

Non Timber Forest Product Certification Addendum for "NEPCon Interim Standard for Assessing Forest Management in Ukraine".

***PRINCIPLE 1: COMPLIANCE WITH LAWS AND FSC PRINCIPLES***

***Forest management shall respect all applicable laws of the country in which they occur, and international treaties and agreements to which the country is a signatory, and comply with all FSC Principles and Criteria.***

Criterion 1.1 Forest management shall respect all national and local laws and administrative requirements.

1.1. NTFP.1 The FME shall demonstrate a record that all activities related to the collection/harvesting and processing of NTFPs undertaken in the Management Unit\* are carried out in compliance with:

- 1) Applicable laws\* and regulations and administrative requirements,
- 2) Legal\* and customary rights\*; and
- 3) Obligatory codes of practice\*.

1.1. NTFP.2 Activities related to the collection/harvesting and processing of NTFPs and covered by the management plan\* are designed to comply with all applicable laws\*.

Criterion 1.2. All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid.

1.2. NTFP.1 The FME or NTFP harvester(s) shall maintain up-to-date harvesting permits, collecting licenses, collecting contracts or cultivation permits and shall duly pay any related fees, leases, or royalties.

Criterion 1.3. In signatory countries, the provisions of all binding international agreements, such as CITES, ILO Conventions, ITTA, and Convention on Biological Diversity, shall be respected.

1.3. NTFP.1 Compliance with applicable national laws\*, local laws\*, ratified\* international conventions and obligatory codes of practice\* relating to the transportation and trade of NTFP up to the point of first sale is demonstrated.

1.3. NTFP.2 NTFPs on CITES Appendix 1 shall not be harvested.

Criterion 1.4. Conflicts between laws, regulations and the FSC Principles and Criteria shall be evaluated for the purposes of certification, on a case by case basis, by the certifiers and the involved or affected parties.

1.4. NTFP.1 Collection of forest resources (e.g. NTFPs, firewood, timber, game etc.) for commercial purposes by third party NTFP harvesters (e.g. local communities, individuals external to the FME) throughout the forest management area shall be monitored, and controlled.

Criterion 1.5. Forest management areas should be protected from illegal harvesting, settlement and other unauthorized activities.

1.5. NTFP.1 Measures are implemented to provide protection\* from unauthorized or illegal NTFP harvesting, hunting, fishing, trapping, collecting, settlement and other unauthorized activities.

1.5. NTFP.2 If illegal or unauthorized NTFP harvesting is detected, measures are implemented to address it.

Criterion 1.6 Forest managers shall demonstrate a long-term commitment to adhere to the FSC Principles and Criteria.

1.6. NTFP.1 A written publicly available policy, endorsed by an individual with authority to implement the policy, includes a long-term\* commitment to forest\* management practices consistent with FSC Principles\* and Criteria\* and related Policies and Standards.

***PRINCIPLE 2: TENURE AND USE RIGHTS AND RESPONSIBILITIES***

***Long-term tenure and use rights to the land and forest resources shall be clearly defined, documented and legally established.***

Criterion 2.1. Clear evidence of long-term forest use rights to the land (e.g. land title, customary rights, or lease agreements) shall be demonstrated.

2.1. NTFP.1 Agreements shall exist between the FME and third party commercial NTFP harvesters and should be documented (e.g. a lease contract or other agreement outlining harvest area, species collected, estimated extracted volume, etc.).

Criterion 2.2. Local communities with legal or customary tenure or use rights shall maintain control, to the extent necessary to protect their rights or resources, over forest operations unless they delegate control with free and informed consent to other agencies.

2.2. NTFP.1 Local communities shall receive fair and adequate benefits for any use of their name or image in marketing of NTFPs.

2.2. NTFP.2 When local knowledge is the basis of an NTFP-related patent, informed consent shall be obtained and the affected community shall receive fair and adequate benefits.

