



Process Document

Evaluation of the Forest Stewardship Council (FSC®) scheme using the Framework for benchmarking and recognition of certification schemes relevant to the scope of SBP certification

Sustainable Biomass Program

sbp-cert.org



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In the case of inconsistency between translations, the official English language version shall always take precedence.

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Contents

Introduction	1
Certification Scheme Operational Requirements	2
Certificate Holder Performance Requirements	5
Annex 1 – Certification Scheme Performance Requirements	10
Annex 2 – Certificate Holder Performance Requirements	45

Introduction

This document serves as the final report that presents the findings obtained from the evaluation conducted for the benchmarking and recognition of the FSC® certification scheme, utilising the *Framework for benchmarking and recognition of certification schemes relevant to the scope of SBP certification*. The conclusions of this document are based on the evaluation delivered by an independent organisation, Indufor Oy. The primary objective of this evaluation is to assess the equivalency of the FSC certification scheme requirements with the requirements of SBP Standard 1: Feedstock Compliance.

The results of the evaluation are summarised in a tabular format, providing a concise overview. For a more comprehensive understanding, the complete evaluation is included as an annex to this document.

The evaluation is structured into two distinct parts. The first part focuses on assessing the operational requirements of the certification scheme itself, while the second part examines the performance requirements for Certificate Holders. This division allows for a comprehensive analysis of both the overall framework and the specific requirements for the entities certified under FSC.

The detailed evaluation in the annex provides an in-depth equivalence evaluation. The comprehensive evaluation is published to not only present the findings but also to provide guidance to Biomass Producers. Specifically, it assists them in designing effective Risk Management Measures (RMMs) for indicators that have been identified as having “PARTIAL” equivalence. By referring to the full evaluation, Biomass Producers can gain insights on how to address these specific indicators and ensure robust management of the identified risks.

Summary of the evaluation

For the *Certification Scheme Operational Requirements*, the requirements of FSC are equivalent to those of SBP. *Processing residues feedstocks* carrying a valid FSC claim can be considered as *SBP-compliant feedstocks*.

In terms of *Certificate Holder Performance Requirements*, the requirements of FSC cover a significant number of the requirements of SBP Standard 1 – 34 indicators are fully met, five are partially met and three are not met.

Table 1: Summary of the FSC evaluation

			Outcome of the evaluation
Certification Requirements	Scheme	Operational	Equivalent
Certificate Requirements	Holder	Performance	
		YES	34
		PARTIAL	5
		NO	3

Certification Scheme Operational Requirements

Table 2 presents a summary of the evaluation, while a comprehensive analysis is detailed in Annex 1. The evaluation ultimately determined that the requirements of FSC are equivalent to those of SBP.

Table 2: Certification Scheme Operational Requirements

#	Operational requirements	Y/N
Standard setting requirements		
1	The scheme shall have documented procedures for standard setting which are publicly available.	YES
2	Documented procedures for standard-setting shall be reviewed regularly, taking into account comments from stakeholders.	YES
3	The scheme owner shall announce the standard-setting process in advance and communicate to stakeholders the standard scope, process timeline and point of contact for further communication.	YES
4	At the start of the standard-setting process, the scheme owner shall carry out a stakeholder mapping to list stakeholders with relevance to the standard.	YES
5	Participation in bodies making decisions on the content of the standard shall be open to all stakeholders and constituted by a balance of stakeholders.	YES
6	Standard-setting shall include a public consultation process which is open to all stakeholders and the results of which are publicly communicated.	YES
7	Decision-making on the contents of the standard shall strive for consensus.	YES
8	The approved standard shall be freely and publicly available.	YES
9	The scheme owner shall review the standard regularly for continued relevance and effectiveness and, if deemed necessary, initiate a standard revision process.	YES
10	The scheme owner shall maintain a public feedback mechanism regarding the standard contents, and the received feedback shall be considered in the standard review process.	YES
11	The scheme owner shall keep records documenting the standard-setting process and make them available to stakeholders upon request.	YES
12	The scheme owner shall have a publicly documented complaint resolution mechanism for complaints related to the standard-setting process.	YES

#	Operational requirements	Y/N
Accreditation requirements		
13	Certification Bodies (CBs) shall operate scheme certification following the requirements of ISO 17065:2012 Conformity assessment – Requirements for bodies certifying products, processes and services or ISO 17021-1:2015 Conformity assessment – Requirements for Requirements for bodies providing audit and certification of management schemes or corresponding scheme specific accreditation standards (e.g. FSC 20 001 4-0 General requirement for FSC accredited certification bodies).	YES
14	Accreditation bodies shall comply with the current version of ISO 17011 standard.	YES
15	The scope of accreditation (to SFM and CoC certifications) shall cover the scope of certification (certified activity and geography). For traders and end users, the accreditation scope for CoC is sufficient for CB.	YES
16	The CB shall be impartial and shall not have any conflict of interest with the client.	YES
17	The CB shall have access to appropriate human resources.	YES
18	The CB shall ensure that auditors and technical experts maintain confidentiality and impartiality.	YES
19	The CB shall ensure that auditors and technical experts possess the necessary competence, knowledge, and skills for conducting evaluations.	YES
20	The competence of the CB and auditors shall be periodically evaluated.	YES
21	The CB shall have a procedure outlining the conditions for subcontracting.	YES
22	The CB shall have procedures for audit planning and appointment of evaluation teams.	YES
23	The CB shall carry out a surveillance evaluation once per calendar year.	YES
24	The CB shall enforce corrective actions within specified time limits.	YES
25	The CB shall ensure that the entity responsible for certification decisions is impartial and possesses the competence to evaluate audit outcomes.	YES
26	The individuals involved in certification decision-making shall not have participated in the evaluation process.	YES
27	The CB shall document all identified non-conformances in the evaluation report and classify them as minor or major.	YES
28	The CB shall provide a public summary report. Applies to forest management audits.	YES
29	The CB shall have procedures for stakeholder communication during audits.	YES
30	The CB shall have procedures for the timely resolution of complaints and appeals.	YES

#	Operational requirements	Y/N
Chain of custody requirements		
31	Organisational commitment to meeting the certification requirements shall be required, along with the provision of adequate resources, documentation, and / or reporting.	YES
32	Compliance with applicable laws, rules, and regulations shall be required, and responsible business practices shall be encouraged.	YES
33	Adequate self-monitoring practices shall be in place.	YES
34	Personnel competence shall be ensured through adequate measures.	YES
35	Stakeholder engagement shall be encouraged, for example, through an outlined complaint process.	YES
36	Requirements for identifying and controlling non-conformities in products and / or claims shall be in place, and activities following the detection of non-conformity shall be defined.	YES
37	Conditions for outsourcing activities related to certified products shall be outlined.	YES
38	Feedstock sourcing and categorisation shall be defined.	YES
39	Certified and non-certified mixes shall be defined, and separation shall be required when appropriate.	YES
40	Rules for traceability in the Chain of Custody are established.	YES
41	Chain of custody models shall be defined. These methods shall facilitate the tracking of quantities of inputs and outputs.	YES
42	If a mass balance approach is employed, it shall be clearly defined, legitimate, and transparent.	YES
43	Allowable claims and labels shall be defined with sufficient information. These claims and labels shall be appropriate, considering the Chain of Custody models being applied.	YES
44	To ensure the credibility of mixed claims, the scheme shall have procedures in place to verify that non-certified feedstock originates from controlled sources.	YES

Certificate Holder Performance Requirements

Table 3 presents a summary of the assessment findings, while a comprehensive analysis is detailed in Annex 2. The evaluation ultimately determined that the requirements of FSC cover a significant number of SBP Standard 1 – Feedstock compliance requirements. 34 SBP indicators are addressed by equivalent FSC indicators, five are partially and three are not covered by FSC.

Table 3: Certificate Holder Performance Requirements

#	Performance requirements	Y/N/P
Principle 1 – Feedstock is legally sourced		
Criterion 1.1 – Operators and operations are legal		
1	Indicator 1.1.1 The system shall have documented procedures for standard setting which are publicly available.	YES
2	Indicator 1.1.2 Operations related to feedstock sourcing and biomass production shall comply with all existing applicable laws and regulations.	YES
3	Indicator 1.1.3 Feedstock shall be legally harvested, supplied and produced, including in compliance with CITES, EUTR and other applicable legal trade requirements.	YES
4	Indicator 1.1.4 Payments for harvest rights and feedstock, including duties, relevant royalties and taxes related to timber harvesting shall be complete and up-to-date.	YES
5	Indicator 1.1.5 There shall be adequate protection of the Supply Base from unauthorised and illegal activities, such as illegal logging, mining, and encroachment.	YES
Principle 2 – Feedstock sourcing does not harm the environment		
Criterion 2.1 – Biodiversity is maintained or enhanced		
6	Indicator 2.1.1 Key species, habitats, ecosystems, and areas of high conservation value (HCV) pertaining to biodiversity in the Supply Base shall be identified.	YES
7	Indicator 2.1.2 Threats to and impacts on the identified key species, habitats, ecosystems, and areas of high conservation value (HCV) pertaining to biodiversity in the Supply Base shall be identified and evaluated.	YES
8	Indicator 2.1.3 Key species, habitats, ecosystems, and areas of high conservation value (HCV) pertaining to biodiversity in the Supply Base shall be maintained or enhanced.	YES

#	Performance requirements	Y/N/P
Criterion 2.2 – Ecosystem productivity, functions, and services are maintained or enhanced		
9	Indicator 2.2.1 Feedstock shall not be sourced from land that had one of the following statuses in January 2008 and no longer has that status due to land conversion: a. Forests b. Wetlands c. Peatlands d. Highly biodiverse grasslands.	PARTIAL
10	Indicator 2.2.2 Ecosystems, their health, vitality, functions and services in the Supply Base shall be maintained or enhanced.	YES
11	Indicator 2.2.3 Soil quality in the Supply Base shall be maintained or enhanced.	YES
12	Indicator 2.2.4 Where the removal of harvest forest residues and / or stumps occurs, this shall not lead to irreversible negative impacts to the ecosystem.	YES
13	Indicator 2.2.5 Quality and quantity of ground water, surface water and water downstream shall be maintained or enhanced.	YES
14	Indicator 2.2.6 Air emissions shall comply with national legislation or in the absence of national legislation with industry best practice.	PARTIAL
15	Indicator 2.2.7 Pesticides shall only be used as part of an Integrated Pest Management (IPM) plan in compliance with national legislation, chemical safety data sheets and industry best practice. Banned pesticides shall not be used.	YES
16	Indicator 2.2.8 Waste shall be disposed of in an environmentally appropriate manner.	YES
17	Indicator 2.2.9 Harvesting levels shall be justified as to how they can be sustained with reference to inventory and growth data for the Supply Base.	YES
18	Indicator 2.2.10 Harvested areas shall be regenerated.	YES
19	Indicator 2.2.11 The impacts of natural processes such as fires, pests and diseases shall be managed.	YES
20	Indicator 2.2.12 Genetically modified trees shall not be used.	YES

Principle 3 – Feedstock is only sourced from Supply Bases where the forest carbon stock is stable or increasing in the long term

Criterion 3.1 – Feedstock sourcing is consistent with international requirements for land use, land-use change and forestry (LULUCF) emissions

21 Indicator 3.1.1 LULUCF emissions shall be accounted for through one of the following routes:

NO

Route A

Feedstock may be sourced from a country of origin which is party to the Paris Agreement, and which has submitted a Nationally Determined Contribution to the United Nations Framework Convention on Climate Change (UNFCCC) covering carbon emissions and removals from agriculture, forestry and land use which ensure the changes in carbon stock associated with biomass harvest are counted towards the country's commitment to reduce or limit greenhouse gas emissions, or

Route B

Feedstock may be sourced from a country of origin which is party to the Paris Agreement and has national or sub-national laws in place (developed in accordance with Article 5 of the Paris Agreement and applicable in the area of harvest), to conserve and enhance carbon stocks and sinks, and provided there is evidence that reported LULUCF-sector emissions do not exceed removals, or

Route C

Feedstock may be sourced from a Supply Base where an assessment demonstrates that both the carbon stock is stable, and the forests' capacity to act as a carbon sink is stable or increasing over the long term.

Criterion 3.2 – Carbon stocks in the forest area of the Supply Base are stable or increasing in the long term

22 Indicator 3.2.1 All feedstock sourcing shall be consistent with either of these two options:

NO

Option A

Feedstock may be sourced from Supply Bases where an assessment of the Supply Base shows that the forest carbon stocks are stable or increasing, or

Option B

Feedstock may be sourced, if the assessment shows that the forest carbon stocks are declining in the Supply Base, provided that the decline is due to natural processes (fire, pests, etc.), and sourcing of feedstock has the aim to recover feedstock that would otherwise be lost or to assist regeneration.

#	Performance requirements	Y/N/P
23	Indicator 3.2.2 Primary feedstock shall not be sourced from forest areas where site productivity is low and, according to local definitions or norms, the areas are classified as low-productive or difficult to regenerate.	NO
24	Indicator 3.2.3 Primary feedstock shall not be sourced from forest areas in the Supply Base which, according to local definitions or norms, are classified as having combined attributes of high carbon stocks and high conservation value (HCV).	PARTIAL

Criterion 3.3 – Feedstock sourcing shall not compete with wood sourcing for long-lived wood products

25	Indicator 3.3.1 Feedstock sourcing shall be in compliance with the principles of cascading use, high quality stem wood shall not be used as feedstock if it is in substantial demand for long-lived products in the Supply Base.	PARTIAL
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Principle 4 – Feedstock sourcing benefits people and communities

Criterion 4.1 – Decent working conditions are provided, and labour rights are safeguarded

26	Indicator 4.1.1 Freedom of association and the right to collective bargaining shall be respected in the workplace	YES
27	Indicator 4.1.2 Forced or compulsory labour shall not be used.	YES
28	Indicator 4.1.3 Child labour shall not be used.	YES
29	Indicator 4.1.4 Workers shall not be discriminated in hiring, remuneration, access to training, promotion, termination or retirement.	YES
30	Indicator 4.1.5 Wages paid to workers shall meet or exceed the legal minimum wage or where there is no statutory minimum wage industry norms shall be met or exceeded.	YES
31	Indicator 4.1.6 Working hours shall comply with legal requirements.	YES
32	Indicator 4.1.7 Workers shall have access to health care provisions, sickness benefits, retirement benefits, invalidity benefits, death benefits, and workers' compensation.	PARTIAL
33	Indicator 4.1.8 Training shall be provided for all workers to allow them to implement the conditions set out in all elements of the SBP Standards relevant to their responsibilities.	YES
34	Indicator 4.1.9 Mechanisms shall be in place for resolving grievances and disputes in the workplace.	YES
35	Indicator 4.1.10 Safeguards shall be put in place to protect the health and safety of workers by developing, communicating and implementing policies and procedures.	YES

#	Performance requirements	Y/N/P
Criterion 4.2 – Feedstock sourcing benefits communities		
36	Indicator 4.2.1 Negative social and community impacts shall be identified and avoided.	YES
37	Indicator 4.2.2 Feedstock sourcing shall positively contribute to the local economy, including employment.	YES
38	Indicator 4.2.3 Food, water supply or high conservation values (HCV) that are essential for the fulfilment of basic needs of communities shall be maintained or enhanced.	YES
39	Indicator 4.2.4 Legal, customary, and traditional tenure and use rights of Indigenous Peoples and local communities related to the Supply Base shall be identified, documented, and respected.	YES
40	Indicator 4.2.5 Mechanisms shall be in place for resolving grievances and disputes relating to tenure and use rights of the forest and other land management practices.	YES
41	Indicator 4.2.6 Where Indigenous Peoples' rights are identified in the Supply Base, and Free Prior and Informed Consent (FPIC) has not been achieved for the proposed and planned activities, a consultation and, if required, accommodation process shall be put in place.	YES
42	Indicator 4.2.7 Designated cultural heritage sites shall be preserved.	YES

