

Appendix 1b. Review of the Forest Stewardship Council forest certification scheme

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

Executive Summary

Date of Current Assessment: June 2008 (published November 2008)

Anticipated Date of Next Assessment: May 2010

Current Status

Meets requirements for legality.

Meets requirements for sustainability.

Changes from last assessment

N/A

Source Documents

ASI-PRO-20-110 Procedures for FSC accreditation of certification bodies, 15 September 2006

FSC-STD-01-001 (Version 4) FSC Principles and Criteria for Forest Stewardship, approved 1993, amended 1996, 1999, 2002

FSC-STD-20-002 (version 2-1) Structure and Content of Forest Stewardship Standards, 30 November 2004

FSC-STD-20-001 (version 2-1) General Requirements for FSC accredited certification bodies: Application of ISO/IEC Guide 65:1996 (E), November 2004

FSC-STD-20-003 (version 2-1) Local adaptation of certification body generic forest stewardship standards, 30 November 2004

FSC-STD-20-006 (version 2-1) Stakeholder consultation for forest evaluation, 30 November 2004

FSC-STD-20-007 (version 2-1) Forest management evaluation, 30 November 2004

FSC-STD-20-009 (version 2-1) Forest certification public summary reports, 30 November 2004

FSC-STD-40-004 (version 2-0) FSC Standard for Chain of Custody Certification, January 2008

FSC-STD-40-005 (version 1-0) FSC Standard for non FSC-certified controlled wood, 1st October 2004

FSC-STD-40-007 (version 1-0) FSC Standard for Sourcing Reclaimed Material for Use in FSC Product Groups or FSC-certified Projects, November 2007

FSC-STD-40-201 (version 2.0) FSC on-product labelling requirements, 25th November 2004

FSC Trademark Policy Manual, September 2001

FSC National Initiatives Manual, September 1998

FSC A.C. Bylaws FSC Doc 1.1, June 2005

ISEAL Alliance Press Release: Pioneer Non-Profits set Highest Standards for Ethical Trade, 11 October 2007

ASI-QMS-10-100 Quality System Manual ASI-QMS-10-100, 31 July 2006

FSC-POL-30-401 FSC certification and the ILO Conventions, March 2002.

FSC-PRO-01-001 (version 2-0) The Development and Approval of FSC Social and Environmental International Standards, March 2007.

FSC-STD 60-006 (draft). Requirements for procedures for development of forest stewardship standards.

1. Forest Standards

1.1. Content of standards for legal compliance

Criteria	Findings	Score	L ¹	S
1.1.1 The standard requires that the forest owner/manager holds legal use rights to the forest	Fully addressed 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 legal requirements including those relevant to: <ul style="list-style-type: none"> • Forest management • Environment • Labour and welfare • Health & safety • Other parties' tenure and use rights 	Fully addressed 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 organize and voluntarily negotiate with their employers shall be guaranteed as outlined in Conventions 87 and 98 of the International Labour Organisation (ILO).</i> FSC P&C 2.1 <i>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.</i> In addition, FSC-POL-30-401 requires that all FSC certified areas must be in compliance with all ILO conventions applicable to forest operations.	2	✓	
1.1.3 The standard requires payment of all relevant royalties and taxes	Fully addressed 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.	Fully addressed FSC P&C 1.3 <i>In signatory countries, the provisions of all binding international agreements such as CITES, ILO Conventions,</i>	2	✓	

¹ L: required to meet requirements for legal, S: required to meet requirements for sustainable variant

Criteria	Findings	Score	L'	S
	<i>ITTA, and Convention on Biological Diversity, shall be respected.</i>			

