



FSC FM DIGITAL AUDIT REPORTING TEMPLATE USER GUIDE

Guidance for Certification Bodies on how to use the Digital
Audit Reporting Template for Forest Management audits

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V1.3.6	Section on generating public summaries moved up before sheet-by-sheet guide. Clearer guidance on completing questions needed for Cover Sheet of the Public Summary report.	14 / 09 / 2022
V1.3.7	Added explanation as to why we need this template. Changes log included as appendix. Guidance on recording auditor time.	11 / 10 / 2022
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V1.5.2	Added Appendix 2: AAF Area Calculation	09 / 10 / 2023
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V1.7.1	Including changes in evaluation normative & Controlled Forest Management	01 / 05 / 2025
V1.7.2	Minor adjustments to Regulatory Module sheet 23; updated field validations and guidance on Controlled Forest Management (CFM) data entry.	01 / 10 / 2025
V1.8.0	Incorporates alignment with FSC-STD-20-001 V5-0 and FSC-STD-30-010 V3-0; introduces improved Non-Conformities logic, updated CFM fields for Step-Up Evaluations, and clarifies mandatory vs optional data elements.	01 / 10 / 2025

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PREFACE

This guide is intended for FSC accredited certification bodies.

The guide has been developed to facilitate the use of the FM Digital Reporting template (further referred to as the “Template”). First, general instructions are given that apply to the whole Template. Then instructions to specific sections of the Template are given.

The level of details given differs between Template fields, with few remarks provided in relation to self-explanatory fields and elaborated instructions for more complex fields and tables.

This guidance is a living document which will be updated as new user feedback is received. Recognizing that CBs and auditors need a degree of stability to plan and execute audits of forest management certificates, guidance contained within this document shall remain valid for 6 months after a newer version is published. The latest copy of this guide can be downloaded from [here](#).

Disclaimer:

This User Guide currently covers template versions up to **v1.8.0**. Minor differences may exist between versions **1.7.2** and **1.8.0**, particularly in the Findings (formerly Non-Conformities) and Controlled Forest Management sections. Certification Bodies should verify the template version used for each audit and refer to the corresponding guidance annex where relevant.

More information about FSC’s shift to digital audit reporting is available here: <https://connect.fsc.org/innovation-sustainability/digital-audit-reporting>.

This guide was written in English. Other language versions were produced using automated machine translation. The translation quality is therefore likely to be variable; the translations are provided in the hope that they will illuminate more than they confuse. In case of confusion please consult the English language version and/or refer to your Certification Body for assistance.

FSC welcomes feedback on this guide at auditreport@fsc.org.

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ACRONYMS

AAC	Annual Allowable Cut
ASI	Assurance Services International
CAR	Corrective Action Request
CB	Certification Body
CH	Certificate Holder
CIP	Continuous Improvement Procedure
ES	Ecosystem Services
ESRA	Environmental and Social Risk Assessment
FM	Forest Management (certificate type)
HCV	High Conservation Value(s)
HHP	Highly Hazardous Pesticide
IFSS	Interim Forest Stewardship Standard
MU	Management Unit
N/A	Not Available or Not Applicable

NC	Non-Conformity
NFSS	National Forest Stewardship Standard
NTFP	Non-Timber Forest Product
RMU	Resource Management Unit
SLIMF	Small or Low Intensity Managed Forest
USD	US Dollars

WHY DO WE NEED DIGITAL AUDIT REPORTING?

There are several motivating factors behind the introduction of this Digital Audit Reporting template.

Data Collection

We now live and work in a digital age. Our members and stakeholders expect FSC to have critical data about the impact of our work; indeed Motion 16 was passed at the 2017 FSC General Assembly requiring exactly this. To fulfil this FSC needs to collect a wide variety of data on certified forests and the results of audits conducted on those forests. This is the primary purpose of the digital audit reporting template, and is why Excel has been adopted as the underlying technology; although Word is better at managing narrative sections of the report, and has better reviewing capabilities than Excel, Excel is far superior to Word at managing data in a structured way, which is the central requirement of this project.

Up to now individual Certification Bodies have been responsible for developing and maintaining their own auditing templates. These templates are all structured differently, and although easily comprehensible to human readers, are not machine readable. In order to collate the required data FSC requires all auditors to use the same format in which data is structured consistently and labelled so that it can be read automatically into a database.

Greater Consistency in Auditing

By introducing a global template, especially through use of standardised question wording, FSC hopes that FM audits will become more globally consistent. The standardised reports that will result should also become easier to use for all stakeholders, since everyone will get accustomed to where and how certain data is presented in each report.

Reduced Management Costs for Certification Bodies

Although the initial introduction of these reports brings some costs in terms of adapting processes, in the long term it will remove the burden of managing audit templates from CBs. It will also ensure that future improvements in best practice can be more rapidly disseminated around CBs and auditors. No longer will ASI be raising CARs against CBs for audit templates that do not match the requirements of FSC's certification standards, which would then have to be implemented by each and every CB; going forward the change can be made in one place, and a new version of this standard template released to everyone simultaneously.

A Data Architecture for auditing Forest Management certificates

The template establishes a data architecture for Forest Management audits. This is a structured model of data elements, standard lists, and tabular logic with data tables for non-repeating individual data elements, repeating multi-record data elements, and standard lists (data vocabulary) that can be used henceforth. Thus this same data architecture can form the basis of other data entry options in future such as a web app that FSC intends to develop, or customized solutions that CBs may wish to develop for themselves.

GENERAL GUIDANCE

The FSC Forest Management Digital Audit Reporting template comes in the form of an Excel spreadsheet.

Getting Started

The Template should normally open on the **Index** sheet.

FSC Digital Audit Report Template - Forest Management (v1.7.0)	
Report Setup	
Licence Code	0
Language	EN
Default Area Units	ha
Default Wood Volume Units	m3
Default NTFP Volume Units	metric tonnes
Default Pesticide Volume Units	litres
For guidance on use of this template	Click here
Display / Print Level	All - Data Entry
Sheet Integrity Complete	Yes
Page	Progress
Certificate Holder and Certification Body Details	Incomplete
The evaluation process	Incomplete
Personnel / audit team	0 entries

The first task is to select the operational language used in the audit. The template is available in over 20 different languages; use the ISO 639-1 code for the language you want to use, e.g. ZH for Chinese. Other languages will be added in due course. The initial version of each language is generated using machine translation; the translations may therefore be of variable quality. Certification Bodies have access to a mechanism to help improve these translations. Please contact your Certification Body if you have suggestions on translations that need improving, or would like to help.

Selecting the language will change all the questions to use that language. Changing the language will not translate answers already provided. Therefore you cannot use the template to translate audit reports. However, the template is also available in a dual language version in which answers selected from a controlled list (such as “Yes” / “No”) are automatically translated, and text entered by you can be translated manually in a side-by-side environment. If using this dual language version you can choose which of the two languages is used to produce the Public Summary. Alternatively, if you need to operate in more than one language you can create multiple copies of the template for the audit and fill them both in at the same time (i.e. operating in parallel).

After selecting the language, you need to choose the default units used for Area measurements, Wood Volumes, NTFP Volumes, and Pesticide Volumes; the latter three also allow selection of weights

instead. The units selected for Area measurement will automatically apply to all area figures within this spreadsheet: it is not possible to mix and match different area units in the same audit report. However, when answering questions that require a Volume, it is possible to individually select another unit that is different from the default selection made at the start. From version 1.3.0 onwards the template provides a mechanism for automatic conversion from selected units to standard metric units when producing Public Summaries.

Below the unit selection is a table of contents you can use to jump to different worksheets. (Or you can just use the tabs at the bottom to navigate around.) The table of contents also records your progress on each sheet, highlighting any sheets where there are data errors. In the example above you can see that the first two data sheets are missing answers to some questions, hence “Incomplete”; the third data sheet (Personnel / audit team) has some invalid entries which need fixing; and the fourth data sheet (Audit itinerary) currently has no data, but this is not a requirement for completion in this template version.

Certification Bodies are recommended to complete the small data section labelled Certification Body on tab 1 straight away and then to make copies from there for each audit to avoid having to re-enter that data every time.

Use of N/A Responses

From version 1.3.9 the template accepts N/A as a valid response to certain questions which would normally expect a Yes/No answer. This is distinct from a blank response and signifies a deliberate choice by the auditor(s) to record the question as either Not Applicable or the necessary data was Not Available. For example Q5.18 asks which of the different categories of HCV are present in the certified forests: if an applicant for certification failed to survey their forests properly it may not be possible to answer correctly either Yes or No; the correct answer is that we do not know. N/A can be used in such cases. Where N/A is used to answer a question that is mandatory (as is the case with Q5.18) FSC expects that a non-conformity should be identified as a matter of course. For non-mandatory questions, such as the checklist of indicators in sheet 19, auditors may use N/A simply to signal that an indicator is not applicable, and thus no related non-conformity needs to be listed.

Report Submission

Before submission check that the **Index** sheet does not report any data entry errors that need your attention. In general, you should not submit a report where one or more of the sheets are reporting invalid input. However, if you cannot work out how to fix one or more errors, perhaps because you suspect there is a bug in the template, then report the error(s) in worksheet **20 Errors** and proceed with submission.

To submit name the file as following:

“FM evaluation report_**[FSC Licence Code]**_YYYYMMDD”

Where:

- **[FSC Licence Code]** – the FSC Licence code of the certificate holder under evaluation
- **YYYYMMDD** – Year, Month, and Day of the certification decision (e.g. 20220331).

For example: FM evaluation report_FSC-F000100_20230131

And then email the report to auditreport@fsc.org.

USING THE EXCEL TEMPLATES

If you are not experienced with using Microsoft Excel we recommend you search online for some introductory training videos on use of Excel. E.g.

<https://www.bing.com/videos/search?q=how+to+use+excel+for+beginners&qpv=how+to+use+excel+for+beginners&FORM=VDRE>.

Look for videos that best suit your needs and that you can view in your preferred language.

Navigation & Sheet Numbering

Index	1 CH, CB	2 Eval	3 Team	4 Itinerary	5 FME	6 Group	7 MUs	8 Spp	9 NTFPs	10 Pesticides
-------	----------	--------	--------	-------------	-------	---------	-------	-------	---------	---------------

The Excel templates consist of various numbered worksheets. Tabs coloured **green** are those data sheets that the Certificate Holder may typically be asked to complete, although this is up to the Certification Body's discretion. The auditor shall review all data submitted by the Certificate Holder. Tabs shaded **purple** are optional in that CBs may choose to replace them with their own versions without breaking the template. CBs should ensure that alternatives fulfil the requirements of FSC-STD-20-007.

You can click upon the tabs to navigate around, or you can use the table of contents on the **Index** sheet. At the top of each data sheet is a link that will take you back to the Index.

Go to Table of Contents

In version 1.7 of the template, a new sheet was introduced for the Regulatory Module, numbered 23 being the next number available. In order to maintain a sensible order in the sheets, those for Annexes, Errors and Translation improvements, which had hitherto been numbered 20-22 respectively, were then renumbered to 30, 40, and 41, with gaps in numbering left in case of need for future expansion.

Formatting Conventions Used

Cells are shaded in the Excel templates according to the following schema.

Table heading
Alternate colour for table headings
Sub-headings
Question text, data validation results, and other cells not available for data entry
Cell available for data-entry (data entry optional)
Cell available for data-entry (data entry expected)
Data validation error
Spacing rows and columns, and confidential data that has been obscured

Only cells formatted for data-entry as per above should be editable. If you find a cell that is not editable (i.e. locked) but which should be editable please inform FSC via auditreport@fsc.org and put a note in the Error reporting sheet.

In addition, in line with common use on the internet, questions that are mandatory are labelled with an asterisk *. Many questions will Change their mandatory status depending on what audit type is selected in Q2.01. Other questions may change their mandatory status depending on other selections, e.g. you need to identify the Group Member managing each Management Unit only for Group Certificates (except for SLIMF MUs). Note that the mandatory flag merely denotes a question that should be answered in all cases. Conformity with the requirements of FSC-STD-20-007 may still require an auditor to provide an answer to a non-mandatory question. This may particularly occur in Surveillance Evaluations – when many questions become non-mandatory – where there have been significant changes in relation to the answer previously given in the Main Evaluation.

When you enter data in a new row in one of the tables allowing multiple rows to be completed, the cells which are required for completion for the row to be valid will be highlighted in pale yellow, as per above, once you have entered some data in any cell in that row.

Localization

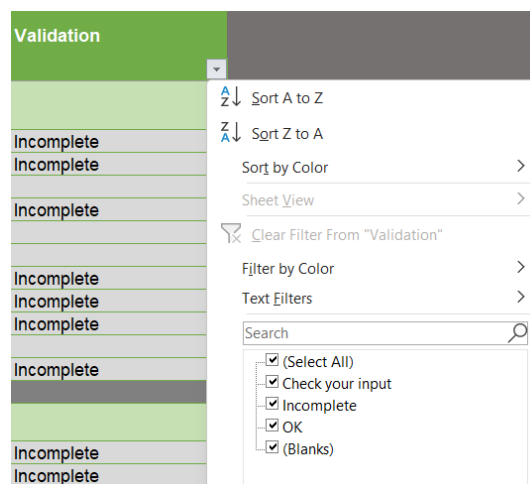
Microsoft Excel has many localization features for presenting data and understanding data entered in a way that is consistent with local conventions. E.g. whether you prefer to read \$ 12,345.67 versus 12.345,67 \$. These settings have to be configured on the user computer or browser, and are the responsibility of the CB or auditor.

Whatever localization settings are defined are not affected by the template and remain in place, and therefore, number formats can be used with localization. Note, however, that the template does require that dates are strictly entered and visualized in the format YYYY-MM-DD (YEAR –MONTH –DAY).

Finding Sources of Errors

In order to manage the burden of translating error messages into all the different languages in which the template is offered, there is not much detail provided in many error messages. Upon encountering an error auditors should refer to the details provided in this guide so as to understand where they might have gone wrong.

In sheets with many different rows it can be hard to find which one(s) might have the errors (or where data is simply incomplete). You can use the filter dropdown button in the bottom right of the Validation column heading to find just those cells with errors or where the data is incomplete.



Efficient Data Entry

The following tips and keyboard short-cuts may prove useful for efficient data entry in Excel on Windows:

- Typing the **<Tab>** key will take you to the next editable cell on the worksheet
- Typing **<Enter>** will take you to the beginning of the next row in a table
- Typing **<Ctrl>-C** will copy the value of a cell or the text you have highlighted in a Word document (**<Command>-C** on Mac)
- Typing **<Ctrl>-V** will paste copied data into a cell
- Typing **<Alt>-<Tab>** will switch between open applications (**<Command>-Tab** on Mac)

Using a combination of the above key combinations it is possible to copy and paste data from one Word document or Excel spreadsheet into another much more quickly than you can do using a mouse. If you are filling in this template in parallel to another template (e.g. from the CB) you can use this trick to

switch back-and-forth between the two templates very easily. Or if you are copying data from a previously completed into this template you may find yourself able to complete the entire operation in around one hour by using these key combinations.

Cells that should not be editable, but which have been left unlocked can somewhat interfere with this efficient data entry. If you find any such examples please inform FSC via auditreport@fsc.org.

Some questions may sometimes need multi-paragraph answers. This is not as easy to do in Excel as it is in Word. But you can still achieve it by hitting **<Alt>-<Enter>** to create a new line inside a cell (rather than jumping to the next row).

Copying and Pasting Data

Excel allows the usual edit functions of Copy, Cut and Paste. These all work, but there are a couple of points you need to be aware of when using them in this template.

