

## FSC INTERNATIONAL STANDARD

General requirements for FSC accredited certification bodies -  
application of ISO/IEC Guide 65:1996 (E)

FSC-STD-20-001 (Version 3-0) EN



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|---------------------------------|--------------------------------------------------------------------------------------------------------|
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**GENERAL REQUIREMENTS FOR FSC ACCREDITED CERTIFICATION BODIES:  
APPLICATION OF ISO/IEC GUIDE 65:1996 (E)**

FSC-STD-20-001 V3-0 EN

FINAL VERSION

The Forest Stewardship Council (FSC) is an independent, not for profit, non-government organization established to support environmentally appropriate, socially beneficial, and economically viable management of the world's forests.

FSC's vision is where the world's forests meet the social, ecological, and economic rights and needs of the present generation without compromising those of future generations

## Foreword

*ISO/IEC Guide 65: 1996 (E) General requirements for bodies operating product certification systems* is widely recognised as the most appropriate international standard for certification bodies operating product certification systems. The term 'product' in this context includes processes and services, and therefore covers the certification of forest management as well as forest product manufacturing processes against specified standards and other normative documents.

Governments and businesses increasingly reference certification body conformity with ISO/IEC Guide 65: 1996 (E) as a major requirement of a credible, international certification scheme.

The introduction to ISO/IEC Guide 65: 1996 (E) explains that its requirements are written "above all, to be considered as general criteria for organizations operating product certification systems; they may have to be amplified when specific industrial or other sectors make use of them..." (ISO/IEC Guide 65: 1996 (E)). In the case of certification of forest management FSC provides such amplification in order to address the technical challenges of assessing large areas of land which may provide homes and livelihoods for a wide variety of people, habitat for rare and endangered plants and animals, and basic environmental services in the surrounding area. In the case of chain of custody certification for the purpose of labeling and of making claims about the origin of raw materials used, the credibility of the scheme and consumer confidence are paramount. FSC has therefore developed additional requirements related to transparency and stakeholder consultation that are essential to meet these expectations.

FSC-STD-20-001 specifies the requirements for all certification bodies operating FSC certification programs. The objective of the standard is to ensure that certification bodies operating schemes for the certification of forest management and the social and/or environmental labeling of forest products operate in a consistent, reliable and credible manner thereby facilitating their acceptance on a national and international basis and so furthering international trade and promoting sustainable development.

FSC-STD-20-001 is for use by all certification bodies operating schemes for the certification of forest management, chain of custody, and controlled wood evaluations for forest management enterprises.

## Note on use of this standard

All aspects of this standard are considered to be normative, including the scope, standard effective date, references, terms and definitions, notes, tables and annexes, unless otherwise stated (e.g. as examples).

In the absence of FSC requirements or guidance (in the form of approved FSC Policies, Standards, Directives, Guidance or Advice Notes) users should follow IAF guidance on the interpretation of ISO/IEC Guide 65.

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## **A Scope**

This International Standard contains principles and requirements for the competence, consistency and impartiality of the assessment and FSC certification of forest management, chain of custody and controlled wood operations and for certification bodies wishing to provide or to maintain these activities.

This International Standard shall be used as a normative document for FSC accreditation.

## **B Standard effective date**

This standard becomes effective on **01 January 2010**.

**New applicant certification bodies** that apply for accreditation after the effective date of this standard shall be audited against the requirements of this standard.

**Existing applicant certification bodies** in the process of accreditation at the effective date shall switch to the requirements of this standard before accreditation is granted.

**FSC accredited certification bodies** shall be in compliance with the requirements of this standard by 01 January 2011.

## **C References**

The following referenced documents are indispensable for the application of this document. For undated references, the latest edition of the referenced document (including any amendments) applies.

*ISO/IEC Guide 65: 1996 (E) General requirements for bodies operating product certification systems*

*IAF GD 5:2006 Issue 2: IAF Guidance on the Application of ISO/IEC Guide 65:1996*

*ISO 9000:2000 Quality Management systems – Fundamentals and Vocabulary.*

*ISO/IEC 17000:2004 Conformity Assessment-Vocabulary and general principles.*

*ISO 19011: 2003 Guidelines for quality and/or environmental management systems auditing*

*ISO/IEC Guide 2:2004 Standardization and related activities – General vocabulary*

*ISO/IEC Guide 60: 2004 Code of good practice for conformity assessment.*

*FSC-STD-01-001 FSC Principles and Criteria for forest stewardship*

*FSC-STD-01-002 FSC glossary of terms (Draft Version)*

*FSC-STD-01-003 SLIMF Eligibility Criteria*

*FSC-STD-20-002 Structure, content and local adaptation of Generic Forest Stewardship Standards*

*FSC-STD-20-006 Stakeholder consultation for forest evaluations*

*FSC-STD-20-007 Forest management evaluations*

*FSC-STD-20-011 Chain of Custody Evaluations*

*FSC-STD-20-012 Standard for Evaluation of FSC Controlled Wood in Forest Management Enterprises*

*FSC-GUI-20-200 FSC Guidelines for Certification Bodies (Version March 2005)*

### **FSC normative documents replaced by this version of the standard:**

*FSC-STD-20-004 Qualifications for FSC certification body auditors*

## D Terms and definitions

For the purposes of this International Standard, the terms and definitions given in *FSC-STD-01-002 FSC Glossary of Terms, ISO/IEC 17000:2004*, and the following apply:

**Appeal:** request by the client to the certification body for reconsideration of a decision it has made relating to that client.

**Certification:** third-party attestation related to products, processes, systems or persons.

**Certification decision:** granting, maintaining, renewing, expanding the scope of, reducing the scope of, suspending, reinstating, or withdrawing certification.

**Client:** term used in this standard synonymous to “*supplier*” as used in ISO/IEC Guide 65 (see below). In the context of this standard client refers to applicants for FSC certification and to FSC certificate holders.

**Complaint:** expression of dissatisfaction, other than appeal, by any person or organization to a certification body, relating to the activities of that body, where a response is expected.

### **Consultancy:**

Participation in

- a) designing, manufacturing, installing or maintaining of a product to be certified;
- b) designing, implementing, providing or maintaining of a service to be certified;
- c) designing, implementing, operating or maintaining of a process to be certified.

**Days:** timelines mentioned in this standard in days refer to calendar days unless otherwise specified.

**Evaluation:** systematic examination of the extent to which a product, process or service fulfils specified requirements (term used in ISO/IEC Guide 65).

### **Types of evaluation:**

**Pre-Evaluation:** assessment to determine the applicant’s readiness for their main evaluation.

**Main Evaluation:** assessment of an applicant for FSC certification.

**Re-Evaluation:** assessment for re-certification.

**Surveillance evaluations:** see “*surveillance*”

**FSC:** if used in this standard without any further designation such as “IC” or “GD”, it is used as a general term referring to all operational entities under the ownership of Forest Stewardship Council A.C., including ASI (Accreditation Services International), responsible for managing the FSC Accreditation Program.

**FSC Certification Standards:** all FSC Rules and Regulations as amended and re-issued from time to time in relation to the certification of forest management enterprises and/or of forest products enterprises.

**FSC Rules and Regulations:** FSC Principles and Criteria, FSC Procedures, FSC Policies, FSC Certification Standards, FSC Trademark Requirements, the FSC Dispute Resolution System, Guidance, Directives & Advice Notes and any other FSC documentation.

**Intellectual Property Rights:** any and all rights to copyright, typography, databases, designs, patents, trade or service marks, know-how and all other intellectual property, any and all proprietary or other rights (whether or not any of the same are registered or registerable, and including any applications or rights to apply for registration of any of the same) which may exist anywhere and in any form worldwide.

**License Agreement for the FSC Certification Scheme:** an agreement that each applicant for FSC Certification and/or FSC Certificate Holder has to enter into with FSC Global Development in order to be eligible for FSC Certification. The License Agreement for the FSC Certification Scheme authorizes the use of the FSC trademarks under specified terms and provisions.

**Outsourcing:** subcontracting a process or part of a process which has been accredited by FSC to a third-party (see *Subcontractor*).

**Related Body:** a related body is one which is linked to the certification body by common ownership in whole or part, common directors, contractual arrangement, a common name, informal understanding or other means such that the related body has a vested interest in any certification decision or has a potential ability to influence the process (adapted from IAF GD 5:2006).

