

## FSC INTERNATIONAL STANDARD

FSC Standard for forest management enterprises participating in the  
FSC Modular Approach Program (MAP)

FSC-STD-30-006 (V 1-0) Draft 1-0



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<b>Contact:</b>	FSC Policy and Standards Unit (PSU)
<b>E-mail for comments:</b>	policy.standards@fsc.org

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## FSC STANDARD FOR FOREST MANAGEMENT ENTERPRISES PARTICIPATING IN THE FSC MODULAR APPROACH PROGRAM (MAP)

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

*The FSC Principles and Criteria for Forest Stewardship (FSC-STD-01-001)* are now well established as the most widely recognized international standard for the certification of environmentally appropriate, socially beneficial, and economically viable management forest management at the forest management unit (FMU) level.

However, achievement of the full set of Principles and Criteria requires a high level of performance by the forest management enterprise. Many forest managers, especially in the Global South, experience special challenges in fully implementing the FSC Principles and Criteria (FSC P&C) in the short term unless they can receive some kind of intermediate, short term benefit to justify the efforts and investments.

The concept of modular verification is essentially that 'full' certification can be broken down into a number of modules or steps. Forest managers can then aim to achieve these steps in sequence over time. They can receive some credit for achieving the earlier steps, and full credit only when the full set of FSC Principles and Criteria is complied with. The FSC Modular Approach Program (MAP) creates an effective link between legality compliance, Controlled Wood compliance and compliance with the full set of the FSC P&C.

In 2006, FSC approved a Policy on Modular Approaches to Forest Certification (FSC-POL-10-003). This Policy defines minimum criteria for stepwise schemes in order to qualify as a service framework in the FSC MAP. Furthermore, the Policy defines the interest of FSC to explore and engage in collaboration with credible stepwise schemes.

However, after discussions with the most recognized current stepwise schemes, it was agreed that FSC should not become a global framework for existing schemes. The main rationale for this was to respect and keep the independence these schemes have in terms of methodologies and process.

The main goal of the FSC MAP is to provide a credible international framework to forest management enterprises in the Global South that would wish to promote themselves as 'in progress' towards FSC certification.

The scope and outreach of current stepwise schemes vary between three main areas of work:

1. Technical assistance of companies seeking FSC certification, including a defined guidance on sets of modules adapted to national/local circumstances.
2. Verification services: To evaluate progress against the main elements of FSC certification. These services are being provided by FSC accredited certification bodies.
3. Marketing and promotion of products from companies in their way towards FSC certification.

The FSC Modular Approach Program provides an international framework for forest management enterprises operating in the Global South engaged in current stepwise schemes. The main benefit of participation in the FSC MAP is the early access to markets for FSC certified products. One critical aspect is the separation of technical assistance and marketing services from verification services. This has been perceived by stakeholders as a clear conflict of interest and brought into question the independence of stepwise schemes that exist today.

As the intent of FSC MAP is to provide intermediate benefits to forest management enterprises that face significant challenges in the implementation of FSC certifiable forest management practices, participation in the FSC MAP is restricted to forest management operations operating in the Global South.

For this purpose, FSC has developed this standard, which is focused on the aspects that the forest management enterprises need to fulfill, with or without support of technical assistance bodies in order to be part of the FSC Modular Approach Program with the ultimate benefits of being able to promote its progress towards FSC certification through FSC approved claims.

This standard is the product of different stages of consultation with stakeholders and representatives from different stepwise schemes. It includes certification requirements for forest management enterprises seeking to make claims about their progress towards FSC certification with a commitment to achieve FSC certification in a defined period of time.

### **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

This standard is applicable to Forest Management Enterprises (FMEs) that wish to participate in the FSC Modular Approach Program (MAP).

Participation in the FSC MAP is voluntary. A company can also sign up for FSC Controlled Wood or full FSC forest management certification directly without having to participate in the FSC MAP.

## 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.

**ILO Fundamental Principles and Rights at Work:** expression of commitment by governments, employers' and workers' organizations to uphold basic human values - values that are vital to our social and economic lives.

