

cpet

Central Point of Expertise on Timber

UK Government Timber Procurement Policy

**Framework for evaluating
Category B evidence
Second edition**

April 2009

Introduction to the framework

The UK Government's procurement policy on timber and timber products was announced in July 2000¹. From April 2009 there has been a step-change in timber procurement policy. Central government departments, their executive agencies and non-departmental public bodies are now required to procure timber and wood-derived products originating from either legal and sustainable or FLEGT-licensed or equivalent sources.

If requested by Contracting Authorities, contractors are required to provide evidence that their timber or wood-derived products comply with the technical specifications. If requested by the Government Authority, independent verification that the contract requirements are met must be provided. The provision of evidence is based on meeting the Government's definitions for 'legal' and 'sustainable', which are contained in this document. Two types of evidence are accepted:

- Contractors can choose to use forest certification schemes (Category A evidence). A list of assessed certification schemes that currently meet the government's requirements can also be found on the CPET website². Acceptable schemes must ensure that at least 70% (by volume or weight) is from a legal and sustainable source with the balance from a legal source.
- Alternatively, contractors can choose to use some other sufficiently robust form of assurance (Category B evidence) that the source is sustainable. Sources can be accepted provided that at least 70% (by volume or weight) is from a legal and sustainable source with the balance from a legal source.

Assessment of Category B evidence

Category B evidence is all forms of credible evidence other than certification schemes. This type of evidence can vary greatly and needs to be judged on a case-by-case basis. This framework has been developed to provide support to both procurement staff and suppliers on the provision and assessment of Category B evidence.

The framework for assessing Category B evidence is in three parts, each of which is discussed below:

Part 1: Criteria for assessing evidence;

Part 2: Checklists for submission of information and evidence;

Part 3: Practical guides

The criteria for assessing evidence are divided into two sections reflecting the main factors that determine the adequacy of category B evidence, namely:

- The requirements for information and evidence to demonstrate supply chain management which provides traceability from the forest source to the point of supply.

¹ http://www.press.dtlr.gov.uk/pns/DisplayPN.cgi?pn_id=2000_0516

² <http://www.proforest.net/cpet/evidence-of-compliance/category-a-evidence/approved-schemes>

- The requirements for information and evidence to demonstrate that forest management meets UK government requirements for legality or sustainability.

Compliance with each criterion will be assessed as either 'adequate' or 'not adequate'. Existing programmes and *ad hoc* evidence must achieve adequate compliance with every criterion in order to be acceptable.

Checklists have been developed to assist suppliers in providing all the information required in a format which can be systematically and consistently assessed by procurement staff. Three checklists are provided

Checklist 1: Supply chain information

Checklist 2: Forest source information for legality

Checklist 3: Forest source information for sustainability

Practical guides have been developed and will be continually improved and updated to provide background information to help both suppliers and procurement officers.

Two Practical guides are available:

- CPET Practical Guides: Category B evidence, supply chain information
- CPET Practical Guides: Category B evidence, forest source information

Glossary of abbreviations

ISO	International Organisation for Standardisation
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
FMU	Forest management unit
ISEAL	International Social and Environmental Accreditation and Labelling Alliance

Part 1: Criteria for evaluating Category B evidence

1. Supply chain management (chain of custody)

Information on the supply chain should normally be supplied by completing *Checklist 1: Supply Chain Information* for each type of timber or wood product supplied. The criteria below relate to the information provided in the checklist. *CPET Practical Guides: Category B evidence, supply chain information* provides detailed guidance on how to complete Checklist 1.

Criteria	Guidance on interpretation
1.1 Is the supply chain clearly described and complete from point of supply back to the forest source(s)?	<p>Each stage in the supply chain from the forest source(s) through transport and processing needs to be included for each product being supplied.</p> <p>If the project includes a number of different products (e.g. flooring, window frames and construction timber) information is needed for each product.</p> <p>If the product is a composite (e.g. a cupboard mainly made of plywood with a solid timber door) the supply chain details must be provided for each component.</p> <p>Please refer to <i>CPET Practical Guides: Category B evidence, supply chain information</i> for detailed guidance on interpretation.</p>
1.2 Has an adequate mechanism for preventing uncontrolled mixing or substitution been described for each stage in the supply chain?	<p>For each stage in the chain, it needs to be clear what controls are in place to make sure that there is no mixing or substitution – accidental or intentional – with material from other sources. There are a range of different mechanisms which may be used.</p> <p>Please refer to <i>CPET Practical Guides: Category B evidence, supply chain information</i> for detailed guidance on interpretation.</p>
1.3 Has information been provided on how the mechanisms in 1.2 are checked/verified and is the approach used adequate to confirm the mechanisms described are in place and functional?	<p>For each stage it must be clear how the information on control has been verified. This might include a range of different approaches such as:</p> <ul style="list-style-type: none"> • Statements from the organisation implementing the control (1st party checks) • Checks made by the supplier to government of their suppliers (2nd party verification) • Verification by an independent third party (3rd party audits) <p>Please refer to <i>CPET Practical Guides: Category B evidence, supply chain information</i> for detailed guidance on interpretation.</p>
1.4 Is the evidence provided	Suppliers can either supply copies of evidence, or describe

