



Standard

# CONTROLLED FOREST MANAGEMENT EVALUATIONS

FSC-STD-20-012 V2-0



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## Version control

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Version	Description	Date
V1-0	First version of the standard approved by the FSC Board of Directors at its 44 <sup>th</sup> meeting	March 2007
V1-1	Minor amendments approved by FSC Head of Policy and Standards	Sep 2007
V2-0	Main changes: <ul style="list-style-type: none"> <li>Alignments with FSC-STD-30-010 V3-0 and FSC-STD-20-007 V4-0</li> <li>Terminology has been aligned with &lt;FSC-STD-30-010 Controlled Forest Management&gt;</li> <li>Title of the standard has been updated</li> <li>A requirement to allow only one certification cycle added</li> </ul>	XX

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## INTRODUCTION

FSC initiated the revision of <FSC-STD-20-012 V2-0 Controlled Forest Management Evaluations> to align with the revised version of <FSC-STD-30-010 V3-0 Controlled Forest Management> (CFM) standard published on 1 January 2024.

The transition from a risk-based approach in the previous version of FSC-STD-30-010 V2-0, to a conformance-based approach introduced in the revised version of <FSC-STD-30-010 V3-0 Controlled Forest Management> necessitated substantial changes in FSC-STD-20-012 to ensure consistency with this approach.

Moreover, V3-0 of the Controlled Forest Management standard has implemented a number of actions from the FSC Mix products and Controlled Wood strategy, which resulted in the incorporation of more than 70% of the International Generic Indicators (IGI) included in <FSC-STD-60-004 International Generic Indicators>. This Controlled Forest Management Evaluations standard has been prepared using <FSC-STD-20-007 V4-0 Forest Management Evaluations> as its conceptual basis. It indicates how the requirements outlined in FSC-STD-20-007 V4-0 should be applied when evaluating management units for conformance with <FSC-STD-30-010 V3-0 Controlled Forest Management>.

# CONTENTS

<b>Introduction</b>	<b>3</b>
<b>A. Scope</b>	<b>5</b>
<b>B. References</b>	<b>6</b>
<b>C. Terms and Definitions</b>	<b>7</b>
<b>D. Abbreviations</b>	<b>8</b>
<b>PART 1 - GENERAL REQUIREMENTS</b>	<b>9</b>
1 General Provisions	9
2 Basic Principles (FSC-STD-20-007 Section 1)	9
3 Application of NFSS Risk Assessments in CFM Evaluations (FSC-STD-20-007 Section 3)	9
4 Preparation for Pre-evaluation (FSC-STD-20-007 Section 6)	9
<b>PART 2 - CONTROLLED FOREST MANAGEMENT EVALUATIONS</b>	<b>10</b>
5 Pre-evaluation (FSC-STD-20-007 Section 9)	10
6 Surveillance Evaluation (FSC-STD-20-007 Section 11)	10
7 Re-evaluation (FSC-STD-20-007 Section 12)	10
<b>PART 3 - CERTIFICATION DECISION</b>	<b>11</b>
8 General Requirements (FSC-STD-20-007 Section 14)	11
<b>PART 4 - REPORTING</b>	<b>11</b>
9 Evaluation Report (FSC-STD-20-007 Section 17)	11
10 Public Summary (FSC-STD-20-007 Section 18)	11
<b>Annex 1 - Eligibility Criteria for Applying Remote Audit Method for Parts of an CFM Evaluation of Organizations Not Qualifying as SLIMF or Community Forests</b>	<b>12</b>
<b>Annex 2 - Examples of Documentation and Records</b>	<b>12</b>
<b>Annex 3 - Examples of Sites for Evaluation</b>	<b>12</b>
<b>Annex 4 - Content of The Evaluation Report and Public Summary</b>	<b>12</b>
<b>Annex 5 - Certification Body Adaptation of the NFSS Risk Assessment at The Organization Level</b>	<b>12</b>

## A. SCOPE

This standard applies to forest management-accredited certification bodies assessing conformity with the applicable FSC normative requirements during controlled forest management evaluations including pre-evaluations, main evaluations, surveillance evaluations and step-up evaluations of single management units, forest management groups, and single legal entities managing multiple management units.

This standard defines the normative requirements for FSC accreditation for controlled forest management certification.

All aspects of this standard are considered normative, including the scope, effective and validity dates, references, terms and definitions, footnotes, graphics, tables, and annexes, unless otherwise stated. Notes, information boxes and examples are not considered normative.