Criterion 2.3. Appropriate mechanisms shall be employed to resolve disputes over tenure claims and use rights. The circumstances and status of any outstanding disputes will be explicitly considered in the certification evaluation. Disputes of substantial magnitude involving a significant number of interests will normally disqualify an operation from being certified.

2.3. NTFP.1 Local communities\* that exist in the Management Unit\* and those that may be affected by NTFP harvesting are identified.

2.3. NTFP.2 Large-scale harvesting and commercialisation of NTFPs shall be described in advance to affected communities identified in 2.3. NTFP.1, by means which are appropriate to the local reality, when the harvest of such products has the potential to impact local subsistence use.

2.3. NTFP.3. Through culturally appropriate\* engagement\* with the local communities\* identified in 2.3. NTFP.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 NTFP harvesting.

#### ***PRINCIPLE 4: 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.

4.1. NTFP.1 Local communities shall be given preference to NTFP resources in the forest management area before other third parties.

Criterion 4.2. Forest management should meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families.

4.2. NTFP.1 Wages and other benefits (health, retirement, workers' compensation, housing, food) for workers involved in NTFP harvest operations shall be consistent with (not lower than) prevailing local standards.

4.2. NTFP.2 NTFP harvest and processing methods and facilities shall protect the safety and health of both workers and end consumers. In particular:

- workers are informed and implement the developed health and safety practices that meet or exceed the "ILO Code of Practice on Safety and Health in Forestry Work";
- Internal control over compliance with labor and safety requirements is carried out;
- Workers\* have personal protective equipment appropriate to their assigned tasks and must use it.

4.2. NTFP.3 All works carried out within the territories with radionuclide contamination density 5 Ci/km<sup>2</sup> and more must be carried out with obligatory radiation control in accordance with the requirements for radiation control in forests and forestry enterprises.

Criterion 4.4. Management planning and operations shall incorporate the results of evaluations of social impact. Consultations shall be maintained with people and groups directly affected by management operations.

4.4. NTFP.1 Social impacts of NTFP harvest and commercialisation by the FME or third parties on local communities shall be addressed through culturally appropriate \* engagement\* with local communities\* and other relevant organizations and incorporated into management planning, particularly respecting subsistence NTFP users.

4.4. NTFP.2 Negative social and cultural impacts on local communities resulting from the influx of NTFP harvesters or commercialisation of NTFPs shall be minimised.

4.4. NTFP.3 The evaluations of social impact, planning and monitoring of NTFP harvesting should be carried out with the involvement of affected stakeholders, NTFP harvesters and local users and consider their perspective.

4.4. NTFP.4 The possibility of NTFP harvesting and / or cultivation in sites of special cultural, ecological, economic, religious or spiritual significance identified by local communities and recognized by the Enterprise to which local communities\* have legal\* rights\* must be agreed with local communities\* according to local legal acts and national legislation

#### ***PRINCIPLE 5: BENEFITS FROM THE FOREST***

***Forest management operations shall encourage the efficient use of the forest's multiple products and services to ensure economic viability and a wide range of environmental and social benefits.***

Criterion 5.1 Forest management should strive toward economic viability, while taking into account the full environmental, social, and operational costs of production, and ensuring the investments necessary to maintain the ecological productivity of the forest.

5.1. NTFP.1 Where NTFPs are being commercially harvested by third parties, compensation made to the FME (cash, services or products) shall be at or above the norm, and shall be perceived by the FME as an incentive to encourage long-term forest management.

5.1. NTFP.2 Efficient harvesting and processing equipment and methods should be used in order to minimise ecological impacts and maximise the economic viability of the NTFP harvest operation. FMEs balance the introduction of new technologies and practices with respect for traditional cultural practices. Costs related to preventing, mitigating or compensating for negative social and environment impacts of management activities are quantified and documented in the management plan\*.