The Declaration on Fundamental Principles and Rights at Work covers four areas:

- Freedom of association and the right to collective bargaining;
- The elimination of forced and compulsory labour;
- The abolition of child labour, and;
- The elimination of discrimination in the workplace

**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.

**Credible stepwise schemes** (as per FSC Board of Directors decision):

- 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;
- specify clear, verifiable, time-bound steps and relevant processes for achieving the goal of responsible forest management at the forest management unit level;
- 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;
- 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;
- 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.

**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 - ENTRY LEVEL REQUIREMENTS

### 1 Eligibility

1.1 In order to be eligible to formally enter into the FSC Modular Approach Program, the forest management enterprise shall:

1.1.1 Participate in a credible stepwise scheme;

1.1.2 Have their forest management units under evaluation in the Global South;

1.1.3 Comply with the requirements specified in Clause 2-6.

### 2 Legal harvesting

2.1 The forest management enterprise shall harvest in compliance with all laws applicable to harvesting in the jurisdiction in accordance with the requirements outlined in Table 1.

2.2 The forest management enterprise shall implement a system to classify, measure and record all harvested forest products by species, qualities and quantities according to legally prescribed standards and procedures.

**Table 1: requirements for legal harvesting**

	<b>Requirements</b>	<b>Means of verification*</b>
a)	Evidence of legal authority to harvest	Concession license and/or harvesting permit (approved by the appropriate authority)
b)	Evidence of compliance with applicable management planning requirements	Approved management plan or equivalent documentation, as required by local authorities
c)	Specification of applicable harvesting restrictions	Documentation specifying legal restrictions on harvesting (e.g. diameter limits, species restrictions, volume restrictions, restricted areas).
d)	Evidence that timber is harvested from authorized areas (e.g. not from protected areas where harvest is not allowed)	Maps and/or records showing the area in which harvesting has taken place
e)	Evidence of timber sales	Sales contracts, invoices
f)	Evidence of payment of royalties or other fees (i.e. fees on harvesting rights)	Official records confirming payments
g)	Evidence of compliance with applicable provisions and requirements of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES).	An up to date list of tree species in the FMU that are listed in Appendices I to III of the (CITES)  National permits for harvest or trade of any CITES-listed species, if applicable
h)	Evidence of compliance with	Copies of transport or sales permits with

requirements in relation to transportation of timber	to specification of species and volumes as applicable
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\* Note: means of verification are included as guidance. The Forest Management Enterprise may use other evidence to document compliance with the requirements, especially when considering the size and intensity of the management operation.

### **3 Conversion**

- 3.1 The forest management enterprise shall not convert natural forests within the FMU under evaluation to plantations or other land uses, except in circumstances where conversion:
- a) entails a very limited portion of the FMU <sup>1</sup>
  - b) does not occur on high conservation value forest areas,
  - c) will enable clear, substantial, additional, secure long term environmental and social benefits across the FMU.
- 3.2 Forest management enterprises that have converted natural forests to plantations or other uses after November 1994 shall not be eligible to enter into the FSC Modular Approach Program.

### **4 Genetically modified organisms (GMOs)**

- 5.1 The forest management enterprise shall not use genetically modified organisms (GMOs).

### **5 Chain of custody**

- 4.1 The forest management enterprise shall implement a chain of custody control system in order to demonstrate that their forest products can be traced back to the forest stand of origin.

### **6 Public commitment**

- 5.1 The forest management enterprise shall have a written and publicly available commitment to FSC certification, including the commitment to achieve full FSC certification within five (5) years' time.

NOTE: forest management enterprises that have not achieved full FSC certification within five (5) years from entering the FSC MAP will be removed from the FSC MAP.

### **7 Baseline evaluation and action plan**

- 6.1 The forest management enterprise shall develop an action plan with annual objectives in response to any non-compliances identified in the baseline evaluation by the certification body. Annual objectives shall be clearly linked to the criteria from the applicable forest stewardship standard under consideration of compliance with the different steps in the FSC MAP (Legality, Controlled Wood, full certification). The action plan shall be submitted to the FSC accredited certification body for approval.

