



Forest Stewardship Council®



# General requirements for FSC accredited certification bodies

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

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

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## Color key for Drafts

Black: Old FSC standard wording
Purple: New FSC standard wording Only content changes or additions are marked as new FSC standard wording (minor editorial changes are not indicated).
Green: DIN EN ISO/IEC 17065:2013-01 wording NEW= new ISO clause AMENDED= amended ISO clause
Pink: DIN EN ISO/IEC 17021:2011-07 wording

### A Objective

This standard specifies the accreditation requirements for all certification bodies operating FSC certification programs. The objective of this standard is to ensure that these programs are managed in a **competent**, consistent, **impartial**, **transparent**, **rigorous**, reliable and credible manner, thereby facilitating their acceptance on a national and international basis and so furthering international trade and promoting sustainable development.

This standard was developed to ensure conformity with applicable requirements of the *ISEAL Code of Good Practice for Assuring Compliance with Social and Environmental Standards V1-0* and compatibility with *DIN EN ISO/IEC standard 17065:2013-01 Conformity assessment – requirements for bodies certifying products, processes and services*.

### B Scope

This standard is for use by all certification bodies operating programs for the FSC certification of forest management, chain of custody and controlled wood against FSC standards.

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).

### C Effective and validity dates

Approval date	tbd
Publication date	Tentative date: 01 January 2016
Effective date	01 April 2016
Period of validity	until 31 December 2021 (or until replaced or withdrawn)

#### Stakeholder consultation note (for information):

During the first year of validity of the new version, the old version of the standard is phased-out, as certification bodies transition to the new version. During the transition period ASI may issue observations on new requirements. From 01 April 2017 onwards ASI will start to issue nonconformities against the new version.

## D References

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

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

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

*FSC-STD-01-003 SLIMF Eligibility Criteria*

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

*FSC-STD-20-007 Forest management evaluations*

*FSC-STD-20-011 Chain of Custody Evaluations*

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

*FSC-STD-50-001 Requirements for the use of the FSC trademarks by certificate holders*

*FSC-STD-50-002 Requirements for promotional use of the FSC trademarks by non-certificate holders*

*FSC-PRO-01-017 Participation of external observers in on-site FSC certification audits and/ or ASI assessments*

*FSC-PRO-20-003 Transfer of FSC Certificates and License Agreements*

*FSC-PRO-60-007 Structure, Content and Development of Interim National Standards*

*ISEAL Code of Good Practice for Assuring Compliance with Social and Environmental Standards V1-0*

*ISEAL, Managing conflict of interest in standards and assurance, 2013*

*ISO 9000:2005 Quality Management systems - Fundamentals and vocabulary*

*ISO 9001 Auditing practices group guidance on third party auditor impartiality and conflict of interest, 2005*

*ISO/IEC 17000:2004 Conformity Assessment - Vocabulary and general principles*

*DIN EN ISO/IEC 17021:2011-07 Conformity assessment - Requirements for bodies providing audit and certification of management systems*

*DIN EN ISO/IEC 17024:2012-11 Conformity assessment – Requirements for bodies operating certification of persons*

*DIN EN ISO/IEC 17065:2013-01 Conformity assessment - Requirements for bodies certifying products, processes and services*

*ISO 19011:2011 Guidelines for auditing management systems*

*ISO/IEC Guide 2:2004 Standardization and related activities – General vocabulary*

*ISO/IEC Guide 60:2004 Code of good practice for conformity assessment*

### **FSC normative documents replaced by this version of the standard:**

*FSC-ADV-20-001-02 Maximum timeline for certification decisions*

*FSC-ADV-20-004 Qualifications of FSC certification body auditors*

*FSC-ADV-20-481 Documenting the forest areas that the certification body has been contracted to evaluate for conformity with FSC standards*

## E Terms and definitions

For the purposes of this standard, the terms and definitions provided in *FSC-STD-01-002 FSC Glossary of Terms*, *ISO/IEC 17000:2004*, and the following apply:

**Accreditation:** Third-party attestation related to a certification body conveying formal demonstration of its competence to carry out specific conformity assessment tasks (adapted from *ISO/IEC 17000:2004 (E)*).

**Appeal:** request by the client to the certification body for reconsideration of a decision it has made relating to that client.

**Application reviewer:** the person(s) that is (are) responsible for the application review incorporates a level of knowledge and experience sufficient to prepare the audit process and checks if an applicant for certification is ready and prepared for an audit.

**Audit:** systematic, independent, documented process for obtaining records, statements of fact or other relevant information and assessing them objectively to determine the extent to which specified requirements are fulfilled (adapted from ISEAL Assurance Code).

**Auditor:** a person competent to conduct an audit.

**Audit team:** is made up of one or more auditors, one of whom is appointed to be the audit team leader. When necessary, audit teams are also supported by technical experts and/or further personnel (e.g. interpreter), who assist auditors but do not themselves act as auditors.

**Audit team leader:** an auditor who is competent to lead the audit and the audit team.

**Certificate:** a document issued under the rules of a certification system, indicating that adequate confidence is provided that a duly identified product, process or service is in conformity with a specific standard or other normative document (ISO/IEC Guide 2:1991 paragraph 14.8 and ISO/CASCO 193 paragraph 4.5)

**Certification:** third-party attestation related to products, processes, systems or persons.

**Certification decision:** granting, maintaining, renewing, expanding the scope of, reducing the scope of, suspending, reinstating, or withdrawing certification.

**Certification decision making entity:** the person(s), group or committee who makes the final certification decision.

**Client:** organization or person responsible to a certification body for ensuring that certification requirements are fulfilled. In the context of this standard client refers to applicants for FSC certification and to FSC certificate holders.

**Competence:** the demonstrated ability to apply knowledge, skills and personal attributes in order to achieve intended results (adapted from DIN EN ISO/IEC 17065:2013-01).

**Complaint:** expression of dissatisfaction by any person or organization presented to a certification body relating to the FSC activities of that certification body and/ or the FSC activities of their clients (adapted from ISO/IEC 17000:2004 (E)). In the context of FSC, a complaint includes the name and contact information of the complainant, a clear description of the issue and evidence to support each element or aspect of the complaint.

**Conflict of interest:** an actual or perceived interest in an action that results in or has the appearance of resulting in personal, organisational, or professional gain (ISEAL Assurance Code).

NOTE: Categories of conflict of interest include for example evaluating one's own work, individual or organisational benefits or institutional financial benefits.

**Consultancy:** participation in

- i. the designing, manufacturing, installing maintaining or distributing of a certified product or a product to be certified; or
- ii. designing, implementing, operating or maintaining of a certified process or a process to be certified; or
- iii. the designing, implementing, providing or maintaining of a certified service or a service to be certified; or
- iv. the designing, implementing or maintaining of a certified management system or a management system to be certified.

NOTE 1: Arranging training and participating as a trainer is not considered consultancy, provided that, where the course relates to management systems or auditing, it is confined to the provision of generic information that is freely available in the public domain; i.e. the trainer should not provide company-specific solutions.

NOTE 2: The certification body is allowed to explain its findings and/or clarify the requirements of normative documents but shall not give prescriptive advice or consultancy as part of an audit.

**Days:** timelines mentioned in this standard in days refer to business days unless otherwise specified.

**Evaluation:** the combined processes of audit, review, and decision on a client's conformity with the requirements of a standard (ISEAL Assurance Code).

**Types of evaluation:**

**Pre-Evaluation:** assessment to determine the applicant's readiness for their main evaluation.

**Main Evaluation:** assessment of an applicant for FSC certification.

**Re-Evaluation:** assessment for re-certification.

**Surveillance Evaluations:** see "*surveillance*"

NOTE: The certification body may also conduct other types of evaluations in addition to the ones listed above, e.g., corrective action request and pre-condition verification audits, expansion of scope evaluations, certification transfer evaluation.

**FSC:** if used in this standard without any further designation such as "IC" or "GD", it is used as a general term referring to all operational entities under the ownership of Forest Stewardship Council A.C, **excluding** Accreditation Services International (ASI).

**FSC Accreditation Requirements:** all normative rules and regulations applicable to FSC accredited certification bodies and to applicant certification bodies.



**FSC Certification Requirements:** all normative rules and regulations applicable to the certification of forest management organizations and/or chain of custody organizations.

**FSC Normative Framework:** the collection of FSC Policies, Standards, and Procedures which are mandatory for FSC accredited certification bodies, certificate holders, and applicants (and any other party as specified in a document's scope) to be followed. Includes Advice Notes where these exist (stand-alone or compiled in Directives).

**Impartiality:** actual and perceived presence of objectivity, meaning that conflicts of interest do not exist or are resolved so as not to adversely influence subsequent activities of the certification body.

**License Agreement for the FSC Certification Scheme:** an agreement, that each applicant for FSC certification and/or FSC certificate holder has to enter into with FSC Global Development, in order to be eligible for FSC certification.

**Operational procedure:** describes the processes used to effectively meet the objective of the activity (e.g. who, what, when, where, why).

**Peer reviewer:** an external person (auditor or technical expert) reviewing an audit report provided by the audit team leader.

**Surveillance:** systematic iteration of conformity assessment activities as a basis for maintaining the validity of FSC certification.

**Suspension:** temporary invalidation of the FSC certification for all or part of the specified scope of attestation.

**Technical expert:** a person supporting an audit team by providing specific knowledge or expertise about the organization, process or activity being audited. The person does not act as auditor.

**Termination:** revocation or cancellation of the certification agreement by the certification body or the client according to contractual arrangements.

**Top management:** the highest ranking executive(s) (board, group of persons or person), having overall authority and responsibility to lead an organization.

**Withdrawal:** revocation or cancellation of the FSC certification.

**Witness audit:** evaluation of the performance and verification of the competence of an auditor on-site by a third party who is not part of the audit team. This person is either staff member of the employing certification body (tri-annual) or an assessor from the FSC accreditation body.



### **Verbal forms for the expression of provisions**

[Adapted from *ISO/IEC Directives Part 2: Rules for the structure and drafting of International Standards*]

“*shall*”: indicates requirements strictly to be followed in order to conform with the standard.

“*should*”: indicates that among several possibilities one is recommended as particularly suitable, without mentioning or excluding others, or that a certain course of action is preferred but not necessarily required. A certification body can meet these requirements in an equivalent way provided this can be demonstrated and justified.

“*may*”: indicates a course of action permissible within the limits of the document.

“*can*”: is used for statements of possibility and capability, whether material, physical or causal.

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## F FSC Accreditation Standards Map

Accreditation Scope	Forest management	Chain of Custody
Mandatory combination	Chain of Custody	
Accreditation standards	G	<b>FSC – STD – 20 – 001</b> General requirements for CBs
	S	<div>FSC-STD-20-006 Stakeholder consultation for forest evaluations</div> <div>FSC-STD-20-007 FM evaluations</div> <div>FSC-STD-20-012 Evaluation of FSC CW</div> <div>FSC-STD-20-011 COC evaluations</div>

G= Generic requirements, S= Scope-specific requirements

This table provides an overview of the main accreditation standards for the two (2) available scopes of FSC accreditation. All documents of the FSC normative framework are listed in the FSC document catalogue and are published on the [FSC website](#).

## **Part 1: General requirements**

### **1.1 Accreditation scope**

1.1.1 The certification body shall define the scope of FSC accreditation based on the following two (2) options (see the FSC Accreditation Standards Map on page 10):

- a) the accreditation scope comprises forest management (including controlled wood forest management) and chain of custody (including controlled wood chain of custody) certification; or
- b) the accreditation scope comprises chain of custody (including controlled wood chain of custody) certification only.

NOTE: Scope a) may optionally be reduced to exclude controlled wood forest management.

1.1.2 The certification body shall conduct its certification operations according to their defined accreditation scope and in conformity with:

- a) the requirements specified in this standard;
- b) the requirements of all applicable documents of the FSC normative framework as published on the FSC website ([ic.fsc.org](http://ic.fsc.org));
- c) its operational procedures and instructions.

### **1.2 Legal and contractual matters**

1.2.1. The certification body shall be a legal entity, or a defined part of a legal entity, such that the legal entity can be held legally responsible for all its certification activities.

1.2.2. The certification body shall ensure that a legally enforceable certification agreement is signed by the relevant parties prior to the main evaluation and after the client has obtained a 'License Agreement for the FSC Certification Scheme'.

1.2.3 The certification agreement shall require the client at least to:

#### **Obligations of the client**

- a) conform with all applicable certification requirements;
- b) conform with any conditions set by the certification body for granting or maintaining certification;
- c) disclose current or previous application or certification with FSC or other certification schemes in the last five years;
- d) agree to the conduct of evaluations at the required intervals, including the certification body's right to carry out unannounced or short notice audits;
- e) agree, that specified information is published, as indicated in the applicable FSC normative documents;
- f) consider the participation of observers as specified in FSC-PRO-01-017;
- g) agree to follow the certification body's dispute resolution process and ultimately FSC's dispute resolution process, in case of disagreement with audit findings related to FSC normative documents;
- h) making claims regarding certification consistent with the scope of certification and not making any claims of conformity (or near conformity) with FSC requirements until and unless certification is granted;

- i) not use its certification in such a manner as to bring the certification body, FSC or the accreditation body into disrepute and not make any statement regarding its certification that may be considered misleading or unauthorized;
- j) keep a record of all complaints made known to it relating to conformity with certification requirements and makes these records available to the certification body when requested, and:
  - i. take appropriate action with respect to such complaints and any deficiencies found in products that affect conformity with the requirements for certification;
  - ii. document the actions taken;
- k) inform the certification body within five (5) days of changes in the ownership, structure of the organization (e.g. changes in key managerial staff), certified management systems or circumstances which relate to the implementation of FSC certification requirements;
- l) agree, that in case of reduction, suspension or withdrawal of the scope of certification body's FSC accreditation, the certification of the affected clients will be suspended within six (6) months after the date of reduction, suspension or withdrawal of the respective scope of FSC accreditation;

#### **Rights of the certification body, the accreditation body and FSC**

- m) agree, that the certification body shall not be obliged to grant or maintain certification, if activities of the client conflict with the obligations of the certification body as specified in its accreditation contract with the accreditation body, or which, in the sole opinion of the certification body, reflect badly on the good name of the certification body;
- n) agree, that the certification body and FSC have the right to revise the requirements of certification within the period of validity of the certification, including the revision of costs and fees;
- o) agree, that the certification body, FSC and the accreditation body have the right to access confidential information, examine documentation deemed necessary, and access to the relevant equipment, location(s), area(s), personnel, and bodies providing outsourced services to clients;
- p) agree, that the certification body has the right to use information which is brought to its attention, to follow up on misuses of the FSC trademarks and of the intellectual property rights held by FSC;
- q) acknowledge the title of the FSC's intellectual property rights and that FSC retains full ownership of the intellectual property rights and that nothing shall be deemed to constitute a right for the client to use or cause to be used any of the intellectual property rights;
- r) agree, that the certification body has the right to suspend and/ or withdraw its certification with immediate effect if, in the sole opinion of the certification body, the client is not in conformity with the conditions specified for the maintenance of certification;

#### **Actions relating to suspensions or withdrawal of certification**

- s) meet the following obligations on suspension or withdrawal of certification:
  - i. immediately cease to make any use of any FSC trademarks, or to sell any products previously labeled or marked using the FSC trademarks, or to make any claims that imply that they conform with the requirements for certification;

- ii. identify all existing certified and uncertified customers, inform those customers of the suspension or withdrawal in writing within three (3) days of the suspension or withdrawal, and maintain records;
    - iii. cooperate with the certification body and with FSC in order to allow the certification body or FSC to confirm that these obligations have been met;
  - t) meet the following additional obligations on withdrawal of certification:
    - i. return the certificate to the certification body or destroy the original, and commit to destroy any electronic copies and printed copies in their possession;
    - ii. at its own expense remove all uses of FSC's name, initials, logo, certification mark or trademarks from its products, documents, advertising or marketing materials.
- 1.2.4 The certification body shall inform the client within thirty (30) calendar days after the reduction, suspension or withdrawal of the scope of FSC accreditation, that the accreditation of the certification body has been reduced, suspended or withdrawn. The clients shall be informed that they have to seek a new FSC accredited certification body within six (6) months to keep their certification valid;
- 1.2.5 The certification agreement shall cite the **relevant FSC normative documents** and rules and regulations in its most recent version and shall explain where the client can obtain the most recent version online.

