

FSC INTERNATIONAL STANDARD

Evaluation of forest management enterprises in the
FSC Modular Approach Program (MAP)

FSC-STD-20-014 (V 1-0) Draft 1-0



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**EVALUATION OF FOREST MANAGEMENT ENTERPRISES
IN THE FSC MODULAR APPROACH PROGRAM (MAP)**

FSC-STD-20-014 (V1-0) EN

DRAFT 1.0

The Forest Stewardship Council (FSC) is an independent, not for profit, non-government organization established to support environmentally appropriate, socially beneficial, and economically viable management of the world's forests.

FSC's vision is where the world's forests meet the social, ecological, and economic rights and needs of the present generation without compromising those of future generations.

Foreword

Compliance with laws is a first and fundamental step to achieve FSC certification. The FSC Controlled Wood standard constitutes a credible intermediate step towards full FSC certification.

FSC intends to provide a credible global framework for the verification of these intermediate steps towards the achievement of the requirements of the FSC P&C which is the globally recognized international standard for responsible forest management.

The requirements in this standard are mandatory for certification bodies accredited by FSC for forest management certification and for the evaluation of FSC Controlled Wood in forest management enterprises that would like to provide services for verification of companies within the FSC Modular Approach Program (MAP).

Note on use of this standard

All aspects of this standard are considered to be normative, including the scope, standard effective date, references, terms and definitions, notes, tables and annexes, unless otherwise stated (e.g. as examples).

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A Scope

Certification bodies shall comply with the accreditation requirements of this standard before evaluating forest management enterprises that are intending to or are participating in the FSC Modular Approach Program (MAP).

Certification bodies accredited by FSC for both forest management certification and the evaluation of FSC Controlled Wood in forest management enterprises are eligible to add the services specified in this standard to their portfolio, subject to the successful implementation of all specified requirements into their documented system and subject to prior approval by ASI.

FSC-STD-20-014 is not a stand-alone accreditation standard and can only be implemented and applied by certification bodies together with FSC-STD-20-001, FSC-STD-20-007 and FSC-STD-20-012.

B Standard effective date

This standard is effective upon approval.

C References

The following referenced documents are indispensable for the application of this document. For undated references, the latest edition of the referenced document (including any amendments) applies.

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

Forest Stewardship Council A.C. By-Laws (Document 1.1) June 2006

FSC-POL-10-003 FSC Policy on modular approaches to forest certification

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

FSC-STD-01-002 FSC Glossary of terms

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

FSC-STD-20-006 Stakeholder consultation for forest evaluations

FSC-STD-20-007 Forest Management Evaluation

FSC-STD-20-012 Standard for evaluation of FSC Controlled Wood in Forest Management Enterprises

FSC-STD-30-006 FSC Standard for companies participating in the FSC Modular Approach Program (MAP)

FSC-STD-30-010 FSC Controlled Wood standard for forest management enterprises

D Terms and definitions

For the purposes of this International Standard, the terms and definitions given in *FSC-STD-01-002 FSC Glossary of Terms*, and the following apply:

Action plan: A written plan that specifies actions to be implemented in a defined timeline by the forest management enterprise in order to address nonconforming areas of performance against the FSC Principles and Criteria for Forest Stewardship. Each action shall be related to a specific criterion from the applicable FSC Forest Stewardship standard.

Baseline evaluation: An initial evaluation conducted by the FSC accredited certification body in order to verify:

- a) compliance with the FSC MAP entry requirements
- b) Major Gaps against the criteria of the applicable FSC Forest Stewardship standard

Business to business (B2B) communications: A claim made about a product for the purpose of communication with clients. This includes: websites, sample folders, swatch books, flyers, brochures, catalogues, posters, trade fairs, trade exhibitions, technical specification sheets, price lists, invoices and transport document.

