Procedure

THE DEVELOPMENT AND REVISION OF FSC® REQUIREMENTS

FSC-PRO-01-001 V4-0 EN D2-0

29/04/2022

FSC

FORESTS FOR ALL FOREVER™

Title:	The Development and Revision of FSC® Requirements	
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V1-0	Initial version	November 2004
V1-1	Minor changes; new Clause 16.2.	February 2005
V1-2	Minor changes.	March 2006
V2-0	Minor changes to address inconsistencies related to the *ISEAL Code of Good Practice for Setting Social and Environmental Standards*.	March 2007
V3-0	Implements General Assembly Motions and is aligned with Version 5 of the *ISEAL Code of Good Practice for Setting Social and Environmental Standards*.	March 2013
V3-1	Includes deviations from this procedure in cases of small changes or in cases of alignments of normative documents (new Annex 4).	March 2015

CONTENTS

OBJECTIVE

The objective of this procedure is to define the process to develop, review, revise and withdraw international FSC requirements, based on streamlining principles, and to promote agility of the FSC system while balancing needs for stability and predictability. The procedure aims to ensure compliance with the ISEAL Code of Good Practice for Setting Social and Environmental Standards.

SCOPE

This document applies to FSC requirements, with the exception of the following requirements regulated by separate documents:
- Forest Stewardship Standards,
- Forest Stewardship Risk Assessments
- Controlled Wood Risk Assessments
- Documents of the FSC quality management system and information technology.

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

PART I: GENERAL

1   Definition of process types

> **Informative guidance**
>
> There are three process types for the revision and development of requirements: "major," "regular," and "accelerated." Each process type has different steps to be followed, see Table 1.
>
> The allocation of requirements to process types is based on the following factors:
>
> •   the type of requirements (e.g. policy principles, standard or procedure requirements);
>
> •   political nature of the requirements;
>
> •   urgency of the revision/ development process.
>
> Withdrawals of sets of requirements follow a separate process (see section 13).
>
> Table 1 below presents the process types in chronological order. The following sections of this document refer to this table.

1.1   The development or revision of the FSC requirements shall be assigned to one of the below process types and in accordance with section 2:

   a)   **Major**: generally applies to the development and revision of FSC policies.

   b)   **Regular**: generally applies to the revision of existing standards and procedures, and to the development of requirements based on existing policies or concepts approved in FSC General Assemblies. It also applies to processes that require revision of FSC requirements to align with international regulations.

   c)   **Accelerated**: applies to urgent processes to preserve the integrity and credibility of the FSC system. It also applies to administrative revisions, like correction of typographical mistakes, changes of contact details, or changes that are necessary for information management and information security.

   NOTE 1: FSC policies are not developed or revised according to the accelerated process type.
   NOTE 2: Annex 2 "FSC normative framework" defines the type of FSC requirements, such as policies, standards, procedures.

1.2   During a development or revision process, the designated decision-making body may decide upon proposals to add or modify steps that have been set out in this procedure. Any changes shall be justified and documented.

PHASE	KEY STEP / ASPECT	MAJOR	REGULAR	ACCELERATED
		BODIES AND/OR KEY ASPECTS		
1 **Review / New requirements**	Developing new requirements *or*	FSC staff	FSC staff	Not applicable
	Preparing a Review Report	FSC staff		
	Decision on Normative Framework Schedule	Director General		
2 **Conceptual**	Establishing the Consultative Forum	Not applicable	Applicable	Not applicable
	Consultation in the conceptual phase	Public	Focused	Not applicable
	Developing the process terms of reference (ToR)	Process lead	Process lead	Not applicable
	Deciding on the ToR	Board of Directors	Director General	Not applicable
	Deciding on working group composition	Director General		
	Working group composition	Sub-chamber balanced	Experts	FSC staff and/or experts
3 **Drafting**	Establishing the working group	Process lead		
	Drafting	Process lead		
	Testing	Desk, field, or pilot testing		
	Consultation in the drafting phase	Public	Public or focused	Focused
4 **Final decision**	Final decision	Board of Directors	Policy and Standards Committee	Director General

Table 1: Process types used in a revision/ development process.

2   Normative Framework Schedule

> **Informative guidance**
>
> All ongoing and planned revision and development processes in the two upcoming years are listed in a 'Normative Framework Schedule' (NF schedule).
>
> The NF schedule is updated annually and published on the FSC website to allow stakeholders to be informed about planned processes and upcoming consultations.

2.1   The FSC Director Policy Operations shall annually submit a draft NF schedule to the Director General.

      NOTE 1: Whenever the Director General is mentioned in this procedure, this also refers to a designee(s) of the Director General.

      NOTE 2: Whenever the FSC Policy Director Operations is mentioned in this procedure, this also refers to a designee(s) of the FSC Policy Director Operations.

2.2   The draft NF schedule shall include the allocation of process types to the planned development and revision processes and shall be aligned with the FSC Global Strategy and priorities derived from it.

2.3   The draft NF schedule shall be presented annually to the FSC Board of Directors for information and guidance.

2.4   The FSC Board of Directors may propose to allocate planned development and revision processes to a different process type, based on a justification.

2.5   The Director General shall evaluate the NF schedule and shall either:

      a)   approve; *or*

      b)   request changes prior to re-submission. The requested changes shall be aligned with the FSC Global Strategy and justified.

