

cpet

Central Point of Expertise on Timber

Evaluation of Category A Evidence

Obsolète

Assessment Results
**Forest Stewardship
Council**

18 October 2004

FSC 2004

Executive Summary

Date of Current Assessment: October 2004

Anticipated Date of Next Assessment: 2006

Current Status

Meets requirements for legality.

Meets requirements for sustainability, provided products contain 70% or more material from certified forests.

Changes from last assessment

N/A

Obsolete

1. Introduction

The UK Government's procurement policy on timber and timber products was announced in July 2000¹. This policy requires all Government departments and their agencies to actively seek to buy timber products from legal and sustainable sources. In 2003 the Government issued a model contract specification for the supply of timber and timber products that required timber to come from legal sources. The model contract also included a variant specification for timber from sustainable sources.

A key requirement of the contract and variant specification is that suppliers must be able to provide evidence to the Government that the wood or wood products they supply are from legal and, if promised by the supplier, sustainable sources. A number of ways were identified for achieving this. One of the most straightforward is to supply products from certified sources², provided that the certification scheme involved delivers the Government's requirements for legality or sustainability. As there are a number of different timber certification schemes available, the Government recognised that it needed a framework for assessing which ones deliver its timber policy, incorporating the requirements contained in the new contract and variant specifications.

Therefore, a study was carried out through the Central Point of Expertise in Timber (CPET) to review the contract and variant specifications and to assess the five certification schemes identified by procurement staff as the most commonly encountered in the UK wood supply chain to establish which of them deliver UK Government requirements for legal and sustainable timber. These five schemes were:

- The Canadian Standards Association scheme (CSA), which is applicable in Canada.
- The Forest Stewardship Council system (FSC), which is international in scope.
- The Malaysian Timber Certification Council scheme (MTCC), which is applicable in Malaysia.
- The Programme for the Endorsement of Forest Certification schemes (PEFC), which is international in scope.
- The Sustainable Forestry Initiative (SFI), which is applicable in the US and Canada.

These certification schemes are assessed annually to ensure they continue to meet the UK Government's criteria for "legal" and "sustainable".

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

² It is important to note that the UK Government has no intention of requiring suppliers to supply only certified products. It is simply one of the ways in which evidence of legality or sustainability can be delivered. Any other adequate form of evidence will be equally acceptable.

2. The methodology for assessing schemes

2.1 Methodology

The annual re-assessment of each scheme is made based on publicly available documentation from each scheme. For each criterion, relevant scheme requirements were identified together with a note on whether these constituted inadequate, partial or full compliance with the criterion.

The draft assessments are then sent to the respective scheme with an invitation to review the findings and, wherever appropriate, to provide further information or comment on the draft results.

Comments, together with additional information or documentation, were submitted by each scheme and discussions were held with some scheme personnel to discuss and clarify particular issues. The initial findings were reviewed on the basis of this additional input and proposed changes to the findings were drafted. These proposed changes, together with all of the comments submitted by the schemes, were sent for internal Government review and then discussed with the CPET Reference Board. Based on all the input received from this process, the findings were then finalised, and submitted to DEFRA. Following acceptance by DEFRA, the completed findings were sent to the respective schemes.

A more detailed version of the methodology can be found in the CPET Phase 1 Final Report, dated November 2004.

1.1.1. Information sources

As discussed above, the assessment for each scheme was carried out based on publicly available documentation from the scheme, together with direct discussions with some scheme personnel. ***No assessment of the actual outcome of certification in the forest was made***, as this was not part of the terms of reference for the assessment. Details on the sources are available in Appendix 1.

1.1.2. Scoring system used

For each scheme compliance with the requirements of each criterion was scored on a 3-point scale:

0: Inadequately addressed and not acceptable.

1: Partially addressed.

2: Fully addressed.

As a result of having only three possible scores, the score of 1 applied to a wide range of situations, but this was considered a better option than trying to divide partial compliance into a number of different levels which carries a significant risk of becoming subjective.

To achieve recognition as delivering requirements for legality the scheme must achieve a score of at least 1 for each criterion applicable to legality.

To achieve recognition as delivering requirements for sustainability the scheme must achieve a score of at least 1 for each criterion applicable to sustainability as well as an overall score equal to 75% of the total possible.