Firstly, if moving data around inside the template, we recommend you do not use the Cut function. That is because the Cut function pulls references to the affected cell(s) in formulae that are referring to that cell so that they point to the destination cell. That can play havoc with the formulae, and will, in particular, lead to rows reporting as errors when they appear to be blank or contain correct data. Instead we recommend that you first Copy then Paste the data, then Delete the contents of the cells from which you wanted to move the data.

Secondly, if copying and pasting from another Excel spreadsheet, you will also paste the cell formatting from the other spreadsheet; this can mess up the look of the template. There is nothing we can do about this: it is a design choice of Microsoft in how Excel works. If you are copying and pasting from Excel please consider using the Paste as Values feature in Excel if you are familiar with it, or pasting data into the edit box at the top.

Thirdly, when copying and pasting from another Excel spreadsheet, look out for merged cells. As with using the Cut function, pasting data from merged cells can have unexpected results, with the pasted data showing up in different cells than expected.

From v1.3.6 of the template, should a user implement a copy-paste operation in such a way as to cause one or more formulae to break, the title of the sheet will change to an error message (with red shading) as an immediate warning. If such a warning appears it should generally be possible to hit Undo (**<Ctrl>-Z** on a PC, **<Command>-Z** on a Mac) to restore spreadsheet functionality; when the error message goes away you are safe again. However, if you save the spreadsheet in this broken state and then reload it will not be possible to recover the correctly functioning formulae.

[Go to Table of Contents](#)

! One or more formula are broken, undo until this message disappears

Question

Inputs

Units

Validation

Copying-and-pasting from Excel also bypasses restrictions on dropdown boxes and other data validations on the cell input. In a subsequent version of this template FSC will try to ensure that the checks performed in the Validation column include such things, but for now please be aware of the dangers of bad data being entered this way.

Locked Worksheets but Workbook Unlocked

With the exception of the **Cover Sheet** and the **Annexes**, the worksheets in the Excel templates are all locked to prevent accidental edits to components of the spreadsheet necessary for its proper operation. You should only be able to edit cells which accept data input to answer a defined question. If you find one or more cells that should be editable, but which are not, please report them as an error (see below).

Depending upon the template version you are using, and the working practices of your Certification Body, the workbook itself (i.e. the spreadsheet tab structure) may not be locked. This means you can add or remove worksheets, or move around the order that the tabs are shown at the bottom, and also hide or show hidden tabs. Template versions where the workbook is unlocked are designed to allow your Certification Body to add extra worksheets that may be particular to this audit, country or CB, or their own Annexes framework. All other users should leave the worksheet tabs as they are.

With the exception of optional sheets 16 to 23, the templates will not function if one or more worksheets are removed, even if they are later added back in. If you want to send someone a version of the file with just a few worksheets to be filled in then you should hide the remaining tabs and then lock the workbook using a password of your own choosing. Then you can unhide the remaining worksheets as appropriate when you received it back. The integrity of the spreadsheet with respect to removal and replacement of individual sheets is shown above the table of contents on the **Index** sheet.

If you need to combine edits from two or more people, then you need to copy and paste the data on a sheet-by-sheet basis. You cannot copy in whole worksheets.

Resizing Rows and Columns

It is possible to change the height of any row. So if the row height is too small to display all the text you can increase it by dragging down the bottom edge of the row label on the left hand side of Excel. E.g. in the example on the right, if you position your mouse cursor around the yellow highlight it will change to an up-down arrow, and clicking-and-holding then will allow you to drag the row boundary up (to reduce the row height) or down (to increase the row height). Or you can double click and Excel will automatically adjust the height so you can see all the text.

	Question
3	
4	
32	2.11.5 Other, please specify your input here
33	
34	2.12 Rationale for selection of MIU/ members, including a clear description of the surveillance schedule that will be implemented by the certification body
35	
36	2.13 Documentation reviewed during this audit

In contrast, column width cannot be changed; the only way the you can allow more text to display is by adjusting the row height.

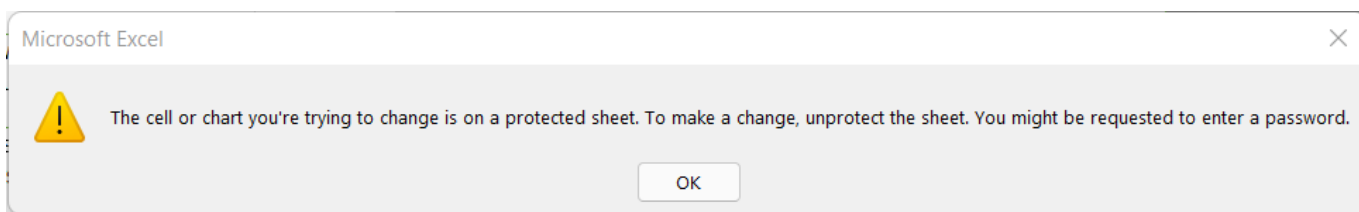
Note that allowing the row height to be adjusted means that it is possible for users to expose rows that have been fully hidden. We would discourage users trying to do that: these rows have been hidden to avoid confusing spreadsheet users. All hidden rows should all be set to be non-editable.

Coping with Extra-long Answers

There are limits to the length of text that can be entered into a single cell in Microsoft Excel (32,767 characters in most recent versions). In some cases you may find that not sufficient in responding to a difficult question. There are different solutions for this depending on the type of data sheet.

In sheets where the question numbers are along the top and you can list as many rows as you like, the solution is simply to add a second row of data. Where you have a unique identifier, e.g. like the Unique Finding Number for CARs, you can list the same unique identifier again in the second row: when we import the data we will detect that this is an extension of the row above and ignore any errors reported due to incomplete cells.

In sheets where the questions run down the sheet from top to bottom, with one answer per question, such as sheets 2, 5, 11 and 18 & 19 (where each criterion or indicator can be regarded as a distinct question), from version 1.3.1 the spreadsheet will now allow you to insert rows. If you have an answer that is too long for one cell, insert a row *below* the one you are editing, and continue your answer there. When you try to insert that row, you will receive an error message from Excel like below: just click OK to proceed.

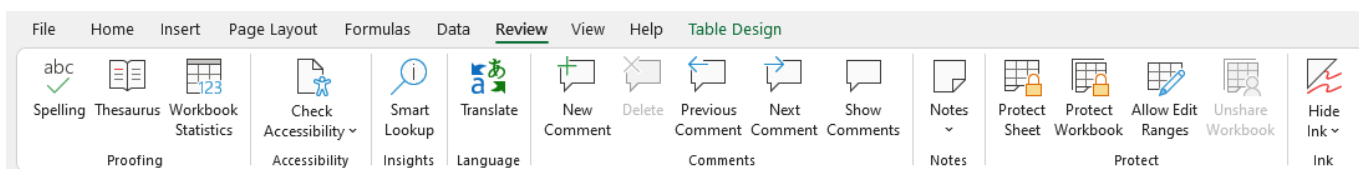


To enable this feature while keeping existing functions we have had to unlock some formulae that would normally be locked, e.g. the (Criterion) Index column on sheets 18 and 19. This means those cells are editable. To ensure those existing functions continue to work those calculations are now performed in other columns that are hidden, and the visible cell simply displays a copy of the calculation result. If you accidentally edit the visible cell then the cell will turn red as a warning that the value being shown is not correct: in such a case we recommend you simply undo the accidental edit (type <Ctrl>-Z on windows) to return the cell to how it was, but even if you leave in the bad edit it will not affect the functioning of the spreadsheet since all validation checks are performed by reference to the hidden column that you cannot edit.

An alternative solution to inserting spill-over rows as described above is to make use of the **Annexes** sheet, referring to the appropriate Annex in the text you enter in answer to the original question.

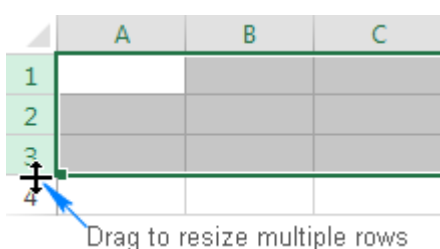
Reviewing Draft Reports

Although it is not so well known, recent versions of Excel do incorporate a reviewing capability. It does not include a Track Changes feature like Word, although SharePoint will make an attempt to record changes made by different individuals on a file shared to multiple people. However, Excel does now include a commenting feature in which it is possible to cycle through all the comments in a large file easily enough. This may suffice for internal reviews of draft reports by CBs.



PREPARING A PUBLIC SUMMARY

Use of the digital audit template can support you in preparing a Public Summary. It does not, in itself, act as a guarantee that the outcome fulfils all the requirements of a Public Summary, but, if correctly used, the template, from version 1.3.0 onwards, is capable of generating a Public Summary that is consistent with the requirements of FSC-STD-20-007.



Before proceeding to generate a public summary, it is advisable to check that the text is all visible. On all sheets you can adjust row heights, and on some sheets you can also adjust column widths. If you have many rows to adjust in one go, the quickest solution is to select all the relevant rows (using the row numbers on the left edge of the Excel window) and then move your mouse to the bottom of the selected row numbers when the cursor changes to a up-down arrow: double click at that point and all the row heights will adjust sufficiently to show all text (this can also shrink over-sized rows).

Preparing the Cover Sheet

There is a Cover Sheet between the **Index** tab and **1 CH, CB**; see the empty framework to the right. This takes answers to questions elsewhere in the template and collates them to fulfil the requirements of FSC-STD-20-007 for a cover sheet to Public Summary reports. The exact questions used to provide data are noted in column H (not shown in the right, and not included in the print out). The appropriate Certification decision statement appears based on your answer to question **2.23 Certification Decision**.

There is one question: Certified Forest Areas which does not map exactly to any question in the rest of the template. You need to fill in here the name and/or location of the certified forest area(s).

This Cover Sheet is deliberately entirely unlocked. You can therefore add any other elements you wish to include, such as your CB logo, and make any other changes you like. (You might therefore wish to lock or hide it before sending to auditors to prevent accidental edits.)

FSC Forest Management Audit	
Public Summary Report	
Audit Conducted By	0
Contact Person	
Report last updated on	00 January 1900
Certificate Holder	0
Contact Person	
Certified Forest Areas	
FSC certificate registration code	0
Certificate issue date	00 January 1900
Certificate expiry date	00 January 1900
Audit Sequence	0
Certification decision statement appears here	

Display Level

The Index tab includes a feature to select the Display / Print level.

Report Setup	
License Code	0
Language	EN
Default Area Units	ha
Default Wood Volume Units	m3
Default NTFP Volume Units	metric tonnes
Default Pesticide Volume Units	litres
For template help and specification	Click here
Display / Print Level	All - Data Entry
Sheet Integrity Complete	Yes

This feature offers the following levels of what data is displayed:

- All – Data Entry**
 Shows all fields and data entered. Suitable for data entry.
- Some – Show Optional**
 Includes elements which are compulsory in a Public Summary and other elements which could reasonably be viewed as relevant public data (e.g. product-species supplied that are available in Public Search).
- Public Requirements**
 Only includes those elements which are compulsory in a Public Summary. Uses secondary data tables in SI units when printing / publishing to PDF.

During use we recommend you keep it set at **All – Data Entry** by default. If you change it to one of the higher levels you will see that some cells in the spreadsheet are obscured in dark grey, with the text set to the same colour. E.g. the Complainant column on sheet **13 Complaints**.

Display / Print Level = All – Data Entry

Complaint(s) received							Number of Valid Entries: 1
13.01 Received date *	13.02 First received by *	13.03 Complainant *	13.04 Complaint detail *	13.05 Open/Closed *	13.06 Actions *	13.07 Close date *	
2022-01-01	CB	Unhappy person	Not happy with management	Open	To do		

Display / Print Level = Public Only

Complaint(s) received							Number of Valid Entries: 1
13.01 Received date *	13.02 First received by *	13.03 Complainant *	13.04 Complaint detail *	13.05 Open/Closed *	13.06 Actions *	13.07 Close date *	
2022-01-01	CB		Not happy with management	Open	To do		

The obscured cells can still be accessed, and edited, so do not hand over a spreadsheet in this state to a CH as they will be able to obtain the confidential data. But if you display it to them or take a screenshot the data will not be visible.

Mostly you will just use the two extreme display level options: **All** for when you are entering data into the template, and **Public Requirements** when you want to prepare a Public Summary. But from time-to-time you may find that an intermediate setting better fits your requirements.

Reporting in SI Units

This template will convert all non-metric units to metric units in the Public Summary. In those sheets where units can be selected, if you scroll to the right of the screen you will find an almost identical data table in which the data are converted into metric units.

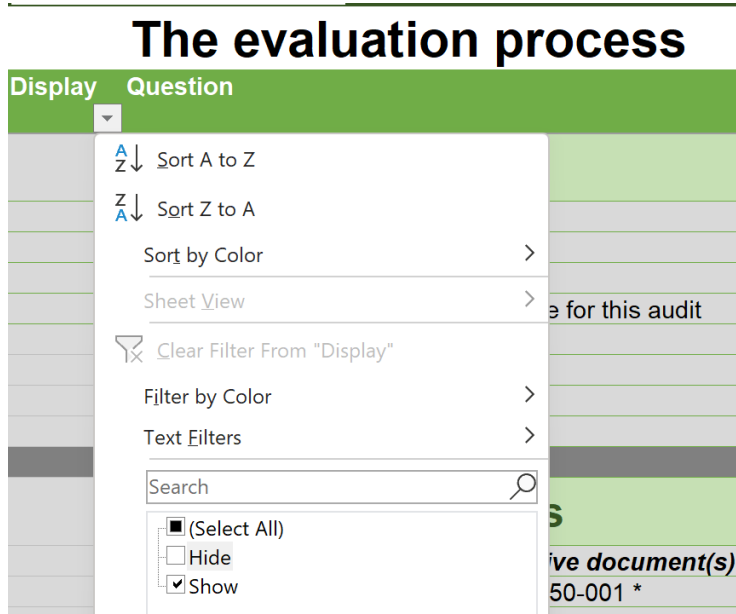
Printing Individual Worksheets

It is easy to print the current sheet you are on from within Excel (go to the File menu). Make sure that you have adjusted the height of rows so that the entire answer is visible for each data entry. The Print Area of each sheet is pre-defined to print out only the appropriate parts of the sheet together with column headings repeating on each page. Most sheets of the template comprise a single table in which you can enter as many rows as needed; for these sheets the Print Area definition algorithm checks how many rows have data (usually by looking in the left most column) and prints out the appropriate number of rows. If for some reason you have left blank rows in the sheet, e.g. to act as a separator between distinct blocks of data, that will interfere with the algorithm resulting in one or more rows of data at the bottom not being printed out. For this reason you should not skip rows when entering data, but enter all data in sequential rows.

The cells that are printed have been pre-set for each worksheet, with appropriate column headings appearing at the top of each page. For some sheets the exact set of cells that print out will depend upon the Display / Print Level setting chosen on the Index tab. However, due to limitations in how Excel manages print areas, it is not possible to exclude every row of confidential data without printing out almost blank pages devoid of data, and so you will see significant chunks of dark grey when printing out with the Display / Print Level set to be anything other than All. In addition, if you print to PDF (needed for

Public Summaries), even though the text cannot be seen, it can be selected and copied into another document, or included in search results.