Annex 1 – Certification Scheme Performance Requirements

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
1	The scheme shall have documented procedures for standard-setting which are publicly available.	<p>FSC-STD-60-006:</p> <p>5.2 The terms of reference for the Standards Development Group shall include at least the following: ...</p> <p>b) the procedures to be followed, including those required by this standard;</p>	YES	The FSC system requires following the procedures documented in the FSC-STD-60-006.
2	Documented procedures for standard-setting shall be reviewed regularly, taking into account comments from stakeholders.	<p>FSC-PRO-01-001:</p> <p>4.1 FSC shall monitor whether the implementation of requirements leads to the key intended outcomes.</p> <p>4.2 FSC shall monitor the effects of the implementation of requirements based on available resources and data, e.g. performance data, interpretation requests, change requests, calibration activities, available scientific publications and impact evaluations.</p> <p>4.3 Change requests may be submitted at any time by any stakeholder.</p> <p>4.4 Designated FSC staff shall conduct a review process as a result of:</p> <p>a) a duly approved motion by the FSC General Assembly; or</p> <p>b) monitoring activities (as specified in clauses 4.1 and 4.2);</p> <p>4.5 Reviews shall be documented in a Review Report, which includes:</p> <p>a) a summary of monitoring results; ...</p> <p>c) a summary of key topics stakeholders have raised through change requests; ...</p> <p>k) a recommendation on whether the set of requirements should be revised or not.</p>	YES	<p>Review of the FSC standards, including the FSC-STD-60-006, is governed by a separate normative procedure, the FSC-PRO-01-001.</p> <p>The FSC-PRO-01-001 requires standards to be constantly monitored and stakeholder comments to be collected for determination of the need for standard review.</p>
3	The Standardising Body (SB) shall announce the standard-setting process in advance and communicate to stakeholders the standard scope, process timeline and point of contact for further communication.	<p>FSC-STD-60-006:</p> <p>2.1 An announcement shall be sent to all key stakeholder groups within the territory once the process has been officially registered by FSC Policy and Standards Unit.</p> <p>2.2 The announcement shall include:</p> <p>a) a brief, clear description of the scope and objectives of the proposed standard(s);</p> <p>b) the contact point at the Standards Development Group for further information;</p> <p>c) the estimated timeline for completion of the proposed standard(s).</p>	YES	The FSC-STD-60-006 places requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
4	At the start of the standard-setting process, the SB shall carry out a stakeholder mapping to list stakeholders with relevance to the standard.	<p>FSC-STD-60-006:</p> <p>6.1 The Standards Development Group shall be responsible for setting up a Consultative Forum for the standards development process.</p> <p>6.4 The Consultative Forum shall at a minimum include individuals and / or organisations reflecting the full range of stakeholders affected by the standard(s) under development at the national level, as identified under Annex A. For regional processes a Consultative Forum should be formed for each country in the region.</p>	YES	The FSC-STD-60-006 places requirements that correspond with those of the benchmark. Annex A of the FSC-STD-60-006 provides a template for stakeholder mapping.
5	Participation in bodies making decisions on the content of the standard shall be open to all stakeholders and constituted by a balance of stakeholders.	<p>FSC-STD-60-006:</p> <p>4.2 The Standards Development Group shall have three separate chambers representing social, environmental and economic interests, with at least two representatives in each chamber, and equal number of people (or equal weighting) in each chamber. Where a regional process is proposed, each nation within the region should have at least one representative in each chamber of the regional Standards Development Group.</p> <p>4.3 Members of Standards Development Groups shall be selected on the basis of their:</p> <p>a) expert knowledge and / or experience of the issue under consideration;</p> <p>b) up-to-date knowledge and experience of FSC’s systems and procedures;</p> <p>c) representation of points of view from the corresponding FSC chamber, and the points of view of small, medium and large enterprises affected by the standard;</p> <p>d) understanding of the potential impact of the standard on affected stakeholders;</p> <p>e) understanding of and support for FSC’s mission and vision;</p> <p>f) ability to review and comment on documents submitted in the working language(s) established for the Standards Development Group.</p> <p>6.1 The Standards Development Group shall be responsible for setting up a Consultative Forum for the standards development process.</p> <p>6.2 The role of the Consultative Forum shall be to ensure that all stakeholders who may be affected by the implementation of the standard have the opportunity to comment, formally, during the standard development process.</p> <p>6.3 Membership of a Consultative Forum shall be open to any stakeholder on request. The number of members shall not be limited.</p>	YES	The FSC-STD-60-006 reflects the benchmark requirements.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
5	continued	6.4 The Consultative Forum shall at a minimum include individuals and / or organisations reflecting the full range of stakeholders affected by the standard(s) under development at the national level, as identified under Annex A. For regional processes a Consultative Forum should be formed for each country in the region.	YES	The FSC-STD-60-006 reflects the benchmark requirements.
6	Standard-setting shall include a public consultation process which is open to all stakeholders and the results of which are publicly communicated.	<p>FSC-STD-60-006:</p> <p>7.8 The period to submit comments on the first draft for public consultation shall be a minimum of sixty (60) days from the date of publication. The period for consultation on intermediate drafts shall be a minimum of thirty (30) days from the date of publication. The period for consultation on the final draft prior to decision making shall be sixty (60) days from the date of publication.</p> <p>7.11 A report on the formal comments shall be prepared which includes:</p> <ul style="list-style-type: none"> a) a summary of the issues raised; b) an analysis of the range of stakeholder groups who have submitted comments; c) a general response to the comments; d) an indication of how the comments have been taken into account in the subsequent public draft standard; and e) a copy of all the formal comments as an annex. 	YES	The FSC-STD-60-006 places requirements that correspond with those of the benchmark.
7	Decision-making on the contents of the standard shall strive for consensus.	<p>FSC-STD-60-006:</p> <p>10.2 The Standards Development Group shall make its decision by consensus, defined as general agreement in favor of the motion, with the absence of sustained objection from any member of the Standards Development Group.</p>	YES	The FSC-STD-60-006 places requirements that correspond with those of the benchmark.
8	The approved standard shall be freely and publicly available.	<p>FSC-STD-60-006:</p> <p>14.1 Approved FSC Forest Stewardship Standards shall be available to stakeholders free of license charges in electronic format. The Standards Development Group may charge at cost for providing and making available hardcopies of its standards (e.g. the cost for posting, printing, postage and packing for orders).</p>	YES	The FSC-STD-60-006 places requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
9	The SB shall review the standard regularly for continued relevance and effectiveness and, if deemed necessary, initiate a standard revision process.	<p>FSC-STD-60-006:</p> <p>12.3 A review report of all the comments on the standard; changes to associated elements of the FSC system; as well as external circumstances and the continued relevance of the standard shall be compiled within three (3) years of the standard's approval.</p> <p>NOTE: Forest Stewardship Standards are normally approved for a five year period. Review and possible revision processes need to be planned in order to have a final draft recommended to the FSC Board of Directors by the end of this period.</p> <p>12.4 The review report shall be submitted to the Policy and Standards Unit for comment and to register the revision process, if required.</p>	YES	The FSC-STD-60-006 places requirements that correspond with those of the benchmark.
10	The SB shall maintain a public feedback mechanism regarding the standard contents, and the received feedback shall be considered in the standard review process.	<p>FSC-STD-60-006:</p> <p>12.2 A file shall be kept of all comments on the standard that are submitted after the approval.</p> <p>FSC-PRO-01-001:</p> <p>4.3 Change requests may be submitted at any time by any stakeholder.</p> <p>4.4 Designated FSC staff shall conduct a review process as a result of:</p> <p>a) a duly approved motion by the FSC General Assembly; or</p> <p>b) monitoring activities (as specified in clauses 4.1 and 4.2);</p> <p>4.5 Reviews shall be documented in a Review Report, which includes:</p> <p>a) a summary of monitoring results;</p> <p>c) a summary of key topics stakeholders have raised through change requests;</p> <p>k) a recommendation on whether the set of requirements should be revised or not.</p>	YES	The FSC certification system requires recording stakeholder feedback and considering it in the standard review process.
11	The SB shall keep records documenting the standard-setting process and make them available to stakeholders upon request.	<p>FSC-STD-60-006:</p> <p>16.1 The Standards Development Group or the National Initiative, if present, shall keep the following records:</p> <p>a) written proposal to develop the standard;</p> <p>b) names and affiliations of members of Standards Development Group and Consultative Forum, and of other stakeholders that were consulted on the standards during their development;</p> <p>c) minutes of meetings held by the Standards Development Group;</p> <p>d) copies of public draft standards circulated for comment;</p>	YES	The FSC-STD-60-006 places requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
11	continued	<p>e) copies of all comments received on consultation draft standards;</p> <p>f) summary of comments received in response to each consultation draft, together with a general response to those comments;</p> <p>g) copies of technical drafts;</p> <p>h) the Standards Development Group report and all comments received on the Standards Development Group report;</p> <p>i) a description of all departures from the specified procedures for standards development and the actions taken in respect of those departures (see section 15);</p> <p>j) the decisions of FSC in relation to the requirements of this standard.</p>	YES	The FSC-STD-60-006 places requirements that correspond with those of the benchmark.
12	The SB shall have a publicly documented complaint resolution mechanism for complaints related to the standard-setting process.	<p>FSC-STD-60-006:</p> <p>13.2 Complaints related to procedural issues shall be responded to initially by the Standards Development Group. If the complainant is not satisfied with the explanation provided, the complaint shall be addressed through the applicable FSC Dispute Resolution process.</p>	YES	The general FSC dispute resolution system is described in a separate document: Processing Complaints in the FSC Certification Scheme, FSC-PRO-01-008 (V2-0) EN.
General accreditation requirements				
13	CBs shall operate scheme certification following the requirements of ISO 17065:2012 Conformity assessment – Requirements for bodies certifying products, processes and services or ISO 17021-1:2015 Conformity assessment – Requirements for Requirements for bodies providing audit and certification of management schemes or corresponding scheme specific accreditation standards (e.g. FSC 20 001 4-0 General requirement for FSC accredited certification bodies).	<p>FSC-STD-20-001 (V4-0) (2015),</p> <p>11.2 The certification body shall conduct its certification operations according to their defined accreditation scope and in conformity with:</p> <p>a) the requirements specified in this standard;</p> <p>b) the requirements of all applicable FSC normative documents as published on the FSC website (ic.fsc.org);</p> <p>c) its operational policies, procedures and instructions.</p> <p>ASI-PRO-20-101-Accreditation-V5.2 (2022), 8 Accreditation requirements</p> <p>The Conformity Assessment Body / certification body (CAB) shall comply with 8.2.1 The Scheme Owner (SO) Accreditation Requirements as defined in the normative documents of the respective SO. 8.2.2 The ASI Accreditation Requirements are published in the ASI Controlled List of Public Documents (ASI-INF-20-120).</p>	YES	FSC accreditation requirements do not specifically refer to compliance with ISO 17065 or ISO 17021 standards for certification bodies. However the FSC accreditation standards and ASI's own accreditation procedures cover all aspects of the ISO 17065 requirements.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
13	continued	<p>ISEAL Accreditation Member Requirements state that accreditation bodies must demonstrate compliance with ISO 17011 Standard. Assurance Services International (ASI) has its own management system that conforms to the standard ISO 17011. ASI does not refer to ISO 17065 or ISO 17021 standards in its accreditation requirements but through compliance with ISO 17011 and ISEAL Assurance Code it has aligned its own accreditation requirements with ISO standards.</p> <p>ASI has a list of complementary policies e.g., on quality, impartiality and privacy, and procedural documents e.g., on appeals, complaints, findings, appraisals and surveillance. https://www.asi-assurance.org/s/quality</p>	YES	FSC accreditation requirements do not specifically refer to compliance with ISO 17065 or ISO 17021 standards for certification bodies. However the FSC accreditation standards and ASI's own accreditation procedures cover all aspects of the ISO 17065 requirements.
14	Accreditation bodies shall comply with the current version of ISO 17011 standard.	<p>ISEAL CoGP 5.4.5 (2018) Where the scheme incorporates accreditation as an oversight mechanism, the scheme owner shall ensure that accreditation bodies comply with the current version of ISO / IEC 17011 (<i>Conformity assessment — Requirements for accreditation bodies accrediting conformity assessment bodies</i>) in addition to the Assurance Code requirements that apply to oversight bodies.</p> <p>ISEAL Accreditation Member Requirements (2020): ISEAL Community Members who are accreditation bodies must meet the ISEAL Community Member Requirements and demonstrate compliance with ISO / IEC 17011:2017 in accordance with the ISEAL Accreditation Member Compliance Procedure.</p>	YES	Through the membership to ISEAL, ASI is committed to comply with the ISO 17011 standard.
15	<p>The scope of accreditation (to SFM and CoC certifications) shall cover the scope of certification (certified activity and geography)</p> <p>For traders and end users, the accreditation scope for CoC is sufficient for CB.</p>	<p>FSC-STD-20-001 (V4-0) (2015), 1.1.2 The certification body shall conduct its certification operations according to their defined accreditation scope and in conformity with: a) the requirements specified in this standard; b) the requirements of all applicable FSC normative documents as published on the FSC website (ic.fsc.org); c) its operational policies, procedures and instructions.</p> <p>ASI-PRO-20-101-Accreditation-V5.2 (2022), 7. Scope of Accreditation, The Scope of Accreditation in the ASI accreditation certificate and annex specifies the following: 7.1.1 Scheme Owner, 7.1.2 type of activities and / or products covered (ASI technical scope), 7.1.3 standards and / or other normative documents and mandatory requirements with respect to the activities, services products and / or systems that are certified, 7.1.4 geographical area in which the Certification Activities occur (ASI geographical scope).</p>	YES	ASI accreditation procedures ensure that the scope of accreditation is defined as appropriate.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
16	CB shall be impartial and shall not have any conflict of interest with the client	<p>FSC-STD-20-001 (V4-0) (2015), 1.5 Impartiality</p> <p>1.5.1 – 1.5.12, The certification body shall be responsible for ensuring that certification activities are undertaken impartially and shall not allow commercial, financial or other pressures to compromise impartiality.</p> <p>1.5.5 The certification body shall maintain and implement written policy and procedures for avoidance of conflicts of interest.</p> <p>1.5.6 The certification body shall identify, analyse and document risks to its impartiality on an ongoing basis.</p> <p>1.5.9 The certification body shall ensure that activities of separate legal entities with which it has relationships, do not compromise the impartiality of its certification activities. E.g., consultancies.</p> <p>1.5.13 The certification body shall have a committee for safeguarding its impartiality. Unresolved concerns or risks for impartiality shall be informed to ASI.</p>	YES	FSC accreditation requirements include comprehensive measures to ensure impartiality.
17	The Certification Body (CB) shall have access to appropriate human resources.	<p>FSC-STD-20-001 (V4-0) (2015)</p> <p>Part 2 General management system requirements: 2.1.2 The management of the certification body shall identify the board, group of persons, or person having overall authority and responsibility for each of the following: h) provision of adequate resources for certification activities;</p> <p>Part 3 Resource requirements: 3.1.1 The certification body shall have personnel competent for managing its work related to the implementation of the FSC accredited certification program.</p> <p>ASI-PRO-20-101-Accreditation-V5.2 (2022), 19 Scope extension</p> <p>19.6 For geographical scope extensions, the following process shall be applied: 19.6.1 The CAB is required to provide evidence that it has access to sufficient resources to manage the geographical scope(s), including personnel, languages, management systems, affiliate offices or subcontractors, arrangements to cover potential liabilities from conformity assessment activities in the newly proposed countries, etc.</p>	YES	FSC requirements address well the competence and resources available for certification activities

