plan, guidelines or further decisions made.

V tips: Interview with forest workers and further reports in the issue.

### **9.4. FM shall establish grievance/conflict and grievance/conflict resolution system of workers**

I: FM shall establish conflict management mechanisms with respect to decision making in case of conflict or grievance with forest workers.

V tips: Interview with forest workers and further reports in the issue.

### **9.5 FM shall honor the national and international laws which recognizes right of workers according to ratified ILO Conventions.**

I: Forest management should provide, right to organize by workers if demanded by the workers

V tips: Interview with forest workers and further reports in the issue.

## **Different Term Used in the document**

### **Biodiversity**

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

### **Biomass**

The total weight, volume or quantity of organisms in a given area. (Adapted from International Union for Conservation of Nature terminologies)

Is defined as the total aboveground living organic matter in trees expressed as oven-dry tonnes per unit area. It is referred to as biomass density when expressed as mass per unit area, e.g. tonnes per ha. Excluded are stumps and roots (belowground biomass), foliage, flowers and seeds. Different procedures in estimating biomass will be followed for the different vegetation types. (Adapted from Bhopal India Process glossary of technical terms)

### **Conservation**

The management of human use of nature so that it may yield the greatest sustainable benefit to current generations while maintaining its potential to meet the needs and aspirations of future generations. (Adapted from Biodiversity Glossary, Convention on Biological Diversity)

### **Criteria**

A category of conditions or process through which sustainable forest management can be assessed. A criterion is characterized by a set of related indicators, which are monitored periodically to assess change (Montreal Process, 1995) (adapted from Bhopal India Process glossary of technical terms).

### **Forest Inventory**

An assessment of forest resources, including digitized maps and a database, which describes the location and nature of forest cover (including tree size, age, volume and species composition) as well as a description of other forest values such as soils, vegetation and wildlife features. (Adapted from Bhopal India Process Glossary of Technical Terms)

### **Forest Ecosystem Services**

Ecosystem services provided by forests, which included but are not limited to prevention of soil erosion, provisioning of freshwater, provisioning of fresh air, provisioning of timber and non-timber forest produce.

### **Forest Management Unit (FMU)**

A clearly demarcated area of land covered predominantly by forest, managed to a set of explicit objectives and according to a long-term forest management plan. A forest management unit may cover several hundred hectares to fractions thereof. The entire area of the forest management unit will have to be clearly demarcated on the ground and usually also on a map. Under the broad objectives to which the entire management unit is subjected, subunits may be managed under different and separate management regimes. (Adapted from Bhopal India Process Glossary of Technical Terms)

A Forest Management Unit (FMU) is an operational unit of a manageable and controllable size of forest under the responsibility of national and sub-national governments. The FMU has clear economic, social and ecological management objectives stipulated by long-term management plans, annual work and business plans closely related to the main forest functions (e.g. protected forest, production forest, conservation forest) and needs of local stakeholders. Operational and administrative tasks are determined by long-term management objectives and by forest stakeholders (commercial companies, communities, state forest companies) operating in the area (Adopted from FORCLIME, Indonesia).

### **Free Prior and Informed Consent (FPIC)**

The Declaration on the Rights of Indigenous Peoples requires States to consult and cooperate in good faith with the indigenous peoples concerned through their own representative institutions in order to obtain their free, prior and informed consent before adopting and implementing legislative or administrative measures that may affect them (article 19). States must have consent as the objective of consultation before any of the following actions are taken:

- The adoption of legislation or administrative policies that affect indigenous peoples (article 19)
- The undertaking of projects that affect indigenous peoples' rights to land, territory and resources, including mining and other utilization or exploitation of resources (article 32).

In certain circumstances, there is an obligation to obtain the consent of the indigenous peoples concerned, beyond the general obligation to have consent as the objective of consultations. For example, the Declaration explicitly requires States to obtain consent of indigenous peoples in cases of:

- The relocation of indigenous peoples from their lands or territories (article 10)
  - The storage or disposal of hazardous materials on indigenous peoples' lands or territories (article 29)
- Furthermore, indigenous peoples who have unwillingly lost possession of their lands, when those lands have been "confiscated, taken, occupied or damaged without their free, prior and informed consent" are entitled to restitution or other appropriate redress (article 28).

Prior implies that consent is to be sought sufficiently in advance of any authorization or commencement of activities and respect is shown to time requirements of indigenous consultation/consensus processes.

