

FSC TEMPLATE

PROPOSAL FOR THE TRANSFER OF FOREST STEWARDSHIP STANDARDS TO THE REVISED P&C FSC-STD-01-001 V5

FSC-TPT-60-007 (VERSION 2-1) EN

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PROPOSAL FOR THE TRANSFER OF APPROVED FOREST
STEWARDSHIP STANDARDS TO THE REVISED P&C
FSC-STD-01-001 V5

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Approved 15 August 2012
FSC Policy and Standards Unit

Foreword

The purpose of this template is to support the development of a proposal and work plan for transferring Forest Stewardship Standards to the revised Principles and Criteria (FSC-STD-01-001 V5). It also serves as a communications tool to inform stakeholders of the transfer process being proposed and to gather input and support for this process.

This template is divided into two parts:

PART I request general information related to the standards transfer process. **Irrespective of when you plan to begin the standard transfer, it is requested that you submit Part I to FSC by 31 October 2012.** This will allow FSC to know how you plan to implement the standards transfer, how to engage with you in the development of the International Generic Indicators (IGIs), and how to best provide you with support as you implement the transfer.

PART II requests more detailed information related to the transfer process, including a time-bound workplan and budget, contact information for the Standards Development Group and the Consultative Forum, the use of Technical Experts, and the communications plan. Once completed, Part II shall be submitted to FSC to approve the plan for an FSC Forest Stewardship Standard entered for the transfer process.

NOTE: It is important that the intended transfer process is registered with FSC prior to beginning the process; if a standard is not registered for transfer then it may be replaced by the International Generic Indicators once developed and any current national indicators will then be lost.

Please send both PART I and PART II, either in two parts or as one completed template to FSC's Policy and Standards Unit:

Gordian Fanzo, FSC Policy Manager for National Standards: g.fanzo@fsc.org

PART I: GENERAL INFORMATION

Please fill out this PART and submit it to FSC by 31 October 2012.

1. Background

Proposal to transfer the FSC Forest Stewardship Standard in the United States to the revised P&C (V5-0).

1.1 This proposal is submitted by:

Name: Gary Dodge

Position: Director of Science and Certification

Address: 212 3rd Avenue North Suite XXX, Minneapolis, MN 55401

Telephone: 1-530-621-3249

Email: g.dodge@us.fsc.org

1.2 Please state the name and position of the person who will manage the transfer process, if different from above:

1.3 Please state the name and approval date of the standard(s) which you propose to transfer to the revised P&C (V5-0): FSC US Forest Management Standard v1.0 complete with Family Forest Indicators approved July 8 2010.

2. Description of the type of transfer that will be undertaken

Below are four general options for transferring approved forest stewardship standards to the revised P&C. Please select the one you will generally follow and provide a detailed description of how you plan to undergo the transfer process. *Note that the National Standards Development Group in your country is highly encouraged to actively participate in the consultation on the FSC International Generic Indicators.*

Option A. Basic Model:

For recently approved national standards

- Transfer of existing indicators to the revised P&C, as appropriate, plus adoption of the FSC IGIs to fill identified gaps.

Option B. Advanced Model:

For approved national standards in need of some specific revisions, identified through a review of the standard

- Transfer of existing indicators to the revised P&C, as appropriate, plus adoption of the FSC IGIs to fill identified gaps.
- Revision of specific indicators identified by the Standards Development Group as needing additional work.

Option C. Super Advanced Model:

Only to be applied in countries where approved national forest stewardship standards do not exist or exist but with limited scope, and where there is extensive experience in FSC certification

- Harmonization of existing CB Standards with any advanced draft national standards or approved standards with limited scope (e.g. SLIMF only, plantations only, etc.) (Motion #25 GA 2011).
- Transfer of existing indicators to the revised P&C, as appropriate, plus adoption of the FSC IGIs to fill identified gaps and for specific indicators needing revision.
- Revision of specific indicators identified by the Standards Development Group as needing additional work.

All transferred standards need to be approved by FSC IC before they can be put to practice.

Additional comments:

3. Timetable

Please fill out the below general timetable based on the type of transfer being planned and the expected initiation date. This is not intended to be the workplan for your standards transfer, but rather a basic overview of your transfer schedule, how it aligns with the IGI development process, and general steps you plan to implement. To best align the standards transfer process with the development of the FSC International Generic Indicators (IGIs), the below table provides the dates and key activities related to the IGI process and the regional outreach being planned.