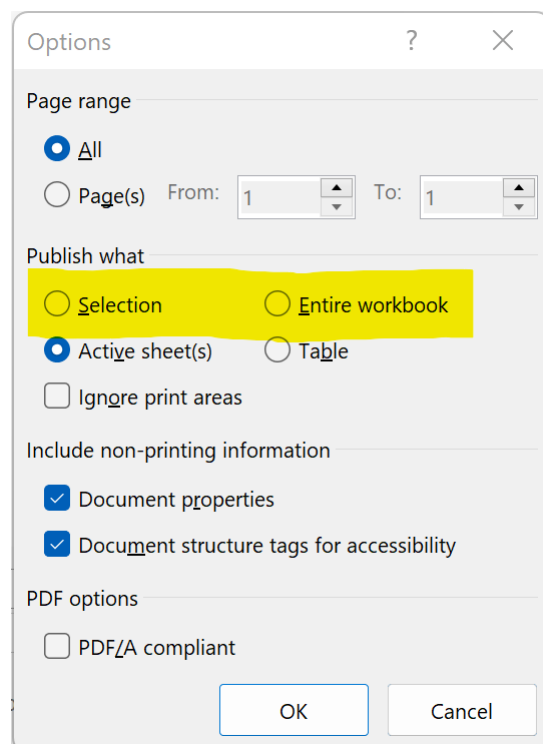
There are two worksheets where this is an issue: **2 Eval** and **5 FME**. To resolve this on these two sheets you will find a dedicated Display filter on the left hand side in column F, see screenshot to the right. Uncheck the Hide option, and the relevant rows will be automatically hidden. Now you can print out the sheet without the blocks of grey, and with confidential data fully hidden. When you are finished you can Clear the Filter (greyed out in the above screenshot above) to see all rows once again.



Exporting Multiple Worksheets

Excel will let you export multiple worksheets at once if you select those worksheets using the tabs at the bottom. (On Windows you can do this by holding down Shift or Control when clicking tab names.) When exporting multiple sheets in this way, Excel will follow the print area settings already configured for each sheet.

If printing out hard copies to paper this is no different from printing each worksheet separately but if exporting to PDF that means you may or may not get multiple PDFs. You get a single PDF when each worksheet you are printing uses the same page orientation (e.g. if just printing sheets **1 CH, CB** and **2 Eval**), but you get a multiple PDF when some worksheets print out in portrait mode and some print out in landscape mode (e.g. if printing sheets **1 CH, CB** through **3 Team**). The solution is to use instead the Excel function to Export to PDF (also available under the File menu): this produces a single PDF file and respects the pre-set print areas. By default, like when printing, it only prints the currently active sheet, but you can choose to print either a selection of worksheets or the entire visible workbook from the Options dialog.



The following matrix provides guidance on what sheets are generally expected to be included in the Public Summary to comply with the requirements of FSC-STD-20-007 according to the type of evaluation.

Worksheet	Evaluation Type			Only when applicable
	MA & RE	SE	SLIMF	
Index				
0 Cover				
1 Certificate Holder & Certification Body				
2 Evaluation Process				
3 Personnel / Audit team				
4 Audit Itinerary				
5 Forest Management Enterprise				
6 Group Members				
7 Management Units				
8 Commercial Timber Species				
9 Non-Timber Forest Products				
10 Pesticides				
11 Forest Context & Management Plan				
12 Stakeholder Feedback			<i>optional</i>	
13 Complaints Received				
14 Non-Conformities & Observations				
15 Peer Review				
16 Ecosystem Services Impacts				
17 Ecosystem Services Sponsorships				
18 Principle & Criteria Summary			<i>optional</i>	
19 NFSS Indicators				
20 Annexes				
21 Template Error Reporting				
22 Translations				

Key:

- MA = Main Assessment
- RE = Re-evaluation
- SE = Surveillance Evaluation
- SLIMF = applicability to Community Forest & SLIMF certificates

Producing the Public Summary

Combining the above guidance you can create a document that can act as a public summary in PDF direct from the Excel template. Here is a step-by-step approach to follow:

1. Check the **Index** tab to ensure there are not any errors requiring correction.
2. Set the Display / Print Level to **Public Requirements**.
3. If operating the Dual Language version of the template choose (on the **Index** tab) the language in which you would like to generate the Public Summary.
4. Ensure the **Cover Sheet** is completed and includes any extra elements you want to add.
5. Hide all worksheets you do not wish to include in the public summary (in Windows right click on each tab you want to hide, and select Hide).
6. On sheets **2 Eval**, **5 FME** and **11 Plan** filter out unwanted rows by unchecking the Hide box on the Display column filter.
7. Check each sheet to ensure all answers are fully visible.
8. If required adjust the column widths of sheet **14 CARs** to improve readability of text in the PDF.
9. On each sheet check you have not included in any details that should be kept confidential on the questions that are showing. If you find any confidential details you should either the question answer for the purpose of the public summary¹.
10. Check that you have hidden any unused rows on sheet **18 P&C** or replaced that sheet with your own.
11. File menu > Export to create the PDF file, selecting Entire workbook under the Options settings.
12. Review the PDF file to ensure it complies with the requirements of a Public Summary as specified in FSC-STD-20-007 and does not include any confidential details. (You can open PDFs in Word to perform any final edits that you need.)

After you have generated the PDF you can return the template to an editable state as follows:

1. Click on any tab to remove the current selection of all worksheets.
2. Undo any edits you made specifically to hide confidential details.
3. Clear the Display filters on sheets **2 Eval**, **5 FME** and **11 Plan**.
4. Unhide worksheets that you hid (in Windows right click on any tab and select Unhide to find hidden sheets).
5. Return the Display / Print Level on the Index tab to **All – Data Entry**.

Uploading the Public Summary

It is the CB's responsibility to upload the Public Summary to the FSC Certificates Database using the mechanism provided by FSC – as of April 2025 that is via the interface in Salesforce – and tagged appropriately. CBs and CHs should be aware that it can then take up to 24 hours for the public summary to become available to the general public via FSC Search or other mechanisms.

¹ It is also possible to hide the entire row in which confidential details appear. However, in doing so you may create a PDF that does not meet the requirements of a Public Summary as specified in FSC-STD-20-007.

1. Certificate Holder & Certification Body

This sheet lists key information on the Certificate Holder, Certificate and Certification Body

Certificate Holder

	Field Name	Guidance	Format	Example
1.01	Certificate holder name	Insert name of certificate holder	Text (< 100 characters)	<i>My CH</i>
1.01.1	Local company name	Enter the company name in the local language if different from above	Text (< 100 characters)	
1.01.2	Trading name	Enter any trading names used by the company	Text (< 100 characters)	
1.02	Address	Insert street name, postal code, city, state	Text (< 100 characters)	<i>Adenaueralle 134, 53113 Bonn, NRW</i>
1.03	Country		Text (< 100 characters)	<i>Germany</i>
1.04	Contact person full name	Insert name of contact person	Text (< 100 characters)	<i>Mickey Mouse</i>
1.05	Email	Insert email address of certificate holder	Text (< 100 characters)	<i>mickeymouse@gmail.com</i>
1.06	Telephone	Insert telephone number of certificate holder	Number (< 100 characters)	<i>+49 1234 5678910</i>
1.07	Website	Insert website of certificate holder. Enter <i>none</i> if the certificate holder does not have a website.	URL (< 100 characters)	<i>http://wiki.net.com</i>

Certificate

If you get validation errors on the FSC licence code and Certificate code fields make sure you have them the right way round.

	Field Name	Guidance	Format	Example
1.08	FSC licence code	Insert FSC trademark licence code.	Text (< 100 characters)	<i>FSC-C100001</i>
1.09	Certificate code	Insert current certificate code of certificate holder	Text (< 100 characters)	<i>CB-FM/COC-234567</i> <i>CB-CFM-123456</i>
1.10	Former certificate code	Insert former certificate code of certificate holder if they were previously certified by another CB	Text (< 100 characters)	<i>CB-FM/COC-123456</i>

	Field Name	Guidance	Format	Example
1.11	Certificate type	<p>1.11.1</p> <p>Controlled Forest Management (CFM) option</p> <p>When selected, the DAR template enables Controlled Forest Management workflows.</p> <p>Dropdown option: "CFM" added to Certificate Type.</p> <p>Example: AQU-S-CFM-123456</p>	Dropdown	<p>FM/COC</p> <p>CFM</p>
1.12	Group certificate		Yes/No	No
1.13.1	Initial certification date	Select date of first certification, including all certification cycles in the current consecutive period. E.g. If a certificate was issued in 2001, and certification continued until August 2021, the 2001 certification date shall be included in the field. If however, the certification was terminated e.g., between 2010 and 2012, the certification date shall be put into this field.	Date	
1.13.2	Most recent certification date	Enter the date the certificate was last issued, or renewed.	Date	
1.13.3	Certificate expiry date	Enter the date the current certificate is due to expire.	Date	
1.14	Total number of MUs in the scope of certificate	Calculated from list of MUs (sheet 7)	Number (rounded to one decimal place)	
1.15	Total area certified	Calculated from list of MUs (sheet 7)	Number (rounded to one decimal place)	
1.16	Certificate scope	Detail the current certificate scope and changes since the last audit, if any.	Text (< 4000 characters)	
1.17	Ecosystem services(ES) in the scope		Yes/No	No
1.26	Continuous Improvement Procedure being followed	Indicate whether the Continuous Improvement Procedure (FSC-PRO-30-011) is being followed. Defaults to No.	Yes/No	No
1.28	Regulatory Module in scope	Indicate where the Regulatory Module (FSC-STD-01-004) is in scope for this certificate	Yes/No	No
1.25	Name and/or location of the certified forest area(s) ²	Enter the text you wish to appear on the Cover Sheet of the Public Summary.	Text (< 100 characters)	
1.27	Changes to database details	Field provided for convenience of CBs to note changes they need to make in the FSC certificates database.	Text (< 4000 characters)	

² This question has been moved from 11.28.1.

Certification Body

Certification Bodies are recommended to complete this section straight away and then to make copies from there for each audit to avoid having to re-enter this data every time.

	Field Name	Guidance	Format	Example
1.18	Certification body	Insert name of certification body.	Text (< 100 characters)	<i>Springboard</i>
1.19	Address	Insert CB's street name, postal code, city, state	Text (< 100 characters)	<i>Adenaueralle 134, 53113 Bonn, NRW</i>
1.20	Country		Text (< 100 characters)	<i>Germany</i>
1.21	Contact person	Insert name of the official contact person for CB or a name of department, or a general account serving as a contact point to CB	Text (< 100 characters)	<i>Mickey Mouse</i>
1.22	Email	Insert CB's email address	Text (< 100 characters)	<i>mickeymouse@gmail.com</i>
1.23	Telephone	Insert CB's telephone number	Number (< 100 characters)	<i>+49 1234 5678910</i>
1.24	Website	Insert CB's website	URL (< 100 characters)	<i>http://wiki.net.com</i>

2. Evaluation Process

This sheet provides space to record details about the evaluation process, the approach taken during the audit, and basis for decisions made as a result.

Audit Dates

Only one period of consecutive dates can be entered. If it is necessary to report non-consecutive audit dates, you are advised to define the first date of the first audit period and the last day of the last audit period.

	Field Name	Guidance	Format	Example
2.01	Audit type	Select audit type. New audit type "Step-up evaluation" has been added. This behaves like a Re-evaluation (skips pre-evaluation, leads to a new certification decision). When "Step-up evaluation" is selected, Certification Decision (Q2.23) displays "Migrate certificate".	Dropdown	Main Evaluation Step-up evaluation
2.01.1	Audit sequence	Enter which audit this in sequence, e.g. "main evaluation", "2nd surveillance", "3rd surveillance".	Text (< 100 characters)	2nd surveillance
2.01.2	Audit location	Select between: On-site, Partially Remote, Fully Remote		
2.01.3	Justification for remote audit	In the case of full or partial remote auditing, justify this approach.	Text (< 4000 characters)	
2.01.4	Methods used for remote audit	In the case of full or partial remote auditing, detail the tools and methods employed for the remote evaluation of The Organization.	Text (< 4000 characters)	
2.02	Audit start date	Enter the date of the start of the audit; typically the day of the opening meeting.	Date	
2.16 ³	First stakeholder consultation date for this audit	This question relates to the first stakeholder consultation date for the current audit. The value should not be greater than the audit start date and should not be 120 days prior to the audit start date.	Date	
2.03	Audit finish date	Enter the date of the end of the audit; typically the day of the closing meeting.		
2.04	Total person days	This field is automatically calculated and sums total person days spent on-site from 3.04 for all audit team members. It does not include travel to and from the region in which certified forest is located.	Number	

³ From v1.3.2 of this template this question was moved to the top section of this sheet. The question numbering was kept the same for consistency purposes.

	Field Name	Guidance	Format	Example
2.04.1	Justification for audit time	Provide a justification of the total on-site person days spent on this audit.	Text (< 4000 characters)	
2.05	Date of report	Select date of the report from date picker. Normally, the report will be initially filled in by an auditor. S/he should enter the tentative date of the report. However, in the subsequent review by CB, the date will be changed to the date of finalization. The date of the report should not be earlier than the date of the certification decision.	Date	
2.06	Total area under evaluation	As of v1.5.0 this question has been dropped from the template.		

Normative Documents

Note: Auditors should confirm whether the audit falls under FSC-STD-20-001 V5-0 or FSC-STD-30-010 V3-0, as templates v1.7.2 and v1.8.0 reflect updates aligned with these standards. Earlier template versions may not fully support NC recording logic introduced in 20-001 V5-0.

	Field Name	Guidance	Format	Example
2.07	Evaluated international normative document(s)	Cross check the sub-questions representing applicable, international normative documents being evaluated.	Yes/No fields	<i>Trademark standard FSC-STD-50-001</i> <i>FSC-STD-30-010 V3-0 Controlled Forest Management</i>
2.08	Code(s) of NFSS, RFSS or IFSS used	Insert the codes of applicable national, regional or interim standards (as per "Doc. Code" or "Code" in the FSC Document Centre). It is possible to add more than one FM standard, separating each code by a semi-colon.	Text (< 100 characters)	<i>FSC-STD-01-002</i>
2.09	http link to the standard used	Insert the specific link to the relevant NFSS from the FSC Document Centre OR the link to the CB standard used for the evaluation.	URL	<i>https://fsc.org/en/document-centre/documents/resource/207</i>
2.10	If applicable, the adaptation process of CB interim standard*	If applicable, describe the adaptation process of CB interim standard in the space provided. If not applicable, enter "Not applicable".	Text (< 4000 characters)	
2.30	NFSS Risk Assessment code (if applicable)		Text (< 100 characters)	
2.31	Justification for changes in risk designations from the NFSS Risk Assessment made by the certification body	Justify here, for the two types of changes, why risk designations were adjusted compared to the NFSS.	Text (< 4000 characters)	

Evaluation Methodology

	Field Name	Guidance	Format	Example
2.11	Sampling system employed for the audit	As of v1.5.0 this question has been dropped from the template.		
2.12	MUs / members selected for evaluation	In the case of multiple MU evaluations the report shall include an analysis and description of the area in terms of discrete MUs and conformity with the requirements about sampling system employed.	Text (< 4000 characters)	
2.13	Documentation reviewed during this audit	<p>Specific options provided in this field should be checked if a given documentation was sought by the auditor, even if no records have been produced.</p> <p>E.g., if an auditor was inspecting complaints/disputes or Concession Agreements, but there was no complaint or dispute present, nor agreements signed in the period since last evaluation, the boxes for these should be checked.</p> <p>The field should reflect the type of records that have been explicitly reviewed that are relevant for a given CH and were in the focus of this particular evaluation; it is not the intention to check all the boxes for any potential records that might have existed.</p> <p>Use the final sub-question (that is free text) to make any notes you may useful to provide here about exactly which documents were reviewed, and may be useful information for the next audit.</p>	<p>Dropdown fields with options: All, Some, None Available, Not Applicable.</p> <p>As of v1.3.9 the option "Not Requested" is replaced by "Not Applicable". However, the old option is retained at the bottom of the list for backwards compatibility.</p> <p>Plus text field for Other option.</p> <p>Final free text field for additional notes.</p>	
2.14	Additional techniques employed for evaluation	As of v1.5.0 this question has been dropped from the template.		
2.15	Geographically relevant tools employed by the auditing team for evaluation	Choose the appropriate option(s) from the list provided. GPS-enabled smartphones count as GPS tracking devices.	Yes/No fields with text field for Other option	
2.16	First stakeholder consultation date for this audit	<i>As of v1.3.2 this question was moved to the top of the sheet, advice on it can be found above after Q2.02.</i>		
2.27	Describe the consultation process with stakeholders		Text (< 4000 characters)	
2.17	Means of stakeholder engagement	Cross check the appropriate means of engagement used with external stakeholders from the option(s) provided.	Yes/No fields with text field for Other option	
2.18	Stakeholder groups engaged in audit	As of v1.5.0 this question has been dropped from the template.		