1.2. Content of standards for sustainable variant

Criteria	Findings	Score	L	S
1.2.1 Certification standards must be consistent with a widely accepted set of international principles and criteria defining sustainable or responsible forest management at the forest management unit level.	<p>Fully addressed</p> <p>Forest management standards are based on FSC-STD-01-001 FSC Principles and Criteria for Forest Stewardship, adapted to national or sub-national conditions in order to be used at the forest management unit level.</p> <p>Adaptation of the FSC P&C is governed by FSC-STD-20-002 Structure and content of forest stewardship standards. FSC-STD-20-002 is effective for all accreditation of new national and sub-national standards. Standards submitted prior to 01/01/05 are required to comply within 5 years of original accreditation.</p> <p>For interim standards developed by certification bodies, they are required to follow the standard FSC-STD-20-003 Local adaptation of certification body generic forest stewardship standards. Draft standard FSC-STD 60-006 is also relevant in this respect.</p>	2		✓
1.2.2 The standard must be performance-based.	<p>Fully addressed</p> <p>The FSC P&C includes both performance based and systems based elements and addresses all requirements in 1.2.3-1.2.6.</p>	2		✓
<p>1.2.3 The standard must ensure that harm to ecosystems is minimised. In order to do this the standard must include requirements for:</p> <p>a. Appropriate assessment of impacts and planning to minimise impacts;</p> <p>b. Protection of soil, water and biodiversity;</p> <p>c. Controlled and appropriate use of chemicals and use of Integrated Pest Management wherever possible.</p>	<p>a. Fully addressed - FSC P&C 6.1 Assessment of environmental impacts shall be completed – appropriate to the scale, intensity of forest management and uniqueness of the affected resources – and adequately integrated into management systems.</p> <p>b. Fully addressed - FSC P&C 6.5 <i>Written guidelines shall be prepared and implemented to: control erosion; minimise forest damage during harvesting, road construction, and all other mechanical disturbances; and protect water resources.</i></p> <p>c. Fully addressed - FSC P&C 6.6 <i>Management systems shall promote the development and adoption of environmentally friendly non-</i></p>	2		✓

Criteria	Findings	Score	L	S
<p>d. Proper disposal of wastes to minimise any negative impacts.</p>	<p><i>chemical methods of pest management and strive to avoid the use of chemical pesticides. World Health Organisation Type 1A and IB 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 minimise health and environmental risks.</i></p> <p>d. Fully addressed - 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>			
<p>1.2.4 The standard must seek to ensure that productivity of the forest is maintained. In order to do this the standard must include requirements for:</p> <p>a. Management planning and implementation of management activities to avoid significant negative impacts on forest productivity.</p> <p>b. Monitoring which is adequate to check compliance with all requirements, together with review and feedback into planning.</p> <p>c. Operations and operational procedures which minimise impacts on the range of forest resources and services.</p> <p>d. Adequate training of all personnel, both 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</p>	<p>a. Fully addressed - FSC Criterion 7.1 <i>The management plan and supporting documents shall provide:</i></p> <p><i>(c) Description of silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resource inventories.</i></p> <p><i>(d) Rationale for rate of annual harvest and species selection.</i></p> <p><i>(i) Description and justification of harvesting techniques and equipment to be used.</i></p> <p>b. Fully addressed - 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><i>P&C 8.1 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><i>P&C 8.4 The results of monitoring shall be incorporated into the implementation and revision of the management plan.</i></p>	2		✓

Criteria	Findings	Score	L	S
yield data.	<p>c. Fully addressed - FSC P&C 5.5 <i>Forest management operations shall recognise, maintain and, where appropriate, enhance the value of forest services and resources such as watersheds and fisheries.</i></p> <p>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>d. Fully addressed - 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>e. Fully addressed - 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 seek to ensure that forest ecosystem health and vitality is maintained. In order to do this the standard 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>a. Fully addressed - FSC Criterion 7.1 The management plan and supporting documents shall provide:</p> <p>(c) <i>Description of silvicultural and/or other management system, based on the ecology of the forest in question and information gathered through resource inventories.</i></p> <p>(f) <i>Environmental safeguards based on environmental assessments.</i></p> <p>(g) <i>Plans for the identification and protection of rare, threatened and endangered species.</i></p> <p>b. Fully addressed - 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 cycle that affect the productivity of the forest ecosystem.</i></p> <p>c. Fully addressed - FSC P&C 1.5 <i>Forest management areas should be protected from illegal harvesting, settlement and other unauthorised activities.</i></p>	2		✓
1.2.6 The standard must seek to ensure that biodiversity is maintained. In order to do this	a. Fully addressed - FSC P&C 6.2 <i>Safeguards shall exist which protect rare, threatened and endangered species and their habitats (e.g.</i>	2		✓