2.6   FSC shall publish the NF schedule on the FSC website. It shall include:

      a)   the process type per each process;

      b)   the start time of the process;

      c)   the estimated length of the process;

      d)   any other information deemed relevant.

PART II: REVIEW, REVISION OR DEVELOPMENT OF REQUIREMENTS

3   Developing new requirements

3.1   The process to develop a set of new requirements such as a policy, standard, or procedure, shall be initiated based on:

      a)   the FSC Board of Directors approved FSC Global Strategy;

      b)   General Assembly motions;

      c)   operational needs (e.g. to collect data requirements).

NOTE: New requirements generally refer to requirements such as new standards, policies or procedures, and not to Advice Notes or additions to the existing set of requirements.

3.2 The designated FSC staff shall conduct an initial analysis of a development process and document it in a New Requirements Report, which includes:

a) a description of the need for normative regulation, including an assessment of how the proposed set of requirements will meet that need;

b) a specification of clear aims and objectives of the new requirements;

c) the process type;

d) reference to how the proposed set of requirements relate to other FSC requirements and an analysis of the likely effect it will have on them;

e) an assessment of risks in implementing the requirements and how to mitigate these, including identification of factors that could have a negative impact on the ability of the requirements to achieve their objectives; unintended consequences that could arise from their implementation; and possible mitigation measures that could be taken to address these potential risks;

f) the results of a stakeholder mapping to identify all stakeholders that will be affected by the new requirements and the potential effects upon them;

g) a recommendation on whether the set of requirements should specify key intended outcomes;

NOTE: FSC is responsible for defining key intended outcomes in collaboration with experts as needed and develops the methodology to measure them. Stakeholders are invited to provide comments during the consultation in the conceptual phase.

h) specification whether testing is recommended and which type of testing to be applied;

i) an estimated budget for the development process;

j) the required resources including funding and skills for the proposed development process.

NOTE: The New Requirements Report are considered in the development of the NF schedule (section 2).

4   Monitoring and review

Informative guidance

The implementation of requirements is monitored to ensure that they remain relevant over time and effective in meeting their stated objectives and thereby inform revision processes.

Review processes determine whether or not a set of requirements need to be revised. The resulting Review Reports are used as background material in the preparation and decision making on the NF schedule.

4.1 FSC shall monitor the implementation of requirements contributing to achieving key intended outcomes.

4.2 FSC shall also monitor the effects of the implementation of other requirements based on available resources and data such as performance data, interpretation requests, change requests, calibration activities, available scientific publications and impact evaluations.

4.3 Change requests may be submitted at any time by any stakeholder.

NOTE: Change requests are complementary to the results of FSC monitoring and evaluation in informing revision processes.

4.4 Designated FSC staff shall conduct review process as a result of:

    a) a duly approved motion of the FSC General Assembly; or

    b) monitoring activities (as specified in clauses 4.1 and 4.2);

4.5 Reviews shall be documented in a Review Report, which includes:

    a) a summary of monitoring results;

    b) a summary of related motions approved at FSC General Assemblies and/ or the FSC Global Strategy;

    c) an analysis of received change requests;

    d) an analysis of new or changed legislation and international regulations or best practices;

    e) an analysis of emerging technologies or scientific knowledge;

    f) a summary of the key topics stakeholders have requested to be addressed through change requests;

    g) a recommendation on whether the set of requirements should specify key intended outcomes;

    NOTE: FSC is responsible for defining key intended outcomes in collaboration with experts as needed and develops the methodology to measure them. Stakeholders are invited to provide comments during the consultation in the conceptual phase.

    h) a recommendation on whether the revised requirements should be tested and which type of testing to be applied;

    i) the process type to be followed in the revision process, specifying key steps, and decision-making bodies;

    j) when necessary, the related requirements that should also be jointly revised, incorporated or may need to be aligned.

    k) a recommendation on whether the set of requirements should be revised or not.

5 Initiating the conceptual phase

Informative guidance

This phase enables FSC members and other stakeholders to contribute to the development of key concepts and formulation of key intended outcomes of requirements at the start of the process and before working groups are established. The consultation in the conceptual phase is the main opportunity for stakeholders to participate in revision and development processes.

This step in the standard setting process aims to concentrate the efforts and attention of FSC members and stakeholders on shaping the revision and development processes, allowing FSC and working groups to then focus on developing the technical details afterwards.

5.1 The FSC Director Policy Operations shall assign a process lead to manage a revision or development process.

5.2 The process lead shall prepare consultation material, including but not limited to:

a) content material;

NOTE: Consultation material differs between processes, including e.g. webinars, presentations, interviews, references to webpages, videos, the Review Report, the New Requirements Report, research papers.

b) process type to be followed, key steps and decision-making bodies (as presented in Table 1, section 1);

c) intended outcomes of requirements (as necessary depending on the process).

6 Consultations

Informative guidance

FSC conducts public or focused consultations to receive stakeholder input at various steps in a revision or development process. The type of consultation depends on the process and phase.

Public consultations are open to all stakeholders and are announced on the FSC website. They are mainly used to develop FSC policies.

Focused consultations are also open to all stakeholders. FSC publicly invites stakeholders to join the Consultative Forum and may also actively approach stakeholders to provide their input to specific revision or development processes. The consultation material is only shared with those stakeholders that signed up to the Consultative Forum.

6.1 FSC shall conduct either public or focused consultations, depending on the process type and process phase (as presented in Table 1, section 1).