## B. REFERENCES

The following referenced documents are indispensable for the application of this document. For references without a version number, the latest version of the referenced document (including any amendments) applies:

<b>FSC-STD-20-007 V4-0</b>	Forest Management Evaluations
<b>FSC-PRO-30-006</b>	Ecosystem Services Procedure: Impact Demonstration and Market Tools
<b>FSC-DIR-20-007</b>	FSC Directive on Forest Management Evaluations

## C. TERMS AND DEFINITIONS

For the purposes of this standard, the terms and definitions given in <[FSC-STD-01-002 FSC Glossary of Terms](#)>, <[FSC-STD-20-007 Forest Management Evaluations](#)>, and the following apply:

**Step-up evaluation:** Assessment of a CFM certified Organization against the full set of requirements of the locally adapted Forest Stewardship Standard (FSS) after the CFM certification cycle for the purpose of granting forest management certification.

### **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.

## D. ABBREVIATIONS

<b>CFM</b>	Controlled Forest Management
<b>CoC</b>	Chain of Custody
<b>FSC</b>	Forest Stewardship Council
<b>FSS</b>	Forest Stewardship Standard
<b>FM</b>	Forest Management
<b>HCV</b>	High Conservation Values
<b>MU</b>	Management Unit
<b>NFSS</b>	National Forest Stewardship Standard
<b>PSU</b>	Performance and Standards Unit
<b>SLIMF</b>	Small or Low Intensity Managed Forest



# PART 1 - GENERAL REQUIREMENTS

## 1 General Provisions

- 1.1 The certification body shall conduct evaluations against FSC-STD-30-010 V3-0 (and above) following the requirements in the most recent version of <FSC-STD-20-007 Forest Management Evaluations>, and as specified in this standard.

Note: Term forest management/chain of custody certification (FM/CoC) in <FSC-STD-20-007 Forest Management Evaluations> is to be read as controlled forest management certification (CFM) in connection to this standard <FSC-STD-20-012 V2-0 Controlled Forest Management Evaluations>.

- 1.2 The certification body shall reject applications for CFM certification of management units or sites that are or were covered by a CFM certification.

## 2 Basic Principles (FSC-STD-20-007 Section 1)

- 2.1 Superseding FSC-STD-20-007 Clause 1.3

The certification body shall evaluate the applicable requirements of <FSC-PRO-30-006 Ecosystem Services Procedure: Impact Demonstration and Market Tools> when The Organization wants to validate ecosystem services claims. The use of <FSC-PRO-30-006 Ecosystem Services Procedure: Impact Demonstration and Market Tools> is restricted to the validation option. The certification body shall not use that standard for the verification option.

- 2.2 FSC-STD-20-007 Clause 1.4 and Clause 1.5 shall not be applied.

## 3 Application of NFSS Risk Assessments in CFM Evaluations (FSC-STD-20-007 Section 3)

- 3.1 Superseding FSC-STD-20-007 Clause 3.4

After The Organization has successfully stepped up to the full set of requirements of the applicable locally adapted Forest Stewardship Standard (FSS), the certification body may change the risk designated to any criteria or indicators in the NFSS Risk Assessment to a different risk at The Organization level based on its own risk assessment according to Annex 5 of <FSC-STD-20-007 Forest Management Evaluations>.

## 4 Preparation for Pre-evaluation (FSC-STD-20-007 Section 6)

- 4.1 Superseding FSC-STD-20-007 Clause 6.1

The certification body may conduct a pre-evaluation prior to the main evaluation. In that case, the certification body shall use the requirements in section 9 of <FSC-STD-20-007 Forest Management Evaluations>.

- 4.2 **New requirement:** In case of a pre-evaluation, the certification body shall either use <FSC-STD-30-010 V3-0 Controlled Forest Management> or the applicable locally adapted FSS, where available.

- 4.3 FSC-STD-20-007 Clauses 6.4 and 6.7 shall not be applied.

## PART 2 - CONTROLLED FOREST MANAGEMENT EVALUATIONS

### 5 Pre-evaluation (FSC-STD-20-007 Section 9)

- 5.1 In case pre-evaluation is conducted, it shall follow the requirements in section 9 of <FSC-STD-20-007 Forest Management Evaluations>.
- 5.2 Superseding FSC-STD-20-007 Clause 9.5  
Key stakeholders shall be identified and may be consulted during the pre-evaluation.
- 5.3 FSC-STD-20-007 Clause 9.4 shall not be applied.

