

## FSC® PROCEDURE

### The Development and Approval of Controlled Wood National Risk Assessments

FSC-PRO-60-002 V3-0 D1-0 EN



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<b>Document reference code:</b>	FSC-PRO-60-002 (V3-0) EN
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<b>Approval:</b>	<b>DRAFT FOR PUBLIC CONSULTATION</b>
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## THE DEVELOPMENT AND APPROVAL OF CONTROLLED WOOD NATIONAL RISK ASSESSMENTS

FSC-PRO-60-002 (V3-0) EN

**DRAFT 1-0**

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

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

FSC-PRO-60-002 (V3-0) EN  
THE DEVELOPMENT AND APPROVAL  
OF CONTROLLED WOOD NATIONAL RISK ASSESSMENTS

## Introduction

The FSC Controlled Wood system aims to avoid the use of unacceptable material<sup>1</sup> in FSC Mix products.

This procedure outlines requirements for the development, maintenance, revision, evaluation and approval of Controlled Wood National Risk Assessments. It also contains the National Risk Assessment Framework, specifying requirements for the development of NRA contents.

NOTE: National Risk Assessments are required for use by Organizations sourcing controlled wood using FSC-STD-40-005.

## Notes on development of this document

- V1-0 Approved by the FSC Executive Director in 2008.
- V2-0 Approved by the FSC Head of Policy and Standards on February 28<sup>th</sup> 2009
- V3-0 Developed as part of the Controlled Wood system revision based on Membership Motion 51 (GA 2011). A chamber balanced Controlled Wood Technical Committee was appointed to guide the revision process.

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<sup>1</sup> Controlled Wood is wood that has been controlled to avoid the following categories: 1) Illegally harvested wood; 2) Wood harvested in violation of traditional and human rights; 3) Wood from forests in which high conservation values are threatened by management activities; 4) Wood from forest being converted to plantations or non -forest use; 5) Wood from forests in which genetically modified trees are planted.

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## A Objective

The objective of this procedure is to provide a clear, transparent, and unambiguous methodology for developing, maintaining, revising, evaluating, and approving National Risk Assessments.

## B Scope

This document specifies the requirements and procedures to be followed by FSC Network Partners or other authorized entities to develop, maintain and revise Controlled Wood National Risk Assessments (herein National Risk Assessments or NRAs). It also specifies requirements and procedures for FSC International Center (IC) to evaluate and approve such NRAs.

All aspects of this procedure are considered to be normative, including the scope, effective date, references, terms and definitions, tables, addendum and annexes, unless otherwise stated.

## C Key Dates

Approval date	To be determined
Publication date	To be determined
Effective date	Upon approval
Mandatory date	Upon approval <sup>2</sup>
Period of validity	Until 31 December 2018

## D References

*FSC-STD-01-002 FSC Glossary of Terms*

*FSC-STD-40-005 Company evaluation of FSC Controlled Wood*

*FSC-STD-60-006 Process requirements for the development and maintenance of National Forest Stewardship Standards*

*FSC-PRO-01-008 Processing Complaints in the FSC Certification Scheme*

*FSC-PRO-01-009 Processing Formal Complaints in the FSC Certification Scheme*

Following FSC normative documents are superseded and replaced by this standard

This procedure supersedes all previous versions of FSC-PRO-60-002.

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<sup>2</sup> In countries where NRA development started before the approval date of the FSC-PRO-60-002 V3-0 and Addenda, NRA should be completed according to the FSC-PRO-60-002 V2-0 unless the national decision body decided to proceed with NRA according to FSC-PRO-60-002 V3-0.

## **E Terms and definitions**

For the purpose of this procedure, the terms and definitions provided in *FSC-STD-01-002 FSC Glossary of Terms*, and the following apply:

**Coordinator:** The person authorized by FSC to oversee and manage the development and approval of the FSC Controlled Wood National Risk Assessment for the designated country/region, including representation in the NRA Working Group(s). In most cases, and where established, the representative of the FSC accredited Network Partner will assume this role.

