

FSC INTERNATIONAL STANDARD

Forest management evaluations addendum –
Forest certification reports

FSC-STD-20-007a (V1-0) EN



Title:	Forest management evaluations addendum – Forest certification reports
Document reference code:	FSC-STD-20-007a (V1-0) EN
Scope:	International
Approval date:	31 August 2009
Contact:	FSC Policy and Standards Unit
E-mail for comments:	policy.standards@fsc.org

© 2009 Forest Stewardship Council, A.C. All rights reserved.

No part of this work covered by the publisher's copyright may be reproduced or copied in any form or by any means (graphic, electronic or mechanical, including photocopying, recording, recording taping, or information retrieval systems) without the written permission of the publisher.

**FOREST MANAGEMENT EVALUATIONS ADDENDUM –
FOREST CERTIFICATION REPORTS
FSC-STD-20-007A (V1-0) EN
FINAL VERSION**

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

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

INTRODUCTION

ISO/IEC Guide 65: 1995 (E) requires that a report on the outcome of the evaluation is brought to the client's notice by the certification body, identifying any non-conformities that have to be discharged in order to comply with all the certification requirements.

Reports on certified forest management enterprises are of particular importance. They are much more than a simple vehicle for presenting the certification decision, because:

- Many decisions in forest management and in the evaluation are guided by professional judgments, in the context of local, national and regional conditions. Such decisions require explanation and justification;
- In the event of a complaint, the certification report by the evaluation team will be vital evidence of:
 - a. the application of the certification system in practice;
 - b. the state of management;
 - c. the recommendations and conditions proposed by the evaluation team.

The following requirements aim to ensure that the certification body decision making entity has sufficient information on which to base its decisions with respect to conformity with FSC forest stewardship standards, and to help FSC ensure that there is consistency in decision making between different certification bodies.

1 General requirements

- 1.1 The certification body shall prepare a certification report for each forest management enterprise or group entity to which a certificate is issued in accordance to the requirements specified in this standard.

2 Language(s)

- 2.1 Forest certification reports may be written in any language at the convenience of clients and the requirements of the people involved in the certification body's decision making process.
- 2.2 FSC reserves the right to request a translation of any forest certification report into one of the official languages of FSC, at the expense of the certification body.

3 Units

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

4 Title page

- 4.1 The title page of the report shall clearly identify:
- a) The name and contact details of the certification body, including contact person and website address;
 - b) The date (format: day/ month/ year) the report was last updated;
 - c) The name and contact details of the certificate holder¹ and contact person;
 - d) The name and/or location of the certified forest area(s)²;
 - e) The FSC certificate registration code;
 - f) The date of issue of the certificate.

5 Contents

- 5.1 The evaluation report should start with a table of contents.
- 5.2 The order in which information is presented may be determined by the certification body, but the report shall contain at least the information specified in Box 1, below.
- 5.3 SLIMFs
The elements marked with an asterisk (*) in the table are NOT required in the case of certificates issued to single SLIMF FMUs but are required for all other certificates.
- 5.4 For all reports the length and detail of the report should reflect the scale and complexity of the forest area evaluated. In the case of reports on single SLIMF FMUs a very brief summary of the required information may be provided.

¹ In the case of group certification the certificate holder is the group entity

² In the case of group certification the region in which the group is located shall be specified.

Box 1

1 Description of forest management

1.1 Basic quantitative³ information about the certification⁴:

- a) Type of certificate (single FMU / multiple FMU / group)
- b) Is the certificate:
 - i) a *small* SLIMF certificate (i.e. a single FMU that meets the requirements of the FSC-STD-01-003 SLIMF eligibility criteria)?
 - ii) a *low intensity* SLIMF certificate (i.e. a single FMU that meets the requirements of the FSC-STD-01-003 SLIMF eligibility criteria)?
 - iii) a *group* SLIMF certificate (i.e. a group for which every group member individually meets the requirements of FSC-STD-01-003 SLIMF eligibility criteria)?
- c) Number of group members in the case of a group certificate
- d) Total number of FMUs in the scope of certificate
- e) Number of FMUs in the scope that are:
 - i) less than 100 ha in area,
 - ii) 100 - 1000 ha in area,
 - iii) 1000 - 10 000 ha in area),
 - iv) more than 10 000 ha in area.
- f) Geographical location of the non-SLIMFs FMU(s) in the scope of the certificate:
 - i) Latitude E/W ### degrees ## minutes
 - ii) Longitude N/S #### degrees ## minutes