Criteria	Findings	Score	L	S
<p>the standard 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>	<p><i>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 and collecting shall be controlled.</i></p> <p>b. Fully addressed - FSC P&C 6.4 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.</p> <p>c. Fully addressed - FSC Principle 9 <i>Management activities in high conservation value forests shall maintain or enhance the attributes which define such forests. Decision regarding high conservation value forests shall always be considered in the context of a precautionary approach.</i></p> <p><i>P&C 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.</i></p> <p><i>P&C 9.2 The consultative portion of the certification process must place emphasis on the identified conservation attributes, and options for the maintenance thereof.</i></p> <p><i>P&C 9.3 The management plan shall include and implement specific measures that ensure the maintenance and/ or enhancement of the applicable conservation attributes consistent with the precautionary approach. These measures shall be specifically included in the publicly available management plan summary.</i></p> <p><i>P&C 9.4 Annual monitoring shall be conducted to assess the effectiveness of the measures employed to maintain or enhance the applicable conservation attributes.</i></p>			

1.3. Standard-setting process

Criteria	Findings	Score	L	S
<p>1.3.1 The standard-setting process must be consistent with the requirements of <i>ISO Guide 59: Code of Good Practice for Standardisation</i> or the <i>ISEAL Code of Good Practice for Setting Social and Environmental Standards</i> or equivalent.</p>	<p>Partially addressed</p> <p>Three standard-setting processes exist:</p> <ul style="list-style-type: none"> • The FSC P&C • Development of national or sub-national forest stewardship standards • Local adaptation of certification bodies generic forest stewardship standards. <p>The FSC P&C are maintained by the FSC General Assembly regulated through the FSC Bylaws Sections 12, 13 and 15.</p> <p>FSC is a member of ISEAL Alliance. A press release from ISEAL Alliance dated 11 October 2007 stated that '<i>Members of the ISEAL Alliance have made changes to their practices in order to comply with the ISEAL Code of Good Practice and ensure they create standards that are developed in transparent, multi-stakeholder processes, certification schemes that consumers can trust, and relevant, high level performance criteria that create genuine social and environmental change.</i>'</p> <p>The FSC P&C are currently being reviewed. The review is being conducted according to FSC-PRO-01-001, which is designed to comply with the ISEAL code.</p> <p>Guidelines for national 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. The National Initiatives Manual, requires representation of a balance of interests, stakeholder consultation, public review and a decision-making process based on consensus.</p> <p>A new standard document (FSC-STD-60-006 Process Requirements for the Development of Forest Stewardship Standards) is currently under consultation for national standard-setting, based on FSC-PRO-01-001.</p> <p>In countries that have not yet developed an FSC-</p>	1		✓

² It is considered that the continuing absence of a time limit on interim standards would be a serious weakness. The FSC should address the issue as a matter of urgency.

Criteria	Findings	Score	L	S
	<p>accredited Forest Stewardship Standard 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 FSC-STD-20-003 Local Adaptation of Certification Body Generic Forest Stewardship Standards.</p> <p>It is noted that the process of developing national or sub-national forest stewardship standards complies fully with the criterion. The process of local adaptation of certification bodies' generic forest stewardship standards does not fully comply, e.g. ISO Guide 59 requires under clause 4.5 "formal approval of standards should be based on evidence of consensus". FSC-STD-20-003 4.5 states: "the certification body is not required to seek or develop a consensus with regard to its modification of its generic standard. The certification body shall make meaningful accommodation of stakeholder concerns."</p> <p>It is noted that the FSC's 2005 General Assembly adopted Policy Motion #48 concerning the phasing out of interim standards.²</p>			
<p>1.3.2 The standard-setting process must seek to ensure balanced representation and input from the economic, environmental and social interest categories.</p>	<p>Partially addressed</p> <p>The FSC General Assembly has ultimate control over Principles and Criteria. For the FSC P&C, FSC Bylaws Sections 12, 13 and 15 require the General Assembly to be divided into 3 chambers representing economic, environmental and social/indigenous interests. Each chamber has 1/3 voting power of the General Assembly.</p> <p>Forest Stewardship Council A.C. By-laws:</p> <p>Clause 12:</p> <p><i>'The General Assembly shall be made up of three chambers: The purpose of the chamber structure is to maintain the balance of voting power between different interests without having to limit the number of members....The first chamber shall be made up of social and indigenous organisations and assigned individuals. This</i></p>	<p>1</p>		<p>✓</p>