5.1. NTFP.3 In the case of externally supported NTFP harvest operations, a plan shall exist to reduce the level of dependency on external support and to maximise levels of self-sufficiency and control.

Criterion 5.2. Forest management and marketing operations should encourage the optimal use and local processing of the forest's diversity of products.

5.2. NTFP.1 Utilisation of lesser-known species shall not compromise local NTFP needs (e.g. for fruits, medicines, game-attracting species, etc.) and shall not negatively impact forest diversity.

5.2. NTFP.2 When feasible and applicable, the FME should apply multiple certification systems (e.g. FSC, organic, fair trade) to NTFP resources.

Criterion 5.3. Forest management should minimize waste associated with harvesting and on-site processing operations and avoid damage to other forest resources.

5.3. NTFP 1. The FME or NTFP harvester(s) should explore options to utilise or commercialise NTFP processing waste, when feasible and appropriate.

5.3. NTFP 2. Harvesting and extraction practices for non-timber forest products\* are implemented in a manner that conserves environmental values.

5.3. NTFP 3. Harvesting practices optimize the use of NTFPs.

5.3. NTFP 4. Harvesting practices avoid damage to other forest ecosystem components including other parts of harvested plants.

Criterion 5.4. Forest management should strive to strengthen and diversify the local economy, avoiding dependence on a single forest product.

5.4. NTFP.1 The range of NTFPs that could strengthen and diversify the local economy are identified by Organization with the involvement of stakeholders.

5.4. NTFP.2 Consistent with management objectives\*, NTFPs are produced by The Organization\* and/or made available for others to produce, to strengthen and diversify the local economy.

Criterion 5.6. The rate of harvest of forest products shall not exceed levels which can be permanently sustained.

5.6. NTFP.1 The intensity, frequency and seasonality of NTFP harvest, by area and volume, shall be based on a combination of scientific study and/or long-term local experience and knowledge and shall not exceed sustainable levels.

5.6. NTFP.2 NTFP harvest rates, cultural techniques and harvest methods shall be appropriate for the particular plant part used (exudate, reproductive propagule, vegetative structure; See annex 1 for guidance) and management activities maintain viable populations of target NTFPs. In particular, part of non-timber forest products should remain during harvesting in an amount sufficient to maintain forest ecological services, NTFP population viability and biodiversity

5.6. NTFP.3 Appropriate NTFP harvest prescriptions shall be implemented in the field.

#### ***PRINCIPLE 6: ENVIRONMENTAL IMPACT***

***Forest management shall conserve biological diversity and its associated values, water resources, soils, and unique and fragile ecosystems and landscapes, and, by so doing, maintain the ecological functions and the integrity of the forest.***

Criterion 6.1. Assessment of environmental impacts shall be completed appropriate to the scale, intensity of forest management and the uniqueness of the affected resources and adequately integrated into management systems. Assessments shall include landscape level considerations as well as the impacts of on-site processing facilities. Environmental impacts shall be assessed prior to commencement of site-disturbing operations.

6.1. NTFP.1 Environmental assessments during NTFP harvesting planning shall include the impacts resulting from commercial harvesting of NTFPs.

6.1. NTFP.2 The results of impact assessment for commercial NTFP harvesting are contained in the forest management plan and in the preparatory documents for management activity within definite site

6.1. NTFP.3 Where negative impacts of commercial harvesting of NTFPs to environmental values\* occur, measures are adopted to prevent further damage, and negative impacts are mitigated\* and/or repaired\*.

Criterion 6.2. Safeguards shall exist which protect rare, threatened and endangered species and their habitats (e.g., nesting and feeding areas). Conservation zones and protection areas shall be established, appropriate to the scale and intensity of forest management and the uniqueness of the affected resources. Inappropriate hunting, fishing, trapping and collecting shall be controlled.

6.2. NTFP.1 NTFPs on either local and/or international endangered or threatened species lists (e.g., CITES Appendix 1, "critically endangered" IUCN list, national lists, etc.) as well as NTFPs within the habitats of rare and endangered species shall not be harvested.