Certification Decision

FSC-STD-20-007a (part of FSC-STD-20-007 V3) sets out some important requirements as to what information should be included here. E.g. V1-0 (EN) Box 1, 5.2 states that the report should include:

5	Certification decision
5.1*	Clear and systematic presentation of the non-conformities identified during the evaluation, and justification for their classification as minor or major non-conformities.
5.2	Explicit identification and discussion of any issues that were hard to assess, for example because of contradictory evidence difficulty in interpreting the standard(s) in the field, and explanation of the conclusion reached.

NOTE: In cases where one or more stakeholders have alleged a non-conformity, but the auditors have concluded that a certificate should be issued, the report shall explain why the auditors concluded there was no non-conformity, <i>or</i> why the alleged non-conformity was considered minor, <i>or</i> what action was taken to correct the non-conformity prior to the issue of a certificate.	
5.3	A clear specification of any conditions (corrections of minor non-conformities) or pre-conditions (corrections of major non-conformities) associated with the certification decision.
5.4	An explicit statement to the effect that, in the opinion of the lead auditor:
5.4.1	the certificate holder's system of management, if implemented as described, is capable of ensuring that all of the requirements of the applicable standard(s) are met over the whole forest area covered by the scope of the evaluation;
5.4.2	the certificate holder has demonstrated, subject to correction of the identified non-conformities, that the described system of management is being implemented consistently over the whole forest area covered by the scope of the certificate.

	Field Name	Guidance	Format	Example
2.19	Description of any issues that were hard to assess (e.g., because of contradictory evidence, divergent stakeholder opinion, difficulty in interpreting the requirement), and explanation of the conclusion reached	Enter text to provide information as per requirement in FSC-STD-20-007	Text (< 4000 characters)	
2.20	Conditions associated with the certification decision	Choose the appropriate condition associated with the certificate decision. E.g. it is possible to refer to non-conformity/CAR section instead of repeating information about pre-conditions related to non-conformities.	Yes/No fields with text field for Other option	
2.20.2	Has any minor non-conformity been identified?	Select Yes if at least one minor NC was raised during this evaluation. This question is only applicable for audits under FSC-STD-20-001 and FSC-STD-20-007 (rev). Only applicable after version 1.8.0	Drop-down (Yes/No/N/A)	Yes

	Field Name	Guidance	Format	Example
2.20.3	Has any major non-conformity been identified?	Select Yes if at least one major NC was raised during this evaluation. This question is only applicable for audits under FSC-STD-20-001 and FSC-STD-20-007 (rev). Only applicable after version 1.8.0	Drop-down (Yes/No/N/A)	No
2.20.4	2.20.4 Correction of the pre-conditions to certification identified *	Select Yes if actions taken and evidence provided to resolve identified pre-conditions. Field deleted after version 1.8.0	Drop-down (Yes/No/N/A)	No
2.32	Conditions assessed and subsequent actions taken prior to the certification decision to correct major or minor non-conformities that were identified		Text (< 4000 characters)	
2.33.1	All Non-Conformities have been closed	Confirm whether all NCs (minor and major) have been closed. This question is only applicable for audits under FSC-STD-20-001 and FSC-STD-20-007 (rev). Only applicable after version 1.8.0	Drop-down (Yes/No/N.A.)	Yes
2.33.2	Corrective Actions implemented on Minor Non-Conformities identified in the previous evaluation	Confirm if corrective actions for minor NCs raised in the previous evaluation have been implemented. This question is only applicable for audits under FSC-STD-20-001 and FSC-STD-20-007 (rev). Only applicable after version 1.8.0	Drop-down (Yes/No/N.A.)	No
2.34	Are corrective actions on minor non-conformities identified in this evaluation still pending?	Select Yes if there are pending corrective actions for minor NCs raised in this evaluation. This question is only applicable for audits under FSC-STD-20-001 and FSC-STD-20-007 (rev). Only applicable after version 1.8.0	Drop-down (Yes/No/N.A.)	Yes
2.24	Lead auditor opinion	As of v1.5.0 this question has been dropped from the template.		
2.22	Auditor recommendation	Indicate your recommendation as appropriate.	Yes/No fields	
2.28	Resolution of alleged non-conformities	In cases where one or more stakeholders have alleged a non-conformity, but you concluded that certification should be granted, explain here why you concluded there was no non-conformity, or why the alleged non-conformity was considered minor, or what action was taken to correct the non-conformity prior to granting certification.	Text (< 4000 characters)	
2.29	Potential infringements of the FSC Policy for Association	Describe any potential infringements of the FSC Policy for Association if detected during the evaluation.	Text (< 4000 characters)	

	Field Name	Guidance	Format	Example
2.24	Other details relevant to the decision	Provide any additional relevant details, according to the CB or the auditor. If no additional details are deemed necessary, enter "N/A".	Text (< 4000 characters)	
2.23	Certification decision	<p>Choose applicable option to summarize certificate decision from the drop-down list.</p> <ul style="list-style-type: none"> • Main evaluation => Grant, Extend, Reduce, Certificate not issued, • Surveillance=> Maintain, Suspend, Withdraw, Extend, Reduce, Suspend and Block, Terminate and Block • Re-evaluation=> Grant, Maintain, Recertify, Suspend, Withdraw, Extend, Reduce, Certificate not issued, Suspend and Block, Terminate and Block • Special evaluation=>all options allowed • Pre-evaluation=>Certificate not issued 	Dropdown	<i>Migrate certificate</i>
2.25	Decision date	Enter certification decision date upon a certification decision being made.	Date	
2.26	Decision making entity	Specify in text the certification decision making entity as per requirements in FSC-STD-20-001, Clause 4.5.2, e.g. CB name or name of the CB internal decision-making body.	Text (<100 characters)	

3. Team

This sheet provides space to list the personnel employed or contracted by the CB who were involved in this audit. Do not include representatives of the Certificate Holder or external stakeholders who are not explicitly audit team members.

From v1.3.6 only time invested by certain audit team members counts towards the total reported in question 2.04. The roles (3.02) for which time is counted are:

- Audit team leader
- Team member
- Technical expert
- Local expert

From v1.4.0 the option of selecting **Trainee auditor** as the role (3.02) was removed. Instead you should indicate the role the trainee is performing on this audit: if they are acting as an auditor then describe them as such, if they are acting as an observer then select that option.

Note that no Public Summary is available for this sheet which is considered confidential.

	Field Name	Guidance	Format	Example
3.01	Name	Type in the name of the audit team member in the space provided.	Text (< 100 characters)	
3.02	Role	Select the main role played this person in the team.	Dropdown	
3.03	Person days off-site	Enter number of total days that a given member of the audit team spent on audit preparation and report editing.	Number (between 0 and 50)	
3.04	Person days on-site	Enter number of total days that a given member of the auditor team spent on site.	Number (between 0 and 50)	
3.05	Expertise	Cross check the appropriate box from the options provided for the expertise of the audit team member.	Yes/No fields	
3.06	Auditor ID or UAN	Enter Unique Auditor Identifier according to ASI auditor registry. Enter 0 if none.	Text (< 100 characters)	
3.07	Profile (brief introduction of the person)	Provide a brief profile description. When observer enter whether they are individuals or which organization they represent.	Text (< 4000 characters)	

4. Itinerary

This sheet details the itinerary followed during the audit. It is not expected that you will provide a minute-by-minute account of the audit, but enough detail to provide a reasonable picture of what was done during the audit, and the relative time allocation to different activities.

	Field Name	Guidance	Format	Example
4.01	Audit Itinerary Item Start Date	Enter date in which reported activities were performed.	Date	
4.02	Hours	Enter hours spent on the reported activity.	Number, enter part hours as decimals	5.5 (meaning 5h 30m)
4.03	MUs or members	List names or codes of MUs relevant to the reported activity. In the case of a single MU certificates, the brief names of sites/MU's sub-divisions or other names that allow orientation in the sampled area to be identified should be entered.	Text (< 4000 characters)	
4.04	Activities	Spell out the activities performed during evaluation, e.g., review of public procurement documents at premises, interviews with workers from department A, etc.	Text (< 4000 characters)	Site visit for ongoing thinning operation; Check the use of chemicals in nursery.
4.05	Site detail	List sites listed activities were performed in.	Text (< 4000 characters)	Harvest site – MF3.1
4.06	Site type	Cross check the relevant site types from the options provided. You may leave these blank rather than filling in No.	Yes/No fields with text field for Other option	

5. Forest Management Enterprise

This sheet contains key questions about the forest and forest enterprise. In contrast to worksheet **11 Plan**, many of these questions are compulsory for all evaluation types. As of v1.5.0 of the template, the actual the area of HCV of each category are required along with changes in these areas since the last audit.

Forest Area

	Field Name	Guidance	Format	Example
5.01	Area certified both to FSC and another scheme (specify if non-PEFC)	Insert area certified with any other certification scheme. If none, insert 0 (zero).	Number (rounded to one decimal place)	100000.5 ha
5.02	Brief description of any area of forest over which the certificate holder has some responsibility, whether as owner (including shared or partial ownership), manager, consultant or other responsibility) which the certificate holder has chosen to exclude from the scope of the certificate, together with an explanation of the reason.	Use this field for providing a brief description and justification of both forest areas managed by the certificate holder which are excluded from the certificate and those which have been excised according to FSC-POL-20-003.	Text (< 4000 characters)	
5.03	Area of forest owned/managed but excluded from MUs in the scope of certification	Enter the area excised according to FSC-POL-20-003 or excluded from the scope of certification for other reasons, if applicable. Consider total as of audit. The elaboration and justification of the excision and specific references to the policy shall be provided in field 5.02.	Number (rounded to one decimal place)	100000.5 ha
5.04	Explanation as to how MUs so designated meet the eligibility criteria as SLIMF or Community Forests (as per FSC-STD-01-003)		Text (< 4000 characters)	

Forest Workers

	Field Name	Guidance	Format	Example
5.05	Number of male personnel (including contractors) working within the scope of certification		Number (whole number)	10

	Field Name	Guidance	Format	Example
5.06	Number of female personnel (including contractors) working within the scope of certification		Number (whole number)	10
5.07	Average wage in USD paid to males employed in managerial positions during the last calendar year	Enter the value as a whole number. In the case of contractors being paid on accord (by the unit of delivered product/service), the wage should be estimated based on the average units being produced within the period in which wages are paid.	Number (either whole number or two decimal places)	
5.08	Average wage in USD paid to females employed in managerial positions during the last calendar year	Enter the value as a whole number. In the case of contractors being paid on accord (by the unit of delivered product/service), the wage should be estimated based on the average units being produced within the period in which wages are paid.	Number (either whole number or two decimal places)	
5.09	Number of males employed in managerial positions during the last calendar year		Number (whole number)	
5.10	Number of females employed in managerial positions during the last calendar year		Number (whole number)	
5.11	Total number of local community members employed through management activities, including contractors, during the last calendar year		Number (whole number)	
5.12	Number of accidents since previous audit	"Accidents" refer to serious and fatal injuries that prevent the person from working. The value should be a whole number.	Number (whole number)	
5.13	Direct costs in USD associated with forest management induced to comply with the requirements for FSC certification	This question was removed from the template from v1.5.0 onwards.	Number (either whole number or two decimal places)	
5.14	Document name and date reviewed during this audit	This question was removed from the template from v1.3.2 onwards.	Text (< 4000 characters)	

Impacted Parties

	Field Name	Guidance	Format	Example
5.15	Third parties related/impacted by forest management activities	<p>Answer Yes where there are third parties related or impacted by forest management activities. "Impacted" refers to parties that are affected by forest management activities in a way that their conditions/actions have been altered by forest management activities of the certified operation. This field should be updated when parties are affected anytime during the audit cycle.</p> <p>Describe third party interests or activities.</p>	Yes/No fields with text field for explanation	<p><i>Local communities</i></p> <p><i>Horse riding associations</i></p>
5.16	Services provided to local communities	Indicate which services the forest manager provides to local communities.	Yes/No fields with text field for Other option	

Environmental Values

	Field Name	Guidance	Format	Example
5.17	Overall area of forest classified as High Conservation Value forest	Enter the total area of land in the certificate which meets one or more HCV criteria.	Number (rounded to one decimal place)	<i>100000.5 ha</i>
5.18	Area of HCVs present	<p>Provide here the respective areas of the six HCV categories within the certified land area, and optionally indicate the presence of Intact Forest Landscapes. Note that the areas of the six different categories are not expected to add up to the total given in 5.17 due to overlapping category extents.</p> <p>E.g. in a 100ha forest: there could be 30ha that is HCV1+2+3, another 10ha that is HVC1+2, a final 10ha that is HCV1 only, and the remaining 50ha has no HCVs. This should be reported as having HCV1 = 50ha, HCV2 = 40ha, HCV3 = 30ha.</p> <p>If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.</p>	Number (rounded to one decimal place)	

	Field Name	Guidance	Format	Example
5.37	Changes in HCV Area	Detail here any changes to the extent of HCVs within the certified area since the last audit.	Number (rounded to one decimal place)	<i>The requested figure is always in respect of the last audit. So if the total area for a given HCV was: Y1 = 1,000ha, Y2 = 1,300ha, Y3 = 1,300ha, Y4 = 1,500ha, Y5 = 1,500ha, then the changes (deltas) would be respectively: Y1 = 1,000ha, Y2 = 300ha, Y3 = 0ha, Y4 = 200ha, Y5 = 0ha.</i>
5.19	Environmental safeguards relevant to forest operations	Cross check applicable options from those provided. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Yes/No fields with text field for Other option	
5.20	Description of environmental safeguards	Provide concise description in text, including what kind of measures are implemented in the forest operation for the environment protection. This could include buffer zone set up and controls over the use of chemicals. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Text (< 4000 characters)	

Commercial Stocks

	Field Name	Guidance	Format	Example
5.21	Total growing stock of broadleaves	This question was removed from the template from v1.5.0 onwards.	Number (rounded to one decimal place)	600000.5 m3
5.22	Total growing stock of conifers	This question was removed from the template from v1.5.0 onwards.	Number (rounded to one decimal place)	600000.5 m3
5.23	Species selection and rationale	Cross check applicable options from those provided. If other, elaborate in text in the space provided. For natural forests containing many species include a note as to why species were selected for exploitation. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Yes/No fields with text field for Other option	

Management Changes

	Field Name	Guidance	Format	Example
5.24	The main obstacles to meeting the requirements of FSC certification	Provide concise description in text.	Text (< 4000 characters)	

	Field Name	Guidance	Format	Example
5.25	Main changes in forest management implemented to comply with requirements for FSC certification	Provide concise description in text. In the case of main evaluations, all changes prior to main evaluation. In the case of surveillance evaluations, changes during the last calendar year.	Text (< 4000 characters)	
5.26	Main strengths and weaknesses with respect to the overall conformity with the Forest Stewardship Standard used for the evaluation	This question was removed from the template from v1.5.0 onwards.	Text (< 4000 characters)	
5.36	Identified conflicts between laws and/or regulations with certification requirements.		Text (< 4000 characters)	

Group Management

	Field Name	Guidance	Format	Example
5.27	Total number of group members	Calculated automatically from the Group Members tab.	Number (whole number)	5
5.28	Group members located in more than one country.	Answer Yes if group members are located in more than one country. Note that when you do this, you will need to fill in the codes of applicable national standards in Q2.08.	Yes/No	
5.29	Maximum manageable number of group members	Enter the maximum manageable number of group members according to FSC-STD-30-005 Clause 5.1. Provide data on other relevant criteria in Q5.29.1.	Number (whole number)	25
5.30	Number of members sampled annually by group entity	Enter the number of members sampled annually by the group entity. The value should be equal or less than the total number of group members.	Number (whole number)	5
5.31	Sampling system implemented by the group entity	This question was removed from the template from v1.5.0 onwards.	Yes/No fields with text field for Other option	
5.32	Group entity's sampling system	Enter text to elaborate or explain the sampling system.	Text (< 4000 characters)	
5.33	Division of responsibilities with entities included into the scope of certification	Select the appropriate option(s) provided for responsibilities for implementation of the applicable standard(s) in the group.	Dropdowns	
5.34	Explanation of responsibilities of group entity, members and contractors, and evidence that these are fulfilled	Detail evidence that these responsibilities listed in 5.33 are being fulfilled by the appropriate parties, especially where there is Joint Responsibility.	Text (< 4000 characters)	
5.35	Justification for non-publication of group member details	This question was removed from the template from v1.5.0 onwards.	Text (< 4000 characters)	

6. Group

If this is a Group Certificate then enter the group member details here. There must be at least one group member listed in the case of a Group Certificate.