### 6 Surveillance Evaluation (FSC-STD-20-007 Section 11)

- 6.1 Superseding FSC-STD-20-007 Clause 11.9  
In the absence of an NFSS Risk Assessment, the certification body shall at minimum evaluate at each surveillance evaluation all indicators of the following criteria from the applicable FSS for the following types of sets of 'like' MUs:
- a) plantations larger than 10,000 hectares:  
FSC Principles & Criteria (P&C) V5: Criteria 1.6; 2.3; 7.6; 6.9; 6.10; 10.2; 10.3; 10.7 and 10.12
  - b) natural forests larger than 50,000 hectares, unless the whole area meets the eligibility criteria for SLIMF (see FSC-STD-01-003) and/or community forest:  
P&C V5: Criteria 1.4; 1.6; 2.3; 3.2; 3.4; 5.2; 6.4; 6.6; 6.9; 6.10; 7.6; 8.2 and 9.4.
  - c) containing HCVs, unless the whole area meets the eligibility criteria for SLIMF (see FSC-STD-01-003) and/or community forest.  
P&C V5: Criteria 6.4; 6.6; 6.9; 6.10; 9.4 and 10.3

### 7 Re-evaluation (FSC-STD-20-007 Section 12)

- 7.1 **New requirement:** Requirements for re-evaluation refer to step-up evaluation in the context of controlled forest management.
- 7.2 Superseding FSC-STD-20-007 Clause 12.1  
The certification body shall complete the step-up evaluation prior to the expiry of CFM certification as a prerequisite for granting forest management certification.
- 7.3 Superseding FSC-STD-20-007 Clause 12.2  
Step-up evaluation shall follow the same procedures as for forest management main evaluation, with the following exceptions:
- a) pre-evaluation is not required;
  - b) the certification body is not required to submit the evaluation report for peer review; and

- c) the certification body shall prepare a full, new evaluation report based on forest management evaluation. The original report may be updated to take account of any new findings but shall include the complete set of observations made during the step-up evaluation and on which the decision to grant forest management certification is based.

7.4 FSC-STD-20-007 Clauses 12.3 and 12.4 shall not be applied.

## **PART 3 – CERTIFICATION DECISION**

### **8 General Requirements (FSC-STD-20-007 Section 14)**

- 8.1 **New requirement** (in connection to FSC-STD-20-001 V4-0 Clause 4.6.5 Table 1): The certification registration code for CFM certification against FSC-STD-30-010 V3-0 (and above) shall be issued in the following form: XXX-CFM-#####.

## **PART 4 – REPORTING**

### **9 Evaluation Report (FSC-STD-20-007 Section 17)**

- 9.1 FSC-STD-20-007 Clause 17.4 shall not be applied.

### **10 Public Summary (FSC-STD-20-007 Section 18)**

- 10.1 Superseding FSC-STD-20-007 Clause 18.2

The certification body shall make the public summary available in at least one of the official language(s) of the country in which the certified MU(s) are located, or the most widely spoken language of the Indigenous Peoples in the area in which the certified MU(s) are located.

- 10.2 Superseding FSC-STD-20-007 Clause 18.3

The certification body shall submit the public summary to FSC within 30 days after the submission of the evaluation report to The Organization.

- 10.3 FSC-STD-20-007 Clause 18.1 shall not be applied.

## **ANNEX 1 - ELIGIBILITY CRITERIA FOR APPLYING REMOTE AUDIT METHOD FOR PARTS OF AN CFM EVALUATION OF ORGANIZATIONS NOT QUALIFYING AS SLIMF OR COMMUNITY FORESTS**

1. Annex 1 shall be equally applied to CFM evaluation.

## **ANNEX 2 - EXAMPLES OF DOCUMENTATION AND RECORDS**

1. Annex 2 shall be equally applied to CFM evaluation.

## **ANNEX 3 - EXAMPLES OF SITES FOR EVALUATION**

1. Annex 3 shall be equally applied to CFM evaluation.

## **ANNEX 4 - CONTENT OF THE EVALUATION REPORT AND PUBLIC SUMMARY**

1. Requirements of re-evaluation refer to step-up evaluation in the context of Controlled Forest Management.
2. Requirements for Ecosystem Services shall only be reported for validation and not for verification.
3. FSC-STD-20-007 Annex 4 Clauses 23, 24, 25, 26, 27, 28, 29, 31, 33, 34 and 63 shall not be applied.

## **ANNEX 5 - CERTIFICATION BODY ADAPTATION OF THE NFSS RISK ASSESSMENT AT THE ORGANIZATION LEVEL**

1. This annex shall be applicable only after the step-up evaluation.



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