**Subcontractor** (affiliate, partner organization of a certification body): An organization or individual with which/ whom the certification body has established a formal relationship <sup>(1)</sup> to collaborate in providing all or any part of FSC accredited certification services <sup>(2)</sup> to their clients <sup>(3)</sup>.

(1) A contract or agreement has been signed by both parties.

(2) Services shall not include certification decision making.

(3) Individuals working under formal agreement for the certification body, within the accredited systems, and under the authority and direct control of the certification body are not deemed to be subcontractors.

**Supplier:** the party that is responsible for ensuring that products (incl. services) meet and, if applicable, continue to meet, the requirements on which the certification is based (term used in ISO/IEC Guide 65). In this FSC standard, the term “*client*” is introduced instead, as this is the new term for applicants for certification and certificate holders in latest ISO publications.

**Surveillance:** systematic iteration of conformity assessment activities as a basis for maintaining the validity of FSC certification.

**Suspension:** temporary invalidation of the FSC certification for all or part of the specified scope of attestation.

**Termination:** revocation or cancellation of the certification contract by the certification body or the client according to contractual arrangements.

**Withdrawal:** revocation or cancellation of the FSC certification.

### **Verbal forms for the expression of provisions**

[Adapted from *ISO/IEC Directives Part 2: Rules for the structure and drafting of International Standards*]

“*shall*”: indicates requirements strictly to be followed in order to conform to the standard.

“*should*”: indicates that among several possibilities one is recommended as particularly suitable, without mentioning or excluding others, or that a certain course of action is preferred but not necessarily required. A certification body can meet these requirements in an equivalent way provided this can be demonstrated and justified.

“*may*”: indicates a course of action permissible within the limits of the document.

“*can*” is used for statements of possibility and capability, whether material, physical or causal.



## E FSC Accreditation Standards Map

| Area<br>SCOPE | Forest management |    | Chain of Custody |
|---------------|-------------------|----|------------------|
|               | FM                | CW | COC              |

|                       |     |
|-----------------------|-----|
| Mandatory combination | COC |
|-----------------------|-----|

|                            |   |                                                    |                |                |
|----------------------------|---|----------------------------------------------------|----------------|----------------|
| Accreditation requirements | G | ISO/IEC Guide 65:1996<br>FSC – STD – 20 - 001      |                |                |
|                            | S | FSC-STD-20-002<br>FSC-STD-20-006<br>FSC-STD-20-007 | FSC-STD-20-012 | FSC-STD-20-011 |

|                            |   |                |                |                                                                                        |
|----------------------------|---|----------------|----------------|----------------------------------------------------------------------------------------|
| Certification requirements | G | FSC-STD-01-001 | FSC-STD-30-010 | FSC-STD-40-004                                                                         |
|                            | S | FSC-STD-30-005 |                | FSC-STD-40-005<br>FSC-STD-40-003<br>FSC-STD-40-006<br>FSC-STD-40-007<br>FSC-POL-40-002 |

G= Generic requirements, S= Scope-specific requirements

This table provides an overview of the main accreditation and certification norms for the different FSC certification services. Further normative documents, such as policies, guidelines, directives and advice notes are published on the FSC website. A full catalogue of normative documentation may be requested from the FSC Policy and Standards Unit.

## **1 Conformity with ISO/IEC Guide 65: 1996 (E)**

- 1.1 The certification body shall comply with the generic requirements of ISO/IEC Guide 65: 1996 (E), and with the additional requirements specified in this standard according to their scope of application for FSC accreditation.
  - 1.1.1 Certification bodies shall implement all specific requirements for forest management certification to certify single, multiple or group forest management units.
  - 1.1.2 Certification bodies shall implement all specific requirements for chain of custody certification to certify single, multi-site or group enterprises and projects.
  - 1.1.3 Certification bodies shall implement all specific requirements for controlled wood certification to certify forest management enterprises for controlled wood.
- 1.2 The certification body shall document and implement its policies and procedures in conformity with the applicable requirements of this standard, consistent with their scope of application.
- 1.3 In the event of any conflict between requirements specified by ISO/IEC Guide 65: 1996 (E) and FSC-STD-20-001 or other FSC standards or requirements, guidance and interpretation provided by FSC shall prevail.

## **2 Certification body: General provisions (ISO/IEC Guide 65: 1996 (E) Clause 4.1)**

- 2.1 Notwithstanding the requirements of ISO/IEC Guide 65 Clause 4 the certification body shall not be obliged to enter into or maintain any commercial or other relationship with any entity or issue or maintain a certificate previously issued to any entity whose activities conflict with the obligations of the certification body as specified in its accreditation contract with FSC, or which, in the sole opinion of the certification body, reflect badly on the good name of the certification body. The certification body shall include a specific and legally binding clause to this effect in its contracts with its clients in relation to any services related to FSC or FSC standards.

NOTE: A certification body can deny certification to a client when fundamental/demonstrated reasons exist, such as illegal activities, history of repeated non conformities with the certification requirements and similar issues.

- 2.2 FSC specification to ISO/IEC Guide 65 Clause 4.1.3  
The requirements against which the products of an applicant shall be evaluated for the purpose of any claims relating to FSC or conformity with FSC requirements shall be those specified in FSC-approved standards (i.e. the certification body's locally adapted generic forest stewardship standard, an FSC-approved regional, national or sub-national standard, or FSC international standards). If explanation is required as to the application of these standards it shall be formulated and published by the relevant FSC-accredited body. All interpretation of FSC standards is at the sole discretion of the FSC International Center.

## **3 Certification body: organization (ISO/IEC Guide 65: 1996 (E) Clause 4.2)**

- 3.1 FSC specification to ISO/IEC Guide 65: 1996 (E) Clause 4.2 e)  
The certification body shall comply with FSC requirements for the avoidance of specific and institutional conflicts of interest (see Annex 1).

3.2 The certification body shall record any real, perceived and potential conflicts of interest and the actions taken to neutralize or avoid them.

3.3 FSC specification to ISO/IEC Guide 65: 1996 (E) Clause 4.2 c) and f)  
The certification body shall define the entity (person(s), group or committee) that is responsible for making certification decisions (hereafter referred to as the certification decision making entity).

NOTE: Certification decisions include decisions to grant, maintain, renew, suspend, reinstate or withdraw certification as well as decisions on expanding or reducing the scope of certification.

3.4 Members of the certification decision-making entity shall be subject to the same requirements relating to independence as other personnel with inputs into the certification decision-making process.

3.5 The certification decision making entity shall:

- a) have clear rules for membership, including requirements for qualification, experience and impartiality;
- b) consist of individuals with no financial or other commercial interest in the outcome of the certification decision;

NOTE: this does not refer to a regularly paid salary of an employee who is member of the certification body's decision making entity.

- c) not include individuals who have taken part in the evaluation as lead auditors, auditors or experts.

3.6 FSC specification to ISO/IEC Guide 65: 1996 (E) Clause 4.2 h)  
The certification body shall be able to demonstrate that it has evaluated the risks arising from its certification activities and that it has adequate arrangements (e.g. insurance or reserves) to cover liabilities arising from its operations in each of its fields of activities and the geographic areas in which it operates.

3.7 FSC specification to ISO/IEC Guide 65: 1996 (E) Clause 4.2 o)  
The certification body and any related body shall not offer or provide consultancy services that affect the confidentiality, objectivity or impartiality of the certification body.

NOTE: The certification body is allowed to explain its findings and/or clarify the requirements of normative documents but shall not give prescriptive advice or consultancy as part of an evaluation.

3.8 The organizational structure of FSC accredited certification bodies shall be made available to stakeholders on request, including the names of members of the certification body's entities responsible for:

- a) overall performance of the certification body's activities;
- b) reviewing the independence of the certification body (see Annex 1);

- c) formulation of policy matters which relate to the operation of the certification body;
- d) certification decision making;
- e) implementation of the policies of the certification body;
- f) resolution of complaints and appeals.

