



Forest Stewardship Council®



FSC® Monitoring & Evaluating System

Public Report
April 2015

The Forest Stewardship Council® (FSC®) Monitoring & Evaluation (M&E) System Report was developed, documented, and implemented in accordance with the ***ISEAL Code of Good Practice for Assessing the Impacts of Social and Environmental Standards Systems*** (*ISEAL Impact Code*).

In the process of the evaluation of the FSC M&E System conformity with the *ISEAL Impact Code*, this document was revised to respond to ISEAL and other stakeholders' input, which led to an update in June 2014, and the publishing of this version in July 2015.

Please note, the numbers in brackets in the headlines refer to the system requirements specified in the *ISEAL Code of Good Practice for Assessing the Impacts of Social and Environmental Standards Systems* (Version 2.0) and *Impact Code System Report Outline*.

Any questions regarding the FSC M&E System, or this report, can be directed to the FSC M&E Program Manager, Marion Karmann at m.karmann@fsc.org.

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1. Executive Summary

System elements

Continuous monitoring, evaluating and improvements take place at different levels of governance, and across different systems, within the FSC scheme, which begins with each FSC certified forest operation, as required by the FSC Principles and Criteria (FSC P&C) for forest stewardship. The main elements of, and sources of information for, the FSC M&E System include:

- a) Auditors of independent, accredited certification bodies that publicly report annually on the status and improvements of the approximately 1300 certified forest operations in 80 countries.
- b) The FSC database of certificates that tracks and reports on trends in different parts of the world, by different forest ownership models and forest ecosystems, and types of certified products on the market.
- c) A tri-annual General Assembly where voting members can identify weaknesses and bottlenecks with the FSC scheme, and motions, once implemented, are monitored.
- d) Working groups comprised of stakeholders and experts contribute to continuous improvement loops in FSC policies and standards.

Increasing insight into the impacts of the FSC scheme is a critical component for maintaining the credibility of the scheme and demonstrating results. Therefore, in addition to the mechanisms specified above, the FSC M&E System includes:

- e) The FSC M&E Program that systematically monitors and evaluates the impacts of FSC certification on forests, people, and forest management (i.e. developments in the conditions of certified forest management operations and of supply chain actors).

Changes and developments

Notable accomplishments include increased research cooperation on FSC impacts; confirmed compliance with the *ISEAL Code of Good Practice for Setting Social and Environmental Standards* (Standards-Setting Code); confirmed compliance with the ISEAL Impact Code in 2014; and increased staff capacity for the FSC M&E Program with the hiring of a Program Officer to support the Program Manager – a position that will remain throughout 2015.

Plans ahead

The M&E System will utilize the following three projects moving forward.

1. The Modular Approach Program (MAP): an initiative aimed at providing a structured path to achieve FSC certification by verifying defined steps, starting from the legal right to harvest to full FSC certification.
2. Electronic reporting: the development of a standardized electronic reporting format for forest management certification reports will improve efficiency and contribute towards more sophisticated analysis and improved data quality.
3. A public literature database: a literature database will list external, internal and commissioned research and other publications on FSC certification and its impacts.

2. Scope and Boundaries of the M&E System

At a global level, the FSC M&E Program monitors the effects of the FSC Theory of Change (FSC ToC), as well as other supporting strategies on: (1) FSC Forest Management certification, (2) FSC Chain of Custody certification, and (3) other sectors.

The FSC ToC outlines 12 intended impacts (see Annex 3) and their contribution to wider sustainability goals for the forest sector (see Annex 2), and the related impact pathways and supporting strategies (see Annex 1) required to achieve the FSC mission of promoting environmentally appropriate, socially beneficial, and economically viable management of the world's forests (see section 5).

The FSC governance system (i.e. stakeholder engagement such as the General Assembly), as well as interdependent systems (i.e. the FSC dispute resolution process), assures that unintended results of FSC certification are identified and brought to the notice of FSC, and the FSC M&E System will systematically address such unintended results depending on their relevance.

The FSC M&E Program supports independent researchers in their studies about the FSC scheme and considers their findings in the FSC M&E System report. The FSC M&E Program, in cooperation with other FSC programs, informs different stakeholder groups in a format appropriate for their needs.

Objectives

The core objectives of the FSC M&E System are:

- a) Provide FSC Senior Management and Board of Directors with the information needed for impact-oriented management.
- b) Provide relevant FSC stakeholders (FSC staff, FSC members and FSC expert panels, i.e. Standard Development Working Groups) with information to integrate lessons' learned from the FSC M&E System in the development of FSC policies, standards, and strategies.
- c) Incentivize other FSC stakeholders to promote responsible forest management, and actively engage in the FSC system.
- d) Communicate to all FSC stakeholders about on-the-ground outcomes and impacts of FSC certification.

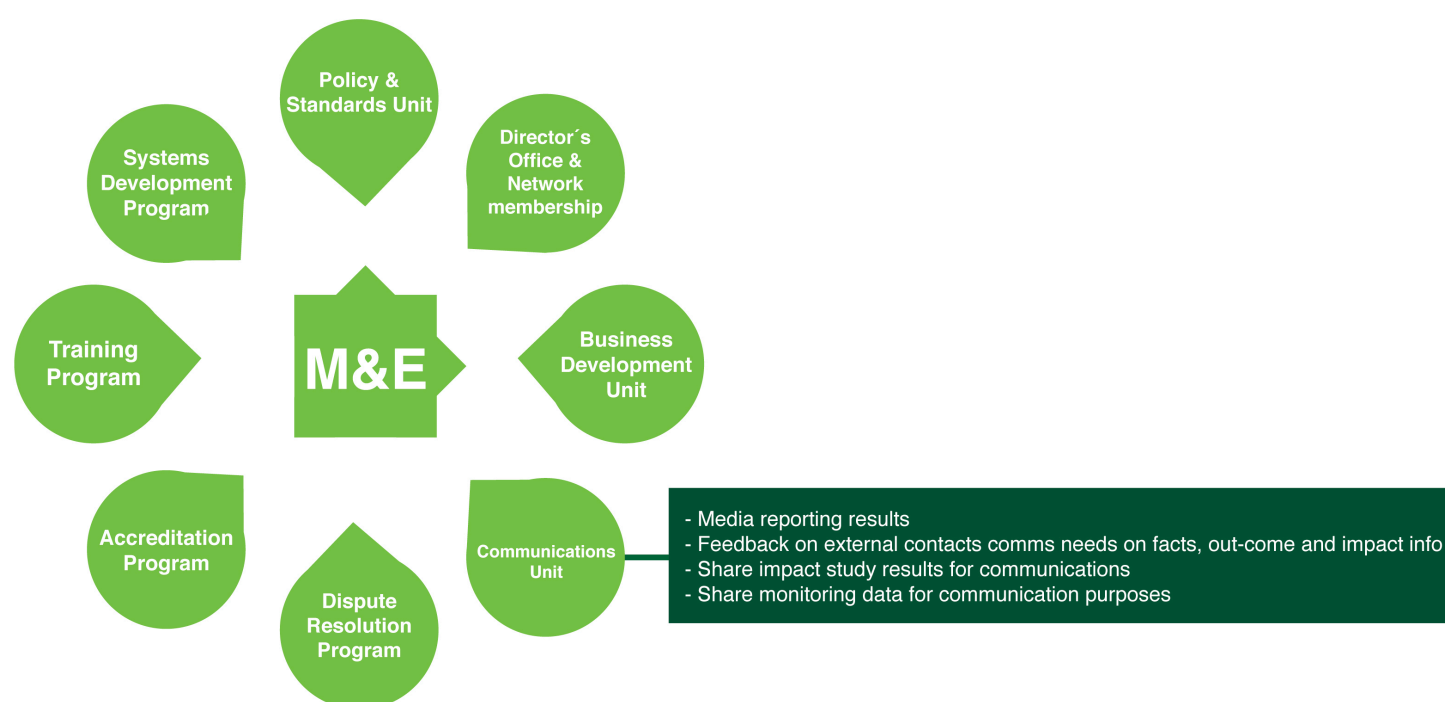
3. Roles and Responsibilities

The FSC M&E Program lies within the Quality Assurance Unit (QAU) of FSC International – closely connected to the FSC Senior Management and Board of Directors – and is implemented by the FSC M&E Program Manager, whose responsibilities include:

- a) Managing projects that evaluate data collected from different entities within FSC International.
- b) Reporting and analysis of FSC certification impacts in the various areas of interest to the FSC M&E Program, and to other FSC programs, units, accredited certification bodies, the FSC network, and independent researchers.
- c) Internal and public dissemination of information derived from the different M&E activities as described in the FSC M&E System objectives.

Table 1: FSC M&E program positions (status January 2015)

Role	FTE	Responsibilities
Director of QAU	0.1	Supervision of the M&E Program Manager
FSC M&E Program Manager	1	Implementation and management of the FSC M&E Program
FSC M&E Program Officer	0.5	Support to the different activities of the FSC M&E Program
Temporary student assistants	Irregular	Support with data collection



M&E

- Overall development and management of the M&E program (ToC etc.)
- Internal data collection, management and evaluation (performance, outcome and impact data)
- Collect and manage external impact data
- Liaison and networking with external researchers and inputting into on-going impact studies
- Focal point for assessing and responding to information needs of FSC entities and stakeholders
- Provide expertise to Electronic Reporting Format project
- Support to emerging FSC programs in set up of their M&E systems
- Reporting internally for management and organizational learning, provide data to working groups

Policy & Standards Unit

- Provide lessons learned about FSC impacts and related strengths and weaknesses with standard development entities
- Collaborating in generating and mainstreaming impacts in the MAP project
- Collaborating in generating and mainstreaming impacts in the ecosystems services program
- Lead role in revising standard, FSC-STD-20-007, specifying auditors reporting requirements
- Communication information needs to donors to M&E

Directors Office incl. network and membership

- Lead common understanding of FSC's ToC and intended impact throughout the organization
- Provide information on FSC membership development and GA attendance
- Reporting on the participation in consultations
- Provide information on FSC's global network of offices

Business Development Unit

- Lead on FSC Global Market Survey design, analysis and reporting
- Communicating information needs from companies to M&E
- Communicating FSC impacts to business stakeholders

Communications Unit

- External communication of impact data
- Collecting success stories and testimonials
- Managing photo and video library
- Communication impact info to the public

Dispute Resolution Program

- Provide updates on disputes and Policy for Association complaints

Accreditation Program

- Provide information on CB activities and ASI performance

Training Program

- Provide information on outreach of training measures

Systems Development Program (IT)

- Facilitating and monitoring data input by CBs derived from the different audits
- Provide data to M&E program for systemization and analysis
- Aligning reporting functions and tools with information needs of FSC management
- Support database improvement and data analysis
- Communicating information needs from external database users

4. Cooperation and Coordination

FSC and ISEAL

FSC is a founding member of the ISEAL Alliance, the global association for social and environmental standards systems, and, as such, had an instrumental role in developing the *ISEAL Impact Code* and the *ISEAL Credibility Principles*. FSC also collaborates with other members of the ISEAL Alliance on research projects measuring impact (i.e. *Demonstrating and Improving Poverty Impacts*). The FSC M&E program has provided evaluations of the FSC scheme in relation to ISEAL code compliances, including the *ISEAL Impact Code*, and FSC has passed all evaluations.

FSC and independent researchers

Research institutes worldwide evaluate ecological, social, economic, and political effects and limitations of forest management, including the impacts of forest management certification.

The M&E program engages with researchers from different disciplines, and supports them with their research to identify FSC system strengths and weaknesses; and intended and unintended effects and impacts. The FSC M&E Program Manager is an active member and office holder in the International Union of Forest Research Organization (IUFRO), and often attends international events to seek out new research contacts, share new information about impact evaluation activities and findings, and generate general interest in FSC research (i.e. potential master thesis candidates).

FSC generally does not fund independent studies, nor does it have a final decision-making role about research design and publication. FSC is selective about research activities it does fund, and firm about what its role should be – as a commissioner of studies, or as a partner in research consortia.