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
18	The CB shall ensure that auditors and technical experts maintain confidentiality and impartiality.	<p>FSC-STD-20-001 (V 4-0) (2015)</p> <p>Part 1 General requirements</p> <p>1.5 Impartiality, 1.5.1 The certification body shall be responsible for ensuring that certification activities are undertaken impartially and shall not allow commercial, financial or other pressures to compromise impartiality.</p> <p>1.5.2 The certification body shall have top management commitment to impartiality.</p> <p>1.5.3 All certification body personnel (either internal or external) and committees involved in certification activities shall act impartially.</p> <p>1.5.4 The certification body and any part of the same legal entity and entities under its organisational control or controlling it shall not offer or provide consultancy within the scope of accreditation to its clients, in conformity with the requirements specified in Annex 1.</p> <p>1.5.5 The certification body shall maintain and implement written policy and procedures for avoidance of conflicts of interest.</p> <p>1.8 Confidentiality</p> <p>1.8.1 The certification body shall be responsible, through legally enforceable commitments, for the management of all information obtained or created during the performance of certification activities. Information is considered proprietary and shall be regarded as confidential, except for information that the client makes or is required to make publicly available, that FSC and ASI are entitled to access, or when agreed between the certification body and the client (e.g., for the purpose of responding to complaints).</p> <p>1.8.2 The certification body shall maintain and implement documented policies and procedures for maintenance of confidentiality,</p> <p>Part 4: Process requirements</p> <p>4.3.8 For all other types of audits the certification body should ensure that no client is audited by the same auditor on more than three (3) consecutive audits.</p>	YES	FSC requires confidentiality and impartiality from the certification bodies and their auditors.
19	The CB shall ensure that auditors and technical experts possess the necessary competence, knowledge, and skills for conducting evaluations.	<p>FSC-STD-20-001 (V4-0) (2015)</p> <p>Part 3 Resource requirements:</p> <p>3.1.2 The certification body shall have personnel with sufficient capacity to cover all operations and to handle the volume of work related to the implementation of the FSC accredited certification program.</p>	YES	FSC requires that CBs contract competent auditors, provide training and monitor the competence.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
19	continued	<p>3.1.3 The certification body shall have, implement and maintain a procedure for the management of competencies of personnel involved in the implementation of the FSC accredited certification program.</p> <p>3.1.5 d) provide an initial FSC Training Program for auditors (see FSC-PRO-20- 004) and ensure continuous training (see Annex 2), either internally or through external service providers approved by ASI – if not specified differently by FSC;</p> <p>e) demonstrate that the personnel have the required competencies for the duties and responsibilities they undertake, using the specifications in Annex 2, where applicable;</p> <p>3.1.7 Qualified auditors shall be registered in the FSC Auditor and Training Registry.</p> <p>Annex 2 provides a detailed description of the competency requirements for FSC auditors.</p> <p>FSC-STD-20-007 (V4-0) (2022)</p> <p>5.3. All audits shall be performed by a qualified audit team. In the case of on-site audits, at least one qualified auditor shall be physically present on site.</p> <p>NOTE: The team may be supported by technical experts and / or further personnel (e.g., interpreter), who support the auditors but do not themselves act as auditors.</p>	YES	FSC requires that CBs contract competent auditors, provide training and monitor the competence.
20	The competence of the CB and auditors shall be periodically evaluated	<p>FSC-STD-20-001 (V4-0) (2015) Part 3 Resource requirements:</p> <p>3.1.8 For the monitoring and evaluation of the performance of auditors the certification body shall have, implement and maintain a documented procedure with the following requirements: a) regular monitoring of auditors;</p>	YES	FSC requires that CBs regularly monitor the competence of auditors.
21	The CB shall have a procedure outlining the conditions for subcontracting.	<p>FSC-STD-20-001 (V4-0) (2015) Part 3 Resource requirements:</p> <p>3.2 Outsourcing, 3.2.1 The certification body may outsource work related to certification to a separate legal entity. In such a case the certification body shall ensure that the body that provides the outsourced service conforms with applicable requirements of this standard and other FSC normative documents.</p>	YES	CBs shall have procedures for subcontracting

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
Evaluation (audit) procedures				
22	The CB shall have procedures for audit planning and appointment of evaluation teams.	<p>FSC-STD-20-001 (V 4-0) (2015) Part 4: Process requirements 4.1 Application for certification, 4.3 Audit</p> <p>4.3.2 The certification body shall conduct audits for forest management certification in accordance with FSC-STD-20-007 and related normative documents. In countries that are lacking a National Forest Stewardship Standard or an Interim National Standard, the certification body shall participate in the process of developing an Interim National Standard as specified in FSC-STD20-002.</p> <p>4.3.3 The certification body shall conduct audits for chain of custody certification in accordance with FSC-STD-20-011 and related normative documents.</p> <p>4.3.4 The certification body shall conduct audits for controlled wood certification in forest management organisations in accordance with FSC-STD-20-012 and related normative documents.</p> <p>4.3.5 The certification body shall have an audit plan and shall share it with the client before the audit.</p> <p>4.3.10 The certification body shall consider ISO 19011 for incorporation into the audit handbook and shall at minimum include requirements for opening meetings, closing meetings and communication of audit findings in accordance with ISO 19011, where appropriate.</p> <p>FSC-STD-20-007 (V4-0) (2022)</p> <p>3.1. When a National Forest Stewardship Standard (NFSS) Risk Assessment developed according to FSC-PRO-60-010 Development of a National Forest Stewardship Standard Risk Assessment, exists for the country or region where the Management Unit (MU) is located, the certification body shall use the following information from the NFSS Risk Assessment when evaluating The Organisation against the applicable requirements:</p> <p>a. the risk designations for criteria or indicators of the NFSS; b. the identified factors influencing the risk of non-conformities at The Organisation level in the national or sub-national context; c. other means of verification and assurance techniques recommended in the NFSS Risk Assessment.</p> <p>NOTE: The risk designation in an NFSS identifies the criteria or indicators that: a. the certification body needs to prioritize and actively seek evidence of conformity with during an evaluation (specified risk); and b. are less critical due to the lower risk of non-conformity (low risk).</p>	YES	FSC requires that CBs have a detailed audit plan in line with relevant FSC standards.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
22 continued	<p>4. Determination of audit time,</p> <p>5. Determination of the audit method (on-site, remote audits or a combination of both). In organisations without Small or Low Intensity managed Forests (SLIMF)</p> <p>5.1.1 the certification body shall conduct annual on-site audit</p> <p>5.1.2 – 5.1.3 in SLIMF and / or community forests main evaluation and one surveillance audit shall include an on-site audit, the other audits may be remote.</p> <p>6. Preparation for pre-evaluation (not mandatory for SLIMF or community forests),</p> <p>6.2. The certification body shall take a precautionary approach to the likelihood that an MU may include High Conservation Values (HCVs).</p> <p>7. Preparation requirements for main evaluation</p> <p>a. identification of the applicable Forest Stewardship Standard (FSS),</p> <p>b. an analysis of the responsibility for full conformity with the applicable FSC normative requirements (e.g., by The Organisation, group entity, resource manager) as well as an analysis of the delegated responsibilities for the implementation of selected requirements (e.g., by contractors).</p> <p>8. Selecting management units for evaluation</p> <p>8.1.8. The certification body shall audit a sufficient variety and number of sites within each MU selected for evaluation to make factual observations of conformity with the requirements of the applicable FSS.</p> <p>8.3 – 8.5 Sampling for group certification: detailed guidelines.</p> <p>10.1.2. The certification body shall ensure that there is sufficient audit time and an appropriate audit method is chosen to evaluate all requirements with specified or undesignated risks from the applicable FSC and other applicable FSC requirements.</p> <p>10.2.1. The certification body shall complete an explicit analysis of the critical aspects of management control required to ensure that the applicable FSC normative requirements are implemented over: a. the full geographical area in the scope of certification; and b. the full range of management activities.</p> <p>13. Conflicts between laws and regulations, 13.1. The certification body shall identify and evaluate any conflicts between laws and / or regulations and certification requirements of the applicable FSS on a case-by-case basis.</p>	YES	FSC requires that CBs have a detailed audit plan in line with relevant FSC standards.	

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
23	The CB shall carry out a surveillance evaluation once per calendar year.	FSC-STD-20-001 (V4-0) (2015) Part 4: Process requirements 4.7 Surveillance, 4.7.1 Surveillance evaluations of FSC clients shall take place at least once per calendar year and additionally for chain of custody audits not later than fifteen (15) months after the last audit.	YES	FSC requires that CBs carry out annual surveillance audits
24	The CB shall enforce corrective actions within specified time limits.	FSC-STD-20-001 (V4-0) (2015) Part 4: Process requirements 4.3.11 The certification body shall evaluate each nonconformity identified in the audit to determine whether it constitutes a minor or major nonconformity. 4.3.16 The corrective action request timelines commence from the moment when they are formally presented to the client and no later than three (3) months from the audit closing date. Corrective action requests shall have the following timeframes: a) minor nonconformity shall be corrected within the maximum period of one (1) year (under exceptional and justified circumstances the timeline may be extended to two (2) years); b) major nonconformity shall be corrected within three (3) months (under exceptional and justified circumstances within six (6) months).	YES	FSC specifies the timeframes for completion of corrective actions.
25	The CB shall ensure that the entity responsible for certification decisions is impartial and possesses the competence to evaluate audit outcomes.	FSC-STD-20-007 (V4-0) (2022) 14. General requirements, 14.1. The certification body shall make certification decisions based on their evaluation of The Organisation’s conformity with the applicable FSC normative requirements and in accordance with FSC-STD-20-001 General requirements for FSC accredited certification bodies. FSC-STD-20-001 (V4-0) (2015) , 1.5. Impartiality 1.5.5 The certification body shall maintain and implement written policy and procedures for avoidance of conflicts of interest. These procedures shall include: b) documented procedures for determining timely and appropriate responses to such declarations of conflict of interest as they arise, to ensure that the declared interests neither influence, nor are perceived to influence, the decisions of the certification body; 1.5.9 ...personnel in decision-making process shall not be involved in the consultancy activities of a separate legal entity...	YES	FSC requires that CBs shall have procedures to ensure impartiality in decision making.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
26	The individuals involved in certification decision-making shall not have participated in the evaluation process.	<p>FSC-STD-20-001 (V4-0) (2015) Part 3 Resource requirements:</p> <p>3.2.2 Decisions for granting, maintaining, renewing, expanding or reducing the scope of, suspending, reinstating, or withdrawing certification shall not be outsourced.</p> <p>4.4.1 The certification body shall assign at least one (1) person to review all information and results related to the audit. The review shall be carried out by person(s) who have not been involved in the audit process.</p> <p>4.4.2 Recommendations for a certification decision based on the review shall be documented, unless the review and the certification decision are completed concurrently by the same person.</p> <p>4.5 Certification decision, 4.5.2 The certification body shall assign a certification decision making entity to make the certification decision based on all information related to the audit, its review, and any other relevant information. The person(s) of the certification decision making entity shall not have been involved in the audit process.</p>	YES	FSC requires that certification decision is done by a person not involved in the audit.
27	The CB shall document all identified non-conformances in the evaluation report and classify them as minor or major.	<p>FSC-STD-20-001 (V 4-0) (2015)</p> <p>5.2. The justification for the selection of the audit method shall be included in the evaluation report and in the public summary.</p> <p>Part 4: Process requirements</p> <p>Reporting 4.3.21 The certification body shall document the findings and conclusions of all audit activities prior to review and decision making in a certification report in conformity with the report writing requirements specified in:</p> <p>a) FSC-STD-20-007a for forest management certification reports;</p> <p>b) FSC-STD-20-007b for forest management public summary certification reports;</p> <p>c) FSC-STD-20-011 for chain of custody certification reports;</p> <p>d) FSC-STD-20-012 for controlled wood forest management certification reports</p> <p>4.3.11 The certification body shall evaluate each nonconformity identified in the audit to determine whether it constitutes a minor or major nonconformity.</p> <p>4.4.3 Draft Forest management certification reports of main evaluations shall be submitted to a formal peer review process</p>	YES	FSC requires a comprehensive audit report and classification of nonconformities.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
27	continued	<p>FSC-STD-20-007 (V4-0) (2022) 15. Non-conformities and corrective action requests</p> <p>15.1. All non-conformities that are identified by the certification body during an evaluation shall be recorded in the evaluation report and associated checklists.</p> <p>15.2. Non-conformities with FSC normative requirements shall be recorded and addressed even if these are not in the scope of a particular evaluation.</p> <p>15.3. Each non-conformity against indicators of the applicable FSS shall be evaluated to determine whether it constitutes a minor or major non-conformity at the level of the associated FSC criterion.</p> <p>15.7. A non-conformity shall be considered major if, either alone or in combination with other non-conformities, it results in, or is likely to result in a fundamental failure: a. to achieve the objectives of the relevant FSC criterion of the FSS, or b. in a significant part of the applied management system.</p> <p>16 Non-conformities in Forest Management Groups</p> <p>16.1. The certification body shall explicitly define the methodology by which the certification body determines 'failure' of a forest management group at an evaluation. The specification of 'failure' shall also distinguish between 'group failure' and 'member failure' or 'forestry contractor failure'.</p>	YES	FSC requires a comprehensive audit report and classification of nonconformities.
28	The CB shall provide a public summary report. Applies to forest management audits.	<p>FSC-STD-20-007 (V4-0) (2022) 18. Public summary</p> <p>18.1. The certification body shall complete the public summary in one of the official languages of FSC for each evaluation, using the applicable template(s) provided by FSC. The mandatory content of the public summary is provided in Annex 4 (Content of the evaluation report and public summary).</p> <p>Annex 4 public summaries. These contain key information about each Organisation's evaluation and that is made publicly available on the FSC database of registered certificates. The public summaries have the objective of providing transparency about forest management evaluations, enabling all interested or relevant parties to obtain information on certification decisions. (https://info.fsc.org/)</p>	YES	FSC requires that summaries to FM and CW forest management certification reports are made available to public.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
29	<p>The CB shall have procedures for stakeholder communication during audits.</p>	<p>FSC-STD-20-001 (V 4-0) (2015)</p> <p>1.9.6 The certification body shall treat anonymous complaints and expressions of dissatisfaction that are not substantiated as complaints as stakeholder comments and address these during the next audit.</p> <p>4.1.6 ...the certification body shall at minimum enter the following information in the FSC certification database (info.fsc.org) once it is available and at latest thirty (30) calendar days before the main evaluation</p> <p>d) evaluation contacts: ... ii. contact for stakeholder comments (name and e-mail address of the certification body's contact);</p> <p>3.1.4 This procedure shall require the certification body to determine the criteria for the competence of personnel for each function, g) the audit team leader shall be a qualified auditor in the respective scope with the abilitymanagement of stakeholder engagement including prevention or resolution of conflicts.</p> <p>Annex 3 Audit Teams, Box 2 ... The audit team shall include members with the experience and knowledge to ... process for identifying HCVs and interviewing stakeholders on the presence of ecological HCVs in the area to be evaluated, as well other environmental issues that are likely to be of importance during the audit.</p> <p>FSC-STD 20-007 (V 4-0) (2022), 1.6. The certification body shall conduct stakeholder consultations in accordance with FSC-STD-20-006 Stakeholder Consultation for Forest Evaluations Standard.</p> <p>FSC-STD-20-006 (V3-0) (2009), Stakeholder Consultation for Forest Evaluations</p> <p>1.1 The certification body shall consult with a range of stakeholders who can provide relevant information as to an applicant's conformity with the environmental, legal, social, and economic requirements of the Forest Stewardship Standard.</p> <p>2. Identification of stakeholders, 2.1 The certification body shall have effective procedures to identify the range of stakeholders that are likely to have information relevant to the evaluation...</p> <p>2.5 The certification body should contact stakeholders at the scale of organisation most likely to have information relevant for the assessment....</p> <p>3. Consultations during main or re-evaluations, 3.1 The certification body shall carry out such consultation as part of the main evaluation....</p> <p>5. Records, 5.1 The certification body shall keep the following records for each evaluation...</p>	YES	<p>FSC gives detailed requirements on the level of stakeholder consultations during the audits. In addition, audit team shall have competence to discuss with stakeholders on environmental issues.</p>