### **1.3 FSC trademarks and promotion**

- 1.3.1 The certification body shall conform with the requirements of all applicable FSC trademark requirements and any other requirements relating to the intellectual property of FSC.
- 1.3.2 The certification body shall be responsible for the approval of the FSC trademark use of their clients according to FSC trademark requirements, relating to both on-product and promotional uses.
- 1.3.3 The certification body shall control the FSC trademark use of their clients, both on-product and promotional uses by:
  - a) **auditing the trademark use at minimum at the time of the surveillance audit and re-evaluations (sampling can be applied); and**
  - b) **addressing cases of detected or reported trademark misuses by their clients.**
- 1.3.4 The certification body shall not promote standards of other forestry conformity assessment schemes as equivalent to FSC standards.

NOTE: If a certification body offers certification services of other forestry conformity assessment schemes, the FSC system and standards shall clearly and accurately be differentiated relative to the other schemes in promotional media and communication to clients according to specific information as provided by FSC.

## 1.4 Granting, maintaining, extending, reducing, suspending, withdrawing and reinstating certification

### Granting certification

- 1.4.1 The certification body shall only grant certification when their client:
- a) has entered into and holds a valid **and most recent** version of the 'License Agreement for the FSC Certification Scheme', **where the right to use the FSC trademarks** is not suspended;
  - b) conforms with the requirements of all applicable FSC normative documents, **including the implementation of any actions required to correct major nonconformities**;
  - c) signed a certification agreement.
- 1.4.2 The period of validity of FSC certification shall not exceed five (5) years.
- 1.4.3 Recertification may be granted as the result of a re-evaluation.
- 1.4.4 The specified period of validity of certification may be extended for a single exceptional extension of up to six (6) months in order to permit re-evaluation to be completed, when justified by circumstances beyond the control of the certification body *and* their client. The following steps shall be taken:
- a) the certification body shall record such circumstances;
  - b) update the entry in the FSC database ([info.fsc.org](http://info.fsc.org)).

NOTE 1: Justifiable circumstances for an extension exclude problems in planning or scheduling an audit *per se*.

NOTE 2: This clause does not apply in the context of chain of custody project certification.

### Maintaining certification

- 1.4.5 The conditions necessary for a client to maintain certification shall include that the client:
- a) conforms and continues to conform with all the certification body's conditions for maintaining certification;
  - b) conforms with all the certification body's and FSC's requirements regarding claims, logos, certification marks or trademarks;
  - c) corrects any nonconformities with applicable FSC normative document(s) within the maximum period specified by the certification body;
  - d) continues to pay all specified fees and costs in a timely manner;
  - e) undergoes surveillance as determined by the certification body and as required by FSC;
  - f) holds a valid **and most recent version of the** 'License Agreement for the FSC Certification Scheme', **where the right to use the FSC trademarks** is not suspended;

### Extending and reducing the scope of certification

- 1.4.6 The conditions necessary for the certification body to change the scope of certification shall include the following requirements:
- a) the change of scope shall not include or result in an extension of the certification's expiry date beyond the time period for which it was originally granted;
  - b) if granting a change of scope, the certification body shall review the certificate previously issued and if necessary shall require that the old

certificate be returned to the certification body or destroyed by the client, and a new certificate issued reflecting the change of scope.

NOTE 1: An increase or decrease in the Participating Sites of a group certification is not considered a change of scope unless, in the opinion of the certification body, the change requires significant changes to the group certification holder's management systems.

NOTE 2: A change of scope may be necessary as a result of changes in ownership, structure of the organization, or management systems (see Clause 1.2.3.k, above).

### **Suspending and withdrawing certification**

1.4.7 In the event that the certification body suspends or withdraws certification, the certification body shall update the status of certification in the FSC database ([info.fsc.org](http://info.fsc.org)) together with the effective date and reason of suspension or withdrawal within three (3) days of the suspension or withdrawal.

1.4.8 The certification body shall issue a letter of notification to clients whose certification has been suspended or withdrawn. The notification letter shall include:

- a) a clear statement about the invalid status of certification (suspended, or withdrawn);
- b) the date from which the invalid status of certification is official;
- c) the rationale supporting the invalid status of certification which shall include, but is not limited to, the details of the breach of the certification agreement and the demonstration of nonconformities with the applicable certification requirements;
- d) the requirement to withdraw all uses of the FSC trademarks;
- e) in the case of an suspended or withdrawn FSC controlled wood certification, the requirement to stop making FSC Controlled Wood claims and/or using controlled material in any FSC products;
- f) in the case of suspended certification, the information that the maximum duration of suspension is twelve (12) months (or in exceptional cases up to eighteen (18) months, see Clause 4.7.5) and after this period, the certification will be withdrawn;

1.4.9 The certification body shall keep the evidence that the client has received the letter of notification (e.g. client's written acknowledgement of receipt, delivery receipt from the mail service).

### **Reinstating certification**

1.4.10 The certification body may reinstate certification after suspension if all major nonconformities have been corrected; and in cases where certification has been suspended for more than twelve (12) months, a surveillance audit has been conducted.

1.4.11 If certification is reinstated after suspension or if the certification scope is reduced as a condition of reinstatement, the certification body shall make all necessary modifications to formal certification documents, public information and authorizations for use of marks (NEW).



## 1.5 Impartiality

- 1.5.1 The certification body shall be responsible for ensuring that certification activities are undertaken impartially and shall not allow commercial, financial or other pressures to compromise impartiality (AMENDED).
- 1.5.2 The certification body shall have top management commitment to impartiality (NEW).
- 1.5.3 All certification body personnel (either internal or external) and committees involved in certification activities shall act impartially (NEW).
- 1.5.4 The certification body and any part of the same legal entity and entities under its organizational control or controlling it shall not offer or provide consultancy to its clients, in conformity with the requirements specified in Annex 1 (AMENDED).
- 1.5.5 The certification body shall have, maintain and implement written policy and procedures for avoidance of conflicts of interest. These procedures shall include:
- a) the contractual obligation for all personnel contributing to certification decisions, to disclose in writing to the certification body all possible and actual conflicts of interest, at the time that the conflict or possibility of conflict becomes evident;
  - b) documented procedures for determining timely and appropriate responses to such declarations of conflict of interest as they arise, to ensure that the declared interests neither influence, nor are perceived to influence, the decisions of the certification body;
  - c) the maintenance of records of:
    - i. all declarations of potential conflicts of interest;
    - ii. every action which has been taken to resolve the possibility and actual occurrence of conflicts of interest.
- 1.5.6 The certification body shall identify, analyse and document risks to its impartiality on an ongoing basis. This shall include those risks that arise from its activities, from its relationships, or from the relationships of its personnel. However, such relationships may not necessarily present a certification body with a risk to impartiality (NEW).
- NOTE: A relationship presenting a risk to impartiality of the certification body can be based on ownership, governance, management, personnel, shared resources, finances, contracts, marketing (including branding), and payment of a sales commission or other inducement for the referral of new clients, etc.
- 1.5.7 If a risk to impartiality is identified, the certification body shall be able to demonstrate how it eliminates or minimizes such risk.
- 1.5.8 The certification body shall ensure that activities of separate legal entities, with which the certification body or the legal entity of which it forms a part has relationships, do not compromise the impartiality of its certification activities (AMENDED).

1.5.9 When a separate legal entity offers or provides consultancy, the certification body's management personnel and personnel in the **audit**, review and certification decision-making process shall not be involved in the consultancy activities of the separate legal entity. The personnel of the separate legal entity shall not be involved in the management of the certification body, **audit**, review, or the certification decision (NEW).

1.5.10 The certification body's activities shall not be marketed or offered as linked with the activities of an organization that provides consultancy, implying that certification would be easier, faster or less expensive if a specified consultancy organization were used (NEW).

1.5.11 Within a **minimum period of three (3) years**, personnel shall not be used to **audit**, review or make a certification decision for a product for which they have provided consultancy (AMENDED).

NOTE: A conflict of interest can be considered lapsed after the minimum period following the end of the conflicting activity or relationship.

1.5.12 The certification body shall have, maintain and implement a **documented anti-corruption policy**.

#### **Committee for safeguarding impartiality**

1.5.13 The certification body shall have a committee for safeguarding its impartiality. The committee shall provide input on the following:

- a) the policies and **procedures** relating to the impartiality of its certification activities (NEW);
- b) any tendency on the part of a certification body to allow commercial or other considerations to prevent the consistent impartial provision of certification activities (NEW);
- c) matters affecting impartiality and confidence in certification (NEW).

1.5.14 The committee's **terms of reference** shall be documented to ensure the following:

- a) a balanced representation of interested parties, such that no single interest predominates (internal or external personnel of the certification body are considered to be a single interest, and shall not predominate) (AMENDED);

NOTE: **FSC membership or FSC chamber-balanced representation is not a precondition for the committee. Balanced representation may be achieved by participation of parties with a variety of expertise, providing economic, social and environmental perspectives.**

- b) **access to all the information necessary to enable it to fulfil all its functions;**

NOTE: **This includes the documents mentioned in Clauses 1.5.5, 1.5.6, 1.5.7, 1.5.13, as well as other documents, such as information about the organizational structure, relevant management reports and results of external assessments, where they exist.**

- c) **at least one (1) annual meeting;**
- d) **its independence of the financial control of the organization;**
- e) **its independence of certification decision making;**
- f) **records of its discussions and recommendations;**

- g) records of the certification body's response(s) to its discussions and recommendations.
- 1.5.15 If the top management of the certification body does not follow the input of this committee, the committee shall have the right to take independent action (e.g. informing authorities, the accreditation body, stakeholders). In taking appropriate action, the confidentiality requirements of Section 1.8 relating to the client and certification body shall be respected.
- 1.5.16 Committee's input that is in conflict with the operating procedures of the certification body or other mandatory requirements should not be followed. Management should document the reasoning behind the decision to not follow the input and maintain the document for review by the accreditation body (NEW).
- 1.6 Liability and financing**
- 1.6.1 The certification body shall be able to demonstrate that it has:
- evaluated the risks arising from its certification activities, and
  - that it has adequate arrangements (e.g. insurance or reserves) to cover liabilities arising from its operations in each of its fields of activities and the geographic areas in which it operates.
- 1.6.2 The certification body shall have the financial stability and resources required for its operations.
- 1.7 Non-discriminatory conditions**
- 1.7.1 The policies and procedures under which the certification body operates, and the administration of them, shall be non-discriminatory. Procedures shall not be used to impede or inhibit access by clients, other than as provided for in this standard.
- 1.7.2 Access to the certification process shall not be conditional upon the size of the client or membership of any association or group, nor shall certification be conditional upon the number of certifications already issued. There shall not be undue financial or other conditions.
- 1.7.3 Notwithstanding the requirements of Clauses 1.7.1 and 1.7.2 above a certification body can deny certification to a client when fundamental/demonstrated reasons exist, such as illegal activities and a history of repeated nonconformities with certification requirements.
- 1.8 Confidentiality**
- 1.8.1 The certification body shall be responsible, through legally enforceable commitments, for the management of all information obtained or created during the performance of certification activities. Information is considered proprietary and shall be regarded as confidential, except for information that the client makes or is required to make publicly available, that FSC and the accreditation body are entitled to access, or when agreed between the certification body and the client (e.g. for the purpose of responding to complaints) (AMENDED).

- 1.8.2 The certification body shall have, maintain and implement documented policies and procedures for maintenance of confidentiality, including:
- a) a policy statement on confidentiality;
  - b) procedures for ensuring that personnel are aware of the policy and of their consequent obligations;
  - c) a written confidentiality agreement to be signed by all personnel who have access to confidential information. Such personnel shall include but is not limited to:
    - i. administrative staff;
    - ii. auditors, technical experts and audit observers;
    - iii. consultants and persons providing outsourced services;
    - iv. certification decision makers;
    - v. peer reviewers;
    - vi. committee members.
- 1.8.3 When the certification body is required by law or authorized by contractual arrangements to release confidential information, the client or person concerned shall, unless prohibited by law, be notified of the information provided (AMENDED).
- 1.8.4 Information about the client obtained from sources other than the client (e.g. from the complainant or from regulators) shall be treated as confidential, unless the source of information and the client give written consent to disclose it (NEW).

## **1.9 Complaints and appeals**

- 1.9.1 The certification body shall have a documented procedure to receive, evaluate and make decisions on complaints and appeals, which shall at least include the following elements:
- a) to allow the aggrieved party the opportunity to present the complaint or appeal to an entity (person(s), group or committee) which must be within the certification body's contractual (e.g. employee) or organizational control (e.g. committee);
  - b) to require the complainant or appellant to indicate what constitutes a complaint or appeal, including the name and contact information of the submitter, a clear description of the issue and evidence to support each element or aspect of the complaint or appeal.
- 1.9.2 Summary information about the procedures for submitting and handling complaints and appeals shall be publicly accessible on the websites of both the certification body and any bodies providing outsourced services in the local languages of the country of operation. For forest management this information shall be publicly available in the same language as the public certification summaries published by the certification body.
- 1.9.3 Upon receipt of a complaint or appeal, the certification body shall confirm whether the complaint or appeal relates to certification activities for which it is responsible and, if so, shall address it (NEW).
- 1.9.4 The certification body shall respond to complaints and appeals lodged in the same language as the public summary report or shall agree with the complainant on the language used.

- 1.9.5 The certification body shall retain the anonymity of the complainant in relation to the client, if the complainant provides an adequate justification for maintaining anonymity.
- 1.9.6 The certification body shall treat anonymous complaints and expressions of dissatisfaction that are not substantiated as complaints as stakeholder comments.
- 1.9.7 The certification body shall register all complaints with FSC.
- 1.9.8 The certification body shall be responsible for gathering and verifying all necessary information (as far as possible) to progress the complaint or appeal to a decision (NEW).
- 1.9.9 The certification body has the duty of seeking a timely resolution of the complaints or appeals, in particular to:
- a) acknowledge receipt of a complaint or appeal;
  - b) provide an initial response, including an outline of the certification body's proposed course of action to follow up on the complaint or appeal, within two (2) weeks of receiving a complaint or appeal;
  - c) keep the complainant(s)/ appellant(s) informed of progress in evaluating the complaint/ appeal;
  - d) investigate the allegations and specify all its proposed actions in conclusion to the complaint or appeal within three (3) months of receiving the complaint or appeal;
  - e) notify the complainant when the complaint is considered to be closed, meaning that the certification body has gathered and verified all necessary information, investigated the allegations, taken a decision on the complaint and responded to the complainant.
- 1.9.10 The decision resolving the complaint or appeal shall be made by, or reviewed and approved by, person(s) not involved in the evaluation related to the complaint or appeal (AMENDED).
- 1.9.11 To ensure that there is no conflict of interest, personnel (including those acting in a managerial capacity) who have provided consultancy, or been employed by a client, shall not be used by the certification body to review or approve the resolution of a complaint or appeal for that client within three (3) years following the end of the consultancy or employment (NEW).
- 1.9.12 The certification body shall record and track complaints and appeals, as well as actions undertaken to resolve them.
- 1.9.13 A party making a complaint shall be offered the opportunity to refer their complaint first to the accreditation body's and ultimately to FSC's dispute resolution process if the issue has not been resolved through the full implementation of the certification body's own procedures, or if the complainant disagrees with the conclusions reached by the certification body and/ or is dissatisfied by the way the certification body handled the complaint.

## **1.10 Publicly available information**

1.10.1 The certification body shall maintain, and make easily accessible on its website, the following:

- a) information about the certification body's scope of FSC accreditation;
- b) a description of the sources of funding and general information on the fees charged to clients;
- c) an organizational chart of the certification body, indicating the accredited entity and including its committees and entities under the organizational control of the certification body;
- d) a description of the rights and duties of clients, including requirements, restrictions or limitations on the use of the certification body's name and FSC trademarks and on the ways of referring to the certification granted;
- e) information about procedures for handling complaints and appeals;
- f) a link to the FSC database ([info.fsc.org](http://info.fsc.org));
- g) a link to the FSC normative documents for certification, according to the certification body's accreditation scope.

## **Part 2: General management system requirements**

### **2.1 Organizational structure**

2.1.1 The certification body shall document its organizational structure, showing duties, responsibilities and authorities of management and other certification personnel and any committees. When the certification body is a defined part of a legal entity, the structure shall include the line of authority and the relationship to other parts within the same legal entity.