Table 2: Research projects around FSC impacts

Cooperation Partner(s)	Project	Date(s)	Type of involvement
Alliance for <i>Beverage Cartons</i> and the Environment (ACE), and Bird Life International	Ecological Evaluation of National FSC Standards and outcomes on the ground	Published in 2013	Member of the steering committee
WWF and CIFOR	A research project to identify social impacts of FSC certification in the Congo Basin	Partly published 2013 - 2014	Member of the steering committee
WWF lead research on FSC Impact	Research focusing on economic and environmental benefits in different parts of the tropics and boreal forests	2014-2015	Member of the steering committee
FSC Sweden, Swedish universities and forest industries	Development of boreal forests advanced ecological indicators	To be published 2015 - 2016	Member of the steering committee
Helmholtz Alliance	Research focusing on Earth Observation tools to evaluate changes in forest cover and forest use	2013-2017	Research partner within the 'user group' steering committee
FSC's Transparent Forest project	Research focusing on Earth Observation tools to evaluate changes in forest cover and forest use	2013-2017	Commissioned by FSC
Research Consortium led by Wageningen University	Next generation governance arrangements for sustainable global value chains	2014-2017	Co-financing partner and member of the steering committee
Swiss Network for International Studies	The politics of informal governance	2014-2017	Co-financing partner and member of the steering committee
University of Texas, USA	The Chilean Forest Industry, FSC Certification and the Mapuche People	2014-2017	Commissioned and fully financed by FSC, and member of the steering committee

5. Defining Intended Change

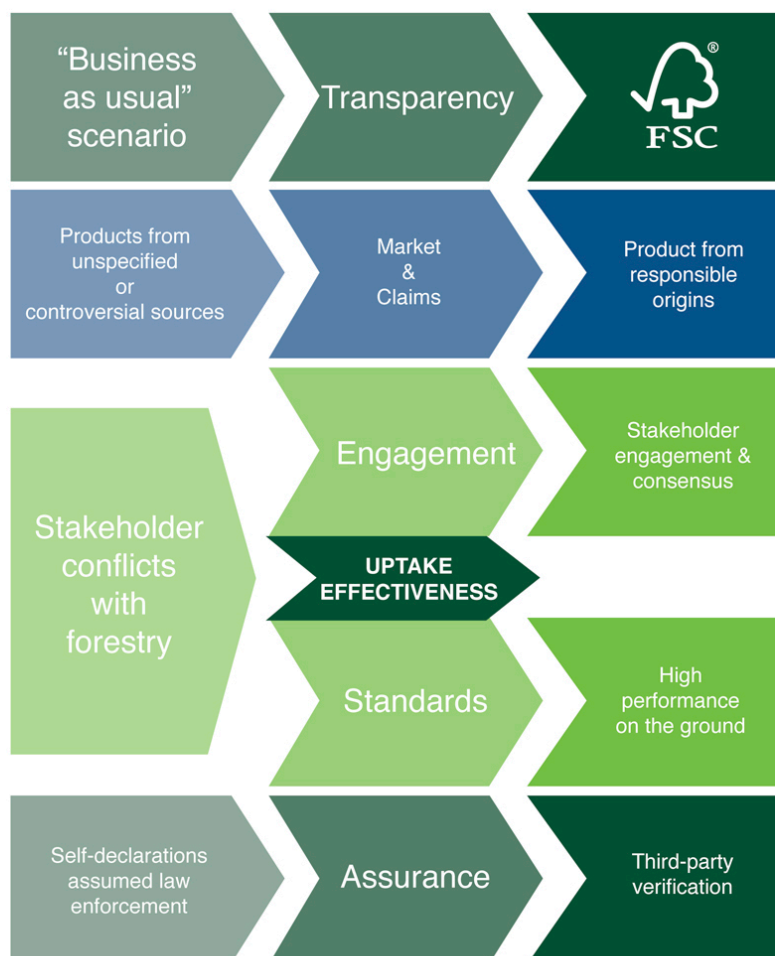
Social, environmental, and economic impacts

The FSC mission is to promote environmentally appropriate, socially beneficial, and economically viable management of the world's forests, through the FSC scheme. The FSC scheme credibly identifies well-managed forests as the source of responsibly produced wood products.

Based on strong stakeholder engagement, FSC developed a consensus-based set of global sustainable forest stewardship principles and criteria (FSC P&C) that strives to find solutions for conflicting interests in forests and forest management (compromises that are generally accepted as viable solutions).

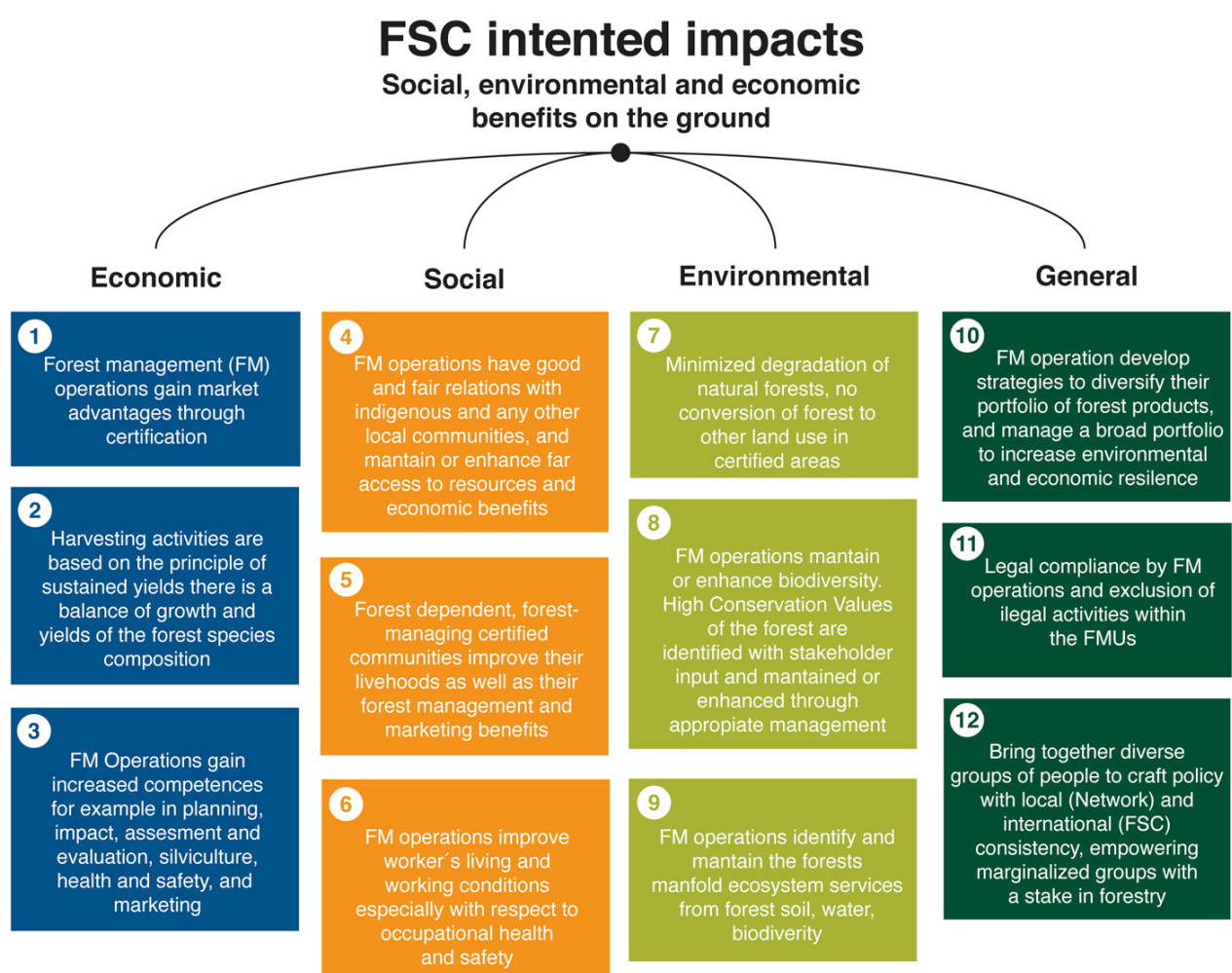
FSC encourages national multi-stakeholder initiatives to operationalize the FSC P&C by creating National Standards, with locally appropriate indicators. It also accredits independent bodies to audit forestry operations for compliance with these National Standards, and provide certification. Certification allows operations to use the FSC logo, and, thereby, gain market advantage over uncertified competitors.

ToC: Transformation through FSC Certification



FSC Theory of Change (ToC)

In order to measure and monitor to what extent FSC achieves its mission, FSC has specified (as part of the ToC) 12 intended impact areas, subdivided into four categories. For each of these impacts, indicators have been developed as a basis for monitoring and evaluation (see Annex 3). For more detailed information, please visit the [FSC's "Theory of Change," Intended Impacts and Related Indicators](#) web page. The 12 intended impacts are:



The pathways to impacts

The FSC ToC describes four mutually reinforcing impact pathways – stakeholder engagement, standard setting, quality assurance checks, and market development for FSC certified products – and a set of supporting strategies, that help FSC achieve its intended impacts (see Annex 1).

FSC developed its ToC (2013) in order to measure and track these impacts using specific indicators. The FSC ToC was finalized in consultation with staff, national offices, the Board of Directors, members, certificate holders, certification bodies, forest owners, researchers, and environmental NGOs.

These impact pathways, which incentivize responsible forest management, are more effective in reaching the intended impact when applied in combination with broader supportive instruments¹.

FSC also increasingly engages in establishing more, and stronger, business linkages between suppliers and buyers of forest products from responsible sources. Ultimately, it is the uptake of FSC certification by forest management operations that facilitates positive intended impacts on the ground.

Supporting strategies

FSC employs a set of supporting strategies to strengthen its impact pathways and increase the use of standard-compliant practices, including:

- a) **Advocacy:** FSC works on the political level (United Nations, European Union, U.S. government etc.), and in the public procurement sector, to make FSC more visible. FSC helps decision-makers to understand the opportunities offered by the FSC scheme, including the verification of legality of forest products' origins.
- b) **Network development:** FSC invests in the capacity and competencies of national offices that represent FSC in their respective countries, delivering professional services, and implementing strategies in their regions.
- c) **Institutional capacity building:** FSC invests in its own organizational capacity. For example, in a legal trademark system to protect the FSC logo use and brand value; in a key account management program to engage market leaders; and in improving Accreditation Services International's capacities to monitor the performance of certification bodies.

Apart from these supportive strategies, FSC offers other support tools, including those that provide easier access for smallholders to forest management certification. For some types of forest management operations, it is challenging to achieve FSC certification (difficult socio-political settings, lack of forest management and marketing skills, financial constraints, lack of awareness of FSC options, etc.). A number of programs have been developed to respond to these challenges, and to increase the intended impacts of FSC certification. The programs also aim to increase certified material in the market to allow consumers to choose products from responsibly managed origins. Programs include:

¹ Supportive instruments can include reasonable forest laws, human rights laws, forest law enforcement and governance mechanisms, corruption control, procurement policies, local processing, and access and benefit sharing mechanisms.

- a) The [Smallholder Support Program \(SSP\)](#) that includes the [Smallholder Fund](#), tailored policies, and training programs.
- b) The [Modular Approach Program \(MAP\)](#) to tackle certification challenges step by step.
- c) The FairTrade / FSC dual certification project to allow price premiums to trickle down to the forest manager.
- d) Options for certification of community origin for better differentiation in the market.
- e) Options for forest contract workers to allow smallholders to delegate work responsibilities.
- f) Certification of Ecosystem Services ([ForCES](#) pilot project) to emphasize that forests offer more than just wood, and to facilitate access to additional funding for FSC certified forest managers.
- g) The FSC training program for better outreach and more professional learning about FSC, sustainability, and forest management issues.

Influencing factors

Sustainability issues that affect FSC intended impacts and outcomes vary depending on the geographical, geo-political, socio-economic, ecological, and other unique characteristics, of each certified operation.

Experiences gained from the FSC certification process, independent researchers' findings, and feedback from FSC stakeholders over the past 20 years, suggests that there are different clusters of influencing factors that affect the adoption of forest management certification and market uptake of certified products. These include:

Challenges for small- and/or low-intensity managed forests

- a) **Financial challenges:** Forest-based revenues are often small and not steady.
- b) **Forest management related activities:** Inventories, environmental and social impact assessments, harvesting, and marketing of timber are often outsourced. Therefore, some of the operational activities are not fully controlled by the certificate holder, as required by FSC. Record keeping, and the functioning of internal control systems, could provide relevant evidence for certification decisions, but this is less relevant for the daily practices in smaller forest management units.
- c) **Marketing skills and opportunities:** These are often not optimal and it becomes challenging to use the market advantage of being certified.

