



Revised Controlled Wood framework

Terms of Reference for Conducting Field Tests by FSC-Accredited Certification Bodies

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Abbreviations

CB: Certification Body

CWTC: Controlled Wood Technical Committee

HCV: High Conservation Value

MU: Management Unit

PSU: The Policy and Standards Unit of FSC International Center

NRAF: National Risk Assessment Framework (draft: FSC-PRO-60-002a)



1. Introduction

Controlled Wood certification sets requirements for non-FSC certified material to be used in FSC Mix products. Following the normative requirements enables manufacturers and traders to avoid timber and timber products from unacceptable sources.

The Controlled Wood system is currently being revised. The revision process was initiated after Policy Motion 51: Strengthening the Controlled Wood System was passed at the 2011 FSC General Assembly. The Motion included a decision to:

- Phase-out company-developed Risk Assessments to be replaced by FSC-approved National Risk Assessments for making risk designations. The cut-off date for phasing out company Risk Assessments is now 31 December 2014
- A review and revision of existing company-developed Risk Assessments, with appropriate action taken where needed
- A revision of the Controlled Wood standard FSC-STD-40-005 with a focus on the (Annex 3) process for sourcing wood from areas of “unspecified risk”

Due to the inter-linkages between the various Controlled Wood standards all relevant documents are under revision, including the Controlled Wood standards for The Organization, accreditation standards for certification bodies and the procedure for National Risk Assessment development.

The revision process has until now included two separate public consultations of revised draft requirements of each normative document. Final approval of documents is planned for November 2014, with an effective date of 1 January 2015.

In order to ensure that the revised requirements are able to be implemented and audited, FSC will carry out field tests of the two Controlled Wood Standards, and their respective Accreditation Standards.

Specific requirements for field testing are laid out in FSC-STD-60-006 *Process Requirements for the Development and Maintenance of National Forest Stewardship Standards* (Chapter 9: *Forest Testing*) Annex 1 and FSC-POL-01-001 *FSC policy for pilot tests of draft FSC standards* (Annex 2).

2. Objectives of the Field Tests

The overall objective of the field tests is to assess the auditability of the 2nd drafts of the revised CW standards: FSC-STD-40-005 V3-0 and FSC-STD-30-010 V3-0 (here called ‘standards’), as



well as the relevance of the respective accreditation standards: FSC-STD-20-011 V2-0 and FSC-STD-20-012 V2-0 (here called: 'accreditation standards').

Additional objectives of field testing are to:

- assure that the affected stakeholders relevant to each location chosen for conducting field tests have their feedback recognized and addressed by the CWTC;
- assess the concerns raised by stakeholders, including the certification body, regarding the applicability and impacts of proposed standards;
- assess the operability of the proposed sourcing model (relevant for FSC-STD-40-005) using National Risk Assessments or implementing Interim Risk Assessments;
- provide systematically-collected field test results to the CWTC and PSU for their consideration in finalizing the 'field-tested' draft documents.

3. Tasks

Certification Bodies willing to participate in the field tests will be expected to undertake the tasks as presented below.

3.1 Requirements specific for the field test of FSC-STD-40-005:

- 3.1.1 Identify potential locations (supply areas) for field tests, taking into consideration the willingness of The Organization(s) to participate in the exercise (to be approached by the certification body), as well as considering:
 - The Top 20 countries for sourcing CW according to the standard FSC-STD-40-005; and/or
 - Countries with an approved National Risk Assessment, according to 3.1.2;
 - Areas requiring an Interim Risk Assessment to be conducted at least for categories 2, 3 and 4.
- 3.1.2 The Field tests for FSC-STD-40-005 should be conducted using National Risk Assessments:
 - a) NRAs developed according to the revised requirements of the normative framework where available and feasible;



NOTE: Currently Lithuania may be considered as one of the locations, with the Field test to be based on the field test report containing a risk assessment for this country conducted according to the 1st draft of FSC-PRO-60-002a (NRAF).

NOTE: Outcomes from Centralized National Risk Assessment project may be used, according to their availability (to be consulted with PSU).

b) NRAs developed according to the current requirements of the normative framework (<https://ic.fsc.org/national-risk-assessments.310.htm>).

3.1.3 Field tests shall involve:

- At least one Control Measure with stakeholder consultation AND field verification at the forest level;
- Field verification as per clause 8.1.1 of FSC-STD-40-005;

3.1.4 The final decision on the selected areas will be made by the CW Steering Committee.

3.2 Requirements specific for the field test of FSC-STD-30-010:

3.2.1 Identify potential MUs as sites for field tests, taking into consideration the willingness of The Organization to participate in the testing (to be approached by the certification body).

3.2.2 Assess the candidate MUs against the selection criteria as below:

a) While each field test must cover all the criteria specified in FSC-STD-30-010, there may be special emphasis on the most important issues, such that:

- One field test could have a special focus on the engagement of indigenous and traditional peoples (CW Category 2);
- One field test could have a special focus on HCVs (CW Category 3) and conversion (CW Category 4).