6.2 In public consultations, the content material and/ or draft requirements shall be consulted in English and Spanish.

6.3 In focused consultations the content material and/ or draft requirements may only be consulted in English.

6.4 For focused consultations the process lead shall set up and maintain a Consultative Forum before the first consultation by:

a) directly inviting identified stakeholders to provide expert input;

b) publicly inviting stakeholders to participate via different communication channels, e.g. FSC newsletters, FSC Email Fora and the FSC website (www.fsc.org);

NOTE: Participation is open to any stakeholder upon request.

c) keeping a list of all Consultative Forum members, identifying the stakeholder group to which they belong.

6.5 The process lead should inform FSC Network Partners and FSC staff about the start date of a consultation two (2) weeks in advance and should share consultation material in this period upon request to allow preparatory work such as translations.

6.6 The process lead shall publish and announce the consultation.

6.7 The duration periods of consultations shall be as follows:

a) **public consultation**: shall consist of at least sixty (60) days. In exceptional circumstances, including, but not limited to, urgent issues of health and safety, legislation, or for the second or subsequent rounds of consultation, the consultation period can be reduced to no less than thirty (30) days by decision of the Director General. The reasons for any such reduction shall

be communicated with the launch of the consultation.

b) **focused consultation**: shall consist of at least thirty (30) days. In exceptional circumstances (described in a) above), the consultation period can be reduced to no less than fifteen (15) days by decision of the Director General. The reasons for any such reduction shall be communicated with the launch of the consultation.

6.8 The final number of rounds of consultation shall be defined by the Director General based on input from the process lead, considering the number and substance of comments received, as well as in the case of major processes the ability to reach consensus.

6.9 Comments shall be submitted:

a) in English or Spanish;

b) to the designated address or channel specified by FSC in the consultation announcement;

NOTE: Comments can be provided through other means (e.g. email, mail) when a justification is provided.

c) within the consultation period;

d) with the required information about the commenter specified in the consultation announcement or material, e.g. name, country, type of organisation.

NOTE: Comments received will be addressed in compliance with data protection requirements.

6.10 Comments not meeting these criteria may be addressed based on FSC staff capacity.

6.11 Following the analysis of comments the process lead shall prepare a Consultation Report, including:

a) a list of the issues raised (in relation to requirements);

b) a general response to the comments and an indication as to how the issues raised were addressed;

c) a list of main stakeholder groups who have submitted comments;

NOTE: FSC maintains anonymity by default but may refer to the stakeholder group.

6.12 In the conceptual phase the Consultation Report shall be made publicly available with the publication of the process terms of reference.

6.13 For other consultations the Consultation Report shall be made publicly available with the next consultation. Following the final round of consultation, the Consultation Report shall be made publicly available with the publication of the revised or new requirements.

7 Process terms of reference

Informative guidance

The terms of reference of the process guides the revision or development of requirements and is informed by the material developed in the conceptual phase and stakeholder input.

7.1 The process lead shall submit the terms of reference to the designated decision-making body (as presented in Table 1, section 1). The terms of reference shall include:

a) key objectives of the process;

b) intended outcomes from the implementation of the requirements (as necessary depending on the process);

c) the process type and process steps, including decision-making bodies and testing (as

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presented in section 1), as well as any proposed deviation;

d) the tasks and responsibilities of the working group members and FSC staff;

e) other ongoing FSC processes and projects to align with.

7.2 The designated decision-making body shall either:

a) approve the terms of reference; *or*

b) approve the terms of reference with changes *or*

a) reject and request further changes on the terms of reference. The requested changes shall be aligned with the FSC Global Strategy and justified.

7.3 The process lead shall publish the approved terms of reference on the FSC website, excluding confidential information and personal data.

8 Establishing the working group

> **Informative guidance**
>
> The working group consists of individuals with relevant knowledge or professional experience in the field of question that provide input to the process during the drafting phase (as presented in the terms and definitions).
>
> Different working group compositions are used, depending on the process type.

8.1 Upon approval of the terms of reference, the process lead shall establish the working group.

NOTE: The composition of working groups is presented in Table 1, section 1.

8.2 The working group shall:

a) provide inputs on the contents of the requirements;

NOTE: The process lead is responsible for drafting the requirements.

b) proactively seek advice on requirements from their constituency, experts and stakeholders such as members of the Consultative Forum, FSC members, the FSC Network, FSC staff, FSC certificate holders, FSC certification bodies, other stakeholders and/or relevant experts;

c) review results of consultations;

d) adhere to the process terms of reference, including timelines, and the collaboration rules;

e) recommend, object or abstain that the final draft be submitted for consultation or for its approval.

NOTE: The terms of reference may include additional process-specific responsibilities of the working group.

8.3 The process lead shall manage the working group by:

a) establishing and executing the working group work plan;

b) drafting the requirements;

c) designing the structure and scope of the meetings;

d) organizing and leading working group meetings;

e) providing the working group with relevant materials;

f) representing FSC International, e.g., by providing inputs to the working group discussions, ensuring alignment with other ongoing processes within FSC;

g) monitoring adherence of the working group to the terms of reference;

h) reporting on working group performance and quality of deliverables to FSC management and the Board of Directors.

NOTE: The terms of reference may include additional, process-specific responsibilities of the process lead.