Challenges for forest companies in countries with difficult socio-political settings

- a) **Legal requirements:** In certain countries legality issues can conflict with FSC certification, such as the non-adoption of ILO conventions; the requirement to convert natural forests to more lucrative land use; unclear land-use planning and ownership; and usage rights which conflict with FSC requirements for long-term commitments to sustainable forest management.

In some countries, law enforcement is weak, and illegal practices are sometimes tolerated. In those countries, it can take years to get the preconditions for FSC certification in place.

- b) **Literacy levels:** The low literacy capabilities of people applying for certification can have a negative influence on the adoption levels of record keeping and the functioning of internal control systems.

Political influences/competition

- a) **Price competition:** Products from FSC certified forest management operations often compete with cheaper products from illegal sources.
- b) **Cost competition:** Forest owners and managers can choose whether, and for which, voluntary certification they apply. As FSC certification requires changes in management for most operations, higher direct, and indirect, certification costs can be expected than with a less stringent certification.

Challenges for mainstream markets

- a) **Low supply:** A lack of FSC certified material can cause bottlenecks.
- b) **Political opinion:** Supply and demand trends depend partly on political opinion makers and their interest in certification.

Unintended effects

In the last 20 years FSC has witnessed a number of unexpected and/or unintended effects. The FSC governance system encourages exchange between stakeholders – including membership – and FSC.

Consultations, debates during General Assemblies, and other events on national and international levels, allow stakeholders to identify, question, and discuss challenges, strengths, and weaknesses (including unintended effects) of the FSC scheme, and to work jointly to develop solutions. Many of these unintended effects have been raised by stakeholders through motions, workshops, chamber meetings, or other channels, to the FSC Board of Directors and FSC Secretariats. They have then been addressed by FSC through new, or revised, policies and standards, or support programs.

In addition, FSC has begun to systematically search for unintended effects, both negative and positive, through:

- a) Literature reviews, listing unintended effects encountered.
- b) Including research questions on unintended results in outcome and impact evaluation Terms of References.
- c) Raising awareness of unintended effects with the research community and FSC stakeholders.

Table 3: Examples of unintended effects

Unintended effect	How to monitor?	Follow-up
Sales of HCV areas before certification.	Can currently be assessed only through (MAP and targeted) surveys, and notices from external stakeholders. Based on these specific reports more in-depth case studies could be commissioned.	Feed information to relevant colleagues in the Policy and Standards Unit and National Standard development groups for consideration of adaptation of standards.
Satisfaction of certificate holders with controlled wood and FSC Mix instead of striving for forest management certification and FSC 100%.	FSC is investing in research to assess this issue.	Based on findings, the relevant parties could discuss how to shift incentives.
Stakeholder fatigue.	Assess quantity and quality of feedback from stakeholders in consultations.	Discuss with relevant consulting parties how to counteract this, optimize and coordinate timings of consultations etc.

6. Performance Monitoring

Data sources and collection

There are different entities within the FSC system involved in data collection, as outlined in the FSC M&E system indicators (see Annex 2). These categories include parameters, frequency of reporting, and sources of data.

Level 1: Data corresponding to different indicators are collected annually during forest management audits and generalized for certified forest management units globally.

Level 2: Other clusters and subsets of indicators are defined according to different factors including management types, regional conditions, size, and management tenure characteristics. Candidate forest management units for MAP will be monitored against a broader set of indicators than FSC forest management certificate holders, and monitoring data will be collected directly from the candidates through an audit.

Level 3: Specific cases require in-depth research, which will be conducted by independent researchers. In addition to reporting on the ToC indicators, findings about any other FSC-related impacts on forest management, related markets, and governance systems is compiled.

Baseline data

Pre-intervention data and information on forest management practices can be complicated to retrieve due to:

- a) Natural forest cycles after forest management intervention can take decades to establish, making assessments of biodiversity and degradation difficult.
- b) The sheer scale of a forest management operation can make long-term monitoring of large forest areas unfeasible.
- c) In many cases, forest operation managers begin preparing for certification (and learning from certified operations) before the forest certification process is formally initiated. In other – more unusual – cases, national legal requirements are revised, making certification easier. While such revisions are welcome, they mean that the FSC certification baseline (“adherence to legal requirements”) completely changes.
- d) For legal and confidentiality reasons some market-sensitive data cannot be disclosed. For example, auditors cannot enforce the requirement to provide information about previous ownership of the certified entities, or previous sizes of the operations, which would provide insight into levels of degradation or sales of HCV areas.

A distinction is made between the potential to collect baseline data for different types of forest management and different types of certificate holders. These distinctions include:

- Natural/plantation management;
- Tropical/boreal forest ecosystems;
- Low-intensity/high-intensity management;
- and different national legal requirements.

Each of these distinctions influences how data (i.e. occupational health and safety information) can be interpreted. The following is a list of different routes to acquiring FSC forest management certification and what each implies for gathering baseline data.

Already certified entities: Only few baseline data available; analyze Corrective Action Requests (CARs) as an indicator for assessing changes in forest management practices.

Applicants for certification in the MAP: Provisions made to collect baseline data within the development of the MAP.

Controlled wood suppliers applying for FSC forest management certification: Some baseline data in controlled wood assessments.

New applicants for full FSC forest management certification: Potential to collect baseline in future through inclusion of MAP-required baseline information.

In contrast to data at the forest and forest management operation level, baseline data at the level of the FSC system is available. It is outlined in the 2013 *FSC Monitoring and Evaluation Report* and will be considered in follow-up reports.

FSC public forest management certification reports and database

Public trust in FSC depends on the transparency of the FSC system. Public reporting about FSC-certified forest management operations contributes to this transparency. FSC established requirements for the qualifications of auditors assessing the compliance of forest management with FSC standards, and for the minimum content and structure of certification reports, and public summaries of these reports.

Reports for each certified forest management operation include information about how the forest operation had to be adjusted to meet FSC standards requirements. They are uploaded to the FSC certificate database (info.fsc.org), where they are available for public viewing for the lifetime of the certificate.

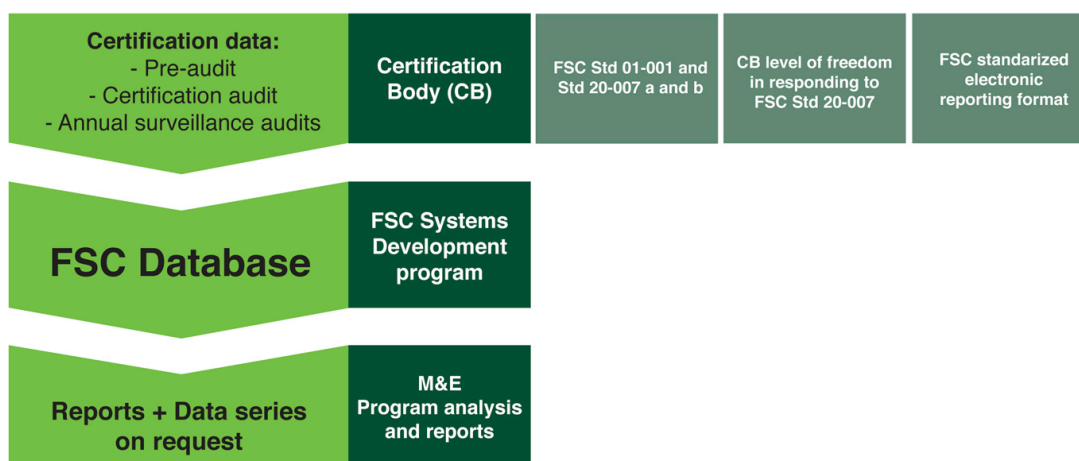
The FSC certificate database provides rich performance monitoring data that is used by the M&E Program, coupled with data derived from many other parts of the organization. The 2013 *Monitoring and Evaluation Report*, and the *Market info pack*, as well as many other FSC publications, make use of this information. Bi-weekly automatic reports are available to everyone within FSC containing key performance monitoring information – country, number and area of certified forest management operations, forest and management types, number and size of chain of custody certified operations, group members, legal status, ownership tenure, reasons for certificate terminations, etc. Additional automatic reporting templates can be created on request.

Indicators to monitor short and medium term outcomes (related to the 12 intended impacts)

To measure and monitor the extent to which each of the certified operations meet short/mid-term outcomes, and to what extent FSC achieves its vision and mission, FSC has specified indicators (as past of the ToC), for all 12 intended impact areas. These indicators serve as a basis for monitoring and evaluation. For the full overview of the intended impacts, explanatory notes and indicators, see Annex 2.

7. Data Management

Different units and programs in the FSC system are responsible for collecting and managing data relevant for FSC M&E (as outlined in Figure 1).



The FSC certificate database

Certification bodies input data from certified entities into the FSC certificate database, the main collection point for internal data from FSC certificate holders and certified entities. FSC has minimum reporting requirements (as outlined in *Forest evaluations standard* FSC STD-20-007a and b), and while these requirements allow certification bodies to use their own reporting format, it is now planned to standardize reporting styles through an electronic reporting format in the near future.

There are three different points at which certification bodies collect data from potential and actual FSC certificate holders:

Pre-audit: An audit is carried out to help applicants for certification prepare their application and assess what needs to be improved before the application proceeds. At this stage, there is no legal relationship between FSC and the applicant, which means that FSC cannot assess any potential baseline data or other information. The exception is for MAP candidates, and potential beneficiaries of the Smallholder Support Program, who have a contract with FSC.

Certification audit: This audit assesses actual compliance with the standard, and if the outcome is positive, certification is awarded. The certification audit is repeated every five years when certification is renewed.

Annual surveillance audits: Once certification is awarded, certificate holders are audited annually to assess compliance. This audit is less comprehensive than the certification audit.

After each of these audits, certification bodies enter a public summary report and additional data into the FSC certificate database that is managed by the FSC Systems Development Program. The FSC M&E Program collects the necessary data

from the bi-weekly certificate statistics published by the Systems Development Program, or requests data series as needed. The Systems Development Program is exploring feasibility of developing an online data portal that will allow the FSC M&E Program staff to directly query the database and access relevant data sets. After further refinement of the indicators more specific procedures and conditions for data management will be elaborated where deemed necessary.

Management of external outcome and impact data

- a) **Literature database:** At the end of 2014, the FSC M&E Program started developing a literature database that will list external, internal and commissioned research and other publications on FSC certification and its impacts. We are exploring the feasibility of making this database public in order to facilitate permanent access to FSC impact information. Currently FSC impact studies are kept on file and shared on request.
- b) **FSC internal evaluations:** Different FSC units and programs often commission evaluations on specific topics as input into policy development processes and working group activities (see section 3). In 2015, the FSC M&E Program aims to start collecting, listing, and where possible, facilitating the sharing of these evaluation results.
- c) **Data analysis and reporting:** The FSC M&E Program has access to data and reports, and compiles and evaluates them where relevant. The main reporting currently takes place through an annual FSC M&E report. The FSC M&E Program also supports external researchers and in-house research to access and understand data that are relevant for monitoring and evaluation. Findings from independent and contracted researchers related to FSC's impact are then published online.
- d) **Data confidentiality and disclosure of information:** Data collected from FSC certificate holders is safely stored in the FSC certificate database. Any data used in publications is aggregated to guarantee the anonymity of FSC certificate holders. In cases when data that are not publicly available are shared with external parties, for research or other purposes in support of the FSC mission, a confidentiality agreement is put in place².

Claims

The FSC M&E Program offers support to researchers publishing research related to FSC in order to ensure that information is factually correct. Specific attention is paid to the accurate reflection of the results of FSC certification, and to ensure that claims about outcome and impact are substantiated by data. Similarly, the FSC M&E Program actively offers to review internally produced publications on FSC impacts to ensure correct communication of claims by FSC staff. The Director of the FSC Communication Unit is assigned the responsibility to check FSC related claims made by FSC.

² FSC forest management and chain of custody certification has clear rules for reporting about certified operations while respecting the confidentiality of sensitive information. Certification bodies sign non-disclosure agreements with FSC, Accreditation Services International, and certificate holders. Details for reporting are laid out in [Forest management evaluation forest certification reports \(FSC STD 20-007a\)](#) and [Forest management evaluation public summary reports \(FSC STD 20-007b\)](#).

8. Outcome and impact evaluation

Currently, the FSC M&E Program does not commission or undertake outcome or impact evaluation studies. To assess outcomes and impacts of FSC certification, FSC relies on:

- a) increased interactions with the research community;
- b) involvement in steering committees of research projects on FSC outcomes and impacts conducted by third parties;
- c) and contributing financially, or in-kind, to research projects (only in rare cases, when the outcomes are relevant for FSC).