#### **4 Certification body: operations (ISO/IEC Guide 65: 1996 (E) Clause 4.3)**

- 4.1 FSC specification to ISO/IEC Guide 65: 1996 (E) Clause 4.3  
In carrying out certification within the scope of its FSC accreditation the certification body shall comply with the requirements of all applicable FSC policies, standards, directives, guidance documents and advice notes as published on the FSC International Center website ([www.fsc.org](http://www.fsc.org)).
- 4.2 The certification body seeking accreditation for forest management certification shall specify for its use a generic forest stewardship standard, in conformity with *FSC-STD-20-002*.
- 4.3 The certification body shall document the operational procedures and associated instructions to be followed to evaluate conformity with all FSC standards within the scope of the certification body's FSC accreditation. This documentation shall be available to the relevant personnel both in the certification body's office, and, as appropriate, in the field.
- 4.4 The certification body shall conduct its certification operations in full conformity with its operational procedures and instructions.

#### **5 Certification body: subcontracting (ISO/IEC Guide 65: 1996 (E) Clause 4.4)**

- 5.1 The certification body may subcontract (outsource) work related to certification to an external body or person. In such a case the certification body shall ensure that the subcontractor complies with the applicable provisions of this and other FSC standards and requirements relevant to evaluations or other technical activities, including all provisions concerning qualifications, experience, performance review, objectivity, impartiality and confidentiality.

NOTE: Decisions for granting, maintaining, renewing, expanding the scope of, reducing the scope of, suspending, reinstating, or withdrawing certification shall not be outsourced (see ISO/IEC Guide 65: 1996 (E) Clause 12.2).

- 5.2 The certification body shall have documented procedures for managing the relationship with subcontractors according to the requirements in this standard, unless the option of subcontracting is explicitly excluded by the certification body.
- 5.3 All arrangements with subcontractors must be disclosed to the FSC Accreditation Program.
- 5.4 In the case of subcontracting, the certification body shall comply with the requirements specified in Annex 4.

NOTE: Subcontractors will be subject to monitoring by the FSC Accreditation Program (regulated by ASI surveillance procedures).

5.5 The certification body shall not allow any of their subcontractors to manage more than 500 FSC chain of custody certificates or more than 100 FSC forest management certificates. In this case the subcontractor shall be required to apply for their own FSC accreditation.

## **6 Certification body: quality system (ISO/IEC Guide 65: 1996 (E) Clause 4.5)**

6.1 The quality manual and associated procedures shall include operational procedures for:

- a) handling of applications;
- b) preparing and conducting pre-evaluations (as applicable);
- c) preparing and conducting main and re-evaluations;
- d) reviewing and finalizing of certification reports (incl. public summaries);
- e) identification, management and tracking of nonconformities;
- f) all types of certification decision making;
- g) issuing of certificates;
- h) following-up on actions taken to correct nonconformities by clients;
- i) preparing and conducting surveillances;
- j) reviewing and finalizing of surveillance reports;
- k) the review and approval of requests to use the FSC Trademarks;
- l) managing conflicts of interest;
- m) managing complaints and appeals.

## **7 Certification body: conditions and procedures for granting, maintaining, extending, suspending and withdrawing certification (ISO/IEC Guide 65: 1996 (E) Clause 4.6)**

7.1 The period of validity of an FSC certificate shall not exceed five (5) years. The certificate may be re-issued for further periods as the result of a re-evaluation. The specified period of validity of a certificate may be extended for a single exceptional extension of up to six (6) months in order to permit re-evaluation to be completed, when justified by circumstances **beyond the control of the certification body and their client**. The certification body shall record such circumstances, inform the FSC Accreditation Program of the extended expiry date of the certificate within ten (10) business days of the extension being granted and update the entry in the FSC database of registered certificates ([www.fsc-info.org](http://www.fsc-info.org)).

NOTE: problems in planning or scheduling an evaluation shall not be considered a justifiable circumstance for an extension *per se*.

NOTE: this clause does not apply in the context of Project Chain of Custody certification.

- 7.2 The certification body shall only issue (or re-issue) a certificate when their client has:
- a) entered into and holds a valid 'License Agreement for the FSC Certification Scheme', which is not suspended;
  - b) complied with the requirements of all applicable standards and normative FSC documents;
  - c) signed a certification agreement which shall include:
    - i. agreement to comply with any conditions set by the certification body for the issue of a certificate;
    - ii. agreement to inform the certification body of changes in management circumstances and/or resource conditions that could materially impact the continued validity of the certification;
    - iii. agreement to undergo surveillance as determined by the certification body, including the certification body's right to carry out unannounced or short notice surveillance evaluations;
    - iv. citation of the rules and regulations and FSC certification standards in its most recent version as an integral part of the agreement;
    - v. the relevant provisions ensuring the right of the certification body and FSC to access to their respective premises as well as access to all documentation and information deemed necessary by the certification body;
    - vi. the relevant provisions that in case of reduction, suspension or withdrawal of the scope of certification body's FSC accreditation, the certificates of the affected clients will be suspended ipso facto within six (6) months after the date of reduction, suspension or withdrawal of the respective scope of FSC accreditation;

NOTE: The client shall be informed within thirty (30) days after the reduction, suspension or withdrawal of the scope of FSC accreditation that the accreditation of the certification body has been reduced, suspended or withdrawn. The clients shall be informed that they have to seek a new FSC-accredited certification body within six (6) months to keep their certificate valid.

- vii. the relevant provisions ensuring the right to use information which is brought to the attention of the certification body to follow up on infringements of the FSC Trademarks and of the intellectual property rights held by FSC;
- viii. the relevant provisions ensuring that the client acknowledges the title

of the FSC's intellectual property rights and that FSC shall continue to retain full ownership of the intellectual property rights and that nothing shall be deemed to constitute a right for the client to use or cause to be used any of the intellectual property rights.

7.3 The conditions necessary for a certificate holder to maintain a certificate shall include that the certificate holder:

- a) complies and continues to comply with all the certification body's conditions for maintaining and re-issuing of the certificate, including but not limited to the full implementation of any actions required to correct minor non-conformances that were identified prior to the issue of the certificate;
- b) complies with all the certification body's and FSC's requirements regarding claims, logos, certification marks or trademarks;
- c) corrects any major non-conformances with the applicable standard(s) within the maximum period specified by the certification body;
- d) continues to pay all specified fees and costs in a timely manner;
- e) undergoes surveillance as determined by the certification body;
- f) holds a valid 'License Agreement for the FSC Certification Scheme', which is not suspended.

7.4 The absence of a valid 'License Agreement for the FSC Certification Scheme' shall be treated as a formal major nonconformity which has to be corrected in a period of maximum four (4) weeks. Failure in closing this major nonconformity shall lead to the suspension of the certificate.

7.5 The conditions necessary for the certification body to change the scope<sup>1</sup> of a certificate shall include the following requirements:

- a) the change of scope shall not include or result in an extension of the certificate's expiry date beyond the time period for which it was originally issued;
- b) the certification body shall reserve the right to inspect the site of the certified operations before deciding whether or not to grant a change to the scope of the certificate;
- c) if the certification body considers that a change in scope is significant in terms of area, management or operational implications then the certification body shall inspect the site before the change of scope is granted;
- d) if the certification body grants a change of scope the certification body shall review the wording of the certificate previously issued and if necessary shall require that the old certificate be returned to the certification body or

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<sup>1</sup> An increase or decrease in the membership of a group certificate is not considered a change of scope unless, in the opinion of the certification body, the change requires significant changes to the group certificate holder's management systems.

destroyed by the client, and in that event a new certificate shall be issued with revised wording reflecting the change of scope.