8.4 The working language shall be English.

8.5 The process lead shall use the following predefined criteria for the selection of working group members and adapt it to the specific needs of the process:

a) **Technical skills**: knowledge of Forest Management certification, Chain of Custody certification, general FSC system, other certification system or expert knowledge, etc.

b) **Soft skills**: working together in teams, clarity of expression, culturally appropriate behaviour.

c) **Contribution**: looking for solutions, delivering a number of quality deliverables, providing inputs on time and in the requested format.

d) **Engagement**: engaging constituency, actively participating, demonstrating judgement on conduct.

8.6 The process lead shall consider past performance of applicants in the evaluation of candidates.

8.7 The Director General shall decide on the members of the working group and on the allocation of stipends.

8.8 Observers can be invited by the process lead to attend working group sessions but may only contribute to the discussions when agreed by the majority of working group members and cannot make decisions.

9 Drafting and testing

9.1 The process lead shall draft requirements in line with the terms of reference including:

a) conclusions reached by the working group;

b) results of the testing;

c) results of the consultation;

d) achieving key intended outcomes (as necessary depending on the process);

e) other ongoing processes delivering on the FSC Global Strategy;

f) according to international regulations such as ISO/IEC Directives[1] and FSC internal quality management requirements;

g) feasibility of digitization;

NOTE: The drafting is an iterative process managed according to the FSC quality management system. The requirements above apply to all produced drafts. The draft presented for decision making is referred to as "final draft."

9.2 The process lead shall initiate the consultation on the draft requirements (as presented in section 6), when it meets the terms of reference, including having received approval for consultation by

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[1] ISO/IEC Directives, Part 2 Principles and rules for the structure and drafting of ISO and IEC documents. https://www.iso.org/sites/directives/current/part2/index.xhtml

consensus from the working group.

9.3 When the working group cannot reach consensus on whether the draft is ready to be submitted for consultation and does not respect the timelines or the terms of reference, the Director General shall take a decision on how to move forward with the process (e.g. changing the composition of the working group, releasing the draft without consensus agreement by the working group).

9.4 The process lead shall develop a plan for the implementation of the revised/ developed set of requirements.

NOTE: The implementation plan defines the activities needed to introduce a set of revised or new FSC requirements to stakeholders after publication, with the aim to increase clarity and understandability of the approved requirements.

9.5 The consultation material shall include, but is not limited to:

a) the draft requirements;

b) other material that may be added to the consultation with supporting information (e.g. the implementation plan);

c) the viability assessment (if available);

d) the tentative publication, effective and transition end date and any justifications for deviations.

9.6 The process lead shall manage the testing of requirements, in accordance with Annex 3.

10 Creating the final draft and decision making

10.1 The process lead shall prepare the final draft requirements based on the analysis of stakeholder input and conclusions reached with the working group.

10.2 The process lead shall request the Director General to approve that the final draft is ready for submission to the designated decision-making body (as presented in Table 1, section 1), when it:

a) meets the terms of reference;

b) has undergone sufficient consultation and testing;

c) is of sufficient quality (content-wise and editorially),

d) has been recommended for approval by the working group.

10.3 When the working group cannot reach consensus on whether the draft is ready to be submitted for final decision-making and does not respect the timelines or the terms of reference, the Director General shall take a decision on how to move forward with the process.

10.4 The process lead shall submit the following to the Director General to obtain a recommendation before final decision making:

a) terms of reference;

b) viability assessment;

c) process evaluation form;

NOTE: The form provides a brief overview of key insights on the process to inform decision-making.

d) final draft;

e) a list of the names and affiliations of the members of the working group;

f) the Consultation Reports following data protection requirements;

g) the implementation plan (including the transition end date).

10.5 Following the recommendation by the Director General, the process lead shall submit the final draft and documents presented in clause 10.4 to the decision-making body.

10.6   The decision-making body shall either:

   a)   approve the requirements; *or*

   b)   reject and request further changes on the requirements prior to re- submission.

10.7   If the decision-making body requests further changes, it shall state the reasons for the decision and may suggest what steps it considers necessary. The requested changes shall be aligned with the terms of reference.

10.8   Decisions on the final draft shall be documented.

PART III: MAINTENANCE OF REQUIREMENTS

11   Publication and implementation of requirements

Informative guidance

The period between the publication date and the effective date is for the parties to adjust their systems, inform their clients and train their staff.

During the period between the effective date and the transition end date there is a parallel phase-in of the new set of requirements and phase-out of the old set of requirements (if applicable), but both sets are valid for an overlapping period of time.