Since 2011, FSC has observed a growth of interest in analyzing the impacts of FSC certification amongst research consortia made up of research organizations and environmental NGOs. FSC supports these organizations by identifying relevant research questions and jointly developing indicators, providing baseline data, designing research layouts, support networking with relevant cases and informants, and giving feedback on concept notes.

A substantial number of FSC impacts cannot be measured only on the basis of performance monitoring data (as demonstrated in the ToC and indicators specified in Annex 3), and FSC will continue to engage with the research community to focus on impact areas that need further research and analysis. In future, FSC will consider commissioning impact studies, if there is not sufficient public academic interest.

Stakeholder engagement in the FSC M&E System and transparency

As a multi-stakeholder organization, FSC follows the directive of its chamber-balanced membership, and facilitates dialogue and agreement across its economic, social, and environmental chambers to develop forest management, and other socio-ecological standards. Members and stakeholders have opportunities to provide input at multiple and various stages of the standard development and review processes.

Ongoing consultation processes are announced and promoted through several channels (for members and the public) and on the [FSC consultation website](#). The participatory and consultative nature of standard development and review processes results in a strong sense of ownership in the FSC normative framework.

Transparency

As of 2013, FSC has published an annual M&E Report that outlines key performance monitoring data and summarizes the results of the key outcome and impact studies published in that year. The FSC M&E Program also offers [two factsheets](#) explaining the FSC M&E Program, as well as the FSC ToC.

In a dedicated section of the [FSC website](#), the FSC M&E Program provides an overview of the most relevant studies evaluating FSC impacts and outcomes, and is developing a literature database that aims to provide easy access to the most relevant research, to both internal and external stakeholders.

Due to slightly increased capacity, the FSC M&E Program and the FSC Communications Unit, aim to make the results of the FSC M&E System and FSC impacts more widely available and accessible to the public.

9. Improving the effectiveness of the M&E System

FSC is working on numerous projects to generate better data, including:

- a) Streamlining FSC M&E System requirements when designing new programs;
- b) Making the FSC certificate database data readily available online;
- c) Including indicators specified in the ToC in the database;
- d) Improving audit quality with additional training and electronic reporting.

FSC Modular Approach Program (MAP), Forest Certification for Ecosystem Services (ForCES), FSC Smallholder Support (SSP), and the FSC Training Program

With the implementation of MAP, ForCES, SSP, and the FSC Training Program, needs and opportunities for systematic monitoring and impact evaluation are greater than ever before. Indicators for evaluating the impact of FSC program activities have already been discussed by FSC staff and other stakeholders.

FSC MAP is a new approach to forest management certification to facilitate better adherence to the rigorous, and challenging, FSC certification requirements. MAP will elaborate the standard and reporting requirements by assessing a baseline in forest management operations prior to FSC certification system intervention; and including additional household-level information.

Electronic reporting format

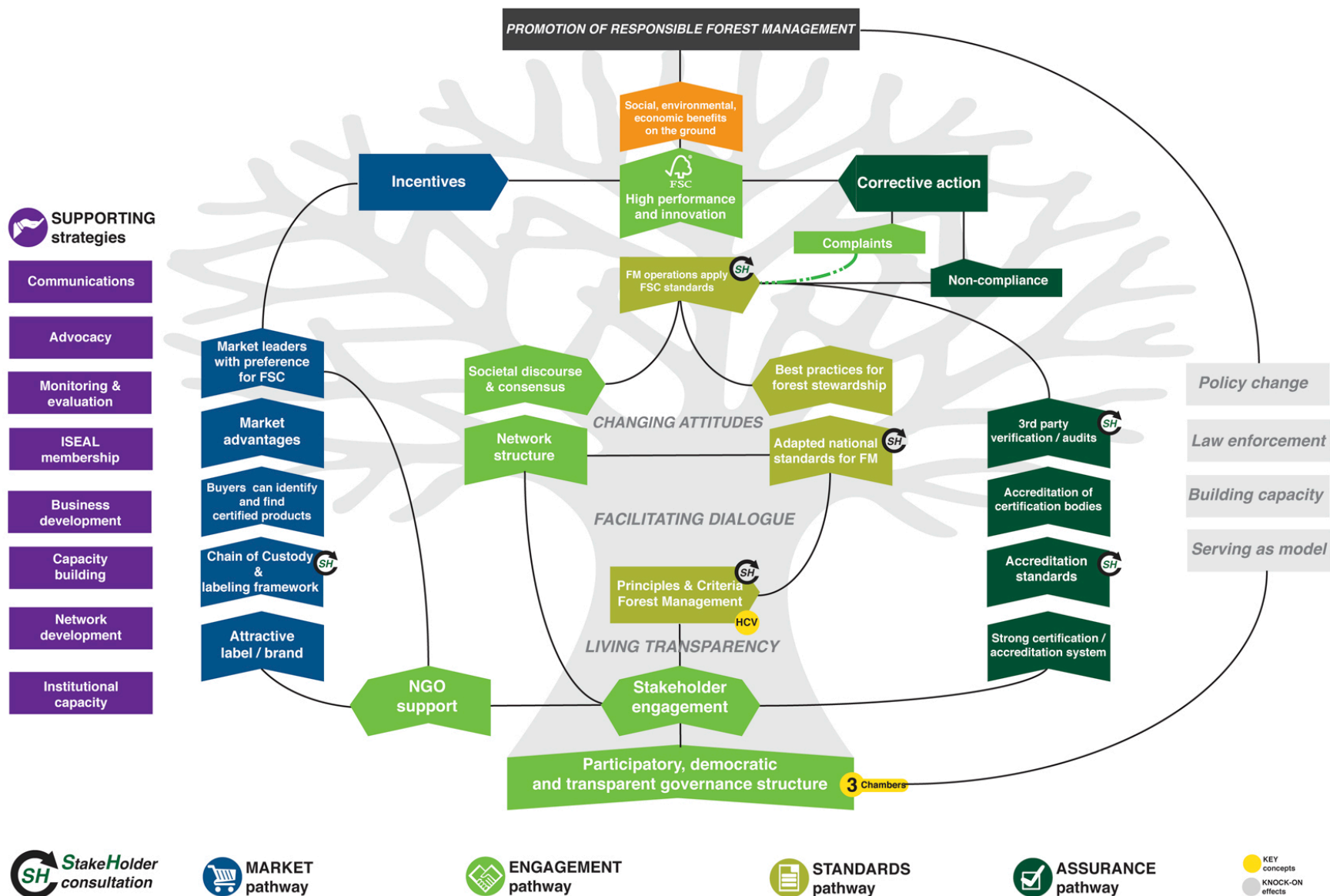
Currently, 12 FSC certification bodies use their own format for forest management certification reports. As a result, 1,260 forest management operations submit reports to info.fsc.org as PDF files, each of which must be retrieved individually. The development of a standardized electronic reporting format for forest management certification reports will improve efficiency and contribute to more sophisticated analysis and improved data quality.

The adoption of a new reporting format for certification bodies will require the revision of *Forest management evaluations* (FSC-STD-20-007). Programming changes to the database will also need to be made to include and support analysis of data in this new format.

10. Publicly Available Information about the M&E System

- *FSC monitoring and evaluation report: Contexts, figures, effects and impacts* (2013):
<https://ic.fsc.org/monitoring-evaluation-reports.694.htm>
- *Theory of change: FSC intended impacts and their contribution towards broader sustainability goals* (2014):
<https://ic.fsc.org/fsc-theory-of-change.657.htm>
- *FSC reflected in scientific and professional literature: Literature study on the outcomes and impacts of FSC certification* (2009) is based on the analysis of about 300 scientific papers and other sources:
[Literature study on the outcomes and impacts of FSC certification](#)
- Recent outcome and impact evaluations on FSC certification, and compilations of relevant internal data, are published on the FSC website:
<https://ic.fsc.org/monitoring-evaluation-reports.694.htm>
- Two factsheets providing a short introduction and overview of FSC's M&E system and its ToC are accessible through the website:
<https://ic.fsc.org/monitoring-and-evaluation.82.htm>

Annex 1. Graphic overview of the full FSC Theory of Change



Annex 2. FSC M&E System Indicators – Parameters, frequency of reporting and sources

FSC Intended impacts	Explanatory notes	Relevant broader sustainability goals (examples) ³	How FSC contributes to these goals	How we measure our outcomes and impact (proposed indicators)
ECONOMIC	To be sustainable, Forest Management (FM) must be economically viable, (environmentally appropriate and socially beneficial).			
1. Forest management operations gain market advantages through certification. Examples from FSC P&C for Forest Stewardship (Version 5): Principle 5 <i>See M&E report 2014, chapter</i>	Certification increases societal acceptance for the marketed forest products, the certificate provides greater market access, it can contribute to ensuring sustained demand for certified products, and as such to the long term viability of the operation.	VIII. Enhance economic benefits obtained from forests. FAO ⁴ suggest that benefits from trees, forests and forestry are increasing, widely recognized and appreciated. (...) . UNFF ⁵ 2 nd of 4 Global Objectives: Enhance forest-based economic, social and environmental benefits, including by improving the livelihoods of forest-dependent people. CIFOR ⁶ suggests that forest actors ⁷ have a reasonable share in the economic	The FSC product label and the instrument of Chain of Custody certification allow buyers and consumers to identify products from well managed forests and to give preference accordingly. Whether FSC certified products achieve price premiums is dependent on a number of factors, such as product type, wood species, supply situation, marketing skills, investment and opportunities, and market dynamics.	1a. Number and area of certified operations is growing in all climate zones, regions, for natural and plantation forests, for all ownership types and sizes of operations. <ul style="list-style-type: none"> - in all climate zones - regions - for natural and plantation forests - for all ownership structures and - size of operations. <ul style="list-style-type: none"> ➤ Number and area of certified operations; (split up by climate zone, region, natural or plantation forests, ownership structure and size of operations) ➤ Evaluation of trends from previous years compared to current numbers ➤ Analysis of feedback from FSC CoC holders about perceived benefits from being certified, satisfaction with certification and perceived relevance of certification in their industry.

³ The following „relevant broader sustainability goals“ are meant as examples, and quoted from public documents of other organizations:

⁴ From FAO Strategy for Forests and Forestry, 2010. Goal 2 of the Global Goals for Forests and Forestry. www.fao.org/docrep/012/al043e/al043e00.pdf

⁵ UNFF 2006 Four Global Objectives on Forests <http://www.un.org/esa/forests/about.html>

⁶ From CIFOR's generic list of Principles, Criteria and Indicators – Social C3.2, (1998) www.cdi.org.uk/resources/docs/1178.pdf

⁷ CIFOR probably has more the other forest actors (stakeholders), not only the forest managers in mind.

