

## FSC INTERNATIONAL STANDARD

Process requirements for the development and maintenance  
of National Forest Stewardship Standards

FSC-STD-60-006 (V1-2) EN



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**Process requirements for the development and maintenance  
of National Forest Stewardship Standards**

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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

This standard aims to provide a clear basis by which proposals and work plans for the development of Forest Stewardship Standards may be evaluated and implemented for compliance with FSC international requirements prior to the commencement of the standards development and registered with FSC.

Until now many standards have been developed with reference to FSC but which do not qualify for approval by FSC as they do not conform to FSC requirements. This has caused serious delays and setbacks for those developing national and regional Forest Stewardship Standards.

Once the process is registered, the requirements specified in this standard are applicable to the Standards Development Group recognized by the FSC as being responsible for Forest Stewardship Standard development within a specified territory.

Where an FSC National Initiative exists, the Standards Development Group may be constituted as a function of the NI. Where there is no accredited NI this standard allows that a Standards Development Group may still be formed. This lifts the restriction that an NI must be accredited before a National/Regional Standard is approved, but also sets strict requirements for balance representation of stakeholder interests in the process; one of the key strengths of the FSC system.

Forest Stewardship Standards submitted to FSC after this standard's effective date shall only receive FSC approval if:

- they are registered by FSC;
- they have been developed in accordance with requirements specified herein;
- they comply with the requirements of all FSC documents related to the structure and content of FSC Forest Stewardship Standards.

NOTE: Transitional arrangements may be agreed on a case by case basis for those standards development processes that have made significant progress prior to the effective date of this standard, at the discretion of the FSC Policy and Standards Unit.

## 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, tables and annexes, unless otherwise stated.

## Note on the development of this standard

FSC-STD-60-006 underwent several rounds of drafting consultation between the early drafts developed in 2004 and November 2005. The standard was revisited in March 2008 and a draft of the standard was circulated for a final round of consultation between 8th May and 15th June 2008. Analysis and incorporation of the comments received went into a further draft; presented to the FSC Board Standards Committee before recommending the standard for approval of the full FSC Board in January 2009. The FSC Board unanimously approved this standard on the 1st April 2009.

The process document FSC-PRO-60-001, which has accompanied previous drafts of this standard, has been developed into a template and guide for the implementation of this standard by NIs' and Standard Development Groups'. This forms Annex A of this standard.

This standard takes account of comments received as well as incorporating elements from the approved *FSC-PRO-01-001 The development and approval of FSC International Standards (V2-0)*. Incorporating elements from FSC-PRO-01-001 has several advantages over previous drafts of FSC-STD-60-006:

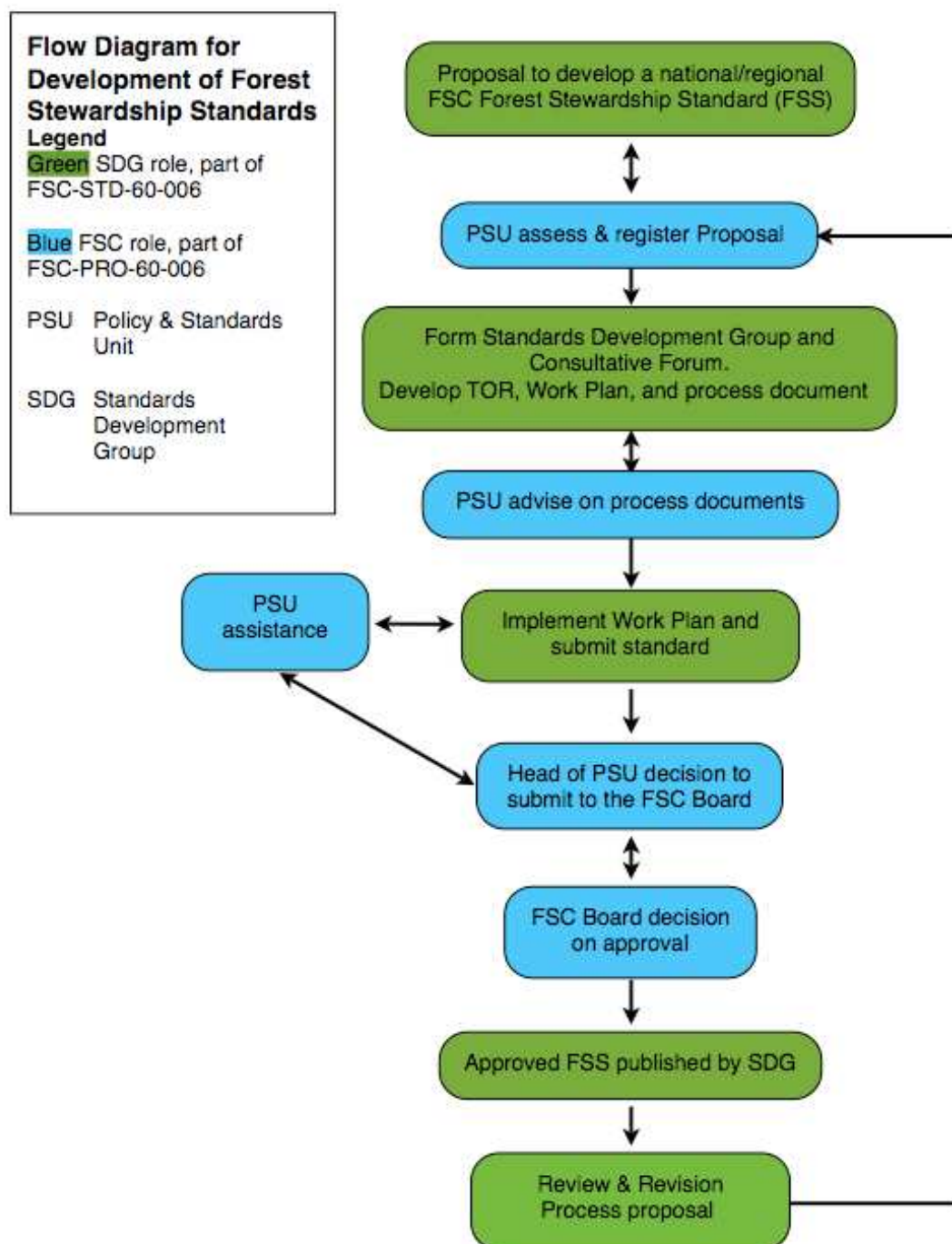
- It brings the standard in line with the procedure that is applied to the development and approval of other FSC social and environmental standards;
- It fully describes the process of development and approval, which was missing from previous drafts of FSC-STD-60-006;
- It ensures that FSC-STD-60-006 takes account of the ISEAL Code of Good Practice for Setting Social and Environmental Standards (2004)
- It addresses more fully the comments received on previous drafts;
- It takes account of the fact that since the last draft the process of overseeing the development and approval of such standards has been handed from Accreditation Services International to the FSC Policy and Standards Program. This is a significant change as it means that development and approval will be processed in the same manner as any other social and environmental standard within the FSC system.