From the transition end date on, all certificate holders shall have transitioned to the revised set of requirements and the previous version will be replaced. All certificates issued against the previous version will automatically expire and be considered invalid at the transition end date (i.e. eighteen (18) months after the effective date).
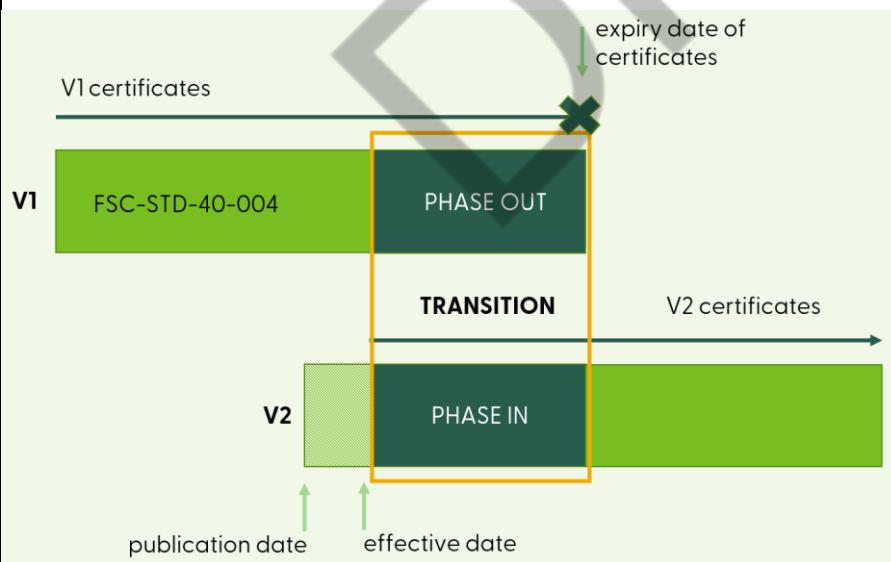

Fig. 1: Transition between two versions of sets of requirements.
(Example: FSC-STD-40-004)

11.1   The process lead shall implement the activities of the implementation plan.

11.2   The process lead shall publish the approved requirements on the FSC Document Centre, and communicate them using designated FSC publication means, e.g. FSC newsletters, FSC Email

Fora and the FSC website.

11.3 Approved sets of requirements shall be published, as default:

a) A minimum of three (3) months prior to the effective date for accelerated process types.

b) A minimum of six (6) months prior to the effective date for regular and major process types.

11.4 Revised sets of requirements should be published in time to become effective on January 1st or July 1st. Significant departures from this schedule shall be justified and approved by the designated decision-making body.

11.5 The transition end date of revised requirements for a regular or major process should be eighteen (18) months following the effective date, unless otherwise decided by the designated decision-making body.

11.6 From the transition end date on:

a) all certificate holders shall have been evaluated against the revised requirements;

b) all major nonconformities that were identified against the former version of the set of requirements shall have been corrected;

c) all new applicants for certification shall be evaluated against the revised version of the set of requirements.

12 Alignments between requirements

> **Informative guidance**
>
> An alignment process allows for updating of associated requirements based on previously approved changes from a revision or development process (e.g. an approved change in the Chain of Custody Standard FSC-STD-40-004 requires alignment of other chain of custody requirements).

12.1 The decision to conduct an alignment process shall be taken by the FSC Director Policy Operations.

12.2 The FSC Director Policy Operations shall appoint one or more staff members to draft the requirements that require alignment.

12.3 The appointed FSC staff shall submit the aligned requirements for a focused consultation that shall last no less than ten (10) working days.

12.4 The focused consultation shall include, but is not limited to, the Director General and the Policy and Standards Committee.

12.5 The appointed FSC staff shall consider the inputs received in the consultation to complete the alignment of the identified requirements.

12.6 The appointed FSC staff shall submit the aligned requirements to the FSC Director Policy Operations.

12.7 The FSC Director Policy Operations shall either:

a) approve the final draft of the aligned requirement(s); *or*

b) reject and request further changes prior to re-submission*.*

13 Withdrawal process

13.1 The FSC Director Policy Operations shall initiate a withdrawal process based on:

a) FSC Board of Directors approved FSC Global Strategy;

b) General Assembly motions;

c) a documented analysis confirming that the withdrawal contributes to the streamlining of FSC requirements while maintaining the operability and integrity of the system.

NOTE: A withdrawal includes the removal of sets of requirements (e.g. a policy, standard or procedure).

13.2 The FSC Director Policy Operations shall appoint one or more staff members to make a proposal to withdraw a set of FSC requirements.

13.3 The appointed FSC staff shall submit the proposal to withdraw a set of FSC requirements for a focused consultation that shall last no less than ten (10) working days.

13.4 The focused consultation shall at minimum include FSC staff, FSC Network Partners, the body who approved the requirements (if still existing), FSC accredited certification bodies, Assurance Services International (ASI), and national accreditation bodies (where applicable).

13.5 The final proposal for withdrawal and the Consultation Report shall be submitted to the Director General for decision making.

13.6 The Director General shall either:

a) approve the proposal; *or*

b) request further changes on the proposal prior to re-submission; *or*

c) reject the proposal.

13.7 In the case of an approved withdrawal, FSC staff shall update the FSC Document Centre accordingly and shall communicate the withdrawal using designated FSC publication means, e.g. FSC newsletters, FSC Email Fora and the FSC website.

14 Interpretations

14.1 Interpretations of requirements may be issued to ensure clarity, consistency and adequacy in the implementation of the requirements.

14.2 The FSC Performance and Standards Unit shall be the only body authorized to issue interpretations to FSC requirements.

14.3 The FSC Performance and Standards Unit should issue interpretations in line with the FSC-PRO-10-201 FSC Enquiry Procedure.

14.4 Interpretations shall not contain additions, deletions or changes to requirements.

14.5 All interpretations shall be recorded and published on the FSC website.

15 Record keeping

15.1 All records related to the development and revision of requirements shall be filed for the whole period of validity of the specific set of requirements, or for a minimum period of ten (10) years, whichever is longer.

15.2 The set of records shall follow data protection requirements and include:

a) names and affiliations of members of the working group, Consultative Forum, and of other stakeholders that were consulted during the development or revision process;

b) copies of drafts circulated for consultations;

c) copies of all comments received during consultation;

d) the Consultation Reports;

e) the decisions taken during the process.