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## **PART I SCOPE, SCALE AND CONTENT OF NATIONAL RISK ASSESSMENTS**

### **1. Scope of National Risk Assessment**

- 1.1 National Risk Assessments should be developed for a whole country.
- 1.1.1 In situations where different countries share homogeneous conditions for any of the Controlled Wood categories (e.g. ecoregions for HCVs), Controlled Wood Risk Assessments may be developed by either one or cooperating National Risk Assessment Working Groups. , Such, Risk Assessments shall be determined with consideration to specific circumstances in each country and shall follow the full risk assessment procedure outlined in the National Risk Assessment Framework (FSC-PRO-60-002b).

#### **Stakeholder consultation note:**

**At this stage there is no overall consensus on the concept of NRA geographical scope among the members of the Controlled Wood Technical Committee. Further discussion will be required if NRA should be developed for the whole country.**

- 1.2 National Risk Assessments shall be developed for all Controlled Wood categories.
- 1.2.1 No new categories shall be added to the scope of National Risk Assessment.
- 1.2.2 Additional indicators or sub-indicators may be developed, where needed and justified.

### **2 Spatial scale**

- 2.1 Risk shall be assessed at the appropriate spatial scale. An area is usually regarded as a distinct unit when it is characterized by a particular boundary e. g. an administrative or ecological boundary. As such, distinct Controlled Wood categories may have different scales of assessment. Further guidance on spatial scale of National Risk Assessments is provided in National Risk Assessment Framework (see Addendum FSC-PRO-60-002b to this procedure).

### **3 Content of National Risk Assessments**

The content of the National Risk Assessment shall follow the requirements specified in Addendum FSC-PRO-60-002b - FSC National Risk Assessment Framework and use the National Risk Assessment Template provided in Annex 4 below.

## **PART II DEVELOPMENT OF NATIONAL RISK ASSESSMENTS**

### **4 Responsibilities**

- 4.1 The responsibility for the development of National Risk Assessments primarily lies with the endorsed FSC Network Partner.
- 4.2 National Risk Assessment development requires the establishment of a National Risk Assessment Working Group. The NRA Working Group shall conform to the

requirements outlined in FSC-STD-60-006 *Process requirements for the development and maintenance of National Forest Stewardship Standards*, (section 4 ), as well as the following criteria:

- a) Capacity to professionally implement the requirements of this procedure
  - b) Ability to coordinate the NRA process free of any conflict of interest
  - c) Acceptance by key stakeholders
  - d) Competence and knowledge of Controlled Wood
  - e) Knowledge of the country, and specifically the forest sector
- 4.3 The NRA Working Group shall communicate with FSC throughout the NRA development process
- 4.4 In countries where FSC Network Partners are not established, or are not able to coordinate a National Risk Assessment, FSC may designate another, independent National Risk Assessment Working Group to develop the National Risk Assessment, for example the registered FSC Standard Development Group..
- 4.4 The decision to appoint an independent NRA Working Group shall be made by the Director of FSC's Policy and Standards Unit, in consultation with the Director of the applicable FSC Regional Office and the Director of FSC's Network Unit, and based on the requirements for an NRA Working Group specified in Section 4.2 above.

#### **Stakeholder consultation note:**

**At this stage there is no overall consensus amongst the members of the Controlled Wood Technical Committee on the concept of the entity responsible for NRA development where no FSC National Partners are present. Further discussion is required.**

## **5 Proposal to develop National Risk Assessments**

- 5.1 A proposal to develop the NRA shall be submitted to FSC<sup>3</sup> by the FSC Network Partner or representative of the NRA Working Group prior to development of the National Risk Assessment, and shall include the following elements:
- a) Objective, including the scope of National Risk Assessment, work plan and schedule, including start date and expected date of submission of the final draft to FSC
  - b) Estimated budget and indication of funding needs
  - c) Name, qualifications and contact details of the designated Coordinator
  - d) Name, qualifications and contact details of the members of National Risk Assessment Working Group
  - e) Name, qualifications and contact details of other key individuals who will be involved

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<sup>3</sup>Throughout this procedure in this context, 'FSC' refers to the staff person within the FSC Policy and Standards Unit designated to manage the FSC Controlled Wood system. Contact details can be obtained through the FSC webpage, [www.fsc.org](http://www.fsc.org), or by contacting the FSC Policy and Standards Director.



NOTE: With the exception of the requirements specified above, there is no set work-plan that must be followed. Flexibility is needed in order to allow a process to take place that is meaningful within the national context.