NOTE: Existing National Forest Stewardship Standards maybe helpful in developing indicators to criteria proposed in FSC-STD-30-010.

b) The following aspects should be presented when proposing the field test sites:



- i. The Organization (name & code for certificate holders),
- ii. The type of The Organization (e.g. state, concession, community, private),
- iii. Forest Area (ha),
- iv. Forest type (natural, semi-natural, plantation),
- v. Zone (Boreal, temperate, sub-tropical, tropical),
- vi. Number of group members, if any (specify SLIMFs, if any),
- vii. Presence/extent of indigenous people,
- viii. Potential to generate science-based feedback (expert engagement),
- ix. Co-operation with National Standard Development Group (SDG) confirmed (yes/no) where SDG exists,
- x. Co-operation with other certification body(s) for establishing field testing team (yes/no)

c) The final decision on the selected sites will be taken by the CW Steering Committee.

3.3. Requirements for the field test of both standards

3.3.1 Submit a Work Plan to the CW Steering Committee (contact: j.nowakowska@fsc.org) before **21th July 2014**, including:

- determination of Controlled wood standard to be tested (FSC-STD-40-005 or FSC-STD-30-010 or both, always along with the relevant accreditation standards);
- a description of the supply area(s)/MU(s) selected to be part of the field test;
- a time schedule for preparations, field work and reporting;
- a list of identified stakeholders, which are likely to be affected by the standard(s);
- means to engage the identified stakeholders;
- a budget;
- a declaration that The Organization participating in the field test is committed to doing so, and
- CVs of the proposed audit team members, for a written approval by FSC PSU prior to the implementation of the test.



- 3.3.2 Obtain the written confirmation from The Organization participating in the field test to submit to PSU and agree with The Organization on responsibilities to ensure completion of the field test; confirmation shall be sent before a formal agreement is signed between the CB and PSU.
- 3.3.3 Conduct the field test according the Work Plan.
- 3.3.4 Prepare a Draft Field Test Report in the local language and distribute it to stakeholders and The Organizations engaged in the field test, as well as other Parties if relevant for a consultation period for a maximum period of 2 weeks.
- 3.3.5 Address the feedback received during the consultation and submit the Final Field Test Report (as specified in Section, below 7) in English to PSU (Controlled Wood Program) by (ca) 31st August 2014.

4. Methodology

Testing must involve all relevant requirements provided in the 2nd drafts of Controlled Wood revised documents, and shall consider the auditability of the standards and operability of the accreditation standards as a whole, as well as the socioeconomic impacts of compliance both to The Organization and, where relevant, the affected stakeholders. The aspects of field testing methodology to be employed (other than those provided in the standards) must be detailed in the Work Plan, paying special attention to the following aspects:

- The process for identifying and engaging stakeholders, including indigenous peoples and others with local, forest-based livelihoods (where relevant for the implementation of the particular standard) must be documented and the input received must be incorporated into the field test report;
- Any advice or guidance provided by the CWTC and PSU must be addressed;
- The key output of each field test must be a set of recommendations to the CWTC and PSU for consideration in finalizing the revised Controlled Wood framework.

5. Field Test Team

The documents will be tested by an Auditor Team of a certification body accredited to conduct CW evaluations, with participation of at least one representative from PSU with technical expertise in forest management in the field test area. CWTC members may additionally be invited.

Auditor qualifications required for conducting field tests are provided in FSC-STD-20-001. Auditor qualifications for conducting evaluations according to Annex 3 of the current FSC-STD-40-005 /



FSC-STD-30-010 as provided in FSC-STD-20-001 (and relevant standard interpretations) are required. The field test team must be led by a qualified relevant lead auditor who is registered with the FSC Accreditation Program.

At least one team member must be fluent in the main language of the area in which the field test takes place, or there is a designated independent interpreter. The interpreter shall not be an employee or consultant of The Organization under evaluation.

The field test team must include auditor(s) with the experience and qualifications to evaluate all aspects of the standards, taking into account the scale and complexity of the area to be assessed. Independent observers may participate in the field tests as specified in FSC-ADV-01-007 V1-0.

6. Producing the Field Test Report

The certification body must prepare Draft and a Final Field Test Reports for each standard and each Organization participating in the field test.

The Draft Field Test Report is to be written in the local language and distributed for comment to stakeholders engaged in the field test, as well as to The Organization(s) involved in field tests and other Parties if relevant. The feedback has to be processed and incorporated into the Final Field Test Report, which has to be provided to PSU in English.

The report shall meet other relevant requirements of the accreditation standards applied.

Additionally, the Executive Summary for each field test report shall include a list of recommendations to the CWTC and PSU for their consideration in finalizing the 'field-tested' draft documents.

7. Draft Budget

The overall budget for the field tests is 40 000 Euro.

The financial compensation to the CB will be specified in detail in the Service Agreement.

The certification body may invoice FSC IC with daily fees of the experts and expenses accrued by travelling, accommodation and meals, subject to a formal agreement.

It is assumed that the CB will use a Field Team of 3 members, each of whom will work two (2) days for Field Testing in the field. In addition, approximately three (3) full working days may be compensated for the preparations of the field test, and another five full working days for writing



the Draft Final Report and the Final Report. In total, up to 14 working days may be compensated to the CB for each Field Test, subject to negotiation¹

The certification bodies are invited to submit their proposals by 21 JULY 2014 at j.nowakowska@fsc.org

¹ These estimates are roughly provided and based on Forest Management evaluations, thus are subject to modification.