16 Complaints and appeals

16.1 Complaints and appeals shall be addressed in line with the FSC Dispute Resolution System.

TERMS AND DEFINITIONS

For the purposes of this document, the terms and definitions included in FSC-STD-01-002 FSC Glossary of Terms, and the following apply:

Administrative Revision: non-substantive revision to correct typographical, grammatical and administrative mistakes.

Chamber and sub-chamber: refers to the groupings and subgroupings the FSC membership is divided into. Membership in FSC is grouped in three chambers: environmental, social and economic. Each chamber is further divided into northern and southern sub-chambers.

Change request: a documented and justified request from any stakeholder for adding, deleting or changing a valid and approved FSC requirement.

Consensus: general agreement, characterized by the absence of sustained opposition to substantial issues by any important part of the concerned interests (particularly by those directly affected) and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments. Consensus need not imply unanimity (ISO/IEC)[2].

Consultation types:

> **Public Consultation**: open to all stakeholders, e.g. FSC members, FSC International, FSC Network Partners, FSC accredited certification bodies, FSC certificate holders, other interested stakeholders.
>
> **Focused Consultation**: open to all stakeholders who are interested in participating in a revision or development process.

Consultative Forum: is a group of stakeholders who choose to be more closely involved in developing or revising FSC requirements or are nominated by FSC to provide their input.

Decision-making body: the body that takes decisions during the development/review/revision/ withdrawal of FSC requirements.

Dates and time-frames associated with the implementation of a set of FSC requirements (in order of events):

> **Approval date:** the date the set of FSC requirements is approved by the decision-making body.
>
> **Publication date:** the date the approved set of FSC requirements is published on the FSC website (three (3) to six (6) months prior to the effective date depending on the process type).
>
> **Effective date:** the date the published set of FSC requirements becomes applicable for use.
>
> **Transition end date:** the date after the effective date until the new version of a set of FSC requirements is phased-in and in parallel the old version is phased-out (where it exists). To allow for gradual introduction, both versions are valid for an overlapping period of time. From the transition end date on, certificates issued against the old version are considered invalid.
>
> **Period of validity:** period of time that a set of FSC requirements is valid that lasts from the effective date until it is withdrawn or replaced by a new version.
>
> NOTE: Each normative document includes a section on defined dates.

FSC normative framework: comprises all the requirements to ensure the development, functioning, maintenance and integrity of the FSC certification and accreditation system (see categories of the FSC normative framework and key types of sets of requirements in Annex 2).

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[2] ISO/IEC Directives, Part 1 Procedures for the technical work. Consolidated ISO Supplement – Procedures specific to ISO. https://www.iso.org/sites/directives/current/consolidated/index.xhtml#_idTextAnchor167

FSC quality management system: comprises FSC standard operating procedures which assist FSC in managing the normative framework and are solely managed by FSC International.

Guidance: technical information outlining some means of conformity with a set of FSC requirements. Guidance in the FSC system is considered to be informative only.

Performance and Standards Unit (PSU): a unit of FSC International primarily responsible for managing the FSC normative framework in accordance with relevant procedures. PSU leads in the technical writing of normative and procedural documents and manages the processes to produce them.

Policy and Standards Committee: a sub-chamber balanced committee consisting of FSC Members appointed by the FSC Board of Directors to streamline, facilitate and accelerate decision-making processes in relation to the development of new and revision of existing FSC policies, standards, procedures and other normative FSC documents.

Process lead(s): person(s) assigned by FSC to lead the revision or development process of FSC requirements.

Review: activity of analysing a set of FSC requirements to determine whether it is to be reaffirmed, revised or withdrawn.

Revision: introduction of changes to a set of FSC requirements.

Testing: an activity conducted to learn about the likely outputs of the implementation of the requirements or concepts under development. Different types of tests exist:

> **Desk test**: theoretical implementation exercise, without actual implementation.

> **Field test**: implementation in the field of all or part of the set of requirements or key concepts.

> **Pilot test**: implementation of the whole standard which may result in temporary use of FSC trademarks in the labelling and promotion of FSC-certified products.

Viability assessment: assesses the feasibility of the implementation and the likely effects that proposed changes to a set of FSC requirements will have on different stakeholders.

Withdrawal: applies when a distinct set of requirements is removed from the FSC normative framework. The requirements then cease to exist. For example, Standard A has been found to be outdated. It will not be merged with other requirements or replaced by an updated version. Standard A will be withdrawn and removed from the FSC normative framework.

Working group: consists of individuals with relevant knowledge or professional experience in the field of question, appointed to develop or revise a set of FSC requirements. The different compositions are as follows:

a) **For major processes (sub-chamber balanced working group): FSC members with professional experience in the field of question**, equally representing the perspectives of the social, environmental and economic chamber of the FSC membership and southern and northern perspectives.

b) **For regular or accelerated processes: Experts** with relevant knowledge or professional experience in the field of question.

c) **For accelerated processes: FSC staff and experts** (as needed).

> NOTE 1: Members of the FSC Board of Directors and members of the Policy and Standards Committee are not eligible to participate as members of working groups.

> NOTE 2: Members of the FSC Board of Directors, members of the Policy and Standards Committee, FSC staff and FSC Network Partners staff, ASI staff and FSC accredited certification bodies may attend the meetings of the working group as observers, if approved by the process lead.