For Groups with more than 20 members that operate through Resource Managers, it is not necessary here to list all group members; instead you may choose to list just the Resource Managers, with the number of group members covered by each Resource Manager recorded in question 6.09 (introduced in v1.3.10 of the template).

The Digital Audit Reporting template is designed to collect data on typical certificate structures. In order to manage file size, and avoid overloading Excel's computational capacity, this sheet 6 is capped at 1,000 group members. For very large Groups, with more than 1,000 members, you cannot list them all here, and instead should summarize the group membership in one or more lines (based on variation in MU characteristics), and to enter the number of members represented by each line in 6.09.

If you have not listed all the Group members here then, in order to conform with the requirements of FSC-STD-20-007, you must separately include a complete list as a separate sheet imported into this template. This list, however, can be in any reasonable format, and can combine Group members and MU details on the same sheet if that makes sense. This separate sheet must contain all the necessary data: it is up to you in the CB ensure that requirement is met, and also to ensure that sheet is included when you generate a Public Summary, noting that this is not required in the case of group certificates wholly comprised of SLIMF or Community Forests members, and that contact details from group members are not required in the Public Summary.

	Field Name	Guidance	Format	Example
6.01	Group member name	Enter the name of the Group Member or Resource Manager in the space provided.	Text (< 100 characters)	
6.02	Public contact	Name of person who is the contact person for this group member.	Text (< 100 characters)	
6.03	Address	Insert street name, postal code, city, state, country	Text (< 100 characters)	<i>Adenaueralle 134, 53113 Bonn, NRW, Germany</i>
6.04	Email (if available)	If applicable and lawful, enter email address in the space provided.	Text (< 100 characters)	<i>mickeymouse@gmail.com</i>
6.05	Sub-code (if applicable)	If applicable, enter the sub-code in the space provided.	Text (< 100 characters)	
6.06	Certified area	This will calculate automatically according to the Management Units assigned to the Group Member or Resource Manager on the next tab.	Number (rounded to one decimal place)	<i>20000.5 ha</i>
6.07	SLIMF only MUs	Calculated field to determine whether this Group Member or Resource Manager only manages Management Units that meet SLIMF criteria.	Yes/No	
6.08	Action Plan Sub-Group	Only applicable to groups implementing the Continuous Improvement Procedure (Q1.26). Index number of the sub-group according to the action plan being followed under the Continuous Improvement Procedure. Defaults to 1; edit only in the case of there being multiple sub-groups following different action plans.	Number (whole number)	<i>1</i>

	Field Name	Guidance	Format	Example
6.09	Num. Members	Enter the number of members included in this row. Only applicable to large groups in a SLIMF certificate where members can be listed at the RMU level, or at the level of the entire group.	Number (whole number)	1
6.10	Date Joined	Enter the date this group member joined the group certificate.		
6.11	Date Left	If this group member has left the group certificate enter the date here.		
6.12	Contractor	Indicate whether this group member is a Contractor or not.	Yes/No	

7. Management Units

On this sheet you must list all the Management Units (MUs) that are a part of the certificate. However, if the certificate is a Group Certificate which operates through Resource Managers, and you have chosen to list them on the previous sheet (6 Group Members) rather than to list all the group members, then you should list the Resource Management Units (RMUs) on this sheet, not the individual MUs, assuming those RMUs have similar characteristics. Similar characteristics means that the answers to questions 7.02 to 7.05 are the same for all MUs within the RMU. Where that is not the case you need to split the data into multiple lines per RMU that groups the MUs according to the characteristics specified in questions 7.02 to 7.05. The goal here is to ensure that the MU area figures given in questions 7.08 onwards are accurate with respect to the characteristics specified in questions 7.02 to 7.05

If, based on the above, you have not listed all the MUs here then, in order to conform with the requirements of FSC-STD-20-007, you must separately include a complete list as a separate sheet imported into this template. This list, however, can be in any reasonable format, and can combine Group members and MU details on the same sheet if that makes sense. This separate sheet must contain all the necessary data: it is up to you in the CB ensure that requirement is met, and also to ensure that sheet is included when you generate a Public Summary.

A modern GIS is capable of computing an exact centroid for an MU or RMU consisting of many different non-contiguous parts (referred to as 'polygons' in GIS-speak). However, in such cases it is not necessary to perform this calculation; a centroid estimated by human eye on a map or simple GIS such as Google Earth will suffice.

The total area of MU (7.10) is calculated automatically as the sum of total production forest area (7.08) and total non-production area (7.09).

Natural forest area (7.11) and Plantation area (7.12) include both production and non-production forest area. Together they should not exceed the total area of the MU (7.10).

Replanted forest area (7.13) and Naturally regenerated forest area (7.14) aim to capture artificial and natural regeneration within the production area only (7.08).

Conservation area (7.15) and Strictly protected area (7.16) belong to non-production area (7.09).

NTFP area (7.17) also belongs to non-production area (7.09) except where the area is also used for wood production.

Importantly, it is hard to consider all possible area types and forests specifics in this guidance. Therefore, FSC acknowledges that a CB interpretation on the given MU structure will be necessary. It is expected that the Certificate Holders should have precise figures for the following fields:

- Production forest area (7.08)
- Non-production area (7.09)
- Conservation area (7.15)
- Strictly protected area (7.16)
- Area with ecosystem services claims (7.18)

However, not all Certificate Holders may have precise figures for the following fields:

- Natural forest area (7.11)
- Plantation area (7.12)
- Replanted forest area (7.13)
- Naturally regenerated forest area (7.14)

- NTFP area (7.17)

Where the Certificate Holder lacks exact data for the above listed fields it is permissible for estimates to be provided. The use of estimates should be disclosed to the auditor and estimates must appear reasonable to the auditor. In the case of Group certificates including SLIMF management units it is allowable to apply the same percentage-based estimates to all SLIMF MUs in the Group.

When one or more MUs are labelled as SLIMF the row below the Area Totals will become active: you can enter % values in here for the columns 7.11-7.14 and 7.17. The same % will then be applied to the total MU area for each SLIMF MU. (It will not be calculated for non-SLIMF MUs.) This calculation can be over-riden simply by typing in the relevant box. But once that calculation has been over-written once it cannot be recaptured by deleting any manual data entry. If the audited certificate contains SLIMF MUs and you wish to take advantage of this option it is therefore recommended that you list out all the MUs first, and then review the answers to 7.11-7.14 and 7.17.

As of v1.4.0 there is minimal validation rules applied to the forest areas entered, but the spreadsheet does check that no answer to 7.11-7.18 exceeds the total area of the MU (7.10). If you are getting unexplained errors then please check those figures.

7.01 MU name *	7.02 Forest zone *	7.03 SLIMF type *	7.10 Total area of MU *	7.11 Natural Forest area	7.12 Plantation area *	7.13 Replanted Forest area *	7.14 Natural regenerated forest area *	7.15 Conservation area	7.16 Strictly protected area *	7.17 NTFP area *
Area Totals			0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Area Estimates										

	Field Name	Guidance	Format	Example
7.01	MU name	Enter the name or code of the Management Unit. The MU name shall never be duplicated.	Text (< 100 characters)	<i>Bonn Stadt Forest</i>
7.23	Cadastral identifier	Official code identifying real estate parcel(s) included in this land holding. If no cadastral identifier available enter here such other means of identification as is available.	Text (< 100 characters)	
7.02	Forest zone	Choose forest zone from the drop-down list provided. In rare cases when spreading MU over more than one forest zone is justified, please enter the main forest zone (note that in such case the quality of data will be compromised, and such MU design shall be avoided).	Dropdown	<i>Boreal</i>
7.03	SLIMF type	Specify whether and which SLIMF type applies for the MU by choosing from the drop-down list provided.	Dropdown	<i>Small forest</i>
7.04	Tenure-ownership	Choose the appropriate the tenure-ownership from the drop-down list provided. Note that the option for "State" forests includes all those under government ownership.	Dropdown	<i>Community</i>
7.05	Tenure-management	Choose the appropriate the type of tenure management from the drop-down list provided. Note that the option for "State" forests includes all those under government management.	Dropdown	<i>State</i>

	Field Name	Guidance	Format	Example
7.24	Recognised as Community Forest	Calculated field which uses the answers given to 7.04 and 7.05 to determine whether this Management Unit is recognised as a Community Forest within the FSC scheme, according to FSC-STD-01-003.		
7.25	SLIMF or Community	Calculated field which uses the answers given to 7.03, 7.04 and 7.05 to determine whether this Management Unit can be classified as either SLIMF or Community Forest.		
7.06	Centroid Latitude	Enter the Centroid Latitude in decimal degrees according to the WGS84 geodetic standard. A latitude entered as degrees, minutes and seconds will be treated as an error, as will happen if you enter the degree symbol. (To convert from degrees, minutes & seconds see online converters like this .) Not compulsory for SLIMF MUs.	Number (Decimal between -180 and +180)	43.77600
7.07	Centroid Longitude	Enter the Centroid Longitude in decimal degrees. Not compulsory for SLIMF MUs. See guidance on 7.06 above for more detail.	Number (Decimal between -180 and +180)	18.12540
7.08	Total production forest area	This field should include the total production forest area. This area includes all areas in the MU that are used for production, including replanted and naturally regenerated forest.	Number (rounded to one decimal place)	100000.5 ha
7.09	Total non-production forest area	<p>This field should include the total non-production forest area. This area includes an area of forest and non-forest land currently not considered for commercial harvesting. For example, it can include bogs, parts of the forest left with no human interventions (also past plantations).</p> <p>If a natural hazard occurs that triggers management activities in the non-production area, the classification of the area shall be revised and whether it will still be considered a non-production area will depend on the scale of the hazard and plans developed for future use of this area. Or, in the case when a non-production area includes e.g., agriculture lands left for natural forest succession, the status of succession forest shall be revisited as well, according to the management plans developed for this area.</p>	Number (rounded to one decimal place)	100000.5 ha
7.10	Total area of MU (automated)	This field will auto-sum the values from 7.08 and 7.09.	Number (rounded to one decimal place)	100000.5 ha
7.11	Natural Forest area	Enter the natural forest area.	Number (rounded to one decimal place)	100000.5 ha

	Field Name	Guidance	Format	Example
7.12	Plantation area	This field refers to the active plantation area. By default, all plantations would be considered active. A non-active plantation could be a part of the forest left with no human intervention for stimulation of natural evolution etc.	Number (rounded to one decimal place)	100000.5 ha
7.13	Replanted Forest area	“Replanted Forest area” is the area regenerated primarily by replanting or by a combination of replanting and coppicing of the planted stems. (This does not include enrichment planting to supplement natural regeneration.)	Number (rounded to one decimal place)	100000.5 ha
7.14	Natural regenerated forest area	“Natural regenerated forest area” may include area of production forest regenerated primarily by natural regeneration, or by a combination of natural and coppicing of the naturally regenerated stems.	Number (rounded to one decimal place)	100000.5 ha
7.15	Conservation area	Conservation area refers to forest and non-forest area protected from commercial harvesting of timber and managed primarily for conservation objectives. This means that there might be harvesting occurring in such area if it serves conservation purposes.	Number (rounded to one decimal place)	100000.5 ha
7.16	Strictly protected area	Insert strictly protected area. However, in strictly protected area, no harvesting is envisaged.	Number (rounded to one decimal place)	100000.5 ha
7.17	NTFP area	Insert NTFP area. Not more than total MU area-strictly protected area.	Number (rounded to one decimal place)	100000.5 ha
7.18	Area with ecosystem services claims	Enter the total area with one or more ecosystem services claims within given MU (when different claims overlap, their area shall not be double counted). ES area shall be equal or smaller than total MU area. This field becomes mandatory when ES is in the scope of certificate (field 1.17 is checked).	Number (rounded to one decimal place)	100000.5 ha
7.19	Annual allowable cut (AAC)	Enter annual allowable cut at the MU level and select the right unit from the dropdown menu. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Number (rounded to one decimal place)	175 m3
7.20	Group member name	This field is compulsory in the case of Group certificates, and should be left blank otherwise. If ownership is split between more than one Group member, please enter just one. This field can be left blank in the case of SLIMF Mus. Where you have listed Resource Managers on sheet 6 then choose the appropriate Resource Manager rather than Group Member.	Dropdown	

	Field Name	Guidance	Format	Example
7.21	Active / Inactive	An Active management unit is one where site-disturbing activities have taken place since the last evaluation implemented by certification bodies, or in the previous 12 months if there was no previous evaluation. Applicable only to group certificates; defaults to Active.	Dropdown	<i>Active</i>
7.26	Num years into applying CIP	Enter here the number of years since the start of the Continuous Improvement Plan for this Management Unit.	Number (whole number)	
7.22	MU Notes	Optional free-form field for you to add notes on particular Management Units.	Text	<i>Contains mix of HCVs 1 and 3</i>

See Appendix 2: AAF Area Calculation for details of the summary table to the right of the main data entry table on sheet 7 which is provided to assist with data entry into the Certification Database.

8. Commercial Timber Species

This sheet provides space for listing the commercial timber species present in the certified forest(s) and the products sold⁴, as per the certificate scope as entered into the FSC Certification Database. Species that are in scope but which were not harvested or sold last year should still be listed, but with zero quantities reported. In the case of updates to that information CBs should ensure the Database is also updated before submission of this report. In the future FSC will automatically update that data based on submission of this report, but that functionality is not available at this time.

In entering species data note the following:

- The Template is integrated with species dictionary and the validation of entered species name is performed based on this dictionary.
- To avoid typing, you can copy and paste directly from the Species List (which contains the list of species included in the dictionary) or chose the species name from the drop-down list.
- Always full name (genus and species) is required. In case of uncertainty, you shall choose the most likely species and justify the choice in the field "Remarks".
- In case of hybrids, enter only one species from the hybrid, and mention the other one(s) in "Remarks".