2.1.2 The management of the certification body shall identify the board, group of persons, or person having overall authority and responsibility for each of the following (AMENDED):

- a) management system of the certification body (see Section 2);
- b) contractual arrangements;
- c) delegation of authority to committees or personnel (where applicable);
- d) personnel competence requirements (see 3.1 and Annex 2);
- e) reviewing the independence of the certification body;
- f) resolution of complaints and appeals;
- g) development of certification activities;
- h) provision of adequate resources for certification activities;
- i) development of certification requirements;
- j) evaluation (see Sections 4.3, 4.4 and 4.5);
- k) supervision of the finances of the certification body;

### **2.2 Management system documentation**

2.2.1 The certification body's top management shall establish, document, and maintain policies and objectives for implementation of this standard and the FSC certification scheme and shall ensure that the policies and objectives are acknowledged and implemented at all levels of the certification body's organization relevant to FSC certification (NEW).



- 2.2.2 The certification body's top management shall appoint a management representative as having overall responsibility and authority to establish, implement and maintain the management system (NEW).
- 2.2.3 All documentation, processes, systems, records, etc. related to the implementation of the requirements of this standard shall be included, referenced, or linked to documentation of the management system (NEW).
- 2.2.4 All personnel involved in certification activities shall have access to the parts of the management system documentation and related information that are applicable to their responsibilities (personnel in the certification body's office and, as appropriate, in the field).
- 2.2.5 The certification body shall have a quality manual and associated operational procedures for:
- a) handling of applications;
  - b) preparing and conducting audits (in pre-evaluation, main evaluation, surveillance and re-evaluation processes) according to the applicable FSC normative documents;
  - c) conducting unannounced or short notice audits according to specified criteria and conditions;
  - d) report reviewing and finalizing certification reports, (including public summaries and surveillance reports);
  - e) identification, management and tracking of nonconformities of clients;
  - f) all types of certification decision making;
  - g) registering the certification status and issuing of certificates;
  - h) the review and approval of requests to use the FSC trademarks;
  - i) managing conflicts of interest;
  - j) managing complaints and appeals;
  - k) control of internal and external documents;
  - l) conducting internal audits;
  - m) identification, management and tracking of nonconformities of certification body's operations and related preventive and corrective actions;
  - n) other procedures as necessary to conform with FSC requirements.

## 2.3 Control of documents

- 2.3.1 The procedures for control of internal and external documents shall contain the requirements needed to (AMENDED):
- a) approve documents prior to issue;
  - b) review and revise documents;
  - c) track document changes and identify the status of documents (draft version, final version);
  - d) ensure that documents of external origin are identified and their distribution is controlled;
  - e) prevent the unintended use of obsolete documents.

## 2.4 Records

- 2.4.1 Accurate, complete, up-to-date and legible records related to implementation of FSC requirements shall be kept and be readily available for evaluation by the accreditation body, including for example the following:



- a) certification body personnel records including CVs, qualifications, confidentiality agreements, training records and declarations of potential conflicts of interest;
- b) auditor performance appraisals;
- c) list of bodies providing outsourced services and related agreements;
- d) operation of certification body committees;
- e) certification applications; audit and certification agreements;
- f) certification audit reports and summaries;
- g) stakeholder and peer review comments and certification body responses;
- h) certification decisions;
- i) register of clients and their certified products;
- j) certification complaints or appeals, including minutes or notes of committee meetings responsible for reviewing such complaints or appeals;
- k) the implementation of internal audits and management reviews;
- l) approvals for use of FSC trademarks;
- m) communication of new or changed certification requirements to clients.

2.4.2 The certification body shall establish procedures to define the controls needed for the identification, transport, transmission, storage, protection, retrieval and disposition of its records related to the implementation of this standard, including controls to safeguard confidentiality (NEW).

2.4.3 Records shall be readily accessible for a period of at least seven (7) years.

## 2.5 Internal audits

NOTE: ISO 19011 provides guidelines for conducting internal audits.

2.5.1 An internal audit program shall be planned, taking into consideration the importance, scale and risk of the processes and areas to be audited, as well as the results of previous audits.

2.5.2 The internal audit program shall include the offices of all bodies providing outsourced services.

2.5.3 Internal audits shall consider all new or revised FSC normative documents and guidelines, to ensure that the certification body's policies and procedures are in continuous conformity with all applicable FSC requirements.

2.5.4 Internal audits shall be performed at least once every twelve (12) months, or completed within a twelve-month time frame for segmented (or rolling) internal audits.

2.5.5 Each body providing outsourced services shall be subject to at least one (1) annual audit and one (1) on-site audit by the certification body every three (3) years. Furthermore the internal audit procedure shall specify criteria and conditions (e.g. risk assessment results, internal corrective actions requests, number of certificate holders, complaints) where on-site audits of bodies providing outsourced services are required.

2.5.6 The certification body shall ensure that (AMENDED):

- a) internal audits are conducted by personnel knowledgeable in certification, auditing, the requirements of this standard and applicable requirements of documents of the FSC normative framework;
- b) auditors do not audit their own work;
- c) personnel responsible for the area audited are informed of the outcome of the audit;
- d) any actions resulting from internal audits are taken in a timely and appropriate manner;
- e) existing opportunities for improvement are identified.

## **2.6 Management review**

- 2.6.1 The certification body's top management shall establish procedures to review its management system at least once a year, in order to ensure its continuing suitability, adequacy and effectiveness, related to the implementation of this standard.
- 2.6.2 The input to the management review shall include information related to the following (NEW):
  - a) results of internal and external audits;
  - b) feedback from clients and interested parties (such as FSC) related to the implementation of this standard;
  - c) feedback from the committee for safeguarding impartiality;
  - d) the status of internal preventive actions and corrective actions issued by the certification body;
  - e) follow-up actions from previous management reviews;
  - f) changes that could affect the management system;
  - g) appeals and complaints.

## **2.7 Corrective actions and preventive actions of the certification body**

- 2.7.1 The procedures for corrective actions and preventive actions shall define requirements for the following (AMENDED):
  - a) identifying nonconformities, (e.g. from complaints and internal and external audits) and potential nonconformities;
  - b) determining the causes of nonconformity;
  - c) correcting nonconformities;
  - d) evaluating the need for actions to ensure that nonconformities do not occur or recur;
  - e) determining and implementing the actions needed in a timely manner;
  - f) recording the results of actions taken;
  - g) reviewing the effectiveness of corrective actions and/or preventive actions.
- 2.7.2 Corrective actions and preventive actions shall be appropriate to the impact of the problems encountered (NEW).

## **Part 3: Resource requirements**

### **3.1 Certification body personnel involved in certification activities**

- 3.1.1 The certification body shall have personnel – contracted or employed - competent for managing its work related to the implementation of the FSC accredited certification program.
- 3.1.2 The certification body shall have personnel – contracted or employed - with sufficient capacity to cover all operations and to handle the volume of evaluation work related to the implementation of the FSC accredited certification program.
- 3.1.3 The certification body shall establish, implement and maintain a procedure for the management of competencies of personnel involved in the certification process.
- 3.1.4 This procedure shall require the certification body to determine the criteria for the competence of personnel for each function in the certification process taking into account the following requirements:
- a) the person(s) that is (are) responsible for the application review shall incorporate a level of knowledge and experience sufficient to prepare the audit process.
  - b) auditors shall be qualified and maintain their qualification as specified in Annex 2.
  - c) technical experts shall have demonstrated competence in the relevant field of expertise.
  - d) peer reviewers shall have demonstrated competence in the relevant field of expertise.
  - e) the person(s) of the certification decision making entity shall be qualified as an auditor for the respective scope as specified in Annex 2 and shall incorporate a level of knowledge and experience sufficient to assess the evaluation processes, the audit report and associated evidence and recommendations made by the audit team.
  - f) those approving the trademark use shall demonstrate the required competence through the successful completion (certificate) of the FSC Trademark Training Module (see Annex 5).
  - g) the audit team leader shall be a qualified auditor in the respective scope with the ability to manage the audit process and the audit team - including report writing, effective use of team resources, team management, external team representation during audit process, management of stakeholder engagement including prevention or resolution of conflicts.
- 3.1.5 Personal attributes of auditors as described in Annex 2, table 3 shall be taken into account for the following activities:
- a) selection of auditor candidates;
  - b) auditor qualification process;
  - c) monitoring of auditors;
  - d) evaluation of auditor performance.
- 3.1.6 In terms of the personnel qualification this procedure shall require the certification body to:

- a) identify individual initial and continuous training needs according to the function of the person;
- b) define the scope of initial and continuous training according to the findings mentioned under a) and/or monitoring and evaluation results against the applicable qualification requirements;
- c) carry out an in-house training covering all internal aspects of the certification body relevant to certification processes as part of the initial training;
- d) provide initial and continuous FSC auditor training, approved by the FSC accreditation body (see Annex 4 and 5), either internally or through external service providers;
- e) demonstrate that the personnel has the required competencies for the duties and responsibilities they undertake, using the specifications in Annex 2, where applicable;
- f) formally authorize personnel for functions in the certification process;

3.1.7 Qualified auditors shall be registered with the FSC accreditation body.

3.1.8 For the monitoring and evaluation of the performance of auditors the certification body shall implement a documented procedure with the following requirements:

- a) regular monitoring;
- b) an evaluation at least once every three (3) years based on the monitoring results and a witness audit;
- c) the definition of monitoring and evaluation criteria shall be risk based and take into account:
  - i. a review of conformity with competence requirements as listed in Annex 2;
  - ii. an assessment of conformity with certification bodies' operational procedures and guidelines including issues with conflict of interest and confidentiality requirements;
  - iii. a combination of on-site observation, review of audit reports and feedback from clients;
- d) monitoring and evaluation results shall be considered in needs for further training;
- e) monitoring and evaluation results shall be documented in the auditor performance appraisal report.

3.1.9 The certification body shall require personnel involved in the certification process to sign a contract or other documents by which they commit themselves to the following, in accordance with the requirements of Annex 1:

- a) to conform with the rules defined by the certification body, including those relating to confidentiality, anti-corruption and independence from commercial and other interests;
- b) to declare any prior and/or present association on their own part, or on the part of their employer, with:
  - i. a supplier or designer of products, or
  - ii. provider or developer of services, or
  - iii. an operator or developer of processes to the evaluation or certification of which they are to be assigned;
- c) to reveal any situation known to them that may present them or the certification body with a conflict of interest.

- 3.1.10 The certification body shall maintain records of all certification body personnel involved in work related to the FSC certification scheme. The records shall include a means to confirm the competence, qualification and training status of personnel.

## 3.2 Outsourcing

- 3.2.1 The certification body may outsource work related to certification to a **separate legal entity**. In such a case the certification body shall ensure that the body that provides the outsourced service conforms with applicable requirements of this standard and of all other FSC normative documents.

**NOTE:** Persons working under an individual contract or formal agreement for the certification body that places them under the authority and direct control of the certification body are not deemed to provide outsourced services.

- 3.2.2 Decisions for granting, maintaining, renewing, expanding or reducing the scope of, suspending, reinstating, or withdrawing certification shall not be **outsourced**.

- 3.2.3 The certification body shall have a **legally enforceable agreement with the legal entity that provides the outsourced service**. This agreement shall include a description of the scope of outsourced activities (types of services and geographical coverage) and shall require the body that provides the outsourced service at least to:

- a) conform with applicable requirements of this standard and of other FSC normative documents, including arrangements for confidentiality and conflict of interest;
- b) implement the outsourced services according to the accredited procedures of the certification body;
- c) agree to the inclusion of any additional restrictions covered in the accreditation contract of the accredited certification body;
- d) agree to a prohibition for subsequent outsourcing of certification activities covered by the accreditation of the certification body;
- e) use competent and qualified personnel as specified in this standard, who shall be subject to regular performance review by the body that provides the outsourced service (**on-site witness audits shall be sampled by the certification body**);
- f) agree to periodic internal audits of the activities covered by the outsourcing agreement, conducted by a qualified and impartial representative of the accredited certification body;
- g) **agree not to make any claims which imply that they are accredited themselves**;
- h) agree to describe their services as being 'in association with [name of accredited certification body]';
- i) agree to a prohibition for the use of the FSC **trademarks** in relation to the services offered under the outsourcing agreement without prior **authorization** by FSC;
- j) agree to a prohibition to independently grant approval for the use of FSC trademarks to clients, unless having been trained by FSC.

- 3.2.4 It is at the discretion of the certification body to decide whether the body that provides the outsourced service should be entitled to use FSC trademarks.

Applications for authorization shall be submitted to FSC by the certification body.

- 3.2.5 The accredited certification body shall notify the accreditation body within thirty (30) days of any new contracts or changes in the subcontractor's status. The accreditation body shall be given the following information:
- a) name of the subcontractor;
  - b) contact information including: address, telephone, fax and email;
  - c) scope of the contract (geographic area, type of evaluation or other);
  - d) date of signing of the contract;
  - e) date of expiry of the contract;
- 3.2.6 The certification body shall:
- a) have documented policies, procedures and records for managing the relationship with bodies providing outsourced services according to the requirements in this standard, unless the option of outsourcing is explicitly excluded by the certification body;
  - b) ensure that the body that provides outsourced services, and its personnel undertakes certification services impartially;
  - c) maintain a list of approved providers of outsourced services;
  - d) implement corrective actions for any breaches of the outsourcing agreement or other requirements of which it becomes aware (NEW);
  - e) inform the client in advance of outsourcing activities, in order to provide the client with an opportunity to object (AMENDED).

## **Part 4: Process requirements**

### **4.1 Application for certification**

- 4.1.1 The certification body shall provide the applicant with all the necessary information on the certification process and the FSC certification requirements.
- 4.1.2 If any document developed by a certification body mixes requirements from FSC and from other sources, this shall be made explicit in the document.
- 4.1.3 When receiving an application for certification, the certification body shall obtain all the necessary information to plan and conduct the certification process in accordance with applicable FSC certification requirements (AMENDED).
- 4.1.4 Applications for forest management or controlled wood forest management certification shall include a definition of the scope in terms of individual management units.
- 4.1.5 Applications for chain of custody certification shall include a definition of the scope in terms of FSC product groups and sites to be evaluated.
- 4.1.6 For applicants for forest management certification, the certification body shall at minimum enter the following information in the FSC database ([info.fsc.org](http://info.fsc.org)) at latest thirty (30) calendar days before the main evaluation:
- a) forest type;
  - b) total area in ha (based on Annual Administration Fee categories);



- c) anticipated evaluation timeframe:
    - i. the proposed dates of the pre-evaluation (if applicable) and of the main evaluation;
    - ii. as long as the dates have not been agreed with the client, the entry should read "not yet scheduled";
  - d) evaluation contacts:
    - i. name of designated audit team leader,
    - ii. contact for stakeholder comments (name and e-mail address of the certification body's contact),
    - iii. link to the FSC section of the certification body's website.
- 4.1.7 The certification body shall ensure that applicants for FSC certification obtain a 'License Agreement for the FSC Certification Scheme' before entering into a certification agreement with the certification body (see Clause 1.2.3).
- 4.1.8 The certification body shall require applicants for FSC certification to disclose current or previous applications or certifications with FSC or other certification schemes in the last five (5) years.
- 4.1.9 The certification body shall obtain the latest available FSC audit report of the last five years from the applicant and consider it in the certification process.
- 4.1.10 The certification body shall reject applicants for certification of management units or sites that are already covered by a valid or suspended FSC certification, except where a certification transfer process according to *FSC-PRO-20-003* is ongoing.
- 4.2 Application review**
- 4.2.1 The certification body shall review the information obtained (see Section 4.1) to ensure that:
- a) the information about the client and the processes is sufficient for planning and conducting the certification process;
  - b) any known differences in understanding between the certification body and the client is resolved, including agreements on normative documents;
  - c) the scope of certification is defined;
  - d) the certification body has the means and resources to perform the required evaluation activities;
  - e) the certification body has the competence and capability to perform the certification activity.
- 4.2.2 The certification body shall evaluate the applicants' self assessment according to the applicable requirements.