Criteria	Guidance on interpretation
<p>or available adequate to confirm the information provided is accurate?</p>	<p>where it is available.</p> <p>Evidence provided might include:</p> <ul style="list-style-type: none"> • Supplier declarations • 2nd party verification reports • 3rd party audit reports • Information on the location of important documents and how long they are kept. <p>All documents provided as evidence must be in English or with an English translation of relevant parts.</p> <p>If there is any concern about the adequacy, robustness or veracity of the evidence provided then independent verification of the evidence will be required by the Government Authority. In these instances, independent verification must be undertaken by an individual or body whose organisation, systems and procedures conform to ISO Guide 65 or equivalent and who is accredited to audit against timber production standards by a national or international body whose organisation, systems and procedures conform to ISO 17011 or equivalent.</p> <p>Please refer to <i>CPET Practical Guides: Category B evidence, supply chain information</i> for detailed guidance on interpretation.</p>

2. Forest management requirements

Information on the forest source should normally be supplied by completing *Checklist 2: Forest source information for legality* and *Checklist 3: Forest source information for sustainability* for each type of timber or wood product supplied. The criteria below relate to the information provided in the checklist. *CPET Practical Guides: Category B evidence, forest source information* provides detailed guidance on how to complete Checklist 2 and Checklist 3.

Criteria	Guidance on interpretation
<p>2.1 Is the information provided on the location of the forest source adequate?</p>	<p>The information provided about the supply chain should include the location of the forest or forests where the timber originated. The adequacy of the evidence provided should be assessed as part of the supply chain evaluation. This section deals with the level of detail.</p> <p>For claims of sustainable sourcing, the information provided must be the forest management unit or units from which the timber was sourced.</p> <p>For claims of legality:</p> <ul style="list-style-type: none"> • For timber originating from forests in countries where legal use rights are clear, forest governance is robust and there are functioning mechanisms for monitoring of compliance and public reporting of non-compliance it may be sufficient to provide information on the country or region (where there are significant differences in forestry or forest type within a country) from which the timber was sourced. • For timber originating from forests in countries where legal use rights are unclear, forest governance is weak or mechanisms for monitoring and public reporting of compliance are absent or functioning inadequately, the information provided must be the forest management unit or units from which the timber was sourced. <p>Please refer to <i>CPET Practical Guides: Category B evidence, forest source information</i> for detailed guidance on interpretation.</p>
<p>2.2 Has information on compliance been provided for each criterion in the relevant checklist?</p>	<p>For claims of legality, Checklist 2 must be completed for each forest source.</p> <p>For claims of sustainability, Checklist 3 must be completed for each forest source.</p>
<p>2.3 Has information been provided on how compliance is checked/verified and is the approach used adequate to confirm the criteria are being</p>	<p>Mechanisms might include:</p> <ul style="list-style-type: none"> • 1st party checks • 2nd party verification • 3rd party audits

Criteria	Guidance on interpretation
met?	<ul style="list-style-type: none"> • External programmes providing forest management support <p>The type of mechanism which will be appropriate will depend on the type and location of the forest or forests or origin.</p> <p>Please refer to <i>CPET Practical Guides: Category B evidence, forest source information</i> for detailed guidance on interpretation.</p>
2.4 Is evidence supplied or available to support the information provided and is it adequate?	<p>This might include:</p> <ul style="list-style-type: none"> • Supplier declarations • 2nd party verification reports • 3rd party audit reports <p>Supporting documentation may include official documentation such as permits or company documentation, but should not be provided without an accompanying Checklist.</p> <p>All documents must be in English or with an English translation of relevant parts.</p> <p>If there is any concern about the adequacy, robustness or veracity of the evidence provided then independent verification of the evidence will be required by the Government Authority. In these instances, independent verification must be undertaken by an individual or body whose organisation, systems and procedures conform to ISO Guide 65 or equivalent and who is accredited to audit against timber production standards by a national or international body whose organisation, systems and procedures conform to ISO 17011 or equivalent.</p> <p>Please refer to <i>CPET Practical Guides: Category B evidence, forest source information</i> for detailed guidance on interpretation.</p>

Part 2: Checklists for submitting Category B evidence

Three checklists are provided and should be used to present evidence.

