The Forest Stewardship Council (FSC) is an independent, not for profit, non-government organisation based in Bonn, Germany.

The mission of the Forest Stewardship Council is to support environmentally appropriate, socially beneficial, and economically viable management of the world’s forests.

FSC develops, supports and promotes international, national and regional standards in line with its mission; evaluates, accredits and monitors certification bodies which verify the use of FSC standards; provides training and information; and promotes the use of products that carry the FSC logo.
Foreword

This standard specifies basic requirements applicable at the forest management unit (FMU) level for forest management enterprises to demonstrate to a company or third party certification body that wood supplied is controlled. It allows forest management enterprises to provide evidence that the wood they supply has been controlled to avoid wood that is illegally harvested, harvested in violation of traditional and civil rights, harvested in forest management units in which high conservation values are threatened by management activities, harvested in areas in which forests are being converted to plantations or non-forest use or harvested from forests in which genetically modified trees are planted.

Compliance with this standard provides a consistent, international basis for business-to-business communications between FSC certified Chain-of-Custody (CoC) operations about the sourcing of wood products. It provides the basis for forest management enterprises to supply FSC Controlled Wood to companies that seek FSC certification against FSC-STD-40-004 FSC chain of custody standard for manufacturing companies and FSC-STD-40-005 Standard for company evaluation of FSC Controlled Wood.

The requirements outlined in this standard help companies to demonstrate compliance with selected components of legality (legal harvesting) but are not intended to demonstrate the implementation of all applicable national or international laws.

The intent of this standard is to allow forest management enterprises to supply FSC Controlled Wood to FSC CoC certified operations for mixing with FSC certified materials in production of FSC mixed products.

The FSC Controlled Wood standard for forest management enterprises is not intended to be directly comparable to the high social and environmental requirements of the ‘FSC Principles and Criteria’. The FSC Principles and Criteria for Forest Stewardship are designed to identify responsible forest management. FSC Controlled Wood standards in contrast are designed only to allow companies to avoid the categories of wood considered unacceptable to be mixed with FSC certified wood in products carrying the FSC mixed label.

Compliance with this standard also allows companies to demonstrate that they are implementing best efforts to avoid the trade in illegally harvested timber, in support of the European Union's Forest Law Enforcement, Governance and Trade Action Plan of the international Forest Law Enforcement, Governance and Trade (FLEGT) program and to implement their own responsible sourcing policies.

The standard includes streamlined requirements for the evaluation of small and low intensity managed forests (SLIMFs).

Notes on this draft

In September 2004, the FSC Board of Directors endorsed a new set of standards (FSC-STD-40-005 FSC standard for non-FSC certified controlled wood and FSC-STD-30-010 FSC standard for forest management enterprises supplying non-FSC certified controlled wood) aimed at allowing FSC certified companies to buy and supply non-FSC certified wood which had been controlled to avoid illegally harvested wood, wood harvested in violation of traditional and civil rights, wood harvested in forests in which high conservation values are threatened by management activities, wood harvested in forests being converted to plantations or non-forest use and wood from forests in which genetically modified trees are planted. The term 'controlled wood' was created by FSC in 2004 to define these criteria of 'unacceptable' wood.
During 2005, the FSC International Centre has been mandated to monitor uptake and review the new FSC Controlled Wood standards to take account of experience gained in practical implementation in order to resolve outstanding issues. This approved version includes the recommendations from four technical working group meetings in 2005 and 2006. It also includes the input from the stakeholder consultation meetings in Washington, D.C. and Bonn and comments received during stakeholder consultation in 2005 and 2006.

Intent boxes have been included to describe ways of interpreting the standard and help users to understand the rationale of the requirements.

**Note on use of this standard**

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

Please send any comments or suggestions regarding this standard to:

FSC International Center  
– Policy and Standards Unit –  
Charles-de-Gaulle Str. 5  
53113 Bonn, Germany  
Phone: +49-228 / 367-6628  
Fax: +49-228 / 367-6630  
E-Mail: policy.standards@fsc.org
A Scope
This standard is applicable to Forest Management Enterprises (FMEs) that wish to supply FSC Controlled Wood.

In countries where there is an FSC accredited national or sub-national FSC Controlled Wood standard, then that shall be used as the basis for compliance.

The intent of this standard is to allow forest management enterprises to supply FSC Controlled Wood to FSC CoC certified operations for mixing with FSC certified materials in production of FSC mixed products

NOTE: The scope of this standard does not apply to manufacturers and timber traders. Such entities should refer to FSC-STD-40-005 FSC standard for company evaluation of Controlled Wood.

B Standard effective date
This Version 2-0 FSC-STD-30-010 FSC Controlled Wood standard for forest management enterprises is an approved version. This standard is effective from the 1st of January 2007.