FSC Principles and Criteria for Forest Stewardship (FSC P&C): set of requirements for forest managers to implement environmentally appropriate, socially beneficial, and economically viable forest management on their properties. In the context of this standard the operational FSC-approved version of the FSC P&C developed by approved FSC Working Groups, registered Standards Development Groups or certification bodies for application at the forest management unit level is referred to as the “applicable Forest Stewardship Standard”.

Global South: Low, middle and upper-middle income countries (according to United Nations criteria) as defined in the FSC By-Laws (Document 1.1) Paragraph 14.

Stepwise scheme (also "modular" scheme or "phased approach"): program or service offered by agencies, organizations or businesses to applicant forest management enterprises for facilitating their progress towards FSC certification in defined and verified intermediate steps.

Verified forest product: forest product sourced from an area independently verified by an FSC accredited certification body to be in compliance with FSC MAP requirements.

PART 1 GENERAL REQUIREMENTS

1 Eligible Stepwise Schemes

- 1.1 The certification body shall only evaluate forest management enterprises for compliance with FSC-STD-30-006 that are participating in a credible stepwise scheme and have their forest management units located in the Global South.
- 1.2 Credible stepwise schemes at a minimum:
 - 1.2.1 have the explicit goal of and require the formal commitment to achieving full compliance with the FSC Principles and Criteria for Forest Stewardship at the forest management unit level;
 - 1.2.2 specify clear, verifiable, time-bound steps and relevant processes for achieving the goal of responsible forest management at the forest management unit level;
 - 1.2.3 require participating forest management enterprises to meet minimum entry requirements and follow verifiable action plans to ensure continuous progress towards compliance with the FSC Principles and Criteria for Forest Stewardship;
 - 1.2.4 require independent verification of compliance with the applicable FSC forest stewardship standard at the forest management unit level before any claims are made about the quality of forest management achieved;
 - 1.2.5 prohibit any product labeling or marketing to end consumers or the public until and unless full compliance with the applicable FSC forest stewardship standard has been achieved and independently verified.

NOTE: Credibility criteria have been defined by the FSC Board of Directors in 2005 (see FSC-POL-10-003). FSC will specify in an addendum to this standard which stepwise schemes are considered credible.

2 Evaluation of forest management enterprises in FSC MAP

- 2.1 The certification body shall evaluate forest management enterprises requesting to formally participate in the FSC Modular Approach Program (MAP) for compliance with FSC-STD-30-006 in line with the accreditation requirements specified in this standard.
- 2.2 The certification body shall evaluate the eligibility of the forest management enterprise in the baseline evaluation (see Clause 5 below) before approving their entry into the FSC MAP.
- 2.3 The evaluation of Step 1 (legal compliance) shall be conducted at the forest management unit level no later than one (1) year from the entry date into the FSC MAP.
- 2.4 The evaluation of Step 2 (controlled wood) shall be conducted no later than three (3) years from the entry date into the FSC MAP.
- 2.5 The evaluation of Step 3 (full FSC certification) shall be conducted no later than five (5) years from the entry date into the FSC MAP.

- 2.6 The certification body shall ensure that each evaluation (including the baseline evaluation) at the level of the Forest Management Unit is conducted in accordance to FSC-STD-20-007 Clause 5.4.
- 2.7 The certification body shall evaluate the following aspects regarding tracking, tracing and identification of verified forest products in each evaluation at the level of the Forest Management Unit:
- 2.7.1 An evaluation of the risk of forest products from non verified sources being mixed with forest products from the forest area under evaluation;
 - 2.7.2 A description of the control systems in place;
 - 2.7.3 A description of the final point (e.g. log yard or depot) at which the certification body certifies claims that a forest product is sourced from the verified area;
 - 2.7.4 A description of the documentation or marking system that allows forest products from the verified forest area to be reliably identified as such at the point of exit from the forest area under evaluation.

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.
- 3.2 The certification body shall ensure that each audit team at the level of the Forest Management Unit includes a qualified and registered lead forest management auditor (see FSC-STD-20-001 Annex 2).

