Forest Stewardship Council

FSC TEMPLATE

PROPOSAL FOR THE TRANSFER OF FOREST STEWARDSHIP STANDARDS TO THE PRINCIPLES & CRITERIA VERSION 5 (FSC-STD-01-001 V5)

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

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PROPOSAL FOR THE TRANSFER OF FOREST STEWARDSHIP STANDARDS TO THE PRINCIPLES & CRITERIA VERSION 5 (FSC-STD-01-001 V5)

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Approved 15 August 2012
FSC Policy and Standards Unit

Foreword

The purpose of this template is to support the development of a proposal and work plan for transferring Forest Stewardship Standards to the Principles and Criteria Version 5 (FSC-STD-01-001V5). It also serves as a communications tool to inform stakeholders of the transfer process being proposed and to gather input and support for this process.

This template is divided into two parts:

PART I request general information related to the standards transfer process. ***Irrespective of when you plan to begin the standard transfer, it is requested that you submit Part I to FSC by 31 October 2012[1].*** This will allow FSC to know how you plan to implement the standards transfer, how to engage with you in the development of the International Generic Indicators (IGIs), and how to best provide you with support as you implement the transfer.

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

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

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

Gordian Fanso, FSC Policy Manager for National Standards: g.fanso@fsc.org

[1] **The 31st October 2012 deadline provides priority to the applications received before this date. Nevertheless, applications can be submitted and will be accepted until the end of the year 2012.**

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PART I: GENERAL INFORMATION

Please fill out this PART and submit it to FSC by 31 October 2012 (See Footnote above).

1. Background

Proposal to transfer the FSC Forest Stewardship Standard in Nepal/South Asia to the P&C V5

1.1 This proposal is submitted by:

Name: (*Will be decide later after formation of Standard development group*)
Position: Chairperson
Address:
Telephone:
Email:

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

Name: Dr. Bhishma P. Subedi
Position: Coordinator
Address: ANSAB, P.O.Box: 11035, Kathmandu, Nepal
Telephone: 977-1-449 7547, 447 8412
Email: bhishmasubedi@ansab.org

1.3 Please state the name and approval date of the standard(s) which you propose to transfer to the P&C V5:

We propose to transfer Rainforest Alliance/Smart Wood Interim standards for Assessing Forest Management (July 2005) and a draft national standards.

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

Below are four general options for transferring approved forest stewardship standards to the P&C V5. Please select the one you will generally follow and provide a detailed description of how you plan to undergo the transfer process. *Note that the National Standards Development Group in your country is highly encouraged to actively participate in the consultation on the FSC International Generic Indicators.*

☐ **Option A. Basic Model:**
For recently approved National Standards
- Transfer of existing indicators to the P&C V5, as appropriate, plus adoption of the FSC IGIs to fill identified gaps.

☐ **Option B. Advanced Model:**
For approved National Standards in need of some specific revisions, identified through a review of the standard
- Transfer of existing indicators to the P&C V5, as appropriate, plus adoption of the FSC IGIs to fill identified gaps.
- Revision of specific indicators identified by the Standards Development Group as needing additional work.

☒ **Option C. Super Advanced Model:**
Only to be applied in countries where approved National Forest Stewardship Standards do not exist or exist but with limited scope, and where there is extensive experience in FSC certification

- Harmonization of existing CB Standards with any advanced draft National Standards or approved standards with limited scope (e.g. SLIMF only, plantations only, etc.) (Motion #25 GA 2011).

    - Transfer of existing indicators to the P&C V5, as appropriate, plus adoption of the FSC IGIs to fill identified gaps and for specific indicators needing revision.
    - Revision of specific indicators identified by the Standards Development Group as needing additional work.

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

Additional comments:

3. Timetable

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

Please also consider the following in your planning:

- Irrespective of the type of transfer option that is chosen, FSC highly encourages all Network Partners/SDGs to do a gap analysis of their standards to the P&C V5 early in the IGI development process and to provide input on each draft of the IGIs with respect to the standards.
- All transfer processes are required to follow similar procedures as with standards revisions/development, including the use of a Standards Development Group and stakeholder consultation.
- More extensive revision or development (rather than a basic transfer) will require greater resources, such as extensive work by the Standards Development Group, extensive stakeholder consultation, field testing, etc. in order to finish within the transfer period. Please discuss any proposals for revision with the FSC IC National Standards Manager.