**Stakeholder consultation note (for information):**

FSC is currently in the process of revising its Policy for Association, FSC-POL-01-004, and related Due Diligence Procedure. This clause is added to align with the revision process. Further alignment may be necessary depending on the outcome of the revision process. For more information on the Policy for Association revision, please see: <https://ic.fsc.org/policy-for-association-revision.751.htm>



### 4.3 Audit

- 4.3.1 The **processes and** products of a client shall be audited against the applicable requirements specified in FSC normative documents. All interpretations of documents of the FSC normative framework are at the sole discretion of the FSC International Center.
- 4.3.2 The certification body shall conduct audits for forest management certification in accordance with **FSC-STD-20-007 and related normative documents**. In countries that are lacking a national forest stewardship standard, certification bodies shall participate in the process of developing an interim national standard as specified in FSC-PRO-60-007, as applicable.
- 4.3.3 The certification body shall conduct audits for chain of custody certification in accordance with **FSC-STD-20-011 and related normative documents**.
- 4.3.4 The certification body shall conduct audits for controlled wood certification in forest management organizations in accordance with **FSC-STD-20-012 and related normative documents**.
- 4.3.5 **The certification body shall have an audit plan and shall share it with the client before the audit.**
- 4.3.6 The certification body shall assign an audit team in conformity with the requirements specified in Annex 3. The requirements also apply in the case of outsourced audit tasks.
- 4.3.7 For forest management audits the following auditor rotation requirements apply:
- a) for forest management audits in countries with more than twenty (20) forest management certificate holders no auditor shall serve as a member of the audit team for more than three (3) consecutive audits of the same client;
  - b) for forest management audits in countries with eleven (11) to twenty (20) forest management certificate holders no auditor should serve as a member of the audit team for more than three (3) consecutive audits of the same client. Where a client is audited by the same auditor on more than (3) consecutive audits, the certification body shall provide a justification why it was not possible or feasible to rotate the auditor and shall demonstrate how an impartial and objective evidence based audit is ensured;
  - c) for forest management audits in countries with up to ten (10) forest management certificate holders auditor rotation is recommended.
- 4.3.8 **For all other types of audits** the certification body should ensure that no client is audited by the same auditor on more than three (3) consecutive audits. Where a client is audited by the same auditor on more than (3) consecutive audits, the certification body shall provide a justification why it was not possible or feasible to rotate the auditor and shall demonstrate how an impartial and objective evidence based audit is ensured.
- 4.3.9 The certification body shall provide all auditors with an up-to-date 'audit handbook' or equivalent which includes all the guidance necessary for the auditors to complete audits under the scope of accreditation in accordance

with the certification body's documented procedures. The audit handbook shall include instructions for auditors regarding at least:

- a) the implementation of any checklists, guidance documents and interpretations of the FSC normative framework;
- b) detecting, analyzing, grading, and addressing nonconformities;
- c) requirements for report writing in accordance with applicable FSC normative documents and certification body's procedures;
- d) procedures for the audit of trademark uses in conformity with FSC trademark requirements for on-product and promotional uses.

4.3.10 The certification body shall consider ISO 19011 for incorporation into the audit handbook and shall at minimum include requirements for opening meetings, closing meetings and communication of audit findings in accordance with ISO 19011, where appropriate.

4.3.11 The certification body should conduct the audit in accordance with the audit plan (see Clause 4.3.5).

#### **Audit results**

4.3.12 The certification body shall evaluate each nonconformity identified in the audit to determine whether it constitutes a minor or major nonconformity.

4.3.13 The auditor may also identify the early stages of a problem which does not yet constitute a nonconformity, but which the auditor considers may lead to a future nonconformity if not addressed by the client. Such observations should be recorded in the audit report as 'observations' for the benefit of the client.

4.3.14 Nonconformities shall be graded as follows:

- a) a nonconformity shall be considered minor if:
  - i. it is a temporary lapse, or
  - ii. it is unusual/non-systematic, or
  - iii. the impacts of the nonconformity are limited in their temporal and organizational scale, and
  - iv. it does not result in a fundamental failure to achieve the objective of the relevant requirement.
- b) a nonconformity shall be considered major if, either alone or in combination with further nonconformities, it results in, or is likely to result in a fundamental failure to achieve the objective of the relevant requirement within the scope of the evaluation. Such fundamental failures may be indicated by nonconformities which:
  - i. continue over a long period of time, or
  - ii. are systematic, or
  - iii. affect a wide range of the production, or
  - iv. affect the integrity of the FSC system, or
  - v. are not corrected or adequately addressed by the client once they have been identified.

4.3.15 Nonconformities shall be transformed into corrective action requests that at minimum include a description of the nonconformity including the objective evidence on which the nonconformity is based and a timeline within which the nonconformity shall be corrected by the client.

4.3.16 The auditors should present the nonconformities during the audit closing meeting and the certification body shall at latest inform the client of the final wording and grading of all nonconformities with the submission of the finalized audit report to the client after the certification decision has been taken.

4.3.17 The corrective action request timelines commence from the moment when they are formally presented to the certificate holder and no later than three (3) months from the audit closing date. Corrective action requests shall have the following timeframes:

- a) minor nonconformity shall be corrected within the maximum period of one (1) year (under exceptional and justified circumstances the timeline may be extended to two (2) years);
- b) major nonconformity shall be corrected within three (3) months (under exceptional and justified circumstances within six (6) months).

NOTE: Action(s) taken to correct a major nonconformity may continue over a period of time which is longer than three (3) months. However, action must be taken within the specified period which is sufficient to prevent new instances of nonconformity within the scope of the certification.

4.3.18 The absence of a valid 'License Agreement for the FSC Certification Scheme' shall be treated as a major nonconformity which has to be corrected in a period of maximum four (4) weeks. Failure in closing this major nonconformity shall lead to the suspension of certification.

4.3.19 The certification body shall determine whether corrective action requests have been appropriately implemented within their timeframes. If the action taken is not considered adequate, then:

- a) minor nonconformity shall become major nonconformity and shall be corrected within a maximum period of three (3) months (or in exceptional and justified circumstances six (6) months);
- b) major nonconformity shall lead to immediate suspension of certification.

4.3.20 Major nonconformities shall not be downgraded to minor nonconformities.

4.3.21 The certification body shall inform the client if an additional on-site audit is required to verify that nonconformities have been corrected (NEW).

## Reporting

4.3.22 The certification body shall document the findings and conclusions of all audit activities prior to review and decision making in a certification report in conformity with the report writing requirements specified in:

- a) *FSC-STD-20-007a* for forest management certification reports;
- b) *FSC-STD-20-007b* for forest management public summary reports;
- c) *FSC-STD-20-011* for chain of custody certification reports;
- d) *FSC-STD-20-012* for controlled wood forest management certification reports.

## 4.4 Audit review

4.4.1 The certification body shall assign at least one (1) person to review all information and results related to the audit. The review shall be carried out by person(s) who have not been involved in the audit process (NEW).

- 4.4.2 Recommendations for a certification decision based on the review shall be documented, unless the review and the certification decision are completed concurrently by the same person (NEW).
- 4.4.3 Draft forest management certification reports shall be submitted to a formal peer review process unless the management unit under evaluation meets the specification as a small or low intensity management unit or small or low intensity group (see *FSC-STD-01-003*) in the country in which the evaluation takes place.
- 4.4.4 The formal peer review process for draft forest management certification reports shall include the following requirements:
- a) the report shall be reviewed by at least one (1) independent peer reviewer with the experience and technical knowledge necessary to evaluate the adequacy of the report and the validity of the proposed certification decision and should be reviewed by additional peer reviewers with specialist knowledge (e.g. concerning indigenous peoples rights or HCV), where necessary;
  - b) in the case of evaluated management units that meet the eligibility criteria for mandatory pre-evaluations as defined in *FSC-STD-20-007* the report shall be reviewed by a second peer reviewer, who shall be selected according to the knowledge related to the eligibility category of *FSC-STD-20-007*, i.e. knowledge about plantation management, boreal or tropical forest management, or high conservation values (as applicable);
  - c) the peer reviewer(s) shall operate according to clear terms of reference, which include the requirement to comment explicitly on:
    - i. the adequacy of the field work as the basis for making a certification decision;
    - ii. the clarity of presentation of the observations as the basis for a certification decision;
    - iii. whether the proposed certification decision is justified by the observations presented;
  - d) peer reviewer(s) shall not be full or part-time employees of the certification body, and shall be subject to the same requirements relating to independence and confidentiality as other personnel with input into the certification decision;
  - e) the reviewer(s) shall take account of the local and national context with regards to forest management, and shall consider environmental, social and economic perspectives;
  - f) the comments of the peer reviewer(s) shall be attributed and documented;
  - g) the certification body shall respond in writing to the peer reviewer(s)' comments, and provide the peer reviewers with a copy of its response;
  - h) the certification body shall finalize the audit report taking the comments of the peer reviewer(s) into account.

## 4.5 Certification decision

- 4.5.1 The certification body shall be responsible for, and shall retain authority for, its decisions relating to certification.
- 4.5.2 The certification body shall assign a certification decision making entity to make the certification decision based on all information related to the audit, its review, and any other relevant information. The person(s) of the

certification decision making entity shall not have been involved in the audit process (AMENDED).

- 4.5.3 The certification decision making entity shall:
- a) have clear rules for membership, including requirements for qualification, experience and impartiality;
  - b) consist of individuals without conflicts of interest, in particular financial or other commercial interest in the outcome of the certification decision;
- NOTE: This does not refer to a regularly paid salary of an employee who is member of the certification body's decision making entity.
- c) not include individuals who have taken part in the audit as audit team leaders, auditors or technical experts.

4.5.4 The person(s) of the certification decision making entity shall be employed by, or shall be under contract with the certification body (see Section 3.1).

4.5.5 The certification body shall make and communicate certification decisions to the client after the main evaluation according the following maximum timelines and requirements:

- a) six (6) months in the case of chain of custody evaluations;
  - b) twelve (12) months in the case of forest management and controlled wood forest management evaluations, or
  - c) up to eighteen (18) months in exceptional and justified cases for forest management evaluations, where due to major nonconformities a positive certification decision cannot be made within twelve (12) months. Between twelve (12) months and (18) months an on-site audit shall be required to verify the validity of the main evaluation findings and to evaluate any changes to the management system.
- 4.5.6 At the main evaluation the certification body shall have the right to delay or postpone its decision on certification in order to take proper account of new or additional information which has become available to the certification body and which has not already been considered in its audit report and which, in the opinion of the certification body, could affect the outcome of its evaluation.

4.5.7 The certification body shall notify the client of a decision not to grant certification, and shall provide the reasons for the decision (NEW).

#### 4.6 Registering of certification status and issuing of certificate

- 4.6.1 The certification body shall register the certification status in the FSC database ([info.fsc.org](http://info.fsc.org)) after the certification decision making entity has granted certification. The registration requires the entry of all specified data, together with an electronic copy of the public summary certification report (as applicable).
- 4.6.2 In the case of FSC announcing a malfunction of the on-line registration service, the certification body shall inform the accreditation body and FSC that certification or recertification has been granted within ten (10) days of the certification decision.
- 4.6.3 Certification bodies are responsible for keeping their data entries for all applicable requirements and public summary reports up-to-date.



4.6.4 A certificate shall only be issued after a positive certification decision has been taken by the certification decision making entity **and after it has been registered in the FSC database.**

4.6.5 All forest management and chain of custody certificates issued by the certification body within the scope of its FSC accreditation shall include:

- a) the FSC logo, which shall be no smaller than the logo of the certification body;
- b) the name and address of the certification body;
- c) the legal name and registered address of the certificate holder **and additionally** any trade names and other addresses **if those** will be used for sales invoices;

- d) a description of the scope of certification, including a general description of the type of products covered by the certification **according to FSC-STD-40-004a** and a reference to the specific normative document that the certificate holder has been evaluated against, as defined by *FSC-STD-20-007* and *FSC-STD-20-011* accordingly;

NOTE: In the case of project certificates, the scope of certification shall include the specification of whether partial or full project certification has been awarded.

- e) a reference to the FSC database ([info.fsc.org](http://info.fsc.org)) for the full list of product groups covered by the certification;
- f) a clear statement to the effect that the certificate shall remain the property of the certification body that issued it, and that the certificate and all copies or reproductions of the certificate shall be returned or destroyed if requested by the certification body;
- g) the date of issue of the certification;
- h) the date of expiry of the certification together with the disclaimer "The validity of this certification shall be verified on ([info.fsc.org](http://info.fsc.org))";

NOTE: The expiry date requirement does not apply for project chain of custody certification.

- i) an issue number (for re-issued or renewed certificates);
- j) the signature of the individual(s) of the certification body assigned such responsibility;
- k) a disclaimer stating: "This certificate itself does not constitute evidence that a particular product supplied by the certificate holder is FSC-certified [or FSC Controlled Wood]. Products offered, shipped or sold by the certificate holder can only be considered covered by the scope of this certificate when the required FSC claim is clearly stated on **sales and delivery** documents";
- l) the certification registration code issued by the certification body and of the form:

XXX-FM-#####-\*\*\* for forest management only certification,

NOTE 1: This type of certification is issued to applicants that solely include ecosystem services in their certification scope and that do not intent to sell any forest products according to their management objectives, e.g. in the case of National Parks, conservation areas, water protection areas.

XXX-FM/COC-#####-\*\*\* for joint forest management and chain of custody certification,

XXX-COC-#####-\*\*\* for chain of custody certification,

XXX-CW-#####-\*\*\* for controlled wood chain of custody certification (against FSC-STD-40-005),

NOTE 2: the CW code issued within a COC certification shall have the same 6 digits as the COC code.

XXX-PRO-#####-\*\*\* for project chain of custody certification,

NOTE 3: XXX are the initials of the certification body agreed with the accreditation body, ##### is a unique six digit number or combination of numbers and letters, and \*\*\* is a sub-certification code issued only to the members of group or multi-site certification and may be numbers, or upper case letters or a combination of numbers and upper case letters.

NOTE 4: If certification is withdrawn and later re-granted to the same legal entity the original certification registration code may be used.

- 4.6.6 For reasons of clarity the certification body shall not use the same code number for valid certifications granted to different legal entities (i.e. the certification body would not grant a chain of custody certification XXX- COC-123456 to company A, and an FM certification XXX-FM-123456 to company B).
- 4.6.7 One (1) group or multi-site certificate shall be issued to the Central Office / group entity with a list of all Participating Sites either on the certificate itself or in an appendix or as otherwise referred to in the certificate.
- 4.6.8 The scope specified on the group or multi-site certificate shall make clear that the covered products and processes/ activities are performed by the network of Participating Sites, and not necessarily by each of them.
- 4.6.9 Any wording, including the claim of conformity, to be included on certificates in addition to the information as required in Clause 4.6.5 is subject to prior written approval by FSC.
- 4.6.10 FSC Controlled Wood certificates for forest management organizations shall include:
- a) the FSC Controlled Wood registration code: XXX-CW/FM-#####
  - b) type of certificate: single or group;
  - c) reference to the standard FSC-STD-30-010;
  - d) validity of the certificate.
- 4.6.11 The certification body shall not include the FSC logo in the FSC Controlled Wood certificate.
- 4.6.12 The “TM” symbol in superscript (e.g. FSC controlled wood™) shall be used when referring to FSC Controlled Wood or Forest Stewardship Council Controlled Wood in the certificate template.



## 4.7 Surveillance

4.7.1 Surveillance evaluations of FSC clients shall take place at least **once per calendar year and additionally for chain of custody audits not later than fifteen (15) months after the last audit** and may be more frequent depending on factors such as:

- a) the scale of the operation (e.g. the area of a management unit, the quantity of production in the case of a manufacturer, or the value and/or volume turnover in the case of a trader);
- b) the intensity of resource management in the case of a management unit (e.g. the frequency and level of timber harvest);
- c) the complexity of the chain of custody control system;
- d) results of risk assessment in the case of group certification;
- e) the ecological **or social** sensitivity of the resource base to management intervention;
- f) the experience and track record of the operators involved (managers and personnel, contractors);
- g) the number and nature of any nonconformities identified by the certification body;
- h) the number and nature of any complaints submitted by stakeholders.

NOTE: FSC and the accreditation body reserve the right to request higher surveillance frequencies from certification bodies for certain geographical areas or certification services that are deemed **"challenging" or "high risk"** as the result of an internal risk assessment.