- 7.6 The contract between the certification body and the client shall state clearly the right of the certification body to suspend and/or withdraw its certification with immediate effect if, in the sole opinion of the certification body, the client is not in conformance with the conditions specified for the maintenance of the certificate.
- 7.7 The certification body shall specify in its contract with the client the obligations of the client in the event that a certificate is suspended or withdrawn. These obligations shall include that on suspension or withdrawal of their certificate the client shall:
- a) immediately cease to make any use of any FSC trademarks, or to sell any products that the client has previously labeled or marked using the FSC trademarks, or to make any claims that imply that they comply with the requirements for certification;
  - b) identify all relevant existing customers, and advise those customers of the suspension or withdrawal in writing within three (3) business days of the suspension or withdrawal, and maintain records of that advice;
  - c) cooperate with the certification body and with FSC in order to allow the certification body or FSC to confirm that these obligations have been met.
- 7.8 In addition to the requirements specified in Clause 7.7 (above), the certification body shall include in its contract with the client that on withdrawal of the certificate the client shall:
- a) return the certificate to the certification body or destroy the original, and commit to destroy any electronic copies and hardcopies in their possession;
  - b) at its own expense remove all uses of FSC's name, initials, logo, certification mark or trademarks from its products, documents, advertising or marketing materials.
- 7.9 In the event that the certification body suspends or withdraws a certificate, the certification body shall update the status of the certificate in the FSC database of registered certificates ([www.fsc-info.org](http://www.fsc-info.org)) together with the effective date and reason of suspension or withdrawal within three (3) business days of the suspension or withdrawal.

## **8 Certification body: internal audits and management reviews (ISO/IEC Guide 65: 1996 (E) Clause 4.7)**

### **8.1 FSC specification to ISO/IEC Guide 65: 1996 (E) Clause 4.7.1** The certification body shall ensure that:

- a) internal audits are conducted at least annually by personnel knowledgeable in certification, auditing and the requirements of ISO/IEC Guide 65 and this International Standard and related applicable requirements;
- b) auditors do not audit their own work.

NOTE: ISO 19011 provides guidelines for conducting internal audits.



- 8.2 An internal audit program shall be planned, taking into consideration the importance of the processes and areas to be audited, as well as the results of previous audits.
- 8.3 Planning and implementation of the internal audit program shall include the offices of all subcontractors, which shall be subject to at least annual audits by the certification body. The internal audit procedure shall specify criteria and conditions (e.g. risk assessment results, internal CARs, number of certificates, complaints) where on-site inspections of subcontractors are required. Each subcontractor shall be subject to at least one on-site audit every three years.
- 8.4 Internal audits shall include explicit consideration of all new or revised FSC policies, standards, directives, guidelines and advice notes as published on the FSC website to ensure that the certification body's policies and procedures are in continuous conformity with all applicable FSC requirements.

## **9 Certification body: documentation (ISO/IEC Guide 65: 1996 (E) Clause 4.8)**

- 9.1 The certification body shall make the information specified in ISO/IEC Guide 65: 1996 (E) Clause 4.8.1 publicly available on its website.
- 9.2 FSC specification to Clause ISO/IEC Guide 65: 1996 (E) Clause 4.8.1  
The certification body shall not promote standards of other forestry conformity assessment schemes as equivalent to the forest management and chain-of-custody standards of FSC.

NOTE: If a certification body offers certification services of other forestry conformity assessment schemes, the FSC system and standards shall clearly and accurately be differentiated relative to the other schemes in promotional media and communication to clients according to specific information as provided by FSC.

- 9.3 FSC specification to Clause ISO/IEC Guide 65: 1996 (E) Clause 4.8.1 a)  
A statement to the effect that the certification body's certification system is FSC accredited and operates under the authority of FSC satisfies this requirement in relation to its FSC accreditation. In the case of certification bodies that operate as part of another body (e.g. a government department, or as a department or program of a company) the certification body shall make information readily available that clearly explains the relationship between the certification body and this body.
- 9.4 FSC specification to ISO/IEC Guide 65: 1996 (E) Clause 4.8.1 g)  
A link to the FSC database of registered certificates ([www.fsc-info.org](http://www.fsc-info.org)) satisfies this requirement in relation to its FSC accreditation.
- 9.5 In addition to the requirements listed under ISO/IEC Guide 65: 1996 (E) Clause 4.8.1 the certification body shall publish or provide links to the following on its website:
- a) The certification body's generic Forest Stewardship Standard;
  - b) A list of the forest areas that the certification body has been contracted to evaluate for conformity with FSC standards, provided in English;
  - c) The locally adapted generic forest stewardship standard used for the evaluation of each certificate holder.

## **10 Certification body: records** (ISO/IEC Guide 65: 1996 (E) Clause 4.9)

10.1 Accurate, complete, up-to-date and legible records of the following shall be kept and be readily available for evaluation by FSC:

- a) certification body personnel (staff, auditors, peer-reviewers and committee members) records including CVs, qualifications, confidentiality agreements, training records and declarations of potential conflicts of interest;
- b) lead auditor performance appraisals;
- c) list of subcontractors and contracts with subcontractors;
- d) operation of certification body committees;
- e) certification applications;
- f) evaluation and certification contracts;
- g) all types of certification evaluation reports and summaries;
- h) stakeholder and peer review comments and certification body responses;
- i) minutes or notes of certification decisions;
- j) register of clients and their certified products;
- k) certification complaints or appeals, including minutes or notes of committee meetings responsible for reviewing such complaints or appeals;
- l) the implementation of internal audits and management reviews;
- m) approvals for use of FSC trademarks.

10.2 These records shall be stored safely and readily accessible for a period of at least seven (7) years.

## **11 Certification body: confidentiality** (ISO/IEC Guide 65: 1996 (E) Clause 4.10)

11.1 The policies and procedures for maintenance of confidentiality shall include:

11.1.1 a policy statement on confidentiality;

11.1.2 procedures for ensuring that personnel are aware of the policy and of their consequent obligations;

11.1.3 a written confidentiality agreement to be signed by all personnel who have access to confidential information. Such personnel include:

- a) administrative staff;
- b) lead auditors, auditors, technical experts and audit observers;

- c) consultants and subcontractors;
- d) certification decision makers;
- e) peer reviewers;
- f) committee members.

11.2 The certification body shall have procedures in place that ensure that applicants for certification are fully informed of, and have contractually agreed in writing to:

- a) FSC's right of access to confidential information; *and*
- b) FSC's requirements for specified information to be made public as a requirement of certification and as specified in the applicable FSC rules and regulations.

## **12 Certification body personnel (ISO/IEC Guide 65: 1996 (E) Clause 5)**

12.1 The certification body shall ensure that all lead auditors carrying out evaluations within the scope of their FSC accreditation comply with the requirements specified in Annex 2.

12.2 The entity, which may be an individual, who makes the certification decision, shall incorporate a level of knowledge and experience sufficient to evaluate the verification processes, working papers and associated evidence and recommendations made by the audit team. It is expected that this level of qualification is equivalent to that of a Lead Auditor in the respective field (i.e. FSC forest management certification, FSC chain of custody certification, FSC controlled wood (FME) certification) according to the requirements as specified in Annex 2.

12.3 FSC specification to Clause ISO/IEC Guide 65: 1996 (E) Clause 5.2.3 f):  
The certification body shall implement a monitoring program to evaluate the performance of their lead auditors. This evaluation should include:

- a) Conformance with FSC policies and standards;
- b) Conformance with CB operational procedures and guidelines;
- c) Conformance with ISO 19011;
- d) Conformance with conflict of interest and confidentiality standards;
- e) Appropriate conduct and behavior;
- f) Evaluations conducted are within the scope of the lead auditor's qualifications/registration.

12.4 The certification body shall evaluate the performance of each lead auditor in a witness audit at least once every three (3) years.

### **13 Changes in the certification requirements (ISO/IEC Guide 65: 1996 (E) Clause 6)**

- 13.1 FSC specification to Clause ISO/IEC Guide 65: 1996 (E) Clause 6:  
The certification body shall inform all clients of changes to its certification requirements, within thirty (30) days that such changes are approved by the approval body.
- 13.2 The contract between the certification body and the client shall provide the certification body with clear and explicit rights to revise the requirements of certification within the period of validity of the certificate, including the revision of costs and fees.
- 13.3 Certificate holders that were certified prior to the date of approval of an applicable FSC standard shall comply with the requirements of the new FSC approved standard in accordance with the 'standards effective date' specified in the new standard.

### **14 Appeals, complaints and disputes (ISO/IEC Guide 65: 1996 (E) Clause 7)**

- 14.1 The certification body shall publish summary information about the procedures for submitting complaints and appeals and about the certification body's procedures for handling such complaints and appeals on the certification body's website and make such information available in print on request. This information shall be publicly available in the same languages as the public certification summaries published by the certification body.

NOTE: a paragraph in a visible part of a public summary report including the information as required in 14.1 and translated together with the content of the report satisfies the website publication requirements of this clause in relation to its FSC accreditation.

