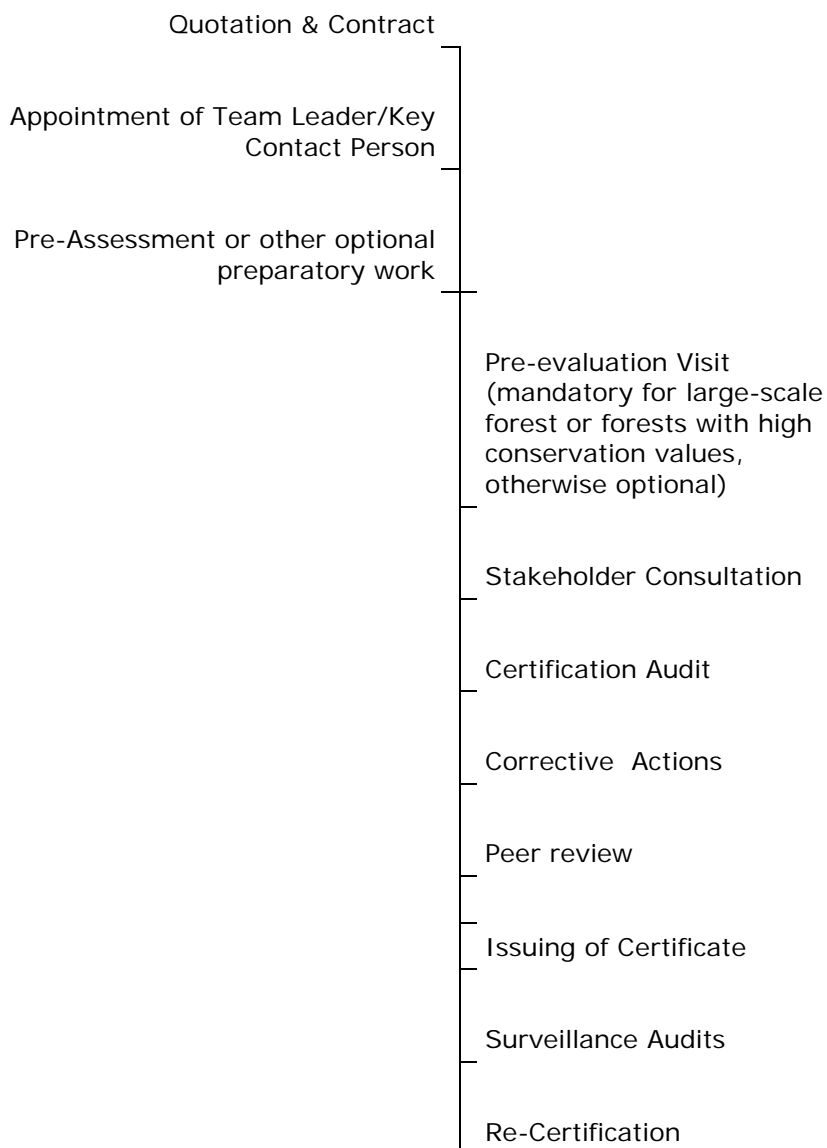




FSC FM Evaluation – process description

Forest Stewardship Council **Forest Management Evaluation** – process description



1. QUOTATION & CONTRACT

To start the process, the applicant for FSC certification complete the form "Request for FSC CoC Quote" and send to DNV. After receipt of this information, DNV can give an estimate for the cost of certification. DNV will send the applicant a contract for FSC CoC Certification to sign.

2. APPOINTMENT OF TEAM LEADER / KEY CONTACT PERSON

A Team Leader is appointed and he / she will contact the client for the arrangement of the audit.

3. PRE-EVALUATION VISIT

The pre-evaluation visit is mandatory for large-scale forests and forests containing high-conservation value areas. Otherwise it is an optional service offered by DNV. It is often a one-day activity, where the auditor(s):

- Informs about the result of the document review.
- Reviews and discuss the requirements of the standard with the forest manager
- Verifies the scope – the definition of the customer's forest areas, products, activities, etc.
- Makes an analysis of the managers management system (if group or multiple)
- Reviews the level of implementation of the management system
- Issues non-compliances when discrepancies in the system are found
- Prepares for the Main Evaluation

3.1.1 Outcome of the Pre-evaluation visit

Auditor's comments on the:

- Documented management system, based on the applicable standards (i.e. if the documented material is sufficient to perform the Main Evaluation)
- Non-compliances (if any)
- Audit plan for the Main Evaluation

4. CERTIFICATION

4.1 Stakeholder consultation

The Lead Auditor will identify and contact stakeholders that are likely to have information relevant to the certification. The range and number of individuals and organisations to be contacted depends on the scale, intensity and complexity of the forest management's impacts.