Therefore, a score of zero for any criterion prevents a scheme from being recognised for the category.

1.1.3. Addressing products containing certified and uncertified material

All of the certification schemes examined allow mixing of certified and uncertified raw material in certified products. As a result, two types of certified product exist:

- 100% certified products: these products contain only material which originated in certified forests. For these products it is only necessary to assess the control of certified material.
- Mixed source products: these products contain material from a range of sources including certified forests, uncertified forests and recycled. Therefore, it is necessary to assess the control not only of certified material, but also of uncertified and recycled material to establish whether it meets the contract conditions and variant specification.

Therefore, although the bulk of the analysis deals with the control of certified material, it is also necessary to decide what is adequate control of the uncertified material in a mixed source product. This was determined as follows:

Legal compliance: the requirements of the certification scheme must be adequate to ensure that there is a verifiable system in place to check that all uncertified material is from a legal source. It is recognised that this is less rigorous than the requirements for the certified material and provides less of a guarantee that the material is from a legal source. However, it was considered that this was adequate to demonstrate due diligence provided the certification schemes included mechanisms to enforce the requirement.

Sustainable: the Government variant specifications and the criteria used to assess schemes set out rigorous requirements which must be met in the forest in order to ensure that forest management is sustainable. Therefore, if uncertified material is to be considered as coming from sustainable sources, it is necessary to have in place a system which ensures similarly rigorous requirements are met for the uncertified material. In practice, such requirements exist only for certified material and currently are not met by any scheme for uncertified raw material.

2. Results

The full findings, scores and results for the FSC assessment can be found in Appendix 1.

2.1. Legal

The assessment indicated that the FSC system is adequate to ensure that certified forests meet UK Government requirements for legal timber. In addition, the requirements for control of uncertified material in mixed source products are adequate to deliver legality. Therefore, all FSC-certified products deliver UK Government requirements for legality.

2.2. Sustainable

The assessment indicated that the FSC system is adequate to ensure that certified forests meet UK Government requirements for sustainable timber. In common with all schemes, uncertified material cannot be guaranteed as coming from sustainable sources. Therefore, FSC-certified products containing 70% or more material from certified forests deliver UK Government requirements for sustainability.

Main issues

- The FSC requirements for mixed source products (those containing certified and uncertified raw material) and the corresponding labels are currently being changed. Further guidance will be developed on which labels currently deliver the UK Government requirement that 70% of the raw material is from sustainable sources and all the material is from legal sources.

Appendix 1. Full results of the assessment for FSC

This appendix contains the full results of the assessment of the FSC forest certification scheme against the UK Government criteria.

The results are presented in the form of a table with five columns containing the following information:

- **Criteria:** This sets out the UK Government criteria for assessing forest certification schemes which a scheme must meet.
- **Findings:** This contains notes from the assessment process summarising the objective evidence compiled from the scheme documentation to justify the score given. *It should be noted that the text in this column is in the form of notes to summarise the information to be used in making an assessment and may in some cases be ambiguously or imperfectly worded. It was not designed to replace original scheme wording nor to be quoted in isolation.*
- **Score:** This sets out the score given for the degree of compliance with the scheme with each criterion. See Section 2.2.3 for notes on the scoring system used.
- **L:** A tick in this column indicates that the criterion relates to meeting UK Government requirements for legality.
- **S:** A tick in the column indicates that the criterion relates to meeting UK Government requirements for sustainability.

Source documents

FSC-STD-01-001 FSC Principles and Criteria for Forest Stewardship

FSC-STD-20-002 Structure and Content of Forest Stewardship Standards

FSC National Initiatives Manual September 1998

FSC By-Laws November 2002

FSC Statutes November 2002

FSC Accreditation Manual July 2002 FSC Document 3.1

FSC Guidelines for Certification Bodies February 2002 FSC Document 3.6

FSC-STD-20-001 The application of ISO/IEC Guide 65:1996 (E) by FSC accredited certification bodies