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 'should requirement' can be met 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.

ANNEX 1: SIMPLIFIED PROCESS FLOW OF A REGULAR PROCESS TYPE

Figure 1 shows a simplified and linear representation of the process to review and revise requirements following the "regular" process type.
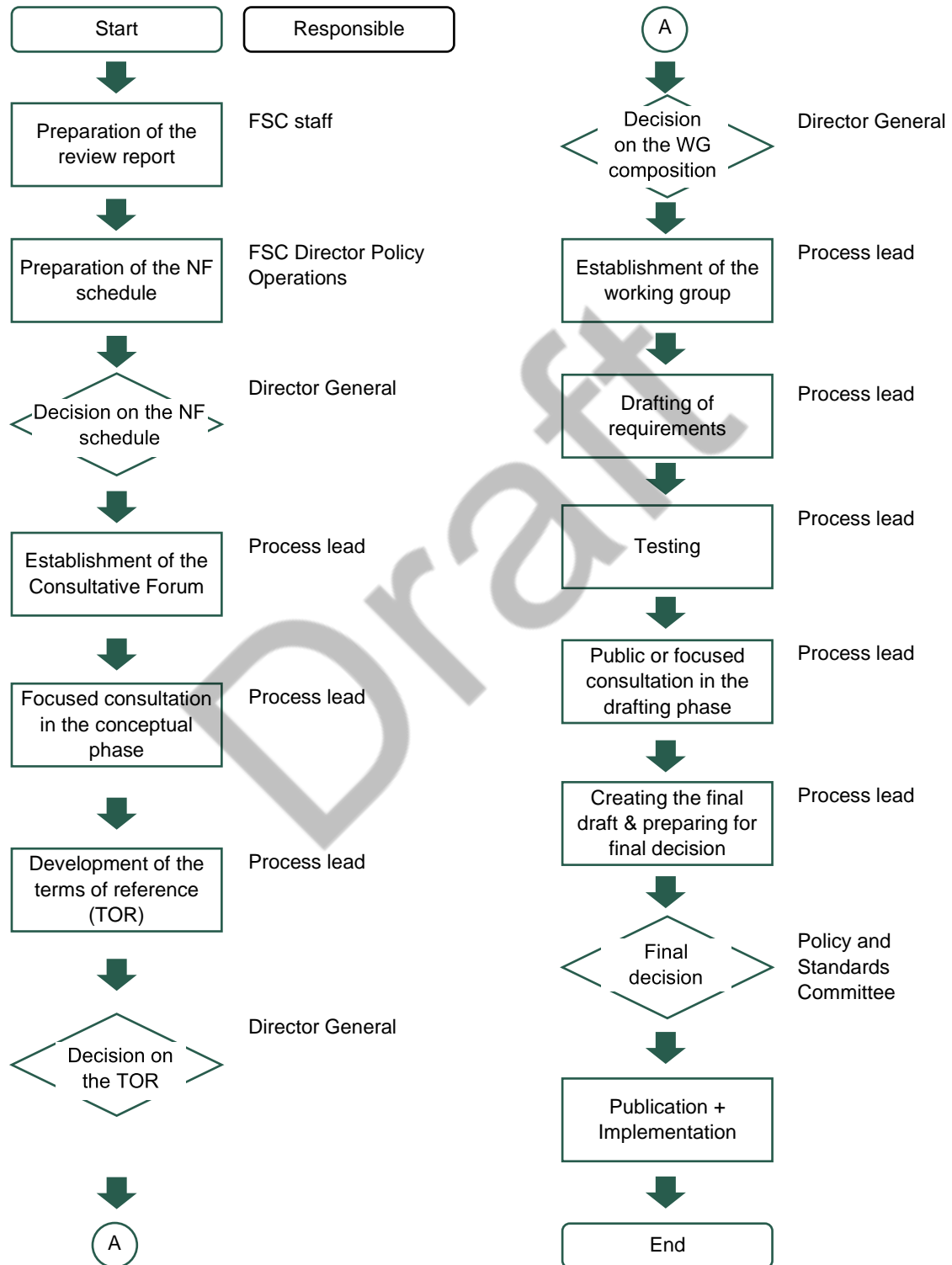
Figure 1: Simplified process flow of a regular process type

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ANNEX 2: FSC NORMATIVE FRAMEWORK

The categories of the FSC normative framework are:

1. **Policies:** fundamental requirements and value statements which provide direction to what the certification and accreditation requirements or other requirements need to address.

2. **Certification and accreditation requirements:** all requirements which are formally audited or assessed to assign or maintain the status of an FSC certificate holder or certification body.

3. **Supporting requirements**: All other binding provisions for certain users which are checked for conformity by another governing entity (in areas such as dispute resolution, standard setting, pilot testing, trademark use, etc.).

Key types of normative documents are:

1. **Policy**: fundamental requirements and value statements which provide direction to what the certification and accreditation requirements or other requirements need to address.

2. **Standard**: a document that provides, for common and repeated use, rules or characteristics for products, services or related activities, processes and methods, aimed at the achievement of the optimum degree of outcomes in a given context (adapted from ISO/IEC Guide 2:2004).

3. **Procedure**: a set of requirements that regulate process(es) to implement other sets of requirements. Procedures aim at maximizing positive effects of the FSC system.