Estimated Dates	NS Process Schedule	Activities for Regional Representatives	Transfer Process: suggested actions for SDGs according to the option chosen.
10-13 July 2012	**First IGI Group meeting** to launch process and work on Draft Zero	• Regional representative participation in meeting and discussions on how to engage SDGs in the process.	Step 1: SUPER ADVANCED MODEL ONLY Conduct harmonization of national draft standards and CB adapted standards; to include 1 month public consultation of the harmonized standard.
mid August 2012 – mid September 2012	Results of first IGI Group Meeting available	• Outreach to SDGs to share results of first IGI meeting and gather input for second meeting.	
3-5 October 2012	**Second IGI Group meeting** to prepare Draft 1.0 for public consultation	• Regional Representatives share input provided by SDGs with the IGI Group.	

November 2012 – January 2013	IGI Drafting Process – Draft 1.0 - PSU Drafting Team to work on Draft 1.0. - IGI WG Subcommittees to work on flagged issues and reach final agreement on Draft 1.0.	• Plan Regional Workshops, together with PSU Team. • Hold regular meetings to keep updated on IGI Process and share best practices. • Provide input and technical support to Draft 1.0.	Step 2: ALL MODELS Identify major gaps between existing approved Indicators and the revised P&C using the FSC Transfer Matrix.
Feb – March 2013	**First Public Consultation**	• First set of Regional Workshops for Regional Representatives, Network Partners/SDGs, FSC staff: • Work on Transfer Matrix and identified major gaps. • Input gathered for Draft 1.0. • Flag Regional and National key issues.	Step 3: ALL MODELS Conduct 1st National/Regional Consultation and Workshop, to focus on major gaps identified in the Transfer Matrix.
April – May 2013	Feedback analysis and next meeting preparation.	• Regional Representatives gather input from SDGs and Regional Workshops.	Step 4: ALL MODELS SDGs meet and report back to Regional Representatives on National consultation on IGIs, by using the Transfer Matrix. SDGs to send to PSU National Transfer Matrix, highlighting key issues.
June 2013	**Third IGI Group meeting** to review feedback received and work towards Draft 2.0	• Regional Representatives share outcomes of first Regional Workshops (Flagged National issues, best practices, options for improvement, etc.).	
July-August 2013	IGI Drafting Process – Draft 2.0 - PSU Drafting Team to work on Draft 2.0. - IGI WG to reach final agreement on Draft 2.0.	• Plan second round of Regional Workshops, together with PSU Team. • Provide input and technical support to Draft 2.0.	Step 5: ALL MODELS Incorporate any revised IGIs into their Transfer Matrix as advised by the PSU.
September-October 2013	**Second Public Consultation**	• Second round of Regional Workshops. • National-level input on Draft 2.0 gathered.	Step 6: ALL MODELS Conduct 2nd National/Regional Consultations and Workshop. SDGs meet and report back to Regional Representatives on National consultation on IGIs, by using the Transfer Matrix. SDGs to send to PSU National Transfer Matrix, highlighting key issues.
November-December 2013	Feedback analysis and next meeting preparation.	• Regional Representatives gather input from SDGs and Regional Workshops.	
December 2013	**Fourth IGI Group meeting** to develop final Draft of the IGIs for Board approval	• Regional Representatives share outcomes of second round of Regional Workshops.	

Timetable for transfer process in Nepal

Estimated Dates	NS Process Schedule	Activities for Regional Representatives	Transfer Process: suggested actions for SDGs according to the option chosen.
	First IGI Group meeting to launch process and work on Draft Zero	• Regional representative participation in the meeting and discussions about how to engage SDGs in the process.	Step 1: SUPER ADVANCED MODEL ONLY Conduct harmonization of national draft standards and CB adapted standards; to include 1-month public consultation of the harmonized standard.
Mid March 2013	Results of first IGI Group meeting available	• Outreach to SDGs to share results of first IGI meeting and gather input for second meeting.	
	Second IGI Group meeting To prepare Draft 1.0 for public consultation	• Regional Representative shares input provided by SDGs with the IGI Group.	
April 2013 – June 2013	IGI Drafting Process – Draft 1.0 - Drafting Team to work on Draft 1.0. - IGI WG Subcommittees to work on flagged issues and reach final agreement on Draft 1.0.	• Plan Regional Workshops together with PSU Team. • Hold regular meetings to keep updated on IGI Process and share best practices. • Provide input and technical support to Draft 1.0.	Step 2: ALL MODELS Identify major gaps between existing approved Indicators and the revised P&C using the FSC Transfer Matrix.
July – August 2013	**First Public Consultation**	• First set of Regional Workshops for Regional Representatives, Network Partners/SDGs, FSC staff: • Work on Transfer Matrix and identify major gaps. • Input gathered for Draft 1.0.	Step 3: ALL MODELS Conduct 1st National/Regional Consultation and Workshop, to focus on major gaps identified in the Transfer Matrix.
September – October 2013	Feedback analysis and next meeting preparation.	• Regional Representatives gather input from SDGs and Regional Workshops.	Step 4: ALL MODELS SDGs meet and report back to Regional Representatives on National consultation on IGIs, by using the Transfer Matrix. SDGs to send to PSU National Transfer
November 2013	**Third IGI Group meeting** to review feedback received and work towards Draft 2.0	• Regional Representatives share outcomes of first Regional Workshops (Flagged National issues, best practices, options for improvement, etc.).	