- 14.2 The procedures shall allow the aggrieved party the opportunity to present the complaint or appeal to an entity (person(s), group or committee) which:
- 14.2.1 must be within the certification body's contractual (e.g. employee) or organizational control (e.g. committee);
- 14.2.2 has the duty of seeking a timely resolution of complaints or appeals made against the certification body;

NOTE: The duty to seek *timely* resolution is emphasized. The certification body shall provide an initial response, including an outline of the certification body's proposed course of action to follow up on the complaint or appeal, within two (2) weeks of receiving a complaint or appeal. The certification body shall keep the complainant(s) informed of progress in evaluating the complaint/appeal, and shall have investigated the allegations and specified all its proposed actions in response to the complaint or appeal within three (3) months of receiving the complaint or appeal.

- 14.2.3 was not involved in the certification activities (i.e. evaluation, decision making) related to the complaint or appeal.
- 14.3 A party making a complaint shall be offered the opportunity to refer their complaint to FSC's dispute resolution process if the issue has not been resolved through the full implementation of the certification body's own procedures.

## **15 Application for certification (ISO/IEC Guide 65: 1996 (E) Clause 8)**

- 15.1 FSC specification to ISO/IEC Guide 65: 1996 (E) Clause 8.1.1  
The information provided to the applicant shall include a copy of the standard(s) to be used for evaluation (including, in the case of certification body generic forest stewardship standard, information on the process for adapting the standard to local conditions).

NOTE: Certification bodies may evaluate applicants against additional requirements, with the consent of the applicant. In all cases, the certification body shall ensure that applicants are informed as to which requirements exceed the requirements of FSC. If any document developed by a certification body mixes requirements from FSC and from other sources, this shall be made explicit in the document and the additional requirements must be clearly highlighted.

- 15.2 For the purpose of FSC forest certification the standard used shall be either the FSC-endorsed national or regional Forest Stewardship Standard whose scope covers the forest management units for which certification is sought, or, when no such standard exists, the certification body's generic forest stewardship standard locally adapted in accordance with the requirements of *FSC-STD-20-002 Part 2*.
- 15.3 FSC specification to ISO/IEC Guide 65: 1996 (E) Clause 8.1.2 f), g).  
This Clause includes, but is not limited to, that a client shall be required not to make any claim of conformity (or near conformity) with FSC requirements in the area included in the scope of the evaluation until and unless a certificate is awarded.
- 15.4 FSC specification to ISO/IEC Guide 65: 1996 (E) Clause 8.2.1 a).
- 15.4.1 Applications for forest management or controlled wood (FME) certification shall include a definition of the scope in terms of individual forest management units.
- 15.4.2 Applications for chain of custody certification shall include a definition of the scope in terms of FSC product groups and sites to be evaluated.

## **16 Preparation for evaluation (ISO/IEC Guide 65: 1996 (E) Clause 9)**

- 16.1 Applicants for FSC certification shall be required to obtain a 'License Agreement for the FSC Certification Scheme' before entering into a certification agreement with the certification body.
- 16.2 FSC specification to ISO/IEC Guide 65: 1996 (E) Clause 9.3  
The certification body shall assign lead auditors in conformity with the requirements specified in Annex 2. Evaluation teams shall comply with the requirements specified in Annex 3. Annex 2 and Annex 3 requirements also apply in the case of outsourced evaluation tasks.
- 16.3 The certification body should ensure that no client is evaluated by the same lead auditor on more than 3 consecutive evaluations.

## **17 Evaluation** (ISO/IEC Guide 65: 1996 (E) Clause 10)

- 17.1 The certification body shall conduct evaluations for forest management certification in accordance to FSC-STD-20-007.
- 17.2 The certification body shall conduct evaluations for chain of custody certification in accordance to FSC-STD-20-011.
- 17.3 The certification body shall conduct evaluations for controlled wood certification in forest management enterprises in accordance to FSC-STD-20-012.
- 17.4 The certification body shall provide all auditors with an up-to-date 'evaluation handbook' or equivalent which includes all the guidance necessary for the auditors to complete successful evaluations (pre-, main-, surveillance-, and re-evaluations) in accordance with the documented procedures specified by the certification body. Guidance shall include procedures for the evaluation of the services under the scope of accreditation. The contents of the evaluation handbook shall include instructions for auditors regarding at least:
- a) the implementation in the field of any checklists, guidance documents or options for interpretation of standards;
  - b) the implementation of any additional standards or procedures, for example those relating to group certification, multiple site certification, etc.;
  - c) detecting, analyzing, grading, and addressing non-conformities;
  - d) requirements for opening meetings, closing meetings, and communication of audit findings in accordance to ISO 19011;
  - e) requirements for report writing in accordance to relevant FSC standards and certification body's procedures.
- 17.5 In the case of forest management accreditation the evaluation handbook shall also include at least the following:
- a) Procedures for adapting the certification body's generic forest stewardship standard in conformity with the requirements of *FSC-STD-20-002 Part 2*;
  - b) Procedures for carrying out evaluations in conformity with the requirements of *FSC-STD-20-007*;
  - c) Procedures for stakeholder consultation in conformity with the requirements of *FSC-STD-20-006*;
  - d) Procedures for the evaluation of trademark uses in conformity with FSC trademark requirements for on- product and promotional uses.
- 17.6 In the case of chain of custody accreditation the evaluation handbook shall also include at least the following:
- a) Procedures for carrying out evaluations in conformity with the requirements of *FSC-STD-20-011*;

- b) Procedures for the evaluation of trademark uses in conformity with FSC trademark requirements for on- product and promotional uses.
- 17.7 In the case of controlled wood accreditation in forest management enterprises the evaluation handbook shall include at least the following:
- a) Procedures for carrying out evaluations and stakeholder consultation in conformity with the requirements of *FSC-STD-20-012*.
- 17.8 On-site evaluation teams shall always include a designated team leader and a qualified lead auditor.

NOTE: Team leader and lead auditor may be the same person.

## **18 Evaluation report (ISO/IEC Guide 65: 1996 (E) Clause 11)**

- 18.1 The certification body shall document the findings and conclusions of all evaluation activities prior to review and decision making in a certification report in conformity with the report writing requirements specified in:
- a) FSC-STD-20-007a for Forest management certification reports;
  - b) FSC-STD-20-007b for Forest management public summary reports;
  - c) FSC-STD-20-011 for Chain of Custody certification reports;
  - d) FSC-STD-20-012 for Controlled Wood certification reports.
- 18.2 Draft forest management certification reports shall be submitted to a formal peer review process unless the forest management unit (FMU) under evaluation meets the specification as a small or low intensity FMU or small or low intensity group (see *FSC-STD-01-003*) in the country in which the evaluation takes place.
- 18.3 The formal peer review process for draft forest management certification reports shall include the following requirements:
- a) The report shall be reviewed by at least one (1) independent peer reviewer with the experience and technical knowledge necessary to assess the adequacy of the report and the validity of the proposed certification decision;
- NOTE: The certification body should seek additional peer reviewers with specialist knowledge in order to supplement any gaps in the range of expertise of the members of the evaluation team itself.
- b) In the case of evaluated FMUs that meet the eligibility criteria for mandatory pre-evaluations as defined in FSC-STD-20-007 Clause 3.1.1, the report shall be reviewed by a second peer reviewer, who shall be selected according to the knowledge related to the eligibility category of FSC-STD-20-007 Clause 3.1.1, i.e. knowledge about plantation management, boreal or tropical forest management, or high conservation values (as applicable).
  - c) The peer reviewer(s) shall operate according to clear terms of reference, which include the requirement to comment explicitly on:

- i. the adequacy of the field work as the basis for making a certification decision;
  - ii. the clarity of presentation of the observations as the basis for a certification decision;
  - iii. whether the proposed certification decision is justified by the observations presented.
- d) Peer reviewer(s) shall not be full or part-time employees of the certification body, and shall be subject to the same requirements relating to independence and confidentiality as other personnel with input into the certification decision;
  - e) The reviewer(s) shall take account of the local and national context with regards to forest management, and shall consider environmental, social and economic perspectives;
  - f) The comments of the peer reviewer(s) shall be attributed and documented;
  - g) The certification body shall respond in writing to the peer reviewer(s)' comments, and provide the peer reviewers with a copy of its response;
  - h) The certification body shall finalise the evaluation report taking the comments of the peer reviewer(s) into account.