- 5.2 Proposals to develop a National Risk Assessment shall be submitted in writing to FSC, in English or Spanish.
- 5.3 FSC shall confirm receipt of the proposal and within two weeks either:
  - a) Confirm that the proposal has been approved; or
  - b) Reject the proposal, communicating the reasons for rejection.
- 5.4 FSC shall update its Controlled Wood webpage with NRA approval notices in order to keep stakeholders informed about the process.

## **6 Drafting National Risk Assessments**

- 6.1 At minimum, the following drafts shall be prepared:
  - a) A first draft, which shall be widely distributed to Stakeholders for comment (see Annex 2)
  - b) A second draft, which takes account of stakeholder comments. A second round of stakeholder consultation is required where there are substantive, unresolved issues after the first round of public consultation
  - c) A final draft for submission to FSC (see Section 8 -10)
- 6.2 The need for additional drafts shall be at the discretion of the national decision making entity (see Section 8 below), taking account of the number and substance of comments received.
- 6.3 The first draft shall be sent to FSC in English or Spanish for review prior to first consultation.
- 6.4 Upon receipt, FSC shall review the first draft within 3 weeks.

## **7 Stakeholder consultation**

- 7.1 The NRA Working Group Coordinator shall be proactive in seeking input from representatives of the stakeholder groups identified in Annex 2 of this procedure. The Coordinator is responsible for facilitating culturally appropriate outreach to representatives of all stakeholder categories identified as being impacted by the NRA, in particular to any marginalized groups that may be affected by the NRA.
- 7.2 The information sent for stakeholder consultation shall include the following:
  - a) A brief description of the FSC Controlled Wood system, its goals and objectives. FSC-STD-40-005 shall also be referenced in this description
  - b) A brief description of the purpose of the National Risk Assessment, scope of the assessment and the role of stakeholders, including a request for comments

- c) The start and end date of the stakeholder consultation period
- d) The draft National Risk Assessment
- e) The contact details of the Coordinator for further information
- f) The estimated timeline for completion of the proposed National Risk Assessment
- g) A brief description of how, upon approval, the National Risk Assessment will be maintained
- h) A statement that the development process follows the requirements of this FSC procedure

7.3 Where such a website exists, the request for stakeholder comments shall also be posted on the FSC Network Partner webpage. This shall include the information listed in Clause 7.2 above.

NOTE: FSC will also place information on NRA development on the FSC IC Controlled Wood webpage and on the FSC Global Forest Registry.

7.4 Each stakeholder consultation round shall consist of a period of at least sixty (60) days starting from the date of publication.

7.5 Interactive methods for engaging stakeholders should be applied. In addition to submitting draft(s) of the National Risk Assessment for stakeholder comments, the Coordinator should also consider holding stakeholder workshop(s) to provide a forum for direct input and discussion.

7.6 The NRA Working Group shall review all comments submitted by stakeholders and address them in subsequent drafts with the goal of achieving consensus.

7.7 The Coordinator shall prepare a stakeholder consultation report that includes:

- a) A summary of the issues raised
- b) An analysis of the range of stakeholder groups who submitted comments
- c) A general response to the comments
- d) An indication of how the comments were addressed in subsequent public drafts, and
- e) A copy of all the comments as an Annex to the report

7.8 The contents of the consultation report shall be agreed with the NRA Working Group.

7.9 The Coordinator shall send the consultation report to FSC in English or Spanish.

7.10 All comments should be attributed to a stakeholder.

7.11 All comments and the consultation report shall be publicly available unless a stakeholder has requested that their comments shall be treated as confidential.

## **8 National level decision-making**

8.1 The National Risk Assessment shall be approved at the national level by a national decision-making entity prior to being submitted to FSC for final decision-making.

NOTE: Where FSC National Office Boards of Directors exist, they shall assume the role of the decision-making entity. In cases where FSC National Offices are not established, the decision-making entity is the National Risk Assessment Working Group designated for this purpose (see Section 4 above).

- 8.2 The decision-making entity shall approve final draft of the National Risk Assessment on meeting the requirements of this procedure.
- 8.3 If approval cannot be secured within the time specified in the work-plan, the Coordinator shall seek advice from FSC as to how to proceed.