4.7.2 The certification body shall assign one (1) or more person(s) to make the certification decision to continue, suspend or withdraw certification based on information collected from surveillance activities and their review.

4.7.3 The occurrence of five (5) or more major nonconformities in a surveillance audit shall be considered as a breakdown of the clients' management system and certification shall be suspended **within three (3) days of the certification decision being taken**.

4.7.4 The certification body shall suspend certification at latest three (3) months after the closing meeting of a surveillance audit, if a certification decision to maintain the certification cannot be taken due to circumstances beyond the control of the certification body.

NOTE: Circumstances beyond the control of the certification body may include, but are not limited to, the client or other parties preventing the use of audit findings and/ or the delayed or declined acceptance of audit findings or the audit report by the client.

4.7.5 The maximum period that certification may remain suspended is twelve (12) months (upon justification and at the discretion of the certification body the timeline may be increased to eighteen (18) months to allow the certificate holder to correct nonconformities). After this period, the certification shall be withdrawn, unless all major nonconformities have been successfully corrected and a surveillance audit was conducted in case the timeline of suspension exceeded twelve (12) months.

- 4.7.6 The certification body shall record the certification decision to maintain certification for each surveillance evaluation.

#### **4.8 Changes affecting certification**

- 4.8.1 The certification body shall inform all clients of changes to FSC certification requirements or its own procedures affecting certification requirements, within thirty (30) calendar days that such changes are approved by the approval body.
- 4.8.2 Clients that were certified prior to the date of approval of an applicable FSC normative document shall be audited against the requirements of the new or revised FSC normative document in accordance with the applicable transition requirements.
- 4.8.3 The certification body shall consider other changes and circumstances affecting certification, including changes initiated by the client, and shall decide upon the appropriate action in accordance with the requirements of this standard, and applicable FSC normative documents.

NOTE: Circumstances affecting certification are e.g. armed conflicts or epidemics that hinder a certification body in implementing their accredited system in order to confirm the validity of certification.

- 4.8.4 The actions to implement changes or addressing circumstances affecting certification shall include, if required, evaluation (see Sections 4.3, 4.4, 4.5) and the issuance of revised certificates (see 4.6) to extend or reduce the scope of certification;

These actions shall be completed in accordance with applicable parts of Sections 4.3, 4.4, 4.5, 4.6 and 4.8 records (see Section 2.4) shall include the rationale for excluding any of the above activities.

## Annex 1 Avoidance of conflict of interest (new)

- 1.1 The certification body is allowed to explain its findings and/or clarify the requirements of normative documents, but shall not give prescriptive advice or consultancy as part of an audit or a training.

The following conditions shall be met for each of the categories:

a) Training

- i. Where the training relates to FSC requirements, this may only cover generic information that is freely available in the public domain;
- ii. The training does not provide company-specific solutions.

b) Templates and training material:

- i. Are published on the certification body's website;
- ii. Do not provide company specific solutions;
- iii. Include a disclaimer, specifying that the template or training material is no guarantee for conformity with FSC requirements. It is the responsibility of the client to conform with FSC requirements;
- iv. The use is voluntary.

NOTE: Such templates and training material may include sample procedures, which can be created for specific industry sectors or types of clients, as long as they only contain generic information and fictional examples. The development of company specific procedures, manuals and handbooks is not allowed.

### Box 1: Guidance on managing conflicts of interest

*(adapted from ISEAL, Managing conflict of interest in standards and assurance, 2013; ISO 9001 Auditing practices group guidance on third party auditor impartiality and conflict of interest, 2005)*

#### General

That an individual or organization possesses an interest does not necessarily mean that the interest will result in a conflict, or that it is beyond management.

It is only when a conflict of interest, either at an institutional or individual level, is not acknowledged and managed that it runs the risk of compromising the integrity of decisions and of the organization.

Identifying where potential conflicts of interest are likely to arise and managing for these conflicts before they arise can help to strengthen the organization as a whole.

#### Threats to impartiality

The following types of threats to impartiality can occur at the level of the certification body and/ or certification body personnel:

- a) Self-interest/personal benefit (such as financial or other personal self interests): threats that arise from acting in one's own interest;
- b) Institutional benefit
- c) Self review/assessing one's own work: threats that arise from reviewing own work or work done by colleagues;
- d) Over-familiarity of parties involved in audits/personal loyalty: threats that arise e.g. from auditors being influenced by a close relationship with an auditee;
- e) Intimidation: threats that arise from e.g. auditors being (or believing that they are being), openly or secretly coerced by auditees or by other interested parties;

- f) Advocacy: a body or its personnel acting in support or in opposition of an auditee, which is at the same time its customer in the resolution of a dispute for example;
- g) Competition: e.g. between auditee and contracted auditor.

**Safeguards to auditor impartiality**

The certification body should have in place safeguards that mitigate or eliminate threats to auditor impartiality:

- Prohibitions, restrictions, disclosures, policies, procedures, practices, standards, rules, institutional arrangements, and environmental conditions. These should be regularly reviewed to ensure their continuing applicability.
- Preventive safeguards, for example, an induction program for newly hired auditors that emphasizes the importance of impartiality;
- Safeguards that relate to threats arising in specific circumstances — for example, prohibitions against certain employment relationships between auditors' family members and the certification body's clients and;
- Safeguards whose effects are to deter violations of other safeguards by punishing violators;

**Safeguards for self review threat:**

- Staff abide by a conflict of interest procedure that defines when they are required to excuse themselves from discussions or decision-making;
- The procedure includes criteria on the time period, if allowed, between involvement with a client and participating in an audit or decision affecting the client;
- Conflict of interest declarations list relevant employment history, including unsuccessful job applications, when this may be a source of contention;
- Declarations of interest and the decision taken for managing them (removal of individual from discussion and/or decision) are included in meeting minutes;
- Clients have the ability and right to object to a member of the audit or decision team.

## Annex 2: Qualification requirements for Forest Management and Chain of Custody auditor candidates and auditors

The following tables provide specifications to requirements set for auditors and auditor candidates under clause 3.1

<b>Table 1: Qualification requirements for Forest Management (FM) auditor candidates and auditors</b>	
<i>1.1 Initial qualification auditor candidates</i>	
Education and professional experience:	<ol style="list-style-type: none"> <li>1. Tertiary education (college or university qualification) in a relevant discipline (e.g. ecology, forestry, sociology, economics, anthropology); and</li> <li>2. Five (5) years of professional experience (e.g. forest management, consultancy, research) in a relevant discipline (e.g. ecology, forestry, sociology, economics, anthropology);</li> </ol> <p><b>OR</b></p> <ol style="list-style-type: none"> <li>1. Secondary education (high school certificate); and</li> <li>2. Ten (10) years professional experience (e.g. forest management, consultancy, research) in a relevant discipline (e.g. ecology, forestry, sociology, economics, anthropology).</li> </ol>
Auditor and FSC training:	3. Successful completion (certificate) of an IRCA <sup>1</sup> registered “ISO management standard auditor course” or an ISO 19011 course on auditing techniques as described in Annex 5;
	4. Successful completion (certificate) of a FM auditor training as specified in Annex 5;
	5. Participation as an auditor in training in at least four (4) complete third-party FM audits in a three (3) year period, whereas: <ul style="list-style-type: none"> <li>• at least one (1) shall be a main or re-evaluation;</li> <li>• at least one (1) shall be a surveillance audit;</li> <li>• at least two (2) shall be as an active member of the audit team with one of these two as audit team leader.</li> </ul> During all four (4) audits a supervising qualified auditor shall attend and a positive overall supervision report written by the supervising auditor shall be available.
<i>1.2 Continuous qualification requirements for Forest Management (FM) auditors</i>	
FSC training:	<ol style="list-style-type: none"> <li>1. Successful completion of annual ongoing training dependent on:               <ul style="list-style-type: none"> <li>• changes in the FSC system relevant to the respective scope due to new or revised normative documents, or other relevant amendments such as interpretations;</li> </ul> </li> </ol>

<sup>1</sup> IRCA - the International Register of Certificated Auditors ([www.irca.org](http://www.irca.org)) – is an auditor registration scheme.

	<ul style="list-style-type: none"> <li>• results of the individual monitoring, client feedback and/or evaluation process;</li> </ul> 2. Participation in an annual calibration meeting – if provided by FSC on national, regional or international level
(Continuous) professional experience:	3. At least three (3) on site audit days every year;
Auditor performance evaluation:	4. Witness audit: one (1) witness audit every three (3) years, with a positive supervision report written by the supervising auditor.
<p>Note: For maintaining their qualification auditors involved in certification decision making may replace the above listed requirements for (continuous) professional experience and for the auditor performance evaluation by the attendance of at least one (1) on-site audit as an observer every year.</p>	
<b>Table 2:</b> <b>Qualification requirements for Chain of Custody (COC) auditor candidates and auditors</b>	
<b>2.1 Initial qualification requirements for auditor candidates</b>	
Education and professional experience:	1. Tertiary education (college or university qualification); and 2. Two (2) years of full-time work experience in the forest products sector. OR 1. Secondary education (high school certificate); and 2. Four (4) years of full-time work experience in the forest products sector.  <i>NOTE: maximum one (1) year of full time work experience may be replaced by four (4) additional supervised audits – as listed below.</i>
Auditor and FSC training:	3. Successful completion (certificate) of an IRCA registered “ISO management standard auditor course” or an ISO 19011 course on auditing techniques as described in Annex 5;
	4. Successful completion (certificate) of a COC auditor training as specified in Annex 5;
	5. Participation as an auditor in training in at least four (4) complete third-party COC audits in a three (3) year period; whereas: <ul style="list-style-type: none"> <li>• at least one (1) shall be a main or re-evaluation;</li> <li>• at least one (1) shall be a surveillance audit;</li> <li>• at least two (2) shall be as an active member of the audit team with one of these two as audit team leader.</li> <li>• two (2) may be as observer</li> </ul> During all four (4) audits a supervising qualified auditor shall attend and a positive overall supervision report written by the supervising auditor shall be available.
<b>2.2 Continuous qualification requirements for Chain of Custody (COC) auditors</b>	



FSC training:	<ol style="list-style-type: none"> <li>1. Annual ongoing FSC training dependent on: <ul style="list-style-type: none"> <li>• changes in the FSC system relevant to the respective scope due to new or revised documents, or other relevant amendments;</li> <li>• results of the individual monitoring, client feedback and/or evaluation process;</li> </ul> </li> <li>2. Participation in an annual calibration meeting – if provided by FSC on national, regional or international level</li> </ol>
(Continuous) professional experience:	<ol style="list-style-type: none"> <li>3. At least three (3) on-site audit days every year;</li> </ol>
Auditor performance evaluation:	<ol style="list-style-type: none"> <li>4. Witness audit: one (1) witness audit every three (3) years, with a positive supervision report written by the supervising auditor.</li> </ol>
<p>Note: For maintaining their qualification auditors involved in certification decision making may replace the above listed requirements for (continuous) professional experience and for the auditor performance evaluation by the attendance of at least one (1) on-site audit as an observer every year.</p>	

<p><b>Table 3:</b>  <b>Personal attributes for Forest Management and Chain of Custody auditor candidates and auditors</b></p>
<p>Note:</p> <p>Personal attributes are characteristics that affect an individual's ability to perform specific functions. Knowledge about personal attributes of individuals enables a certification body to take advantage of their strengths and to minimize the impact of their weaknesses. Appropriate means for the assessment of personal attributes are personal interviews, assessment centers, psychometric tests and/or witnessing/supervision of personnel. The personal attributes as listed below were identified by <i>ISEAL</i> as being relevant for personnel involved in certification activities (see <i>ISEAL Code "Assuring Compliance with Social and Environmental Standards. Code of Good Practice"</i>):</p> <ul style="list-style-type: none"> <li>• ethical, i.e. fair, truthful, sincere, honest and discreet;</li> <li>• open-minded, i.e. willing to consider alternative ideas or points of view;</li> <li>• diplomatic, i.e. tactful in dealing with people;</li> <li>• collaborative, i.e. effectively interacts with others;</li> <li>• observant, i.e. actively aware of physical surroundings and activities;</li> <li>• perceptive, i.e. instinctively aware of and able to understand situations;</li> <li>• versatile, i.e. adjusts readily to different situations;</li> <li>• tenacious, i.e. persistent and focused on achieving objectives;</li> <li>• decisive, i.e. reaches timely conclusions based on logical reasoning and analysis;</li> <li>• self-reliant, i.e. acts and functions independently;</li> <li>• professional, i.e. exhibits a courteous, conscientious and generally business-like demeanour in the workplace;</li> <li>• morally courageous, i.e. willing to act responsibly and ethically even though these actions may not always be popular and may sometimes result in disagreement or confrontation;</li> <li>• organised, i.e. exhibits effective time management, prioritisation, planning, and efficiency.</li> </ul>

## Annex 3 Audit teams

1.1 The certification body shall have a process for selecting and appointing the audit team, taking into account the competence needed to achieve the objectives of the audit.

1.2 An audit team shall always include a qualified auditor and audit team leader.

NOTE: The 'team' may consist of a single qualified auditor who is then also the leader of the 'team'.

1.3 At least one (1) audit team member shall be:  
a) fluent in the main language of the area in which the audit takes place; or  
b) a designated independent interpreter, who is not an employee or consultant of the client under evaluation; or  
c) fluent in the corporate language, if the client provides a written declaration that confirms that all of the following criteria are met:  
i. all relevant records and procedures relating to FSC requirements are written and understood in the corporate language; and  
ii. all management staff and those with FSC responsibilities can communicate fluently in the corporate language.

1.4 For forest management audits: additionally, a forest management audit team shall include auditor(s) and/ or technical experts with the experience and qualifications to audit all aspects of the FSC Principles and Criteria, taking account of the scale and complexity of the area to be assessed. Key considerations for the selection of auditors and technical experts for an audit shall include experience and qualifications in relation to relevant forest management, social, environmental and economic issues (see Box 1 below for further details).

1.5 For forest management audits and controlled wood audits at forest level: at least one (1) team member who is resident in the country in which the audit takes place or in a nearby country with similar forest conditions.

NOTE: Controlled wood audits at forest level may relate to FSC-STD-30-010 or to FSC-STD-40-005.

1.6 For controlled wood audits at forest level:  
a) at least one (1) team member with the experience and qualifications to audit 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 audit shall include experience and qualifications in relation to the controlled wood categories being audited;  
b) at least one (1) team member shall be a qualified forest management auditor.

1.7 For chain of custody audits: at least one (1) team member who has knowledge of the critical characteristics of the operational processes under evaluation.

1.8 The competence of an audit team may be supplemented by that of technical expert(s). In this case the following requirements shall apply:

- a) the time spent by technical experts shall be specified separately in the audit plan and shall not to be included in the required audit time calculations;
- b) their participation in the audit shall be limited to the task they are requested to do and each technical expert shall be assigned to the responsibility of a specific auditor in the audit team;
- c) the technical expert(s) should be accompanied by the auditor to whom they are assigned;
- d) if deemed necessary, the technical expert(s) may be allowed to perform interviews and other specified tasks unaccompanied, as instructed by the audit team leader;
- e) technical expert(s) shall neither make conclusions on the conformity with certification requirements nor communicate them to the client.

**Box 2: Key considerations for selection of audit team members for forest management audits (refers to auditors and technical experts)**

**Forest management issues:**

The audit team shall include members with experience in forest management of the size and complexity under evaluation. For example, if a large plantation is being audited, the team should include members who have themselves managed operations of a similar type or who have professional experience, for example as paid consultants or advisors to similar kinds of operations.

**Social issues:**

If it is likely that forest management has significant interactions with neighboring communities, raising questions related to indigenous or community rights and tenure issues, or has social High Conservation Values (HCV), then the team shall include expert(s) who have knowledge of these issues, appropriate language/dialect, and experience of interacting with indigenous peoples and communities in the region concerned. The team shall include members with knowledge and capacity to evaluate workers' rights such as health and safety aspects and application of employment legislation in the region.

**Environmental issues:**

The audit team shall include members with the experience and knowledge to audit the forest management organization's process for identifying HCVs and interviewing stakeholders on the presence of ecological HCVs in the area to be evaluated, as well other environmental issues that are likely to be of importance during the audit. Qualification or professional experience in the area of forest ecology for the forest ecosystems under evaluation (whether natural or planted) is likely to be of key importance. General knowledge of the management of rare or endangered species that are likely to be present in the forest area, or knowledge about key environmental impacts such as those on hydrology or soils may also be required.