FSC Intended impacts	Explanatory notes	Relevant broader sustainability goals (examples) ³	How FSC contributes to these goals	How we measure our outcomes and impact (proposed indicators)
<i>"forest management".</i>		benefits derived from forest use.		1b. Number of recertified operations increases. <ul style="list-style-type: none"> ➤ Number and area of re-certified operations ➤ Evaluation of development over time ➤ Number of Controlled Wood license holder ➤ Aspirational indicator: Evaluation of reasons for recertification and for termination of certificates
2. Harvesting rates are brought into balance with forest productivity and species composition. C5.2 (P7 and P8)	The actual harvest is in balance with the growth rate, so that the natural species composition and future sustainable yields are not at risk.	II. Stop and revert forest degradation. CIFOR ⁸ requests that yield (and quality) of forest goods and services are sustainable. UNFF ⁹ 1 st of 4 Global Objectives: Reverse the loss of forest cover worldwide through sustainable forest management (SFM), including protection, restoration, afforestation and reforestation, and increase efforts to prevent forest	FSC certified FM operations develop, implement and periodically update long-term management plans to maintain or enhance the forest resources, defining and justifying annual harvesting rates in relation to legal requirements. Progress towards achievement of the management objectives is monitored and evaluated.	2a. (aspirational) The actual harvest of each species does not exceed allowable harvesting rates over defined timeframes. Analysis of the relations between the annual allowable harvest rates (AAC) as approved by the certification body and the legally prescribed (AAC), the forest management plan and the actual harvest rates (to be cross checked with annual sales) over the time of the certificate validity (so far desk/office study). An environmental impact assessment of the regeneration rate at selected sites, and comparisons with adequate long term representative sample sites will serve as counterfactual to evaluate the information gained from the desk/office study. ➤ Independent academic research (ecologists),

⁸ As (3) above, Production of Goods and Services - P6. Yield and Quality of Forest Goods and Services are Sustainable

⁹ UNFF 2006 Four Global Objectives on Forests <http://www.un.org/esa/forests/about.html>

FSC Intended impacts	Explanatory notes	Relevant broader sustainability goals (examples) ³	How FSC contributes to these goals	How we measure our outcomes and impact (proposed indicators)
		degradation. <u>UNFF</u> ¹⁰ supports all efforts that effectively slow, halt and reverse deforestation and forest degradation.	(See also comments under #6.)	collected in the FSC literature database ➤ Tentatively external experts in cooperation with FSC National Offices (commissioned).
3. Forest management operations gain increased competencies for example in planning, impact assessment and evaluation, silviculture, health and safety, and marketing. Principle 7 and 8 (impact assessments and evaluation requirements)	Capacity building is central to the quest for sustainable development (UNEP). Sustainable forest management is a very complex task which needs many skills. Building of relevant competencies and investing in capacities supports promotion of good forest management.	XI. Increased awareness of situation of forests and the relevance of responsible management and consumption. <u>UNEP</u> ¹¹ states “Over the past several years it has become clear that capacity building is central to the quest for sustainable development. [...] Capacity building has therefore become a core goal of technical assistance provided by the United Nations system.” The 3 rd Ministerial	FSC is expected to “Build capacity by learning from experience, not only for the standards system but also for enterprises and others involved in the standards system.” (FSC statutes, FSC non-profit status etc). FSC does build capacities of different constituencies, directly and indirectly. FM standard: Impact assessments and evaluation requirements in P7, P8, learning loops. CAR Analyses.	3a. Number and types of relevant policy documents and support tools. ➤ Number, types of FSC documents and tools aiming to increase competencies for example in planning, impact assessment and evaluation, silviculture, health and safety, and marketing. 3b. (aspirational) Number of participants which concluded FSC trainings and capacity building programs. ➤ Number of participants successfully completing FSC trainings on Forest Management ➤ Number of participants successfully completing other FSC trainings ➤ Aspirational: Number of FMU staff completing certification-related trainings provided by certified entities (as part of certificate compliance?) 3c. Number of users of the "FSC Market Place" and other related FSC tools.

¹⁰ From Rio 2012 Declaration „The future We Want“ Clause 193 www.un.org/disabilities/documents/rio20_outcome_document_complete.pdf

¹¹ http://www.unep.org/pdf/Capacity_building.pdf

FSC Intended impacts	Explanatory notes	Relevant broader sustainability goals (examples) ³	How FSC contributes to these goals	How we measure our outcomes and impact (proposed indicators)
See M&E report 2014, chapter "forest management" and "FSC Global market review".		Conference on the Protection of Forests in Europe ¹² emphasized that "The interaction between forestry and society in general, should be promoted through partnerships and be strengthened by raising general awareness of the concept of sustainable forest management and the role of forests and forestry in sustainable development. Therefore an adequate level of participation, education, public relations and transparency in forestry is needed. (...) Human resources development policies should (...) broaden the competence of forest owners and managers and forestry workforce in forest management, (...).	Support programs: Smallholder funds, training programs	<ul style="list-style-type: none"> ➤ Number of users of the "FSC Marketplace" and other related FSC tools like MAP training programs, logo use training etc. ➤ Aspirational: level of satisfaction by users of tools provided by FSC <p>3d. CAR analyses over the different economic, social, environmental criteria show lessons learned by forest management operations.</p> <ul style="list-style-type: none"> ➤ Number and criteria of CARs addressed per certified operation, per certification body, per country, per forest operation type. ➤ Analysis of patterns of distribution of CARs. ➤ Analysis of reasons for imbalances in patterns of CARs. ➤ Aspirational: Number of CARs implemented: Findings of auditors reflected in reports and CARs required to be implemented to improve FM trigger thinking of certified forest managers to improve FM to match FSC standard requirements. <p>3e. (aspirational) Level of awareness for sustainability issues in forest management increases. (to be evaluated in case studies esp. MAP)</p> <ul style="list-style-type: none"> ➤ Aspirational: Number of MAP participants showing increasing awareness levels of sustainability issues

¹² http://www.foresteurope.org/docs/MC/MC_lisbon_resolutionL1.pdf

FSC Intended impacts	Explanatory notes	Relevant broader sustainability goals (examples) ³	How FSC contributes to these goals	How we measure our outcomes and impact (proposed indicators)
				in forest management
SOCIAL	To be sustainable, FM must be socially beneficial, (economically viable and environmentally appropriate).			
4. Forest management operations have good and fair relations with indigenous and any other local communities, and maintain or enhance fair inter-generational access to resources & economic benefits. Spiritual and other cultural	(350) Millions of people depend on forests for their subsistence and income. Well-managed forests help create jobs, develop trade, and provide housing and other important resources for improving the lives of people. Poor forest management can undermine these options. Certification requirements can	VI. Improving the livelihoods of forest dependent people. X. Equitable access to forest resources XII. Spiritual and other cultural values and services of forests respected. Well-managed forests have the potential to reduce poverty, spur economic development and contribute to a healthy local and global environment. <u>UNFF</u> ¹³ reaffirms the necessity to promote, enhance and support more sustainable (...) forestry, (...) that improves food security,	FSC has a number of transparent mechanisms in place to allow stakeholders to raise concerns and forest managers to adequately address these concerns. This includes the respects for indigenous peoples' rights. Especially in countries with weak governance FM standards, compensation mechanism and related FPIC and stakeholder negotiation processes can require provision of support to social and economic development of	4+5a. (aspirational) Number / percentage of certified FMUs with evidence of conflict resolution cases without violence. ➤ Number of conflict resolution cases at FSC International and ASI level ➤ Aspirational: Number of conflict resolution cases raised in CARs ➤ Aspirational: number of such cases addressed at National Office / Certification Body level 4+5b. (aspirational) Number of people ¹⁵ obtaining an income through FSC is increasing. ➤ 4+5b: Number of group certificate members (Note: this does not inform about family members etc) ➤ 5b: Aspirational (MAP): Number of people from forest-dependent, forest-managing certified communities depending on income from certified / candidate operation.

¹³ As above (5), clause 111

FSC Intended impacts	Explanatory notes	Relevant broader sustainability goals (examples) ³	How FSC contributes to these goals	How we measure our outcomes and impact (proposed indicators)
<p>values of forests are identified and respected.</p> <p>P1, P3, P4, C5.4, P9 HCV 4-6 (P7 and P8)</p> <p><i>See M&E report 2014, chapter "quality of forest management".</i></p>	contribute to social and economic development of local communities.	<p>eradicates hunger (...).</p> <p>The <u>Global Forest Coalition</u> and with <u>IUCN</u>¹⁴ remind that indigenous people and local communities play an essential role in forest conservation and restoration. "When users are genuinely engaged in decisions regarding rules affecting their use, the likelihood of them following the rules and monitoring others is much greater than when an authority simply imposes rules."</p>	<p>local communities.</p> <p>FSC requires engagement with indigenous peoples and communities to identify sites which are of special cultural, (...) religious or spiritual significance, and that the management and/or protection of these sites shall be agreed through engagement with these stakeholders.</p>	<p>➤ 5b: Aspirational (MAP): Relation of income from sales of FSC certified products to other income prior to certification and to costs for certification. Important: Focussing on forest-depending, forest-managing, certified communities.</p> <p>4+5c. (aspirational) Number and quality of additional social services (FMU scope) delivered by FSC certified management.</p> <ul style="list-style-type: none"> ➤ The number and area of certified operations, where CARs related to legal issues do not exist ➤ The number and area of certified operations with solved CARs related to legal issues. ➤ Number (and area) of certified operations with unsolved / open CARs related to legal issues. (So far a subset of CAR analyses). ➤ Aspirational: Qualitative CAR analysis related to number of CARs addressing legal issues. ➤ Qualitative analysis of cases reported to FSC Dispute Resolution System. <p>4+5d. (aspirational) Access to forest resources and mechanisms for sharing benefits are perceived locally to be fair.</p> <ul style="list-style-type: none"> ➤ Aspirational: Analysis of stakeholder consultation feedback about related aspects.
<p>5. Forest-dependent, forest-managing certified communities improve their livelihoods as well as their forest management skills.</p> <p>P1, P3 and P4, C5.4, P9 HCV 4-6) (P7 and</p>				

¹⁵ Only for MAP: include total of people depending on people above.

¹⁴ From Global Forest Coalition, ICCA Consortium & CEESP: "The 'do's and don'ts' of supporting forest conservation and restoration initiatives by local communities and indigenous peoples" <http://globalforestcoalition.org/wp-content/uploads/2012/05/final-report-dos-and-donts.pdf>

FSC Intended impacts	Explanatory notes	Relevant broader sustainability goals (examples) ³	How FSC contributes to these goals	How we measure our outcomes and impact (proposed indicators)
P8) <i>See M&E report 2014, chapter "quality of forest management".</i>				4+5e. (aspirational) FM maintains or enhances fair access to resources and economic benefits. ➤ Aspirational: CAR Analysis of Principle 2, P3, P4 related issues, and of stakeholder consultation feedback about related aspects. (Exceptional case studies)
6. Forest management operations improve or ensure a minimum standard for workers' living and working conditions, especially with	United Nations International Labour Office (ILO) specifies forest work as a profession in which the accident rates has long been higher than in most other industrial sectors. There are	VI. Improving the livelihoods of forest dependent people. <u>UNECE</u> ¹⁶ calls the forest sector to (...) build up work-force, (...) significantly improving the OHS of workers. <u>BWI</u> ¹⁷ sees certification as a useful tool for unions in their struggles to improve the workers' living and working	FSC has clear requirements for FM to employ skilled workers, to provide relevant training, to apply OHS best practice for all working in the certified forest management operation, and to monitor implementation of these requirements and of	6a. (aspirational) Number of male / female forest workers (including contractors) ➤ Number of certified operations, number of workers reported per certified operations, by gender ➤ Aspirational: Relation between intensity of forest management, harvested volumes and people working. 6b. (aspirational) Health and Safety strategies meaningful and implemented, as reports about (decreasing) accidents rates demonstrate.

¹⁶ From UNECE Timber and Forest Sector 2012 Action Plan's Vision for 2020, Principles for the UNECE region forest sector in the emerging green Economy.
http://www.unece.org/unecedev.colono.iway.ch/fileadmin/DAM/timber/meetings/20130617/ECE_TIM_S_2013_3_Action_Plan.pdf

¹⁷ From press release from "Building and Wood Workers' International Strategies to Promote Decent Work and Sustainable Development Through Certification in the Forest and Wood Processing Industry" 2010, Croatia www.bwint.org/default.asp?index=2826&Language=EN

FSC Intended impacts	Explanatory notes	Relevant broader sustainability goals (examples) ³	How FSC contributes to these goals	How we measure our outcomes and impact (proposed indicators)
respect to occupational health and safety. P1, P2	many options for improving Occupational Health and Safety (OHS) practices.	conditions.	accidents' causes. To a limited extent these requirements are applicable for CoC certified and associated operations.	<ul style="list-style-type: none"> ➤ CAR analyses (Principle 4 (P&C Vers 4)) related to Occupational Safety and Health ➤ Number of FMUs that have meaningful safety strategies in place, based on certification assessments. 6c. (aspirational) Number of people trained in safe working techniques. <ul style="list-style-type: none"> ➤ Aspirational: Number of occupational accidents in certified FMUs ➤ Aspirational: Number of people trained in safe working techniques ➤ Aspirational: Relation between intensity of forest management, harvested volumes and people working.
ENVIRONMENTAL	To be sustainable, FM must be environmentally appropriate, (economically viable and socially beneficial).			
7. Minimized degradation of forests, no conversion of natural forests to plantations and other land uses. P1, P6 and P10	Deforestation, conversion of forest to other land use is a major threat for climate and people. Degraded forests provide fewer benefits like environmental	I. Reduce and ultimately halt global deforestation. II. Stop and revert forest degradation. VI. Halt forest biodiversity loss. The General Assembly of <u>UNFF</u> ¹⁸ expresses their	FSC requires implementation of management plans which prevent degradation of natural forests, maintain or enhance biodiversity and prohibit conversion of forests to plantation or other land use.	7a. Area of certified FM operations managing natural forests increasing. (Subset of indicator 1a.) <ul style="list-style-type: none"> ➤ Area of natural forests in certified operations (including plantation and mixed forests operations) ➤ Evaluation of trends from previous years compared to current numbers.

