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# FSC STANDARD

## STANDARD FOR EVALUATION OF FSC CONTROLLED WOOD IN FOREST MANAGEMENT ENTERPRISES

FSC-STD-20-012 (Version 1-1) EN

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# STANDARD FOR EVALUATION OF FSC CONTROLLED WOOD IN FOREST MANAGEMENT ENTERPRISES

## FSC-STD-20-012 (V1-1) EN

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Head of Policy and Standards

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The Forest Stewardship Council (FSC) is an independent, not for profit, non-government organisation based in Bonn, Germany.

The mission of the Forest Stewardship Council is to support environmentally appropriate, socially beneficial, and economically viable management of the world's forests.

FSC develops, supports and promotes international, national and regional standards in line with its mission; evaluates, accredits and monitors certification bodies which verify the use of FSC standards; provides training and information; and promotes the use of products that carry the FSC logo.

## Foreword

This standard is designed to provide a credible guarantee that all forest management units (FMUs) included in the scope of a FSC Controlled Wood certificate comply with the requirements of the Forest Stewardship Council (FSC) Controlled Wood standards for forest management enterprises *FSC-STD-30-010* (Version 2-0).

The objective of this standard is to provide a framework for the procedures to be followed by certification bodies when auditing forest managers and FMUs for compliance with FSC Controlled Wood standards for forest management enterprises *FSC-STD-30-010* (Version 2-0), and integrating the observations to come to a reliable certification decision. The standard thereby aims to increase the level of objectivity and consistency between auditing levels implemented by different certification bodies in different situations.

## Note on the use of this standard

All aspects of this standard are considered to be normative, including the scope, standard effective date, references, terms and definitions, tables and annexes, unless otherwise stated.

Please send any comments or suggestions regarding this standard to:

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## Notes to this version

Version 1-0 of this standard has been amended following stakeholder consultation on draft 1-0 in July-September 2005 and on draft 2-0 in January-February 2007. It also took into account the approved Version 2-0 of *FSC-STD-30-010*.

It was approved by the FSC Board of Directors at its 44<sup>th</sup> meeting in March 2007.

Version 1-1 includes minor amendments in relation to FSC Controlled Wood certificate requirements. It was approved in September 2007 by the FSC Head of Policy and Standards.

## Other notes

1. This standard is for use with *FSC-STD-20-001 The application of ISO/EC Guide 65:1996 (E) by FSC accredited certification bodies*
2. The standard contains a number of elements which are currently covered by different FSC accreditation standards (20-### series) but which have been streamlined for FSC Controlled Wood accreditation. These include:
  - a) Qualifications for certification body auditors;
  - b) Stakeholder consultation for Controlled Wood evaluation;
  - c) Controlled Wood certification reports.

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## **A Scope**

This standard specifies general requirements to be met by all certification bodies seeking FSC accreditation for certification of FSC Controlled Wood for forest management enterprises (herein referred to as FMEs). The standard can be used for the evaluation of Group FMUs.

## **B Standard effective date**

This standard is effective upon approval.

## **C References**

*ISO/IEC Guide 65: 1996 (E) General requirements for bodies operating product certification systems*

*ISO19011: 2002 (E) Guidelines for quality and/or environmental management systems auditing*

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

*FSC-STD-30-010 (Version 2-0) FSC Controlled Wood standard for forest management enterprises*

*FSC-STD-20-007 (Version 2-1) Forest Management Evaluation*

*FSC-POL-20-001 Group Certification Guidelines for Certification bodies*

*FSC-STD-40-005 Standard for company evaluation of FSC Controlled Wood*

*FSC-STD-01-002 FSC glossary of terms*

## **D Terms and definitions**

Terms and definitions are provided in *FSC-STD-01-002 FSC glossary of terms*. Key definitions relating to this standard are provided in Annex 1. The following terms in particular are relevant to implementation of this standard: **forest management/manager, forest management enterprise, forest management unit, group certification, multiple FMU certification, SLIMF (small and low intensity managed forest)**.