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y/N	Conclusions
29	continued	<p>6. Reporting, 6.1 The public summary reports prepared or updated after evaluations (main and surveillance) shall include a systematic presentation of stakeholder comments received...</p> <p>7. Consultation during surveillance, 7.1 The certification body shall conduct stakeholder consultation during surveillance evaluations as necessary to collect audit evidence.</p>	YES	FSC gives detailed requirements on the level of stakeholder consultations during the audits. In addition, audit team shall have competence to discuss with stakeholders on environmental issues.
30	The CB shall have procedures for the timely resolution of complaints and appeals.	<p>FSC-STD-20-001 (V 4-0) (2015), 1.2.3 The Client shall agree, that a complaint is first handled according to the certification body's dispute resolution procedure and if not resolved referred to ASI and ultimately to FSC, in case of disagreement with audit findings related to FSC normative documents.</p> <p>1.9, 1.9.1 The certification body shall have a documented procedure to receive, evaluate and make decisions on complaints and appeals</p> <p>1.9.2 Summary information about the procedures for submitting and handling complaints and appeals shall be easily accessible on the websites of both the certification body and any bodies providing outsourced services</p> <p>1.9.12 A complainant shall be offered the opportunity to refer their complaint to ASI, if the issue has not been resolved through the full implementation of the certification body's own procedures.</p> <p>ASI-PRO-20-101-Accreditation-V5.2 (2022), 10.9 The CAB may appeal Accreditation Decisions in accordance with the ASI Appeals Procedure (ASI-PRO-20-103).</p>	YES	FSC accreditation rules set adequate provisions for complaints and appeals procedures in accreditation.
31	Organisational commitment to meeting the certification requirements shall be required along with adequate resources, documentation, and / or reporting.	<p>FSC-STD-40-004 V3-1:</p> <p>1.1 The organisation shall implement and maintain a CoC management system adequate to its size and complexity to ensure its continuous conformity to all applicable certification requirements, including the following:</p> <p>a) appoint a management representative who has overall responsibility and authority for the organisation's conformity to all applicable certification requirements;</p> <p>b) implement and maintain up-to-date documented procedures covering the certification requirements applicable to the scope of the certificate;</p> <p>c) define the key personnel responsible for the implementation of each procedure;</p> <p>d) train staff on the up-to-date version of the organisation's procedures to ensure their competence in implementing the CoC management system;</p>	YES	The FSC-STD-40-004 places requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
31 continued		<p>e) maintain complete and up-to-date records of the documents that are relevant to demonstrate the organisation's conformity with all applicable certification requirements which shall be retained for a minimum period of five (5) years. At a minimum, the organisation shall keep records of the following documents as applicable to the certificate scope: procedures, product group lists; training records; purchase and sales documents; material accounting records; annual volume summaries; trademark approvals; records of suppliers, complaints, and outsourcing; control of non-conforming products; verification program records for reclaimed material, and records related to a due diligence program for controlled material and FSC Controlled Wood.</p> <p>1.3 The organisation shall commit to the FSC values as defined in FSC-POL-01-004 <i>Policy for the Association of Organisations with FSC</i>.</p>	YES	The FSC-STD-40-004 places requirements that correspond with those of the benchmark.
32	<p>Compliance with applicable laws, rules, and regulations shall be required, and responsible business practices shall be encouraged.</p>	<p>FSC-STD-40-004 V3-1:</p> <p>1.3 The organisation shall commit to the FSC values as defined in FSC-POL-01-004 <i>Policy for the Association of Organisations with FSC</i>.</p> <p>1.4 The organisation shall commit to occupational health and safety (OHAS). At a minimum, the organisation shall appoint an OHAS representative, establish and implement procedures adequate to its size and complexity, and train its staff on OHAS.</p> <p>NOTE: Other certifications and enforcement of local legislation on OHAS that cover the elements required in Clause 1.4 may be used as evidence of conformity to this requirement (i.e. the organisation may be considered as automatically meeting Clause 1.4).</p> <p>1.5 The organisation shall adopt (develop a new policy or use an existing one) and implement a policy statement, or statements, that encompass the FSC core labour requirements. The policy statements shall be made available to stakeholders (i.e. affected and interested stakeholders) and to the organisation's certification body.</p> <p>6.1 The organisation shall ensure that its FSC-certified and controlled wood products or timber products conform to all applicable timber legality legislation. At a minimum, the organisation shall:</p> <p>a) have procedures in place to ensure the import and / or export and commercialization of FSC-certified and controlled wood products by the organisation conform to all applicable trade and customs laws (if the organisation exports and / or imports FSC products);</p>	YES	The FSC-STD-40-004 and the FSC-POL-01-004 place requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
32 continued	<p>b) upon request, collect and provide information on species (common and scientific name) and country of harvest (or more specific location details if required by legislation) to direct customers and / or any FSC-certified organisations further down the supply chain that need this information to comply with timber legality legislation. The form and frequency of providing this information may be agreed upon between the organisation and the requester, as long as the information is accurate and can be correctly associated with each material supplied as FSC certified or FSC Controlled Wood.</p> <p>NOTE: Information on the sub-national regions or concessions of harvest is required where the risk of illegal harvesting between concessions of harvest in a country or sub-national region varies. Any arrangement conferring the right to harvest timber in a defined area is considered a concession of harvest.</p> <p>NOTE: If the organisation does not possess the requested information on species and country of origin, the request shall be passed on to the upstream suppliers until the information can be obtained.</p> <p>c) provide proof of compliance with relevant trade and customs laws;</p> <p>d) ensure that FSC-certified products containing pre-consumer reclaimed wood (except reclaimed paper) being sold to companies located in countries where timber legality legislation applies either:</p> <ul style="list-style-type: none"> a. only include pre-consumer reclaimed wood materials that conform to FSC Controlled Wood requirements in accordance with FSC-STD-40-005; or b. inform their customers about the presence of pre-consumer reclaimed wood in the product and support their due diligence system as required by applicable timber legality legislation. <p>NOTE: Organisations applying option d (i) above may apply the requirements for co-products outlined in FSC-STD-40-005.</p> <p>7.1 In the application of the FSC core labour requirements, the organisation shall give due consideration to the rights and obligations established by national law, while at the same time fulfilling the objectives of the requirements.</p> <p>7.2 The organisation shall not use child labour.</p> <p>7.3 The organisation shall eliminate all forms of forced and compulsory labour.</p> <p>7.4 The organisation shall ensure that there is no discrimination in employment and occupation. ...</p> <p>7.5 The organisation shall respect freedom of association and the effective right to collective bargaining. ...</p>	YES	The FSC-STD-40-004 and the FSC-POL-01-004 place requirements that correspond with those of the benchmark.	

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
32	continued	<p>FSC-POL-01-004 V3-0:</p> <p>FSC aims to associate with individuals and organisations aligned with the FSC mission and values and will not allow an association if the individual, organisation or its corporate group is or has been engaged in the following unacceptable activities:</p> <ul style="list-style-type: none"> a) Illegal harvesting or illegal trade in forest products b) Violation of customary or human rights within the forestry or forest products sector c) Violation of workers' rights and principles defined in the International Labour Organisation (ILO) Declaration on Fundamental Principles and Rights at Work within the forestry or forest products sector d) Destruction of High Conservation Values (HCVs) in forests or High Conservation Value areas e) Conversion of natural forest cover f) Use of genetically modified organisms in forestry operations for any other purposes than research. <p>NOTE: See Annex 1 for criteria defining a corporate group and Annex 2 for further considerations on circumstances where an associated individual or organisation has engaged in an unacceptable activity.</p>	YES	The FSC-STD-40-004 and the FSC-POL-01-004 place requirements that correspond with those of the benchmark.
33	Adequate self-monitoring practices shall be in place.	<p>1.6 The organisation shall maintain an up-to-date self-assessment in which it describes how the organisation applies the FSC core labour requirements to its operations. The self-assessment shall be submitted to the organisation's certification body.</p> <p><i>Annex D (FSC core labour requirements self-assessment) describes the detailed requirements of the self-assessment.</i></p>	YES	The FSC-STD-40-004 places requirements that correspond with those of the benchmark.
34	Personnel competence shall be ensured through adequate measures.	<p>FSC-STD-40-004 V3-1:</p> <p>1.1 The organisation shall implement and maintain a CoC management system adequate to its size and complexity to ensure its continuous conformity to all applicable certification requirements, including the following: ...</p> <ul style="list-style-type: none"> d) train staff on the up-to-date version of the organisation's procedures to ensure their competence in implementing the CoC management system; 	YES	The FSC-STD-40-004 places requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
34	continued	<p>e) maintain complete and up-to-date records of the documents that are relevant to demonstrate the organisation's conformity with all applicable certification requirements which shall be retained for a minimum period of five (5) years. At a minimum, the organisation shall keep records of the following documents as applicable to the certificate scope: ... training records; ...</p> <p>1.4 The organisation shall commit to occupational health and safety (OHAS). At a minimum, the organisation shall ... train its staff on OHAS.</p>	YES	The FSC-STD-40-004 places requirements that correspond with those of the benchmark.
35	Stakeholder engagement shall be encouraged for example through an outlined complaint process.	<p>FSC-STD-40-004 V3-1:</p> <p>1.5 The organisation shall adopt and implement a policy statement, or statements, that encompass the FSC core labour requirements. The policy statements shall be made available to stakeholders (i.e., affected and interested stakeholders) and to the organisation's certification body.</p> <p>1.7 The organisation shall ensure that complaints received regarding the organisation's conformity to the requirements applicable to the scope of the organisation's CoC certificate are adequately considered, including the following:</p> <p>a) acknowledge receipt of the complaint to the complainant within two (2) weeks of receiving the complaint;</p> <p>b) investigate the complaint and specify its proposed actions in response to the complaint within three (3) months. If more time is needed to complete the investigation, the complainant and the organisation's certification body shall be notified;</p> <p>c) take appropriate actions with respect to complaints and any deficiencies found in processes that affect conformity to the certification requirements;</p> <p>d) notify the complainant and the organisation's certification body when the complaint is considered to be successfully addressed and closed.</p>	YES	The FSC-STD-40-004 places requirements that correspond with those of the benchmark.
36	Requirements for identifying and controlling non-conformities in products and / or claims shall be in place, and activities following the detection of non-conformity shall be defined.	<p>FSC-STD-40-004 V3-1:</p> <p>1.8 The organisation shall have procedures in place to ensure that any nonconforming products are identified and controlled to prevent their unintended sale and delivery with FSC claims. Where non-conforming products are detected after they have been delivered, the organisation shall undertake the following activities:</p>	YES	The FSC-STD-40-004 places requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
36 continued		<p>a) notify its certification body and all affected direct customers in writing within five business days of the non-conforming product identification, and maintain records of that notice;</p> <p>b) analyse causes for the occurrence of non-conforming products, and implement measures to prevent their reoccurrence;</p> <p>c) cooperate with its certification body in order to allow the certification body to confirm that appropriate actions were taken to correct the nonconformity.</p>	YES	The FSC-STD-40-004 places requirements that correspond with those of the benchmark.
37	<p>Conditions for outsourcing activities related to certified products shall be outlined.</p>	<p>FSC-STD-40-004 V3-1:</p> <p>13.1 The organisation may outsource activities within the scope of its certificate to FSC-CoC-certified and / or non-FSC-CoC-certified contractors.</p> <p>NOTE: The organisation's outsourcing arrangements are subject to a risk analysis by the certification body and sampling for on-site audit purposes.</p> <p>13.2 Activities that are subject to outsourcing agreements are those that are included in the scope of the organisation's CoC certificate, such as purchase, processing, storage, labelling and invoicing of products.</p> <p>NOTE: Storage sites are exempt from outsourcing agreements where they constitute stopping places as part of transportation or logistic activities. However, if an organisation contracts a service provider to store goods that have not yet been sold to a customer, this is considered as an extension of the storage site of the organisation and therefore subject to an outsourcing agreement.</p> <p>13.3 Prior to outsourcing activities to a new contractor, the organisation shall inform its certification body about the outsourced activity, name, and contact details of the contractor.</p> <p>13.4 The organisation shall establish an outsourcing agreement with each non-FSC-certified contractor, specifying at a minimum that the contractor shall:</p> <p>a) conform to all applicable certification requirements and the organisation's procedures related to the outsourced activity;</p> <p>b) not make unauthorized use of the FSC trademarks (e.g. on the contractor's products or website);</p> <p>c) not further outsource any processing;</p> <p>d) accept the right of the organisation's certification body to audit the contractor;</p> <p>e) notify the organisation within the period of 10 business days if the contractor is included in the list of organisations that are disassociated from FSC, in accordance with the FSC-POL-01-004, and therefore subsequently ineligible to provide outsourcing services to FSC-certified organisations.</p>	YES	The FSC-STD-40-004 places requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
37 continued	<p>13.5 The organisation shall provide documented procedures to its non-FSC certified contractor(s) that ensure the following:</p> <p>a) the material under the contractor’s responsibility shall not be mixed or contaminated with any other material during the outsourced activity;</p> <p>b) the contractor shall keep records of inputs, outputs, and delivery documentation associated with all material covered by the outsourcing agreement;</p> <p>c) if the contractor applies the FSC label to the product on behalf of the organisation, the contractor shall only label the eligible products produced under the outsourcing agreement.</p> <p>13.6 The organisation shall maintain legal ownership of all materials during outsourcing.</p> <p>NOTE: Organisations are not required to re-take physical possession of the products following outsourcing (e.g. products may be shipped directly from the contractor to the organisation’s customer).</p> <p>13.7 The organisation shall identify the sales or delivery documents (or both) of materials sent for outsourcing following the requirements specified in Clause 5.1. Contractors are not required to identify the invoices of materials after outsourcing.</p> <p>13.8 The organisation may act as an FSC-certified contractor providing services to other contracting organisations. In this case, the organisation shall include the outsourcing services under the scope of its FSC certificate ensuring that all applicable certification requirements are met.</p> <p>13.9 The FSC-certified contractor shall ensure that they have a copy of the invoice(s) from the delivering supplier(s) and, if not identical, from the billing supplier(s) that include(s) information sufficient to link the invoice(s) and related transport documentation to each other. ...</p> <p>13.10 When the organisation provides FSC-certified outsourcing services to non-FSC-certified contracting organisations, it is acceptable that the contracting organisation buys the raw material for the outsourced processes. To ensure that the CoC is not broken, the material shall be transported directly from an FSC-certified supplier to the organisation (i.e. the non-certified contracting organisation shall not take physical possession of the materials before outsourcing). The output product shall be finished, FSC labelled, and branded with the name, label, or other identifying information of the contracting organisation.</p>	YES	The FSC-STD-40-004 places requirements that correspond with those of the benchmark.	

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
38	Feedstock sourcing and categorisation shall be defined.	<p>FSC-STD-01-002:</p> <p>FSC certified material [definition]: FSC 100%, FSC Mix or FSC Recycled material that is supplied with an FSC claim by an organisation which has been assessed by an FSC-accredited certification body for conformity with FSC Forest Management and / or Chain of Custody requirements.</p> <p>Controlled material [definition]: Input material supplied without an FSC claim, which has been assessed to be in conformity with FSC Controlled Wood requirements according to the standard FSC-STD-40-005 V3-0 <i>Requirements for Sourcing FSC Controlled Wood</i>.</p> <p>FSC-STD-40-004 V3-1:</p> <p>2.1 The organisation shall maintain up-to-date information about all suppliers who are supplying materials used for FSC product groups, including names, certification code (if applicable), and materials supplied.</p> <p>2.3 The organisation shall check the supplier’s sale and delivery documentation to confirm that:</p> <ul style="list-style-type: none"> a) the supplied material type and quantities are in conformity to the supplied documentation; b) the FSC claim is specified; c) the supplier’s FSC Chain of Custody or FSC Controlled Wood code is quoted for material supplied with FSC claims. <p>2.4 The organisation shall ensure that only eligible inputs and the correct material categories are used in FSC product groups as defined in Table B (<i>Annex 1, Figure 2</i>).</p> <p>2.5 Organisations sourcing non-FSC-certified reclaimed material for use in FSC product groups shall conform to the requirements of FSC-STD-40-007.</p> <p>2.6 Organisations sourcing non-FSC-certified virgin material for use in FSC product groups as controlled material shall conform to the requirements of FSC-STD-40-005.</p> <p>2.7 Organisations that reclaim materials from primary or secondary processing at their own site may classify the material as the same or lower material category as the input from which it was derived. Materials reclaimed from secondary processing may also be classified by the organisation as pre-consumer reclaimed material, except materials that are discarded by a manufacturing process but that can be reused on site by being incorporated back into the same manufacturing process that generated it.</p>	YES	The FSC-STD-40-004 and the FSC-STD-01-002 place requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
38	continued	2.8 The organisation may classify material held in stock at the time of the main evaluation by the certification body and material received between the date of the main evaluation and the issue date of the organisation's CoC certificate as eligible input, provided that the organisation is able to demonstrate to the certification body that the materials meet the FSC material sourcing requirements.	YES	The FSC-STD-40-004 and the FSC-STD-01-002 place requirements that correspond with those of the benchmark.
39	Certified and non-certified mixes shall be defined, and separation shall be required when appropriate.	<p>FSC-STD-40-004 V3-1:</p> <p>Annex E, FSC Mix [definition]: FSC claim for products based on inputs of one or more of the following material categories: FSC 100%, FSC Mix, FSC Recycled, controlled material, FSC Controlled Wood, post-consumer reclaimed, and / or pre-consumer reclaimed.</p> <p>NOTE: Product groups that are exclusively made of reclaimed material, controlled material, and / or FSC Controlled Wood are not eligible to be sold with the FSC Mix claim.</p> <p>2.4 The organisation shall ensure that only eligible inputs and the correct material categories are used in FSC product groups as defined in Table B (<i>Annex 1, Figure 2</i>).</p> <p>3.1 In cases where there is a risk of non-eligible inputs entering FSC product groups, the organisation shall implement one or more of the following segregation methods:</p> <ul style="list-style-type: none"> a) physical separation of materials; b) temporal separation of materials; c) identification of materials. <p>13.5 The organisation shall provide documented procedures to its non-FSC certified contractor(s) that ensure the following:</p> <ul style="list-style-type: none"> a) the material under the contractor's responsibility shall not be mixed or contaminated with any other material during the outsourced activity; ... 	YES	The FSC-STD-40-004 places requirements that correspond with those of the benchmark.
40	Rules for traceability in the Chain of Custody are established.	<p>FSC-STD-40-004 V3-1:</p> <p>1.1 The organisation shall implement and maintain a CoC management system adequate to its size and complexity to ensure its continuous conformity to all applicable certification requirements, including the following:</p>	YES	The FSC-STD-40-004 and the FSC-STD-40-003 place requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
40 continued	<p>e) maintain complete and up-to-date records of the documents that are relevant to demonstrate the organisation's conformity with all applicable certification requirements which shall be retained for a minimum period of five (5) years. At a minimum, the organisation shall keep records of the following documents as applicable to the certificate scope: procedures, product group lists; training records; purchase and sales documents; material accounting records; annual volume summaries; trademark approvals; records of suppliers, complaints, and outsourcing; control of non-conforming products; verification program records for reclaimed material, and records related to a due diligence program for controlled material and FSC Controlled Wood.</p> <p>1.9 The organisation shall support transaction verification conducted by its certification body and Assurance Services International (ASI), by providing samples of FSC transaction data as requested by the certification body. ...</p> <p>1.10 The organisation shall support fibre testing conducted by its certification body and ASI by surrendering samples and specimens of materials and products, and information about species composition for verification upon request.</p> <p>13.1 ...</p> <p>NOTE: The organisation's outsourcing arrangements are subject to a risk analysis by the certification body and sampling for on-site audit purposes.</p> <p>13.4 The organisation shall establish an outsourcing agreement with each non-FSC-certified contractor, specifying at a minimum that the contractor shall: ...</p> <p>d) accept the right of the organisation's certification body to audit the contractor; ...</p> <p>14.2 For single CoC certification, all sites included in the scope of certification shall conform to all applicable certification requirements specified in FSC-STD-40-004. The requirements specified in FSC-STD-40-003 do not apply.</p> <p>NOTE: In this scenario, all applicable certification requirements as defined in FSC-STD-40-004 shall be evaluated by the certification body at all sites included in the scope of the certificate within each audit (i.e. no sampling applies).</p> <p>FSC-STD-40-003 V2-1:</p> <p>E. Terms and definitions. Central Office Audit Program [definition]: Monitoring of the Participating Sites by the Central Office to verify that all the requirements of certification (including the relevant certification standards and any other requirements of the certification body and Central Office) are fully implemented at the Participating Sites.</p>	YES	The FSC-STD-40-004 and the FSC-STD-40-003 place requirements that correspond with those of the benchmark.	