The species dictionary in the Template will be updated periodically and new versions issued: see the update date stated on the worksheet **10 Pesticides** to see when the data dictionary was last updated. If you need to add a species not already listed then the CB must email FSC using the usual address with relevant details: the scientific name of the requested species, and, in case of hybrid species, please also provide the parental and maternal species scientific names, distribution, and references in English. Only by doing this will the species will be made available for selection in the FSC Certification Database, and thus displayed in the Public Search information on this certificate. However, you can still proceed to use the current version of the template and enter the new species name in the space provided on the right hand side of the main data table; this list allows for up to 30 new species to be added. Species added in this way will appear at the very bottom of the dropdown selection list; you must still select the newly entered species in 8.01 in order to have a valid row of data. (If, in dialogue with FSC, the scientific name to be used is amended, please ensure you also use the final agreed species name here.)

The data entered into this sheet should be that which is available and accurate at the time of audit. If a CH has yet to complete a stocks inventory (some companies only inventory harvesting coupes shortly before harvesting), and thus expected harvest levels are not known you can enter zero against question 8.04.

Note that from v1.3.9 of this template questions 8.04 and 8.06 are not included in the Public Summary of this sheet to preserve CH confidentiality on what may be regarded as commercially sensitive data.

Note also that as of v1.5.0 of this template the meaning of question 8.04 changed substantially from the planned harvest in the current year to the actual harvest in the previous calendar year.

⁴ In FSC-STD-20-007 V3-0 only the main commercial timber species needed to be listed. From V4-0 all commercial timber species that are harvested need to be listed here.

	Field Name	Guidance	Format	Example
8.01	Species	Select the species name in field.	Dropdown	<i>Picea abies</i>
8.02	Product code	Select the product code from the list provided.	Dropdown	<i>W1.2 Fuel wood</i>
8.03	Trade name	Type in commercial name or trade name. If no commercial or trade name is known, enter "Not known" in the space provided.	Text (< 100 characters)	<i>Pine</i>
8.04	Harvested quantity in previous calendar year	Enter the volume harvested in the previous calendar year.	Number (rounded to one decimal place)	<i>100000.5 m3</i>
8.05	Remarks	Enter any remarks, including for example justification for the choice of species, or, in the case of hybrid species, those in the hybrid that were not entered in 8.01.	Text (< 4000 characters)	
8.06	Sold with FSC Claim in previous calendar year	Enter volume relevant for the previous calendar year. E.g., if the evaluation has taken place in March 2020, the total volume of products sold with FSC claim in 2019 shall be entered. If the evaluation has been conducted in September 2020, the same 2019 volume shall be entered. Also, remember to select the right unit from the dropdown menu.	Number (rounded to one decimal place)	<i>100000.5 m3</i>

Matrix Data Entry

Matrix Entry (planned harvest sold in previous year)	8.02 Product code *					
8.01 Species *	N3.2 Cork powder		N3.3 Cork granules		N3.6 Cork disks	
Abies alba	1.00	2.00	3.00	4.00	5.00	6.00
Acacia auriculiformis	0.00	0.00	1.00	1.00		

For certificates where many products are made from many species there is an option to enter data using the Matrix Entry table furthest to the right on this data sheet. This allows for up to 20 different products (selected in the column headings) and 100 different species (selected in row headings) to be cross-referenced, with the planned harvest and previous sales volume entered into adjacent cells at each intersection point. Both the planned harvest and previous sales volume must be entered for every possible combination of species and product listed in the matrix; you can enter zero where that product will not be or were not made from this species.

The data from the Matrix Entry table are copied automatically into the main data table on the left starting at the top row. However, this data can be over-written, at which point the formulae will no longer work. So if you want to use a combination of the two methods then you should first use the Matrix Entry table, and once finished there you can add extra rows at the bottom of the main data table. The Trade Name and Remarks columns are not written to from the Matrix Entry table, so you if you have data to add there you have to fill these in separately, copying and pasting (or dragging down) if need be amongst the rows. If you add new entries into the Matrix check that the information in the Trade Name and Remarks columns still match up to the appropriate rows.

9. Non-Timber Forest Products

This worksheet functions similarly to the sheet **8 Commercial Species**, but is much simpler. If you need to add extra species please use the supplementary table in **8 Commercial Species** for that purpose.

For some NTFPs it is not possible to identify a single species in a meaningful way, e.g. honey. In such cases create a dummy species called N/A using the area for listing new species in sheet 8, and then select it here in 9.01.

	Field Name	Guidance	Format	Example
9.01	Species	Select the NTFP species in the space provided.	Dropdown	
9.02	Product code of NTFP	Choose the product code of the NTFP from the drop-down list.	Dropdown	<i>N9.5 Fruits</i>
9.03	Trade name	Enter the NTFP trade name in the space provided.	Text (< 100 characters)	
9.04	Harvested quantity in previous calendar year	Enter the amount harvested in the previous calendar year and select the right unit from the dropdown menu.	Number (rounded to one decimal place)	<i>100000.5 ton</i>
9.05	Sold with FSC Claim in previous calendar year	Enter the volume sold in the previous calendar year.	Number (rounded to one decimal place)	<i>100000.5 ton</i>

10. Pesticides

Pesticide use since previous audit/year										Pesticide Restrictions Data Last Updated		31/12/2019		Number of Valid Entries: 0	
10.01 Active ingredient *	10.02 Restriction	10.03 Applied area	10.03.1 Units *	10.04 Reason for use *	10.05 Quantity of ingredient *	10.05.1 Units	10.06 Summary of ESRA *	Validation		New Pesticides					
			ha												
			ha												
			ha												

This worksheet provides space to list all pesticide use by the Certificate Holder in the last year. As with adding new tree species (see **8 Commercial Species**) you can include other pesticides that do not appear on the current data dictionary using the supplementary table to the right; you must still select the newly entered pesticide in 10.01 in order to have a valid row of data. Note that the Restriction column is looked up automatically by the spreadsheet for pesticides that appear in the FSC data dictionary, but that this data may get out of date. The date of the last update is given at the top of the sheet, and auditors should check in case there have been recent new restrictions added since the last update of the data dictionary in the version of the template they are using.

Some pesticides are applied to only specific trees rather than across a wide area. E.g. pesticides applied to saplings in selective re-planting. In such cases it is not appropriate to enter the entire area of the FMU or compartment. In such cases one should estimate the area occupied by a typical individual (i.e. the area of ground cover by the canopy of a single tree of that age), and multiply that by the total number of individuals to which the pesticide has been applied. (This number may also be estimated.) In performing such a calculation what is important is the overall order of magnitude, not total precision on the resulting area. Only in the case of pesticides applied to logs should you enter zero for the applied area.

	Field Name	Guidance	Format	Example
10.01.1	Trade name	Enter the local trade name of pesticide used.	Text (< 100 characters)	
10.01	Active ingredient	Choose one active ingredient from the drop-down list provided.	Dropdown	<i>Borax</i>
10.02	Restriction	Calculated field showing restriction level on the use of the selected pesticide in FSC certified forests. This information will be up-to-date as per the date given at the top of the screen. Auditors should therefore be sure to check if there have been any updates to the restricted list since that date.	Text (< 100 characters)	<i>Restricted</i>
10.03	Applied area	Enter the area where the pesticide was applied on since previous audit and select the right unit from the dropdown menu. In the case the pesticides are applied on logs, enter 0 (zero). As of version 1.3.0 of this template, smaller areas units (m ² and ft ²) are now selectable here. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Number (rounded to one decimal place)	<i>100.5 ha</i>
10.04	Reason for use	Enter the reason or purpose of use in the space provided.	Text (< 4000 characters)	

	Field Name	Guidance	Format	Example
10.04.1	Location used	Briefly describe the location where the pesticide was used. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Text (< 100 characters)	
10.04.2	Period of use	Briefly describe the period of time over which the pesticide was used.	Text (< 100 characters)	
10.04.3	Number of applications	List how many times the pesticide was applied. (This is not the amount that was applied, but the number of different occasions on which the pesticide was used.)	Number (whole number)	
10.04.4	Frequency of application	Briefly describe the frequency with which the pesticide was used over the period that it was being applied.	Text (< 100 characters)	
10.05	Quantity of ingredient	Enter the quantity of ingredient and select the right unit from the dropdown menu.	Number (rounded to one decimal place)	500.5 kg
10.06	Summary of ESRA	Enter the summary of ESRA in the space provided. Summary should generally include hazard identification, assessment of degree of risk, and mitigation measures. Often the emphasis will be on the last part, e.g. conditions for pesticide use and what monitoring on impacts is conducted. You may also include what consideration there was of lower risk alternatives. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Text (< 4000 characters)	
10.07	HHP derogation (if any)	Provide details on any applicable derogation that allowed for the use of a Highly Hazardous Pesticide. (This should be an extremely rare event.) Field is compulsory for any pesticide whose use is not Unrestricted. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Text (< 4000 characters)	

11. Forest Management Plan

Forest Description

This sub-section was added in v1.3.0 of the template to provide data necessary for the Public Summary. The question numbers are therefore out of order. There is some overlap with other questions; for some audits it may be appropriate to repeat the same text across both answers – this will not be regarded as a misuse of the template.

	Field Name	Guidance	Format	Example
11.28	Description of the forest	A general description of the forest, land use history and regional context. This differs from 11.08 which is focused on the current biological composition of the forest.	Text (< 4000 characters)	
11.29	Description of the management system	A general description of the management system (e.g., uneven aged management, even aged management, rotation length, silvicultural prescriptions). This differs from 11.14 in potentially covering a wider range of issues.	Text (< 4000 characters)	

Forest Context & Core Management Plan

	Field Name	Guidance	Format	Example
11.01	Legislative, administrative and land use context in which the Organization operates	Provide concise description in text. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Text (< 4000 characters)	
11.02	Roles of responsible government agencies involved in aspects of forest management	Provide concise description in text. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Text (< 4000 characters)	
11.03	Ownership and use-rights (both legal and customary) of lands and forest of external parties other than the certificate holder	Provide concise description in text. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Text (< 4000 characters)	
11.04	Non-forestry activities being undertaken within the area evaluated, whether they are undertaken by the certificate holder or by some other party (e.g. mining, industrial operations, agriculture, hunting, commercial tourism, etc.)	Cross check applicable options from those provided. If other, elaborate in text in the space provided. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Yes/No fields with text field for Other option	
11.05	Forest management objectives	Provide concise description in text. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Text (< 4000 characters)	

	Field Name	Guidance	Format	Example
11.06	Land use and ownership status of the forest resource	Provide concise description in text. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Text (< 4000 characters)	
11.07	Socio-economic conditions of the forest management	Provide concise description in text. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Text (< 4000 characters)	
11.08	Brief description of forest composition	Describe the biological composition of the forest; main landcover types, dominant species etc. This question differs from 11.28 which requests a wider description of the forest. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Text (< 4000 characters)	
11.09	Profile of adjacent lands	Cross check applicable options from those provided. If other, elaborate in text in the space provided. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Yes/No fields with text field for Other option	
11.10	Management structure of the certificate holder	Provide concise description in text. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Text (< 4000 characters)	
11.11	Division of forest management responsibilities	Provide concise description in text. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Text (< 4000 characters)	
11.12	Use of contractors by the certificate holder	Cross check applicable options from those provided. If other, elaborate in text in the space provided. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Yes/No fields with text field for Other option	
11.13	Training implemented by the certificate holder	Provide concise description in text. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Text (< 4000 characters)	
11.14	Silvicultural system/regime implemented by the certificate holder (including harvesting techniques and equipment)	Outline the approach to silvicultural management implemented in the forest. This overlaps with question 11.29, but is an opportunity to provide more detail than appears in 11.29. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Text (< 4000 characters)	

	Field Name	Guidance	Format	Example
11.15	Technique used for harvesting operations of the certificate holder	Cross check applicable options from those provided. If other, elaborate in text in the space provided. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Yes/No fields with text field for Other option	
11.16	Management strategy for the identification and protection of rare, threatened and endangered species, and of HCVs	Provide concise description in text. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Text (< 4000 characters)	
11.17	Forest monitoring methods implemented by the certificate holder	Cross check applicable options from those provided. If other, elaborate in text in the space provided. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Yes/No fields with text field for Other option	
11.18	Elaboration of Monitoring of growth, yield and forest dynamics including change of fauna and flora	Provide concise description in text. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Text (< 4000 characters)	
11.19	Environmental and social impacts, and costs, productivity, and efficiency	Provide concise description in text. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Text (< 4000 characters)	
11.20	Explanation of the assumptions (e.g. silvicultural) on estimate of the maximum sustainable yield for the main commercial species	Provide concise description in text. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Text (< 4000 characters)	
11.21	Reference to the source of data (e.g. inventory data, permanent sample plots, yield tables) on which estimates are based	Provide concise description in text. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Text (< 4000 characters)	
11.22	Investments and measures taken for the prevention and control of natural hazards (fires, storm, flood, disease, pests, pathogens etc.) during the last calendar year	Provide concise description in text. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Text (< 4000 characters)	
11.23	The risk of products from non-certified sources (including any areas specifically excluded from the scope of the certificate) being mixed with products from the forest area evaluated	Detail the risks here and the control measures put in place to mitigate the risks in the following question. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Text (< 4000 characters)	

	Field Name	Guidance	Format	Example
11.23.1 ⁵	Description of segregation controls implemented	A description of the controls that are in place to ensure that there is no risk of confusion being generated as to which activities or products are certified, and which are not. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Text (< 4000 characters)	
11.24	Explanation of the control (tracking and tracing) systems in place that address the risk identified	Provide concise description in text. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Text (< 4000 characters)	
11.25	The documentation or marking system that allows products from the certified forest area to be reliably identified	<p>Cross check applicable options from those provided. If other, elaborate in text in the space provided.</p> <p>“Tree mark” in this context is a mark done on the log or group of logs and not on a tree stamp. It can be punched on the forehead of the log, sprayed, painted, or a plastic indicator can be punched on the surface depending on the forest management practices in a given region or country.</p> <p>If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.</p>	Yes/No fields with text field for Other option	
11.26	Elaboration of the chain of custody documentation or marking system	Provide concise description in text. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Text (< 4000 characters)	
11.27	The final point or forest gate of the certified product	Cross check applicable options from those provided. If other, elaborate in text in the space provided. If Certificate Type = CFM, this field is optional. Users may fill it, but no validation error is triggered if left blank.	Yes/No fields with text field for Other option	

⁵ This question was moved here from 11.30.

	Field Name	Guidance	Format	Example
11.31	Major changes to management plan	<p>Describe here any significant changes to the management plan that may affect:</p> <ul style="list-style-type: none"> a. the management objectives; b. the forest resources (land use and ownership status, socio-economic conditions, forest composition, profile of adjacent lands); c. the management structures (e.g., management structure, division of responsibilities, use of contractors, provision of training, etc.) implemented by The Organization; d. the silvicultural and/or other management systems being implemented (incl. harvesting techniques and equipment, rationale for species selection); e. the environmental safeguards; f. the management strategy for the identification and protection of rare, threatened, and endangered species and High Conservation Values; g. The Organization's procedures for monitoring growth, yield, and forest dynamics (incl. changes in flora and fauna), environmental and social impacts, and costs, productivity, and efficiency. 	Text (< 4000 characters)	

12. Stakeholder Feedback

This table represents the list for stakeholders who either were approached for feedback or who provided comments unprompted, including those engaged or those who approached the CB without prior CH engagement. If more than one stakeholder group makes the same comment please enter them in separate rows.

If you need extra space to detail the comment and follow-up you can create an overflow row: ensure that the answers to 12.01 and 12.02 are the same as the row above.