## **19 Decision on certification** (ISO/IEC Guide 65: 1996 (E) Clause 12)

- 19.1 The certification body shall ensure a legally enforceable certification agreement is signed by the relevant parties prior to issuing a certificate.
- 19.2 A certificate shall only be issued after a positive formal certification decision has been taken by the designated certification decision making entity.
- 19.3 The certification body shall not issue or re-issue a certificate if there are outstanding major non-conformities with applicable certification requirements.
- 19.4 The certification body shall have the right to delay or postpone its decision on certification in order to take proper account of new or additional information which has become available to the certification body and which has not already been considered in its evaluation report and which, in the opinion of the certification body, could affect the outcome of its evaluation.
- 19.5 The certification body shall register a certificate in the FSC database of registered certificates ([www.fsc-info.org](http://www.fsc-info.org)) before it is issued or re-issued. The registration requires the entry of all specified data together with an electronic copy of the public summary certification report (as applicable).

NOTE: In the case of FSC announcing a malfunction of the on-line registration service, the FSC Accreditation Program shall be informed that a certificate has been issued or re-issued within ten (10) business days of its issue or re-issue.

NOTE: certificates which are not registered with FSC are not considered valid.



NOTE: certification bodies are responsible for keeping their data entries and public summary reports up to date.

- 19.6 All forest management and chain of custody certificates issued by the certification body within the scope of its FSC accreditation shall include:

NOTE: this clause does not apply to controlled wood forest management certificates (see FSC-STD-20-012 for controlled wood forest management certificates).

- a) the FSC logo, which shall be no smaller than the logo of the certification body;
- b) the name and address of the certification body;
- c) the legal name and registered address of the certificate holder plus any trade names and other addresses that will be used for sales invoices;
- d) a description of the scope of the certificate, including a general description of the type of products covered by the certificate and a reference to the specific standard(s) that the certificate holder has been evaluated against, as defined by FSC-STD-20-007 and FSC-STD-20-011 accordingly;

NOTE: The reference must be given to the official FSC approved versions of the applied standards (e.g. "FSC-STD-40-004 V2-1" or "Regional Forest Stewardship Standard for the Lake States-Central Hardwoods Region (USA) Version V3.0" or "CAB Generic Forest Stewardship Standard adapted for the Republic of the Fiji Islands V1-0").

NOTE: In the case of project certificates, the scope of the certificate shall include the specification of whether partial or full project certification has been awarded.

- e) a reference to the FSC database of registered certificates ([www.fsc-info.org](http://www.fsc-info.org)) for the full list of product groups covered by the certificate;
- f) a clear statement to the effect that the certificate shall remain the property of the certification body that issued it, and that the certificate and all copies or reproductions of the certificate shall be returned or destroyed if requested by the certification body;
- g) the date of issue of the certificate;

NOTE: the date of issue shall not precede the date on which the certification decision was formally completed;

- h) the date of expiry of the certificate together with the disclaimer "The validity of this certificate shall be verified on [www.fsc-info.org](http://www.fsc-info.org)";

NOTE: The expiry date requirement does not apply for Project Chain of Custody certificates.

- i) an issue number (for re-issued or renewed certificates);

- j) the signature of the individual(s) of the certification body assigned such responsibility;
- k) a disclaimer stating: "This certificate itself does not constitute evidence that a particular product supplied by the certificate holder is FSC-certified [or FSC Controlled Wood]. Products offered, shipped or sold by the certificate holder can only be considered covered by the scope of this certificate when the required FSC claim is clearly stated on invoices and shipping documents";
- l) the certificate registration code issued by the certification body and of the form:

XXX-FM-#####-ABC for forest management only certificates<sup>2</sup>,

XXX-FM/COC-#####-ABC for joint forest management and chain of custody certificates,

XXX-COC-#####-ABC for chain of custody certificates,

XXX-CW-#####-ABC for Controlled Wood chain of custody certificates (against FSC-STD-40-005),

NOTE: the CW code issued within a COC certificate shall have the same 6 digits as the COC code.

XXX-PRO-#####-ABC for project chain of custody certificates,

where XXX are the initials of the certification body agreed with FSC, ##### is a unique six digit number or combination of numbers and letters issued by the certification body itself, and ABC is a sub-certificate code issued only to the members of group certificates, in the form, A, B, C, AA, AB, etc.).

NOTE: For reasons of clarity the certification body shall not use the same code number for valid certificates issued to different legal entities (i.e. the certification body would not issue a chain of custody certificate XXX-COC-123456 to company A, and an FM certificate XXX-FM-123456 to company B).

NOTE: If a certificate is withdrawn and later re-issued to the same legal entity the original registration code may be used.

- 19.7 Any wording, including the claim of conformity, to be included on certificates in addition to the information as required in Clause 19.6 is subject to prior written approval by FSC.

### **Certificates and codes for group and multi-site scheme participants**

- 19.8 One single group or multi-site certificate shall be issued to the certificate holder (group entity or central office) with a list of all the participants (group members or participating sites) either on the certificate itself or in an appendix or as otherwise referred to in the certificate.

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<sup>2</sup> This type of certificate shall only be issued to applicants that do not intent to sell any FSC certified products into subsequent chains of custody, e.g. in the case of National Parks, conservation areas, water protection areas.

- 19.9 The scope specified on the group or multi-site certificate shall make clear that the covered products and processes/ activities are performed by the network of participants in the list.
- 19.10 The certification body may issue a sub-certificate for each participant covered by the group or multi-site certificate as follows:
- a) The sub-certificate shall include a clear reference to the group or multi-site certificate holding the certificate;
  - b) The sub-certificate shall have the same scope, or a sub-scope of the main certificate;
  - c) Any assigned alphabetical identifier shall be appended to the main certificate number.

NOTE: A unique alphabetical, numerical or alphanumerical identifier shall be assigned to each participant by the certification body for internal record keeping and data management purposes on behalf of FSC.

NOTE: Certification bodies shall inform the group entity or the central office that they shall not issue any self-made certificates or declarations to their participants that could be mistaken as formal FSC certificates.

## **20 Surveillance (ISO/IEC Guide 65: 1996 (E) Clause 13)**

- 20.1 Surveillance evaluations of FSC certificate holders shall take place at least annually, and may be more frequent depending on factors such as:
- a) the scale of the operation (e.g. the area of an FMU, the quantity of production in the case of a manufacturer, or the value and/or volume turnover in the case of a trader);
  - b) the intensity of resource management in the case of a FMU (e.g. the frequency and level of timber harvest);
  - c) the complexity of the chain of custody control system;
  - d) results of risk assessment in the case of group certification;
  - e) the ecological sensitivity of the resource base to management intervention;
  - f) the experience and track record of the operators involved (managers and personnel, contractors);
  - g) the number and nature of any non-conformances identified by the certification body;
  - h) the number and nature of any complaints submitted by stakeholders.

NOTE: FSC reserves the right to temporarily request higher surveillance frequencies from certification bodies for certain geographical areas or certification services that are deemed “*challenging*” by FSC as the result of an internal risk assessment.

- 20.2 The certification body shall specify criteria and conditions for unannounced or short notice surveillance evaluations in their documented procedures.
- 20.3 In the case of surveillance evaluations of forest management enterprises the documented procedures for surveillance evaluations shall conform with:
- a) *FSC-STD-20-006 Stakeholder consultation for forest evaluation;*
  - b) *FSC-STD-20-007 Forest management evaluation.*
- 20.4 In the case of surveillance evaluations of chain of custody certificate holders the documented procedures for surveillance evaluations shall conform with:
- a) *FSC-STD-20-011 Chain of Custody Evaluations.*
- 20.5 In the case of surveillance evaluations of controlled wood (at FMU level) certificate holders the documented procedures for surveillance evaluations shall conform with:
- a) *FSC-STD-20-012 Standard for evaluation of FSC Controlled Wood in Forest Management Enterprises.*
- 20.6 The certification body shall assign one or more personnel to make the certification decision to continue, suspend or withdraw certification based on information related to surveillance activities and their review.