This standard clarifies how within the FSC system the authority is given to develop Forest Stewardship Standards, in line with FSC requirements. In so doing, FSC will be in a stronger position to standardize, prioritize and harmonize the development of Forest Stewardship Standards, with the aim of increasing the efficiency of the processing of these standards and phase out of locally adapted certification body's generic standards.

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## **A Scope**

This standard specifies the process requirements to be followed for the development and revision of regional (supra-national, trans-national), national or sub-national FSC Forest Stewardship Standards by registered Standards Development Groups and endorsed National Initiatives.

## **B Standard effective date**

This standard shall have immediate effect from the date of approval by the FSC Board of Directors for all FSC Forest Stewardship Standards currently in development or proposed for future development.

## **C References**

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

*FSC-STD-01-001 FSC Principles and Criteria for Forest Stewardship*

*FSC-STD-01-002 FSC glossary of terms (under development)*

*FSC-STD-01-003 SLIMFS*

*FSC-STD-60-002 Structure and Content of National Forest Stewardship Standards*

*FSC-PRO-60-006 The development and approval of FSC Forest Stewardship Standards*

*FSC-GUI-60-004 Structure, content and suggested indicators'*

*FSC-GUI-60-100 Guidance on interpretation of the FSC Principles and Criteria taking account of the scale and intensity of forest management.*

*ISEAL Code of Good Practice for Setting Social and Environmental Standards (2004)*

## **D Terms and definitions**

### **Standards Development Group**

The body recognized by the FSC to develop trans-national, supra-national, national and/or sub-national standards in its specified territory in accordance with FSC requirements. The Standards Development Group is not required to be an independent legal entity. It may be a committee or working group established for the purpose of standards development either as a function within a National Initiative or separate from it. It may be a separate organization contracted by the FSC National Initiative, FSC Regional Office or FSC Policy and Standards Unit to carry out standards development on its behalf.

### **FSC Forest Stewardship Standard**

The FSC Principles and Criteria together with the addition of indicators that are adapted to regional (trans-national, supra-national), national and/or sub-national conditions in order to be implemented at the forest management unit (FMU) level constitute an FSC Forest Stewardship Standard.

NOTE: Any international standard<sup>1</sup>, such as the FSC Principles and Criteria (FSC-STD-01-001), needs to be adapted at the regional (trans-national, supra-national), national and/or sub-national level in order to reflect the diverse legal, social and geographical conditions of forests in different parts of the world.

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<sup>1</sup> The FSC P&C are an international standard as demonstrated by compliance with the ISEAL Alliance Code of Good Practice for Setting Social and Environmental Standards, which incorporates the requirements of the Technical Barriers to Trade Annex 3 Code of Good Practice as it applies to social and environmental standards.

## **1 Proposal to develop an FSC Forest Stewardship Standard**

- 1.1 Proposals to develop Forest Stewardship Standards may originate from discussion by the FSC Board of Directors, the FSC General Assembly, or from proposals by FSC members, FSC accredited National Initiatives, members of FSC staff or staff of Accreditation Services International (ASI).

NOTE: 'FSC staff' is understood to include the staff of FSC International Center, National and Regional Offices.

NOTE: The formal decision to register development of Forest Stewardship Standards shall be taken by the Head of the FSC Policy and Standards Unit, taking account of the approved strategic planning documentation, work plans and other instructions of the Executive Director.

- 1.2 All elements of the proposal and standard developed shall be submitted to FSC in either English or Spanish.

- 1.3 A written proposal shall be submitted by any one of the bodies identified at 1.1 to the Head of the FSC Policy and Standards Unit, as per Section 1 of Annex A.