## **PART III EVALUATION AND APPROVAL OF NATIONAL RISK ASSESSMENTS**

### **9 Evaluation of National Risk Assessments**

- 9.1 Once approved at the national level, the final draft of the National Risk Assessment shall be sent to FSC.
- 9.2 The application for approval shall include the following:
- a) A brief application letter, signed by the representative of the designated decision-making body e. g. a Board member or Chairman of the National Risk assessment Working Group but not the Coordinator
  - b) The final draft Controlled Wood National Risk Assessment in English or Spanish
  - c) A copy of the stakeholder consultation report, including the list of stakeholders contacted, and their affiliation
  - d) Any other documented evidence that the applicant deems relevant to demonstrate compliance with the requirements specified in this procedure (e.g., minutes of meetings)
- 9.3 FSC shall evaluate the completeness of the application in accordance with Clause 9.2. above.
- 9.4 FSC shall evaluate whether the National Risk Assessment application documentation is complete.

### **10 Approval of National Risk Assessments**

- 10.1 Within thirty (30) days of receiving the complete application, the FSC Policy and Standards Director shall take a decision, to:
- a) Approve the Controlled Wood National Risk Assessment, or
  - b) Reject the NRA and request future work prior to re-submission, or
  - c) Reject the Controlled Wood National Risk Assessment, with rationale for why it was rejected and with suggestions on the steps necessary to address concerns raised
- 10.2 The decision shall be communicated to the national decision-making entity.

- 10.3 Upon approval, the Controlled Wood National Risk Assessment will be publicly announced and published on the FSC Controlled Wood website and on the Global Forest Registry.

## **PART IV MAINTENANCE OF NATIONAL RISK ASSESSMENTS**

### **11 Responsibilities**

- 11.1 The FSC Network Partner, independent National Risk Assessment Working Group or Policy and Standards Unit are responsible for maintaining, reviewing and revising Controlled Wood National Risk Assessments, as well as handling issues that arise in relation to the National Risk Assessment.
- 11.2 In countries where there is no FSC Network Partner, FSC may appoint another entity as responsible for maintaining, reviewing and revising or handling other issues in relation to the National Risk Assessment. Proposals for such an entity may be submitted by the National Risk Assessment Working Group and included with the drafts of the National Risk Assessment. If no entity is appointed, the FSC Policy and Standards Unit shall take direct control over the maintenance, review and revision of the National Risk Assessment.
- 11.3 If for any reason the appointed responsible entity is no longer able to exercise this responsibility (e.g. if a Network Partner ceases to exist), then the FSC Policy and Standards Unit shall take direct control over the National Risk Assessment until a new responsible person or entity has been assigned.

### **12 Review of National Risk Assessments**

- 12.1 Following the approval of the National Risk Assessment, all comments, proposals for revision, results of disputes and any other information (e.g. changes in legislation) shall be collected, recorded and evaluated by the entity responsible for NRA maintenance (herein referred to as 'the responsible entity').
- 12.2 National Risk Assessments shall be reviewed at least every 3 years, for their continued correctness and completeness.
- 12.3 The responsible entity shall submit a brief report, summarizing the results and conclusions of the review process to FSC.
- 12.4 In the event of substantial evidence (e.g. complaints, new information) which can affect the correctness and completeness of the current risk designation, the review process shall be less than 3 years.
- 12.5 On the basis of the review results, the responsible entity shall make a decision to either:
- a) Maintain the National Risk Assessment with no required revision, or
  - b) Initiate a revision process according to this procedure

### **13 Revision of National Risk Assessments**

- 13.1 The proposal for the revision shall be sent to FSC, following the requirements outlined in section 5.
- 13.2 The revision process shall be conducted in accordance with the requirements outlined in this procedure.
- 13.3 For each revision of the National Risk Assessment a new 1<sup>st</sup>-level version number (e.g. V2-0, V3-0) shall be given, together with the date of the revision.
- 13.4 Administrative and typographical mistakes may be corrected at any time with formal approval by FSC. In this case, the updated document shall be given a new 2<sup>nd</sup>-level version number (e.g. V1-1, V1-2), together with the date of the update, and shall be sent to the FSC for publication on the Global Forest Registry.

### **14 FSC Intervention**

- 14.1 FSC may invalidate a National Risk Assessment in part or in full as the result of a complaints process or evidence that a review / revision process was not carried out in accordance with the requirements outlined in this procedure.