Criteria	Findings	Score	L	S
	<p><i>chamber shall have 33.3% of the voting power in the General Assembly. The second chamber shall be made of environmental organisations and assigned individuals. This chamber shall have 33.3% of the voting power in the General Assembly. The third chamber shall be made up of individuals and organisations with an economic interest in the forest product trade. It shall have 33.3% of the voting power in the General Assembly.'</i></p> <p>The FSC P&C are currently being reviewed. The review is being conducted according to FSC-PRO-01-001, which details requirements for a balanced Working Group comprising equal members of the six FSC sub-chambers, a consultative forum open to all FSC members and public consultation.</p> <p>National and interim certification body standards are fully derived from the P&C.</p> <p>For national standard-setting, the FSC National Initiatives Manual details requirements for participation. Section 6.4.2 FSC Working Group states:</p> <p><i>'Working Groups must have a composition similar in balance to the FSC Board of Directors, i.e. with about one-third of its members from each the economic, environmental and social interest. A majority of working group members must be FSC members, or represent FSC member organisations...</i></p> <p><i>FSC may recognise exceptions to the above requirements. Exceptions may apply if there is a lack of NGO infrastructure in the country, or a high level of government involvement, regional difficulties in achieving adequate FSC membership, or a balanced composition of members. As a minimum, the Working Group must have a minimum of two representatives from each chamber who clearly represent the interests of their chamber. Where a balance of interests is not represented in the working group, a clear demonstration must be made often of extra efforts made to seek input from under-represented interests.'</i></p>			

Criteria	Findings	Score	L	S
	<p>12.3.1 <i>'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.)</i></p> <p>12.3.1 <i>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 must have clearly defined procedures, including avenues for participation of interested groups.</i></p> <p>12.3.1 <i>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.'</i></p> <p>Section 12.4.4 Stakeholder identification: <i>'A stakeholder, or stakeholder group, is defined as any individual or group who may be affected by, or expresses a strong interest in, forest management, or the development of forest management standards....The extent to which a national or international stakeholder group is considered a local stakeholder should be determined by the Working Group. Every effort should be made to accommodate those groups that express an interest in the process. A dispute resolution mechanism (either locally, or via the FSC Secretariat) must exist for those groups that feel excluded from the consultative process.'</i></p> <p>A new standard document (FSC-STD-60-006 Process Requirements for the Development of Forest Stewardship Standards) is currently under consultation for national standard-setting, based on FSC-PRO-01-001.</p> <p>Local adaptation of certification bodies' generic standards has to follow the requirements in FSC-STD-20-003. Section 3.1 requires that <i>'The certification body shall seek broad stakeholder comment on the adaptation of its generic</i></p>			

Criteria	Findings	Score	L	S
	<p><i>standard to the area in which it is planned to be used.</i> ‘</p> <p>Section 3.1.3:</p> <p><i>‘The certification body shall contact at least the following stakeholders in the country concerned, at least one month prior to the evaluation of the forest management unit taking place:</i></p> <ul style="list-style-type: none"> <i>a) Any FSC National Initiative in the country;</i> <i>b) Any national committee or working group that is developing national forestry standards (whether or not this is within an FSC-accredited process);</i> <i>c) The state forest service;</i> <i>d) National NGOs that are involved or have an interest in respect of social or environmental aspects of forest management, either at the national level, or at the sub-national level in the environs of the forest to be evaluated;</i> <i>e) Representatives of Indigenous Peoples that are involved or have an interest in forest management either at the national level, or at the sub-national level in the environs of the forest to be evaluated;</i> <i>f) Representatives of forest workers</i> <i>g) Representatives of forest harvesting industry/ forest owners associations’</i> <p>Although certification bodies are required to maintain records of stakeholder comments, publicly available details of who the certification bodies has consulted during the process and how the certification bodies incorporates these into a particular interim standard are extremely limited.</p> <p>It is noted that the process of developing national or sub-national forest stewardship standards complies fully with the criterion. The process of local adaptation of certification bodies’ generic forest stewardship standards does not comply with the requirement: “seek to ensure balanced representation” because there is no standard setting body in the process.</p>			