FSC-STD-20-007 Forest Management Evaluation

FSC-STD-20-006 Stakeholder Consultation for Forest Evaluation

FSC Trademark Manual updated September 2003

Logo Guide for Certificate Holders June 2000

1. Forest Standards

1.1. Content of standards for legal compliance

Criteria	Findings	Score	L ³	S
1.1.1 The standard requires that the forest owner/manager holds legal use rights to the forest	FSC P&C 2.1 <i>Clear evidence of long-term forest use rights to the land (e.g. land title, customary rights or lease agreements) shall be demonstrated</i>	2	✓	
1.1.2 The standard requires compliance from both the forest management organisation and any contractors with local and national laws and codes of practice including those relevant to: <ul style="list-style-type: none"> • Forest management • Environment • Labour and welfare • Health & safety 	FSC P&C 1.1 <i>Forest management shall respect all national and local laws and administrative requirements</i> FSC P&C 4.2 <i>Forest management should meet or exceed all applicable laws and/or regulations covering health and safety of employees and their families</i> FSC P&C 4.3 <i>The rights of workers to organise and voluntarily negotiate with their employers shall be guaranteed as outlined in Conventions 87 and 98 of the International Labour Organisation (ILO)</i>	2	✓	
1.1.3 The standard requires payment of all relevant royalties and taxes	FSC P&C 1.2 <i>All applicable and legally prescribed fees, royalties, taxes and other charges shall be paid</i>	2	✓	
1.1.4 The standard requires compliance with the requirements of CITES.	FSC P&C 1.3 <i>In signatory countries, the provisions of all binding international agreements such as CITES, ILO Conventions, ITTA and Convention on Biological Diversity, shall be respected</i>	2	✓	

1.2. Content of standards for sustainable variant

Criteria	Findings	Score	L	S
1.2.1 Certification standards must be based on a widely accepted set of international principles and criteria defining sustainable or responsible forest management at the forest management unit level, such as: <ul style="list-style-type: none"> • Intergovernmental processes designed for 	FSC Principles and Criteria for Forest Stewardship February 2000 FSC-STD-01-001. FSC-STD-20-002 Structure and Content of Forest Stewardship Standards provides guidance for adaptation of the P&C for use at a national or sub-national level	2		✓

³ L: required to meet requirements for legal, S: required to meet requirements for sustainable variant

Criteria	Findings	Score	L	S
<p>use at FMU level</p> <ul style="list-style-type: none"> • ITTO Criteria • FSC P&C 				
1.2.2 The standard should be performance-based.	FSC P&C includes both performance based and systems based elements.	2		✓
<p>1.2.3 The standard must ensure that harm to ecosystems is minimised. In order to do this the standard should include requirements for:</p> <p>Appropriate assessment of impacts and planning to minimise impacts;</p> <p>Protection of soil, water and biodiversity;</p> <p>Controlled and appropriate use of chemicals and use of Integrated Pest Management wherever possible.</p> <p>Proper disposal of wastes to minimise any negative impacts.</p>	<p>i) FSC P&C 6.1 <i>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.</i></p> <p>ii) FSC P&C 6.5 <i>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.</i></p> <p>FSC P&C 6.3 <i>Ecological functions and values shall be maintained intact, enhanced, or restored, including:</i></p> <p>a) <i>Forest regeneration and succession.</i></p> <p>b) <i>Genetic, species, and ecosystem diversity.</i></p> <p>c) <i>Natural cycles that affect the productivity of the forest ecosystem.</i></p> <p>iii) FSC P&C 6.6 <i>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.</i></p> <p>iv) FSC P&C 6.7 <i>Chemicals, containers, liquid and solid non-organic wastes including fuel and oil shall be disposed of in an environmentally appropriate manner at off-site locations.</i></p>	2		✓
1.2.4 The standard must ensure that productivity of	i) FSC P&C Principle 7 <i>A management plan -- appropriate to the scale and intensity of the</i>	2		✓