	Field Name	Guidance	Format	Example
12.01	Stakeholder group	Choose the relevant stakeholder group from the drop-down list provided under "Chose an item". It is not possible to add or select more than one stakeholder group.	Dropdown	<i>Economic interests</i>
12.02	Stakeholder description	Describe stakeholder in the space provided. Where possible include their position, role, number of individuals signed etc. Please avoid providing personal and sensitive information.	Text (< 4000 characters)	
12.03	Stakeholder's comment	Summarize stakeholder's comment in the allocated space provided. Leave blank if the stakeholder was approached but did not respond.	Text (< 4000 characters)	
12.04	Notified before audit?	Select Yes if stakeholder was notified before audit.	Yes/No	
12.05	Interviewed during this audit?	Select Yes if stakeholder was interviewed during audit.	Yes/No	
12.06	CB's follow up	Describe actions taken by CB as a result of the comment in the space provided.	Text (< 4000 characters)	

13. Complaints Received

This sheet is for entering complaints received by the CB.

If you need extra space to detail the complaint and actions you can create an overflow row: ensure that the answers to 13.01, 13.02 and 13.03 are the same as the row above.

	Field Name	Guidance	Format	Example
13.01	Received date	Enter date the complaint was received.	Date	
13.02	First received by	Chose the entity which received the complaint for the first time.	Dropdown	
13.02.1	How received	Select from the dropdown box how this complaint was received: either during the audit or whether it was made between audits.		
13.03	Complainant	Provide details of the complainant in text in the space provided. This field is confidential and not included in the Public Summary. But if the Complainant identity is particularly sensitive then you can enter a code reference here, and store the details elsewhere in CB records.	Text (< 4000 characters)	
13.04	Complaint detail	Provide details of the complaint in text in the space provided, e.g. issue raised, arguments, demands etc.	Text (< 4000 characters)	
13.05	Open/Closed	Indicate the status of the complaint by choosing from the dropdown list.	Dropdown	
13.06	Actions	Provide details to actions that were taken by CB in a response to the complaint. Provide details of the complaint in the allocated space provided.	Text (< 4000 characters)	
13.07	Close date	Enter the date the complaint was closed. Applies when the status of complaint in field 13.05 is "Closed".	Date	
13.08	Audit conclusions	Describe here the conclusions reached about the complaint.	Text (< 4000 characters)	

14. Non-conformities & Observations (Sheet 14 – now “14 Findings” after 1.8.0 version)

In this worksheet you should include gaps (relevant for pre-evaluations), observations, as well minor and major nonconformities raised during the audit. The section does not separate corrective action requests (CARs) from nonconformities (NCs) and these terms are treated interchangeably in this template.

Each non-conformity/CAR shall be added separately.

You should add any open NC/CARs from the previous audit.

The template allows for the following types of non-conformities:

- Minor NCs/CARs – the due date should be equal to the date of the issue of the of the minor CAR plus the time allowed for correction according to FSC-STD-20-001
- Major NCs/CARs – the due date should be equal to the date of the issue of the of the major CAR plus the time allowed for correction according to FSC-STD-20-001
- Gaps – for which the issue and due dates should be within the audit start and finish dates
- Observations – do not enter a due date

If a NC/CAR is extended do not change the issue date, but adjust the due date, and provide information about the extension in field 14.11 (“Description of audit finding”).

Issue and due dates should be set in conformity with FSC-STD-20-001. Version 4-0 (EN) of this standard states:

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:

- 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);
- major nonconformity shall be corrected within three (3) months (under exceptional and justified circumstances within six (6) months).

NOTE: Action(s) taken to correct a major nonconformity may continue over a period of time which is longer than three (3) months. However, action must be taken within the specified period which is sufficient to prevent new instances of nonconformity within the scope of the certification.

If you need extra space to detail the CAR and response you can create an overflow row: ensure that the answer to 14.01 is the same as the row above.

As of version 1.3.10 it has been allowed to adjust the width of columns in this sheet so that CBs can better format this sheet to improve readability as best as possible within the constraints of this file format.

As of version 1.4.0 the order of the fields has been adjusted so that 14.03-14.05 appear after 14.09.

	Field Name	Guidance	Format	Example
14.01	Unique Finding number	Enter the unique finding number as text. The value should not be duplicated across audits nor certificate holders.	You must use the format 'YYYY(year)-licence number.	2019-C156324-1

	Field Name	Guidance	Format	Example
14.02	CB Non-conformity Ref	Space for you to enter the non-conformity reference code used by your Certification Body.	Text (< 100 characters)	
14.06	Grading	Choose the grading from the drop-down list. If a previously raised minor NC/CAR is upgraded to a major NC/CAR, the grading shall be changed, as well as the due date. The upgrade shall be explicitly mentioned in field 14.11 ("Description of audit findings").	Dropdown	
14.07	Open/closed	Choose the applicable status of the finding from the drop-down list.	Dropdown	
14.07.01	Corrective Actions Pending	Confirm whether corrective actions are still pending at this stage. This question is only applicable for audits under FSC-STD-20-001 and FSC-STD-20-007 (rev). Only applicable after version 1.8.0	Drop-down (Yes/No)	No
14.08	Standard	Choose the normative document against which the NC was raised from the drop-down list. From v1.7 of the template, the options include the Regulatory Module FSC-STD-01-004.	Dropdown	30-010 Controlled Forest Management
14.09	Clause	Type in the number of clause in the space provided from the normative document specified in 14.08. If a NC/CAR relates to more than one clause, these shall be separated by semicolon ";".	Text (< 100 characters)	
14.03	Issue date	Enter the issue date of the CAR.	Date	
14.04	Due date	Enter the due date of the CAR. This is mandatory except for Observations.	Date	
14.05	Close date	Enter the close date of the CAR. The value should be after the Issue date. This is mandatory only when the status of the finding is Closed.	Date	
14.10	Requirement	Quote the clause(s) specified in 14.09 in text in the allocated space provided.	Text (< 4000 characters)	
14.11	Description of audit finding	Describe the audit finding in text, including the justification for grading in the allocated space provided.	Text (< 4000 characters)	
14.12	Corrective action taken by the auditee	Provide concise description in text in the space provided.	Text (< 4000 characters)	
14.13	CB's review of corrective actions	Provide concise description in text in the space provided.	Text (< 4000 characters)	
14.14	MU Applicability	List here all MUs where the non-conformity was found. Enter All or Many as appropriate if too many to list sensibly.	Text (< 100 characters)	
14.15	Corrective action requested	Specify here the actual corrective action requested of the auditee.	Text (< 4000 characters)	

	Field Name	Guidance	Format	Example
14.15.1	Correction Requested	Describe the immediate correction requested from the auditee. This question is only applicable for audits under FSC-STD-20-001 and FSC-STD-20-007 (rev). Only applicable after version 1.8.0	Text (< 4000 characters)	“Chemical storage relocated to designated area.”
14.15.2	Corrective Action Requested	Describe the longer-term corrective action requested from the auditee. This question is only applicable for audits under FSC-STD-20-001 and FSC-STD-20-007 (rev). Only applicable after version 1.8.0	Text (< 4000 characters)	“Develop and implement chemical handling SOP.”
14.16	Correction implemented by the auditee	Describe the correction implemented by the auditee. This question is only applicable for audits under FSC-STD-20-001 and FSC-STD-20-007 (rev). Only applicable after version 1.8.0	Text (< 4000 characters)	“Protective gear distributed and in use.”
14.17	CB's review of correction implemented	Certification Body's assessment of whether the correction was adequate. This question is only applicable for audits under FSC-STD-20-001 and FSC-STD-20-007 (rev). Only applicable after version 1.8.0	Text (< 4000 characters)	“Correction implemented as required.”

15. Review

This section only applies for main evaluations. All fields in the peer review table are non-public fields.

If you need extra space to detail the review comment and response you can create an overflow row: ensure that the answers to 15.01 and 15.02 are the same as the row above.

Note that no Public Summary is available for this sheet which is considered confidential.

	Field Name	Guidance	Format	Example
15.01	Review date	Enter the review date. The value should be greater than Audit finish date and should be lesser than 90 days from audit finish date.	Date	
15.02	Peer reviewer	Enter the name of the peer reviewer.	Text (< 100 characters)	
15.03	Peer reviewer expertise	Describe reviewer's expertise.	Text (< 4000 characters)	
15.04	Peer reviewer's comment	Briefly summarize reviewer's comments, e.g., what were the main issues raised.	Text (< 4000 characters)	
15.05	Auditor response	Space to provide the auditor's response to the reviewer comment.	Text (< 4000 characters)	
15.06	Review type	Select here what type of review this was.		

16. Ecosystem Services Impacts

This sheet is optional (i.e. it can be deleted from the spreadsheet), but it cannot be replaced with an alternative.

Each Ecosystem Services impact has to be filled separately and can be approved at different dates. Multiple ES impacts must be filled out on separate rows even if assessed together.

	Field Name	Guidance	Format	Example
16.01	Date of the evaluation of this document	Date in 16.01 shall not be earlier than 12 months prior to audit start date and no later than the audit finish date.	Date	
16.02	Type of evaluation	Choose the applicable item from the drop-down list. Restrict to "Validation" only for CFM	Dropdown	Validation
16.03	Ecosystem services claims with ES impact	Choose the applicable item from the drop-down list.	Dropdown	
16.04	Management unit impacted	Select the management unit where the ecosystem service impacts are achieved.	Dropdown	
16.04.1	Group member	Calculated field that looks up the Group Member responsible for the Management Unit identified.		
16.05	Date of verification or validation of the impact	Enter date. Date shall not be earlier than 12 months prior to audit start date and no later than the audit finish date.	Date	
16.06	Approved on	Enter date. It must be equal or more than the date in 16.05, and equal or less than the certification decision date in 2.22.	Date	
16.07	Valid until	Enter date. It shall be no longer than decision date (2.22) plus 5 years.	Date	
16.08	Place of approval	This question was removed from the template from v1.5.0 onwards.	Text (<100 characters)	

17. Ecosystem Services Sponsorships

This sheet is optional (i.e. it can be deleted from the spreadsheet), but it cannot be replaced with an alternative.

Sponsor information is required whenever there is a sponsor associated with one or more demonstrated Ecosystem Services impacts.

	Field Name	Guidance	Format	Example
17.01	Name of the sponsor	Enter name of the sponsor. If the sponsor prefers to remain anonymous, the word "Anonymous" shall be entered.	Text (<100 characters)	
17.02	Address	Enter the address of the sponsor. In the case the sponsor chose to remain anonymous, enter the address of FSC International office (Adenauerallee 134, 53113 Bonn, Germany).	Text (<4000 characters)	
17.03	Contact person	Enter the name of the contact person of the sponsor. If anonymous, enter FSC.	Text (<100 characters)	
17.04	Phone	Enter phone number of the sponsor. If anonymous enter +49 0228 367660 .	Text (<100 characters)	
17.05	Email	Enter email of the sponsor. If anonymous enter info@fsc.org in the space provided.	Text (<100 characters)	
17.06	Ecosystem Service Sponsored	Select the particular Ecosystem Service that has been sponsored.	Dropdown	
17.07	Management unit sponsored	Select the management unit.	Dropdown	
17.08	Start of sponsorship	Enter start date of the sponsorship.	Date	
17.09	End of sponsorship	Enter end date of the sponsorship.	Date	
17.10	Additional comments	Enter additional comments concerning sponsorship in the space provided.	Text (< 4000 characters)	

18. Summary Findings by Principle & Criteria

Use of this particular sheet design is optional (i.e. it can be deleted from the spreadsheet, and replaced with an alternative if the CB's choosing). It is provided to support preparation of Public Summaries, specifically, the requirement from FSC-STD-20-007 V4-0 Annex 4 that the report of main assessments and re-evaluations should contain:

“A summarized presentation of findings with clear information to enable the reader to make an easy correlation between the requirements of each of the criteria of the FSC normative document used and the performance of the certified operation.”

(Information element #62 – this is not a requirement for Surveillance Evaluations)

It lists out the complete set of Principles and Criteria from either FSC-STD-01-001 V4-0 or V5-2 according to what you select at the top, and provides a space for you to enter your observations. Full sets of the Principles & Criteria are not available in V4-0 for all languages, and even for V5-2 the text provided may be a poor quality machine translation.

The template does not require you to fill in observations against any or all criteria. You may therefore hide rows relating to criteria that have not been reviewed during the audit; you can do this easily by using the filter at the top of the Summary Assessment column and unticking (Blanks).

If Certificate Type = CFM, this page is optional. Users may fill it, but no validation error is triggered if left blank.

	Field Name	Guidance	Format	Example
18.01	Standard Requirement	Lists the Principles & Criteria from the FSC standards. (non-editable)		
18.02	Num NCs	Numbers of Corrective Action Requests found applicable to this Principle / Criterion. By default this adds up all the indicators from sheet 19 NFSS Indicators where the Conformant flag is No, but this can be over-written.	Number (whole number)	
18.03	Summary Assessment	Enter your summary assessment of how the Certificate Holder or Applicant meets the standard.	Text (< 4000 characters)	

19. NFSS Checklist

Use of this particular sheet design is optional (i.e. it can be deleted from the spreadsheet, and replaced with an alternative if the CB's choosing). It is provided because FSC-STD-20-007 V4-0 Annex 4 requires Certification Reports to include:

“A systematic presentation of the audit findings (including summarized findings from the pre-evaluation if applicable) on which the certification decision is based at the level of the indicators defined in the applicable standard(s), and whether the finding implies a non-conformity.”

(Information element #62)⁶

CBs may use this Checklist sheet and format or devise and include one of their own design.

This checklist is designed to allow you to list all the indicators applicable from a National Forest Stewardship Council. The default text of the indicators is provided from the IGIs in English. You should replace this with a list of all the NFSS indicators in the language you are using for the audit report, adding any further indicators you have chosen to include. For each indicator you should enter your observations, and indicate whether the Certificate Holder or Applicant conforms with the indicator requirements. If you are using the previous sheet (**18 P&C**) to provide the summary by criteria for the Public Summary, that sheet will use that final column to compute the number of CARs issued per criterion.

The template does not require you to fill in observations against any or all indicators. You may therefore hide rows relating to indicators that have not been reviewed during the audit; you can do this easily by using the filter at the top of the Observation column and unticking (Blanks).

From v1.5.0 of the template there is an option to respond to 19.03 with “Yes with Observations”.

	Field Name	Guidance	Format	Example
19.01	Indicator Definition	Description of the indicator.	Text (< 4000 characters)	
19.02	Findings	Enter your findings: does the auditee meet the requirements of this indicator?	Text (< 4000 characters)	
19.03	Conformant?	Enter Yes if no CARs have been raised against this indicator, otherwise enter No.	Yes/No/NA	

⁶ FSc-STD-20-007 V3-0 contains a similar requirement.

23 Regulatory Module

This sheet⁷ contains extra questions related to the FSC Regulatory Module FSC-STD-01-004 that was introduced in 2024. The questions are mandatory if question 1.28 is answered Yes; otherwise they do not apply. There is some significant overlap between these questions and other fields in the rest of the DAR template. For example Criterion 3.01 (sheet 18) and Q23.03 both concern the FPIC process. The questions on this sheet reflect the specific wording of the EUDR regulations, and are designed so that answers provided here can be taken up automatically and used in data tools to support FSC CHs to demonstrate they are conforming with the requirements of the EUDR. It is the responsibility of the CB and auditor to assess whether an answer provided elsewhere can simply be reused here, or needs some editing to address the particular question raised in this sheet.

Applicable for template versions 1.7.0 onwards. Fields and validations have been revised in v1.7.2 and v1.8.0 to reflect FSC-STD-20-001 V5-0 requirements.