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
40 continued	<p>4.5 All Participating Sites shall be subject to the Central Office Audit Program, unless the certification body is auditing all Participating Sites (100% audit sampling) during each evaluation (main evaluation, surveillance evaluation, re-evaluation).</p> <p>NOTE: The certification body conducts an initial assessment and annual surveillance audits of the Central Office as well as of a sample of the Participating Sites. The Central Office is exempt from implementing an annual Audit Program if the certification body conducts annual audits of all Participating Sites (100% audit sampling). However, an annual surveillance audit of the Central Office by the certification body will always be conducted.</p> <p>4.6 A Participating Site can also act as the Central Office. In this case, this Participating Site is not required to be included in the Central Office Audit Program, but it shall be annually audited by the certification body for verification of conformance to all applicable certification requirements.</p> <p>5.1.4 The Central Office shall keep and maintain up-to-date records of all Participating Sites under the scope of the certificate, including:</p> <p>a) A list of all Participating Sites, including:</p> <ul style="list-style-type: none"> a. Contact information (name, phone number, email address, physical address); b. Appointed Participating Site's COC representative; c. Date of entry into the Multi-site or Group COC certificate; d. Date of withdrawal from the scope of the certificate; e. The certificate sub-code assigned; f. The site activity (e.g. primary processor, secondary processor, trader, printer, retailer); g. Indication if the Participating Site implements Controlled Wood verification program, Supplier verification program for reclaimed materials and / or high risk outsourcing (according to criteria specified in FSC-STD-20-011); h. Indication if the Participating Site has signed a declaration stating that no material has been FSC labeled, sourced as controlled material, or sold as FSC certified or FSC Controlled Wood since the last Central Office's audit (according to clause 5.3.2 b). <p>b) Where applicable (as required in Clause 4.3), the signed "consent form" or contract of each Participating Site;</p> <p>c) Records demonstrating the scope of COC certification for each Participating Site;</p> <p>d) Records of all Central Office's audits, nonconformities identified in such audits, actions taken to correct them, and the Central Office's annual review of its audit program and procedures (according to Clause 5.3.8);</p>	<p>YES</p>	<p>The FSC-STD-40-004 and the FSC-STD-40-003 place requirements that correspond with those of the benchmark.</p>	

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
40	continued	<p>e) Training provided by, or on behalf of, the Central Office, and of participation therein;</p> <p>f) A list of the Central Office’s auditors and their qualifications.</p> <p>5.3.1 The Central Office shall carry out an initial audit of each applicant to ensure that they conform to all applicable requirements of the Chain of Custody certification standard(s) and any additional requirements established by the Central Office prior to their inclusion as a Participating Site in the scope of the certificate.</p> <p>5.3.2 The Central Office shall conduct at least one audit annually of each Participating Site to evaluate the continued conformity to all applicable requirements of the Chain of Custody certification standard(s) and any additional requirements established by the Central Office. The Central Office may opt to waive its annual audit for Participating Sites that:</p> <p>a) Have already been audited by the certification body in the same calendar year, and / or</p> <p>b) Sign a declaration stating that no material has been FSC labeled, sourced as controlled material, or sold as FSC certified or FSC Controlled Wood since the last Central Office’s audit. In that case, at the next audit the Central Office shall review the records back to the previous Central Office’s audit to confirm the certification inactivity during the period.</p> <p>5.3.3 The Central Office shall not waive more than two consecutive annual audits for each Participating Site.</p> <p>5.3.4 For certificates where all Participating Sites are linked through common ownership, the Central Office’s annual audits may be performed by internal auditors from Participating Sites meeting the requirements specified for Central Office’s auditors.</p> <p>5.3.5 The Central Office may perform desk audits (remote audits) for Participating Sites that are:</p> <p>a) Trading in finished and labelled products (e.g. retailers);</p> <p>b) Trading products without taking physical possession of products (e.g. traders);</p> <p>c) Exclusively handling certified products made of a single input material (e.g. the whole site production is FSC 100%).</p> <p>5.3.7 The Central Office shall document each Participating Site’s audit in a report covering at minimum the following information:</p>	YES	The FSC-STD-40-004 and the FSC-STD-40-003 place requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
40 continued	<p>a) Participating Site details (sufficient to identify the site);</p> <p>b) Checklist covering the certification requirements applicable to the Participating Site, providing a systematic presentation of findings and demonstrating conformity or nonconformity to each requirement;</p> <p>c) Status of CARs issued by the certification body and /or by the Central Office, including CARs issued during the previous audit and current audit;</p> <p>d) Verification of FSC material balance for each Participating Site in accordance with the requirements of FSC-STD-40-004;</p> <p>e) Summary of audit conclusions, including the decision on whether or not the site is eligible to be included or remain in the scope of the certificate.</p> <p>5.3.8 The Central Office shall conduct an annual review of its audit program and procedures. The results of all audits shall be included in the review in order to address any necessary changes or identified issues.</p> <p>5.5.3 If the number of Participating Sites is going to exceed the approved growth limit, new sites can only be added to the certificate after the certification body has done an audit of the Central Office and a sample of the new sites.</p> <p>NOTE: In the audit for inclusion of new Participating Sites, the certification body will establish a new growth limit for the period between the date of the expansion of scope audit and the next certification body's surveillance audit.</p> <p>5.5.4 New Participating Sites added within the growth limit shall be considered certified after its publication in the FSC database of registered certificates. The Central Office shall submit the audit report for each applicant site to the certification body together with the request to include the new Participating Site(s) to the FSC database.</p> <p>NOTE: Certification bodies are not required to revise and approve the Central Office's audit reports.</p> <p>5.5.5 Multi-site and Group COC certificates without a Central Office Audit Program (see Clause 4.5 above) can only add new Participating Sites to the scope of the certificate after they have been audited and approved by the certification body.</p>	YES	The FSC-STD-40-004 and the FSC-STD-40-003 place requirements that correspond with those of the benchmark.	

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
41	Chain of custody models shall be defined. These methods shall facilitate the tracking of quantities of inputs and outputs.	<p>FSC-STD-40-004 V3-1:</p> <p>9 Transfer system, Box 5. Transfer system application: The transfer system is an FSC control system which provides the simplest approach for the determination of output claims by transferring the FSC claims of inputs materials directly to the output products. Through segregation from ineligible materials, the link between input and output material is assured through all stages of an organisation’s processes.</p> <p>The transfer system can be applied to all types of product groups, FSC claims, and activities.</p> <p>There are no valid output claims for pre-consumer reclaimed wood since it is not considered an eligible input in the transfer system.</p> <p>NOTE: Non-timber forest products used for food and medicinal purposes are restricted to the transfer system only.</p> <p>10 Percentage system, Box 6. Percentage system application: The percentage system is an FSC control system which allows all outputs to be sold with a percentage claim that corresponds to the proportion of claim-contributing inputs over a specified claim period.</p> <p>The percentage system can be applied to FSC Mix and FSC Recycled product groups at the level of a single or multiple physical sites. The percentage system may also be applied to products carrying the FSC Small and Community Label.</p> <p>The percentage system cannot be applied to the following activities:</p> <ul style="list-style-type: none"> – sale of products with the FSC 100% output claim; – trade and distribution of finished wood products and paper (e.g. paper merchants); – trade without physical possession; – trade and processing of non-timber forest products (NTFPs), except for bamboo and NTFPs derived from trees (e.g. cork, resin, bark, rubber / latex). <p>11 Credit system, Box 7. Credit system application: The credit system is an FSC control system which allows a proportion of outputs to be sold with a credit claim corresponding to the quantity of claim-contributing inputs and the applicable product group conversion factor(s).</p> <p>The credit system can be used for FSC Mix and FSC Recycled product groups at the level of a single or multiple physical sites.</p>	YES	The FSC-STD-40-004 places requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
41	continued	<p>The credit system cannot be applied to the following activities:</p> <ul style="list-style-type: none"> – sale of products with the FSC 100% output claim; – trade and distribution of finished wood products and paper (e.g. paper merchants); – trade without physical possession; – trade and processing of non-timber forest products (NTFPs), except for bamboo and NTFPs derived from trees (e.g. cork, resin, bark, rubber / latex); – print processes; – sale of product groups carrying the FSC Small and Community Label and / or claim. <p>Transfer system is further defined in the requirements 9.1-9.3. Percentage system is further defined in the requirements 10.1-10.10. Credit system is further defined in the requirements 11.1-11.10.</p>	YES	The FSC-STD-40-004 places requirements that correspond with those of the benchmark.
42	<p>If a mass balance approach is employed, it shall be clearly defined, legitimate, and transparent.</p>	<p>FSC-STD-40-004 V3-1:</p> <p>11 Credit system, Box 7. Credit system application: The credit system is an FSC control system which allows a proportion of outputs to be sold with a credit claim corresponding to the quantity of claim-contributing inputs and the applicable product group conversion factor(s).</p> <p>The credit system can be used for FSC Mix and FSC Recycled product groups at the level of a single or multiple physical sites.</p> <p>The credit system cannot be applied to the following activities:</p> <ul style="list-style-type: none"> – sale of products with the FSC 100% output claim; – trade and distribution of finished wood products and paper (e.g. paper merchants); – trade without physical possession; – trade and processing of non-timber forest products (NTFPs), except for bamboo and NTFPs derived from trees (e.g. cork, resin, bark, rubber / latex); – print processes; – sale of product groups carrying the FSC Small and Community Label and / or claim. <p>11.1 For each product group, the organisation shall set up and maintain an FSC credit account according to which additions and deductions of FSC credits shall be recorded.</p>	YES	The FSC-STD-40-004 places requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
42 continued	<p>11.2 The organisation shall maintain credit accounts of either input materials or output products.</p> <p>11.3 The credit system may be applied at the level of a single or multiple physical sites. The conditions for the establishment of a centralized credit account covering multiple sites are the following:</p> <ul style="list-style-type: none"> a) credits shall be shared within the same product group; b) all sites shall be within the scope of a single or multi-site certificate with a common ownership structure; c) all sites shall be located within the same country or the Eurozone; d) all sites shall use the same integrated management software; e) each site participating in a cross-site credit account shall contribute at least 10% of the input credits used by its own site in a 12-month period. <p>11.4 For FSC Mix and / or FSC Recycled inputs, the organisation shall use the percentage claim or credit claim stated on the supplier's documentation to determine the quantity of claim-contributing inputs.</p> <p>NOTE: Material supplied with a credit claim shall be used by its full quantity as claim-contributing input.</p> <p>11.5 When the credit system is applied to assembled wood products, and where inputs of different quality are combined, high-quality components that are sourced as controlled material or FSC Controlled Wood shall not represent more than 30% of the product group's composition (by volume or weight). In the context of this Clause, the following criteria define quality:</p> <ul style="list-style-type: none"> a) all products that are made of chip and particles of wood are considered as having the same quality; b) solid wood components are considered as having a higher quality than components of chip and particles of wood; c) solid hardwood is considered as having higher quality than softwood. <p>11.6 The organisation shall not accumulate more FSC credit in the credit account than the sum of FSC credit that has been added during the previous 24 months. (This means that credits which were not used for output claims within this period expire.) The FSC credit that exceeds the sum of credits entered into the account within the previous 24-month period shall be deducted from the credit account at the start of the following month (at the 25th month after they have been added to the account).</p>	<p>YES</p>	<p>The FSC-STD-40-004 places requirements that correspond with those of the benchmark.</p>	

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
42 continued		<p>11.7 The determination of output credit quantities shall be achieved by multiplying the input quantities by the applicable conversion factor(s) specified for each component of the product group.</p> <p>11.8 When products are sold with FSC Mix or FSC Recycled credit claims, the organisation shall convert the quantity of input materials into credits according to Clause 11.7 and deduct them from the FSC credit account.</p> <p>11.9 The organisation shall only sell products with FSC credit claims if there are credits available in the corresponding credit account.</p> <p>11.10 The organisation may supply the portion of the output quantity that has not been sold as FSC Mix Credit as FSC Controlled Wood, on the basis of a corresponding FSC Controlled Wood credit account.</p> <p>NOTE: FSC Controlled Wood credit accounts are not needed when the FSC Mix Credit account covers the whole organisation's production.</p>	YES	The FSC-STD-40-004 places requirements that correspond with those of the benchmark.
43	<p>Allowable claims and labels shall be defined with sufficient information. These claims and labels shall be appropriate, considering the Chain of Custody models being applied.</p>	<p>FSC-STD-40-004 V3-1:</p> <p>Annex E, FSC claim [definition]: A claim made on sales and delivery documents for FSC-certified or FSC Controlled Wood output products. The FSC claims are: FSC 100%, FSC Mix x%, FSC Recycled x%, FSC Mix Credit, FSC Recycled Credit, and FSC Controlled Wood.</p> <p>2.4 The organisation shall ensure that only eligible inputs and the correct material categories are used in FSC product groups as defined in Table B (<i>Annex 1, Figure 2</i>).</p> <p>5.1 The organisation shall ensure that sales documents (physical or electronic) issued for products sold with FSC claims include the following information:</p> <ul style="list-style-type: none"> a) name and contact details of the organisation; b) information to identify the customer, such as name and address of the customer (except for sales to end consumers); c) date when the document was issued; d) product name or description; e) quantity of products sold; f) the organisation's FSC certificate code associated with FSC-certified products and / or FSC Controlled Wood code associated with FSC Controlled Wood products; g) a clear indication of the FSC claim for each product item or the total products as specified in Table C (<i>Annex 1, Figure 3</i>). 	YES	The FSC-STD-40-004, FSC-STD-40-005, and FSC-STD-01-002 place requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
43 continued	<p>9. Transfer system, Box 5. Transfer system application: ... The transfer system can be applied to all types of product groups, FSC claims, and activities. ...</p> <p>10. Percentage system, Box 6. Percentage system application: ... The percentage system can be applied to FSC Mix and FSC Recycled product groups at the level of a single or multiple physical sites. The percentage system may also be applied to products carrying the FSC Small and Community Label.</p> <p>The percentage system cannot be applied to the following activities:</p> <ul style="list-style-type: none"> – sale of products with the FSC 100% output claim; ... <p>11. Credit system, Box 7. Credit system application: ... The credit system can be used for FSC Mix and FSC Recycled product groups at the level of a single or multiple physical sites.</p> <p>The credit system cannot be applied to the following activities:</p> <ul style="list-style-type: none"> – sale of products with the FSC 100% output claim; ... <p>12.1 The organisation may apply the FSC label on FSC-certified products following the requirements specified in FSC-STD-50-001. The type of FSC label shall always correspond to the FSC claim made on sales documents, as specified in Table E (<i>Annex 1, Figure 4</i>).</p> <p>12.2 Only FSC products that are eligible for FSC labelling may be promoted with the FSC trademarks.</p> <p>FSC-STD-01-002:</p> <p>FSC claim [definition]: Claim made on sales and delivery documents for FSC-certified material or FSC Controlled Wood that specifies the material category and, for FSC Mix and FSC Recycled products, an associated percentage claim or credit claim.</p> <p>FSC 100% [definition]: FSC-certified virgin material originating in FSC-certified forests or plantations that has not been mixed with material of another material category throughout the supply chain. FSC 100% products are eligible to be used in FSC 100% or FSC Mix product groups.</p> <p>FSC Mix [definition]: FSC-certified virgin material based on input from FSC-certified, controlled and / or reclaimed sources, and supplied with a percentage claim or credit claim. FSC Mix material is only eligible to be used in FSC Mix product groups.</p>	YES	The FSC-STD-40-004, FSC-STD-40-005, and FSC-STD-01-002 place requirements that correspond with those of the benchmark.	