Informed implies that information is provided that covers a range of aspects, including the nature, size, pace, reversibility and scope of any proposed project or activity; the purpose of the project as well as its duration; locality and areas affected; a preliminary assessment of the likely economic, social, cultural and environmental impact, including potential risks; personnel likely to be involved in the execution of the project; and procedures the project may entail. This process may include the option of withholding consent. Consultation and participation are crucial components of a consent process. (Adapted from Indigenous Peoples and Minorities Section, Office of the High Commissioner for Human Rights' Rule of Law, Equality and Non-Discrimination Branch: <http://www.ohchr.org/Documents/Issues/IPeoples/FreePriorandInformedConsent.pdf>)

### **Genetic Diversity**

The variety of genes within a particular population, species, variety, or breed. (Adapted from Convention on Biological Diversity Glossary)

### **Growing Stock**

Volume of all living trees in a given area of forest or wooded land that have more than a certain diameter at breast height. It is usually measured in solid cubic meters (m<sup>3</sup>). It includes the stem from ground level or stump height up to a given top diameter, and may also include branches above a certain diameter. Free implies that there is no coercion, intimidation or manipulation.

### **Health of Forest**

Forest condition that is naturally resilient to damage; characterized by biodiversity, it contains sustained habitat for wood, fish, wildlife, and humans, and meets present and future resource management objectives. (Adapted from Bhopal India Process Glossary of Technical Terms).

### **Indicator**

A quantitative or qualitative parameter which can be assessed in relation to a criterion. It describes objectively and unambiguously a relevant element of a criterion. (Adapted from PEFC terms and definitions)

A quantitative or qualitative variable which can be measured or described, and which provides a means of judging whether a Management Unit complies with the requirements of an FSC Criterion. Indicators and the associated thresholds thereby define the requirements for responsible forest management at the level of the Management Unit and are the primary basis of forest evaluation.

The fulfillment of a criterion is evaluated by using indicators. A typical indicator is a measure of an aspect of the criterion or a measurable quantitative or descriptive variable which when compared to previous measurements demonstrates changes or trends. The indicator has to be judged on a scale of acceptable standards of performance, which may vary widely from region to region and from time to time. Some aspects of criteria cannot be quantified. Their fulfillment can only be judged through the

existence and effective implementation of a regulatory framework. By repeatedly measuring the fulfillment of the criteria, countries can evaluate whether forest management is moving towards or away from sustainability. Also, they can be used as a tool for reporting on the implementation of the commitments made and thus whether the objectives set are being met. (Adapted from Bhopal India Process glossary of technical terms)

A quantitative measure of an effect, which does not in itself signify whether the change is good or bad. (Adapted from Compilation of Forestry Terms and Definitions, European Forestry Institute)

A quantitative measure of change, used to determine whether a criterion has been fulfilled. (Adapted from Compilation of Forestry Terms and Definitions, European Forestry Institute)

Indigenous Species (also called native species, or autochthonous species)

Species or genotypes which have evolved in the same area, region or biotope and are adapted to the specific predominant ecological conditions at the time of establishment. (Adapted from Compilation of Forestry Terms and Definitions, Internal Report no. 6, 2002, European Forestry Institute)

Tree species which have evolved in the same area, region or biotope where the forest stand is growing and are adapted to the specific ecological conditions predominant at the time of the establishment of the stand. (Adapted from Compilation of Forestry Terms and Definitions, Internal Report no. 6, 2002, European Forestry Institute).

### **Management Plan/ operational plan**

The collection of documents, reports, records and maps that describe, justify and regulate the activities carried out by any manager, staff or organization within or in relation to the Management Unit, including statements of objectives and policies. In case of community forests in Nepal, management plan is called operational plan.

### **Monitoring and Evaluation**

Monitoring can be defined as a continuing function that aims primarily to provide the management and main stakeholders of an ongoing intervention with early indications of progress, or lack thereof, in the achievement of results. An ongoing intervention might be a project, programme or other kind of support to an outcome. (Adapted from Handbook on Monitoring and Evaluating for Results, United Nations Development Program)

Evaluation is a selective exercise that attempts to systematically and objectively assess progress towards and the achievement of an outcome. Evaluation is not a one-time event, but an exercise involving assessments of differing scope and depth carried out at several points in time in response to evolving needs for evaluative knowledge and learning during the effort to achieve an outcome. All evaluations—even project evaluations that assess relevance, performance and other criteria—need to be linked to

outcomes as opposed to only implementation or immediate outputs. (Adapted from Handbook on Monitoring and Evaluating for Results, United Nations Development Program.)