4 Independence

- 4.1 The certification body shall be independent from the stepwise scheme service provider that the forest management enterprise is engaged with.
- 4.2 The certification body shall not provide technical assistance or marketing services to the forest management enterprise.

PART 2 ENTRY LEVEL VERIFICATION

5 Baseline Evaluation

- 5.1 The certification body shall conduct a baseline evaluation on-site to:
- 5.1.1 Verify compliance of the forest management enterprise with all entry requirements specified in FSC-STD-30-006 Part 1;
 - 5.1.2 Identify ALL MAJOR non-conformities at criterion level with regards to the applicable forest stewardship standard (gap analysis).
- 5.2 For forest management enterprises matching the definition in FSC-STD-20-007 Clause 3.1.1. a-c, the baseline evaluation shall include a consultative phase in which

key stakeholders are identified and consulted on the presence of HCVPs, land tenure or social conflicts and illegal logging. This consultative phase shall be completed prior to the initiation of the baseline evaluation.

NOTE: The baseline evaluation satisfies the requirements for a FSC pre-evaluation. It is therefore not necessary to conduct an additional pre-evaluation at Step 3 for forest management enterprises participating in the FSC MAP.

6 Approval of action plan

- 6.1 The certification body shall review and approve the action plan developed by the forest management enterprise to verify that ALL MAJOR non-conformities identified during the baseline evaluation are adequately addressed.
- 6.2 The certification body shall attach a summary of the approved action plan to the evaluation report.

NOTE: the summary of the approved action plan shall correspond to the full action plan minus any confidential information.

7 Approval as member of the FSC MAP

- 7.1 After successful completion of the baseline evaluation and approval of action plan, the certification body shall grant the forest management enterprise the status of a member of the FSC MAP by registering the company in the FSC database (www.fsc-info.org, see Clause 13 below).

PART 3 COMPLIANCE WITH FSC PRINCIPLE 1 (LEGALITY)

7 Step 1 evaluation

- 7.1 The certification body shall evaluate the forest management enterprise on-site for full compliance with all elements of Principle 1 of the applicable FSC forest stewardship standard.
- 7.2 At least one month prior to the evaluation, the certification body shall conduct a stakeholder consultation in accordance to FSC-STD-20-006.
- 7.3 The certification body shall not consider Step 1 as successfully completed if there is any major non-conformity with Principle 1 after 15 months of the forest management enterprise formally entering the FSC MAP.

NOTE: the 15 months deadline already includes the (extended) timeline for closing any major non-conformity detected in the Step 1 evaluation. Further extensions of the deadline are not possible.

- 7.4 The certification body shall document the findings of the Step 1 evaluation in an evaluation report at the level of each criterion of the applicable forest stewardship standard.
- 7.5 The evaluation report shall be prepared in line with the requirements specified in the addendum of this standard. The report shall be made available to FSC, ASI and to any interested party upon request.

PART 4 COMPLIANCE WITH FSC CONTROLLED WOOD

8 Step 2 evaluation

- 8.1 The certification body shall conduct the controlled wood evaluation of the forest management enterprise in accordance to FSC-STD-20-012.
- 8.2 The certification body shall not consider Step 2 as successfully completed if there is any major non-conformity with FSC Controlled Wood requirements after 36 months of the forest management enterprise formally entering the FSC MAP.

NOTE: the 36 months deadline already includes the (extended) timeline for closing any major non-conformity detected in the Step 2 evaluation. Further extensions of the deadline are not possible.

PART 5 FULL FSC EVALUATION

9 Step 3 evaluation

- 9.1 The certification body shall conduct the full FSC evaluation of the forest management enterprise in accordance to FSC-STD-20-007.
- 9.2 The certification body shall not consider Step 3 as successfully completed if there is any major non-conformity with the criteria of the applicable forest stewardship standard after 66 months of the forest management enterprise formally entering the FSC MAP.