## **Part 1: FSC Controlled Wood evaluation**

### **1. Principles**

- 1.1 *FSC STD-30-010* FSC Controlled Wood standard for forest management enterprises is designed for application by forest management enterprises (FME'S) at the forest management unit (FMU) level.
- 1.2 *FSC-STD-20-012 Standard for evaluation of FSC Controlled Wood in Forest Management Enterprises* is designed for the accreditation of certification bodies to carry out FSC Controlled Wood certification assessments.
- 1.3 A FSC Controlled Wood certificate issued by an FSC-accredited certification body provides a credible guarantee that there is no major failure in compliance with the requirements of the *FSC-STD-30-010* in any FMU within the scope of the certificate.
- 1.4 In order to provide such a guarantee the certification body shall:
  - a) analyze and describe the forest area to be evaluated in terms of one or more FMU's;
  - b) confirm that there is a management system in place that is capable of ensuring that all the requirements of the *FSC-STD-30-010* are implemented in every FMU within the scope of the evaluation;
  - c) carry out sampling of sites, management records and interviews with consultation with stakeholders sufficient to provide a credible guarantee that there are no major non-compliances with the categories of the FSC Controlled Wood standard for forest management enterprises within any FMU within the scope of the evaluation.

### **2. General requirements**

- 2.1 The certification body shall comply with the requirements set out in *FSC STD-20-001 The application of ISO/EC Guide 65:1996 (E) by FSC accredited certification bodies*.

### **3. Documented procedures**

- 3.1 The certification body shall develop, implement and maintain written evaluation systems and procedures covering all elements specified in this standard.

### **4. Main evaluation**

#### **4.1 Analysis and description of forest management units**

- 4.1.1 The certification body's documented procedures shall include evaluation systems and procedures for analysis and description of the area included in the scope of the evaluation.
- 4.1.2 The description of the area shall include a list of all the FMUs under the control of the FME and in the scope of FSC Controlled Wood evaluation which includes for each FMU<sup>1</sup>:
  - a) its area;
  - b) its ownership (if the owner is not the applicant for certification);
  - c) its forest types.

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<sup>1</sup> These fields may be updated to achieve consistency with the FSC database requirements on finalisation of the FSC database in 2007.

## **4.2 Evaluation of management system(s)**

- 4.2.1 The certification body's documented procedures shall include analysis and description of the critical aspects of management control required to ensure that the FSC Controlled Wood standard for forest management enterprises is implemented:
- a) over the full geographical area within the scope of the evaluation;
  - b) for all categories of FSC Controlled Wood;
  - c) across all issues covered by the Controlled Wood standards.

NOTE: The extent to which the management system is documented shall be an important part of the evaluation. A system based on verbal descriptions and simple documentation may be sufficient to implement the requirements of the FSC controlled wood standard for Small and Low Intensity Managed Forest (SLIMF)<sup>2</sup> enterprises.

- 4.2.2 The certification body's documented procedures shall include an assessment of the documentation and records applicable to each level of the FMEs management, sufficient to confirm that management is functioning effectively and as described.

NOTE: The certification body may make use of information that is available as a result of previous pre-evaluations and evaluations in relation to FSC standards and/or in relation to other standards such as those published by ISO. In all cases the certification body shall make its own, independent decision as to whether the applicant complies with standard(s) being used by the certification body for the evaluation.

- 4.2.3 In the case of applicants for group certification, the certification body shall evaluate compliance with the requirements of *FSC-POL-20-001 Group Certification - FSC Guidelines for Certification Bodies*.

## **4.3 Selection of forest management units for evaluation in multiple forest management unit situations**

- 4.3.1 Requirements for sampling of FMEs with more than one FMU sites will be based on those for FSC forest management certification.

## **4.4 Documents and records**

- 4.4.1 The certification body's documented procedures shall ensure identification and assessment of a FMEs management documentation for the FMU as indicated by *FSC-STD-30-010 FSC Controlled Wood standard for forest management enterprises*.

## **4.5 Sites**

- 4.5.1 The certification body's documented procedures shall ensure that the auditor(s) visit a sufficient variety and number of sites within each FMU selected for evaluation.
- 4.5.2 Auditor(s) should select sites for inspection based on an evaluation of the critical points of risk in the management system.