Please also consider the following in your planning:

- Irrespective of the type of transfer option that is chosen, FSC highly encourages all Network Partners/SDGs to do a gap analysis of their standards to the revised P&C early in the IGI development process and to provide input on each draft of the IGIs with respect to the standards.
- All transfer processes are required to follow similar procedures as with standards revisions/development, including the use of a Standards Development Group and stakeholder consultation.
- More extensive revision or development (rather than a basic transfer) will require greater resources, such as extensive work by the Standards Development Group, extensive stakeholder consultation, field testing, etc. in order to finish within the transfer period. Please discuss any proposals for revision with the FSC IC National Standards Manager.

Provisional Dates	IGI Development Schedule	Activities for regional representatives, network partners/SDGs	Suggested actions according to the option chosen
10-14 July 2012	First IGI Group meeting to launch process and work on Draft Zero	Regional representative participation in meeting and discussions on how to engage Network Partners/SDGs in the process	Step 1: SUPER ADVANCED MODEL ONLY Conduct harmonization of national draft standards and CB adapted standards; to include 1 month public consultation of the harmonized standard.
mid August 2012 – mid September 2012	Results of first IGI Group meeting available (Draft 0.2)	<ul style="list-style-type: none"> • Outreach to Network Partners/SDGs to share results of first IGI meeting and gather input for second meeting • Network Partners/SDGs conduct gap analysis and assess feasibility of IGIs for their standards. 	
3-5 October	Second IGI Group meeting to prepare Draft 1.0 for public consultation	Regional representatives share input provided by Network Partners/SDGs	
November 2012	IGI Group to work on Draft 1.0	<ul style="list-style-type: none"> • Plan regional workshops 	Step 2: ALL MODELS Identify major gaps between existing approved Indicators and the revised P&C V5-0 using the FSC Transfer Matrix.
Nov 2012 – Jan 2013	First formal Public Consultation period	<ul style="list-style-type: none"> • First set of regional workshops for regional representatives, Network Partners/SDGs, FSC staff <ul style="list-style-type: none"> • Work on filling gaps with draft IGIs • Input gathered for the next draft of 	Step 3: ALL MODELS Regional/National Workshop and Consultation on IGIs to focus on major gaps identified in the Transfer Matrix.

		<p>the IGIs based on above bullet</p> <ul style="list-style-type: none"> • Network Partners/SDGs do outreach to national-level stakeholders • For Network Partners/SDGs conducting a parallel process of transferring their standard as draft IGIs are available, this is when a national level consultation on the draft standard might occur 	<p>Step 4: ALL MODELS SDG meet and report back to IGI Working Group on National consultation on IGIs, by using the Transfer Matrix. SDG to send to PSU draft standard with identified gaps.</p>
12-15 March 2013	Third IGI Group meeting to review comments		
End march- end April 2013	Results of second IGI Group meeting available	Outreach to Network Partners/SDGs to share results of second meeting and gather input for next draft of the IGIs	Step 5: ALL MODELS Incorporate revised IGIs from IGI Working Group.
May – July 2013	Second formal Public Consultation period	<ul style="list-style-type: none"> • Second regional workshop in each region • Continued work at national-level on tracking IGIs in the standards and consultation • For Network Partners/SDGs conducting a parallel process of transferring their standard as draft IGIs are available, this is when a national level consultation on the draft standard might occur 	Step 6: ALL MODELS Conduct 2 nd National/Regional Consultation and Workshop. SDG meet and report back to IGI Working Group on National consultation on IGIs.
Sept/Nov 2013	Third IGI Group meeting to develop final draft of the IGIs for Board approval	Final draft of the IGIs are available after this meeting	
March 2014	Approval of the IGIs by the FSC Board	Approved IGIs are available	
Dec 2014, with extensions as necessary	National and CB interim standards transferred to revised P&C	<ul style="list-style-type: none"> • Finalize standards transfer; send to FSC for approval • FSC to lead on transfer of CB interim standards to IGIs with adaptation as necessary. 	Step 8: ALL MODELS Following approval of the IGIs, incorporation of approved IGI's with any permitted national/regional differences into a final version of the standard and submits to FSC for approval.

4. What is the estimated budget for the transfer? What are your funding sources and funding needs?

We have not yet begun the process of reviewing the standard. In 2010 the review and revision of the standard cost approximately \$250,000. We don't anticipate that this revision will cost as much. The estimated budget is as follows:

- Review of current standard (paid consultant): \$40,000
- Host two regional meetings for standards committee and IGIs: \$20,000
- Host two regional meetings for proposed revisions to existing indicators: \$20,000
- Host two standards committee meeting for draft and final approval \$10,000
- Facilitation for regional meetings for proposed revisions: \$10,000
- FSC US staff time for review, Gap assessment, regional meetings, and internal standards revision: \$50,000

Estimated total: \$150,000

As noted, we have not identified any funding sources for this project as of yet.