**Economic issues:**

The audit team shall include members with knowledge of the economic implications of forest management decisions in the country concerned (e.g., the economic implications of changes to silvicultural systems, set aside areas, etc.).

## **Annex 4: Implementation requirements for the FSC Training Program (new)**

### **1. Preamble**

- 1.1. The following outline provides specifications for the implementation of a training program according to FSC requirements.
- 1.2. Training programs on FSC provided to auditor candidates, auditors and their trainers shall be approved by the FSC accreditation body following the requirements in this annex as well as those in Annex 5.
- 1.3. A training program on FSC may be implemented by certification bodies or external training providers or both. Throughout this document these two entities are referred to as “training provider”.
- 1.4. Approval shall be granted to training programs on FSC by the FSC accreditation body. It may be granted for the complete FSC training program as outlined in Annex 5 or for parts of it (modules).

### **2. Management and administrative requirements**

#### **2.1. Procedures**

The provider shall develop procedures for their training program. Procedures shall be in place for:

- 2.1.1. the design and development of their training program according to FSC requirements.
- 2.1.2. the collection of regular feedback from trainees and trainers about their training program.
- 2.1.3. the integration of the above mentioned feedback or results of (other) evaluations into the revision of their training program on at least an annual basis.
- 2.1.4. the integration of new requirements, interpretations or changes made by FSC to its normative documents in the design of their training program. This also includes the training material.
- 2.1.5. the control of the training program publicity, advertising and the use of the FSC trademark, if applicable.
- 2.1.6. the storage and management of all records related to the fulfilment of FSC requirements and of all training material.
- 2.1.7. the selection, monitoring and evaluation of trainers.
- 2.1.8. the evaluation and certification of trainees.
- 2.1.9. issuing and withdrawing of training certificates.
- 2.1.10. managing complaints and appeals related to training provision.

#### **2.2. Records**

- 2.2.1. The training provider shall maintain all records related to the implementation of FSC requirements for at least seven (7) years – if not specified differently.
- 2.2.2. Records shall be accurate, complete, up-to-date, legible and accessible for evaluation by the FSC accreditation body.
- 2.2.3. The records shall include:
- a) title, venue and dates of each course and responsible trainer(s);
  - b) a list of all trainers specifying:
    - i. their qualification,
    - ii. the results of their monitoring and evaluations;
  - c) the evaluation and examination method used for the trainees;
  - d) a list of all trainees specifying:
    - i. the course(s) attended;
    - ii. the monitoring and evaluation results including pass/fail decisions;
    - iii. certificates granted also stating the date and the courses;
  - e) course evaluation and examination sheets filled in by the trainees.

### **2.3. Management Review**

- 2.3.1. The training provider shall review the following on an annual basis for effectiveness and conformity to FSC requirements:
- a) actions outstanding from previous reviews;
  - b) actions resulting from surveillance by the FSC accreditation body;
  - c) all procedures as outlined under 2.1.

### **2.4. Course Trainers and Training Team**

- 2.4.1. Training providers shall ensure that their trainers are qualified for the delivery of a particular content.  
All trainers shall have:
- a) a demonstrated competence as a trainer, or have attended a Training of Trainer course as outlined in Annex 5;
  - b) been witnessed by an active trainer competent in the respective content during the delivery of at least one (1) module as described in Annex 5;
  - c) a positive supervision report by the supervising trainer.
- Trainers on the modules on FM and COC topics (see Annex 5) shall:
- a) be qualified either as auditor against FM, COC or CW or all – depending of the content of the module;
  - b) have gained demonstrated professional experience in the relevant scope and area as auditors of at least three (3) years or have completed twenty (20) FM or fifty (50) COC audits – depending on the module content.
- 2.4.2. For quality assurance with trainer performance the training providers shall:
- a) monitor their trainers through a review of the written feedback given by trainees,
  - b) ensure that their trainers stay updated about relevant changes and interpretations in the FSC system,
  - c) regularly evaluate the performance of each trainer by
    - i. witnessing of class room training sessions,
    - ii. reviewing performance against the qualification requirements as listed above.

The outcome of the evaluation is to be documented in an annual trainer performance report and taken into further consideration for individual training needs of trainers

- 2.4.3. If a trainer cannot cover content or cultural aspects specific to a region or country which a group of trainees needs to be trained in, the trainer shall be complemented by an expert with demonstrated additional competence. This expert does not need to be competent as a trainer.
- 2.4.4. An interpreter shall be provided if the training cannot be held in one common language that is on professional working proficiency for trainees and trainer.

## **2.5. Certificates**

- 2.5.1. A certificate of "successful completion" shall be provided to each trainee who has passed both the written examination and training performance evaluation (see Clause 3.6). The certificate shall:
  - a) state that the training is part of the training program recognized by the FSC accreditation body;
  - b) include a unique identification number for each certificate;
  - c) clearly show the name of the training provider, as it is registered with the FSC accreditation body;
  - d) identify the training by title and date(s);
  - e) include the trainee's full name;
  - f) state that the trainee named has "successfully completed" the training;
  - g) include all information on a single side of the certificate.
- 2.5.2. The design and content of the certificate of "successful completion" shall be provided by FSC in a template.

## **2.6. Complaints and Appeals**

- 2.6.1. The training provider shall have procedures in place for managing complaints and appeals against its decisions, including provision for corrective and/or preventive action.
- 2.6.2. In case of unresolved complaints and appeals the procedures shall include the potential for involvement of the FSC accreditation body.

## **2.7. Confidentiality**

- 2.7.1. The training provider shall have adequate arrangements, consistent with applicable laws, to safeguard confidentiality of all information provided by trainees, including the results of examinations. These arrangements shall be extended to include organizations or individuals acting on its behalf, and representatives of the training provider.
- 2.7.2. Except as required in these criteria, information about a trainee shall not be disclosed to a third party without the written consent of the trainee; nor shall information about a trainee's sponsor be disclosed without written consent of the sponsor.
- 2.7.3. All confidential issues revealed in the training shall be kept confidential by all parties through confidentiality agreement.



## **2.8. Changes**

- 2.8.1. The training provider shall incorporate in its training program all relevant changes made in the FSC system – foremost with the revision and/or interpretation of normative documents or the creation of new normative documents.
- 2.8.2. All changes to training require approval by the FSC accreditation body at the latest through the next Head Office audit.
- 2.8.3. Following a decision on, and publication of changes, the training provider shall verify that each of its trainers carry out any necessary adjustments to their training and the materials within a reasonable time (maximum 3 months).
- 2.8.4. The training provider shall notify the FSC accreditation body of any change of address or any significant changes in organization structure or provision of services.

## **3. Requirements for the delivery of training**

### **3.1. Overall learning aim**

- 3.1.1. The learning aim of the training should be adapted to the level of competence of the trainees.
- 3.1.2. At the end of the training, trainee shall be able to demonstrate achievement of the all learning objectives as outlined in the module descriptions in Annex 5.

### **3.2. Training Content**

- 3.2.1. The title, sequence and individual duration of modules as listed in Annex 5 are flexible while the overall content and the total duration of all modules together related to a respective scope shall be respected.
- 3.2.2. Before the training, trainees should be provided with an overall training schedule (title, outline of content, overall learning aim(s), timetable).
- 3.2.3. For each module a detailed description shall be available, which includes the following elements:
  - a) title and overall duration;
  - b) description and focus;
  - c) learning objective(s);
  - d) list of topics to be addressed;
  - e) schedule and teaching methods/techniques to be employed;
  - f) list of resources: hand-outs, supporting documents/standards and background readings list, reporting formats, links to outside resources.

### **3.3. Training Methods**

- 3.3.1. Training methods should seek to involve and engage trainees and encourage them to exchange knowledge and experience throughout the training.
- 3.3.2. Training techniques shall be appropriate to the content delivered and learning objectives to be achieved.
- 3.3.3. The training program shall have a practical orientation through providing trainees with realistic examples, case studies, simulations or field visits.

- 3.3.4. Each trainee shall be provided with adequate training materials (including reading material, relevant FSC normative document(s), instructions for activities, handouts).
- 3.3.5. Knowledge based content may be presented online, on the condition that the online part is closely linked to a face to face session, sufficient practical exercise is assured for the development of competences and the overall learning aim of the module is achieved..
- 3.3.6. Methods for evaluating trainees' achievement of the learning objectives and for providing them with timely feedback shall be considered throughout the training.

#### **3.4. Class Size; Attendance**

- 3.4.1. For class room training the number of trainees in a group shall not exceed twenty (20).
- 3.4.2. Trainees shall be required to be in attendance of minimum 95% of the full duration of the training. Failure to do so shall be reflected in the trainee's continuous and final evaluations.

#### **3.5. Number of Trainers**

- 3.5.1. At least one trainer takes the lead for the instruction and management of the group of trainees.
- 3.5.2. Groups that are larger than ten (10) shall be accompanied by two trainers.

#### **3.6. Evaluation of Trainees**

##### **3.6.1. General**

- 3.6.1.1 Each trainee shall be evaluated during the initial training as well as during the continuous qualification (see Annex 2).
- 3.6.1.2 Each trainee shall be evaluated in regard to achieving the learning objectives and the ability to apply audit principles and practices against the requirements of the relevant FSC standard by using the following two independent elements, both of which shall be satisfied if the trainee is to successfully complete the training:
  - a) monitoring by the trainers of each trainee's performance throughout the whole training, and
  - b) an evaluation through a written examination that tests the trainees' learning progress against the defined learning objective(s).

##### **3.6.2. Evaluation in the end of the training: written exam**

- 3.6.2.1 At least one final written exam under the personal supervision of the training provider and with a pass percentage of 80% minimum for the evaluation of the trainees' achievement of the learning objective(s) of the overall training is required for the respective scope.
- 3.6.2.2 Training providers may elaborate their own exams. Complexity and duration shall be aligned to the duration and relevance of the overall training.

- 3.6.2.3 The examinations may be open book examinations allowing trainees to consult FSC's normative documents, their notes and hand-outs provided during the training.

### **3.7. Grading, Pass/Fail Decisions**

- 3.7.1. The overall grading of a trainee shall take into account the performance during the training and the result of the final written exam.
- 3.7.2. Each pass or fail decision shall be justified in written to the trainee.

### **3.8. Re-examination**

- 3.8.1. A trainee who fails the written examination, but whose performance throughout the training was considered as passed, shall be allowed one re-examination within twelve months. A different examination paper shall be used for the re-examination.
- 3.8.2. A trainee whose performance throughout the training is classified as "fail" shall take the whole training program again before being eligible to receive a certificate of successful completion.
- 3.8.3. A trainee who fails the re-examination must take the complete training program again before being eligible to another examination.

## **Annex 5: Content and duration requirements for the FSC Training Program (new)**

### **Stakeholder consultation note (proposal):**

During the elaboration of Annex 5 it became evident that the description of content with time indications is rather tricky. In order to receive concrete and substantial feedback in this public consultation we would like to present you with two options – one of which we plan to adopt thereafter.

The definition of a benchmark with criteria for content and related duration is crucial for the assurance of consistent training of auditors across the whole FSC system. The major challenge with this is not to become too prescriptive while at the same time keeping it specific enough. These specifications are also very important as a basis for the verification of training provided by CB's (or external training providers) through the FSC accreditation body.

### **Please provide your opinion about the following:**

The Annex 5 below contains the initial draft with a description of contents including time indications. It is an example that goes into much detail, allowing very concrete verification but leaving much less flexibility in the design of the actual training. This became clear during further discussions of this draft. Therefore, an alternative suggestion has been worked out. It attempts to classify the relevant content in larger packages. Please provide your feedback whether you prefer the original or the alternative proposal?

### **Alternative proposal:**

#### *FSC basic training:*

An overall basic training valid for FM and COC

Content: this includes the major content of all FSC-GEN-xx (as defined below) in a shortened version except the ones of modules FSC-GEN-05 (ISO 19011), FSC-GEN-07 (on TM) and FSC-GEN-09 (Training of Trainers)

Duration: around 3,5 hours

#### *ISO 19011 training:*

Content: as described in the below module FSC-GEN-05. It would be suggested to work in this training already with very specific cases taken from the FSC context

Duration: 18 hours

#### *Training of Trainers:*

(only compulsory for auditor trainers – if there is no demonstrated work experience/qualification as trainer)

Content: the same as described in the below module FSC-GEN-09

Duration: 12 hours

#### *Trademark Training:*

The suggestion is to keep this as a separate module because it does not really fit in the FSC basic training nor in the FM or COC training. Also, some CB's have other staff (than the auditor) that is responsible for art work approval.

Content: as described in the below module FSC-GEN-07;

Time: 2 hours

#### *FM training:*

Content: comprises the complete content of all below FSC-FM-xx modules

Duration: 32 hours

#### *COC training:*

Content: comprises the complete content of all below FSC-COC-xx modules

Duration: 14 hours

## 1. Preamble

- 1.1. The following table and descriptions provide specifications to requirements about content and duration of training to be provided to auditor candidates, auditors or their trainers for Forest Management and Chain of Custody.
- 1.2. The overall content is classified in modules of general value (GEN) and modules of specific value for training candidates of either Forest Management (FM) or Chain of Custody (COC) auditors. A full initial training for FM or COC auditor candidates is thus composed of the indicated GEN modules and the specific modules (cross "x", "/" indicates that this module is not applicable to respective part of the column.)
- 1.3. The time indicated specifies the duration for an interactive face to face training with theoretical parts/lecture and learning activities (such as case studies, discussion rounds, small working groups, individual exercises). The number refers to hours (60 minutes).
- 1.4. If training modules are provided by FSC, trainees should attend these unless specified differently.
- 1.5. In the detailed module description currently relevant normative documents and further reading material are listed under "background documentation, reading and relevant FSC normative documents". All interpretations of the normative framework by FSC are not listed but are to be found on the FSC website.

## 2. Overview FSC training modules

Module code	Module title	Duration in hours (face to face)	FM auditor	COC auditor	FM trainer	COC trainer
FSC-GEN-01	FSC – History and objectives	1	x	x	x	x
FSC-GEN-02	Impact of forest management certification	1	x	x	x	x
FSC-GEN-03	The FSC normative system: structure, logic and relation of FSC's normative documents	1	x	x	x	x
FSC-GEN-04	Roles and responsibilities in Certification to FSC standards	1	x	x	x	x
FSC-GEN-05	FSC Auditing in relation to ISO 19011	18	x	x	x	x
FSC-GEN-06	FSC complaints management	1	x	x	x	x
FSC-GEN-07	The FSC Trademark system and requirements	3	x	x	x	x
FSC-GEN-08	FSC and timber legality legislation	1	x	x	x	x
FSC-GEN-09	Train the trainer course	12	/	/	x	x
FSC-FM-01	The FSC principles, criteria	2	x	/	x	/
FSC-FM-02	National and Interim National Standards	3	x	/	x	/
FSC-FM-03	Non timber forest products	2	x	/	x	/
FSC-FM-04	Forest Certification for Ecosystem Services	3	*	/	*	/
FSC-FM-05	The FSC stakeholder consultation process	3	x	/	x	/
FSC-FM-06	The FM evaluation process	2	x	/	x	/
FSC-FM-07	Group Certification for Forest Management	2	x	/	x	/
FSC-FM-08	SLIMF eligibility criteria	1	x	/	x	/
FSC-FM-09	Evaluating compliance with FSC Social requirements	4	x	/	x	/
FSC-FM-10	Evaluating compliance with HCV requirements	2	x	/	x	/
FSC-FM-11	FSC Pesticides Policy and its implementation	3	x	/	x	/
FSC-FM-12	Forest management requirements for Controlled Wood certification	2	x	/	x	/
FSC-FM-13	Evaluating Controlled Wood	1	x	/	x	/
FSC-FM-14	FM certification report writing	2	x	/	x	/
FSC-COC-01	Introduction to FSC Chain of Custody and the	3	/	x	/	

Module code	Module title	Duration in hours (face to face)	FM auditor	COC auditor	FM trainer	COC trainer
	core COC standard					
FSC-COC-02	Group and multi-site certification for Chain of Custody	2	/	x	/	x
FSC-COC-03	FSC controlled wood standard for Chain of Custody and the addenda	3	x	x	x	x
FSC-COC-04	Sourcing reclaimed material for use in the FSC product groups or FSC certified projects	1	/	x	/	x
FSC-COC-05	Project certification in Chain of Custody	1	/	x	/	x
FSC-COC-06	The COC evaluation process	3	/	x	/	x
FSC-COC-07	Chain of custody certification report writing	1	/	x	/	x

\* only compulsory if auditor trainee will audit Ecosystem Services or trainer candidate will train on this topic



### 3. Description of FSC Training Modules

#### **GENERAL MODULES:**

##### **FSC- History and objectives** **(FSC-GEN-01)**

**Duration: 1 hour**

**Learning objective:**

At the end of this module the participants will:

- Know the basics of FSC's origins, its history and recent developments
- Have an understanding FSC's vision, mission and strategic approach
- Have an understanding of FSC's structure

**Module content:**

- The founding years of the FSC (The international forest policy context at the beginning of the 1990 (tropical timber boycotts in Europe, UNCED conference 1992, Agenda 21, The founding assembly of FSC, FSC's first years (development of the FSC P&C, accreditation requirements and institutional development)
- Roles of and relation between FSC stakeholders (members, FSC IC, AC, GD, National Partners, certificate holders)
- FSC institutional documents (statutes, bylaws, etc.): The current FSC statutes and bylaws, including a detailed presentation of the most important elements of FSC as a membership organization, such as membership rules, decision/making, basic approach to dispute resolution
- The structure of the FSC as an international organization: Organizational structure (FSC IC/GD, Regional and national offices, Three chamber system),
- FSC and other certification schemes (SFI, CSA, PEFC, etc.)