## **4.6 Interviews with directly affected stakeholders**

- 4.6.1 The certification body shall ensure that the auditor(s) interview a sufficient variety and number of people affected by or involved in the forest management of each FMU or affected forest areas during the field visits as to make direct, factual observations as to compliance with all the relevant categories of the FSC Controlled Wood standard for forest management enterprises for that FMU and for which such consultation is a necessary means of verification. Annex 2 provides examples of stakeholder groups that the auditors may consult.

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<sup>2</sup> FSC-STD-01-003 Eligibility criteria for Small and Low Intensity Managed Forests (SLIMFs).

## **5. Stakeholder consultation for Controlled Wood evaluation**

- 5.1 At least one month prior to the field visit, the certification body shall inform the FSC-accredited National Initiative in the country and stakeholders who can provide relevant information as to an applicant's compliance.
- 5.2 The certification body shall develop and document its methodology for informing stakeholders.
- 5.3 The methodology shall ensure that:
- a) a range of stakeholders are informed about the upcoming audit, appropriate to the scale, complexity and number of FMUs being assessed;
  - b) stakeholders have the opportunity to present their points of view to the auditor(s) in confidence;
  - c) information and opinions given by stakeholders are evaluated objectively and meaningfully, and affect the certification decision only in so far as they provide evidence of compliance or non-compliance with the applicable requirements of the FSC Controlled Wood standard for forest management enterprises.
- 5.4 The certification body shall keep the following records for each evaluation:
- a) names and contact details of individuals/organisations consulted on the applicant's compliance with the requirements of the applicable standard;
  - b) copies of all correspondence and/or written comments received;
  - c) references to key documents provided by the applicant
- 5.5 For Small and Low Intensity Managed Forest (SLIMF)<sup>3</sup> the certification body is not required to undertake public consultation as outlined in Sections 5.1 to 5.4 above.

## **6. Non-compliances identified during main evaluation**

- 6.1 The certification body's documented procedures shall ensure that the auditor(s) record all non-compliances with the relevant requirement of the FSC Controlled Wood standard for forest management enterprises that are identified during the evaluation.
- 6.2 The auditor may also make observations on potential non-compliance.
- 6.3 All non-compliances that are identified by the certification body during an evaluation shall be documented in the evaluation report or associated forms or checklists.

## **7. Certification decision making**

- 7.1 The certification body's evaluation system and procedures shall ensure that certification decisions are based on their evaluation of the forest management enterprise's compliance with each requirement of the FSC Controlled Wood standard for forest management enterprises.
- 7.2 Each non-compliance shall be evaluated to determine whether it constitutes a minor or major non-compliance at the level of the correspondent requirement of the FSC standard.

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<sup>3</sup> FSC-STD-01-003 Eligibility criteria for Small and Low Intensity Managed Forests (SLIMFs).



- 7.3 A non-compliance may be considered minor if:
- a) it is unusual/ non-systematic, *or*
  - b) prompt corrective action has been taken to ensure that it will not be repeated, *and*
  - c) it does not result in a fundamental failure to achieve the objective of the relevant requirement of the FSC Controlled Wood standard.
- 7.4 A non-compliance shall be considered major if, either alone or in combination with further non-compliances of other indicators, it results in, or is likely to result in a fundamental failure to achieve the objectives of the standard in the forest management unit(s) within the scope of the evaluation.
- 7.5 Such fundamental failure shall be indicated by non-compliance(s) which:
- a) are repeated or systematic<sup>4</sup>, *or*
  - b) are not corrected or adequately responded to by the forest managers once they have been identified.
- 7.6 The certification body shall not issue or re-issue a Controlled Wood certificate to a FME if there is a major non-compliance with the requirements of the standard.

NOTE: If corrective action is taken in respect of a major non-compliance, such that the non-compliance no longer fundamentally prejudices achievement of the objective of the relevant requirement of the standard, the major non-compliance may be down-graded to a 'minor non-compliance' and a FSC Controlled Wood certificate may then be issued or re-issued.