NOTE: the qualification requirements specified in Clause 12.2 also apply to decisions of maintaining certification (see Section D 'Terms and Definitions').

**21 Use of licenses, certificates and marks of conformity (ISO/IEC Guide 65: 1996 (E) Clause 14)**

- 21.1 The certification body shall conform with the requirements of all applicable FSC trademark requirements and any other requirements relating to the intellectual property of the Forest Stewardship Council A.C.
- 21.2 The certification body shall be responsible for the approval and control of the FSC trademark use of their clients, both on-product and promotional uses.

**22 Complaints to suppliers (ISO/IEC Guide 65: 1996 (E) Clause 15)**

Reminder: This set of ISO requirements refers to complaints that stakeholders are directly submitting to certificate holders.

## **Annex 1 to FSC-STD-20-001 The application of ISO/IEC Guide 65:1996 (E) by FSC accredited certification bodies: avoidance of conflict of interest**

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### **1 Independence**

- 1.1 The certification body shall maintain and implement written policy and procedures for avoidance of conflicts of interest. These procedures shall include:
- 1.1.1 the support of a committee charged with the duty of reviewing the certification body's performance in maintaining full independence, which:
- a. meets at least annually;
  - b. is independent of the financial control of the organisation;
  - c. is independent of certification decision making;
  - d. formally records its discussions and recommendations;
  - e. formally records the certification body's response(s) to its discussions and recommendations.
- NOTE: The committee's functions need not be limited to those described in this Annex. Normally the oversight of independence will be only one of the committee's functions.
- 1.1.2 the contractual obligation for all personnel contributing to certification decisions, to disclose in writing to the certification body all possible and actual conflicts of interest, at the time that the conflict or possibility of conflict becomes evident;
- 1.1.3 documented procedures for determining timely and appropriate responses to such declarations of conflict of interest as they arise, to ensure that the declared interests neither influence, nor are perceived to influence, the decisions of the certification body.
- 1.1.4 maintenance of records of:
- a. all declarations of potential conflicts of interest;
  - b. every action which has been taken to resolve the possibility and actual occurrence of conflicts of interest.
- 1.2 The certification body shall identify, analyze and document the possibilities for conflict of interests arising from provision of certification including any conflicts arising from its relationships. Having relationships does not necessarily present a certification body with a conflict of interest. However, if any relationship creates a threat to impartiality, the certification body shall document and be able to demonstrate how it eliminates or minimizes such threats.

NOTE: A relationship that threatens the impartiality of the certification body can be based on ownership, governance, management, personnel, shared resources, finances, contracts, marketing and payment of a sales commission or other inducement for the referral of new clients, etc. Please see IAF definition of "*related body*" in Section D of this Standard.

NOTE: A conflict of interest can be considered lapsed after a minimum period of two years following the end of the conflicting activity or relationship.

## **Annex 2 to FSC-STD-20-001 The application of ISO/IEC Guide 65:1996 (E) by FSC accredited certification bodies: Qualification of FSC certification body auditors**

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### **1 General**

- 1.1 The certification body shall define the minimum qualifications for lead auditors for forest management, chain of custody and controlled wood evaluations in forest management enterprises (as applicable) in their documented management system in accordance to the requirements as specified in this Annex.
- 1.2 All lead auditors shall be in possession of a formal ISO 9001, ISO 14001 or OHSAS 18001 lead auditor certificate achieved through a recognized<sup>3</sup> accredited training course.

NOTE: the successful completion of a 3-days ISO 19011 training course (incl. exam) provided by a formally qualified QMS, EMS or OHSAS lead auditor satisfies this requirement in relation to its FSC accreditation in the **transition period** until **31 December 2012**. The trainer(s) providing these courses shall be impartial in relation to the training course participants.

### **1.3 Lead forest management auditors**

Qualifications for lead forest management auditors shall include:

- 1.3.1 Successful completion of a formal auditor training program carried out by or on behalf of the certification body, including training in:
- a) the history and objectives of FSC;
  - b) the relationship between the certification body's generic standards and *FSC-STD-01-001 FSC Principles and Criteria for Forest Stewardship*;
  - c) the modification of the certification body's generic standards to develop an adapted Forest Stewardship Standard for use in the field;
  - d) the procedures for evaluation of forest management enterprises against the locally adapted Forest Stewardship Standard;
  - e) the implementation of a range of consultation techniques appropriate to different stakeholder groups, as specified in the certification body's consultation procedures;
  - f) the details of gathering and analyzing evidence, developing evidentiary findings, certification decision making, and in particular the definition and identification of major and minor non-conformances;
  - g) report writing in conformance with the requirements of the certification body;
  - h) requirements and procedures related to chain of custody control;
  - i) requirements for correct use of the FSC trademarks both on- and off- product;
  - j) conducting audits according to ISO 19011.

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<sup>3</sup> Refers to course certificates accepted by auditor registration schemes such as IRCA and RABQSA.

- 1.3.2 Participation as an auditor on at least three (3) previous forest management evaluations for an FSC-accredited certification body, of which at least one shall have been as an auditor in a main evaluation or re-evaluation, and one as an auditor in a surveillance audit.
- 1.3.3 A university level education (or equivalent) or five (5) years of professional experience in a discipline relevant to the evaluation (e.g. ecology, forestry, sociology, economics, anthropology).
- 1.3.4 At least five (5) years professional experience in an area of work relevant to forestry evaluation (e.g. forest management, postgraduate research, consultancy).

#### **1.4 Lead chain of custody auditors**

Qualifications for lead chain of custody auditors shall include:

- 1.4.1 Successful completion of a formal auditor training program carried out by or on behalf of the certification body, including training in:
  - a) the history and objectives of FSC;
  - b) the procedures for evaluation of clients against the FSC chain of custody standard and any other applicable certification standards as well as relevant advice being provided through other normative documents;
  - c) the details of gathering and analyzing evidence, developing evidentiary findings, certification decision making, and in particular the definition and identification of major and minor non-conformances;
  - d) correct use of the FSC trademarks both on- and off- product;
  - e) report writing in conformance with FSC requirements and any additional requirements of the certification body;
  - f) conducting audits according to ISO 19011.
- 1.4.2 Participation as an auditor or observer on at least three (3) previous chain of custody evaluations for an FSC-accredited certification body, of which at least one shall have been as an auditor in a main evaluation or re-evaluation, and one as an auditor in a surveillance audit.

#### **1.5 Lead auditors for controlled wood evaluation in forest management enterprises**

Qualifications for lead auditors shall include:

- 1.5.1 Successful completion of a formal auditor training program carried out by or on behalf of the certification body, and including training in:
  - a) the history and objectives of FSC;
  - b) the evaluation of forest management enterprises against *FSC-STD-30-010*;
  - c) the implementation of a range of consultation techniques appropriate to different stakeholder groups, as specified in the certification body's consultation procedures;

- d) the details of gathering and analyzing evidence, developing evidentiary findings, certification decision making, and in particular the definition and identification of major and minor non-conformances;
  - e) report writing in conformance with FSC requirements and any additional requirements of the certification body;
  - f) requirements and procedures related to chain of custody control;
  - g) conducting audits according to ISO 19011.
- 1.5.2 Participation as an auditor on at least three (3) previous forest management (against national or CB-adapted forest stewardship standard) or controlled wood (against FSC-STD-30-010) evaluations for an FSC-accredited certification body, of which at least one shall have been as an auditor in a main evaluation or re-evaluation, and one as an auditor in a surveillance audit.
- 1.5.3 A university level education (or equivalent) or five (5) years of professional experience in a discipline relevant to the evaluation (e.g. ecology, forestry, sociology, economics, anthropology).
- 1.5.4 At least five (5) years professional experience in an area of work relevant to the evaluation (e.g. forest management, postgraduate research, consultancy).

NOTE: Lead auditor qualification for forest management evaluations satisfies the qualification requirements for controlled wood evaluations.