¹⁸ From Resolution adopted by the General Assembly of the Non-legally Binding Authoritative Statement of Principles for a Global Consensus on the Management, Conservation and Sustainable Development of all Types of Forests, A/CONF.151/26 (Vol. III) www.un.org/esa/forests/about-history.html

FSC Intended impacts	Explanatory notes	Relevant broader sustainability goals (examples) ³	How FSC contributes to these goals	How we measure our outcomes and impact (proposed indicators)
	services than intact forests. Forest degradation is often a phase before the decision to convert alternative profitable land use.	<p>concern about continued deforestation and forest degradation. <u>REDD</u> and WWF's <i>Zero Net Deforestation and Forest Degradation (ZNDD)</i>¹⁹ target call for halting deforestation and degradation.</p> <p>UNFF 3rd of 4 Global Objectives: Increase significantly the area of sustainably managed forests, including protected forests, and increase the proportion of forest products derived from sustainably managed forests.</p>	<p>FSC certification has little influence over continued degradation in non-certified forest areas, but does not allow certificate holders to be involved in significant conversion of natural forests or destruction of high conservation values in non-certified parts of their operations.</p> <p>To send a clear message, FSC further does not allow certification of plantations established on are-as converted from natural forests after November 1994, to keep responsible entities from conversion in order not to prevent any future interest in FSC certification.</p>	<p>(7b.) Aspirational: Degradation of natural forests in certified operations is minimized</p> <ul style="list-style-type: none"> ➤ Aspirational: Sample sites (resp. priority areas in samples) show evidence that after 5 years defined priority areas are not significantly degraded. <p>(7c.) Aspirational: No conversion of natural forests to plantations or other land uses is taking place in certified areas.</p> <ul style="list-style-type: none"> ➤ Aspirational: Ratio of area under scope of certificate: managed area : HCV area.
8. Forest	Forests are rich in	III. Increase the area of	FSC has demanding	8a. (aspirational) Areas certified as managed for

¹⁹ From WWF Forests for a Living Planet, 2011 www.panda.org/livingforests/download

FSC Intended impacts	Explanatory notes	Relevant broader sustainability goals (examples) ³	How FSC contributes to these goals	How we measure our outcomes and impact (proposed indicators)
<p>management operations maintain or enhance biodiversity. High Conservation Values of the forests are identified with stakeholder input and maintained or enhanced through appropriate management.</p> <p>P9, and P6-10</p>	<p>ecological and social conservation values. Maintaining or enhancing biodiversity values and their gene pools is critical for a healthy environment, social conservation values for a healthy society.</p>	<p>forests under conservation management.</p> <p>IV. Increase the area of forests under sustainable production</p> <p><u>Aichi</u>²⁰'s target 7 and among <u>FAO's</u> goals is the increasing trend of forests contribution to (...) conserving biodiversity.</p> <p>FSC's HCV concept is partly or fully applied by other ENGOS.</p>	<p>requirements for the participatory identification and the appropriate management of conservation areas and high conservation values of forests.</p> <p>Forest areas identified as HCV are not necessarily excluded from harvesting and other forest management interventions.</p>	<p>conservation, managed exclusively for Non Timber Forest Products (NTFP) and for non-extractive management goals are maintained or increasing.</p> <ul style="list-style-type: none"> ➤ Areas of identified HCV classes ➤ Areas of set aside areas <p>8b. (aspirational) Area of High Conservation Value (HCV) classes, set asides, Representative Sample Areas in certified units and on system level in relation to entire certified area is maintained or growing.</p> <ul style="list-style-type: none"> ➤ Areas of representative sample sites per operation and aggregated for regions and management types. ➤ Ratio of area per classification compared to total certified area. ➤ Aspirational: Additional qualitative CAR analysis related to P6, P9 for samples. Qualitative CAR analysis related to P6, P9. <p>8c. (aspirational) There is evidence for sufficient stakeholder engagement in identifying and managing HCV areas.</p> <ul style="list-style-type: none"> ➤ Number of active Standard Development Groups, ➤ Number of participants per chamber per SDGs,

²⁰ Convention on Biological Diversity AICHI - BIP 2012 Target 7 www.cbd.int/sp/targets/

FSC Intended impacts	Explanatory notes	Relevant broader sustainability goals (examples) ³	How FSC contributes to these goals	How we measure our outcomes and impact (proposed indicators)
				<ul style="list-style-type: none"> ➤ Number of consultation rounds in SD revision, cycles and ➤ Number/quality of feedback received.
<p>9. Forest management operations identify and maintain the forests' manifold ecosystem services from forest soil, water, biodiversity.</p> <p>P6, P9</p> <p><i>See M&E report 2014, chapter "Quality forest management" / ForCES analysis.</i></p>	<p>Sustainable forestry is not limited to managing few timber species only. Forests can be managed in a way that protects, and even enhances, fragile ecosystems, water resources, soils and other ecosystem values and benefits to local communities and people globally.</p>	<p>II. Stop and revert forest degradation.</p> <p><u>UNCED, Rio Declaration, Forest Principle²¹s</u>: Forest resources and forest lands should be sustainably managed to meet the social, economic, cultural and spiritual human needs of present and. future generations. These needs are for forest products and services, such as wood and wood products, water, food, fodder, medicine, fuel, shelter, employment, recreation, habitats for wildlife, landscape diversity, carbon sinks and reservoirs, and for other forest products. Appropriate measures should be taken to protect forests</p>	<p>FSC FM certified means that the forests are managed in an environmentally appropriate way – forestry interventions maintain or enhance biodiversity and ecosystem service values, operations maintain or enhance social wellbeing, generate income options, etc.</p> <p>The FSC certificate can be used to promote the values and even the marketing of ecosystem services. Also ecosystem services are covered under the new "sustained yield" criterion C5.2.</p>	<p>9a. (aspirational) A growing number of FSC certified FMUs identifies ecosystem services.</p> <ul style="list-style-type: none"> ➤ Number of operations Nr of FSC-certified FMUs identifying ecosystem services. <p>9b. (aspirational) Areas certified as managed for ecosystem service provision are maintained or increasing.</p> <ul style="list-style-type: none"> ➤ The area managed for non-extractive forest management goals. ➤ Areas managed for ecosystem services exclusively. ➤ Number of operations offering certified ecosystem services. ➤ Evaluation of trends from previous years compared to current numbers. ➤ Number of operations offering certified non-timber forest (NTFP) products. Areas managed for NTFP only exclusively. <p>9c. (aspirational) CAR analyses show that auditors are trained to identify ecosystem services, and that forest managers adhere to FSC ecosystem services related indicators such as environmental</p>

²¹ <http://www.un.org/documents/ga/conf151/aconf15126-3annex3.htm>

FSC Intended impacts	Explanatory notes	Relevant broader sustainability goals (examples) ³	How FSC contributes to these goals	How we measure our outcomes and impact (proposed indicators)
		against harmful effects of pollution, including air-borne pollution, fires, pests and diseases in order to maintain their full multiple values.		and social risk assessments and impact assessments. ➤ Number of related CARs and qualitative CAR analysis. ➤ Analysis of reasons in case of absent CARs where CARs could be expected.
GENERAL				
Diversification to strengthen economic, environmental & social benefits				
10. Forest management operations diversify their portfolio of forest products to increase environmental and economic resilience.	The tension between the need to generate adequate financial returns and the principles of responsible forestry is reduced through efforts to market the full range of forest products and services for their	IX. Diversification of marketed forest resources CIFOR ²² recommends the diversification of total forest product utilization (products used/known potential products), with optimal and equitable mix of products, to ensure that forest actors have a reasonable share in the economic benefits derived from forest use.	FSC FM standard require the forest manager to encourage the efficient use of the forest's multiple products and services to ensure economic viability and a wide range of environmental and social benefits. The FSC certificate can increase market acceptance as it	10a. (aspirational) The global portfolio of products incl. Lesser Known timber Species, NTFP and Ecosystem Services offered as FSC certified is maintained or growing. ➤ Number of operations offering certified non-timber forest (NTFP) products. ➤ Areas managed for NTFP only exclusively. ➤ The area managed for non-extractive forest management goals. ➤ Areas managed for ecosystem services exclusively ➤ Number of operations offering certified ecosystem services. ➤ Number of operations offering Lesser Known

²² From CIFOR's generic list of Principles, Criteria and Indicators – Social C3.2, (1998) <http://www.odi.org.uk/resources/docs/1178>

FSC Intended impacts	Explanatory notes	Relevant broader sustainability goals (examples) ³	How FSC contributes to these goals	How we measure our outcomes and impact (proposed indicators)
P5, P6, P10	best value. There are economic and environmental risks to limit the management of forests to the extraction of a few main marketable species.		allows consumers to identify and to decide for products coming from responsibly managed origin.	Timber Species. ➤ Evaluation of trends from previous years compared to current numbers. ➤ (Aspirational/ in future): Number of Lesser Known Timber Species, NTFPs and or ecosystem services offered per certified operation. ➤ Trends of product range over time per region and operation type.
Law Enforcement				
11. Maintained or increased legal compliance by forest management operations and exclusion of illegal activities within the FMUs. P1, P2-P4, C6.4, C9.1, C10.10	Illegal forest use and timber trade must stop because it poses serious threats to forests, people and wildlife, contributes to global deforestation and climate change, and undermines legitimate business. It causes social	III. Increase forest law enforcement and stop illegal logging. <u>WWF</u> ²³ targets <i>Zero Net Deforestation and Forest Degradation (ZNDD)</i> , which is only achievable under good governance, and when not undermined by illegal logging. <u>UNFF</u> ²⁴ calls to combat and eradicate illegal practices.	FSC FM standards require systematically legal compliance of FMUs and exclusion of illegal activities within FMUs. Adherence to the standards is regularly audited, non-compliances addressed and corrected. The certified area is an indicator for the absence of illegal uses of forests.	11a. (aspirational) FSC certified FMUs and CoC operations adhere to legal requirements. ➤ CAR analysis to explain cases of non-conformities to legal requirements, and how FSC triggered improvement. 11b. (aspirational) Area of certified FM operations, number of certified CoC operations, and supply of types and number of certified products are increasing. ➤ Area of certified FM operations. ➤ Number of certified CoC operations. ➤ Supply of types and number of certified products.

²³ See (11) above

²⁴ See (6) above, clause V.6.n

FSC Intended impacts	Explanatory notes	Relevant broader sustainability goals (examples) ³	How FSC contributes to these goals	How we measure our outcomes and impact (proposed indicators)
	<p>conflicts and financial losses for forest-rich developing countries.</p> <p>Market demand for products from management with high social and environmental standards and bans on trade in illegally sourced timber can help achieving it.</p>	<p>FAO²⁵ requests that benefits from trees, forests and forestry are increasing, widely recognized and appreciated (e.g. increase in their contributions to society and, of investments in forests).</p>	<p>The CoC-certificate indicates legal compliance of the certified forest management where the product was harvested. The FSC Policy for Association provides additional assurance that certified and associated operations are not involved in illegal activities.</p>	<p>11c. CAR analysis: Number and quality of CARs issued and implemented in relation to Criteria addressing legal compliance, illegal activities.</p> <ul style="list-style-type: none"> ➤ Analysis of CARs related to legal compliance ➤ Analysis of CARs related to the exclusion of illegal activities within and in relation to the certified operation ➤ (Aspirational/ in future): Additional qualitative CAR analysis related to P1 and related criteria in other principles for cases of special interest. (For example related to human rights, protected areas, RTE species and trade in such species, land grabbing, ILO conventions.)
Transparency, ownership				
12. Bring together diverse groups of people to develop consensus-based solutions and craft policy.	<p>Sustainable development – for forests and other sectors - needs the support of the society, e.g. to avoid undermining of legal</p>	<p>X. Equitable access to forest resources</p> <p>XI. Increased awareness of situation of forests and the relevance of responsible management and consumption</p>	<p>FSC provides a governance framework that enables stakeholders with conflicting interests in forest management together to jointly develop solutions for forest management</p>	<p>12a. Number of international FSC members per chamber is growing.</p> <ul style="list-style-type: none"> ➤ Number of international member organizations and individual members per chamber. <p>12b. (aspirational) Number of national FSC members per chamber is growing.</p>