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
43	continued	<p>FSC Recycled [definition]: FSC-certified reclaimed material based on exclusive input from reclaimed sources, and supplied with a percentage claim or credit claim. FSC Recycled material or products are eligible to be used in FSC Mix or FSC Recycled product groups.</p> <p>FSC-STD-40-005 V3-1:</p> <p>Box 1: Definitions: FSC Controlled Wood is material confirmed as being in conformity with this standard, standard FSC-STD-40-004, or standard FSC-STD-30-010, either purchased as such from a supplier (under the scope of FSC-STD-40-004) or classified as such by the organisation implementing this standard, for sale to another organisation (not used in internal production).</p>	YES	The FSC-STD-40-004, FSC-STD-40-005, and FSC-STD-01-002 place requirements that correspond with those of the benchmark.
44	To ensure the credibility of mixed claims, the scheme shall have procedures in place to verify that non-certified feedstock originates from controlled sources.	<p>FSC-STD-40-004 V3-1:</p> <p>6.1 The organisation shall ensure that its FSC-certified and controlled wood products or timber products conform to all applicable timber legality legislation. At a minimum, the organisation shall:</p> <p>a) have procedures in place to ensure the import and /or export and commercialization of FSC-certified and controlled wood products by the organisation conform to all applicable trade and customs laws (if the organisation exports and / or imports FSC products);</p> <p>b) upon request, collect and provide information on species (common and scientific name) and country of harvest (or more specific location details if required by legislation) to direct customers and / or any FSC-certified organisations further down the supply chain that need this information to comply with timber legality legislation. The form and frequency of providing this information may be agreed upon between the organisation and the requester, as long as the information is accurate and can be correctly associated with each material supplied as FSC certified or FSC Controlled Wood.</p> <p>NOTE: Information on the sub-national regions or concessions of harvest is required where the risk of illegal harvesting between concessions of harvest in a country or sub-national region varies. Any arrangement conferring the right to harvest timber in a defined area is considered a concession of harvest.</p> <p>NOTE: If the organisation does not possess the requested information on species and country of origin, the request shall be passed on to the upstream suppliers until the information can be obtained.</p>	YES	The FSC-STD-40-004 and FSC-STD-40-005 place requirements that correspond with those of the benchmark.

Annex 1 – Certification Scheme Performance Requirements continued

#	Operational requirement	Requirement of the assessed system	Y / N	Conclusions
44 continued	<p>c) provide proof of compliance with relevant trade and customs laws;</p> <p>d) ensure that FSC-certified products containing pre-consumer reclaimed wood (except reclaimed paper) being sold to companies located in countries where timber legality legislation applies either:</p> <p>i) only include pre-consumer reclaimed wood materials that conform to FSC Controlled Wood requirements in accordance with FSC-STD-40-005; or</p> <p>ii) inform their customers about the presence of pre-consumer reclaimed wood in the product and support their due diligence system as required by applicable timber legality legislation.</p> <p>NOTE: Organisations applying option d (i) above may apply the requirements for co-products outlined in FSC-STD-40-005.</p> <p>FSC-STD-40-005:</p> <p>A Objective and B Scope: FSC-STD-40-005 <i>Requirements for Sourcing FSC Controlled Wood</i> outlines the requirements for a due diligence system for FSC Chain of Custody certified organisations to avoid material from unacceptable sources. Material from unacceptable sources cannot be used in FSC Mix products. In its main application, the standard requires the use of risk assessments to evaluate the risk of sourcing from unacceptable sources. When specified or unspecified risk for the source of the material or risk of mixing in the supply chain is identified, control measures shall be implemented by the organisation to mitigate the risk.</p> <p>The five FSC controlled wood categories of unacceptable sources (referred to as controlled wood categories) are:</p> <ol style="list-style-type: none"> 1) Illegally harvested wood; 2) Wood harvested in violation of traditional and human rights; 3) Wood from forests in which high conservation values are threatened by management activities; 4) Wood from forests being converted to plantations or non-forest use; and 5) Wood from forests in which genetically modified trees are planted. 	YES	The FSC-STD-40-004 and FSC-STD-40-005 place requirements that correspond with those of the benchmark.	

Annex 2 – Certification Holder Performance Requirements

#	Performance requirement	Requirement of the assessed system	Y/N/P	Conclusions
1	<p>Indicator 1.1.1:</p> <p>Operations related to feedstock sourcing and biomass production shall comply with all existing applicable laws and regulations.</p>	<p>FSC-STD-60-004:</p> <p>1.3 The Organisation shall have legal rights to operate in the Management Unit, which fit the legal status of The Organisation and of the Management Unit, and shall comply with the associated legal obligations in applicable national and local laws and regulations and administrative requirements. The legal rights shall provide for harvest of products and / or supply of ecosystem services from within the Management Unit. The Organisation shall pay the legally prescribed charges associated with such rights and obligations.</p> <p>1.3.1 All activities undertaken in the Management Unit are carried out in compliance with:</p> <ol style="list-style-type: none"> 1) Applicable laws and regulations and administrative requirements, 2) Legal and customary rights; and 3) Obligatory codes of practice. <p>1.5 The Organisation shall comply with the applicable national laws, local laws, ratified international conventions and obligatory codes of practice, relating to the transportation and trade of forest products within and from the Management Unit, and / or up to the point of first sale.</p>	YES	The FSC-STD-60-004 places requirements that correspond with those of the benchmark.
2	<p>Indicator 1.1.2:</p> <p>Legal ownership of land and resource use rights shall be respected.</p>	<p>FSC-STD-60-004:</p> <p>1.2 The Organisation shall demonstrate that the legal status of the Management Unit, including tenure and use rights, and its boundaries, are clearly defined.</p> <p>1.3 The Organisation shall have legal rights to operate in the Management Unit, which fit the legal status of The Organisation and of the Management Unit, and shall comply with the associated legal obligations in applicable national and local laws and regulations and administrative requirements. The legal rights shall provide for harvest of products and / or supply of ecosystem services from within the Management Unit. The Organisation shall pay the legally prescribed charges associated with such rights and obligations.</p>	YES	The FSC-STD-60-004 places requirements that correspond with those of the benchmark.

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirement	Requirement of the assessed system	Y / N / P	Conclusions
3	<p>Indicator 1.1.3:</p> <p>Feedstock shall be legally harvested, supplied and produced, including in compliance with CITES, EUTR and other applicable legal trade requirements.</p>	<p>FSC-STD-60-004:</p> <p>1.3 The Organisation shall have legal rights to operate in the Management Unit, which fit the legal status of The Organisation and of the Management Unit, and shall comply with the associated legal obligations in applicable national and local laws and regulations and administrative requirements. The legal rights shall provide for harvest of products and / or supply of ecosystem services from within the Management Unit. The Organisation shall pay the legally prescribed charges associated with such rights and obligations.</p> <p>1.5 The Organisation shall comply with the applicable national laws, local laws, ratified international conventions and obligatory codes of practice, relating to the transportation and trade of forest products within and from the Management Unit, and / or up to the point of first sale.</p> <p>1.5.2 Compliance with CITES provisions is demonstrated, including through possession of certificates for harvest and trade in any CITES species.</p>	YES	The FSC-STD-60-004 places requirements that correspond with those of the benchmark.
4	<p>Indicator 1.1.4:</p> <p>Payments for harvest rights and feedstock, including duties, relevant royalties and taxes related to timber harvesting shall be complete and up to date.</p>	<p>FSC-STD-60-004:</p> <p>1.3 The Organisation shall have legal rights to operate in the Management Unit, which fit the legal status of The Organisation and of the Management Unit, and shall comply with the associated legal obligations in applicable national and local laws and regulations and administrative requirements. The legal rights shall provide for harvest of products and / or supply of ecosystem services from within the Management Unit. The Organisation shall pay the legally prescribed charges associated with such rights and obligations.</p> <p>1.3.2 Payment is made in a timely manner of all applicable legally prescribed charges connected with forest management.</p>	YES	The FSC-STD-60-004 places requirements that correspond with those of the benchmark.
5	<p>Indicator 1.1.5:</p> <p>There shall be adequate protection of the Supply Base from unauthorised and illegal activities, such as illegal logging, mining, and encroachment.</p>	<p>FSC-STD-60-004:</p> <p>1.4 The Organisation shall develop and implement measures, and / or shall engage with regulatory agencies, to systematically protect the Management Unit from unauthorized or illegal resource use, settlement and other illegal activities.</p>	YES	The FSC-STD-60-004 places requirements that correspond with those of the benchmark.

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirement	Requirement of the assessed system	Y / N / P	Conclusions
6	<p>Indicator 2.1.1:</p> <p>Key species, habitats, ecosystems, and areas of high conservation value (HCV) pertaining to biodiversity in the Supply Base shall be identified.</p>	<p>FSC-STD-60-004:</p> <p>9.1 The Organisation, through engagement with affected stakeholders, interested stakeholders and other means and sources, shall assess and record the presence and status of the following High Conservation Values in the Management Unit, proportionate to the scale, intensity and risk of impacts of management activities, and likelihood of the occurrence of the High Conservation Values:</p> <p>HCV1 – Species diversity. Concentrations of biological diversity including endemic species, and rare, threatened or endangered species, that are significant at global, regional or national levels.</p> <p>HCV 2 – Landscape-level ecosystems and mosaics. Intact Forest Landscapes and large landscape-level ecosystems and ecosystem mosaics that are significant at global, regional or national levels, and that contain viable populations of the great majority of the naturally occurring species in natural patterns of distribution and abundance.</p> <p>HCV 3 – Ecosystems and habitats. Rare, threatened, or endangered ecosystems, habitats or refugia.</p>	YES	<p>The FSC-STD-60-004 places requirements that correspond with those of the benchmark.</p> <p>Note: SBP does not apply the same definition for HCV as the FSC.</p>
7	<p>Indicator 2.1.2:</p> <p>Threats to and impacts on the identified key species, habitats, ecosystems, and areas of high conservation value (HCV) pertaining to biodiversity in the Supply Base shall be identified and evaluated.</p>	<p>FSC-STD-60-004:</p> <p>9.2 The Organisation shall develop effective strategies that maintain and / or enhance the identified High Conservation Values, through engagement with affected stakeholders, interested stakeholders and experts.</p> <p>9.2.1 Threats to High Conservation Values are identified using Best Available Information.</p> <p>9.4 The Organisation shall demonstrate that periodic monitoring is carried out to assess changes in the status of High Conservation Values, and shall adapt its management strategies to ensure their effective protection. The monitoring shall be proportionate to the scale, intensity and risk of management activities, and shall include engagement with affected stakeholders, interested stakeholders and experts.</p>	YES	<p>The FSC-STD-60-004 does not use the word <i>evaluate</i> but this is corresponded by assessment of changes based on monitoring. The defined scope of the HCV as applied in the FSC-STD-60-004 involves all the topics listed in the benchmark requirement.</p>

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirement	Requirement of the assessed system	Y/N/P	Conclusions
8	<p>Indicator 2.1.3:</p> <p>Key species, habitats, ecosystems, and areas of high conservation value (HCV) pertaining to biodiversity in the Supply Base shall be maintained or enhanced.</p>	<p>FSC-STD-60-004:</p> <p>9.2 The Organisation shall develop effective strategies that maintain and / or enhance the identified High Conservation Values, through engagement with affected stakeholders, interested stakeholders and experts.</p> <p>9.3 The Organisation shall implement strategies and actions that maintain and / or enhance the identified High Conservation Values. These strategies and actions shall implement the precautionary approach and be proportionate to the scale, intensity and risk of management activities.</p>	YES	<p>The FSC-STD-60-004 places requirements that correspond with those of the benchmark.</p>
9	<p>Indicator 2.2.1:</p> <p>Feedstock shall not be sourced from land that had one of the following statuses in January 2008 and no longer has that status due to land conversion:</p> <ol style="list-style-type: none"> Forests Wetlands Peatlands Highly biodiverse grasslands. 	<p>FSC-STD-60-004:</p> <p>6.9 The Organisation shall not convert natural forest to plantations, nor natural forests or plantations on sites directly converted from natural forest to non-forest land use, except when the conversion: ...</p> <p>6.10 Management Units containing plantations that were established on areas converted from natural forest after November 1994 shall not qualify for certification, except where: ...</p> <p>9.2 The Organisation shall develop effective strategies that maintain and / or enhance the identified High Conservation Values, through engagement with affected stakeholders, interested stakeholders and experts.</p> <p>ADVICE-20-007-22:</p> <p>6.9.1 There is no conversion of natural forest or High Conservation Value Areas to plantations, or to non-forest land-use, nor transformation of plantations on sites directly converted from natural forest to non-forest land-use, except when it:</p> <ol style="list-style-type: none"> Affects a very limited portion of the Management Unit, and Will produce clear, substantial, additional, secure, long-term conservation and social benefits in the Management Unit, and Does not damage or threaten High Conservation Values, nor any sites or resources necessary to maintain or enhance those High Conservation Values. <p>6.10.1 Based on Best Available Information, accurate data is compiled on all conversions between 1 December 1994 and 31 December 2020 within the Management Unit</p> <p>6.10.2 Areas converted from natural forest to plantation between 1 December 1994 and 31 December 2020 are not certified, except where:</p>	PARTIAL	<p>The FSC-STD-60-004 places requirements that correspond with those of the benchmark.</p> <p>The ADVICE-20-007-22 sets limitations to conversion of natural forests and HCV areas, including historical cut-off dates for conversion. However: (1) the 6 HCVs defined by the FSC system do not directly correspond with the land covers / statuses defined by the benchmark requirement (indicator 2.2.1 b, c, d), and (2) the cut-off date for conversion of the HCV areas is set at 31 Dec 2020, and not at January 2008 or earlier as stipulated by the benchmark requirement, and (3) the ADVICE-20-007-22 provides exceptions that allow for conversion in specified cases.</p> <p>The FSC-STD-60-004 additionally sets limitations to conversion of water bodies, which covers wetlands and, to some extent, also peatlands. However, these limitations do not apply a historical cut-off date.</p>

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirement	Requirement of the assessed system	Y / N / P	Conclusions
9	<p>continued</p> <p>1.) The conversion affected a very limited portion of the Management Unit and is producing clear, substantial, additional, secure long-term conservation benefits in the Management Unit, or</p> <p>2.) The Organisation which was directly or indirectly involved in the conversion demonstrates restitution of all social harms and proportionate remedy of environmental harms as specified in the applicable FSC Remedy Framework, or</p> <p>3.) The Organisation which was not involved in conversion but has acquired Management Units where conversion has taken place demonstrates restitution of priority social harms and partial remedy of environmental harms as specified in the applicable FSC Remedy Framework, or</p> <p>4.) The Organisation qualifies as a small-scale smallholder.</p> <p>6.11.1 Based on Best Available Information, accurate data is compiled on all conversions of natural forests and High Conservation Value Areas after 31 December 2020 within the Management Unit.</p> <p>6.11.2 Areas where natural forests or High Conservation Value Areas have been converted after 31 December 2020 are not certified, except where the conversion:</p> <p>1.) Affected a very limited portion of the Management Unit, and</p> <p>2.) Is producing clear, substantial, additional, secure long-term conservation and social benefits in the Management Unit, and</p> <p>3.) Did not threaten High Conservation Values, nor any sites or resources necessary to maintain or enhance those High Conservation Values.</p> <p>FSC-STD-60-004:</p> <p>6.7 The Organisation shall protect or restore natural watercourses, water bodies, riparian zones and their connectivity. The Organisation shall avoid negative impacts on water quality and quantity and mitigate and remedy those that occur.</p> <p>Glossary of Terms. Water bodies ... Water bodies include riparian or wetland systems, lakes, swamps, bogs and springs.</p> <p>Glossary of Terms. High Conservation Value Areas: Zones and physical spaces which possess and / or are needed for the existence and maintenance of identified High Conservation Values.</p>	<p>PARTIAL</p>	<p>The FSC-STD-60-004 places requirements that correspond with those of the benchmark.</p> <p>The ADVICE-20-007-22 sets limitations to conversion of natural forests and HCV areas, including historical cut-off dates for conversion. However: (1) the 6 HCVs defined by the FSC system do not directly correspond with the land covers / statuses defined by the benchmark requirement (indicator 2.2.1 b, c, d), and (2) the cut-off date for conversion of the HCV areas is set at 31 Dec 2020, and not at January 2008 or earlier as stipulated by the benchmark requirement, and (3) the ADVICE-20-007-22 provides exceptions that allow for conversion in specified cases.</p> <p>The FSC-STD-60-004 additionally sets limitations to conversion of water bodies, which covers wetlands and, to some extent, also peatlands. However, these limitations do not apply a historical cut-off date.</p>	