6.2. NTFP.2 Effective measures are taken to manage and control NTFP harvesting to ensure that naturally occurring native species\*, their diversity within species and their natural distribution are maintained.

Criterion 6.3. Ecological functions and values shall be maintained intact, enhanced, or restored, including:

a) Forest regeneration and succession.

b) Genetic, species, and ecosystem diversity.

c) Natural cycles that affect the productivity of the forest ecosystem.

6.3. NTFP.1 NTFP harvest and management shall minimise impacts to forest composition and structure and soil structure and fertility.

6.3. NTFP.2 NTFP harvest and management shall take into account the ecological role and requirements of the target NTFP and other associated species, e.g. food for frugivorous birds and mammals, animal dispersal of seeds, maintenance of specific ecological interdependencies, etc.

6.3. NTFP.3 Measures shall be taken to maintain the natural composition and structure of NTFP populations (e.g. management of natural regeneration, enrichment planting, selection and protection of seed trees).

6.3. NTFP.4 Severe forest simplification arising from NTFP management shall be allowed only when it: is temporally or spatially bound, provides a limited impact on the overall forest management unit, maintains high conservation value forest attributes or provides secure, outstanding conservation benefits to local communities or forest protection efforts.

Criterion 6.5. Written guidelines shall be prepared and implemented to: control erosion; minimize forest damage during harvesting, road construction, and all other mechanical disturbances; and protect water resources.

6.5. NTFP.1 Impacts of NTFP harvest and management on soil and water resources, especially access trails and roads, shall be minimised.

Criterion 6.6. Management systems shall promote the development and adoption of environmentally friendly non chemical methods of pest management and strive to avoid the use of chemical pesticides. World Health Organization Type 1A and 1B and chlorinated hydrocarbon pesticides; pesticides that are persistent, toxic or whose derivatives remain biologically active and accumulate in the food chain beyond their intended use; as well as any pesticides banned by international agreement, shall be prohibited. If chemicals are used, proper equipment and training shall be provided to minimize health and environmental risks.

6.6. NTFP.1 The FME or NTFP harvester(s) shall employ NTFP production and collection systems, integrated pest management and vegetation control strategies that result in the least adverse environmental impact. Pesticides are used only when non-chemical management practices have been proven ineffective or cost prohibitive.

Note: All criterion 6.6 indicators from the applicable FM standard apply to the production and/or collection of NTFPs.

6.6. NTFP.2 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. The ultimate goal is non-use or overall reductions in applications of chemical pesticides

6.6. NTFP.3 Chemical pesticides\* prohibited by FSC's Pesticide Policy are not used or stored in the Management Unit\* unless FSC has granted derogation.

6.6. NTFP.4 Records of pesticide\* usage are maintained, including trade name, active ingredient, quantity of active ingredient used, period of use, location and area of use and reason for use.

6.6. NTFP.5 The use of pesticides\* complies with the ILO document "Safety in the use of chemicals at work" regarding requirements for the transport, storage, handling, application and emergency procedures for cleanup following accidental spillages.

Criterion 6.8. Use of biological control agents shall be documented, minimized, monitored and strictly controlled in accordance with national laws and internationally accepted scientific protocols. Use of genetically modified organisms shall be prohibited.

6.8. NTFP.1 Genetically modified organisms\* are not used for NTFP cultivation.

#### ***PRINCIPLE 7: MANAGEMENT PLAN***

***A management plan – appropriate to the scale and intensity of the operations – shall be written, implemented, and kept up to date. The long-term objectives of management, and the means of achieving them, shall be clearly stated.***

Criterion 7.1. The management plan and supporting documents shall provide:

- a) Management objectives;
- b) Description of the forest resources to be managed, environmental limitations, land use and ownership status, socio economic conditions, and a profile of adjacent lands;

- c) Description of silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resource inventories;
- d) Rationale for rate of annual harvest and species selection;
- e) Provisions for monitoring of forest growth and dynamics;
- f) Environmental safeguards based on environmental assessments;
- g) Plans for the identification and protection of rare, threatened and endangered species;
- h) Maps describing the forest resource base including protected areas, planned management activities and land ownership;
- i) Description and justification of harvesting techniques and equipment to be used.