Criteria	Findings	Score	L	S
	<p>However it is noted that the FSC International P&C, which is the basis for national and CB generic standards, went through a lengthy development process in which there was broad representation by all stakeholder interests.</p>			
<p>1.3.3 The standard-setting and decision-making process adopted 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. 	<p>Partially addressed</p> <p>For the FSC P&C, Forest Stewardship Council A.C. By-laws Clause 15 states that</p> <p><i>‘General Assembly shall strive to adopt decisions by consensus.</i></p> <p><i>In the case of a vote, decisions shall require both the affirmative vote of a simple majority of members within each sub chamber, and 66.6% of the total voting power registered by Associates in good standing (calculated as provided for in these By-laws) with exception of Board elections.</i></p> <p><i>Abstentions shall not count as votes cast. A quorum of 50% + 1 of votes from associates in good standing (calculated as provided for in these by-laws) in each chamber is required for a decision to be taken in a first ballot. In such case quorum or voting percentage is not obtained in any first ballot, the motions on the agenda shall be voted on by the associates by postal ballot within two months. In the case of second ballot, a quorum shall not be required and the resolutions shall be considered as validity adopted when approved by both the affirmative vote of a simple majority of members within each chamber, and 66.6% of the total voting power registered by associates in good standing.’</i></p> <p>National and interim certification body standards are fully derived from the P&C.</p> <p>FSC National Initiatives Manual, chapter 5, section 5.5:</p> <p><i>‘FSC recommends that all National Initiatives take decisions through consensus. A consensus decision may be reached when no party involved has registered a persistent or serious objection, i.e. all parties are willing to live with the decision.</i></p> <p><i>When disagreements exist, issues should be put to a vote. If a vote is taken, a two-thirds</i></p>	1		✓

Criteria	Findings	Score	L	S
	<p><i>majority should be required for a decision (rather than simple majority).'</i></p> <p>A new standard document (FSC-STD-60-006 Process Requirements for the Development of Forest Stewardship Standards) is currently under consultation for national standard-setting, and bases decision-making rules on consensus.</p> <p>Local adaptation of certification bodies' generic standards, similar to the findings for 1.3.2, does 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> <p><i>'The certification body is not required to seek or develop consensus with regard to its modification of its generic standard. The certification body shall make meaningful accommodation of stakeholder concerns.'</i></p> <p>It is noted that the process of developing national or sub-national forest stewardship standards complies fully with the criterion. The process of local adaptation of certification bodies' generic forest stewardship standards does not comply with the requirement: "no decision can be made in the absence of agreement from the majority of interests". However it is noted that the FSC International P&C, which is the basis for national and CB generic standards, went through a process which complies with the criterion.</p>			

2. Certification

Criteria	Findings	Score	L	S
2.1 Certification must be undertaken by a body whose organisation, systems and procedures conform to applicable ISO guidance, or publicly available equivalent.	<p>Fully addressed</p> <p>FSC-STD-20-001 Section 1 requires that <i>'The certification body shall comply with the requirements of ISO/ IEC Guide 65:1996.'</i></p>	2	✓	✓
2.2 Certification is undertaken by a body which is accredited to evaluate against forest	<p>Fully addressed</p> <p>Accreditation Services International (ASI)</p>	2	✓	✓

Criteria	Findings	Score	L	S
management standards.	<p>manages the FSC accreditation programmes on behalf of FSC. Certification bodies must be accredited by ASI. ASI-PRO-20-110 Procedures for FSC accreditation of certification bodies:</p> <p>5.1.5.1: <i>'In order to issue forest management certificates, a certification body must be accredited for forest management and chain of custody certification. The chain of custody part is required to evaluate tracking and processing of forest products within a forest management unit.'</i></p> <p>5.1.5.2: <i>'In order to issue chain of custody certificates, a certification body must be accredited for chain of custody certification'</i></p>			
2.3 The requirements for certification audits 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>Fully addressed</p> <p>FSC-STD-20-007 provides requirements for certification bodies carrying out certification audits. Section 1.3c requires the certification body <i>'carry out sampling of sites, documents, management records and consultation with stakeholders sufficient to verify that the management system is being implemented effectively and consistently across the whole scope of the evaluation'</i></p> <p>Section 3.4 Evaluation at the Level of the Forest Management Unit, 3.4.1 Documents and Records requires that <i>'the auditor(s) shall identify and assess management documentation and a sufficient variety and number of records at each FMU selected for evaluation as to make direct, factual observations to verify compliance with all the indicators of the applicable Forest Stewardship Standard that are under evaluation at that FMU and for which such documents are a necessary means of verification.'</i></p> <p>Section 3.4.2 Sites requires that <i>'the auditor(s) shall visit a sufficient variety and number of sites within each FMU selected for evaluation as to make direct, factual observations as to compliance with all the indicators of the applicable Forest Stewardship Standard that are under evaluation at that FMU and for which such inspection is a necessary means of verification, over the range of conditions'</i></p>	2	✓	✓