NOTE: the coordinates should refer to the center of a FMU.
- g) Forest zone (boreal, temperate, subtropical, tropical)⁵
- h) Total forest area in scope of certificate which is included in FMUs that:
 - i) are less than 100 ha in area
 - ii) are between 100 ha and 1000 ha in area
 - iii) meet the eligibility criteria as *low intensity* SLIMF FMUs.

³ The certification body may provide a 'best available estimate' when exact quantitative information is not available.

⁴ FSC is developing a standardized template to facilitate submission of this information in a standard format and using standardized categories for inclusion in the FSC certificate database.

⁵ According to the Holdridge life zone classification scheme

- i) Total forest area in scope of certificate which is:
 - i) privately managed⁶, ii) state managed, iii) community managed⁷
- j) Number of forest workers (including contractors) working in forest within scope of certificate (differentiated by gender)
- k) Area of forest and non-forest land protected from commercial harvesting of timber and managed primarily for conservation objectives
- l) Area of forest protected from commercial harvesting of timber and managed primarily for the production of NTFPs or services
- m) Area of forest classified as 'high conservation value forest'
- n) List of high conservation values present⁸
- o) List of chemical pesticides used within the forest area, summarized quantitative data on their use and reason for use
- p) Total area of production forest (i.e. forest from which timber may be harvested)
- q) Area of production forest classified as 'plantation'
- r) Area of production forest regenerated primarily by replanting or by a combination of replanting and coppicing of the planted stems⁹
- s) Area of production forest regenerated primarily by natural regeneration, or by a combination of natural regeneration and coppicing of the naturally regenerated stems
- t) List of main commercial timber and non-timber species included in scope of certificate (botanical name and common trade name)
- u) The sustainable rate of harvest (usually the AAC where available) of commercial timber (cubic meters of round wood)
- v) Approximate annual commercial production of non-timber forest products included in the scope of the certificate, by product type.
- w) List of product categories included in scope of joint FM/COC certificate and therefore available for sale as FSC-certified products (include basic description of product - e.g. round wood, resin, non-timber forest products, etc.)

⁶ The category of 'private management' includes state owned forests that are leased to private companies for management, e.g. through a concession system.

⁷ A community managed forest management unit is one in which the management and use of the forest and tree resources is controlled by local communities.

⁸ High conservation values should be classified following the classification system given in the Glossary of the FSC Principles and Criteria (FSC-STD-01-001)

⁹ The area is the *total* area being regenerated primarily by planting, *not* the area which is replanted annually. NB this area may be different to the area defined as a 'plantation' for the purpose of calculating the Annual Accreditation Fee (AAF) or for other purposes.

- 1.2* A summary of the legislative, administrative and land use contexts in which the forest management enterprise operates, including the roles of responsible government agencies involved in aspects of forest management (e.g. harvest, monitoring, protection, health and safety, infrastructure, and other uses).
- 1.3 A description of the ownership and use of the lands and forest included in the scope of the certificate, including:
- 1.3.1 a summary of ownership and use-rights (both legal and customary) of parties other than the certificate holder;
 - 1.3.2 a summary of non-forestry activities being undertaken within the area evaluated, whether they are undertaken by the certificate holder or by some other party (e.g. mining, industrial operations, agriculture, hunting, commercial tourism, etc.).
- 1.4 A full disclosure and brief description of any area of forest over which the certificate holder has some responsibility, whether as owner (including share or partial ownership), manager, consultant or other responsibility) which the certificate holder has chosen to exclude from the scope of the certificate, together with an explanation of the reason for its exclusion and description of the controls that are in place to prevent confusion being generated as to which activities or products are certified, and which are not. Compliance with *FSC-POL-20-003 The excision of areas from the scope of certification* shall be documented.
- 1.5 A summary of the management plan, including a description of:
- 1.5.1 the management objectives;
 - 1.5.2 the forest resources (land use and ownership status, socio-economic conditions, forest composition, profile of adjacent lands);
 - 1.5.3 the management structures (e.g. management structure, division of responsibilities, use of contractors, provision of training, etc) implemented by the certificate holder;
 - 1.5.4 the silvicultural and/or other management systems being implemented (incl. harvesting techniques and equipment, rationale for species selection);
 - 1.5.5 the environmental safeguards;
 - 1.5.6 the management strategy for the identification and protection of rare, threatened and endangered species;
 - 1.5.7 the certificate holder's procedures for monitoring growth, yield and forest dynamics (incl. changes in flora and fauna), environmental and social impacts, and costs, productivity, and efficiency.
- 1.6 An estimate of the maximum sustainable yield for the main commercial species including:
- 1.6.1 explanation of the assumptions (e.g. silvicultural) on which estimates are based;