7.1. NTFP.1 The management plan, or appendices to the plan, shall specifically address and incorporate commercially-managed NTFPs, including:

- NTFP Management objectives;
- Resource use rights and socio-economic conditions of harvesters;
- Harvest areas (described in a map, if possible);
- Rate, timing, and quantity of NTFPs to be harvested, based upon plant part used (exudate, reproductive propagule, vegetative structure) and established best management practices for each NTFP;
- Description of and justification for the amount of each NTFP harvested, the implemented harvesting technique and the equipment used;
- Sources of information that sustain the rationale behind NTFP management activities, (i.e., based on site-specific field data, local knowledge or published regional forest research and government requirements).

7.1. NTFP.2 Verifiable targets\*, and the frequency that they are assessed, are established for monitoring the progress towards NTFP harvesting objective\*

Criterion 7.2. The management plan shall be periodically revised to incorporate the results of monitoring or new scientific and technical information, as well as to respond to changing environmental, social and economic circumstances.

7.2. NTFP.1 The NTFP harvesting plan is revised and updated periodically to incorporate:

- 1) Monitoring results, including results of certification audits;
- 2) Evaluation results;
- 3) Stakeholder engagement\* results;
- 4) New scientific and technical information, and
- 5) Changing environmental, social, or economic circumstances.

Criterion 7.3. Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plan.

7.3. NTFP.1 NTFP harvesters shall receive information, training and/or supervision to ensure the management plan is implemented in the field.

Criterion 7.4. While respecting the confidentiality of information, forest managers shall make publicly available a summary of the primary elements of the management plan, including those listed in Criterion 7.

7.4. NTFP.1 A summary of the management plan in a format comprehensible to stakeholders including NTFP harvesting information and maps and excluding confidential information\* is made publicly available\* at no cost.

7.4. NTFP.2 Relevant components of the management plan, including NTFP harvesting information and excluding confidential information\*, are available to affected stakeholders\* on request at the actual costs of reproduction and handling.

#### ***PRINCIPLE 8: MONITORING AND ASSESSMENT***

***Monitoring shall be conducted -- appropriate to the scale and intensity of forest management -- to assess the condition of the forest, yields of forest products, chain of custody, management activities and their social and environmental impacts.***

Criterion 8.2 Forest management should include the research and data collection needed to monitor, at a minimum, the following indicators:

- a) Yield of all forest products harvested.
- b) Growth rates, regeneration and condition of the forest.

- c) Composition and observed changes in the flora and fauna.
- d) Environmental and social impacts of harvesting and other operations.
- e) Costs, productivity, and efficiency of forest management.

8.2. NTFP.1 The monitoring plan shall include the observed changes in conditions related to:

- NTFP populations (impact of harvest, growth rates, loss or vigour or decline, recruitment);
- Any outstanding environmental changes from NTFP management affecting flora, fauna, soil and water resources;
- Socioeconomic aspects of NTFP use and harvest (changes in community and worker relations or conditions, changes in NTFP use or demand, etc.)

Criterion 8.3. Documentation shall be provided by the forest manager to enable monitoring and certifying organisations to trace each forest product from its origin, a process known as the "chain of custody".

8.3. NTFP.1 Volume and source data on loads of NTFPs shall be available in the forest, in transport, and at processing and distribution centres controlled by the FME or NTFP harvester(s).