NOTE: Once the proposal has been received the Policy and Standards Unit will appoint a staff member to assess the proposal and once registered support the standard development process.

- 1.4 Development of a proposed FSC Forest Stewardship Standard shall not proceed prior to formal notification of registration from the FSC Policy and Standards Unit.

## **2 Official announcement of a new standard under development**

- 2.1 An announcement shall be sent to all key stakeholder groups within the territory once the process has been officially registered by FSC Policy and Standards Unit.

NOTE: Subject to completion of the requirements specified in Section 1, above, the decision to develop a new FSC Forest Stewardship Standard will be officially announced by FSC, e.g. through publication in the FSC newsletter and on the FSC website ([www.fsc.org](http://www.fsc.org)).

- 2.2 The announcement shall include:

- a) a brief, clear description of the scope and objectives of the proposed standard(s);
- b) the contact point at the Standards Development Group for further information;
- c) the estimated timeline for completion of the proposed standard(s).

## **3 Facilitation and Chairing**

- 3.1 The body which proposed the standards development shall identify the person (or positions) responsible for implementing each element identified in this standard.



3.2 Those responsible for implementing the process shall cover the following:

- a) expert knowledge and/or experience of forest management in the geographic scope of the Forest Stewardship Standard;
- b) up-to-date knowledge and experience of FSC's systems and procedures;
- c) ability to be impartial in their facilitation of the standards development;
- d) understanding of the potential impact of the standard on affected stakeholders;
- e) understanding of and support for FSC's mission and vision;
- f) ability to review and comment on documents submitted in the working language(s) established for the Standards Development Group.

3.3 Facilitation and chairing provision shall ensure that the Standards Development Group operates responsibly and in accordance with its terms of reference and the applicable procedures.

3.4 Facilitation and chairing provision shall ensure that all members of the Standards Development Group have the opportunity to express their opinions and concerns, and shall aim to find consensus in all recommendations of the Standards Development Group.

3.5 Facilitation and chairing provision shall ensure that there is effective communication with the appointed member of Staff within the FSC Policy and Standards Unit at all stages of development of the standard.

#### **4 The role of Standards Development Group**

NOTE: This section of the standard presents the option to form a stand alone Standards Development Group registered by FSC prior to commencement of the standards development. This is possible either where there is no accredited National Initiative, or where a National Initiative Board does not meet the criteria of this section or it is more appropriate that a body other than the Board develop the standard. Where an existing accredited National Initiative's Board, as elected by the national membership are proposed as the Standards Development Group, it shall still be demonstrated that the Board members meet the criteria outlined in this section. Development of FSC Forest Stewardship Standards shall not commence where there is no FSC registered Standards Development Group.

4.1 A Standards Development Group shall be established for the development of the Forest Stewardship Standards.

4.2 The Standards Development Group shall have three separate chambers representing social, environmental and economic interests, with at least two representatives in each chamber, and equal number of people (or equal weighting) in each chamber. Where a regional process is proposed, each nation within the region should have at least one representative in each chamber of the regional Standards Development Group.

NOTE: This division into chambers is designed so as to command the confidence and support of stakeholder groups as identified in Section 6 of Annex A at the national and regional level. If such support is absent the likelihood of delays and disputes is increased, and the probability of achieving consensus support for the resulting standard is diminished.

4.3 Members of Standards Development Groups shall be selected on the basis of their:

- a) expert knowledge and/or experience of the issue under consideration;
- b) up-to-date knowledge and experience of FSC's systems and procedures;
- c) representation of points of view from the corresponding FSC chamber, and the points of view of small, medium and large enterprises affected by the standard;
- d) understanding of the potential impact of the standard on affected stakeholders;
- e) understanding of and support for FSC's mission and vision;
- f) ability to review and comment on documents submitted in the working language(s) established for the Standards Development Group.

NOTE: Attendance of FSC training for Standards Development Groups may be considered sufficient for point (b).

4.4 All members of the Standards Development Group shall receive and commit to the terms of reference and work plan prior to commencement of the standards development.

4.5 Technical experts may be appointed to participate in Standards Development Group discussions. These technical experts shall have voice in the Standards Development Group discussions but no formal role in its decision making processes.

NOTE: Members of the FSC International Board of Directors, FSC staff and staff from FSC National Initiatives and FSC accredited certification bodies shall not be eligible for formal decision making and therefore Standards Development Group membership, but they may be appointed as technical experts.

4.6 When drafting the standard the Standards Development Group shall:

- a) take into account all relevant FSC documents pertaining to the process (refer to Section 1.8 of Annex A);
- b) provide detailed input to the development of the Forest Stewardship Standard in accordance with its terms of reference;
- c) sign off all drafts of the standard before they are submitted for consultation;
- d) formally recommend that the final draft standard be submitted to FSC for approval as an FSC Forest Stewardship Standard.

4.7 The Standards Development Group shall be chaired by a person or persons appointed by consensus of the group.

4.8 The Chair(s) should be independent from any one chamber and broker consensus rather than represent one chamber.

## **5 Terms of Reference and Workplan**

5.1 The Standards Development Group shall agree terms of reference, the workplan and budget for the development of the proposed standard.