- 1.6.2 reference to the source of data (e.g. inventory data, permanent sample plots, yield tables) on which estimates are based;
- 1.7 A quantitative summary of current and projected annual harvest for each of the main commercial species.
- 1.8 A clear explanation of how the FMU meets the eligibility criteria as a SLIMF (FSC-STD-01-003 SLIMF eligibility criteria) if the certification body has implemented streamlined certification procedures applicable to SLIMFs.
- 2 Standard(s)**
- 2.1 Reference to the standards used (e.g. locally adapted certification body generic standard, FSC-approved national standard;) including the version number and date of finalisation;
- NOTE: The certification body shall specify the name and reference number of the draft standard in the case of formal FSC pilot tests of draft standards, and include the version of the draft standard against which a certificate was issued as an annex to the report.
- 2.2 A copy of the standard, or the address of the web-site where it is published shall be included with the report.
- 2.3* A description of the process of local adaptation of the standard, if applicable.
- 3 The evaluation process**
- 3.1 The evaluation dates: (specify actual dates or month, year and duration);
- 3.2 Personnel
- 3.2.1 Names and expertise of the auditor(s) involved in the evaluation.
- 3.3 A description of the evaluation including, if applicable, pre-evaluation visits. The description shall include:
- 3.3.1 General itinerary with dates;
- 3.3.2* Approach to evaluation of management systems (e.g. visits to head offices, regional offices, etc.), and main items and places audited;
- 3.3.3* List of FMUs selected for evaluation, and rationale for their selection;
- NOTE: in the case of multiple FMU evaluations the report shall include an analysis and description of the area in terms of discrete FMUs (see FSC-STD-20-007 Paragraph 5.1) and demonstration of conformity with the requirements of FSC-STD-20-007 Paragraph 5.3 (sampling system employed).
- 3.3.4* Main sites visited within each selected FMU;
- 3.3.5* Consultation with stakeholders including a list of institutions/individuals informed about the evaluation and a list of individuals who were interviewed by auditors or who contributed information in writing);

3.3.6* Additional techniques employed for evaluation (e.g. overflight of whole forest area);

3.4 A statement of the total person days spent on the evaluation including time spent on pre-evaluation or other preparatory work and time spent carrying out on-site work (incl. review of documents and records, interviewing stakeholders), but excluding travel to and from the region in which the certified forest is located.

4 **Observations**

4.1 Clear and systematic presentation of the observations and considerations on which the certification decision is based, at the level of the indicators defined in the applicable standard(s).

NOTE: observations presenting evidence of conformity or non-conformity at the level of indicators should be presented in the form of a standardised checklist, attached as an annex to or included in the report.

4.2 Observations shall be presented separately for each FMU evaluated in the case of group evaluations, unless *all* the FMUs within the scope of the certificate meet the eligibility criteria as SLIMFs (see *FSC-STD-01-003 SLIMF eligibility criteria*). Observations for different FMUs evaluated may be combined into a single presentation in such cases, so long as the information about which site a particular observation relates to is maintained.