**Background documentation, reading and relevant FSC normative documents:**

- FSC Statutes 2014

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##### **Impact of forest management certification** **Module code: FSC-GEN-02**

**Duration: 1 hour**

**Learning Objective:**

At the end of this module the participants will:

- Understand about the broad / conflicting scope of expectations about "impacts" FSC should deliver
- Know the challenges of identifying impacts (baseline, monitoring, counterfactuals, attribution) – and how indicators and reporting of auditors can help to improve FSC's reporting about impact
- Overview about impacts and effects delivered by different management unit "types" and spill over effects of certification

**Module content:**

- The relationship between performance in the implementation of FSC FM standards and claims FSC can make about social and environmental impacts in the forest
  - Definition impacts from the perspective of certification to FSC standards

- Measuring impacts
- Potential effects and impacts of certification from certificate holders and other stakeholders' perspective
- Potential impacts of certification from a social perspective
- Standard elements geared towards improving social performance. Indicator analysis
- FSC indicators for measuring the organizations impact from a social and environmental perspective

**Background documentation, readings and related FSC Normative Documents:**

- FSC Theory of Change
- Karmann M, Smith A (eds). 2009. *FSC reflected in scientific and professional literature: Literature study on the outcomes and impacts of FSC certification*. Bonn: Forest Stewardship Council AC. Available at: <https://ic.fsc.org/monitoring-evaluation-reports.694.htm> [accessed 10.04.15] → not to read page for page, but to get an idea about the diversity

**The FSC normative system: structure, logic and relation of FSC's normative documents**

**Module Code: FSC-GEN-003**

**Duration: 1 hour**

**Learning Objective:**

At the end of this module the participants will:

- Have an overview of FSC's normative system
- Understanding the logic of the system and the interrelation of its documents

**Module content:**

- Requirements and guidance: types of normative and non-normative documents
- Certification requirements and accreditation requirements
- FSC terminology in the context of certification
- Types of certification and their interrelation
- Where to find FSC documents
- FSC in relation to ISO and ISEAL

**Background Documentation and Reading:**

- FSC Document Catalogue
- FSC-PRO-01-001 The Development and Revision of FSC normative documents, terms and definitions
- ISEAL Code of good Practice for setting social and environmental standards

**Roles and responsibilities in certification to FSC standards**

**Module code: FSC-GEN-04**

**Duration: 1 hour**

**Learning Objective:**

At the end of this module the participants will:

- understand roles and responsibilities in the context of FSC certification
- know who to address in the context of their auditing work

**Module content:**

- Overview of the FSC certification system
- Roles and responsibilities in standard development and certification
- The current state of the FSC Accreditation Body

**Background documentation, readings and related FSC Normative Documents:**

- FSC-PRO-01-001 The Development and Revision of FSC normative documents
- FSC-PRO-10-201 Enquiry Procedure
- FSC-STD-20-001 General requirements for FSC accredited certification bodies

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**FSC Auditing in relation to ISO 19011**  
**Module Code: FSC-GEN-05**

**Duration: 18 hours**

**Learning objective:**

At the end of this module the participants will:

- Know the guiding audit requirements of ISO 19011:2011(E)
- Be able to apply these requirements in the context of FSC certification

**Module content:**

- Principles of auditing
- Managing an audit programme
- Audit programme objectives and extent
- Audit programme implementation
- Audit programme records
- Audit programme monitoring and reviewing
- Audit activities: Initiating the audit, Conducting document review, Preparing for the on-site audit activities, Conducting on-site audit activities, Preparing, approving and distributing the audit report, Preparing the audit report, Approving and distributing the audit report, Completing the audit, Conducting audit follow-up
- Practical audit examples from the FSC context

**Background documentation, readings related FSC normative documents:**

- ISO 19011:2011(E)

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**FSC Complaints Management**  
**Module Code: FSC-GEN-06**

**Duration: 1 hour**

**Learning Objectives:**

At the end of this module the participants will:

- Have an understanding of the mechanisms and procedures that FSC International and ASI follow when addressing complaints
- Understand when a complaint shall be brought to the attention of FSC and ASI (the lowest level principle)

**Module content:**

- A general overview of the procedures followed by ASI and FSC when receiving complaints

- “Classification” of conflicts: compliance conflicts against FSC’s normative documents; issues around Policy of Association
- Roles and responsibilities in dealing with complaints and complains management (stakeholder/certificate holder, ASI, FSC)

**Background documentation, readings and related FSC normative documents:**

- FSC-PRO-01-005 Processing Appeals
- FSC-PRO-01-008 Processing Complaints in the FSC Certification Scheme
- FSC-PRO-01-009 Processing Policy for Association Complaints in the FSC Certification Scheme
- FSC-POL-01-004 Policy for the Association of Organizations with FSC
- ASI-PRO-20-103 Appeals Procedure
- ASI-PRO-20-104-V4-0 Complaints
- FSC-STD-20-001 General requirements for FSC CBs (clause 1.9)

**The FSC Trademark System and requirements**  
**Code: FSC-GEN-07**

**Duration: 3 hours**

**Learning Objective:**

At the end of this module the participants will:

- Have a general overview of the FSC trademark system
- Know the requirements related to the management of the FSC trademark
- Be able to practically apply or verify the requirements

**Module content:**

- Roles and responsibilities with issuing, use and controlling of FSC’s Trademark logo: authorized agents, use of FSC Trademarks by certificate holders, certificates, coding system
- Use of TM in different languages
- General requirements for the use of the FSC label on product.
- Categories of the FSC label
- General graphic requirements applicable to the labels
- Specific requirements for the category of labels

**Background documentation, readings and related FSC Normative Documents:**

- FSC TM Quick Guide
- FSC-TMK-50-001
- FSC-TMK-50-002

**FSC and timber legality legislation**  
**Module Code: FSC-GEN-08**

**Duration: 1 hour**

**Learning objective:**

At the end of this module the participants will:

- Understand timber legality issues and their relevance within FSC’s concept for responsible forest management and chain of custody
- Be able to consider the aspect of timber legality in the audit (including audit reports and public summary reports)
- Be aware about the importance of timber legality outside of FSC certification

**Module content:**

- Relevance of and reference to timber legality issues in FSC FM, CW and COC standards.
- Relevance of different national timber legalizations in the context of import/export
- The purpose and the essentials of legality legislation in US, EU and Australia, with particular attention to the explicit (EU, Australia) or implicit (US) requirement to apply due diligence/care systematically.
- Elements of a due diligence/care system in relation to FSC certification
- Public summaries audits in the context of the due diligence application

**Background documentation, readings and related FSC normative documents:**

Relevant parts of:

- FSC-STD-01-004 International Generic Indicators, in particular on Principle 1: Compliance with Laws
- FSC-STD-40-004 Chain of Custody
- FSC-STD-40-005 Controlled Wood
- FSC-STD-30-010 Controlled Wood Standard for Forest Management Enterprises
- FSC information documents (on FSC website):
  - “Memo on Timber Legality”
  - “USA Forest Products Legality Legislation and FSC”
  - “FSC and the Australian Illegal Logging Prohibition Act 2012”
  - “EU Timber Regulation FSC Implementation Guide”

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**Train the Trainer Course**

**Module code: FSC-GEN-09**

**Duration: 12 hours**

**Learning Objectives:**

At the end of this module the participants will be able to:

- Design customized training courses
- Implement interactive training sessions following educational “ground rules”
- Facilitate group and learning processes

**Module content:**

- Basics of training and teaching
- Principles of adult learning
- Tools for course design
- Development and/or selection of course material
- Interactive training methods
- Facilitation skills

**Background documentation, readings and related FSC Normative Documents:**

- ISEAL Auditor Training Project: Framework for Developing an effective Auditor Training

## **MODULES ON FOREST MANAGEMENT:**

*Note for modules FSC-FM-01 and FSC-FM-02:*

*These two modules will provide a first overview while the practical application part should be addressed throughout the following modules as it applies (e.g. Principle 3 can be addressed in depth in module FSC-FM-09 about social issues).*

### **FSC Principles and Criteria (P&C)**

#### **Module code: FSC-FM-01**

**Duration: 2 hours**

#### **Learning Objective:**

At the end of this module the participants will:

- Know about the function of the Principle and Criteria within the FSC system
- Have understood the structural logic of the P&C's and how they relate to the FSC's concept of forest certification
- Gained a basic understanding of the concept of indicators and verifiers

#### **Module content:**

- Purpose/function of the P&C in FSC Forest Management Certification.
- Structured overview of the 10 principles and of the criteria that are relevant to each principle including mainly:
  - eligibility for FSC certification
  - responsible for compliance with P&C's
  - responsibility with P&C's interpretations
  - relationship P&C's with laws and regulations?
- What is the basis for certification decisions?
- FSC Hierarchy of Principles, Criteria, indicators and verifiers and concept of how P&C's apply in the field
- Overview of principal FSC documents (policies/ guidelines/ advice notes/ guidance documents) relevant to the P&C used for the interpretation of the P&C v5
- Interpreting the use of "should" and "shall" in the P&C.

#### **Background documentation, readings and related FSC Normative Documents:**

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

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### **National and Interim National Standards**

#### **Module code: FSC-FM-02**

**Duration: 3 hours**

#### **Learning Objective:**

In the end of this module the trainee will:

- Have acquired in-depth knowledge about the structure and content of the National or Interim National Standard (s)
- Be able to apply these requirements in an audit
- Have a basic understanding about the adaptation of the P&C's (Interim National Standards, interim standards, role of IGI's)

#### **Module content:**



- Overview of P&C adaptation:
  - International Generic Indicators and their function as starting point for the development of National and Interim National Standards
  - Brief summary of the National Standards development process. Normative documents that regulate this development.
  - Interim National Standards development process. Normative documents that regulate this development.
- Structure and content of National Forest Stewardship Standards:
  - Scope of the Standard.
  - Effective date and revision scheme.
  - Numbering
  - Structure and content, including body of the standard (Principles, Criteria, Indicators and Verifiers), Notes and Annexes.
  - SIR Indicators.
  - Re-structuring a standard for use in the forest.
- Scale, Intensity and Risk in the P&C and in National and Interim National Standards.
- Interpretation, interpretation requests and their processing for National Forest Stewardship Standards (NFSS)

**Background documentation, readings and related FSC Normative Documents:**

- (All) relevant National or Interim National Standard(s)
- FSC-PRO-60-007 Structure, Content and Development of Interim National Standards
- FSC-STD-60-002 Structure and content of National Forest Stewardship Standards
- FSC-STD-60-006 Process requirements for the development and maintenance of National Forest Stewardship Standards
- FSC-STD-60-004 International Generic Indicators
- FSC-GUI-60-002 SIR Guideline

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**Non Timber Forest Products (NTFP)**  
**Module Code: FSC-FM-03**

**Duration: 2 hours**

**Learning objective:**

At the end of this module the participants will:

- Have an overview of potential Non Timber Forest Products that may be included in certification
- Understand how Non Timber Forest Products can be certified

**Module content:**

- NTFPs role in responsible forest management
- normative framework(s) that regulate commercial NTFP production
- Motions related to NTFP (especially Motion 58/2014)
- Examples how NTFP standards differ from timber production standards
- Difference between certification assessment of NTFPs and auditing timber production

**Background documentation, readings and related FSC Normative Documents:**

- ADVICE-20-007-05 Non Timber Forest Products

- FSC-PRO-60-007 Structure, Content and Development of Interim National Standards
- FSC-STD-60-002 Structure and content of National Forest Stewardship Standards
- Applicable NTFP standards developed on a regional level (e.g. shitake, cork, brazil nut)

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### **Forest Certification for Ecosystem Services (ForCES)**

#### **Module Code: FSC-FM-04**

**Duration: 3 hours**

**Learning objective:**

At the end of this module the participants will:

- Understand the system for optional verification of the maintenance and/or enhancement of ecosystem services
- Be able to integrate this optional verification into an audit process;
- Be able to assess conformance of FSC Ecosystem Services promotional claims with trademark rules;

**Module content:**

- The concept of ‘ecosystem services’ and how it relates to FSC certification of forest management.
- Maintaining and enhancing ecosystem services as part of FSC-certified forest management;
- Methodologies available to certificate holders for demonstrating the impact of forest stewardship on ecosystem services
- FSC promotional claims for maintaining and/or enhancing ecosystem services in relation to existing trademark rules;
- FPIC and benefit sharing in the context of payments for ecosystem services

**Background documentation, readings and related FSC Normative Documents:**

- FSC Ecosystem Services Strategy

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### **FSC stakeholder consultation process**

#### **Module code: FSC-FM-05**

**Duration: 3 hours**

**Learning objective:**

At the end of this module the participants will:

- Understand the importance of stakeholder consultation
- Be able to identify relevant stakeholders
- Be able to implement a stakeholder consultation process in certification contexts (,).

**Module content:**

- The necessity for stakeholder consultation
- Types of stakeholder consultation in FSC certification and the requirements of each:
  - Consultation with stakeholders by forest managers
  - Stakeholder consultation requirements during the certification process
  - Timing and content of information to stakeholders
  - Method of communication with stakeholders
  - Consultation requirements related to SLIMF
  - Reporting on stakeholder consultation

- Types of stakeholder groups and examples of each group under each principle

**Background documentation, readings and related FSC Normative Documents:**

- FSC-STD-20-006 Stakeholder consultation for forest evaluation
- FSC-POL-01-002 FSC policy for accepting contributions

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**The FSC FM certification process and certification decision making:**  
**The FM evaluation process**  
**Module code: FSC-FM-06**

**Duration: 2 hours**

**Learning Objective:**

At the end of this module the participants will:

- Be able to conduct conformity assessments for forest management certification
- Be able to describe non-conformities and raise corrective action requests

**Module content:**

- Evaluation requirements (pre-, main, surveillance and re-)
- Sampling requirements
- Stakeholder engagement
- Choosing the sites for field inspection
- Document review process during audits
- Identification, definition and follow-up of non-conformities
- Writing the corrective action requests;
- Organizing Peer Review
- Taking the certification decision
- Re-evaluation requirements

**Background documentation, readings and related FSC Normative Documents:**

- FSC-STD-20-005 Pre-evaluation requirements
- FSC-STD-20-007 Forest management evaluation
- FSC PRO 20-003 Transfer of FSC Certificates and License Agreements
- FSC DIR 20-007 FSC Directive on FSC Forest Management Evaluations

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**Group certification for forest management**  
**Module code: FSC-FM-07**

**Duration: 2 hours**

**Learning objective:**

At the end of this module the participants will:

- Have acquired detailed knowledge regarding the concept of the FSC group certification
- Know how group schemes shall be established, managed and monitored
- Be able to audit group certification in the field.