Checklist 1: Supply chain information

Checklist 2: Forest source information for legality

Checklist 3: Forest source information for sustainability

UK Government Timber Procurement Policy Category B Checklist 1: Supply chain information

Product			
Name of supplier		Government dept	
Contact person		Contract number	
Contact Details		Date	

Supply chain stage	Supply chain description		Controls for preventing mixing or substitution	Mechanism for verification	Evidence available or provided
	Description	Location			
Forest					
Stage 1					
Stage 2					
Stage 3					
Stage 4					
Stage 5					
Stage 6					
Stage 7					

UK Government Timber Procurement Policy Category B Checklist 2: Forest source information for legality

Product			
Name of supplier		Government dept	
Contact person		Contract number	
Contact Details		Date	

Criteria	How does the forest source comply?	Mechanism for verification	Evidence provided or available
L1 The forest owner/manager holds legal use rights to the forest			
L2 There is compliance by both the forest management organisation and any contractors with local and national laws including those relevant to: <ul style="list-style-type: none"> • Forest management • Environment • Labour and welfare • Health & safety • Other parties' tenure and use rights 			
L3 All relevant royalties and taxes are paid			
L4 There is compliance with the requirements of CITES.			

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Checklist 3: Forest source information for sustainability

Product			
Name of supplier		Government dept	
Contact person		Contract number	
Contact Details		Date	

This checklist is in two parts. Firstly, evidence that the definition of ‘sustainable forest management’ being used is acceptable, and secondly that the forest meets the acceptable definition.

1. Definition of sustainability

A locally applicable definition of sustainability is required. This may be a standard, a set of criteria, a code of practice or some other similar document which sets out in detail the requirements for forest management. The term ‘standard’ is used to cover all of these approaches.

1.1 Development process

Criteria	How does the standard used comply?	Mechanism for verification	Evidence provided or available
S1 There must be a definition of sustainable based on a widely accepted set of international principles and criteria defining sustainable or responsible forest management at the forest management unit level.			
S2 The definition of sustainable must be performance-based and cover all the issues set out in S5 – S8.			
S3 The process of defining ‘sustainable’ must seek to ensure balanced representation and input from the economic, environmental and social interest			

Criteria	How does the standard used comply?	Mechanism for verification	Evidence provided or available
categories.			
<p>S4 The process of defining 'sustainable' must seek to ensure:</p> <ul style="list-style-type: none"> • No single interest can dominate the process; • No decision can be made in the absence of agreement from the majority of an interest category. 			

1.2 Content of standard

CPET Criteria	Requirements in standard
<p>S5 Management of the forest must ensure that harm to ecosystems is minimised. In order to achieve this there must be:</p> <ol style="list-style-type: none"> a. Appropriate assessment of impacts and planning to minimise impacts; b. Protection of soil, water and biodiversity; c. Controlled and appropriate use of chemicals and use of Integrated Pest Management wherever possible. d. Proper disposal of wastes to minimise any negative impacts. 	
<p>S6 Management of the forest must seek to ensure that productivity of the forest is maintained. In order to achieve this the definition of sustainable must include requirements for:</p> <ol style="list-style-type: none"> a. Management planning and implementation of management activities to avoid significant negative impacts on forest productivity. b. Monitoring which is adequate to check compliance with all requirements, together with review and feedback into planning. c. Operations and operational procedures which minimise impacts on the range of forest resources and services. d. Adequate training of all personnel, both 	

CPET Criteria	Requirements in standard
<p>employees and contractors.</p> <p>e. Harvest levels that do not exceed the long-term production capacity of the forest, based on adequate inventory and growth and yield data.</p>	
<p>S7 Management of the forest must seek to ensure that forest ecosystem health and vitality is maintained. In order to achieve this the definition of sustainable must include requirements for:</p> <p>a. Management planning which aims to maintain or increase the health and vitality of forest ecosystems</p> <p>b. Management of natural processes, fires, pests and diseases.</p> <p>c. Adequate protection of the forest from unauthorised activities such as illegal logging, mining and encroachment.</p>	
<p>S8 Management of the forest must seek to ensure that biodiversity is maintained to achieve this the definition of sustainable must include requirements for:</p> <p>a. Implementation of safeguards to protect rare, threatened and endangered species.</p> <p>b. The conservation/set-aside of key ecosystems or habitats in their natural state.</p> <p>c. The protection of features and species of outstanding or exceptional value.</p>	

2. Implementation in the forest

Evidence is required that all of the requirements from the standard outlined above are being implemented in the forest.

Requirement from the standard	How does the forest comply?	Mechanism for verification	Evidence provided or available

Part 3: Guidance documents

Two Practical Guides have been prepared to support the Framework for evaluating Category B evidence. The Framework presents three Checklists which suppliers should use when submitting Category B evidence of legal and sustainable evidence for a UK Government supply.

CPET Practical Guides: Category B evidence, supply chain information

CPET Practical Guides: Category B evidence, forest source information

Please refer to the CPET website www.proforest.net/cpet to download a copy.

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