4.3 Observations regarding conformity with a given indicator across different FMUs in the case of multiple FMU evaluations may be combined into a single presentation, so long as the information about which site a particular observation relates to is maintained.

4.4 Observations shall clearly indicate whether or not the observed level of performance is considered to comply with the requirement of the applicable standard(s).

4.5 Observations shall include information relevant to the client's conformity or non-conformity with the requirements of the applicable Forest Stewardship Standard gained as the result of stakeholder consultation.

4.6 Observations shall include those related to the impact, or potential impact, of non-forestry activities on the certificate holder's conformity with the requirements for the applicable Forest Stewardship Standard.

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

5 **Certification decision**

5.1* Clear and systematic presentation of the non-conformities identified during the evaluation, and justification for their classification as minor or major non-conformities.

5.2 Explicit identification and discussion of any issues that were hard to assess, for example because of contradictory evidence difficulty in interpreting the standard(s) in the field, and explanation of the conclusion reached.

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

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

5.4 An explicit statement to the effect that, in the opinion of the lead auditor:

5.4.1 the certificate holder's system of management, if implemented as described, is capable of ensuring that all of the requirements of the applicable standard(s) are met over the whole forest area covered by the scope of the evaluation;

5.4.2 the certificate holder has demonstrated, subject to correction of the identified non-conformities, that the described system of management is being implemented consistently over the whole forest area covered by the scope of the certificate.

6 Tracking, tracing and identification of certified products

6.1 The following elements shall be included in all reports for *joint* FM and COC certificates.

6.1.1 An evaluation of the risk of products from non-certified sources (including any areas specifically excluded from the scope of the certificate) being mixed with products from the forest area evaluated;

6.1.2 A description of the control (tracking and tracing) systems in place that address the risk identified in 6.1.1 above (If the evaluation does not include all the forest areas in which the client is involved, the report shall include an explicit statement explaining the special controls that are in place to ensure that there is no risk of confusion being generated as to which activities or products are certified, and which are not).

6.1.3 A description of the final point or forest gate (e.g. log yard or depot) at which the certification body certifies that a product is sourced from the certified forest area;

6.1.4 A description of the documentation or marking system that allows products from the certified forest area to be reliably identified as such at the point specified in 6.1.3 above.

NOTE: Please see *FSC-STD-20-007* Clause 1.5 for the evaluation of primary or secondary processing facilities associated with the forest management enterprise.

6 Additional content and structure for group forest management reports

Certification reports for group forest management certificates shall include the following elements in addition to the requirements specified in Section 4, above:

- 6.1 A clear description of the division of responsibilities between the group entity and the group members.
- 6.2 A clear demonstration that any responsibilities for implementation of the applicable standard(s) at the group entity level (e.g. management planning, inventory, monitoring) are complied with.
- 6.3 a clear description of the sampling system employed to select FMUs for evaluation, and its implementation.
- 6.4 a clear demonstration, for each of the non-SLIMF group members evaluated, that each non-SLIMF group member complied with all of the requirements of the FSC P&C, except those already complied with at the group level.

NOTE: in the case of groups of SLIMFs, and mixed groups that contain SLIMFs, for the SLIMF operations only, information may be presented in a general manner at the FSC Criterion level rather than for each member evaluated.

- 6.5 a clear description of the maximum annual or total increase of the group (in terms of members) that the group entity has specified in their management system according to *FSC-STD-30-005* Clause 5.2, before a re-evaluation of the group structure and systems shall be required.
- 6.6 a clear description of the surveillance schedule that will be implemented by the certification body.
- 6.7 A list of the members of the group including for each member:
 - a) name and contact details;
 - b) number of forest management units included in the scope of the certificate;
 - c) total area of forest included in the scope of the certificate;
 - d) geographical location (coordinates) of each FMU included in the scope of the certificate;
 - e) area of forest that is:
 - i) privately managed¹⁰, ii) state managed, iii) community managed¹¹
 - f) main products;
 - g) the sub-certificate code.

¹⁰ The category of 'private management' includes state owned forests that are leased to private companies for management, e.g. through a concession system.

¹¹ A community managed forest management unit is one in which the management and use of the forest and tree resources is controlled by local communities.