NOTE: the 66 months deadline already includes the (extended) timeline for closing any major non-conformity detected in the Step 3 evaluation. Further extensions of the deadline are not possible.

- 9.3 After successful completion of Step 3, the forest management enterprise shall be evaluated and managed like a normal certified operation in accordance to FSC-STD-20-007.

PART 6 SPECIFIC REQUIREMENTS

10 Decision making

- 10.1 Decision making in Step 1 shall be conducted in accordance to FSC-STD-20-007 Clauses 8.2 - 8.13.
- 10.2 Decision making in Step 2 and Step3 shall follow the requirements in the corresponding accreditation standards (FSC-STD-20-012 and FSC-STD-20-007).
- 10.3 Failure to complete an evaluation step within the given timeline shall result in the withdrawal of the forest management enterprise from the FSC MAP. The rights of the steps that have already been successfully completed may be maintained subject to continued compliance with relevant contractual and normative requirements specified by the certification body and FSC.

11 Reporting

- 11.1 The certification body shall document the findings of the baseline evaluation and the Step1 evaluation in an evaluation report at the level of each criterion of the applicable forest stewardship standard.
- 11.2 The evaluation report shall be prepared in line with the requirements specified in the addendum of this standard. The report shall be made available to FSC, ASI and to any interested party upon request.
- 11.3 The evaluation reports for Step 2 and Step 3 shall be prepared in line with the requirements specified in the corresponding accreditation standards (FSC-STD-20-012 V1-1 Section 10 and FSC-STD-20-007a / FSC-STD-20-007b).

12 Use of claims, certificates and marks of conformity

Table 1: Overview

STEP	CLAIM	CERTIFICATE	FSC LOGO
Entry	Member of FSC MAP (public)	Participation certificate	NO
Step 1	FSC legal (B2B)	No	NO
Step 2	FSC Controlled Wood (B2B)	Controlled Wood Certificate	NO
Step 3	FSC certified (public)	FSC Certificate	YES

- 12.1 The certification shall grant the following rights to the forest management enterprise after entering the FSC MAP:
 - 12.1.1 The forest management enterprise shall be permitted to declare themselves as “FSC MAP Member” or “Member of FSC MAP”;
 - 12.1.2 The certification body may issue a ‘certificate of participation’ to the forest management enterprise. The certificate shall include the name and address of the certification body and the participant, the forest areas under evaluation, the issue and expiry date, the MAP registration code and the signature of the issuing officer. The certificate shall not carry the FSC logo;

NOTE: the certificate of participation shall not be designed similarly to the FSC certificate that the certification body is usually issuing to their FSC certified clients.

 - 12.1.3 The forest management enterprise shall not be authorized to use the FSC logo.
- 12.2 The certification shall grant the following rights to the forest management enterprise after successful completion of Step 1:
 - 12.2.1 The forest management enterprise may be allowed to make a business to business claim for themselves and their verified forest products as “FSC verified legal”;
 - 12.2.2 This step does not include the issuing of any further certificate or the right to use of the FSC logo.
- 12.3 Following Step 2 and Step 3, the certification body shall implement the requirements regarding claims, certificates and trademark use as specified for stand-alone certifications in accordance to FSC-STD-20-012 and FSC-STD-20-007 respectively.

13 Registration of MAP members

13.1 The certification body shall register the forest management enterprise participating in the FSC MAP in the FSC database of registered certificates (www.fsc-info.org) within ten (10) business days of successful completion of Step 1. The registration process shall include the uploading of the baseline report, the summarized action plan and the P1 evaluation report.

13.2 The registration code issued by the certification body shall have the following format:

XXX-MAP-#####

where XXX are the initials of the certification body agreed with FSC, ##### is a unique six digit number or combination of numbers and letters issued by the certification body itself.

13.3 Following Step 2 and Step 3, the certification body shall implement the requirements regarding registration code and registration of certificates as specified for stand-alone certifications in accordance to FSC-STD-20-012 and FSC-STD-20-007 respectively.

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