5.2 The terms of reference for the Standards Development Group shall include at least the following:

- a) the approved version of the proposal;
- b) the procedures to be followed, including those required by this standard;
- c) the agreed working language(s) for the Standards Development Group;
- d) all documents related to the process of the development of FSC Forest Stewardship Standards;
- e) any additional specific requirements to complete the work;
- f) timetable for the standard development process.

NOTE: The terms of reference may provide for the constitution of one or more 'sub-groups' mandated to address specific aspects of the overall terms of reference.

5.3 The workplan shall include at least the following:

- a) the setting up and support of the Standards Development Group in compliance with the requirements specified in Section 4 of this standard;
- b) the setting up and support of a Consultative Forum in compliance with the requirements specified in Section 6 of this standard;
- c) drafting, consulting on, and redrafting standard(s) in compliance with Section 7 of this standard;
- d) the Standards Development Group shall test the standard in the forest prior to submission of a final draft to FSC for approval, in compliance with the requirements specified in Section 9 of this standard;
- e) specification of a communications plan for the standard development process which shall establish the working language(s) for the standards development and most appropriate form of communication to stakeholder groups;
- f) detailed timetable for the standard development process, including an estimated date on which the completed standard(s) will be submitted to FSC for the approval process.

5.4 The terms of reference, workplan and budget shall be signed off by the Standards Development Group and submitted to the FSC Policy and Standards Unit allowing two (2) weeks for comment prior to commencement of the standards development.

## **6 Consultative Forum**

6.1 The Standards Development Group shall be responsible for setting up a Consultative Forum for the standards development process.

6.2 The role of the Consultative Forum shall be to ensure that all stakeholders who may be affected by the implementation of the standard have the opportunity to comment, formally, during the standard development process.

6.3 Membership of a Consultative Forum shall be open to any stakeholder on request. The number of members shall not be limited.

6.4 The Consultative Forum shall at a minimum include individuals and/or organizations reflecting the full range of stakeholders affected by the standard(s) under development at the national level, as identified under Annex A. For regional processes a Consultative Forum should be formed for each country in the region.

6.5 The Consultative forum shall be consulted and kept informed at each stage of the standards development; their comments being addressed and recorded.

## **7 Preparatory drafting and consultation**

7.1 A person (or position) shall be identified as responsible for compiling the standard on behalf of the Standards Development Group. This shall include record keeping, minute taking and circulation of papers to the Standards Development Group and Consultative Forum.

7.2 The role of the Standards Development Group members shall be to scrutinize and recommend drafts; review and advise on comments submitted by stakeholders; and suggest wording on specific aspects that might achieve consensus support of all members of the Standards Development Group.

7.3 At a minimum, the following drafts shall be prepared:

- a) a first draft, which shall be widely distributed to stakeholders for comment;
- b) a second draft, which takes account of the initial stakeholders comments and shall be tested in the forest;
- c) a 'forest-tested' draft, which takes account of the results of the testing in the forest as specified in section 9, and which shall be widely distributed to stakeholders for comment;
- d) a 'pre-approval' draft, which takes account of stakeholder comments on the forest-tested draft.

NOTE: An FSC accredited Certification Body Standard, adapted for the proposed territory and scope of the National/Regional Forest Stewardship Standard in accordance with FSC-STD-20-002, may be accepted as having fulfilled (a) and (b) above. The representative forest management units shall have been certified to the CAB Standard and the 'forest-tested' draft at (c) shall consider any stakeholder concerns that have been raised with the CAB.

7.4 The process for developing standards limited in their application to small and/or low intensity managed forest areas may be based on a minimum of one 'forest-tested' draft which shall be widely distributed for stakeholder comment, and one 'pre-approval' draft which may be submitted to the Standards Development Group to recommend for approval by FSC.

7.5 Additional drafts may be required, at the discretion of the Standards Development Group.

7.6 Drafts shall be numbered as "(Draft #-#)" where the first number is the number of the applicable draft for public consultation, and the second number is the applicable revision number of the drafts for technical consultation.

NOTE: For example, Draft 1-0 would be the first draft released for public consultation. Draft 1-1 would be a revision of this draft, for technical consultation only. Draft 2-0 would be the next draft for public consultation.

7.7 Drafts for public consultation shall be officially announced as identified in the communications plan at 5.3 (e) together with a summary of the key points and a formal comments form, and shall be circulated to:

- a) all members of the Standards Development Group;
- b) all members of the Consultative Forum;
- c) all FSC National Initiatives and National and Regional Offices within the region;
- d) all FSC-accredited certification bodies operating in the region;
- e) all key stakeholder groups identified under Annex A; and,
- f) the FSC Policy and Standards Unit.

7.8 The period to submit comments on the first draft for public consultation shall be a minimum of sixty (60) days from the date of publication. The period for consultation on intermediate drafts shall be a minimum of thirty (30) days from the date of publication. The period for consultation on the final draft prior to decision making shall be sixty (60) days from the date of publication.

7.9 For consideration as formal comments, stakeholders shall be made aware:

- a) that comments shall be submitted in the working language(s) established for the Standards Development Group;
- b) of the address to which they need to be sent;
- c) of the period for submitting comments;
- d) that they shall provide their full name, contact details and the capacity in which they are commenting;
- e) that all other comments shall be considered as informal comments. Whenever possible, informal commentators shall be contacted and encouraged to make their comments formal. Informal comments will be responded to in so far as capacity allows;
- f) that all comments (formal or informal) should be attributed, and will be considered as being publicly available, unless the contributor explicitly requests that the comments should be treated confidentially. Anonymous comments shall not be considered.