4. **Advice Note**: amendment of selected requirement(s) that is issued in a separate document.

5. **Directives**: compilations of Advice Notes.

6. **Interpretation**: a formal normative clarification provided by the FSC Performance and Standards Unit to a requirement(s).

   NOTE: How to process interpretations is defined in the PSU-PRO-10-201 PSU Enquiry Procedure.

Table 2 shows examples of normative documents per each of the categories of the FSC normative framework.

Categories	Examples
Policies	1. FSC-POL-01-004 Policy for the Association of Organizations with FSC 2. FSC-POL-30-001 FSC Pesticides Policy 3. FSC-STD-01-001 FSC Principles and Criteria for Forest Stewardship Standard
Certification and accreditation requirements	1. FSC-STD-20-001 General requirements for FSC accredited certification bodies. 2. FSC-STD-40-004 Chain of Custody Certification 3. FSC-STD-50-001 Requirements for use of the FSC trademarks by certificate holders 4. Advice Notes 5. Interpretations 6. National Forest Stewardship Standards, and Interim National Standards 7. FSC-STD-60-004 International Generic Indicators (IGI*)
Supporting requirements	1. PRO-01-001 Development and Revision of FSC Requirements 2. FSC-STD-60-006 Structure and Content of National Forest Stewardship Standards and other requirements and procedures

Categories	Examples
	regulating the development and maintenance of Forest Stewardship Standards and Controlled Wood Risk Assessments.
	3. FSC-PRO-01-005 Processing appeals, FSC-PRO-01-008 Processing Complaints in the FSC Certification Scheme, FSC-PRO-01-009 Processing FSC Policy for Association Complaints.
	4. Interpretations
	5. FSC Trademark Use Guide for Promotional Licence Holders
	6. FSC-POL-20-005 Annual Administration Fee

Table 2 Examples of normative documents per categories of the FSC normative framework.

* Although the IGIs are not audited directly, they are adapted in National Forest Stewardship Standards, and Interim National Standards.

Draft

ANNEX 3: REQUIREMENTS FOR TESTING

1.   General provisions

> **Informative guidance**
>
> Testing is an important step in the process to understand if the implementation of new or revised sets of requirements are feasible and are likely to meet the intended outcomes.
>
> The type of testing depends on the specific needs of the process:
>
> - **Desk tests** can be used in any process type. It is suggested for major processes which do not deal with technical requirements that can be tested on the ground.
> - **Field tests** are suggested for regular and major processes which deal with requirements that are technical in nature and can be field tested on the ground.
> - **Pilot tests** are suggested for regular processes which deal with requirements that are technical in nature and can be pilot tested on the ground.
>
> Pilot tests may result in the temporary use of FSC trademarks in the labelling and promotion of FSC-certified products.
>
> The drafting and testing work in iteration. The requirements can be amended based on the results of the testing.
>
> Organisations that participate in a test implementing the requirements are referred to as "participants."

1.1.   The process lead shall analyse the need for testing and indicate the type of test(s) to be conducted in the process terms of reference.

1.2.   The process lead may submit requests for changes to the testing or new requests for testing to the Director General at any time during the process.

NOTE: Requests for changes may include changing the approved type of test, the scope of the test or other specifications as necessary to complete the tests.

1.3.   The Director General shall either:

a)   approve the request; *or*

b)   request further changes prior to re-submission; *or*

c)   reject the request.

1.4.   Requirements specified in this Annex shall be implemented in accordance with FSC-STD-20-001 General requirements for FSC accredited certification bodies.

2.   Desk test

2.1.   The process lead shall define and document the scope of the desk test.

2.2.   The process lead shall conduct the desk test as a theoretical implementation exercise of the requirements under revision or development, resorting to different sources of information, e.g., reports, interviews, surveys, etc.

2.3. The process lead shall pay attention to collecting information from a diverse range of conditions in which the revised or developed requirements would be applied, e.g., different value chains, different regions, and different forest types.

2.4. The process lead shall prepare a desk test report, including:

    a) scope of the desk test;

    b) a summary of the main findings;

    c) a list of the sources of information used;

    d) recommendations for the revision or development process;

    e) copy of the tested draft as an Annex.

2.5. The process lead shall use conclusions from the test to complete the revision or development process.

3. Field test

3.1. The process lead shall define the scope of the field test and implement the test.

NOTE: Individual requirements or sets of requirements may be tested. The process lead is responsible for defining and contracting any external bodies, stakeholder engagement and logistics related to the field test.

3.2. The process lead shall prepare a field test report, including:

    a) scope of the field test;

    b) a summary of the main findings;

    c) a list of the sources of information that were used;

    d) recommendations for the revision or development process;

    e) copy of the tested draft as an Annex.

3.3. The process lead shall use conclusions from the test to complete the revision or development process.

4. Pilot test

4.1. Process lead shall select the organisations that will participate in the test.

4.2. FSC and the participants shall sign a legally binding test agreement, including but not limited to:

    a) specification of the draft to be tested;

    b) timelines;

    c) responsibilities;

    d) deliverables;

    e) treatment of confidential and data protection requirements.

4.3. The process lead shall monitor the implementation of the test agreement.

4.4. The process lead may modify draft requirements being tested upon agreement with the participants.

4.5. Participants shall submit the deliverables to FSC, in accordance with the test agreement.

4.6.   The process lead shall use conclusions from the test to complete the viability assessment of the revision or development process.

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