### **15 Complaints and disputes related to National Risk Assessments**

- 15.1 The responsible entity shall respond to any complaints or disputes related to an approved National Risk Assessment, in accordance with the complaints mechanism specified in the NRA.
- 15.2 In case of complaints or disputes that have not been resolved according to the NRA complaints mechanism, *FSC-PRO-01-008 Processing Complaints in the FSC Certification Scheme* and *the FSC-PRO-01-009 Processing Formal Complaints in the FSC Certification Scheme* shall be applied.

#### **Stakeholder information note:**

**Complaints and/or disputes mechanisms for National Risk Assessments will be further discussed among the Controlled Wood Technical Committee Members.**

## **Annex 1: Process guidance on developing a Controlled Wood National Risk Assessments**

*The following steps build on recommendations and lessons learned from FSC Network Partners and stakeholders. These are not normative, but rather should be taken as guidance as countries develop work-plans specific to their needs.*

### **Step 1: Project initiation**

- Determine Coordinator and chamber-balanced Working Group to provide oversight, management and decision-making to the process
- Establish clear Terms of Reference
- Develop methodology and work-plan
- Submit notification to FSC PSU
- Develop a communications plan to keep stakeholders informed of the process

### **Step 2: Training**

- Arrange for key personnel to receive training on the Controlled Wood system, and the process for developing a National Risk Assessment
- Contact FSC PSU for information on training opportunities and materials

### **Step 3: Data gathering [this may be implemented by technical expert consultant]**

- Review the content of National Risk Assessment Framework (Addendum 1), and gather information sources referenced for each Category
- Review any existing company risk assessments for the sourcing country
- Review data provided per country on the Global Forest Registry ([www.globalforestregistry.org](http://www.globalforestregistry.org))
- Consult with stakeholders on issues where data is missing or may be inadequate

### **Step 4: Develop Baseline National Risk Assessment (Draft 0) [this may be done by technical expert consultant]**

### **Step 5: Develop Draft 1**

- This may be done by a Working Group or through a workshop targeted at key stakeholders from each Chamber, with the goal of gathering input on each risk assessment indicator
- The draft will be reviewed and agreed upon by the Working Group
- Send the draft for PSU peer-review prior to the first consultation
- In case of unresolved issues, formulate direct questions for public consultation

### **Step 6: Stakeholder consultation (min. 60 days)**

- Circulate draft and supplementary information to stakeholders
- Review feedback received from stakeholders, evaluate opinions
- Prepare consultation report and send to PSU
- Decide on 2<sup>nd</sup> draft development

### **Step 7: Develop Draft 2**

- Based on stakeholder comments
- Discussion and decision-making with Working Group
- Seek external support (e.g. from FSC Policy and Standards Unit) on any outstanding issues

Step 8: Stakeholder consultation and development of subsequent drafts

Step 9: National-level approval

- Working Group approves final draft
- National decision body approves final draft

Step 10: International-level approval

- Submit application for approval to FSC
- FSC approves final version
- FSC posts on FSC webpage and Global Forest Registry

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## Annex 2: Stakeholder consultation process

### A. Who are stakeholders and what is stakeholder consultation?

Stakeholders are individuals or groups interested and/or affected by the way in which a forest is (or forests are) managed. There are many benefits of stakeholder consultation including information sharing to facilitate the development of robust National Risk Assessments, and building legitimacy and support for decisions. Stakeholder consultation is an essential element of developing a National Risk Assessment.

### B. Identification of stakeholders

The Coordinator shall identify all stakeholder interests that should be represented in the development of the Controlled Wood Risk Assessment, and subsequently identify and maintain a list of the names and contact details of organizations or individuals (e.g. environmental and social NGOs, forest workers' unions, business organizations and Indigenous Peoples' political representatives and government forest services) that are known to represent such interests within the geographic scope of the Risk Assessment.

The consultation methods shall be appropriate to the consulted stakeholder group(s).

Stakeholders shall include:

#### a) Economic interests

- i. Forest owners managers of: large, medium and small forests; low-intensity managed forests;
- ii. Forest contractors;
- iii. Representatives of forest workers and forest industries, at the national level and designated risk level, if different.