Criteria	Findings	Score	L	S
<p>the forest is maintained. In order to do this the standard should include requirements for:</p> <p>i. Management planning and implementation of management activities to avoid significant negative impacts on forest productivity.</p> <p>ii. Monitoring which is adequate to check compliance with all requirements, together with review and feedback into planning.</p> <p>Operations and operational procedures which minimise impacts on the range of forest resources and services.</p> <p>Adequate training of all personnel, both employees and contractors.</p> <p>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><i>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.</i></p> <p>FSC P&C 6.1 (see above)</p> <p>ii) FSC Principle 8 <i>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.</i></p> <p>FSC P&C 8.1 <i>The frequency and intensity of monitoring should be determined by the scale and intensity of forest management operations as well as the relative complexity and fragility of the affected environment. Monitoring procedures should be consistent and replicable over time to allow comparison of results and assessment of change.</i></p> <p>FSC P&C 8.2 <i>Forest management should include the research and data collection needed to monitor, at a minimum, the following indicators:</i></p> <p>a) <i>Yield of all forest products harvested.</i></p> <p>b) <i>Growth rates, regeneration and condition of the forest.</i></p> <p>c) <i>Composition and observed changes in the flora and fauna.</i></p> <p>d) <i>Environmental and social impacts of harvesting and other operations.</i></p> <p>e) <i>Costs, productivity, and efficiency of forest management.</i></p> <p>FSC P&C 8.4 <i>The results of monitoring shall be incorporated into the implementation and revision of the management plan.</i></p> <p>iii) FSC P&C 6.5 (see above)</p> <p>FSC P&C 6.6 (see above)</p> <p>iv) FSC P&C 7.3 <i>Forest workers shall receive adequate training and supervision to ensure proper implementation of the management plan.</i></p> <p>v) FSC P&C 5.6 <i>The rate of harvest of forest products shall not exceed levels which can be permanently sustained.</i></p>			
<p>1.2.5 The standard must ensure that forest ecosystem health and vitality is maintained. In order to do this the</p>	<p>i) Principle 6 <i>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.</i></p>	2		✓

Criteria	Findings	Score	L	S
<p>standard should include requirements for:</p> <ul style="list-style-type: none"> iii. Management planning which aims to maintain or increase the health and vitality of forest ecosystems iv. Management of natural processes, fires, pests and diseases. v. Adequate protection of the forest from unauthorised activities such as illegal logging, mining and encroachment. 	<ul style="list-style-type: none"> ii) FSC P&C 6.3 <i>Ecological functions and values shall be maintained intact, enhanced, or restored, including:</i> <ul style="list-style-type: none"> a) <i>Forest regeneration and succession.</i> b) <i>Genetic, species, and ecosystem diversity.</i> c) <i>Natural cycles that affect the productivity of the forest ecosystem.</i> iii) FSC P&C 1.5 <i>Forest management areas should be protected from illegal harvesting, settlement and other unauthorized activities.</i> 			
<p>1.2.6 The standard must ensure that biodiversity is maintained. In order to do this the standard should include requirements for:</p> <ul style="list-style-type: none"> vi. Implementation of safeguards to protect rare, threatened and endangered species. vii. The conservation/set-aside of key ecosystems or habitats in their natural state. viii. The protection of features and species of outstanding or exceptional value. 	<ul style="list-style-type: none"> i) FSC P&C 6.2 <i>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.</i> ii) FSC P&C 6.4 <i>Representative samples of existing ecosystems within the landscape shall be protected in their natural state and recorded on maps, appropriate to the scale and intensity of operations and the uniqueness of the affected resources.</i> iii) FSC P&C Principle 9 <i>Management activities in high conservation value forests shall maintain or enhance the attributes which define such forests. Decisions regarding high conservation value forests shall always be considered in the context of a precautionary approach.</i> 	2		✓