²⁵ See (1) above

FSC Intended impacts	Explanatory notes	Relevant broader sustainability goals (examples) ³	How FSC contributes to these goals	How we measure our outcomes and impact (proposed indicators)
<p>FSC's Governance model and stakeholder engagement (Statutes, by-laws, FSC-STD-20-006, 20-002, C1.6, C3.1, C4.1, C4.5, C7.5, C9.1, C9.2, C9.4,</p> <p>See M&E report 2014, chapter "Promoting responsible forest management politically" and FSC Global Market Survey.</p>	<p>requirements.</p> <p>FSC like others gain authority when they have broad stakeholder support.</p>	<p>XII. Spiritual and other cultural values and services of forests respected</p> <p><u>Global Forest Coalition</u>²⁶ as well as <u>CIFOR</u> remind that local people's values and perceptions of the landscape are important and can improve the ways forests are managed, e.g. because they can bring more holistic values to forest management that may help companies and governments temper a timber-only view with other ecological values. When stakeholders are genuinely engaged in decisions regarding rules affecting their use, the likelihood of them following the rules is much greater than when others simply imposes rules.</p>	<p>acceptable for all.</p> <p>FSC requires and invites for public consultation processes and consensus based decisions in strategy and standard development, FSC requires public consultations in forest management, FSC is transparent in reporting about certification decisions and developments, and FSC is in this respect a model for other organisations aiming for sustainability.</p>	<p>➤ Number of national FSC members per chamber.</p> <p>12c. Number of standards / consultations per standards.</p> <p>➤ Number of standards and other FSC core documents in consultation processes.</p> <p>➤ Number of consultation processes per document.</p> <p>➤ Number of people engaged in negotiation of these documents.</p> <p>12d. (aspirational) Number of organisations engaged in identification of HCVs.</p> <p>➤ Number of organizations engaged in identification of HCVs per certificate with HCV, per certificate in countries regions where HCV is to be expected.</p> <p>12e. Level of FSC awareness is growing.</p> <p>➤ Monitoring statistics about prompted recognition of "FSC" in countries where independent organizations conduct such studies.</p> <p>➤ Number of user hits of FSC website and trends.</p> <p>12f. (aspirational) Number of external observers in audits is growing.</p> <p>➤ Number of external observers in FSC audits.</p>

²⁶ See (7), (4) above

Annex 3. FSC M&E System Indicators – Parameters, frequency of reporting and sources

Proposed impact and outcome indicators	Parameter for monitoring and evaluation	Frequency of measurement and reporting	Sample	Source of data
Intended impact 1: Forest management (FM) operations gain market advantages through certification				
(1a.) Number and area of certified operations is growing: <ul style="list-style-type: none"> - in all climate zones - regions - for natural and plantation forests - for all ownership structures - size of operations 	<ul style="list-style-type: none"> ➤ Number and area of certified operations; (split up by climate zone, region, natural or plantation forests, ownership structure and size of operations) ➤ Evaluation of trends from previous years compared to current numbers ➤ Analysis of feedback from FSC CoC holders about perceived benefits from being certified, satisfaction with certification and perceived relevance of certification in their industry. 	<ul style="list-style-type: none"> ➤ bi-weekly certificate statistics reports internally ➤ public M&E report annually ➤ information about CoC certificate holder in years with FSC Global Surveys conducted 	All FSC FM and FM/CoC certificates CoC certificate holders responding to Global survey	Certificate holder database Global survey report
(1b.) Number of re-certified operations increases	<ul style="list-style-type: none"> ➤ Number and area of re-certified operations ➤ Evaluation of development over time ➤ Number of Controlled Wood license holder ➤ Aspirational indicator: Evaluation of reasons for recertification and for termination of certificates 	public M&E report annually	All FSC FM and FM/CoC; CW/FM certificates; Controlled Wood	Certificate holder database

Intended impact 2: Harvesting activities are based on the principle of sustainable yields (a balance of growth and yields of the forest species composition)				
(2a.) Aspirational: The actual harvest of each species does not exceed allowable harvesting rates over defined timeframes	Analysis of the relations between the annual allowable harvest rates (AAC) as approved by the certification body and the legally prescribed (AAC), the forest management plan and the actual harvest rates (to be cross checked with annual sales) over the time of the certificate validity (so far desk/office study). An environmental impact assessment of the regeneration rate at selected sites, and comparisons with adequate long term representative sample sites will serve as counterfactual to evaluate the information gained from the desk/office study.	Reliance on external, independent field research, resulting in a publication of scientific study report. If there is no uptake of such relevant studies, FSC will consider to commission and finance such studies.	Selected sites with meaningful counterfactual / representative undisturbed samples, combined with office/desk study. Office/desk study might be supported or conducted by FSC.	<ul style="list-style-type: none"> ➤ Independent academic research (ecologists), collected in the FSC literature database ➤ Tentatively external experts in cooperation with FSC National Offices (commissioned).
Intended impact 3: FM operations gain increased competencies				
(3a.) Number and types of relevant policy documents and support tools (aiming to increase competencies)	<ul style="list-style-type: none"> ➤ Number, types of FSC documents and tools aiming to increase competencies for example in planning, impact assessment and evaluation, silviculture, health and safety, and marketing. 	<ul style="list-style-type: none"> ➤ Annually internal report ➤ Public M&E report annually ➤ Every three years (for General Assembly) a public report about the type of documents and tools. 	N/A	<ul style="list-style-type: none"> ➤ Documents database, ➤ Membership department, ➤ PSU (e.g. MAP), ➤ Business Development Unit ("FSC Marketplace") logo use training etc.) ➤ Other trainings
(3b.) Number of participants which successfully concluded FSC trainings and capacity building programs	<ul style="list-style-type: none"> ➤ Number of participants successfully completing FSC trainings on Forest Management ➤ Number of participants successfully completing other 	<ul style="list-style-type: none"> ➤ Annually internal report (and on demand) ➤ Public M&E report annually 	FSC trainings and capacity building programs - by network partners (National	Training program, BDU, Network partners, PSU (MAP, FM), smallholder support program

increases	<ul style="list-style-type: none"> FSC trainings ➤ Aspirational: Number of FMU staff completing certification-related trainings provided by certified entities (as part of certificate compliance?) 		Offices), - by / for FSC International (- aspirational: By certified forest management operations)	Certificate holder database (upon introduction of Electronic Reporting Format (ERF))
(3c.) Number of users of the "FSC Marketplace" and other FSC tools increases	<ul style="list-style-type: none"> ➤ Number of users of the "FSC Marketplace" and other related FSC tools like MAP training programs, logo use training etc. ➤ Aspirational: level of satisfaction by users of tools provided by FSC 	<ul style="list-style-type: none"> ➤ Annually internal report ➤ Public M&E report annually ➤ For all MAP Candidates, internal reports, public report annually 	N/A	MAP audit reports (can start with MAP uptake). (PSU/M&E), user protocols of these tools (BDU/CU/M&E)
(3d.) Aspirational: CAR analyses show lessons learned and improvements made by forest management operations	<ul style="list-style-type: none"> ➤ Number and criteria of CARs addressed per certified operation, per certification body, per country, per forest operation type. ➤ Analysis of patterns of distribution of CARs. ➤ Analysis of reasons for imbalances in patterns of CARs. ➤ Aspirational: Number of CARs implemented: Findings of auditors reflected in reports and CARs required to be implemented to improve FM trigger thinking of certified forest managers to improve FM to match FSC standard requirements. ➤ 	<ul style="list-style-type: none"> ➤ Internal reports on a regular basis (to be decided) ➤ Public M&E report annually (as soon as ERF will be available) 	All public FM audit reports	<ul style="list-style-type: none"> ➤ Certificate holder database (upon introduction of ERF and associated direct CAR reporting). Until then, occasional 'manual' analysis. ➤ Review of independent (academic) research.
(3e.) Aspirational: Level of awareness for sustainability issues in forest management	Number of MAP participants showing increasing awareness levels of sustainability issues in forest management	<ul style="list-style-type: none"> ➤ Internal reports on a regular basis (frequency to be decided) ➤ Public M&E report annually 	All MAP participants during MAP audits	MAP audit reports (can start with MAP uptake).

increases. (to be evaluated in case studies esp. MAP)				
Intended impact 4: FM operations have good and fair relations with indigenous and other local communities, and maintain and enhance fair access to resources and economic benefits. Spiritual and other cultural values of forests are identified and respected				
(4a.) Aspirational: Number and percentage of certified FMUs with evidence of conflict resolution cases without violence	<ul style="list-style-type: none"> ➤ Number of conflict resolution cases at FSC International and ASI level ➤ Aspirational: Number of conflict resolution cases raised in CARs ➤ Aspirational: number of such cases addressed at National Office / Certification Body level 	Every 2 nd year	All relevant cases which are not treated as confidential	Quality Assurance Program reports Aspirational: CAR Analysis (can start with ERF uptake).
(4b.) Aspirational: Number of people obtaining an income through FSC is increasing	<ul style="list-style-type: none"> ➤ Number of people depending on income from certified / candidate operation. 	Monitoring regularly for MAP candidates, reporting annually	All MAP candidates/participants. Additional studies dependent on external, independent studies. If no such studies: Commissioned studies, to be decided	MAP audit reports (can start with MAP uptake).
(4c.) Aspirational: Number and quality of additional social services (FMU scope) delivered by FSC certified management	<ul style="list-style-type: none"> ➤ The number and area of certified operations, where CARs related to legal issues do not exist ➤ The number and area of certified operations with solved CARs 	Report on CARs as above. Aspirational: Publications of scientific research		<ul style="list-style-type: none"> ➤ External research (sociologists), tentatively external experts in cooperation with National Offices.

	<ul style="list-style-type: none"> related to legal issues. ➤ Number (and area) of certified operations with unsolved / open CARs related to legal issues. (So far a subset of CAR analyses). ➤ Aspirational: Qualitative CAR analysis related to number of CARs addressing legal issues. ➤ Qualitative analysis of cases reported to FSC Dispute Resolution System. 			<ul style="list-style-type: none"> ➤ FSC Dispute Resolution Reports
(4d). Aspirational: Access to forest resources and mechanisms for sharing benefits are perceived locally to be fair	<ul style="list-style-type: none"> ➤ Aspirational: Analysis of stakeholder consultation feedback about related aspects 	Exceptional case studies, preferably by independent external research	For exceptional cases only, as FSC not directly requires benefit sharing mechanisms. Potentially in regions with complex socio-economic / political settings, where large multinational / foreign concessions are the FSC Certificate holders	<ul style="list-style-type: none"> ➤ External research (sociologists), tentatively external experts in cooperation with National Offices. ➤ FSC Dispute Resolution Reports ➤ Interviews with auditors, NGOs
(4e.) Aspirational: FM maintains or enhances fair access to resources and economic benefits	<ul style="list-style-type: none"> ➤ Aspirational: CAR Analysis of Principle 2, P3, P4 related issues, and of stakeholder consultation feedback about related aspects 	Exceptional case studies, preferably by independent external research	For exceptional cases only, as FSC not directly requires benefit sharing mechanisms. Potentially in regions with complex socio-	<ul style="list-style-type: none"> ➤ Public reports / CARs, ➤ External research (sociologists), tentatively external experts in cooperation with National Offices. ➤ FSC Dispute Resolution Reports

			economic / political settings, where large multinational / foreign concessions are the FSC Certificate holders	
Intended impact 5: Forest-dependent, forest-managing certified communities improve their livelihoods as well as their forest management and marketing skills				
(5b.) Number of people, belonging to forest-dependent, forest-managing communities, obtaining an income through FSC is increasing	<ul style="list-style-type: none"> ➤ Number of group certificate members (Note: this does not inform about family members etc) ➤ Aspirational (MAP): Number of people from forest-dependent, forest-managing certified communities depending on income from certified / candidate operation. ➤ Aspirational (MAP): Relation of income from sales of FSC certified products to other income prior to certification and to costs for certification. <p>Important: Focussing on forest-dependent, forest-managing, certified communities.</p>	<ul style="list-style-type: none"> ➤ Regular MAP reports for internal use, ➤ Reflection of results in annual M&E report 	<ul style="list-style-type: none"> ➤ Monitoring data of all MAP Candidates ➤ Monitoring data of all certificate holder within the smallholder support program ➤ Case studies 	<ul style="list-style-type: none"> ➤ MAP audits (as soon as MAP data are available) ➤ Smallholder Support Program M&E data (as soon as these will be available) ➤ External research (sociologists/livelihood analysis), tentatively external experts in cooperation with National Offices.
(5c.) Aspirational: Number of people belonging to forest-dependent, forest-managing communities,	<ul style="list-style-type: none"> ➤ Number of people from forest-dependent, forest-managing certified communities trained through MAP or Smallholder 	<ul style="list-style-type: none"> ➤ Independent external research ➤ Regular MAP- and Smallholder support program reports for internal use, 	<ul style="list-style-type: none"> ➤ All MAP candidates ➤ All Smallholder support 	<ul style="list-style-type: none"> ➤ MAP audits (as soon as MAP data are available) ➤ Smallholder Support Program M&E data (as soon