**Module content:**

- What is group certification and why is it needed?
- Relationship of group manager to certification body
- Group management structure

- Membership rules (entry to the group, membership fees, annual internal monitoring, addressing corrective action requests by Group Managers, addressing corrective action requests by CBs, leaving the group, expulsion from the group, complaints procedures)
- Stakeholder consultation for Group Schemes
- Monitoring group members by the Group manager
- Sampling requirements for the certification of Group schemes
- Assessing the group management and the group members
- Overview of documents and records required in a Group Scheme

**Background documentation, readings and related FSC Normative Documents:**

- FSC-STD-30-005 Group Structure and Responsibilities for FSC Group FM Certification
- FSC-STD-20-008 Forest certification reports
- Group certification for forests: a practical guide

**SLIMF eligibility criteria**  
**Module code: FSC-FM-08**

**Duration: 1 hour**

**Learning Objective:**

At the end of this module the participants will:

- Have obtained knowledge regarding the FSC small and low intensity managed forests certification process,
- Know how the SLIMF certification requirements are to be applied in the field.

**Module content:**

- Rationale for developing SLIMF
- SLIMF Streamlined Certification Procedures
- Differences between normal certification and SLIMF certification
- Developing/adapting a local standard for SLIMF

**Background documentation, readings and related FSC Normative Documents:**

- FSC STD 01-003 SLIMF eligibility criteria
- FSC STD 01-003a SLIMF eligibility criteria addendum
- FSC-GUI-60-001 SLIMF interpretation of FSC principles and criteria

**Evaluating Compliance with Social requirements**  
**Module code: FSC-FM-09**

**Duration: 4 hours**

**Learning Objective:**

At the end of this module the participants will:

- Have gained knowledge regarding the social requirements within the FSC certification system.
- Be able to evaluate the implementation of social requirements in the field.

**Module content:**

- Free, prior and informed consent (FPIC)
- Calculation of living wage and living income
- Engagement

- Social Management Planning
- Gender equity
- Participatory mapping and impact assessment
- Basics about dispute resolution as a social competence
- Access and benefit sharing
- Protecting traditional knowledge and intellectual property
- Health and safety
- Freedom of Association

**Background documentation, readings and related FSC Normative Documents:**

- Respective principle of P&C's (1&2&3&4&5&9)
- FSC POL 30-401 FSC certification and ILO Conventions
- Relevant parts of the International Labor Organization Conventions (**29** Forced Labour Convention, 1930; **87** Freedom of Association and Protection of the Right to Organise Conventions, 1948; **97** Migration for Employment (Revised) Convention, 1949; **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; **131** Minimum Wage Fixing Convention, 1970; **138** Minimum Age Convention, 1973; **141** Rural Workers' Organizations Convention, 1975; **142** Human Resources Development Convention, 1975; **143** Migrant Workers (Supplementary Provisions) Convention, 1975; **155** Occupational Safety and Health Convention, 1981; **169** Indigenous and Tribal Peoples Convention, 1989; **182** Worst Forms of Child Labour Convention, 1999)
- ILO Code of Practice Safety and Health in Forestry work
- ILO Recommendation 135 (1970), Minimum wage fixing recommendation
- FSC guidelines for the implementation of the right to free, prior and informed consent (FPIC)
- Living Wage Benchmark Calculation methodology

**Evaluating compliance with HCV requirements**

**Module code: FSC-FM-10**

**Duration: 2 hours**

**Learning Objective:**

At the end of this module the participants will:

- Understand the concept of High Conservation Value,
- Be able to assess the conformity of the forest management with HCV requirements

**Module content:**

- The FSC Principle 9: High Conservation Value
  - General presentation of the Criteria under the FSC P9.
  - Identification of HCV
  - Indicators for P9
  - Motion 65 (GA2014) on Intact Forest Landscapes

**BACKGROUND DOCUMENTATION AND READINGS:**

- 'Common Guidance for HCV Identification', HCV Network 2013
- 'Common Guidance for HCV Management and Monitoring', HCV Network 2014
- Motion 65 (GA 2014) High Conservation Value 2 (HCV2) – Intact forest landscapes (IFL) protection

**FSC Pesticides Policy and its implementation**

### **Module code: FSC-FM-11**

**Duration: 3 hours**

**Learning Objective:**

At the end of this module the participants will:

- Understand FSC's concept and reasoning behind its pesticide policy.
- Be able to verify the compliance with the pesticides requirements in the field and fulfil the responsibilities of the Certification Bodies in the derogation process.

**Module content:**

- FSC Pesticides Policy: definitions, key elements and implementation
- List of 'highly hazardous' pesticides (HHPs)
- Temporary derogations for the use of 'highly hazardous' pesticides
  - Roles and responsibilities
  - Preparing and submitting applications for derogation
  - Emergency use of HHPs
  - Use of HHPs mandated or carried out by public authorities
  - HHP use for research purposes
  - Fee structure
  - Decision making
  - Evaluation of compliance with derogation conditions

**Background documentation, readings and related FSC Normative Documents:**

- FSC-POL-30-001 FSC Pesticides Policy
- FSC-STD-30-001 Indicators and thresholds for the identification of "highly hazardous" pesticides
- FSC-STD-30-001a FSC list of "highly hazardous" pesticides
- FSC-GUI-30-001a List of approved pesticides derogations
- FSC Guide to integrated pest, disease and weed management in FSC certified forests and plantations

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### **Forest management requirements for Controlled Wood certification**

### **Module code: FSC-FM-12**

**Duration: 2 hours**

**Learning Objective:**

At the end of this module the participants will:

- Know the requirements of Controlled Wood for Forest Management Enterprises
- Understand differences between Forest Management certification according to the P&C and this Controlled wood standard for Forest Management Enterprises
- Understand cases when the standard may be used in COC-CW certification processes.

**Module content:**

- Scope of the standard and its users, including applicability for group certification
- Management system, record keeping and documentation (sale documentation, documentation for stakeholder consultation)
- Using National Risk Assessments



- Scope of applicable legislation
- ILO Declaration on Fundamental Principles and Rights at Work
- Responsibility for employees and contractors
- Engagement of Indigenous/traditional peoples and determining their rights
- Free, Prior and Informed Consent
- Conflict resolution system for conflict related to traditional and human rights
- Assessment of presence and threats to High Conservation Values
- Using existing HCV frameworks
- Scope of requirements for forest conversion: Management Units included in the scope of the certification vs. area under responsibility of the organization using the standard in COC-certification process

**Background documentation, readings and related FSC Normative Documents:**

- FSC-STD-30-010 FSC Controlled Wood Standard for FM Enterprises
- ADV-30-010-1 Applicable National and local laws and regulations for Controlled Wood for Forest Management Enterprises

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**Evaluating Controlled Wood**  
**Module code: FSC-FM-13**

**Duration: 1 hour**

**Learning Objective:**

At the end of this module the participants will:

- Understand the difference between FM and CW-FM audit process
- Be able to apply CW requirements within an audit

**Module content:**

- Stakeholder consultation requirements
- Issuing a Controlled Wood certificate
- Controlled Wood certification report
- Public summary of the certification process

**Background documentation, readings and related FSC Normative Documents:**

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

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**Forest Management certification report writing**  
**Module code: FSC-FM-14**

**Duration: 2 hours**

**Learning Objective:**

At the end of this module the participants will:

- Be able to integrate specific FSC requirements for report writing (in general and as regards FM) in the audit report (including public summary with also considering aspects of controlled wood,
- Know how to operate the FSC certificate database (including administration of the processes under certification)

**Module content:**

- Report writing requirements
  - Content and structure of main evaluation reports

- Content and structure of surveillance evaluation and re-evaluation reports
- Content and structure of the reports for group certification
- Content and structure of public summaries
- Language and translations
- Metric units used in the report
- Peer review requirements for main evaluation reports
- Operating FSC Database

**Background documentation, readings and related FSC Normative Documents:**

- FSC-STD-20-007a Forest management evaluations addendum – forest certification reports
- FSC-STD-20-007b Forest management evaluation addendum – forest certification public summary reports
- Standard for evaluation of FSC Controlled Wood in Forest Management Enterprises

## **MODULES ON CHAIN OF CUSTODY:**

### **Introduction to FSC Chain of Custody (COC) and the core COC standard** **Module code: FSC-COC-01**

**Duration: 3 hours**

#### **Learning objectives:**

At the end of this module the participants will:

- Have an overview to the FSC COC normative documents
- Have obtain detailed knowledge and practical skills related to the core COC certification requirements, as reflected in FSC-STD-40-004.

#### **Module content:**

General introduction:

- Overview of FSC COC normative documents
- What is Chain of Custody
- Who needs COC certification
- FSC COC standard FSC-STD-40-004:
- Universal requirements
  - Quality management system
  - Commitment to FSC values
  - Scope of the FSC chain of custody system/ Concept of Product Groups
  - Material sourcing
  - Material handling
  - Material accounting records and volume control
  - Sales: fictional examples and sales documents
- Systems for controlling FSC claims
  - Transfer system
  - Percentage system
  - Credit system
  - Practical examples of application, fictional case studies
- FSC labelling requirements
- Supplementary requirements
  - Outsourcing
  - Compliance with timber legality legislations

#### **Background documentation, readings and related FSC Normative Documents:**

- FSC STD 40-004 FSC Standard for Chain of Custody Certification
- FSC-DIR-40-004 FSC Directive on Chain of Custody Certification
- FSC-STD-40-004a FSC Product Classification

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### **Group and multi-site certification for COC** **Module code: FSC-COC-02**

**Duration: 2 hours**

#### **Learning Objective**

At the end of this module the participants will:

- Have acquired knowledge and practical skills related to the certification and evaluation requirements for group and multi-site certification for COC, as reflected in FSC-STD-40-003.

#### **Module content:**

- Key definitions

- Eligibility (single COC certification with multiple sites, multi-site COC certification, group COC certification and list of countries with national eligibility criteria)
- Specific requirements for multi-site and group COC certification:
  - Administrative requirements
  - Requirements for the central office (quality management, qualification of certificate manager and central office's auditors, the central office audit program, provision of information and documents to participating sites, number and increase of participating sites in the certification scope
  - Responsibilities for the participating sites
- Evaluation of group and multi-site COC certification:
  - Growth of participation sites
  - Matrix for determination of risk index
  - Sampling and selection of sites

#### **Background documentation, readings and related FSC Normative Documents:**

- FSC-STD-40-003 COC certification of multiple sites
- FSC PRO 40-003a List of national group Chain of Custody group eligibility criteria
- FSC-STD-20-011 Chain of Custody Evaluations, section on Evaluation of Group and Multi-site Chain of Custody certificates

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### **FSC Controlled Wood Standard for Chain of Custody and the addenda**

#### **Module code: FSC-COC-03**

**Duration: 3 hours**

#### **Learning objective:**

At the end of this module the participants will:

- Understand the concept of Controlled Wood
- Have detailed knowledge about the concept of Controlled Wood as relevant for COC
- Have acquired practical skills related to the evaluation requirements for controlled wood in a COC context

#### **Module content:**

- Scope of the standard and users
- Controlled Wood categories
- Quality system requirements (documented procedures)
- Due Diligence System
  - Components of the DDS
  - Considering CW categories separately
  - Evidence of the origin (general requirements, referring to the FSC risk assessment(s), evidence of the origin for co-products)
  - Risk assessment process for geographical origin of the material:
    - Using FSC risk assessments, including risk assessment hierarchy
    - Using Global Forest Registry
    - Conducting Interim Risk Assessment
    - Outsourcing evaluation of unassessed areas
    - Assessment of material originating from FSC certified sources
  - Risk assessment process of non-certified supply chains
  - Risk mitigation:

- Using mandatory control measures from FSC risk assessments
- Establishment of the control measures
- Special consideration for control measures (among others in relation to CW categories)
- Requirements for field verification
- Requirements for stakeholder consultation
- Verification of the effectiveness of Control Measures
- Expert involvement
- Effectiveness of the DDS (internal audits)
- Record keeping:
  - Records of sourcing from low risk areas
  - Records of sourcing from specified risk areas
  - Information publically available
- Complaint mechanism:
  - Complaints related to the certified operation
  - Complaints related to the risk assessment
  - Other information obtained from stakeholders

**Background documentation, readings and related FSC Normative Documents:**

- FSC-STD-40-005 FSC Standard for Company Evaluation of CW
- FSC-STD-30-010 Controlled wood for Forest managers
- FSC-DIR-40-005 Directive on FSC CW
- FSC PRO-60-002 The Development and approval of FSC National Risk Assessments
- FSC PRO-60-002a FSC National Risk Assessment Framework
- FSC PRO-60-002b List of approved National and regional CW documents

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**Sourcing reclaimed material for use in FSC Product Groups or FSC certified projects**

**Module code: FSC-COC-04**

**Duration: 1 hour**

**Learning Objective:**

At the end of this module the participants will:

- Be able to integrate the aspect of reclaimed materials in the audit process

**Module content:**

- Key terms
- Scope of the standard
- Purchase of reclaimed forest-based materials
- Suppliers validation and monitoring
- Material inspection and classification upon receipt
- Evaluation of supplier audit program

**Background documentation, readings and related FSC Normative Documents:**

- FSC STD 40-007 Sourcing reclaimed material for use in FSC product groups of FSC certified projects

- FSC-STD-20-011 COC Evaluations, section on Evaluation of the Supplier Audit Program for reclaimed materials

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**Project Certification in Chain of Custody**  
**Module code: FSC-COC-05**

**Duration: 1 hour**

**Learning Objective:**

At the end of this module the participants will:

- Know the concept of COC project certification
- Be able to apply the concept in the context of an audit

**Module content:**

- Key terms
- Scope of the standard
- Quality system requirements
- Material inputs
- Material specifications
- Material handling
- Requirements for FSC applicant project registration
- Requirements for FSC full or partial project certification
- Promotional use of the FSC Trademarks and FSC Label
- Renovation projects
- Practical examples of application

**Background documentation, readings and related FSC Normative Documents:**

- FSC-STD-40-007 FSC standard for Project Certification

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**FSC COC evaluation process**  
**Module code: FSC-COC-06**

**Duration: 3 hours**

**Learning objectives:**

At the end of this module the participants will:

- Obtain detailed knowledge related to the evaluation of manufacturer requirements
- Be able to implement a COC audit in the course of the FSC certification process
- To make well-grounded recommendations for a decision about the certification

**Module content:**

- General principles
- Evaluation requirements
- Surveillance evaluations
- Identifying, grading and timelines to correct nonconformities; fictional case studies to identify, grade and formulate nonconformities
- Certification decision
- Evaluation of contractors operating under outsourcing agreements
- Evaluation of organizations' commitment to FSC Values and occupational health and safety requirements



- Evaluation for Controlled Wood
  - Stakeholder consultation
  - Outsourcing DDS
  - Evaluation of the risk assessment
  - Field evaluation of Supply Units (evaluation of verification conducted by The Organization, conducting evaluation on behalf of the organization)
  - Verification of the DDS
  - Participation in fibre testing program

**Background documentation, readings and related FSC Normative Documents:**

- FSC-STD-20-001 General requirements for FSC accredited Certification Bodies
- FSC-STD-20-011 Chain of Custody Evaluations
- FSC-DIR-20-011 FSC Directive on Chain of Custody Evaluations
- FSC-PRO-20-001 Evaluation of the organization's commitment to FSC values and occupational health and safety in the Chain of Custody
- FSC-STD-30-010 Controlled Wood for forest managers
- FSC-STD-40-005 FSC Standard for Company Evaluation of CW

**Chain of Custody certification report writing**  
**Module code: FSC-C0C-07**

**Duration: 2 hours**

**Learning objective**

At the end of this module the participants will:

- Be able to integrate specific FSC requirements for report writing (in general and as regards COC) in the audit report (including public summary with also considering aspects of controlled wood,
- Know how to operate the FSC certificate database (including administration of the processes under certification)

**Module content:**

- Reporting requirements
- Content requirements:
  - Cover page
  - Certification scope information
  - Scope of the evaluation
  - Evaluation findings
  - Outsourcing
  - Group and Multi-site evaluations
  - Evaluation of Supplier Audit Program for reclaimed materials
  - Annexes
- Operating the FSC database
- For Controlled Wood evaluations:
  - Elements to be included in the report
  - Elements to be included in the public report

**Background documentation, readings and related FSC Normative Documents:**

- FSC-STD-20-011 COC Evaluations



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