PART II: DETAILED PLANNING

Please submit this PART of the template once you have defined the details of the transfer process. Note that similar to standards development/revision, the transfer process requires a Coordinator and Chair, a chamber-balanced Standards Development Group, a Consultative Forum, a Communications Plan and stakeholder consultation.

5. Workplan

Using the timetable provided in Number 3 above, please provide a detailed workplan of the tasks, activities and dates for the standards transfer.

You may submit a workplan using a different format as long as you include all the information in the below table. If you do so, then please attach your workplan to this template.

Task	Specific activities	Estimated start/end date
Participate with and support regional representatives in IGI group	<ul style="list-style-type: none"> - input into drafts of IGIs - provide input into function and use of IGIs in regional standards - support/lead network calls to consult 	July –Oct 2012
Conduct gap assessment:	Identify major and minor gaps between existing approved Indicators and the revised P&C V5-0 using the FSC Transfer Matrix.	November 2012, or following initial publication of draft IGIs. Whichever is later.
Host North American workshop with Standards Committee from US and Canada.	Purposes of the meeting will include: <ol style="list-style-type: none"> 1. Provide feedback on draft IGIs. 2. Discuss gap assessment and potential drafting of IGIs for identified gaps. 	Target February 2012, or later. The meeting will coincide with the latter part of the first public consultation period.
Report to IGI Working Group on National consultation on IGIs, by using the Transfer Matrix.	Report to Working Group an PSU with identified gaps from assessment and potential use of IGIs in identified gaps. Feedback will include text of IGIs and function of IGIs	February 2012, or later. This will be subsequent to the North American workshop.
Support NA regional representatives with comment analysis	Support NA regional representatives with analysis of comments received in review period.	Prior to 12-15 March, 2013
Review and report on potential for incorporation of revised IGIs from IGI Working Group.	Provide feedback to NA regional representatives.	March 2013, subsequent to IGI meeting.

Task	Specific activities	Estimated start/end date
Host national or North American consultation and workshop with Standards Committee.	Purposes include to: <ol style="list-style-type: none"> 1. Provide feedback to WG on utility and function of draft IGIs. 2. Provide draft of standard to PSU. 	Target May-July, 2013. This meeting will coincide with the second public consultation period.
Finalize IGIs	Support finalization of IGIs <ol style="list-style-type: none"> 1. Provide support to Regional representatives 2. Host NO discussion calls 	Target: November 2013
Initiate internal review of FSC US FM standard	<ol style="list-style-type: none"> 1. Develop draft FSC US FM standard with final IGIs added where gaps have been identified – with permitted national differences. 2. Host FSC US standards committee meeting to review draft standard and consider revisions apart from IGI process. 3. Engage contractor for FSC US FM standard review process 	Target: January 2014. Initiation of this phase is dependent on the finalization of the IGIs.
FSC US FM Standard Review/Revision	<ol style="list-style-type: none"> 1. Identify target areas for FSC US FM standard review/revision through targeted outreach and review 2. Select revision areas through standards committee engagement. 3. Develop draft indicators 4. First public consultation (60 days) 5. Host two regional meetings for public consultation of draft standard 6. Incorporate comments 7. Second public consultation (30 days) 8. Host standards committee meeting for formal approval of draft standard 	Jan- Nov, 2014
Submit Draft to FSC-IC for final approval		Dec 2014, or one year after the final approval of IGIs.

6. Funding and resources available, and/or potential sources of funding:

Resources needed	Source	Amount	Confirmed?
Financing	undetermined	\$150,000	

Resources needed	Source	Amount	Confirmed?

7. Coordinator and Chair

Please specify who will Coordinate and who will Chair the transfer process. These roles may be fulfilled by one or more people, and should be determined based on the needs of the Standards Development Group.

Please put on the top of this list the individual who is responsible for project oversight (the "Coordinator"). It is expected that this will also be the main contact for the FSC Policy and Standards Unit.

Name	Role	Contact
Gary Dodge	Coordinate	g.dodge@us.fsc.org
FSC US standards committee	Chair/approval body	g.dodge@us.fsc.org

8. Standards Development Group

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 a minimum of two representatives in each chamber, and equal number of people (or equal weighting) in each chamber. Decisions are made by consensus, defined as general agreement in favor of a proposal, plus the absence of a sustained objection to the proposal

8.1 Please provide the below information on the Standards Development Group. The resume should give brief details of their background and knowledge of the FSC system.