### **Natural Forest**

Forestland composed of indigenous trees, not planted by man, which is further classified using the criteria of forest formation (or type), degree of human disturbance or modification, and human interference. (Adapted from Glossary of Center for Sustainable Forest Management & Forest Certification, Indian Institute of Forest Management, Bhopal)

### **Natural Regeneration**

The renewal of a forest stand by natural seeding, sprouting, suckering, or layering seeds may be deposited by wind, birds or mammals. (Adapted from Glossary of Center for Sustainable Forest Management & Forest Certification, Indian Institute of Forest Management, Bhopal)

### **Non-Timber Forest Products**

Non-timber forest products (NTFPs) are any product or service other than timber that is produced in forests. They include fruits and nuts, vegetables, fish and game, medicinal plants, resins, essences and a range of barks and fibres such as bamboo, rattans, and a host of other palms and grasses. (Adapted from Factsheet on Forests and Non-Timber Forest Products, Centre for International Forestry Research: <http://www.cifor.org/publications/corporate/factSheet/NTFP.htm>)

### **Protected Area**

An area of land and/or sea especially dedicated to the protection and maintenance of biological diversity, and of natural and associated cultural resources, and managed through legal or other effective means. A protected area can be under either public or private ownership. (Adapted from Biodiversity Glossary, Convention on Biological Diversity).

### **Regeneration**

Forest regeneration is the act of renewing tree cover by establishing young trees naturally or artificially, generally, promptly after the previous stand or forest has been removed. The method, species, and density are chosen to meet the goal of the landowner. Forest regeneration includes practices such as changes in tree plant density through human-assisted natural regeneration, enrichment planting, reduced grazing of forested savannas, and changes in tree provenances/genetics or tree species. "Human-assisted natural regeneration" means establishment of a forest age class from natural seeding or sprouting after harvesting through selection cutting, shelter (or seed-tree) harvest, soil preparation, or restricting the size of a clear-cut stand to secure natural regeneration from surrounding trees. (Adapted from Special Report - Land Use, Land-Use Change and Forestry: [http://www.ipcc.ch/ipccreports/sres/land\\_use/index.php?idp=235](http://www.ipcc.ch/ipccreports/sres/land_use/index.php?idp=235))

## **Soil Erosion**

A change in the soil health status resulting in a diminished capacity of the ecosystem to provide goods and services for its beneficiaries. (Adapted from Food and Agricultural Organization's Soils Portal: <http://www.fao.org/soils-portal/soil-degradation-restoration/en/>)

## **Species Diversity**

The abundance of the number of species within a particular area.

## **Stakeholder Consultation**

A two-way process of dialogue between a project implementer and the stakeholders of the project. (Adapted from Stakeholder Engagement: A Good Practice Handbook for Companies Doing Business in Emerging Markets, International Finance Corporation)

## **Sustainability**

It refers to the adequate access, use and management of the natural resources, to ensure that the men and women of present and future generations are able to meet their basic needs on an uninterrupted basis. Pattern of behavior that guarantees for each of the future generations, the option to enjoy, at the very least, the same level of welfare enjoyed by the preceding generation. Emphasis is placed on the intergenerational equity of development.

## **Sustainable Management**

Management through which the present potential of the resources is used in the best possible way, and does not reduce the availability of the resources. (Adapted from International Union for Cons Glossary)

## **Sustainable Forest Management**

Sustainable forest management means the environmentally appropriate, socially beneficial, and economically viable management of forests for present and future generations. Yet sustainable forest management is an evolving process, and the parameters defining it change over time based on the latest scientific knowledge and society's understanding of the concept. The forest ecosystem is highly complex, and influenced by numerous external factors. Similarly, different forest types in different regions of the world require different sustainable management strategies.

This means that criteria for sustainable forest management must be constantly adapted to new circumstances; they must reflect the national context and the specific ecological and environmental conditions, as well as social, economic, political, cultural and spiritual dimensions (Adopted from PEFC Websites).

## **Water Resources**

The sum total of all sources of water available in the forest area, including streams, rivers, ponds, surface and underground water. The term here is in reference to water that is extractable and usable for man and wildlife.