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirement	Requirement of the assessed system	Y/N/P	Conclusions
10	<p>Indicator 2.2.2:</p> <p>Ecosystems, their health, vitality, functions and services in the Supply Base shall be maintained or enhanced.</p>	<p>FSC-STD-60-004:</p> <p>5.1 The Organisation shall identify, produce, or enable the production of, diversified benefits and / or products, based on the range of resources and ecosystem services existing in the Management Unit in order to strengthen and diversify the local economy proportionate to the scale and intensity of management activities.</p> <p>6.6 The Organisation shall effectively maintain the continued existence of naturally occurring native species and genotypes, and prevent losses of biological diversity, especially through habitat management in the Management Unit. The Organisation shall demonstrate that effective measures are in place to manage and control hunting, fishing, trapping and collecting.</p> <p>6.6.1 Management activities maintain the plant communities and habitat features found within native ecosystems in which the Management Unit is located.</p> <p>6.6.3 Management maintains, enhances, or restores habitat features associated with native ecosystems, to support the diversity of naturally occurring species and their genetic diversity.</p> <p>6.8 The Organisation shall manage the landscape in the Management Unit to maintain and / or restore a varying mosaic of species, sizes, ages, spatial scales and regeneration cycles appropriate for the landscape values in that region, and for enhancing environmental and economic resilience.</p>	YES	The FSC-STD-60-004 places requirements that correspond with those of the benchmark.
11	<p>Indicator 2.2.3:</p> <p>Soil quality in the Supply Base shall be maintained or enhanced.</p>	<p>FSC-STD-60-004:</p> <p>9.1 The Organisation, through engagement with affected stakeholders, interested stakeholders and other means and sources, shall assess and record the presence and status of the following High Conservation Values in the Management Unit, proportionate to the scale, intensity and risk of impacts of management activities, and likelihood of the occurrence of the High Conservation Values: ...</p> <p>HCV 4 – Critical ecosystem services. Basic ecosystem services in critical situations, including protection of water catchments and control of erosion of vulnerable soils and slopes.</p> <p>9.2 The Organisation shall develop effective strategies that maintain and / or enhance the identified High Conservation Values, through engagement with affected stakeholders, interested stakeholders and experts.</p>	YES	The FSC-STD-60-004 places requirements that correspond with those of the benchmark.

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirement	Requirement of the assessed system	Y/N/P	Conclusions
11	continued	<p>10.6 The Organisation shall minimize or avoid the use of fertilizers. When fertilizers are used, The Organisation shall demonstrate that use is equally or more ecologically and economically beneficial than use of silvicultural systems that do not require fertilizers, and prevent, mitigate, and / or repair damage to environmental values, including soils.</p> <p>10.10 The Organisation shall manage infrastructural development, transport activities and silviculture so that water resources and soils are protected, and disturbance of and damage to rare and threatened species, habitats, ecosystems and landscape values are prevented, mitigated and / or repaired.</p>	YES	The FSC-STD-60-004 places requirements that correspond with those of the benchmark.
12	<p>Indicator 2.2.4:</p> <p>Where the removal of harvest forest residues and / or stumps occurs, this shall not lead to irreversible negative impacts to the ecosystem.</p>	<p>FSC-STD-60-004:</p> <p>6.3 The Organisation shall identify and implement effective actions to prevent negative impacts of management activities on the environmental values, and to mitigate and repair those that occur, proportionate to the scale, intensity and risk of these impacts.</p> <p>6.3.2 Management activities prevent negative impacts to environmental values.</p> <p>6.3.3 Where negative impacts to environmental values occur, measures are adopted to prevent further damage, and negative impacts are mitigated and / or repaired.</p> <p>10.11.4 Harvesting practices avoid damage to standing residual trees, residual woody debris on the ground and other environmental values.</p> <p>Glossary of Terms. Environmental values: The following set of elements of the biophysical and human environment:</p> <ul style="list-style-type: none"> – ecosystem functions (including carbon sequestration and storage); – biological diversity; – water resources; – soils; ... 	YES	The FSC-STD-60-004 does not explicitly address removal of harvest residues or stumps; however, it forbids long-term negative impacts on environmental values, which practically leads to conformity with the benchmark requirements.
13	<p>Indicator 2.2.5:</p> <p>Quality and quantity of ground water, surface water and water downstream shall be maintained or enhanced.</p>	<p>FSC-STD-60-004:</p> <p>6.3.2 Management activities prevent negative impacts to environmental values.</p> <p>6.7 The Organisation shall protect or restore natural watercourses, water bodies, riparian zones and their connectivity. The Organisation shall avoid negative impacts on water quality and quantity and mitigate and remedy those that occur.</p> <p>9.1 ... HCV 4 – Critical ecosystem services. Basic ecosystem services in critical situations, including protection of water catchments and control of erosion of vulnerable soils and slopes.</p>	YES	<p>The FSC-STD-60-004 places requirements that correspond with those of the benchmark.</p> <p>Groundwater is interpreted as being within the scope of water resources.</p>

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirement	Requirement of the assessed system	Y/N/P	Conclusions
13	continued	<p>Glossary of Terms. Environmental values: The following set of elements of the biophysical and human environment: ...</p> <ul style="list-style-type: none"> – water resources; <p>Glossary of Terms. Water bodies (including water courses): Seasonal, temporary, and permanent brooks, creeks, streams, rivers, ponds, and lakes. Water bodies include riparian or wetland systems, lakes, swamps, bogs and springs.</p>	YES	<p>The FSC-STD-60-004 places requirements that correspond with those of the benchmark.</p> <p>Groundwater is interpreted as being within the scope of water resources.</p>
14	<p>Indicator 2.2.6:</p> <p>Air emissions shall comply with national legislation or in the absence of national legislation with industry best practice.</p>	<p>FSC-STD-60-004:</p> <p>1.3.1 All activities undertaken in the Management Unit are carried out in compliance with:</p> <ol style="list-style-type: none"> 1) Applicable laws and regulations and administrative requirements, 2) Legal and customary rights; and 3) Obligatory codes of practice. <p>Annex A: Minimum list of applicable laws, regulations and nationally-ratified international treaties, conventions and agreements. 3.3 Environmental requirements. National and sub national laws and regulations related to the identification and / or protection of environmental values including ... environmental requirements for forest machineries ...</p>	PARTIAL	<p>The FSC-STD-60-004 relies solely on legislation (and obligatory codes of practice) regarding regulation of air emissions.</p>
15	<p>Indicator 2.2.7:</p> <p>Pesticides shall only be used as part of an Integrated Pest Management (IPM) plan in compliance with national legislation, chemical safety data sheets and industry best practice. Banned pesticides shall not be used.</p>	<p>FSC-STD-60-004:</p> <p>10.7 The Organisation shall use integrated pest management and silviculture systems which avoid, or aim at eliminating, the use of chemical pesticides. The Organisation shall not use any chemical pesticides prohibited by FSC policy. When pesticides are used, The Organisation shall prevent, mitigate, and / or repair damage to environmental values and human health.</p> <p>10.7.4 The use of pesticides complies with the ILO document “Safety in the use of chemicals at work” regarding requirements for the transport, storage, handling, application and emergency procedures for cleanup following accidental spillages.</p> <p>Annex A: Minimum list of applicable laws, regulations and nationally-ratified international treaties, conventions and agreements. 3.3 Environmental requirements. National and sub national laws and regulations related to the identification and / or protection of environmental values including ... use of pesticides and other chemicals</p>	YES	<p>The FSC-STD-60-004 places requirements that correspond with those of the benchmark.</p> <p>FSC prohibited pesticides are defined in the FCS-POL-30-001 and include pesticides practically banned by international agreements.</p>

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirement	Requirement of the assessed system	Y/N/P	Conclusions
15	continued	- FSC prohibited HHPs: chemical pesticides that: a) are listed or recommended for listing under Annex A (elimination) of the Stockholm Convention on Persistent Organic Pollutants or Annex III of the Rotterdam Convention on the Prior Informed Consent Procedure, or listed under the Montreal Protocol on Substances that Deplete the Ozone Layer, or b) are acutely toxic and that can induce cancer (carcinogenic and likely to be carcinogenic), or c) contain dioxins or d) contain heavy metals).	YES	The FSC-STD-60-004 places requirements that correspond with those of the benchmark. FSC prohibited pesticides are defined in the FCS-POL-30-001 and include pesticides practically banned by international agreements.
16	Indicator 2.2.8: Waste shall be disposed of in an environmentally appropriate manner.	FSC-STD-60-004: 10.12 The Organisation shall dispose of waste materials in an environmentally appropriate manner.	YES	The FSC-STD-60-004 places requirements that correspond with those of the benchmark.
17	Indicator 2.2.9: Harvesting levels shall be justified as to how they can be sustained with reference to inventory and growth data for the Supply Base.	FSC-STD-60-004: 5.2 The Organisation shall normally harvest products and services from the Management Unit at or below a level which can be permanently sustained. 5.2.1 Timber harvesting levels are based on an analysis of current Best Available Information on growth and yield; inventory of the forest; mortality rates; and maintenance of ecosystem functions. 5.2.2 Based on the timber harvesting level analysis, a maximum allowable annual cut for timber is determined that does not exceed the harvest level that can be permanently sustained including by ensuring that harvest rates do not exceed growth. 5.2.3 Actual annual harvest levels for timber are recorded and the harvest over a defined period does not exceed the allowable cut determined in 5.2.2 for the same defined period.	YES	The FSC-STD-60-004 places requirements that correspond with those of the benchmark.
18	Indicator 2.2.10: Harvested areas shall be regenerated.	FSC-STD-60-004: 10.1 After harvest or in accordance with the management plan, The Organisation shall, by natural or artificial regeneration methods, regenerate vegetation cover in a timely fashion to pre-harvesting or more natural conditions.	YES	The FSC-STD-60-004 places requirements that correspond with those of the benchmark.

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirement	Requirement of the assessed system	Y/N/P	Conclusions
19	<p>Indicator 2.2.11:</p> <p>The impacts of natural processes such as fires, pests and diseases shall be managed.</p>	<p>FSC-STD-60-004:</p> <p>10.9 The Organisation shall assess risks and implement activities that reduce potential negative impacts from natural hazards proportionate to scale, intensity, and risk.</p> <p>10.9.1 Potential negative impacts of natural hazards on infrastructure, forest resources and communities in the Management Unit are assessed.</p> <p>10.9.2 Management activities mitigate these impacts.</p> <p>Glossary of Terms. Natural Hazards: disturbances that can present risks to social and environmental values in the Management Unit but that may also comprise important ecosystem functions; examples include drought, flood, fire, landslide, storm, avalanche, etc.</p>	YES	The FSC-STD-60-004 places requirements that correspond with those of the benchmark.
20	<p>Indicator 2.2.12:</p> <p>Genetically modified trees shall not be used.</p>	<p>FSC-STD-60-004:</p> <p>10.4 The Organisation shall not use genetically modified organisms in the Management Unit.</p>	YES	The FSC-STD-60-004 places requirements that correspond with those of the benchmark.
21	<p>Indicator 3.1.1:</p> <p>LULUCF emissions shall be accounted for through one of the following routes:</p> <p>Route A: Feedstock may be sourced from a country of origin which is party to the Paris Agreement, and which has submitted a Nationally Determined Contribution to the United Nations Framework Convention on Climate Change (UNFCCC) covering carbon emissions and removals from agriculture, forestry and land use which ensure the changes in carbon stock associated with biomass harvest are counted towards the country's commitment to reduce or limit greenhouse gas emissions, or</p>	<p>FSC-STD-60-004:</p> <p>5.2 The Organisation shall normally harvest products and services from the Management Unit at or below a level which can be permanently sustained.</p> <p>5.2.1 Timber harvesting levels are based on an analysis of current Best Available Information on growth and yield; inventory of the forest; mortality rates; and maintenance of ecosystem functions.</p> <p>5.2.2 Based on the timber harvesting level analysis, a maximum allowable annual cut for timber is determined that does not exceed the harvest level that can be permanently sustained including by ensuring that harvest rates do not exceed growth.</p> <p>5.2.3 Actual annual harvest levels for timber are recorded and the harvest over a defined period does not exceed the allowable cut determined in 5.2.2 for the same defined period.</p> <p>5.2.4 For extraction of commercially harvested services and non-timber forest products under The Organisation's control a sustainable harvest level is calculated and adhered to. Sustainable harvest levels are based on Best Available Information.</p>	NO	<p>The requirements included in Routes A and B are outside the scope of the FSC-STD-60-004.</p> <p>Regarding Route C, the FSC-STD-60-004 does not include an explicit requirement for harvesting to be subject to the results of a carbon stock and sequestration capacity assessment. While the requirements placed by the FSC-STD-60-004 on sustainable harvesting levels and prevention of negative impacts on environmental values (including carbon) relate to the requirements of the indicator Forest Management Unite level certification, such as the FSC do not provide information on carbon stocks at the level of the Supply Base.</p>

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirement	Requirement of the assessed system	Y/N/P	Conclusions
21	<p>Indicator 3.1.1: continued</p> <p>Route B: Feedstock may be sourced from a country of origin which is party to the Paris Agreement and has national or sub-national laws in place (developed in accordance with Article 5 of the Paris Agreement and applicable in the area of harvest), to conserve and enhance carbon stocks and sinks, and provided there is evidence that reported LULUCF-sector emissions do not exceed removals, or</p> <p>Route C: Feedstock may be sourced from a Supply Base where an assessment demonstrates that both the carbon stock is stable, and the forests' capacity to act as a carbon sink is stable or increasing over the long term.</p>	<p>6.3.2 Management activities prevent negative impacts to environmental values.</p> <p>6.3.3 Where negative impacts to environmental values occur, measures are adopted to prevent further damage, and negative impacts are mitigated and / or repaired.</p> <p>Glossary of Terms. Environmental values: The following set of elements of the biophysical and human environment:</p> <ul style="list-style-type: none"> – ecosystem functions (including carbon sequestration and storage); ... 	NO	<p>The requirements included in Routes A and B are outside the scope of the FSC-STD-60-004.</p> <p>Regarding Route C, the FSC-STD-60-004 does not include an explicit requirement for harvesting to be subject to the results of a carbon stock and sequestration capacity assessment. While the requirements placed by the FSC-STD-60-004 on sustainable harvesting levels and prevention of negative impacts on environmental values (including carbon) relate to the requirements of the indicator Forest Management Unite level certification, such as the FSC do not provide information on carbon stocks at the level of the Supply Base.</p>

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirement	Requirement of the assessed system	Y/N/P	Conclusions
<p>22 Indicator 3.2.1:</p> <p>All feedstock sourcing shall be consistent with either of these two options:</p> <p>Option A: Feedstock may be sourced from Supply Bases where an assessment of the Supply Base shows that the forest carbon stocks are stable or increasing, or</p> <p>Option B: Feedstock may be sourced, if the assessment shows that the forest carbon stocks are declining in the Supply Base, provided that the decline is due to natural processes (fire, pests etc.), and sourcing of feedstock has the aim to recover feedstock that would otherwise be lost or to assist regeneration.</p>	<p>FSC-STD-60-004:</p> <p>5.2 The Organisation shall normally harvest products and services from the Management Unit at or below a level which can be permanently sustained.</p> <p>5.2.1 Timber harvesting levels are based on an analysis of current Best Available Information on growth and yield; inventory of the forest; mortality rates; and maintenance of ecosystem functions.</p> <p>5.2.2 Based on the timber harvesting level analysis, a maximum allowable annual cut for timber is determined that does not exceed the harvest level that can be permanently sustained including by ensuring that harvest rates do not exceed growth.</p> <p>5.2.3 Actual annual harvest levels for timber are recorded and the harvest over a defined period does not exceed the allowable cut determined in 5.2.2 for the same defined period.</p> <p>5.2.4 For extraction of commercially harvested services and non-timber forest products under The Organisation’s control a sustainable harvest level is calculated and adhered to. Sustainable harvest levels are based on Best Available Information.</p> <p>6.3.2 Management activities prevent negative impacts to environmental values.</p>	<p>NO</p>	<p>While , the requirements placed by the FSC-STD-60-004 on sustainable harvesting levels and prevention of negative impacts relate to the requirements of the indicator Forest Management Unit level certification, such as the FSC do not provide information on carbon stocks at the level of the Supply Base.</p>	