#### b) Social interests

- i. NGOs involved or with interest in the social aspects of forest management, at the national level and designated risk level, if different;
- ii. Forest workers and labor experts;
- iii. Representatives of Indigenous Peoples and local communities that are involved or have interest in forest management at the national and designated risk level, if different;
- iv. Representatives of recreation interests;

#### c) Environmental interests

- i. NGOs that are involved or have interest in the environmental aspects of forest management, at the national level and designated risk level, if different. Consultation should target the following areas of interest and expertise:
  - Biological diversity
  - Water and soil
  - High Conservation Values
  - Ecosystems and Landscapes

#### d) FSC-accredited Certification Bodies active in the country;

#### e) National and state forest agencies;



- f) Technical experts, and relevant research institutions and universities;
- g) FSC Network Partners and registered Forest Stewardship Standards and National Controlled Wood Risk Assessment development groups in other countries.

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## Annex 3: Risk Assessment Evaluation Template

### Generic Checklist for the Approval of National Risk Assessment developed according to FSC-PRO-60-002 v 3-0

Version 3.0 (date to be determined)

<b>Name of Applicant</b>	
<b>Contact Information of Coordinator</b>	
<b>Date of application to PSU</b>	
<b>Date of evaluation</b>	
<b>Evaluator</b>	

#### List of documentation submitted by the Applicant`

<b>Document Name</b>	<b>Doc. Ref. or Abbreviation</b>
<ul style="list-style-type: none"> <li>- Application letter</li> <li>- Final draft NRA as approved at the national level;</li> <li>- Copy of the stakeholder consultation report &amp; list of stakeholders contacted</li> <li>- Other (specify)</li> </ul>	

This checklist details the content and process requirements to be evaluated by FSC in the approval process of risk designations conducted by FSC approved National Risk Assessment Working Groups according to FSC-PRO-60-002 v 3-0.

## A FORMAL REQUIREMENTS

### 1.1 Documents submitted by the Applicant

<b>REQUIREMENT</b>	<b>YES</b>	<b>NO</b>	<b>COMMENT</b>
Application letter			
Stakeholder consultation report			
National Risk Assessment			
Approval by Working Group			
Other documents (specify)			
Approval by national decision body			

## 1.2 Notification for National Risk Assessment

REQUIREMENT	YES	NO	COMMENT
Notification submitted in EN/ ES			
Nominated Coordinator			
Aims and objectives			
Geographic scope			
Summarized work plan, including:			
starting date			
main activities			
concluding date			

## B PROCESS REQUIREMENTS

### 2.1 Stakeholder representation

STAKEHOLDER GROUP	YES	NO	COMMENT
<b>Economic</b>			
Owners/managers of large and medium FMUs			
Owners/managers of SLIMFs			
Forest contractors			
Representatives of forest workers			
Representatives of forest industries			
<b>Social</b>			
NGOs (social aspects)			
Forest workers			
Representatives of Indigenous Peoples			
Representatives of local communities			
Representatives of recreation interests			
<b>Environmental</b>			
NGOs (environmental aspect)			
Biological diversity			
Water and soil			
High Conservation Values			
Ecosystems and Landscapes			
<b>CBs active in the country</b>			
<b>National and states forest agencies</b>			
<b>Technical experts</b>			
<b>Research institutions / Universities</b>			
<b>FSC Partners, registered Working Groups</b>			

### 2.2 Stakeholder consultation

REQUIREMENT	YES	NO	COMMENT
Stakeholder letter complete			
>60 days consultation period			

## 2.3 Stakeholder consultation report

REQUIREMENT	YES	NO	COMMENT
Report submitted in (language), including:			
summary of the issues			
analysis of comments			
response to the comments			
consideration of comments			
annexed copy of formal comments			

## C CONTENT REQUIREMENTS

### 3.1 Risk Assessment

REQUIREMENT	YES	NO	COMMENT
Submitted in EN, including:			
Geographic scope			
Definition(s) of area(s) under assessment			
For each indicator:			
Baseline assessment			
Research			
Spatial scale determination			
Evaluation of conformance			
Risk specification			
Control measures			
Overall risk designation per category			

## D PSU CONCLUSION

<input type="checkbox"/>	Approved
<input type="checkbox"/>	Rejected with request for future work
<input type="checkbox"/>	Rejected

**Reason for rejection:**

**Approval:**

**Date:**

**Name:**



**Annex 4: National Risk Assessment Template**

**FSC Controlled Wood National Risk Assessment**  
**For XXX (country/region)**  
 DEVELOPED BASED ON PROCEDURE FSC-PRO-60-002 V 3-0