7.10 All formal comments shall be kept on file.

7.11 A report on the formal comments shall be prepared which includes:

- a) a summary of the issues raised;
- b) an analysis of the range of stakeholder groups who have submitted comments;
- c) a general response to the comments;
- d) an indication of how the comments have been taken into account in the subsequent public draft standard; and

- e) a copy of all the formal comments as an annex.

- 7.12 The report on the formal comments shall be circulated to all members of the Standards Development Group. The report shall be published as identified in the communications plan at 5.3 (e)
- 7.13 Standards Development Group shall analyze the sources of the comments to ensure that formal comments have been received from representatives of all the key stakeholder groups identified as being impacted by the implementation of the proposed standard.
- 7.14 The Standards Development Group shall be proactive in seeking input from representatives of stakeholder groups identified under Annex A. Special provision to ensure that formal comments are received from representatives of any marginalized groups that may be affected by the standard shall be made and potential impacts of the standard on such groups shall be explicitly identified and taken into account in the development of the standard.

## **8 Content**

- 8.1 The content of each draft shall follow the requirements of FSC-STD-60-002 and include the standard's title, draft number, date, status, time-limit for comments, FSC registration code, and the contact details of the Standards Development Group.
- 8.2 The Standards Development Group shall follow all policies, standards and other documents produced by FSC relating to the content of Forest Stewardship Standards, as listed at Section 1.8 of Annex A.

## **9 Forest testing**

- 9.1 New standards shall be tested in the forest before it is submitted to FSC for approval. Revised standards should be forest tested where significant changes have been made which may affect the auditability of the standard or where field testing may be a means to consult illiterate communities affected by the revisions to the standard.
- 9.2 Ideally, the standard should be tested in the range of conditions in which it is applicable, including both large and small forests, and in a representative range of forest types within the specified scope.
- 9.3 The standard shall be tested by an FSC-accredited certification body and one representative of the Standards Development Group with technical expertise in forest management in the area of scope should also attend.
- 9.4 Testing shall include the full range of indicators included in the standard, and shall consider the auditability of the standard as a whole as well as the socioeconomic impacts of compliance.
- 9.5 A report on the results of the testing shall be made publicly available on request.
- 9.6 The findings from the forest testing shall be considered and agreed by the Standards Development Group. The resulting draft shall form the 'forest-tested' draft of the standard.

## **10 Draft standard(s) submitted for decision making**

10.1 Prior to submission of the standard to FSC for approval, a formal motion shall be put before the Standards Development Group members that the draft standard:

- a) has undergone sufficient consultation and testing;
- b) meets the aims and objectives specified in the terms of reference of the Standards Development Group;
- c) merits the approval by FSC.

10.2 The Standards Development Group shall make its decision by consensus, defined as general agreement in favor of the motion, with the absence of sustained objection from any member of the Standards Development Group.

10.3 If a final draft cannot be agreed within the time specified in the Standards Development Group's work plan, the advice of the Policy and Standards Unit shall be sought as to how to proceed, with the option to extend the time specified for completion by up to one year to carry out further work prior to seeking the recommendation of the Standards Development Group for a revised draft. If after this period consensus cannot be achieved the Facilitator shall present a report to the Policy and Standards Unit proposing how to proceed and seeking a decision on this proposal from the FSC Executive Director.

NOTE: The decision of the FSC Executive Director shall be final.

10.4 When a draft standard has the formal recommendation of the Standards Development Group it shall be published as identified in the communications plan at 5.3 (e).

10.5 A report shall be prepared on behalf of the Standards Development Group. The report shall:

- a) summarize the standards development process, taking into account any deviations from the original work plan, as established under 5.3;
- b) explain the main issues and concerns raised during the process, and explain how these have been addressed;
- c) include a clear description of any departures from these procedures, demonstrating compliance with the requirements of section 16 of this document;
- d) include as Annexes a list of the names and affiliations of the members of the Standards Development Group, and the names and affiliations (including specification whether the stakeholder is an FSC member, and, if so, of which chamber and sub-chamber) of all stakeholders that have submitted comments during the standards development process;
- e) include the motion of recommendation of the Standards Development Group, and the results of this motion;
- f) a translation into English of the 'pre-approval' draft recommended for the approval of FSC;
- g) a copy of all formal comments received during the final period of public consultation.

- 10.6 The finalized report shall be sent to the FSC Policy and Standards Unit for formal approval.

NOTE: Formal decision making authority in relation to approval of FSC Forest Stewardship Standards rests with the FSC Board of Directors. The role of the Standards Development Group is to provide its support for the draft standard which is submitted to the FSC Board of Directors for approval. The FSC Board of Directors may delegate its powers to a formal committee charged with this duty, subject to oversight by the FSC Board of Directors.

NOTE: The FSC Board of Directors (or its designated committee) will either:

- a) give the standard approval as a FSC Forest Stewardship Standard; or
- b) give the standard approval as an FSC Forest Stewardship Standard, with minor amendments; or
- c) reject the standard.

NOTE: If the FSC Board of Directors rejects the standard, within thirty (30) days of its decision it shall state the reasons for the rejection, and may suggest what steps it considers necessary in order to address its concerns.