- 7.7 The certification body shall suspend or withdraw a certificate if a major non-compliance is identified after the Controlled Wood certificate has been issued.
- 7.8 FSC Controlled Wood certificates shall not be issued for a period of more than 5 years.

## **8. Person days**

- 8.1 The certification body shall allow sufficient time for the auditors to complete all the requirements of the assessment.

NOTE: The amount of time spent by the certification body to assess compliance with the requirements of the applicable Controlled Wood Standard varies with the number of FMUs selected, the complexity of the management and social and environmental conditions, the number of sites, records and documents evaluated and stakeholders interviewed, and with the time taken to carry out those evaluations and consultations.

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<sup>4</sup> The certification body shall determine whether the number and impact of a series of minor non-compliances identified during sampling is sufficient to demonstrate 'systematic' failure (i.e. failure of management systems). If this is the case then the repeated instances of minor non-compliances shall constitute a major non-compliance.

## **9. Surveillance**

### **9.1 General requirements**

- 9.1.1 The certification body shall document, implement and maintain evaluation systems and procedures for surveillance evaluations. These shall include all of the elements in this Section.
- 9.1.2 Procedures for surveillance evaluations shall specify frequency and duration of surveillance visits in accordance with the scale and intensity of forest management. Surveillance audits shall be conducted at least on an annual basis.
- 9.1.3 A certification body shall also carry out surveillance evaluation in response to complaints of non-compliance for which evidence is provided.

### **9.2 Procedures**

- 9.2.1 In cases where surveillance is undertaken, the assessment shall include, as applicable:
  - a) evaluation of the certificate holder's compliance with all corrective actions on which certification is based;
  - b) review of any complaints, disputes or allegations of non-compliance with any aspect of the applicable standard;
  - c) evaluation of a sample of sites and records, and interviews with affected stakeholders sufficient to assess the capacity of the certificate holders' management systems to manage any change in scope of the certificate including number or complexity of forest management units.

### **9.3 FMU level site visits**

- 9.3.1 FMU level site visits shall be employed for surveillance visits.

### **9.4 Stakeholder consultation**

- 9.4.1 The certification body shall complete stakeholder consultation as necessary during surveillance evaluation to monitor the certificate holder's compliance with the requirements of FSC Controlled Wood standard for forest management enterprises.

### **9.5 Non-compliances identified during surveillance**

- 9.5.1 See Section 7 above.
- 9.5.2 The auditor shall record all non-compliances with the relevant requirements of the FSC Controlled Wood standard for forest enterprises identified during surveillance, even if these are not the specific focus of a particular monitoring visit.

### **9.6 Person days**

- 9.6.1 See Section 8 above

### **9.7 Re-evaluation**

- 9.7.1 The certification body may re-issue a certificate that has expired, based on the re-evaluation of the certificate holder's compliance with all relevant aspects of the FSC Controlled Wood standard for forest management enterprises.
- 9.7.2 Re-evaluation shall follow the same procedures as for the main evaluation. The certification body is not required to prepare a full, new certification report. The original report and public summary may be updated to take account of any new findings, but shall include the complete set of observations made during the re-evaluation and on which the decision to re-issue a certificate is based.

## **10. Controlled Wood certification reports**

10.1 The certification body shall document, implement and maintain evaluation systems and procedures for Controlled Wood certification reports.

### **10.2 Title page**

10.2.1 The front of Controlled Wood reports shall clearly identify:

- a) The name and contact details of the certification body, including contact person and website address;
- b) The date (day, month & year) the report was last updated;
- c) The name and contact details of the certificate holder<sup>5</sup> and contact person;
- d) The name and/or location of the certified forest area(s)<sup>6</sup>;
- e) The Controlled Wood certificate registration code (CB-CW/FM-XXXXXX);
- f) The date of issue of the certificate.