8.3. NTFP.2 Information about all NTFP sold is compiled and documented, including:

- 1) Common and scientific species name;
- 2) Product name or description;
- 3) Volume (or quantity) of product;
- 4) Information to trace the material to the source of origin logging block;
- 5) Logging date;
- 6) If basic processing activities take place in the forest, the date and volume produced; and
- 7) Whether or not the material was sold as FSC certified.

8.3. NTFP.3 Sales invoices or similar documentation are kept for a minimum of five years for all NTFP products sold with an FSC claim, which identify at a minimum, the following information:

- 1) Name and address of purchaser;
- 2) The date of sale;
- 3) Common and scientific species name;
- 4) Product description;
- 5) The volume (or quantity) sold;
- 6) Certificate code; and
- 7) The FSC Claim "FSC 100%" identifying products sold as FSC certified.

Criterion 8.5. While respecting the confidentiality of information, forest managers shall make publicly available a summary of the results of monitoring indicators, including those listed in Criterion 8.2.

8.5. NTFP.1 A summary of NTFP monitoring results, in a format comprehensible to stakeholders including maps and excluding confidential information\* is made publicly available\* at no cost.

#### ***PRINCIPLE 9: MAINTENANCE OF HIGH CONSERVATION VALUE FORESTS***

***Management activities in high conservation value forests shall maintain or enhance the attributes that define such forests. Decisions regarding high conservation value forests shall always be considered in the context of a precautionary approach.***

Criterion 9.1. Assessment to determine the presence of the attributes consistent with High Conservation Value Forests will be completed, appropriate to scale and intensity of forest management.

9.1. NTFP.1 Consultations to determine the status of a HCVF shall specifically include NTFPs as an element of the social analysis section covering forest importance to local communities (as per definition "d" of HCVF provided by FSC).

#### **PRINCIPLE 10: PLANTATIONS**

***Plantations shall be planned and managed in accordance with Principles and Criteria 1–9, and Principle 10 and its Criteria. While plantations can provide an array of social and economic benefits, and can contribute to satisfying the world's needs for forest products, they should complement the management of, reduce pressures on, and promote the restoration and conservation of natural forests.***

Criterion 10.2. The design and layout of plantations should promote the protection, restoration and conservation of natural forests, and not increase pressures on natural forests. Wildlife corridors, streamside zones and a mosaic of stands of different ages and rotation periods, shall be used in the layout of the plantation, consistent with the scale of the operation. The scale and layout of plantation blocks shall be consistent with the patterns of forest stands found within the natural landscape.

10.2. NTFP.1 Intensive management, enrichment planting, or cultivation of understory NTFPs in natural forests shall not adversely impact the overstorey or understorey diversity across the forest landscape.

Criterion 10.6. Measures shall be taken to maintain or improve soil structure, fertility, and biological activity. The techniques and rate of harvesting, road and trail construction and maintenance, and the choice of species shall not result in long term soil degradation or adverse impacts on water quality, quantity or substantial deviation from stream course drainage patterns.

10.6. NTFP.1 Intensive management or cultivation of understory NTFPs in natural forests shall not cause erosion, reduce water quality or adversely impact soil structure or fertility.

Criterion 10.8. Appropriate to the scale and diversity of the operation, monitoring of plantations shall include regular assessment of potential on-site and off-site ecological and social impacts, (e.g. natural regeneration, effects on water resources and soil fertility, and impacts on local welfare and social well-being), in addition to those elements addressed in principles 8, 6 and 4. No species should be planted on a large scale until local trials and/or experience have shown that they are ecologically well-adapted to the site, are not invasive, and do not have significant negative ecological impacts on other ecosystems. Special attention will be paid to social issues of land acquisition for plantations, especially the protection of local rights of ownership, use or access.

10.8. NTFP.1 Establishment of NTFP plantations shall not adversely impact resources or rights of local communities or local people.

10.8. NTFP.2 NTFP plantations shall not contribute to reducing the value of the environmental, social and economic functions of similar NTFPs in natural forests.