4.2 Main Evaluation

At the Main Evaluation the Forest Management System of the manager/owner is reviewed, to secure that it covers all requirements of the applicable standards and is well implemented in the organisation.

High priority is given to the "usefulness of the management system in the organisation". Therefore DNV focuses more on the preventive actions and improvements, to facilitate this and to secure the credibility of the certificate.

The evaluation is performed on randomly selected samples that involve review and verification of documents and activities related to the relevant management system. As

and when required, the personnel involved in these activities are interviewed on site. During the evaluation, the company is informed on the progress of the evaluation, inclusive of any non-compliance, if identified.

After the audit, a report is produced, highlighting the non-compliances found within the management system and recommendations for further improvements.

4.3 Non-compliances (NCs) and corrective actions

There are two levels of non-compliances (NCs): Major (Category 1) and Minor (Category 2).

A non-compliance is considered major if there is a doubt whether products meet the requirements for FSC labelling or where there is a clear risk of this happening.

A non-compliance may be considered minor if it is a temporary lapse that does not result in a risk that products fail to the requirements for FSC labelling.

After the main evaluation, the client analyses the non-compliances, identifies corrective actions and prepare a schedule to perform them.

4.4 Peer review

The certification reports will, before they are finalized be sent to the client for comments and to one or two competent persons for peer review.

The lead auditor will evaluate the comments from the peer reviewer and, if descided so, adjust the report or complement the audit.

4.5 Issuing the certificate

When the status of non-compliances has been agreed by the client and the auditor(s), an independent, technical review of the evaluation work and reports is made internally by the Certification Decision Entity.

If there are no NCs a certificate is issued. If there are only minor NCs, a certificate will be issued based on that corrective actions will be taken within a specified time frame. If there are major NCs, no certificate will be issued until these are corrected.

The validity of the certificate is 5 years.

After receipt of the certificate, it is possible to apply for use of FSC trademarks to your certified products.

5. SURVEILLANCE

5.1 Surveillance audits

Surveillance audits will be made at least annually. DNV prepares a plan for the surveillance visits. If the company has outsourced part of the working process, the surveillance audit must include a physical inspection of a sample of contractors included in the scope of the company´s certificate.

The audit is performed in a similar way as the initial main evaluation and a report, including non-compliances found, is presented to the client.

If minor NCs are not corrected within agreed time frame, they will be upgraded to a major NC. If major NCs are not satisfactorily corrected, the certificate will be withdrawn.

5.2 Re-evaluation

According to FSC's regulations, the whole system must be evaluated towards the standard requirements at least once in a five-year period. This means that the ordinary surveillance visit is increased by relevant number of man-days to include all clauses of the relevant standards.

The auditor re-verifies the scope of the certification and the whole forest management system is evaluated.

A new certificate will not be issued prior to closure of major NC's.

5.3 Withdrawal of certificate

If the requirements of the standard are not complied with, the certificate may be withdrawn. As a result of this no promoting/marketing materials that make use of DNV's and FSC's name, logo, certification mark or trademark will any longer be used. The certificate must be returned to DNV.

6. UNSCHEDULED AUDITS

Applicable only when there are:

6.1 Major changes in the Management System

The client is required to inform DNV of any major changes to the management system after issuance of certificate.

6.2 Change in the scope of certificate

If the client wishes to change the scope of certificate, the request need to be presented prior to scheduled surveillance/certification evaluation. DNV shall then decide if the request can be handled during the surveillance/certification evaluation and if not, an extra visit shall be arranged.

6.3 Complaints/serious deviations reported on the certified management system

If there is reason to believe that the Management System is not maintained in a correct way, e.g. at complaints or serious discrepancies, an extra audit shall be arranged