### **10.3 Contents**

10.3.1 The report should start with a table of contents.

10.3.2 The order in which information is presented may be determined by the certification body, but the report shall contain at least the information specified in this section 10

### **10.4 General information**

10.4.1 The following elements shall be included in all FSC Controlled Wood evaluation reports:

- a) Type of Controlled Wood certificate (single FMU / multiple FMU / group/SLIMF/Group of SLIMFs)
- b) Total number of FMUs in scope of the Controlled Wood certificate
- c) Location of forest area:
  - i) latitude E/W #### degrees ## minutes
  - ii) longitude N/S #### degrees ## minutes
- d) Total forest area in scope of the Controlled Wood certificate which is included in FMUs that:
  - i) are less than 100 ha in area
  - ii) are between 100 ha and 1000 ha in area
  - iii) meet the eligibility criteria as low intensity SLIMF FMUs
- e) List of timber and non-timber species included in scope of certificate (botanical name and common trade name)
- f) List of product categories included in scope of joint CW/FM & COC certificate and therefore available for sale as FSC-certified products (include basic description of product - e.g. round wood, pulp wood, sawn timber, kiln-dried sawn timber, chips, resin, non-timber forest products, etc.)
- g) Total area of production forest (i.e. forest from which timber can be harvested)

### **10.5 Standard**

10.5.1 The report shall reference the standard used including the version number and date of finalization.

### **10.6 The evaluation process**

10.6.1 The report shall include the evaluation dates: (specify actual dates or month, year and duration).

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<sup>5</sup> In the case of group certification the certificate holder is the group manager.

<sup>6</sup> In the case of group certification the region in which the group is located shall be specified.

10.6.2 The report shall include a description of the evaluation including;

- a) General itinerary with dates;
- b) Approach to evaluation of management system (e.g. visits to head offices, regional offices, etc) and main items and places audited;
- c) List of FMUs selected for evaluation, and rationale for their selection;
- d) Main sites visited within each selected FMU;
- e) Additional techniques employed for evaluation (e.g. fly-over of whole forest area).

10.6.3 The report shall include a statement of the total person days spent on the evaluation including time spent on pre-evaluation or other preparatory work, time spent auditing documents and records, interviewing stakeholders, and carrying out field work, but excluding travel to and from the region in which the certified forest is located.

## **10.7 Personnel**

10.7.1 The report shall include names and brief qualification of the auditor(s) involved in the evaluation.

## **10.8 Stakeholder Consultation**

10.8.1 The certification body shall not identify individual stakeholders or stakeholder groups in the report without their prior informed consent.

## **10.9 Observations**

10.9.1 The report shall include clear and systematic presentation of the observations and considerations on which the certification decision is based, at the level of the relevant requirements and/or indicators defined in the FSC Controlled Wood standard for forest management enterprises.

NOTE: Observations presenting evidence of compliance or non-compliance at the level of requirements and or indicators may be presented in the form of a standardised checklist, attached as an annex to the report.

10.9.2 Observations shall clearly indicate whether or not the observed level of performance is considered to comply with the requirements of the FSC Controlled Wood standard for forest management enterprises.

10.9.3 Observations shall include information relevant to the FMEs compliance or non-compliance with the requirements of the FSC Controlled Wood standard for forest management enterprises gained as the result of stakeholder consultation.

10.9.4 A description of any actions taken by the certificate holder prior to the certification decision to correct major or minor non-compliances that had been identified during the evaluation.

## **10.10 Certification decision**

10.10.1 The report shall include clear and systematic presentation of the non-compliances identified during the evaluation, and justification for their classification as minor or major non-compliances.

10.10.2 The report shall include explicit identification and discussion of any issues that were hard to assess, for example because of contradictory evidence, difficulty in interpreting the standard in the field, and explanation of the conclusion reached.

NOTE: In cases where one or more stakeholders have alleged a non-compliance, but the auditors have concluded that a certificate should be issued, the report shall explain why the auditors concluded there was no non-compliance, or why the alleged non-compliance was considered minor, or what action was taken to correct the non-compliance prior to the issue of a certificate.

10.10.3 A clear specification of any conditions (corrections of minor non-compliances) or pre-conditions (corrections of major non-compliances) associated with the certification decision.