Due Diligence System

	Field Name	Guidance	Format	Example
23.01	Summary of products covered by the Due Diligence System	Provide a summary in each sub-question of the relevant product details. A full list is not required so that CHs can maintain commercial confidentiality. The summary should suffice for the reader to get a clear picture of the scope of business undertaken. 1) Relevant products 2) Quantities 3) Country of production 4) Location of plots of production 5) Date of time range of harvesting 6) Customers to whom the products were supplied Since the EUDR requires HS codes it is recommended you include those codes for mentioned products.	Text (< 4000 characters)	
23.02	Risk assessment: information and evidence obtained and used to assess the risk, the conclusions and measures implemented	Summarise here key points from the risk assessment, what informed the assessment of those risks and what mitigating actions were taken.	Text (< 4000 characters)	
23.03	Description of consultation process with Indigenous Peoples, local communities and other customary tenure rights holders or of the civil society organizations that are present in the area of production of the relevant products	Summarise here the consultation process that was undertaken by the CH. This question closely relates to Criterion 3.01 for which a separate answer may have been provided on sheet 18, although use of that sheet is optional. Due to the different governing documents, these questions can unfortunately not be combined at this time. But if the same answer suffices for both you may use the same text.	Text (< 4000 characters)	

⁷ From v1.7 of this template onwards there are no sheets 20-22. To avoid inconsistency on the definition of specific questions, this sheet was numbered 23.

Evaluation

	Field Name	Guidance	Format	Example
23.04	Date of Evaluation	Enter the date the Regulatory Module was evaluated. This will normally be the same as the audit report date (Q2.05), but may differ in the case of an additional audit performed just for the purpose of assessing conformity with the Regulatory Module.	Date	2024-12-15
23.05	Summary of Audit Findings	Provide here a summary of the audit findings in relation to compliance with the Regulatory Module, summarising any CARs raised. Individual CARs should still be listed on sheet 14.	Text (< 4000 characters)	

30 Audit Report Annexes

There may be occasions when you wish to include additional content in an audit report that does not fit into an existing part of the report. This may be just extra text, but could include tables of figures, or screenshots or photographs. The annexes sheet is completely free form and unlocked, for you to use as you see fit. A little of the standard structure has been included, but you can remove or amend that as required. See the table below if you wish to follow this standard structure, and refer to “annex N” in other parts of the report. Alternatively CBs are free to create their own Annexes framework and substitute it for this sheet; that will not break the spreadsheet integrity.

The Print Area of this sheet is not pre-defined, so when printing or exporting to PDF it will follow the Excel default behaviour of including all cells with content or data.

Important Note: when including photographs or other images please ensure that they are cropped to show only the relevant parts of the image, and reduce the resolution / reduce quality / increase compression in order to keep file size manageable. A typical modern digital camera, including those on smartphones, produces files in excess of 5MB; photographs that are attached as annexes to this report should generally be reduced to under 0.5MB each before inserting.

	Field Name	Guidance	Format	Example
20.01	Annex No.	Reference number of the annex to use elsewhere in the report	Number (whole number)	
20.02	Annex Contents	Freeform text field; will also accept screenshots, photos and other images that may be useful to include.	Text / Image	

40 Reporting Errors in the Template

This worksheet allows you to report any errors or unexpected behaviour encountered while using the template. This allows you to proceed with using the template, and to submit the report in this format even if it shows errors.

	Field Name	Guidance	Format	Example
21.01	Question	Provide the number of the question where you encountered the error.	Text (< 100 characters)	5.03
21.02	Attempted Input	Enter the data here that you attempted to insert, but which the template would not accept.	Text (< 4000 characters)	1,234 acres
21.03	Error Encountered	Enter details of the response from Excel that prevented you from proceeding.	Text (< 4000 characters)	<i>Template would not permit use of a different unit here.</i>

41 Improving Question Translations

This worksheet allows you to suggest improved translations for any question. This allows you to address points of confusion that arrive mid audit. This mechanism does not allow you to suggest translations for data vocabulary (the options available in dropdown boxes). For that you need to use the separate tool for comprehensive translation review of the template.

	Field Name	Guidance	Format	Example
22.01	Question ID	Select the question index number.	Dropdown	
22.02	Question Text in English	Field automatically filled with the English version of the question.		
22.03	Current Question Text	Field automatically filled with the current translation of the question.		
22.04	Improved Question Text	Enter your improved translation here.	Text (< 4000 characters)	

APPENDIX 1: LOG OF CHANGES MADE

The table below lists the changes made to the template.

Template Version	Feature Changes	Bug Fixes
1.0.0-rc.1	Initial version published	
1.1.0	Template restructured	
1.1.1	Restructured version shared with CBs	
1.2.0	Easier data entry options	
1.2.1	Various bug fixes	
1.2.2	Various minor bug fixes	
1.3.0	Capability to produce Public Summary reports	
1.3.1	Allow row insertion on sheets 2, 5, 11, 18 & 19	
1.3.2	Reordered Public Summary questions	
1.3.3	P&C V4 solution, various translations	
1.3.4	Various translations	Removed Allow Edit Ranges, other minor bug fixes
1.3.5	Various translations	Fixed use of CONCAT in Validation calcs not working in Excel 2016
1.3.6	Warning when formulae broken by Cut-Paste Sheet 16 colour coded for filling in by CBs not CHs Questions 11.28.1 and 11.30 moved to 1.25 and 11.23.1 respectively	Fixed headings & formatting in print areas Adjusted calculation of audit days (2.04, 3.04.1) Added error catching to TEXT() formatting functions to cope with incompatible regional settings Errors not flagged on overflows in sheets 12-15
1.3.7	Compatibility with CIP Dummy indicators on Sheet 19 changed to provide clarity Changes log moved to own sheet; template version number stated on Index page	Date formatting on 1.13 14.04 Due Date of CAR is not mandatory for Observations
1.3.8	Column width adjustment enabled on sheet 14 Various translations	Cell shading after row insertion fixed on sheets 2, 5 and 11 Title printing fixed on sheet 11
1.3.9	N/A option added to 5.18 and checklist of indicators on sheet 19, and "Not Applicable" option added to 2.13 (deprecating "Not Requested") Commercial species volumes removed from Public Summary Optional Q7.22 MU Notes added to allow for freeform notes on individual MUs Summary table of total MU areas for AAF calculations Freeform Annexes sheet added Various translations	Fixed bad data restriction rule on sheet 6 7.21 Active/Inactive column now editable
1.3.10	Allow multiple members per line in sheet 6	Fixed greyed out cells when other languages chosen (and display level not updated) Fixed calculation of area of Community Forests for AAF Fixed TH V4 P&C availability
1.3.11	Calculation for Conservation Purposes forests in AAF	Public Summary Q1.15 (total area) adjusts for area unit choice in different regions Fixed option list in Q2.01 Last column not printing to PDF on sheet 18

Template Version	Feature Changes	Bug Fixes
1.3.12		Certification Decision not being detected on Cover Sheet
1.4.0	Unified multi-language vocabulary table Experimental bilingual functionality	Q19.04 now translated
1.4.1	Changes from 1.3.8 & 1.3.9	Included bug fixes from 1.3.8 & 1.3.9
1.4.2	Changes from 1.3.10 & 1.3.11	Included bug fixes from 1.3.10 & 1.3.11
1.4.3	Merge with single language version	Num MUs calculation for 1.14 fixed
1.5.0	Adaptation to FSC-STD-20-007 V4 Question mandatory status set according to Evaluation Type New optional questions related to Certificate Database Fields Allow option of "Yes with Observations" in 19 Checklist Removal of volatile formulae to speed up spreadsheet calculations on older computers Num rows in sheets 6 Group Members and 7 FMUs reduced to 1,000 on each Size of species matrix on sheet 8 increased to support up to 100 different species cross-referenced with product categories	Text wraps in second language columns Cover sheet appears in selected Public Summary language Fixed formula for Q2.04 Fixed AAF calculation for Tropical SLIMF forests (Sheet 7) Public Summary for sheet 10 translates into secondary language Portuguese translation (using Brazilian Portuguese)
1.5.1		Restored ability to resize rows
1.5.2	Colour coding of CAR Gradings Q14.06 Addition of Legalis LLC CB	SLIMF & Community group members greyed out in Public Summary on sheets 6 & 7 Overflow rows in sheet 14 require CAR number to be entered Word wrap and date formatting on sheet 15
1.5.3	DE translation updated	Resizing row height (and in sheet 14 column width) reinstated Cover sheet forest area formula fixed Q5.12.1 repetition removed, Q5.12.2 displayed where it should Fixed bug in which one community MU meant all were treated as community forests Q7.04 & Q7.05 option clarified to be "Public/State" Fixed bad data validation checks on sheet 8 row 46 Translations of Q22.03 and Q22.04, top row translations fixed
1.5.4	Updated Pesticides List "Other, please specify" options no longer mandatory Q5.29.1 added to provide additional information on the maximum size of a group certificate Q14.12 can be left blank for open CARs	Data validation on Q2.04.1 removed Printable area for sheet 2 excludes validation check for all detail levels Lock / data validation issues solved in Q5.18, Q5.24, Q5.25, Q5.36, Q5.37 Count of Group Members (Q5.27) now excludes those which have a value in Q6.11 Date Left Fixed bug preventing first user-defined pesticide (sheet 10)
1.6.0	Includes choice of which Pesticide list V1-0 or V1-1 Species list update date stated Q3.06 clarified to accept Auditor ID or UAN Q14.02 made optional and removed from Public Summary Sorting functionality restored on matrix table sheets	New explicit check: $7.11 + 7.12 \leq 7.10$ New explicit check: both 7.15 & $7.16 \leq 7.09$ Fixed treatment of Conservation Area (Q7.15) in calculated of areas for AAF Pesticide HHP status lookup in 10.02 does not break the formula for unrecognized pesticide
1.6.1	Improved file integrity check	Reconciled pesticides list Word wrap on Itinerary detail

Template Version	Feature Changes	Bug Fixes
1.7.0	<p>Added new elements for Regulatory Module FSC-STD-01-004</p> <p>Sheet 16 ES Impacts expanded from 100 to 250 rows</p> <p>New CB code: PBN</p>	<p>Q5.27-5.34 only compulsory for Group certs</p> <p>Q8.06 data now shown in Public Summary (previously showing incorrectly as blank)</p> <p>Numbers in Public Summary now shown in ISO format, e.g. "123 456.7 ha"</p>
1.7.2	<p>Integration of Controlled Forest Management (CFM) requirements per FSC-STD-30-010 V3-0.</p> <p>Added RFSS (Regional Forest Stewardship Standard) mapping logic for relevant indicators.</p> <p>Conditional logic updated to hide / ignore non-mandatory CFM fields (CFM 1 & 2 backlog items).</p> <p>Validation matrix aligned with new CFM applicability rules.</p>	<p>Adjusted conditional formatting to prevent false validation flags for CFM-specific non-mandatory questions.</p> <p>Corrected cross-references between Q2.01 Evaluation Type and Q11.x CFM subsections.</p> <p>Fixed translations and PS visibility for new CFM fields.</p>
1.8.0	<p>Introduced enhanced Non-Conformities (NC) module aligned with NC backlog items 1–9.</p> <p>Restructured Sheet 14 (CARs) to support new NC workflows (including Observations, Step-up and Closed-at-transfer logic).</p> <p>Added Step-up Evaluation audit type compatibility (link to Q2.01 and Certification Decision logic).</p> <p>Expanded NC categorization and linkage to P&C/Indicators.</p>	<p>Fixed broken data transfer for CAR overflow rows.</p> <p>Resolved formula dependencies causing lag in Validation and Req Missing columns on Sheet 14.</p> <p>Corrected hidden row protection and formatting for newly inserted NC sub-types.</p>

APPENDIX 2: AAF AREA CALCULATION

As of v1.3.9 of the template, to the right of the main data entry table in sheet **7 MUs** there is a small summary table that calculates the total area of different categories of forest according to the AAF categories for entry into the FSC Certification Database in a way that is consistent with the Digital Audit Report. This calculation is advisory: as the explanation below notes, it makes certain assumptions about the data entered. If the assumptions are not correct for one or more MUs in the certificate, then the resulting calculation will be inaccurate.

Any one Management Unit can span multiple different AAF categories, e.g. the AAF Policy FSC-POL-20-005 V3-3 states in clause 4.3:

“For the calculation of the AAF, CBs can consider conservation zones and protection areas that are part of larger Management Units in the category of Natural Forests - Conservation Purposes. The productive areas of such Management Units under economic and/or commercial use are included in the relevant forest type AAF category.”

This appendix describes the calculation of the Area per AAF Category in that summary table. It requires that sheet **7 MUs** is correctly filled out, and that even if Management Units are reported in aggregate for extra-large Group Certificates that the aggregated MUs are split into separate lines where the answers to questions 7.02-7.05 differ, i.e. each aggregated MU has the same Forest zone, SLIMF type, Ownership Tenure and Management Tenure, and so that the areas specified in questions 7.11 and 7.12 are exclusive of one another, and should add up to the total Forest Area (Q7.10).

The first consideration is whether an MU is assigned a SLIMF Type (Q7.03) that is anything other than Non-SLIMF. If that is the case the MU area is reported in the lower part of the AAF area calculations table, otherwise it appears in the top part. An MU cannot be part SLIMF and part not.

Another key intermediate step in this calculation is shown in Q7.24 Recognised as Community Forest. This is based on the answers to Q7.04-05 on the MU Tenure, and shows whether an MU qualifies as a Community Forest. However, for AAF determination this is only relevant for the case of Natural Forests.

Thereafter the calculation implements the following logic:

1. Area specified as Plantations (Q7.12) is reported in the AAF Plantations category.
2. The lower of the area specified as set aside for Conservation Purposes (Q7.15) and the Area of Natural Forest (Q7.11) is reported in the Natural Forest – Conservation Purposes category.
3. The Area of Natural Forest (Q7.11) for Community Forests (Q7.24) is reported as Natural Forest – Community Forestry.

Area Summary	
AAF Category	Area (ha)
<u>Non-SLIMF</u>	
Natural Forest - Boreal	0.00
Natural Forest - Community Forestry	0.00
Natural Forest - Conservation Purposes	0.00
Plantations	0.00
Natural Forest - Temperate	0.00
Natural Forest - Tropical	0.00
<u>SLIMF</u>	
Natural Forest - Boreal	0.00
Natural Forest - Community Forestry	0.00
Natural Forest - Conservation Purposes	0.00
Plantations	0.00
Natural Forest - Temperate	0.00
Natural Forest - Tropical	0.00

4. For non-Community Forests (Q7.24) the Area of Natural Forest (Q7.11) is reported according to the Forest Zone (Q7.02):
 - a. 7.02 = Boreal ⇒ AAF category Natural Forest - Boreal
 - b. 7.02 = Temperate or Sub-Tropical ⇒ AAF category Natural Forest – Temperate
 - c. 7.02 = Tropical ⇒ AAF category Natural Forest – Tropical

For MUs that contain both Natural Forest and Plantation the algorithm assumes that the Natural Forest is preferentially chosen over Plantation when considering what should go into the area set aside for Conservation Purposes (Q7.15). This is best illustrated with the following examples:

- i. If an MU has 60ha of Plantation and 40ha of Natural Forest, and 12ha of Conservation Area, then the algorithm assumes all of that 12ha are Natural Forest.
- ii. If an MU has 90ha of Plantation and 10ha of Natural Forest, and 12ha of Conservation Area, then the algorithm assumes that the Conservation Area consists of 10ha of Natural Forest and 2ha of Plantation.
- iii. If an MU has 100ha of Plantation, no Natural Forest, and 12ha of Conservation Area, then the algorithm treats all of that 12ha as Plantation.

If this assumption does not apply the calculation will give wrong results.

The figures given in the summary table simply add up the values for all MUs according to the above algorithm.



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