Criteria	Findings	Score	L	S
	<i>under management by the applicant forest management enterprise.'</i>			
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 requirements of the standard.	<p>Fully addressed</p> <p>FSC-STD-20-006 sets out the requirement for stakeholder consultation. Section 1 General Requirements states that <i>'The certification body shall consult with a range of stakeholders who can provide relevant information as to an applicant's compliance with the environmental, legal, social and economic requirements of the Forest Stewardship Standard.'</i> Section 2 contains specific requirements on identification of and provision of information for stakeholders prior to the main evaluation, section 3 details the requirements on consultation during the main evaluation.</p> <p>Section 2.1 states that <i>'The certification body shall have effective procedures to identify the range of stakeholders that are likely to have information relevant to the evaluation of the applicant for certification, and/ or that may be able to put the certification body in contact with other such stakeholders.'</i></p> <p>Section 3.1 states that <i>'The consultation shall include a sufficient variety and number of people affected by or involved in the applicant's forest management, to evaluate the range of situations relevant to the applicable Forest Stewardship Standard.'</i></p>	2		✓
2.5 A summary of the results of the certification audit (excluding confidential information) must be publicly available to interested parties.	<p>Fully addressed</p> <p>FSC-STD-20-009 sets out the requirements on public summary reports. Section 2.1 Public Availability requires that <i>'All public summaries (including translation as specified above) shall be published on the issuing certification body's web site no later than 30 days after the certificate has been issued, and shall be available on request to the certification body.'</i></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>Fully addressed</p> <p>FSC-STD-20-001 Section 14 Appeals, Complaints and Disputes refers to the requirements of ISO Guide 65 Clause 7 (Appeals, Complaints and Disputes).</p> <p>In addition, Section 14 requires that <i>'The</i></p>	2	✓	✓

Criteria	Findings	Score	L	S
	<i>certification body shall publish summary information about the procedures for submitting complaints, appeals and disputes, and about the certification body's procedures for handling such complaints, appeals and disputes on the certification body's website and make such information available in print on request.'</i>			

3. Accreditation

Criteria	Findings	Score	L	S
3.1 Accreditation must be undertaken by a national or international body whose organisation, systems and procedures are consistent with ISO 17011:2004 <i>Conformity assessment -- General requirements for accreditation bodies accrediting conformity assessment bodies or equivalent.</i>	<p>Fully addressed</p> <p>ASI-PRO-20-110 Procedures for FSC accreditation of certification bodies, section 3:</p> <p>Accreditation Services International (ASI) manages the FSC accreditation programmes on behalf of FSC. <i>'ASI is operating a management system according to ISO/IEC 17011:2004 and is a member of the ISEAL Alliance'</i></p> <p>ASI-QMS-10-100 Quality System Manual Section 4 <i>'Full compliance with ISO/IEC 17011:2004 will be used by ASI to ensure that all its activities, including but not limited to accreditation and monitoring activities, are performed to the highest international standards.'</i></p> <p>FSC is a member of ISEAL, which operates a peer review mechanism to promote consistency of systems with ISO 17011.</p>	2	✓	✓

4. Chain of custody

Criteria	Findings	Score	L	S
4.1 Assessment of chain of custody must be undertaken by a certification body operating in accordance with ISO Guide 65 or equivalent and accredited by an accreditation body operating in accordance with ISO 17011 or equivalent.	<p>Fully addressed</p> <p>Certification bodies must be accredited by FSC to certify against chain of custody standards.</p> <p>See criterion 2.1.</p> <p>The FSC accreditation programme is operated by Accreditation Services International (ASI), a separate legal entity.</p> <p>See criterion 3.1.</p>	2	✓	✓