## **11 Approval as a Version 1-0 standard**

- 11.1 If the standard receives the approval of the FSC Board of Directors as an FSC Forest Stewardship Standard, the Standard shall be published as an approved FSC Forest Stewardship Standard as identified in the communication plan in section 5.3(e) and this shall be publicly announced to:

- a) FSC members in the territory;
- b) all members of the Standards Development Group;
- c) all members of the Consultative Forum;
- d) all FSC National Initiatives and National and Regional Offices in the territory;
- e) all FSC-accredited certification bodies;
- f) all FSC Forest Management certificate holders covered by the scope of the standard;
- g) all key stakeholder groups identified under Annex A;

- 11.2 The standard shall then be implemented, as specified in accordance with its scope and standard effective date.

- 11.3 In territories where FSC Forest Management Certification is already established, the standard effective date may be up to three (3) months following the announcement of the standard's approval; in order to allow Certification Bodies to adjust their systems to the new standard.



## **12 Review and revision of a Forest Stewardship Standard**

- 12.1 After approval typographical errors and minor inconsistencies may be corrected with the approval of the FSC Policy & Standards Unit. The most recent version shall be published as identified in the communications plan at 5.3 (e).

NOTE: In the case of changes resulting from corrections or amendments as described in 12.1, the FSC Policy and Standards Unit will assign the updated standard a new version number, V1-1, V1-2, etc, together with the date of the update.

- 12.2 A file shall be kept of all comments on the standard that are submitted after the approval.
- 12.3 A review report of all the comments on the standard; changes to associated elements of the FSC system; as well as external circumstances and the continued relevance of the standard shall be compiled within three (3) years of the standard's approval.

NOTE: Forest Stewardship Standards are normally approved for a five year period. Review and possible revision processes need to be planned in order to have a final draft recommended to the FSC Board of Directors by the end of this period.

- 12.4 The review report shall be submitted to the Policy and Standards Unit for comment and to register the revision process, if required.
- 12.5 The revision process shall follow the requirements of this standard as for the development of a Version 1-0 Forest Stewardship Standard. Proposed omissions within the process may be justified in the workplan, according to the nature of the revisions identified in the review report.
- 12.6 If the Standards Development Group is dissolved after the development of the Forest Stewardship Standard, all records shall be handed over to the National Initiative, if present, or otherwise to the Policy and Standards Unit.
- 12.7 If no review or proposal for revision are received within three (3) years of the approval date, then the Policy and Standards Unit will review the FSC requirements which apply and any comments received.

NOTE: The Policy and Standards Unit will extend the approval; propose a revision; or issue a notice that giving the expiry date of the standard, depending on the findings of the review. Any expiry date would normally be five (5) years after the approval date.

## **13 Complaints**

- 13.1 Complaints related to the content of the approved standard shall be responded to by providing an explanation of why a particular point of view was not incorporated into the final standard submitted for approval, and/or explaining how the point may be raised again in relation to future revisions of the standard.
- 13.2 Complaints related to procedural issues shall be responded to initially by the Standards Development Group. If the complainant is not satisfied with the explanation provided, the complaint shall be addressed through the applicable FSC Dispute Resolution process.

## **14 Availability of approved FSC Forest Stewardship Standards**

- 14.1 Approved FSC Forest Stewardship Standards shall be available to stakeholders free of license charges in electronic format. The Standards Development Group may charge at cost for providing and making available hardcopies of its standards (e.g. the cost for posting, printing, postage and packing for orders).

NOTE: The Policy and Standards Unit will file all approved FSC Forest Stewardship Standards.

## **15 Approved departures from procedures**

- 15.1 Departures from these procedures may be approved by the Policy and Standards Unit in exceptional circumstances, when compliance with the procedure was not possible for reasons beyond the control of the FSC, and/or when an alternative process would be in the best interests of the mission of FSC.
- 15.2 Any departures from the procedure shall be reported in writing to the Policy and Standards unit as soon as they are proposed or come to the notice of the Standards Development Group, who shall seek comment from the Policy and Standards Unit prior to implementation or continuation of the departure from procedure.
- 15.3 Transitory arrangements may be agreed for those standards development processes that have made significant progress prior to the effective date of this standard at the discretion of the FSC Policy and Standards Unit. In such cases a description of the process to date, detailing any omissions in relation to the provisions of this standard and proposals for fulfilling the outstanding elements of the process shall be submitted. The Standards Development Group shall seek comment from the Policy and Standards Unit prior to continuation of the FSC Forest Stewardship Standard development process.

## **16 Record keeping**

- 16.1 The Standards Development Group or the National Initiative, if present, shall keep the following records:
- a) written proposal to develop the standard;
  - b) names and affiliations of members of Standards Development Group and Consultative Forum, and of other stakeholders that were consulted on the standards during their development;
  - c) minutes of meetings held by the Standards Development Group;
  - d) copies of public draft standards circulated for comment;
  - e) copies of all comments received on consultation draft standards;
  - f) summary of comments received in response to each consultation draft, together with a general response to those comments;
  - g) copies of technical drafts;
  - h) the Standards Development Group report and all comments received on the Standards Development Group report;
  - i) a description of all departures from the specified procedures for standards development and the actions taken in respect of those departures (see section 15);

j) the decisions of FSC in relation to the requirements of this standard.