1.3. Standard-setting process

Criteria	Findings	Score	L	S
1.3.1 The standard-setting process should meet the requirements of <i>ISO Guide 59: Code of Good Practice for Standardisation</i> , the <i>ISEAL Code of Good Practice for Setting Social and Environmental Standards</i> or equivalent.	<p>Guidelines for standard setting are set out in FSC National Initiatives Manual September 1998. This does not specifically reference ISO Guide 59 and pre-dates the ISEAL code. It does however, meet the requirements of the ISEAL Code.</p> <p>However to '<i>avoid discrimination against forest managers in countries that have not yet developed an FSC-accredited Forest Stewardship Standard</i>' the FSC system permits certification bodies to carry out certification according to their own 'interim' standards which are adapted for use in the country with input from stakeholders. These interim standards would be superseded should a national initiative develop and have a standard accredited by FSC. Guidance for this process is provided in Local Adaptation of Certification Body Generic Forest Stewardship Standards FSC-STD-20-003 March 2004. (Used for accreditation from 01/04/04, existing certification bodies compliance from 01/01/05).</p> <p>At September 2004 there were 21 endorsed standards in 9 countries. This accounts for 25.65M ha or 56% of the total FSC certified area (49% by number of sites). Therefore just under half the FSC certified area has been certified using interim standards.</p>	1	✓	✓
1.3.2 The standard-setting body must include balanced representation of economic, environmental and social interest categories.	<p>The FSC National initiatives Manual Chapter 12 includes requirements for participation in standard setting this includes:</p> <p>12.3.1 Shared ownership of process: No one particular interest group can dominate the design or implementation of the consultative process; it must be co-ordinated by a working group that is independent of any one interest group (e.g. a government, certification body, etc.).</p> <p>12.3.1 Working group procedures: The structure of the working group must incorporate a balance of interests, including, but not limited to, ecological, social and economic interest groups. The working group</p>	2		✓

Criteria	Findings	Score	L	S
	<p>must have clearly defined procedures, including avenues for participation of interested groups.</p> <p>12.3.1 Adequate participation and representation: The consultative process should attempt to reach as many stakeholder groups as possible, including those groups that may not fully agree with or endorse the concept of certification. All FSC members in the area should be contacted.</p> <p>FSC-STD-20-003 Local Adaptation of Certification Body Generic Forest Stewardship Standards includes requirements for stakeholder consultation and provides a list of 7 stakeholder types that must be contacted one month prior to a certification audit, which includes representation of social, economic and environmental interest groups including:</p> <ul style="list-style-type: none"> • Any FSC National initiative • Any national committee that is developing national forestry standards • The state forest service • National NGOs that have interest in social or environmental aspects of forest management • Representatives of indigenous peoples • Representatives of forest workers • Representatives of the forest industry 			
<p>1.3.3 The decision-making process adopted by the standard-setting body should ensure:</p> <ul style="list-style-type: none"> • no individual person or organisation can veto the process; • no single interest can dominate the process; • no decision can be made in the absence of agreement from the majority of an interest category. 	<p>The FSC National initiatives Manual Chapter 5 National initiative Internal Structures Section 5.5 Decision Making – notes that the way in which decisions are made within the national initiative should be decided by the national initiative members, however consideration should be given to the FSC 3-chamber voting system. Section 12.3.1 includes a requirement for fair decision-making processes - ideally by consensus, but if the working group is unable to reach a consensus, democratic decision-making procedures must be followed.</p> <p>Details of the recommended FSC 3-chamber voting system is provided in Clauses 12-18 of the FSC By-Laws which note that the General Assembly is made up of three chambers:</p>	1		✓

Criteria	Findings	Score	L	S
	<p>maintaining the balance of voting power between different interests without limiting numbers of members. Votes within each chamber are divided equally between the members. If additional members join a chamber, the voting power of existing members declines accordingly.</p> <p>The three chambers are social, environmental economic interests. Each chamber has 33.3% of the voting power. Decisions are adopted with 66.6% of the total vote plus a quorum of 50 % plus one vote in each chamber.</p> <p>However similar to 1.3.2, interim standards do not follow this process, these being developed by the certification bodies through the process detailed in FSC-STD-20-003. Section 4.5 notes that the certification body is not required to seek or develop consensus, but shall make meaningful accommodation of stakeholder concerns.</p>			

2. Certification

Criteria	Findings	Score	L	S
<p>2.1 Certification is undertaken by an individual or body whose organisation, systems and procedures conform to appropriate ISO guidance, or publicly available equivalent. ISO guidance includes:</p> <ul style="list-style-type: none"> • ISO Guide 62:1996 General requirements for bodies operating assessment and certification/registration of quality systems • ISO Guide 65: 1996 General Requirements for bodies operating product 	<p>Current requirements for certification bodies are held within held within:</p> <ul style="list-style-type: none"> • FSC Accreditation Manual July 2002 FSC Document 3.1 • FSC Guidelines for Certification Bodies February 2002 FSC Document 3.6 <p>As of 01/04/04 FSC-STD-20-001The Application of ISO/IEC Guide 65:1996 (E) by FSC Accredited Certification Bodies was an accreditation requirement. However this standard does not become effective for existing certification bodies until 01/01/05.</p> <p>From 01/01/05 all certification bodies will be required by FSC-STD-20-001 Clause 1.1 to comply with the requirements of ISO/IEC Guide 65:1996 (E), and with the additional requirements and guidance specified in the standard.</p>	1	✓	✓