NOTE: It is recommended that group certification reports are structured in a way which reflects the sampling strategy used. One clear way is to structure the report so that one section demonstrates conformity with the basic group entity requirements, a second section demonstrates conformity with those elements that apply to all group members and which are implemented at the group entity level, and further sections demonstrate conformity with the requirements that are the responsibility of the individual group member for each group member selected for evaluation.

7 Surveillance

- 7.1 The results of all surveillance evaluations shall be documented in surveillance evaluation reports.
- 7.2 The front of the surveillance evaluation report shall clearly identify:
- a) The certification body;
 - b) The date (day, month & year) the report was finalized;
 - c) The name and contact details of the certificate holder¹²;
 - d) The name and location of the certified forest area(s)¹³;
 - e) The date of the surveillance evaluation.
- 7.3 The surveillance evaluation report shall include at least the information specified in Box 2, below:

Box 2

1 The surveillance evaluation process

- 1.1 Names and expertise of the auditor(s) involved in the evaluation;
- 1.2 A description of the evaluation including:
- 1.2.1 General itinerary with dates;
 - 1.2.2 Approach to evaluation of management systems (e.g. visits to head offices, regional offices, etc.), and main items and places audited;
 - 1.2.3 List of FMUs selected for evaluation, and rationale for their selection;
 - 1.2.4 Updated list of members of a group certificate;
 - 1.2.5 Main sites visited within each selected FMU;
 - 1.2.6 Consultation with stakeholders including a list of institutions/individuals informed about the evaluation and a list of individuals who were interviewed by auditors in the evaluation or who contributed information in writing);
 - 1.2.7 Additional techniques employed for evaluation (e.g. overflight of whole forest area);

¹² In the case of group certification the client is the entity contractually responsible to the certification body for maintaining conformity with the group requirements.

¹³ In the case of group certification the region in which the group is located shall be described.

1.3 A statement of the total person days spent on the surveillance evaluation including preparatory work and time spent carrying out on-site work (incl. review of documents and records, interviewing stakeholders), but excluding travel to and from the region in which the certified forest is located.

1.4 An update specifying any changes to the scope of the certificate, including any changes to the group membership in the case of group certificates. The update shall include:

a) Changes in the basic quantitative information as collected in accordance to 1.1 (Box 1);

b) List of chemical pesticides used within the forest area since the last audit, summarized quantitative data on their use (amount and area) and reason for use;

c) Number of accidents in forest work (serious / fatal) since the last audit.

2 Standards

2.1 A clear explanation of any changes to the Forest Stewardship Standard used in the previous evaluation. The certificate holder shall be assessed against any elements of the standard that have changed since the previous evaluation.

3 Observations

3.1 Systematic presentation of observations demonstrating conformity or non-conformity with each Criterion of the Forest Stewardship Standard used for the evaluation.

3.2 Observations demonstrating whether or not the certificate holder has corrected all previously identified non-conformities (conditions).

3.3 Summarized presentation of the findings on progress in implementing the conditions related to any approved pesticide derogation held by the certificate holder.

3.4 Observations relating to the review and resolution of any complaints raised by stakeholders with the certificate holder, or with the certification body, since the previous evaluation.

4 Surveillance decision

4.1 Explicit identification and discussion of any issues that were hard to assess, for example because of divergent stakeholder opinions, or difficulty in interpreting the standard in the field.

NOTE: In cases where one or more stakeholders have alleged a non-conformity but the auditors have concluded that a certificate should be maintained, the surveillance report shall explain why the auditors concluded there was no non-conformity, or why the alleged non-conformity was considered minor, *and/or* show how the allegation is explicitly linked to a new corrective action requirement;

4.2 Clear identification of any minor or major non-conformity identified as a result of surveillance.

4.3 Clear specification of any non-conformity identified as a result of surveillance, and/or non-conformities remaining to be closed out from previous evaluations.

4.4 A recommendation from the lead auditor:

- 4.4.1 whether or not the certificate holder is in continued conformity with the certification requirements;
- 4.4.2 whether or not the certificate should be maintained or any corrective or disciplinary measures be taken.