16.2 If the Standards Development Group dissolves, all records shall be passed to the National Initiative, if present, or to the FSC Policy and Standards Unit.

## **Annex A: Template for proposals and work plan for development or revision of an FSC Forest Stewardship Standard**

This template is to be used for drawing up the proposal and work plan for the Standards Development Group to use as a working document.

It is also intended for use as a document which can be sent to stakeholders to explain the process and to gain their initial support for the process.

Once complete the template shall be submitted to FSC for formal registration of an FSC Forest Stewardship Standard under development or revision.

Development of the proposed FSC Forest Stewardship Standard should not proceed prior to formal authorization from the FSC Executive Director.

### **1 Proposal to revise an FSC Forest Stewardship Standard for: [nation/region]**

#### **1.1 This proposal is submitted by:**

**Name:**

**Signed:**

**Position:**

**Authority (Please select from the following):**

FSC Board of Directors/ FSC member/ FSC accredited National Initiatives/member of FSC staff or staff of Accreditation Services International.

**Address:**

**Telephone:**

**Email:**

#### **1.2 Scope of the proposed standard, including the rational for developing an FSC Forest Stewardship Standard for this territory.**

Scope may also be limited by scale and intensity of forest management; to natural forests or to plantations, but proposals which cover all of the situations within a territory are encouraged. Regional approaches are to be encouraged to harmonize standards between nations and increase the area currently covered by such standards:

#### **1.3 Is this proposal to develop a new FSC Forest Stewardship Standard or to revise an existing one?**

**Revision**    Go to section 1.4

**New**            Go to section 1.5

#### **1.4 Review and justification for revisions to an approved FSC Forest Stewardship Standard**

A review of all the comments on the standard; changes to associated elements of the FSC system (see Section 1.8); as well as external circumstances and the continued relevance of

the standard. Summarize what if any steps should be taken to revise the standard and detail them in the sections that follow. (FSC-STD-60-006 Section 12)

### 1.5 Funding and resources available, and/or of potential sources of funding: (FSC-STD-60-006 Section 5.1)

A more detailed budget may be included, but the main aim here is to ensure that funds and resources are available to complete the process.

Resources needed	Source	Contribution	Confirmed?

### 1.6 Existing indicators or guidelines

Already developed or in development by third parties in the county and region, including other FSC Forest Stewardship Standards, which may be useful in providing local interpretation to the FSC P&C. Reasons why any such standard(s) or guidelines that are identified should not be adopted shall be given along with the rationale for a national or regional approach:

### 1.7 Working language(s) for the Standards Development Group: (FSC-STD-60-006 Section 5.2c)

### 1.8 FSC Documents related to the process: (FSC-STD-60-006 Section 8)

NOTE: FSC-GUI-60-004 V1 0 Template for the structure and content of FSC Forest Stewardship Standards is available and should be used by all Standards Development Groups. The template takes all of the following documents into account and includes a set of 'Suggested Indicators' developed from past experience and approved NI and CB standards.

*FSC STD 01 001 V4 0 EN FSC Principles and Criteria*  
*FSC-STD-60-006 Procedure for the development of Forest Stewardship Standards*  
*FSC STD 20 002 V2 1 EN Structure and Content Forest Stewardship Standards*  
*FSC STD 01 003 V1 0 EN SLIMF Eligibility Criteria*  
*FSC STD 01 003a EN SLIMF eligibility criteria addendum 2008 02 13*  
*FSC-GUI-60-100 Guidance on the interpretation of the FSC Principles and Criteria to take account of scale and intensity*  
*FSC-GUI-20-200 EN FSC Guidelines for Certification Bodies 2005*  
*FSC POL 30 401 EN FSC certification and ILO Conventions 2002*  
*FSC POL 20 002 EN Partial Certification 2000*  
*FSC Guidance Document FSC-GUI-30-004: FSC Principles 2 and 3: Guidance on Interpretation*  
*FSC GUI 30 001 V2 0 EN FSC Pesticides Policy Guidance 2007*  
*FSC GUI 30 001a V1 0 EN Approved derogations for use of pesticides 2008 01 21*  
*FSC POL 30 001 EN FSC Pesticides policy 2005*  
*FSC PRO 01 004 V2 1 EN Processing pesticide derogation applications*  
*FSC POL 30 602 EN FSC GMO Policy 2000*  
*FSC ADV 30 602 EN Conversion of plantation to non forest land 2004 03 29*  
*FSC ADV 30 602 EN Conversion of plantation to non forest land 2004 03 29*

*FSC ADV 30 901 EN Interpretation of Criterion 9 2 2003 04 28*  
*FSC ADV 31 001 EN Interpretation of C10 9 2002 12 03*

### **1.9 Additional specific requirements to complete the work: (e.g. donor requirements) (FSC-STD-60-006 Section 5.2e)**

### **2. Timetable for the standard development process.**

Further drafts and rounds of stakeholder comments may be added if they are needed, which may only become apparent during the process: (FSC-STD-60-006 Section 7, 9, 10)

Item	Time needed	Estimated Date
Formation of Standards Development Group		
1st Draft Standard		
Stakeholder Comments	60 days	
Consultation report		
2nd Draft		
Forest testing		
Forest tested draft		
Stakeholder Comments	60 days	
Consultation report		
Pre-approval draft		
SDG Formal recommendation		
Submit to FSC		

### **3. Facilitation and Chairing: (FSC-STD-60-006 Section 3, 4.8)**

Whether these roles are fulfilled by one person or several needs to be determined in accordance with the needs of the Standards Development Group and regional circumstances and funding constraints.