This document is provided for historical reference. A more recent report is now available

Criteria	Findings	Score	L	S
<p>certification systems</p> <ul style="list-style-type: none"> ISO Guide 66: 1999 General requirements for bodies operating assessment and certification/registration of environmental management systems (EMS) or equivalent. 				
<p>2.2 Certification is undertaken by an individual or body which is accredited to evaluate against forest management standards.</p>	<p>Certification bodies must be accredited by FSC to certify against forest management and/or chain of custody standards. Website based Document 5.3.1 lists 11 certification bodies currently accredited to evaluate against forest management standards.</p> <p>Accreditation requirements contained in FSC Accreditation Manual FSC Document 3.1. Part 1 Section 2 provides an overview of the FSC accreditation procedures.</p>	2	✓	✓
<p>2.3 The certification audit must include assessment of systems and documentation together with verification of outcomes in the forest adequate to ensure that both system and performance requirements in the standard are being met.</p>	<p>FSC Accreditation Requirements Part 3.3: Forest Certification Systems - Section 8 Methodology for forest management evaluation, requires that a certification body develop an evaluation handbook which specifies the methodology for audits.</p> <p>FSC-STD-20-007 March 2004 Forest Management Evaluation provides guidance on how certification bodies carry out forest management audits including document review and site visits.</p> <p>FSC Guidelines for Certification Bodies Part 2: Forest Certification – Subject 2.18: Sampling provides guidance on the scope and intensity of on-site evaluations.</p>	2	✓	✓
<p>2.4 The certification audit must include sufficient consultation with external stakeholders to ensure that all relevant issues are identified relating to compliance with the</p>	<p>FSC Accreditation Manual Part 3.2 Forest Certification System Section 7 Stakeholder Consultation outlines certification body requirements for stakeholder consultation to ensure awareness of any relevant local issues relating to the implementation of the FSC P&C.</p> <p>FSC-STD-20-006 March 2004 Stakeholder</p>	2		✓

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Criteria	Findings	Score	L	S
requirements of the standard.	<p>Consultation for Forest Evaluation requires certification bodies to consult with a range of stakeholders. Certification bodies are required to develop and document a methodology for conducting stakeholder consultations. Section 2 details requirements for the identification of and the provision of information to stakeholders prior to forest management certification audit. Section 3 details requirements for consultation during certification audits.</p> <p>Certification bodies are required to evaluate objectively information and opinions given by consultees relating to compliance or otherwise of the requirements of the standard.</p> <p>FSC-STD-20-007 March 2004 Forest Management Evaluation Clause 3.4.3 requires CBs to interview <i>'a sufficient variety and number of people directly affected by or involved with forest management of each FMU as to make direct, factual observations as to compliance with all the indicators of the applicable Forest Stewardship Standard'</i>.</p>			
2.5 A summary of the results of the certification audit (excluding confidential information) is publicly available to interested parties.	<p>The requirements for reporting is contained in FSC Accreditation Manual Part 3.3 Forest Certification Reports Section 1 Public Certification Summary and FSC-STD-20-009 March 2004 Forest Certification Public Summary reports. Reports are to be published on certification body's websites no later than 30 days following certification, and shall be available on request to the certification body.</p>	2		✓
2.6 There is an accessible and functioning mechanism for dealing with complaints and disputes which is open to any interested party.	<p>FSC Accreditation Manual Part 3.1: Organisational Structure and Systems Section 6: Dispute Resolution Procedures requires certification bodies to develop and implement policy and procedures for addressing disputes, grievances, complaints and appeals. This must be <i>'accessible to the evaluated supplier and other stakeholders with an interest in the certification decision'</i>.</p> <p>If conciliation cannot be reached the matter is referred to the FSC Secretariat.</p>	2	✓	✓