that have improved their FM and Marketing skills	<ul style="list-style-type: none"> support program in marketing (output-indicator) ➤ Aspirational: Number of people (or %) from forest-depending, forest-managing certified communities that contracted new market partners / sell new products 	<ul style="list-style-type: none"> ➤ Reflection of results in annual M&E report 	<ul style="list-style-type: none"> program participants ➤ Case studies 	<ul style="list-style-type: none"> as these will be available) ➤ External research by the academic community and collected in FSC literature database
Intended impact 6: FM operations improve workers' living and working conditions, especially with respect to occupational health and safety				
(6a.) Aspirational: Number of male / female forest workers (including those hired through contractors)	<ul style="list-style-type: none"> ➤ Number of certified operations, number of workers reported per certified operations, by gender ➤ Aspirational: Relation between intensity of forest management, harvested volumes and people working. 	<p>Public M&E report annually (as soon as data will be available)</p> <p>For all MAP operations (can start with MAP uptake).</p>	<ul style="list-style-type: none"> ➤ All certified forest management operations ➤ Independent external case studies <p>Note: Qualitative CAR analysis related to cases of outsourcing work; samples where Occupational Health and Safety issues show up in CARs, and where not, but where this could be expected.) Level 2 (for certain subsets like all MAP candidates), when CAR reporting is set up.</p>	<ul style="list-style-type: none"> ➤ Certificate holder database (after ERF has been implemented) ➤ Review of independent (academic) research. ➤ MAP audit reports (can start with MAP uptake)
(6b.) Aspirational: Health	<ul style="list-style-type: none"> ➤ CAR analyses (Principle 4 (P&C 	Public M&E report annually (as	<ul style="list-style-type: none"> ➤ All certified 	<ul style="list-style-type: none"> ➤ Certificate holder database

and safety strategies meaningful and implemented	<p>Vers 4)) related to Occupational Safety and Health</p> <ul style="list-style-type: none"> ➤ Number of FMUs that have meaningful safety strategies in place, based on certification assessments 	soon as data will be available)	<p>operations</p> <ul style="list-style-type: none"> ➤ Independent external case studies 	<p>(after ERF has been implemented)</p> <ul style="list-style-type: none"> ➤ Review of independent (academic) research.
(6c.) Aspirational: Accident rate in certified FMUs decrease	<ul style="list-style-type: none"> ➤ Number of occupational accidents in certified FMUs ➤ Number of people trained in safe working techniques ➤ Aspirational: Relation between intensity of forest management, harvested volumes and people working. 	Public M&E report annually (as soon as data will be available)	<ul style="list-style-type: none"> ➤ All certified operations ➤ Independent external case studies 	<ul style="list-style-type: none"> ➤ Certificate holder database (after ERF has been implemented) ➤ Review of independent (academic) research.
Intended impact 7: Minimized degradation of natural forests, no conversion of forests to other land use in certified areas				
(7a.) Area of certified FM operations managing natural forests increasing	<ul style="list-style-type: none"> ➤ Area of natural forests in certified operations (including plantation and mixed forests operations) ➤ Evaluation of trends from previous years compared to current numbers 	Public M&E report annually	All forest management certificates	Certificate holder database
(7b.) Aspirational: Degradation of natural forests in certified operations is minimized	<ul style="list-style-type: none"> ➤ Aspirational: Sample sites (resp. priority areas in samples) show evidence that after 5 years defined priority areas are not significantly degraded. 	Public M&E report annually (in case evidence will be available)	Sample sites	<ul style="list-style-type: none"> ➤ Review of independent (academic) research (now) ➤ Tentative FSC commissioned research (future)
(7c.) Aspirational: No conversion of natural	<ul style="list-style-type: none"> ➤ Ratio of area under scope of certificate : managed area : HCV 	Public M&E report annually	All forest management	<ul style="list-style-type: none"> ➤ Certificate holder database (after ERF has been

forests to plantations or other land uses is taking place in certified areas	area.		certificates	implemented)
Intended impact 8: FM operations maintain or enhance biodiversity. High Conservation Values of the forests are identified with stakeholder input and maintained or enhanced through appropriate management				
(8a.) Aspirational: Areas certified as managed for conservation, managed exclusively for Non Timber Forest Products (NTFP) and for non-extractive management goals are maintained or increasing	<ul style="list-style-type: none"> ➤ Areas of identified HCV classes ➤ Areas of set aside areas 	Public M&E report annually (as soon as data will be available)	For all forest management certificates	Certificate holder database (after ERF has been implemented)
(8b.) Aspirational: Area of High Conservation Value (HCV) classes, set asides, Representative Sample Areas in certified units and on system level in relation to entire certified area is maintained or growing	<ul style="list-style-type: none"> ➤ Areas of representative sample sites per operation and aggregated for regions and management types. ➤ Monitoring of ratio of area per classification compared to total certified area <p>Aspirational evaluation: Additional qualitative CAR analysis related to P6, P9 for samples. Qualitative CAR analysis related to P6, P9.</p>	Public M&E report annually (as soon as data will be available)	<p>For all forest management certificates</p> <p>Identification of potential negative / unintended impact: Exclusion of HCV prior to certification. Compare maps / inventories of time prior to certification: request information if area was different. (Level 1 – for all forest management operations) Level 2</p>	Certificate holder database (after ERF has been implemented, including direct CAR reporting)

			(for samples of forest management operations of special interest, e.g. for those Congo basin operations close to intact forest landscapes).	
(8c.) Aspirational: There is evidence for sufficient stakeholder engagement in identifying and managing HCV areas	Number of active Standard Development Groups Number of participants per chamber per SDGs Number of consultation rounds in SD revision cycles and Number/quality of feedback received	Regular monitoring, bi-annual reporting	National Offices, PSU	Statistics from contact persons in National Offices and PSU
Intended impact 9: FM operations identify and maintain the forests' manifold ecosystem services from forest soil, water and biodiversity				
(9a.) Aspirational: A growing number of FSC certified FMUs identifies ecosystem services	Nr of FSC-certified FMUs identifying ecosystem services	Public M&E report annually (as soon as data will be available)	For all forest management certificates	Certificate holder database (after ERF has been implemented)
(9b.) Aspirational: Areas certified as managed for ecosystem service provision are maintained or increasing	<ul style="list-style-type: none"> ➤ The area managed for non-extractive forest management goals ➤ Areas managed for ecosystem services exclusively ➤ Number of operations offering certified ecosystem services ➤ Evaluation of trends from previous years compared to current numbers 	Public M&E report annually (as soon as data will be available)	For all forest management certificates Additional information on project cases from ForCES project	Certificate holder database (after ERF has been implemented), MAP and Smallholder Program, (ForCES - Ecosystem Services Project tentatively when more mainstream).

	Number of operations offering certified non-timber forest (NTFP) products. Areas managed for NTFP only exclusively.			
(9c.) Aspirational: CAR analyses show that auditors are trained to identify ecosystem services, and that forest managers adhere to FSC ecosystem services related indicators such as environmental and social risk assessments and impact assessments	Number of related CARs and qualitative CAR analysis Analysis of reasons in case of absent CARs where CARs could be expected	Public M&E report every 3 years (as soon as data will be available)	For all forest management certificates	Certificate holder database (after ERF has been implemented, including direct CAR reporting)
Intended impact 10: FM operations develop strategies to diversify their portfolio of forest products, and manage a broad portfolio to increase environmental and economic resilience				
(10a.) Aspirational: The global portfolio of products incl. Lesser Known timber Species, NTFP and Ecosystem Services offered as FSC certified is maintained or growing	<ul style="list-style-type: none"> ➤ Number of operations offering certified non-timber forest (NTFP) products ➤ Areas managed for NTFP only exclusively ➤ The area managed for non-extractive forest management goals ➤ Areas managed for ecosystem services exclusively ➤ Number of operations offering certified ecosystem services ➤ Number of operations offering Lesser Known Timber Species ➤ Evaluation of trends from previous years compared to 	Public M&E report annually (as soon as data will be available)	For all forest management certificates	Certificate holder database (after ERF has been implemented, including direct CAR reporting), 'Marketplace', potentially Global Market Survey

	<p>current numbers</p> <p>Aspirational/ in future:</p> <ul style="list-style-type: none"> ➤ Number of Lesser Known Timber Species, NTFPs and or ecosystem services offered per certified operation ➤ Trends of product range over time per region and operation type 			
Intended impact 11: Legal compliance by FM operations and exclusion of illegal activities within the FMU's				
(11a.) Aspirational: FSC certified FMUs and CoC operations adhere to legal requirements	<ul style="list-style-type: none"> ➤ CAR analysis to explain cases of non-conformities to legal requirements, and how FSC triggered improvement 	Public M&E report annually (as soon as data will be available)	For all forest management certificates	Certificate holder database (after ERF has been implemented, including direct CAR reporting),
(11b.) Aspirational: Area of certified FM operations, number of certified CoC operations, and supply of types and number of certified products are increasing	<ul style="list-style-type: none"> ➤ Area of certified FM operations ➤ Number of certified CoC operations ➤ Supply of types and number of certified products 	Public M&E report annually (as soon as data will be available)	For all forest management certificates	
(11c.) CAR analysis: Number and quality of CARs issued and implemented in relation to Criteria addressing legal compliance and illegal activities. (Subset of 3d)	<ul style="list-style-type: none"> ➤ Analysis of CARs related to legal compliance ➤ Analysis of CARs related to the exclusion of illegal activities within and in relation to the certified operation 	Public M&E report annually (as soon as data will be available)	For all forest management certificates	Certificate holder database (after ERF has been implemented, including direct CAR reporting), analysis of manually extracted data (2014) in the meantime

	Aspirational/ in future: Additional qualitative CAR analysis related to P1 and related criteria in other principles for cases of special interest. (For example related to human rights, protected areas, RTE species and trade in such species, land grabbing, ILO conventions.)			
Intended impact 12: Bring together diverse groups of people to craft policy: with local (Network) and international (FSC) consistency, empowering marginalized groups with a stake in forestry				
(12a.) Number of international FSC members per chamber is growing	Number of international member organizations and individuals per chamber	Public M&E report annually	All FSC members	FSC membership database
(12b.) Aspirational: Number of national FSC members per chamber is growing	Number of national FSC members per chamber	Public M&E report annually (as soon as data will be available)	All national FSC members	FSC National Offices
(12c.) Number of standards / consultations per standards	<ul style="list-style-type: none"> ➤ Number of standards and other FSC core documents in consultation processes ➤ Number of consultation processes per document ➤ Number of people engaged in negotiation of these documents 	<ul style="list-style-type: none"> ➤ Reports on demand for internal information ➤ Public M&E report annually ➤ Regularly for countries where national standards are in development or revision processes 		PSU, other FSC Units with documents in consultation (BDU, DO, NU), and National Offices
(12d.) Aspirational: Number of organizations engaged in identification of HCVs	Number of organizations engaged in identification of HCVs per certificate with HCV, per certificate in countries regions where HCV is to be expected Qualitative CAR analysis	Independent external research Exceptional case studies	For all countries in process of development of national risk registers	Researchers' findings, National Office information, Certification body interviews

(12e.) Level of FSC awareness is growing	<ul style="list-style-type: none"> ➤ Monitoring statistics about prompted recognition of “FSC” in countries where independent organizations conduct such studies ➤ Nr of user hits of FSC website and trends 	Public M&E report annually	Sampling methodologies may vary per study	National Offices, (NU), BDU, CU.
(12f.) Aspirational: Number of external observers in audits is growing	Nr of external observers in FSC audits	Public M&E report annually (as soon as data will be available)	All FM and CoC certificates	Public FM reports



Forest Stewardship Council®

ic.fsc.org

FSC International Center GmbH
Charles-de-Gaulle-Straße 5 · 53113 Bonn · Germany