10.10.4 An explicit statement to the effect that, in the opinion of the certification body:

- a) the certificate holder's system of management, if implemented as described, is capable of ensuring that all of the requirements of the FSC Controlled Wood standard for forest management enterprises are met over the whole forest area covered by the scope of the evaluation;
- b) the certificate holder has demonstrated, subject to correction of the identified non-compliances, that the described system of management is being implemented consistently over the whole forest area covered by the scope of the certificate.

### **10.11 Language(s)**

10.11.1 Forest certification reports may be written in any language at the convenience of clients and the requirements of the certification body's decision making entity.

10.11.2 FSC reserves the right to request a translation of any forest certification report into one of the official languages of FSC, at the expense of the certification body, in order to evaluate implementation of FSC requirements.

### **10.12 Units**

10.12.1 Data presented in the reports should be in metric system units. If non metric units are used the report shall provide conversion rates together with any assumptions made in order to make conversion into metric units possible.

### **10.13 Public Summaries**

10.13.1 The certification body shall make available a public summary in relation to compliance with the FSC Controlled Wood standard for forest management enterprises

## **11 Tracking, tracing and identification of controlled wood material**

11.1 The following elements shall be included in all FSC Controlled Wood evaluation reports:

- a) An evaluation of the risk of products from uncontrolled sources (including any areas specifically excluded from the scope of the Controlled Wood certificate) being mixed with products from the forest area evaluated;
- b) A description of the control systems in place that address the risk identified in a) above (If the evaluation does not include all the forest areas in which the FMEs is involved, the report shall include an explicit statement explaining the special controls that are in place to ensure that there is no risk of confusion being generated as to which activities or products are Controlled Wood certified, and which are not).
- c) A description of the final point (e.g. log yard or depot) at which the certification body certifies claims that a product is sourced from the controlled forest area;
- d) A description of the documentation or marking system that allows products from the controlled forest area to be reliably identified as such at the point specified in 11.1 c) above.

11.2 Primary or secondary processing facilities associated with the FME shall be inspected for compliance with the appropriate FSC standard, and a separate report which meets the requirements of the relevant reporting standard shall be prepared.

## **Part 2: Additional requirements for FSC accreditation of Controlled Wood**

### **12. Qualifications for certification body auditors**

- 12.1 The certification body's documented procedures shall define the minimum qualifications for lead auditors for evaluations of the Controlled Wood standard for forest management enterprises.
- 12.2 The minimum requirements shall meet the specifications defined in ISO19011: 2002 (E) Guidelines for quality and/or environmental management systems auditing with modifications to take account of the special requirements of forest evaluation.

#### **Lead auditors**

- 12.3 Qualifications for lead auditors for evaluation of FSC Controlled Wood for forest managers shall include:
- 12.3.1 Successful completion of a formal auditor training program carried out by or on behalf of the certification body, and including training in:
- a) the evaluation of forest FME's against the Controlled Wood standard for forest management enterprises or evaluation of forest management units for the purposes of FSC certification;
  - b) the implementation of a range of consultation techniques appropriate to different stakeholder groups, as specified in the certification body's consultation procedures;
  - c) the details of certification decision making, and in particular the definition and identification of major and minor non-compliances;
  - d) report writing in compliance with the requirements of the certification body.
- 12.3.2 At least five (5) years professional experience in an area of work relevant to the evaluation (e.g. forest management, postgraduate research, consultancy).

### **13. Evaluation teams for controlled wood**

#### **13.1 Main evaluations**

- 13.1.1 The certification body's documented procedures shall define the composition of evaluation teams for Controlled Wood for main evaluations.
- 13.1.2 The evaluation team shall include:
- a) a qualified lead auditor;
  - b) auditor(s) with the experience and qualifications to evaluate relevant aspects of the Controlled Wood standard taking account of the scale and complexity of the area to be assessed. Key considerations for the selection of auditors for an evaluation shall include experience and qualifications in relation to category(ies) of Controlled Wood being evaluated;
  - c) at least one team member who is fluent in the main language of the district/state in which the evaluation takes place.
  - d) at least one team member shall have demonstrated relevant forestry experience in the country or region.