3. Accreditation

Criteria	Findings	Score	L	S
3.1 Accreditation must be undertaken by a national or international body whose organisation, systems and procedures conform to ISO Guide 61: 1996 General Requirements for Assessment and Accreditation of Certification Bodies or equivalent.	<p>ISO Guide 61 is cited as a source document for the FSC Accreditation Manual, but compliance with Guide 61 is not specifically addressed. Compliance with Guide 61 is partial but not complete.</p> <p>The clearest significant issue (with ISO Guide 61) is Clause 2.1.2 o) which prohibits accreditation bodies from designing, implementing or maintaining a certification scheme. The FSC carries out the dual role of a standards setting body and an accreditation body. The FSC has recently divided its standards and accreditation departments, with the new Accreditation Business Unit set up in 2004 as a separate business unit.</p> <p>IAF Guidance on the Application of ISO/IEC Guide 61:1996 stresses that an accreditation body shall not carry out the services identified, where a conflict of interest might occur. Although there is no specific restriction on the activities of a related body it notes that these shall not affect the objectivity or impartiality of the certification body.</p> <p>ISO Guide 61 is soon to be replaced by ISO 17011 which is in the final draft stage. This has removed the prohibition on named activities and amended the guidance to '<i>The accreditation body...shall identify, analyse and document the relationship with related bodies to determine the potential for conflict of interest, whether they arise from within the accreditation body or from the activities of the related bodies. Where conflicts are identified, appropriate action shall be taken.</i>'</p>	1	✓	✓

4. Chain of custody

4.1. Criteria for all products

Criteria	Findings	Score	L	S
4.1.1 Assessment of chain of custody must be undertaken by a certification body or	Certification bodies must be accredited by FSC to certify against forest management and/or chain of custody standards. Website based Document 5.3.1 lists 13 certification bodies	1	✓	✓

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Criteria	Findings	Score	L	S
auditor operating in accordance with ISO Guide 65 or equivalent and accredited by an accreditation body operating in accordance with ISO Guide 61 or equivalent.	<p>currently accredited to evaluate against chain of custody standards.</p> <p>Accreditation requirements for chain of custody are contained in FSC Accreditation Manual FSC Document 3.1. Parts 3.4 – 3.6. Additional information is provided in FSC Guidelines for Certification Bodies Part 3: Chain of Custody Certification.</p> <p>See findings in Criteria 2.1 and 3.1</p>			
4.1.2 There must be a certified chain of custody in place from the forest of origin to the final product.	<p>FSC Accreditation Manual Part 1 The FSC Accreditation Programme Section 1 The Mission, Status and Activities of FSC Section 1.3.5.1 notes <i>'In order to carry the FSC logo forest products must be covered by a valid chain of custody certificate issued by an FSC accredited certification body'</i>.</p> <p>FSC Accreditation Manual Part 3.6 Chain of Custody Certification Standard contains the following:</p> <p>Principle 2 Confirmation of Inputs – requires companies to operate a system for assuring that inputs are themselves certified, specifically:</p> <p>2.2.1 <i>When the company orders FSC endorsed products from its suppliers, it specifies its requirement that such products be covered by an FSC endorsed chain of custody certificate</i></p> <p>2.2.2 <i>When the company receives FSC endorsed products from its suppliers it checks invoices or accompanying documents to ensure that the chain of custody registration code and expiry date are quoted</i></p> <p>Principle 3 Separation and/or Demarcation of Certified and Non-certified Products – requires companies to operate a system for ensuring certified inputs are clearly marked or identified as certified throughout processing.</p> <p>Principle 5 Identification of Certified Outputs – requires companies to operate a system which allows all product sold as certified to be linked to specific sales invoices which includes a product description, record of volume/quantity and the company's chain of custody certificate number.</p>	2	✓	✓
4.1.3 There is a clearly	The FSC Trademark Manual (September 2003)	2	✓	✓

This document is provided for historical reference. A more recent report is now available