One individual shall take a lead and be responsible for overseeing the process. Please list this person first as the main contact for the FSC Policy and Standards Unit during the process.

Name	Role	Contact

Name	Role	Contact

#### 4. Standards Development Group: (FSC-STD-60-006 section 4)

Given the nature of Forest Stewardship Standards in the FSC system, the Standards Development Group shall have three separate chambers representing social, environmental and economic interests, with at least two representatives in each chamber, and equal number of people (or equal weighting) in each chamber.

A minimum of two (2) representatives per chamber are required, but more can be added, so long as the decision making is balanced between the three (3) chambers. The resume should give brief details of their background and knowledge of the FSC system (training in forest stewardship standards development from FSC may help meet this requirement).

The Standards Development Group shall make its decisions by consensus, defined as general agreement in favor of a proposal, plus the absence of a sustained objection to the proposal.

Environmental	Economic	Social
Name:	Name:	Name:
Organization:	Organization:	Organization:
Resume:	Resume:	Resume:
Name:	Name:	Name:
Organization:	Organization:	Organization:
Resume:	Resume:	Resume:

#### 5. Technical Experts: (FSC-STD-60-006 Section 4.5)

The Facilitator may appoint technical experts to participate in Standards Development Group discussions. These technical experts shall have voice in the Standards Development Group discussions but no formal role in its decision making processes. Expert teams may also be needed to explore specific aspects of the standards interpretation, such as social issues or HCVF. Any such expert teams should be described:

Name of Expert Team	Members	List of documents (ToR, work plan, documents produced)

## 6. Consultative Forum: (FSC-STD-60-006 Section 6)

The Consultative Forum includes individuals and/or organizations reflecting the full range of stakeholders affected by the standard(s) under development.

There should be evidence that these groups support the process, such as signed letters from a senior representative of the organization or individual as applicable.

It is essential that Non Government Organizations (NGOs) are engaged in the process where they exist, but this does not preclude relevant Government Organizations from contributing.

Some organizations may cover more than one interest, in which case note this on the table.

Interest	Organization/Individual	Contact details	Evidence of support for the process?
a) Economic interests of:			
Owners/managers of large and medium sized forests			
Owners/managers of small forests			
Owners/managers of operations where there is a low intensity of timber harvesting			
Forest contractors			
Timber producers associations			
b) Social interests of:			
Forest workers			



Interest	Organization/Individual	Contact details	Evidence of support for the process?
Indigenous Peoples			
Local communities			
Forest recreation			
Consumers			
c) Environmental interests relating to:			
Biological diversity			
Water			
Soils			
Ecosystems and Landscapes			

## 7. Communications Plan: (FSC-STD-60-006 section 5.3e)

The communications plan needs to be appropriate to the stakeholder's ability to access the information, as some groups may not have access to email or maybe literacy is an issue.

A communications plan may be as brief as:

*"The Forest Stewardship Standard shall be promoted at each stage of its development to all identified stakeholders by [email/letter/verbally] and publicized on the website www.xxx.xxx."*

## 8. Forest testing: (FSC-STD-60-006 section 9)

The standard shall be tested in the following range of conditions, to include the full range of indicators by an FSC accredited certification body. These include both large and small forests, and a representative range of forest types within the specified scope. ['Date of test' and 'Location' may only apply to those who have been in the process prior to the approval of FSC-STD-60-006. In this case a summary of the results of testing needs to be included]

The standard shall be tested by an FSC-accredited certification body and one representative of the Standards Development Group with technical expertise in forest management in the area of scope and appointed by the Chair of the Standard Development Group.

Forest type	Date of test	Location	FSC CB	SDG rep

Forest type	Date of test	Location	FSC CB	SDG rep

#### **9. Complaints: (FSC-STD-60-006 section 13)**

Complaints related to the content of the approved standard shall be responded to by the Facilitator, by providing an explanation of why a particular point of view was not incorporated into the final standard submitted for approval, and/or explaining how the point may be raised again in relation to future revisions of the standard.

Complaints related to procedural issues shall be responded to initially by the Facilitator. If the complainant is not satisfied with the explanation provided by the Facilitator, the complaint shall be addressed through the FSC Dispute Resolution process.

#### **10. Record keeping: (FSC-STD-60-006 section 16)**

The Standards Development Group shall keep the following records:

- a) Approved proposal to develop the standard;
- b) Names and affiliations of members of Standards Development Group and Consultative Forum, and of other stakeholders that were consulted on the standards during their development;
- c) Minutes of meetings held by the Standards Development Group;
- d) Copies of public draft standards circulated for comment;
- e) Copies of all comments received on public draft standards;
- f) summary of comments received in response to each public draft, together with a general response to those comments;
- g) copies of technical drafts;
- h) the Standards Development Group report and all comments received on the Standards Development Group report;
- i) a description of all departures from the specified procedures for standards development, and the actions taken in respect of those departures (see section 15); and
- j) the decisions of the FSC Board of Directors, FSC Executive Director and Policy and Standards Unit in relation to the requirements of this standard.