#### **13.2 Controlled Wood surveillance evaluations**

- 13.2.1 The certification body's evaluation system and procedures shall define the composition of evaluation teams for Controlled Wood surveillance evaluations.

13.2.2 The evaluation team shall include:

- a) auditor(s) with the experience and qualifications to evaluate the relevant aspects of the FSC Controlled Wood standard for forest management enterprises under assessment during the surveillance audit, taking account of the scale and complexity of the area to be assessed.
- b) at least one team member who is fluent in the main language of the district/state in which the evaluation takes place.
- c) at least one team member who is demonstrated relevant forestry experience in country or region.

**14. FSC Controlled Wood certificate requirements**

14.1. FSC Controlled Wood certificates for forest management enterprises shall be issued by an FSC-accredited Certification Body for evaluation of FSC Controlled Wood in forest management enterprises.

14.2. The certificate shall include:

- a) the FSC Controlled Wood registration code: CB-CW/FM-XXXXXX;
- b) type of certificate: single or group;
- c) reference to the standard *FSC-STD-30-010 FSC Controlled Wood standard for forest management enterprises*;
- d) validity of the certificate.

14.3. The FSC-accredited Certification Body shall not include the FSC logo in the FSC Controlled Wood certificate.

14.4. The “TM” symbol in superscript (e.g. FSC controlled wood<sup>TM</sup>) shall be used when referring to FSC Controlled Wood or Forest Stewardship Council Controlled Wood in the certificate template.

## Annex 1: Glossary of terms

**Civil Rights.** Right or rights belonging to a person by reason of citizenship. The rights that every person in a society has, for example to be treated equally, to be able to vote, work, etc.

**Civil Rights Violations.** Infringement of the right or rights belonging to a person by reason of citizenship.

**Excluded Groups.** Groups that do not have access to the full benefits of society.

**Forest Management Enterprise (FME).** Company or operation responsible for forest management.

**Forest Management Unit (FMU).** A clearly defined forest area with mapped boundaries, managed by a single managerial body.

**Forest management/manager:** The people responsible for the operational management of the forest resource and of the enterprise, as well as the management system and structure, and the planning and field operations.

**FSC Controlled Wood.** Virgin wood or wood fibre which has been verified as having a low probability of including wood from any of the following categories:

- a) Illegally harvested wood;
- b) Wood harvested in violation of traditional and civil rights;
- c) Wood harvested in forests in which high conservation values are threatened by management activities;
- d) Wood harvested in forests being converted from natural and semi natural forest to plantations or non- forest use;
- e) Wood from forests in which genetically modified trees are planted.

**Genetically Modified Organism (GMO).** Biological organisms which have been induced by various means to consist of genetic structural changes (FSC Principles and Criteria, Feb 2000).

**Genetically Modified (GM) tree.** GMO derived from a tree species<sup>7</sup>.

**Group certificate.** A certificate issued to a group manager covering a number of forest management units (FMUs) or other sites owned or managed by several distinct legal entities.

**High Conservation Value Forests (HCVFs).** High conservation Value Forests are those that possess one or more of the following attributes:

- a) forest areas containing globally, regionally or nationally significant: concentrations of biodiversity values (e.g. endemism, endangered species, refugia); and/or large landscape level forests, contained within, or containing the management unit, where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance
- b) forest areas that are in or contain rare; threatened or endangered ecosystems
- c) forest areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control)
- d) forest areas fundamental to meeting basic needs of local communities (e.g. subsistence, health) and/or critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities)

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<sup>7</sup> Clones, hybrids formed by natural processes, or the products of traditional tree breeding, selection, grafting, vegetative propagation or tissue culture are not GMOs, unless produced by GMO techniques (FSC POL-30-602).



**Illegally harvested wood.** Wood that has been harvested in violation of any and all laws applicable to harvesting in that location or jurisdiction including the acquisition of the harvesting rights from the rightful owner; the harvesting methods used and the payment of all relevant fees and royalties.