Criteria	Findings	Score	L	S
defined mechanism for controlling all claims made about the certified nature of products which ensures that claims are clear and accurate and that action is taken to prevent any false or misleading claims.	<p>details guidance on the use of the FSC logo and on-product and off-product claims. Additional information is provided in the Logo Guide for Certificate Holders (June 2000). Examples of acceptable statements and claims are provided in these documents.</p> <p>Section 1.2.5 of the Trademark Manual notes that certification bodies are responsible for issuing FSC Trademarks to certificate holders and for approving, monitoring and controlling their use. Claims must be approved by the certification body prior to use.</p> <p>The FSC Accreditation Manual Part 3.4 Chain of Custody Certification System: Section 10 Information About FSC Logo use by Chain of Custody Certificate Holders requires certification bodies to have procedures to ensure certificate holders are aware of and understand FSC Logo use requirements.</p> <p>Section 7: Methodology for Chain of Custody Evaluation requires certification bodies to evaluate the company's system and procedures for labelling products.</p>			

4.2. Criteria for certified and non-certified mixed products

Criteria	Findings	Score	L	S
<p>4.2.1 If recycled material is used there must be a verifiable system in place to ensure that recycled material is from the following categories:</p> <ul style="list-style-type: none"> • Pre-consumer recycled wood and wood fibre or industrial by-products but excluding sawmill co-products • Post-consumer recycled wood and wood fibre 	<p>FSC-POL-40-001 FSC Policy on Percentage-based Claims May 2000 Section 5 Classification of Materials – details the acceptability of recycled material in four categories of material for use in percentage based claims:</p> <ul style="list-style-type: none"> • Pre-consumer recycled wood and wood fibre or industrial by-products, including mixed waste paper, but not including mill broke or sawmill co-products • Post consumer recycled wood and wood fibre • Drift wood • Urban wood 	2	✓	✓

Criteria	Findings	Score	L	S
<ul style="list-style-type: none"> Drift wood 	<p>Section 3.3 requires companies making percentage based claims to have an internal verifiable system for tracing and monitoring system its sources.</p>			
<p>4.2.2 If mixing of certified and uncertified material is permitted then there must be a verifiable system in place which ensures that all uncertified material used is from legal sources to meet the contract requirements for legal timber.</p>	<p>FSC Accreditation Manual Part 3.6 Chain of Custody Certification Standard Clause 3.3 requires outlines requirements for mixing certified and non-certified.</p> <p>FSC-POL-40-001 FSC Policy on Percentage-based Claims May 2000 Section 3 Uncertified Contents and Controversial Sources requirements apply to:</p> <ol style="list-style-type: none"> Chip and fibre products with less than 70% certified virgin raw materials Solid wood products in collections with less than 100% certified raw materials <p>Section 3.2 requires companies to avoid:</p> <ul style="list-style-type: none"> Wood that has been illegally harvested Wood from genetically modified trees Wood from areas where there is a clear demonstration of violation of traditional, or civil rights or of serious extant disputes with indigenous peoples or other social stakeholders involving confrontation or violence Wood from uncertified high conservation value forests <p>Section 3.3 requires companies making percentage based claims to have a public policy to avoid illegal timber and an internal verifiable system for tracing and monitoring system its sources.</p> <p>Section 3.4 requires certification bodies to ensure that companies have a policy statement, and monitor that the company reports at regular intervals on the volumes and origins of uncertified raw materials. The certification body also assesses the company's internal system for tracing sources, but not the sources themselves.</p> <p>Currently, the FSC scheme does not provide assurance that percentage-labelled certified chip and fibre products containing more than</p>	1	✓	

Criteria	Findings	Score	L	S
	<p>70% certified material products do not contain illegal timber, as there is no scrutiny of the uncertified portion.</p> <p>FSC-STD-40-005 aims at addressing unacceptable timber sources such as illegal timber by requiring certificate holders to develop a programme for verifying that sources meet the requirements laid out in the standard. FSC-STD-40-005 is effective from 01 October 2004. Existing certificate holders are required to comply with the standard by 01 January 2007.</p>			
<p>4.2.3 If mixing of certified and uncertified material is permitted then there must be a system in place which ensures that all uncertified material used is from sustainable sources to meet the variant specification requirements for sustainable timber.</p>	<p>As detailed in 4.2.1 the FSC system requires avoidance of illegal timber, GM trees, wood from areas with violation of rights or rights disputes and from uncertified HCVF within the uncertified portion. It does not provide any guarantee that the uncertified portion is from sustainable sources.</p>	0		✓