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirement	Requirement of the assessed system	Y/N/P	Conclusions
<p>23 Indicator 3.2.2:</p> <p>Primary feedstock shall not be sourced from forest areas where site productivity is low and, according to local definitions or norms, the areas are classified as low-productive or difficult to regenerate.</p>	<p>FSC-STD-60-004:</p> <p>5.2 The Organisation shall normally harvest products and services from the Management Unit at or below a level which can be permanently sustained.</p>	<p>NO</p>	<p>The FSC-STD-60-004 requires forest product harvesting to generally remain on a level that can be permanently sustained, but it places no limitations on harvesting low-productive sites. Criterion 5.2 and its indicators seek to ensure that sustainable harvesting levels are maintained over a long time period. They do not, however, place any requirements that would explicitly prohibit harvesting on sites classified to have low productivity.</p> <p>Indicators 5.2.1–5.2.4 are not considered to place requirements that would affect this conclusion.</p> <p>It is also worth noting that the wording “normally” in 5.2 leaves room to allow temporary harvesting above sustainable levels; this flexibility is further elaborated under the instructions for standard developers.</p> <p>National certification systems may go beyond the international indicators requirement level and effectively meet this SBP performance requirement. The scope of the Indufor’s assignment considered the international FSC benchmark system and does not involve assessment of any individual national systems.</p>	

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirement	Requirement of the assessed system	Y/N/P	Conclusions
24	<p>Indicator 3.2.3:</p> <p>Primary feedstock shall not be sourced from forest areas in the Supply Base which, according to local definitions or norms, are classified as having combined attributes of high carbon stocks and high conservation value (HCV).</p>	<p>FSC-STD-60-004:</p> <p>9.1... HCV 4 – Critical ecosystem services. Basic ecosystem services in critical situations, including protection of water catchments and control of erosion of vulnerable soils and slopes.</p> <p>Glossary of Terms. Ecosystem services: The benefits people obtain from ecosystems. These include: ...</p> <ul style="list-style-type: none"> – regulating services such as regulation of floods, drought, land degradation, air quality, climate and disease; <p>Glossary of Terms. Critical: ... An ecosystem service is considered to be critical (HCV 4) where a disruption of that service is likely to cause, or poses a threat of, severe negative impacts on the welfare, health or survival of local communities, on the environment, on HCVs, or on the functioning of significant infrastructure (roads, dams, buildings etc.) ...</p> <p>9.2 The Organisation shall develop effective strategies that maintain and / or enhance the identified High Conservation Values, through engagement with affected stakeholders, interested stakeholders and experts.</p> <p>9.2.4 Management strategies are developed to protect core areas.</p>	PARTIAL	<p>The FSC-STD-60-004 requires that HCVs are maintained or enhanced.</p> <p>The FSC-STD-60-004 definition for HCVs includes critical ecosystem services, and the definition for ecosystem services includes climate regulation. Carbon stocks are a relevant feature for the latter.</p> <p>The FSC-STD-60-004 does not explicitly forbid harvesting on areas featuring any of the HCVs.</p> <p>Additionally the FSC standard does not include requirements related to harvesting in high carbon stock areas.</p>
25	<p>Indicator 3.3.1:</p> <p>Feedstock sourcing shall be in compliance with the principles of cascading use, high quality stem wood shall not be used as feedstock if it is in substantial demand for long lived products in the Supply Base.</p>	<p>FSC-STD-60-004:</p> <p>10.11.2 Harvesting practices optimize the use of forest products and merchantable materials.</p>	PARTIAL	<p>As a forest management standard, the FSC-STD-60-004 can affect optimum use of harvested products mainly through setting requirements for harvesting methods. Affecting the use of stem wood after the harvesting is not within the standard's scope.</p> <p>The SBP performance requirement is therefore considered as only partially met.</p>
26	<p>Indicator 4.1.1:</p> <p>Freedom of association and the right to collective bargaining shall be respected in the workplace.</p>	<p>FSC-STD-60-004:</p> <p>2.1 The Organisation shall uphold the principles and rights at work as defined in the ILO Declaration on Fundamental Principles and Rights at Work (1998) based on the eight ILO Core Labour Conventions.</p> <p>2.1.4 The Organisation shall respect freedom of association and the right to collective bargaining.</p>	YES	<p>The FSC-STD-60-004 places requirements that correspond with those of the benchmark.</p> <p>ILO C087 and C098 concern freedom of association and collective bargaining.</p>

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirement	Requirement of the assessed system	Y/N/P	Conclusions
27	Indicator 4.1.2: Forced or compulsory labour shall not be used.	FSC-STD-60-004: 2.1 The Organisation shall uphold the principles and rights at work as defined in the ILO Declaration on Fundamental Principles and Rights at Work (1998) based on the eight ILO Core Labour Conventions. 2.1.2 The Organisation shall eliminate all forms of forced and compulsory labour.	YES	The FSC-STD-60-004 places requirements that correspond with those of the benchmark. ILO C029 and C105 forbid forced labour.
28	Indicator 4.1.3: Child labour shall not be used.	FSC-STD-60-004: 2.1 The Organisation shall uphold the principles and rights at work as defined in the ILO Declaration on Fundamental Principles and Rights at Work (1998) based on the eight ILO Core Labour Conventions. 2.1.1 The Organisation shall not use child labour.	YES	The FSC-STD-60-004 places requirements that correspond with those of the benchmark. ILO C138 and C182 forbid child labour.
29	Indicator 4.1.4: Workers shall not be discriminated in hiring, remuneration, access to training, promotion, termination or retirement.	FSC-STD-60-004: 2.1 The Organisation shall uphold the principles and rights at work as defined in the ILO Declaration on Fundamental Principles and Rights at Work (1998) based on the eight ILO Core Labour Conventions. 2.1.3 The Organisation shall ensure that there is no discrimination in employment and occupation.	YES	ILO C100 and C111 concern equality and discrimination. These topics are also specifically addressed by the FSC standard.
30	Indicator 4.1.5: Wages paid to workers shall meet or exceed the legal minimum wage or where there is no statutory minimum wage industry norms shall be met or exceeded.	FSC-STD-60-004: 2.4 The Organisation shall pay wages that meet or exceed minimum forest industry standards or other recognized forest industry wage agreements or living wages, where these are higher than the legal minimum wages. When none of these exist, The Organisation shall through engagement with workers develop mechanisms for determining living wages.	YES	The FSC-STD-60-004 places requirements that correspond with those of the benchmark.
31	Indicator 4.1.6: Working hours shall comply with legal requirements.	FSC-STD-60-004: 1.3 The Organisation shall have legal rights to operate in the Management Unit, which fit the legal status of The Organisation and of the Management Unit, and shall comply with the associated legal obligations in applicable national and local laws and regulations and administrative requirements. The legal rights shall provide for harvest of products and / or supply of ecosystem services from within the Management Unit. The Organisation shall pay the legally prescribed charges associated with such rights and obligations.	YES	The FSC-STD-60-004 requires that applicable legislation including labour related requirements are implemented by the Certificate Holders, the FSC requirements address fully the SBP requirements.

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirement	Requirement of the assessed system	Y/N/P	Conclusions
32	<p>Indicator 4.1.7:</p> <p>Workers shall have access to health care provisions, sickness benefits, retirement benefits, invalidity benefits, death benefits, and workers' compensation.</p>	<p>FSC-STD-60-004:</p> <p>2.6.4 Fair compensation is provided to workers for work-related loss or damage of property and occupational disease or injuries</p>	PARTIAL	FSC-STD-60-004 does not explicitly address health care provisions, sickness benefits, retirement benefits, invalidity benefits, death benefits, or workers' compensation. These topics are also not directly addressed by the eight ILO core conventions, referred to by criterion 2.1. However, indicator 2.6.4 requires compensation that practically corresponds with sickness benefits and invalidity benefits.
33	<p>Indicator 4.1.8:</p> <p>Training shall be provided for all workers to allow them to implement the conditions set out in all elements of the SBP Standards relevant to their responsibilities.</p>	<p>FSC-STD-60-004:</p> <p>2.5 The Organisation shall demonstrate that workers have job-specific training and supervision to safely and effectively implement the Management Plan and all management activities.</p> <p>2.5.1 Workers have job specific training consistent with Annex B and supervision to safely and effectively contribute to the implementation of the management plan and all management activities.</p> <p>Annex B: Training requirements for workers</p>	YES	The FSC-STD-60-004 places requirements that correspond with those of the benchmark.
34	<p>Indicator 4.1.9:</p> <p>Mechanisms shall be in place for resolving grievances and disputes in the workplace.</p>	<p>FSC-STD-60-004:</p> <p>2.6 The Organisation through engagement with workers shall have mechanisms for resolving grievances and for providing fair compensation to workers for loss or damage to property, occupational diseases, or occupational injuries sustained while working for The Organisation</p> <p>2.6.1 A dispute resolution process is in place, developed through culturally appropriate engagement with workers.</p>	YES	The FSC-STD-60-004 places requirements that correspond with those of the benchmark.
35	<p>Indicator 4.1.10:</p> <p>Safeguards shall be put in place to protect the health and safety of workers by developing, communicating and implementing policies and procedures.</p>	<p>FSC-STD-60-004:</p> <p>2.3 The Organisation shall implement health and safety practices to protect workers from occupational safety and health hazards. These practices shall, proportionate to scale, intensity and risk of management activities, meet or exceed the recommendations of the ILO Code of Practice on Safety and Health in Forestry Work.</p> <p>2.3.1 Health and safety practices are developed and implemented that meet or exceed the ILO Code of Practice on Safety and Health in Forestry Work.</p>	YES	The FSC-STD-60-004 places requirements that correspond with those of the benchmark.

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirement	Requirement of the assessed system	Y / N / P	Conclusions
36	<p>Indicator 4.2.1:</p> <p>Negative social and community impacts shall be identified and avoided.</p>	<p>FSC-STD-60-004:</p> <p>4.5 The Organisation, through engagement with local communities, shall take action to identify, avoid and mitigate significant negative social, environmental and economic impacts of its management activities on affected communities. The action taken shall be proportionate to the scale, intensity and risk of those activities and negative impacts.</p>	YES	The FSC-STD-60-004 places requirements that correspond with those of the benchmark.
37	<p>Indicator 4.2.2:</p> <p>Feedstock sourcing shall positively contribute to the local economy, including employment.</p>	<p>FSC-STD-60-004:</p> <p>4.3 The Organisation shall provide reasonable opportunities for employment, training and other services to local communities, contractors and suppliers proportionate to scale and intensity of its management activities.</p> <p>4.4 The Organisation shall implement additional activities, through engagement with local communities, that contribute to their social and economic development, proportionate to the scale, intensity and socio-economic impact of its management activities.</p>	YES	The FSC-STD-60-004 places requirements that correspond with those of the benchmark.
38	<p>Indicator 4.2.3:</p> <p>Food, water supply or high conservation values (HCV) that are essential for the fulfilment of basic needs of communities shall be maintained or enhanced.</p>	<p>FSC-STD-60-004:</p> <p>9.1... HCV 5 – Community needs. Sites and resources fundamental for satisfying the basic necessities of local communities or Indigenous Peoples (for livelihoods, health, nutrition, water, etc.), identified through engagement with these communities or Indigenous Peoples.</p> <p>9.2 The Organisation shall develop effective strategies that maintain and / or enhance the identified High Conservation Values, through engagement with affected stakeholders, interested stakeholders and experts.</p>	YES	<p>The FSC-STD-60-004 places requirements that correspond with those of the benchmark.</p> <p>Note: SBP does not apply the same definition for HCV as the FSC.</p>

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirement	Requirement of the assessed system	Y / N / P	Conclusions
39	<p>Indicator 4.2.4:</p> <p>Legal, customary, and traditional tenure and use rights of Indigenous Peoples and local communities related to the Supply Base shall be identified, documented, and respected.</p>	<p>FSC-STD-60-004:</p> <p>3.1 The Organisation shall identify the Indigenous Peoples that exist within the Management Unit or those that are affected by management activities. The Organisation shall then, through engagement with these Indigenous Peoples, identify their rights of tenure, their rights of access to and use of forest resources and ecosystem services, their customary rights and legal rights and obligations, that apply within the Management Unit. The Organisation shall also identify areas where these rights are contested.</p> <p>3.2 The Organisation shall recognize and uphold the legal and customary rights of Indigenous Peoples to maintain control over management activities within or related to the Management Unit to the extent necessary to protect their rights, resources and lands and territories. Delegation by Indigenous Peoples of control over management activities to third parties requires Free, Prior and Informed Consent.</p>	YES	The FSC-STD-60-004 places requirements that correspond with those of the benchmark.
40	<p>Indicator 4.2.5:</p> <p>Mechanisms shall be in place for resolving grievances and disputes, relating to tenure and use rights of the forest and other land management practices.</p>	<p>FSC-STD-60-004:</p> <p>1.6 The Organisation shall identify, prevent and resolve disputes over issues of statutory or customary law, which can be settled out of court in a timely manner, through engagement with affected stakeholders.</p> <p>Instructions for standard developers: Disputes could also be about legal and customary rights including forest ownership, challenged title to the land, and challenged ownership of forest concessions or tenures (Indicator 1.6.1).</p> <p>1.6.1 A publically available dispute resolution process is in place; developed through culturally appropriate engagement with affected stakeholders.</p> <p>4.6 The Organisation, through engagement with local communities, shall have mechanisms for resolving grievances and providing fair compensation to local communities and individuals with regard to the impacts of management activities of The Organisation.</p> <p>4.2.3 Where evidence exists that legal and customary rights of local communities related to management activities have been violated the situation is corrected, if necessary, through culturally appropriate engagement and / or through the dispute resolution process in Criteria 1.6 or 4.6.</p>	YES	The FSC-STD-60-004 places requirements that correspond with those of the benchmark.

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirement	Requirement of the assessed system	Y / N / P	Conclusions
<p>41 Indicator 4.2.6:</p> <p>Where Indigenous Peoples' rights are identified in the Supply Base, and Free Prior and Informed Consent (FPIC) has not been achieved for the proposed and planned activities, a consultation and, if required, accommodation process shall be put in place.</p>	<p>FSC-STD-60-004:</p> <p>3.2 The Organisation shall recognize and uphold the legal and customary rights of Indigenous Peoples to maintain control over management activities within or related to the Management Unit to the extent necessary to protect their rights, resources and lands and territories. Delegation by Indigenous Peoples of control over management activities to third parties requires Free, Prior and Informed Consent.</p> <p>3.2.2 The legal and customary rights of Indigenous Peoples are not violated by The Organisation.</p> <p>3.2.3 Where evidence exists that legal and customary rights of Indigenous Peoples related to management activities have been violated the situation is corrected, if necessary, through culturally appropriate engagement and / or through the dispute resolution process as required in Criteria 1.6 or 4.6.</p> <p>4.2 The Organisation shall recognize and uphold the legal and customary rights of local communities to maintain control over management activities within or related to the Management Unit to the extent necessary to protect their rights, resources, lands and territories. Delegation by local communities of control over management activities to third parties requires Free, Prior and Informed Consent.</p> <p>4.2.2 The legal and customary rights of local communities to maintain control over management activities are not violated by The Organisation.</p> <p>4.2.3 Where evidence exists that legal and customary rights of local communities related to management activities have been violated the situation is corrected, if necessary, through culturally appropriate engagement and / or through the dispute resolution process in Criteria 1.6 or 4.6.</p> <p>4.6 The Organisation, through engagement with local communities, shall have mechanisms for resolving grievances and providing fair compensation to local communities and individuals with regard to the impacts of management activities of The Organisation.</p> <p>5.3.1 Costs related to preventing, mitigating or compensating for negative social and environment impacts of management activities are quantified and documented in the management plan.</p>	<p>YES</p>	<p>The FSC-STD-60-004 requires by default that legal and customary rights of indigenous peoples and local communities are not violated. Should forest management activities lead to violation of these rights, the violation is required to be remediated through compensation.</p>	

Annex 2 – Certification Holder Performance Requirements continued

#	Performance requirement	Requirement of the assessed system	Y/N/P	Conclusions
<p>42 Indicator 4.2.7: Designated cultural heritage sites shall be preserved.</p>	<p>FSC-STD-60-004: 3.5 The Organisation, through engagement with Indigenous Peoples, shall identify sites which are of special cultural, ecological, economic, religious or spiritual significance and for which these Indigenous Peoples hold legal or customary rights. These sites shall be recognized by The Organisation and their management, and /or protection shall be agreed through engagement with these Indigenous Peoples. 4.7 The Organisation, through engagement with local communities, shall identify sites which are of special cultural, ecological, economic, religious or spiritual significance, and for which these local communities hold legal or customary rights. These sites shall be recognized by The Organisation, and their management and /or protection shall be agreed through engagement with these local communities.</p>	<p>YES</p>	<p>The FSC-STD-60-004 places requirements that correspond with those of the benchmark.</p>	