December 2013- -January 2014	IGI Drafting Process – Draft 2.0 --- PSU Drafting Team to work on Draft 2.0. --- IGI WG to reach final agreement on Draft 2.0.	• Plan second round of Regional Workshops together with PSU Team. • Provide input and technical support to Draft 2.0.	Step 5: ALL MODELS Incorporate any revised IGIs into their Transfer Matrix as advised by the PSU.
February- March 2014	**Second Public Consultation**	• Second round of Regional Workshops. • National-level input on Draft 2.0 gathered.	Step 6: ALL MODELS Conduct 2nd National/Regional Consultations and Workshop. SDGs meet and report back to Regional Representatives on National consultation on IGIs, by using the Transfer Matrix. SDGs to send to PSU National Transfer Matrix, highlighting key issues.
April-May 2014	Feedback analysis and next meeting preparation.	• Regional Representatives gather input from SDGs and Regional Workshops.	
June 2014	**Fourth IGI Group meeting** to develop final Draft of the IGIs for Board approval	• Regional Representatives share outcomes of second round of Regional Workshops.	
October 2014	**Approval of the IGIs** by the FSC Board	• Regional Representatives assist SDGs in final transfer to the revised P&C.	Step 7: ALL MODELS Following approval of the IGIs, final version of transferred National Standards submitted by SDGs to PSU for approval.
June 2015, with exceptions as necessary	-National and CB Adapted Standards transferred to the revised P&C -PSU Team to lead on transfer of CB Adapted Standards to the revised P&C.		

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

The estimated budget for the transfer is US $ 70,700.

Currently available budget under the heading 1.1.2.3 and 1.2.1.4 is US $41,979 (GEF cash US $ 26,979 and co-finance 15,000)
However, transfer process still needs US $ 28,721 extra.

PART II: DETAILED PLANNING

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

5. Work plan

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

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

Task	Specific activities	Estimated start/end date
First IGI Group meeting to launch process and develop foundation to start first draft.		
Formation of SDG and technical experts team	SDG and technical experts team representing all the three chamber will be formed	February 15, 2013.
Review of existing standards	Technical experts will review existing standards with respect to P&CV5.	February end, 2013
Share results of first and second IGI group meeting with SDG group	SDG will review the outcomes of the meeting and provide input for second IGI group meeting.	February end, 2013.
Orientation to SDG and technical experts	One day orientation program will be conducted to potential SDG members and technical experts by FSC representative	1 st week of March, 2013
SDG meeting	Identify major gaps to incorporate in first draft of IGI. Regular quarterly meeting.	10 May 2013
First Regional workshop	Regional workshop will be held together with PSU team. In addition to learning among groups, the workshop will mainly identify major gaps between existing Indicators and the revised P&C using the FSC Transfer Matrix Regional workshop will be held to share learning so far made and also to focus on major gaps identified in the Transfer Matrix.	15 Aug 2013
SDG Meeting	Provide feedback on workshop outcome and report back to Regional Representatives on National consultation on IGIs, by using the Transfer Matrix.	20 Aug 2013
SDG meeting	Regular quarterly meeting.	10 Aug 2013
Third IGI Group meeting	Regional Representatives share outcomes of first Regional Workshops. SDG-Nepal representative share the outcome of national SDG meeting.	5 Nov 2013
SDG meeting	Regular quarterly meeting. The outcome will be communicated to IGI group.	10 Nov 2013
Second Regional workshop	Regional workshop will be held together with PSU team. SDG representative will participate the workshop.	27 February 2014
SDG meeting	Regular quarterly meeting. The outcome will be communicated to IGI group.	10 Feb 2014

SDG g meeting	SDG group will discuss about workshop and send PSU National Transfer Matrix, highlighting keyissues.	3 March 2014
National Consultation Workshop	Involvement of wide stakeholders including government official, SDG members, media and non-government organizations working in forestry sector will be involved. This workshop will further empower and provide direction as well as guide to contribute in forthcoming regional workshops.	12 April 2014
SDG meeting	Regular quarterly meeting. The outcome will be communicated to IGI group.	10 May 2014
SDG meeting	Regular quarterly meeting. The outcome will be communicated to IGI group.	10 August 2014
Fourth IGI Group meeting	Regional Representatives share outcomes of second Regional Workshop. SDG-Nepal representative share the outcome of national SDG meeting. **This meeting will** develop final Draft of the IGIs for Board approval	5 Nov 2014
SDG meeting	Regular quarterly meeting. The outcome will be communicated to IGI group.	10 Nov 2014