## **Annex 3 to FSC-STD-20-001 The application of ISO/IEC Guide 65:1996 (E) by FSC accredited certification bodies: Evaluation teams**

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### **1 Forest management evaluation teams<sup>4</sup>**

1.1 A forest management evaluation team shall always include:

1.1.1 a qualified forest management lead auditor who is registered with the FSC Accreditation Program;

1.1.2 at least one team member who is fluent in the main language of the district/state in which the evaluation takes place, or a designated independent interpreter;

NOTE: The interpreter shall not be an employee or consultant of the company under evaluation.

1.1.3 at least one team member who is resident in the country in which the evaluation takes place or in a nearby country with similar forest conditions.

#### **Main forest management evaluations**

1.2 In addition to the requirements specified in Annex 3 Clause 1.1 (above), a forest management evaluation team shall include auditor(s) with the experience and qualifications to evaluate all aspects of the FSC Principles and Criteria, taking account of the scale and complexity of the area to be assessed. Key considerations for the selection of auditors for an evaluation shall include experience and qualifications in relation to relevant forest management, social, environmental and economic issues (see Box 1 below for further details).

#### **Forest management surveillance evaluations**

1.3 In addition to the requirements specified in Annex 3 Clause 1.1 (above), a forest management evaluation team shall include auditor(s) with the experience and qualifications to evaluate all aspects of the FSC Principles and Criteria under assessment during the surveillance audit, taking account of the scale and complexity of the area to be assessed.

### **2 Chain of custody evaluation teams<sup>5</sup>**

2.1 A chain of custody evaluation team shall always include:

2.1.1 a qualified chain of custody lead auditor who is registered with the FSC Accreditation Program;

2.1.2 at least one team member who is fluent in the language of the area in which the evaluation takes place, or a designated independent interpreter;

NOTE: The interpreter shall not be an employee or consultant of the company under evaluation.

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<sup>4</sup> In the case of smaller or less complex evaluations the 'team' may consist of a single qualified lead Forest Auditor.

<sup>5</sup> The 'team' may consist of a single lead chain of custody auditor.

2.1.3 at least one team member who has knowledge of the critical characteristics of the operational processes under evaluation.

### **3 Evaluation teams for controlled wood at the FMU level <sup>6</sup>**

3.1 A controlled wood evaluation team shall always include:

3.1.1 a qualified forest management or controlled wood lead auditor who is registered with the FSC Accreditation Program;

3.1.2 at least one team member who is fluent in the main language of the district/state in which the evaluation takes place or a designated independent interpreter.

NOTE: The interpreter shall not be an employee or consultant of the company under evaluation.

3.1.3 at least one team member who is resident in the country in which the evaluation takes place or in a nearby country with similar forest conditions.

3.1.4 at least one team member with the experience and qualifications to evaluate relevant aspects of the Controlled Wood standard taking account of the scale and complexity of the area to be assessed. Key considerations for the selection of auditors for an evaluation shall include experience and qualifications in relation to the Controlled Wood categories being evaluated.

#### **Box 1: Key considerations for selection of evaluation team members for forest management evaluations (refers to lead auditors, auditors and technical experts)**

##### **Forest management issues:**

The evaluation team shall include members with experience in forest management of the size and complexity under evaluation. For example, if a large plantation is being assessed, the team should include members who have themselves managed operations of a similar type or who have professional experience, for example as paid consultants or advisors to similar kinds of operations.

##### **Social issues:**

If it is likely that forest management has significant interactions with neighboring communities, raising questions related to indigenous or community rights and tenure issues, or has social High Conservation Values, then the team shall include expert(s) who have knowledge of these issues, appropriate language/dialect, and experience of interacting with indigenous peoples and communities in the region concerned. The team shall include members with knowledge and capacity to evaluate workers' rights such as health and safety aspects and application of employment legislation in the region.

##### **Environmental issues:**

The evaluation team shall include members with the experience and knowledge to evaluate the FME's process for identifying High Conservation Values (HCV) and interviewing stakeholders the presence of ecological High Conservation Values

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<sup>6</sup> In the case of smaller or less complex assessments the 'team' may consist of a single qualified lead auditor.

(HCV) in the area to be evaluated, as well other environmental issues that are likely to be of importance during the evaluation. Qualification or professional experience in the area of forest ecology for the forest ecosystems under evaluation (whether natural or planted) is likely to be of key importance. General knowledge of the management of rare or endangered species that are likely to be present in the forest area, or knowledge about key environmental impacts such as those on hydrology or soils may also be required.

**Economic issues:**

The evaluation team shall include members with knowledge of the economic implications of forest management decisions in the country concerned (e.g., the economic implications of changes to silvicultural systems, set aside areas, etc.).

## **Annex 4 to FSC-STD-20-001 The application of ISO/IEC Guide 65:1996 (E) by FSC accredited certification bodies: Subcontracting**

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### **1 General**

Certification bodies may contract or subcontract (outsource) work related to certification activities under the conditions specified in this International Standard.

1.1 In cases of subcontracting, the certification body shall:

1.1.1 take responsibility for all activities outsourced to another body,

1.1.2 ensure that the body that provides outsourced services, and the individuals that it uses, conform to requirements of the certification body and also to the applicable provisions of this International Standard and related requirements, including competence, impartiality and confidentiality;

1.1.3 ensure that the body that provides outsourced services, and the individuals that it uses, is not involved, either directly or through any other employer, with an organization to be audited, in such a way that impartiality could be compromised;

1.1.4 notify the client that outsourcing will be or may be used and where relevant obtain its consent.

1.2 FSC reserves the right to suspend or withdraw accreditation from a certification body if, in the sole opinion of FSC, the activities of the subcontractor result in the accredited certification body being in non-conformance with FSC requirements for accreditation.

### **2 Written Agreement**

This agreement is required even when the subcontractor is already bound through other contracts or is a related entity.

2.1 The certification body shall sign a legally enforceable written agreement with each subcontractor. This agreement shall:

2.1.1 require the subcontractor to comply with all the relevant requirements of this standard and related applicable norms, including arrangements for confidentiality and conflict of interest;

2.1.2 include a clear description of the scope of the outsourced activities, both in terms of services and geographical range;

2.1.3 include a prohibition for subsequent outsourcing of certification activities covered by the accreditation of the certification body (this does not refer to contracting auditors and technical experts on a case by case basis);

2.1.4 require the subcontractor to use competent and qualified personnel as specified in this standard, who shall be subject to regular performance review (incl. on-site witnessing) by the subcontractor and the certification body;

2.1.5 require the subcontractor to agree to periodic internal audits of the activities covered by the outsourcing agreement conducted by a qualified and impartial representative of the accredited certification body;

- 2.1.6 require the implementation of subcontracted services according to the accredited procedures of the certification body;
- 2.1.7 prohibit that the subcontractor makes any claims regarding the accredited status, or implies in any way that they are in fact accredited;
- 2.1.8 require the subcontractor to describe their services as being 'in association with [name of accredited certification body];
- 2.1.9 prohibit the use of the FSC trademarks in relation to the subcontractor's organization or the services offered under the agreement;
- 2.1.10 prohibit the use of the FSC logo without prior approval by FSC;
- 2.1.11 prohibit the right to independently grant approval for the use of FSC trademarks to clients unless the subcontractor has been trained and specifically authorized by FSC.
- 2.2 Any additional restrictions in the accreditation contract of the accredited certification body shall also apply to each subcontractor.
- 2.3 The accredited certification body shall notify the FSC Accreditation Program within thirty (30) days of any new contracts or changes in the subcontractor's status. The FSC Accreditation Program shall be given the following information:
  - a) Name of the Subcontractor
  - b) Contact information including: address, telephone, fax and email
  - c) Scope of the contract (geographic area, type of evaluation or other)
  - d) Date of signing of the contract
  - e) Date of expiry of the contract

### **3 Records**

- 3.1 The certification body shall retain records in their office to demonstrate that all requirements in relation to subcontracting have been effectively fulfilled. At minimum this shall include:
  - 3.1.1 The written agreement between the accredited certification body and the subcontractor.
  - 3.1.2 Records demonstrating the competence of the subcontractor by documented assessments performed by qualified personnel according to documented procedures that includes an initial assessment of competence and ongoing, at least annual, monitoring of performance of the subcontractor and its staff.
- 3.2 Copies of all materials and information relating to the accredited certification body's clients (including monitoring schedules, reports, logo approvals, etc.) are to be available to ASI assessors and managers within 48 hours upon request.