Environmental	Economic	Social
1) Name: Fran Price	1) Name: Mike Jani	1) Name: Bill Wilkinson
Organization: TNC	Organization: Mendocino Redwood Company	Organization: BBW Associates

Environmental	Economic	Social
Resume: FSC US Board Co-chair. TNC Director of Certification Programs and FM certificate manager. FSC US standards committee.	Resume: FSC US Board Co-chair. Mendocino Redwood Company Chief Forester. FSC US standards committee.	Resume: FSC US Board member. Forester. Consultant to indigenous groups and community forestry groups. FSC US standards committee
2) Name: John Gunn	2) Name: John McNulty	2) Name: Mike Debonis
Organization: Manomet Center for Conservation Sciences	Organization: Seven Islands Land Company	Organization: Forest Guild
Resume: FSC US Board Member. Senior Scientist at Manomet. FSC US standards committee.	Resume: FSC US Board Member. Forester. President and CEO of Seven Islands Land Co. FSC US standards committee.	Resume: FSC US Board member. Community forestry specialist. President and Executive Director of the Forest Guild. FSC US standards committee.

8.2 Please provide the working Language(s) of the Standards Development Group:

English

9. Technical Experts

The Coordinator may appoint technical experts to participate in Standards Development Group discussions. These technical experts shall have voice in discussions but no formal role in its decision-making processes. Experts may also be needed to explore specific issues as they arise in deliberations by the Standards Development Group.

Please list below all the experts that will be included in the process. *Note: It is not expected that technical experts will be needed for a basic transfer of standards to the revised P&C.*

We do not yet have a list of technical experts due to the fact that we don't yet have an idea of the nature of the IGIs and the items we will cover in the transition/revision phase. We will engage technical experts as needed starting in January 2014 following approval of the IGIs and the initiation of our standards revision process.

10. Consultative Forum

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 outcome of 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.

Please list the Consultative Forum on the below table. 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	Numerous FM certificate managers (state agencies, TIMOs, REITs, and large private forest owners.)	Multiple	Historic engagement in FSC processes associated with standards development and controlled wood.
Owners/managers of small forests	Numerous group FM certificate managers including state agencies, consulting foresters, and other group managers	Multiple	(see above)
Owners/managers of operations where there is a low intensity of timber harvesting	Numerous managers of public forests and small holders where harvest is much less than growth.	Multiple	(see above)
Forest contractors	Numerous.	Multiple	(see above)
Timber producers associations	Numerous members of the associations capable of representing association perspectives.	Multiple	(see above)
b) Social interests of:			
Forest workers	Forest Guild, Forest Workers Alliance, Logger groups, state employees, etc.	Multiple	(see above)
Indigenous Peoples	Intertribal timber council, Great Lakes Indian Fish and Wildlife Commission, numerous tribes directly involved with forest management.	Multiple	(see above)

Interest	Organization/Individual	Contact details	Evidence of support for the process?
Local communities	Consulting foresters, engaged community groups, state agencies.	Multiple	(see above)
Forest recreation	Forest activist groups, state agencies, large forest managers (TIMOs, REITs, Private)	Multiple	(see above)
Consumers	Consumer groups from marketing studies, engaged stakeholders.	Multiple	(see above)
c) Environmental interests relating to:			
Biological diversity	Numerous ENGOs at national and regional level.	Multiple	(see above)
Water	Numerous ENGOs at national and regional level.	Multiple	(see above)
Soils	Forest soil specialists, state agencies.	Multiple	(see above)
Ecosystems and Landscapes	Numerous ENGOs at national and regional level.	Multiple	(see above)

11. Communications Plan

FSC US has engaged in multiple stakeholder outreaches for various standards and policy projects including a standard revision in 2010, and Controlled Wood NRA development in 2012. Communications will include:

- Newsletter reports

- Email broadcasts to members and other stakeholders
- Targetted outreach to subject-matter experts
- Public consultation periods
- Two regional meetings for stakeholder engagement.

12. Other elements of the transfer process under the responsibility of the Coordinator

12.1 Complaints and disputes

Complaints/disputes related to the content of the approved standard shall be responded to by the Coordinator, 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/disputes related to procedural issues shall be responded to initially by the Coordinator. If the complainant is not satisfied with the explanation provided by the Coordinator, the complaint /dispute shall be addressed through the FSC Dispute Resolution process.

12.2 Record keeping

The Coordinator is responsible for maintaining the following records:

- a) Approved proposal to transfer 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 transfer;
- 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; 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