Criteria	Findings	Score	L	S
4.2 There must be a certified chain of custody in place from the forest of origin to the final certified product which provides a link between the certified material in the product or product line and certified forests.	Fully addressed FSC-STD-40-004 FSC Standard for Chain of Custody Certification specifies the requirements for chain of custody control throughout the supply chain. The Standard ensures, for all product groups, that there is a link between certified material in a product or product line and certified forests.	2	✓	✓
4.3 If mixing of certified and uncertified material in a product or product line is allowed, the uncertified material must be covered by a verifiable system which is designed to ensure that it is from legal sources.	Fully addressed FSC-STD-40-004 FSC Standard for Chain of Custody Certification, Section 3.3 Purchase of non-certified material: <i>3.3.1 'For the purchase of controlled material, the organisation shall comply with the applicable requirements of "FSC-STD-40-005: Standard for Company Evaluation of FSC Controlled Wood"</i> FSC-STD-40-005 Standard for Company Evaluation of FSC Controlled Wood, Section 1.1: <i>'The company shall have a publicly available written policy commitment, endorsed by the most senior management level of the company, to implement its best efforts to avoid trading and sourcing wood or wood fibre (herein referred to as wood) from the following categories:</i> <i>a) Illegally harvested wood:</i> <i>b) Wood harvested in violation of traditional and civil rights</i> <i>c) Wood harvested in forests where high conservation values are threatened by management activities</i> <i>d) Wood harvested in forests being converted to plantations or non-forest use</i> <i>e) Wood from forests in which genetically modified trees are planted.'</i> Sections 2, 3 and 4 describe the required system for implementation, based on risk assessment and appropriate verification.	2	✓	
4.4 If mixing of certified and uncertified material in a product or product line is allowed and the proportion of	Inadequately addressed As detailed in 4.3 the FSC system requires avoidance of illegal timber, GM trees, wood from	0		✓

Criteria	Findings	Score	L	S
uncertified material can exceed 30%, then the uncertified material must be covered by a verifiable system which ensures that it is from sustainable forest sources where the requirements for sustainability set out in criteria 1.2.3 – 1.2.6 above are being met.	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.			
4.5 There is a clearly 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>Fully addressed</p> <p>The FSC Trademark Policy Manual provides guidance on the use of FSC trademark for on-product and off-product claims.</p> <p>Section 1.7.3 specifies that '<i>FSC accredited certification bodies are responsible for approving and controlling use of the FSC Trademark their certificate holders. Certification bodies must exercise this control in the form of a sub-licence or equivalent contractual document signed by the certificate holder.</i>'</p> <p>Section 1.7.6 requires that '<i>Certification Bodies and Nominated Agents are required to report unapproved non-conforming uses of the Trademark to FSC International. FSC International will evaluate the material to determine whether further action, including legal action, is required.</i>'</p> <p>In addition, FSC-STD-40-201 FSC On-product Labelling Requirements specifies the requirements for the correct on-product use of the FSC label and related claims.</p>	2	✓	✓
<p>4.6 If recycled material is used there must be a verifiable system in place which is designed 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 	<p>Fully addressed</p> <p>FSC-STD-40-004 FSC Standard for Chain of Custody Certification, Section 3.3 Purchase of non-certified material:</p> <p><i>3.3.2 For the purchase of non-certified reclaimed material, the organisation shall comply with the provisions of "FSC-STD-40-007: FSC Standard for Sourcing Reclaimed Material for Use in FSC Product Groups or FSC-certified Projects"</i></p> <p>Section 1 Input specifications: 'The organisation shall ensure that inputs of non-certified</p>	2	✓	✓

Criteria	Findings	Score	L	S
<p>wood and wood fibre</p> <ul style="list-style-type: none"> • Drift wood 	<p>reclaimed material are described in purchase and delivery documentation in accordance with the examples provided in Annex I and II of this document.'</p> <p>Section 2 Supplier audit programme:</p> <p>2.1 <i>'The organisation shall identify and provide the rationale for the documents and other evidence required to demonstrate that supplied reclaimed material complies with the definitions of FSC-STD-40-004 and examples provided in Annex I and II of this document.'</i></p> <p>Annex I and Annex II list examples of reclaimed wood material and fibre material respectively. The categories for reclaimed wood material in Annex I include: pre-consumer wood sources and post-consumer wood sources. It also include categories which cannot be accepted as reclaimed material, such as <i>'off-cuts produced from virgin parent materials that are discarded by a primary or secondary production process but that has properties allowing it to be reused on site by being incorporated back into the same manufacturing process that generated it.'</i></p> <p>Annex II list the examples of reclaimed fibre material including pre-consumer fibre sources and post-consumer fibre sources. It also provides examples of materials which cannot be accepted as reclaimed fibre material. For example, forest residues, including fibrous material of logging operations; materials generated from, and commonly reused within, an original manufacturing process.</p>			