Dates for Standard Transfer

Activity	Date
Formation of Standard Development Group	Feb 2013
Gap analysis of national interim standards	April 2013
Development of national standards Draft 1.0	June 2013
Distribution to Stakeholders for comments and get their feedback	July 2013
Regional workshops	August 2013
Development of national standard Draft 2.0 (incorporating comments & incorporate IGIs)	January 2014
Regional workshops	February 2014
Field testing of Draft 2.0	May, 2014
Development of final draft 3.0 (field tested)	June, 2014
Distribution to Stakeholders for comments	August 2014
National Consultation	October 2014
Formulation of Final draft National Stds	January 2014
Submission of national standards incorporating feedback from national consultation	February 2015

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

Resources needed	Source	Amount	Confirmed?
Existing Funding	ForCES	US $ 41,979	Confirmed.
Additional funding	(to be sourced)	US $ 28721	

7.Coordinator and Chair

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

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

Name	Role	Contact
Not decided	Chairperson	
Dr. Bhishma P. Subedi	Coordinator	**bhishmasubedi@ansab.org**

8. Standards Development Group

(Standard Development Group in Nepal has not been formed yet, detailed of SDG, technical experts and consultative forum will be proposed later)

Given the nature of Forest Stewardship Standards in the FSC system, the Standards Development Group shall have three separate chambers representing social, environmental and economic interests, with a minimum of two representatives in each chamber, and equal number of people (or equal weighting) in each chamber. Decisions are made by consensus, defined as general agreement in favor of a proposal, plus the absence of a sustained objection to the proposal.

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

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Environmental	Economic	Social
1) Name:	**1) Name:**	**1) Name:**

Organization:	**Organization:**	**Organization:**
Resume:	**Resume:**	**Resume:**
2) Name:	**2) Name:**	**2) Name:**

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Environmental	Economic	Social
Organization:	**Organization:**	**Organization:**
Resume:	**Resume:**	**Resume:**

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

English

9. Technical Experts

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

Please list below all the experts that will be included in the process. *Note: It is not expected that technical experts will be needed for a basic transfer of standards to the P&C V5.*

Name	Expertise	List of documents (ToR, work plan, documents produced)

10. Consultative Forum

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

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

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

Please list the Consultative Forum on the below table. Some organizations may cover more than one interest, in which case note this on the table.

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Interest	Organization/Individual	Contact details	Evidence of support for the process?
a) Economic interests of:			
Owners/managers of large and medium sized forests			
Owners/managers of small forests			
Owners/managers of operations where there is a low intensity of timber harvesting			
Forest contractors			
Timber producers associations			
b) Social interests of:			
Forest workers			
Indigenous Peoples			
Local communities			
Forest recreation			
Consumers			
c) Environmental interests relating to:			
Biological diversity			
Water			
Soils			

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Interest	Organization/Individual	Contact details	Evidence of support for the process?
Ecosystems and Landscapes			

11. Communications Plan

(Please describe how you plan to ensure that stakeholder have access to information related to the transfer process, and how you plan to engage them in consultation. Note that the communications plan needs to be culturally appropriate, taking into account access to email, literacy, etc.)

Development of the Nepalese standard will be promoted on ANSAB's homepage with a linkage of ForCES homepage. Similarly official notifications and standard drafts will also be posted on homepage.

All of the stakeholders in the SDG and consultative forum, members of FSC will be contacted directly by email and telephone for prompt communication. Official letters will also be sent later. Stakeholders will be involved on each stage of the process. Following the completion of first draft, open discussion on the contents of the proposed standard will be carried out. This process will be repeated on each draft procedure.

Quarterly meeting of SDG group will be organized timely and meeting date will be fixed according to convenience of group members.

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

12.1 Complaints and disputes

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

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

Above procedure will be followed.

12.2 Record keeping

The Coordinator is responsible for maintaining the following records:

a) Approved proposal to transfer the standard;
b) Names and affiliations of members of Standards Development Group and Consultative Forum, and of other stakeholders that were consulted on the standards during their transfer;
c) Minutes of meetings held by the Standards Development Group;
d) Copies of public draft standards circulated for comment;
e) Copies of all comments received on public draft standards;

f) Summary of comments received in response to each public draft, together with a general response to those comments;
g) Copies of technical drafts;
h) The Standards Development Group report and all comments received on the Standards Development Group report;
i) A description of all departures from the specified procedures for standards development, and the actions taken in respect of those departures; and
j) The decisions of the FSC Board of Directors, FSC Executive Director and Policy and Standards Unit in relation to the requirements of this standard

The organization will maintain this.