**International Labor Office (ILO) Fundamental Principles and Rights at Work.**

Conventions number 29, 87, 98, 100, 105, 111, 138 and 182 are Core Standards covered by the 1998 ILO Declaration on Fundamental Principles and Rights at Work and its Follow-up. ILO member states are expected to promote and realize these principles, even if they have not ratified the Conventions. The ILO Code of Practice is not a legal instrument, but it provides authoritative guidance on forest work.

- 29 Forced Labour Convention, 1930.
- 87 Freedom of Association and Protection of the Right to Organise Conventions, 1948.
- 98 Right to Organise and Collective Bargaining Convention, 1949.
- 100 Equal Remuneration Convention, 1951.
- 105 Abolition of Forced Labour Convention, 1957.
- 111 Discrimination (Occupation and Employment) Convention, 1958.
- 138 Minimum Age Convention, 1973.
- 182 Worst Forms of Child Labour Convention, 1999.

**Indigenous Peoples.** "The existing descendants of the peoples who inhabited the present territory of a country wholly or partially at the time when persons of a different culture or ethnic origin arrived there from other parts of the world, overcame them and, by conquest, settlement, or other means reduced them to a non-dominant or colonial situation; who today live more in conformity with their particular social, economic and cultural customs and traditions than with the institutions of the country of which they now form a part, under State structure which incorporates mainly the national, social and cultural characteristics of other segments of the population which are predominant." (Working definition adopted by the UN Working Group on Indigenous Peoples) (FSC Principles and Criteria, February 2000). Convention 169 of the International Labour Office relates to Indigenous and Tribal peoples and is applicable to the definitions and provisions of this standard.

**Local civil society groups.** Those groups representing local and community interests.

**Long term.** The time-scale of the forest owner or manager as manifested by the objectives of the management plan, the rate of harvesting, and the commitment to maintain permanent forest cover. The length of time involved will vary according to the context and ecological conditions, and will be a function of how long it takes a given ecosystem to recover its natural structure and composition following harvesting or disturbance, or to produce mature or primary conditions (FSC Principles and Criteria, February 2000).

**Multiple FMU certification.** A certification for which the scope includes more than one forest management unit (FMU) managed by the same forest management enterprise.

**Origin.** Forest area from where the wood or wood fibre came.

**Plantation.** Forest areas lacking most of the principal characteristics and key elements of native ecosystems as defined by FSC-approved national and regional standards of forest stewardship, which result from the human activities of either planting, sowing or intensive silvicultural treatments (FSC Principles and Criteria, February 2000).

**SLIMF (Small or Low Intensity Managed Forest).** A forest management unit which meets specific FSC requirements related to size and/or intensity.

## Annex 2: Examples of stakeholder groups

The following list provides examples of some of the stakeholders that may need to be consulted to assess compliance with specific aspects of the Controlled Wood standards. This is not a complete list, nor is the certification body required to consult with all the stakeholders listed here if this is not required to verify the applicable indicators.

<b>Category</b>	<b>Stakeholder groups typically consulted to evaluate compliance</b>
Illegally harvested wood	<p>State forest service, statutory bodies with some legal mandate over the FMU under evaluation, e.g. legal departments</p> <p>Labour organisations or unions of forestry sector workers; forest recreation organisations</p> <p>Employees</p>
Wood harvested in violation of traditional and civil rights	<p>Representatives and members of communities directly affected by the forest management enterprise</p> <p>Representatives and members of Indigenous Peoples directly affected by the forest management enterprise</p> <p>Representatives and members of Indigenous Peoples directly affected by the forest management enterprise</p> <p>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</p>
Wood harvested in forests in which high conservation values are threatened by management activities	<p>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</p> <p>Representatives and members of communities directly affected by the forest management enterprise</p> <p>Representatives and members of Indigenous Peoples directly affected by the forest management enterprise</p>
Wood harvested from areas being converted from forests and other wooded ecosystems to plantations or non-forest uses	<p>National NGOs that are involved or have an interest in respect of 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;</p> <p>Employees</p>
Wood from forest management units in which genetically modified trees are planted	<p>National NGOs that are involved or have an interest in respect of 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</p> <p>Employees</p>