**Version:** Final

**Approval date:** XX

**National Approval:** XX

**International Approval:** FSC International Center: Policy and Standards Unit

**Contact Person:** XX

**Email address:** XX

**Summary of risk for XX (specify country/region)**

Controlled Wood categories		Risk level
1	Illegally harvested wood	
2	Wood harvested in violation of traditional and human rights	
3	Wood from forests where high conservation values are threatened by management activities	
4	Wood from forests being converted to plantations or non-forest use	
5	Wood from forests in which genetically modified trees are planted	



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2. Risk assessment
  - 2.1. Illegally harvested wood
  - 2.2. Wood harvested in violation of traditional and human rights
  - 2.3. Wood from forests where high conservation values are threatened by management activities
  - 2.4. Wood from forests being converted to plantations or non-forest use
  - 2.5. Wood from forests in which genetically modified trees are planted
3. National Risk Assessment maintenance
4. Complaints on approved National Risk Assessment
5. List of key stakeholders for consultation

### 1. Background

This section shall summarise National Risk Assessment development, including but not limited to the information about:

- Timeline of the National Risk Assessment development
- National Risk Assessment Working Group
- Consultation conducted on drafts of NRA

### 2. Risk assessment

This section shall describe process of risk assessment as specified in National Risk Assessment Framework for each category of Controlled Wood and for each prescribed indicator. All sources of information used during risk assessment shall be provided.

For each category following scope shall be provided:

- Summary of baseline assessment and research
- Determination of areas under assessment and functional scale of the assessment
- Risk specification, including justification and established control measures for 'specified' risk areas. Tabular or descriptive scheme shall be consistently applied. Templates for tabular and descriptive form are included below.



Template for tabular form of risk assessment

**1. Illegally harvested wood (exemplary indicator)**

Area under assessment: XXX

Requirements	Guidance	Sources of information	Thresholds	Risk assessment	Control measures
1.1. Legal rights to harvest					
1.1.1 Land tenure and management rights	<p>Legislation covering land tenure rights, including customary rights as well as management rights that include the use of legal methods to obtain tenure rights and management rights. It also covers legal business registration and tax registration, including relevant legal required licenses.</p> <p>Risk may be encountered where land rights have not been issued according to prevailing regulations and where corruption has been involved in the process of issuing land tenure and management rights.</p> <p>The intent of this sub-category is to assure that any land tenure and management rights have been issued according to the legislation.</p>	To be specified (compare NRA Framework)	To be specified (compare NRA Framework)	To be specified	To be specified



## Template for descriptive form of risk assessment

### Category 1 – Illegally harvested wood

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#### 1.1. Legal rights to harvest

##### 1.1.1. Land tenure and management rights

**Guidance:**

Legislation covering land tenure rights, including customary rights as well as management rights that include the use of legal methods to obtain tenure rights and management rights. It also covers legal business registration and tax registration, including relevant legal required licenses.

Risk may be encountered where land rights have not been issued according to prevailing regulations and where corruption has been involved in the process of issuing land tenure and management rights.

The intent of this sub-category is to assure that any land tenure and management rights have been issued according to the legislation.

**Sources of information:**

To be specified (compare NRA Framework)

**Thresholds:**

To be specified (compare NRA Framework)

**Risk assessment:**

To be specified

**Control measures:**

To be specified

### 3. National Risk Assessment maintenance

In this section an entity responsible for maintenance of the National Risk Assessment shall be indicated and information on how NRA will be reviewed shall be specified. To complete this section, please refer to the requirements of FSC-PRO-60-002 V 3-0, Part IV: Review of National Risk Assessments and Part V: Revision of National Risk Assessments.

### 4. Complaints and disputes on approved National Risk Assessment

This section shall describe steps to be taken by the entity responsible for maintenance of the National Risk Assessment in case of received complaints and disputes on National Risk Assessment Framework.

The way how complaints may be send to the responsible entity shall be specified.





## **5. List of key stakeholders for consultation**

In this section the list of key stakeholders shall be provided, indicating who participated in consultation process on National Risk Assessments, as well as specification of stakeholders who should be consulted in the NRA revision process according to FSC-PRO-60-002 V 3-0, Annex 2: Stakeholders to be included in consultation process.