<sup>1</sup> The area affected shall not exceed 0.5% of the area of the FMU in any one year, nor affect a total of more than 5% of the area of the FMU.

- 6.2 A summary of the action plan (excluding any confidential information) shall be publicly available on request.

NOTE: the certification body is required to also publish a summary of the action plan in the FSC database ([www.fsc-info.org](http://www.fsc-info.org)).

- 6.3 The forest management enterprise shall review and update their action plan within one (1) year after a new FSC regional/national standard has come into effect.

## **PART 2 - STEPS IN THE FSC MAP**

### **8 Step 1: Compliance with FSC Principle 1 (Legality)**

- 8.1 The forest management enterprise shall comply with all criteria of Principle 1 of the applicable forest stewardship standard within one (1) year of entering the FSC MAP.

### **9 Step 2: Compliance with FSC Controlled Wood requirements**

- 9.1 The forest management enterprise shall comply with all requirements of FSC-STD-30-010 within three (3) years of entering the FSC MAP.

### **10 Step 3: Compliance with the FSC Forest Stewardship standard**

- 10.1 The forest management enterprise shall comply with all requirements of the applicable FSC forest stewardship standard no later than five (5) years of entering the FSC MAP.

## **PART 3 - CLAIMS AND CERTIFICATES**

### **11 General requirements**

- 11.1 Until successful completion of Step 3 (full FSC certification) the forest management enterprise shall not make any public claims associated with FSC (use of trademarks).
- 11.2 Until successful completion of Step 3 (full FSC certification) the forest management enterprise shall not use any on-product claims or labels associated to FSC.
- 11.3 As a member of the FSC MAP, the forest management enterprise shall not make any on-product claims in association with the stepwise schemes that they are enrolled in.
- 11.4 As a member of the FSC MAP, the forest management enterprise may make public promotional claims in relation to its association to any stepwise scheme.

### **12 Claims as a participant of the FSC MAP**

NOTE: After completing the baseline evaluation and approval of action plan the forest management enterprise will be formally included in the FSC MAP by their certification body by registering the company in the FSC database.

- 12.1 The forest management enterprise may make public claims regarding its participation in the FSC MAP after they have been registered in the FSC database by their certification body. The forest management enterprise may claim to be a “FSC MAP Member” or “Member of FSC MAP”.

NOTE: if any of the MAP steps are not fulfilled by the forest management enterprise, the company is no longer considered to be part of the FSC MAP and therefore shall not be allowed to make any claim regarding its participation in the FSC MAP.

### **13 Claims after Step 1 (Legality)**

- 13.1 The forest management enterprise may use the claim ‘FSC LEGAL’ in business to business communications.
- 13.2 The forest management enterprise shall not use any on-product claims or labels associated to FSC.

### **14 Claims after Step 2 (Controlled Wood)**

- 14.1 The forest management enterprise may use the claim ‘FSC Controlled Wood’ in business to business communications and documentation in line with the requirements specified in FSC-STD-30-010.
- 14.2 The forest management enterprise shall not use any on-product claims or labels associated to FSC.

Note: Forest management enterprises achieving Step 2 may request a Controlled Wood certificate from their certification body and are able to sell their forest products as FSC Controlled Wood.

### **15 Claims after Step 3 (full FSC certification)**

- 15.1 Successful completion of Step 3 will result in the issuing of a FSC certificate with all rights and duties related to it.

## **PART 4 FURTHER RULES AND REGULATIONS**

### **16 Withdrawal from the FSC MAP**

- 16.1 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 certification status 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.

### **17 Maintaining FSC certification**

- 17.1 After successful completion of Step 3, the forest management enterprise shall comply with the rules and regulations in accordance with the relevant contractual and normative requirements specified by the certification body and FSC in order to maintain their FSC certification like a ‘normal’ FSC-certified operation.