C References
FSC-STD-01-001 FSC Principles & Criteria for forest stewardship
FSC-STD-40-005 Standard for company evaluation of FSC Controlled Wood
FSC-STD-01-003 SLIMF eligibility criteria.
FSC-POL-30-602 Genetically Modified Organisms
FSC-POL-30-401 FSC certification and ILO conventions
D Terms and definitions
Terms and definitions are provided in FSC-STD-01-002 FSC glossary of terms. Key definitions relating to this standard are provided in Annex 1 and are underlined in the text below the first time they appear.

Part 1: Quality management system

1. System requirements
   1.1. The Forest Management Enterprise shall have procedures and/or work instructions covering all the applicable elements specified in this standard.
   1.2. The Forest Management Enterprise shall identify the person (or position) responsible for implementing each procedure and/or work instruction.
   1.3. The Forest Management Enterprise shall ensure that where stakeholder consultation is required by the Forest Management Enterprise in relation to implementation of this standard, procedures for consultation include at least the following:
      a) key stakeholders shall be identified and invited to participate in the consultation with sufficient prior notice;
      b) excluded groups shall be given particular attention when identifying interested or affected parties;
      c) the consultation process shall be opened to parties claiming an interest in or affected by implementation of this standard;
      d) all identified parties shall be provided with access to sufficient information
      e) Forest Management Enterprise shall maintain records to demonstrate the completeness of their consultation process
         Note: the Forest Management Enterprise shall consider guidance that may be provided by FSC International, FSC regional offices, or by FSC accredited national initiatives in relation to interpreting the requirements of FSC-STD-30-010 in a particular national or sub-national context
      f) The Forest Management Enterprise shall be responsive to stakeholder questions or concerns

Supplying FSC controlled wood
   1.4. The Forest Management Enterprise shall include the following information on all invoices issued for sales of FSC Controlled Wood products:
      a) the name and address of the buyer;
      b) the date on which the invoice was issued;
c) description of the product;

d) the quantity of the products sold;

e) reference to the product’s batch and/or to related shipping documentation,

f) sufficient to link the invoice to the goods received by the customer;


g) the certification code issued by an FSC accredited Certification Body.

1.5. Invoices and shipping documents for sale of controlled wood shall always include the
claim “FSC Controlled Wood”. Where sale or transport documents cover a
consignment of both controlled and uncontrolled wood it shall specify which products
are sold or transported as “FSC Controlled Wood”.

1.6. The Forest Management Enterprise shall ensure that claims in relation to FSC
Controlled Wood meet the requirements specified in appendix 3 of this standard.

2. Specification of scope of evaluation

2.1. The Forest Management Enterprise shall specify the Forest Management Units
(FMUs) under its management.

2.2. The Forest Management Enterprise shall specify the FMUs to be included in the
scope of evaluation for compliance with this standard.

2.3. Any FMU under the control of the Forest Management Enterprise is not included in
the scope of evaluation for compliance with this standard, then the Forest
Management Enterprise shall implement a tracking system to ensure wood from
FMUs included in the scope of the standard to be reliably identified as such.

Part 2: FSC Controlled wood categories:
Sections 3 -7 are only applicable to the FMUs that are included in the scope of evaluation,
as specified under section 2.2.

The category headings given to each Controlled Wood category are not normative within the
standard. The criteria within each category are the normative statements which define the
requirements for Controlled Wood within the bounds of these broad category headings e.g.
‘Wood harvested in violation of traditional and civil rights’ is the category heading whereas
the criteria cover subsets of such rights specific to forestry and within the scope of influence
of a Forest Management Enterprise such as workers rights and traditional and indigenous
peoples rights.

3. Illegally harvested wood

3.1. All harvesting shall take place in compliance with all laws applicable to harvesting in
the jurisdiction in accordance with the criteria outlined in table 1.
3.2. All species, qualities and quantities shall be classified and measured according to legally prescribed or acceptable standards.

Intent box: The Forest Management Enterprise shall provide evidence that legal procedures have been followed to gain permits and licenses.

<table>
<thead>
<tr>
<th>Requirements</th>
<th>Potential means of verification</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Note: means of verification is included as guidance. The Forest Management Enterprise may use other evidence to document compliance with the requirements</td>
</tr>
<tr>
<td>a) Evidence of legal authority to harvest</td>
<td>Concession license and/or harvesting permit (approved by the appropriate authority)</td>
</tr>
<tr>
<td>b) Evidence of compliance with applicable management planning requirements</td>
<td>Approved management plan or equivalent documentation, as required by local authorities</td>
</tr>
<tr>
<td></td>
<td>Note: Implementation of the forest management plan is verified by the certification body in the field</td>
</tr>
<tr>
<td></td>
<td>Note: The means of verification may vary depending on the size of forest management unit concerned.</td>
</tr>
<tr>
<td>c) Specification of applicable harvesting restrictions</td>
<td>Documentation specifying legal restrictions on harvesting (e.g. diameter limits, species restrictions, volume restrictions).</td>
</tr>
<tr>
<td>d) Evidence that timber is harvested from authorized areas (e.g. not from protected areas where harvest is not allowed)</td>
<td>Maps and/or records showing the area in which harvesting has taken place</td>
</tr>
<tr>
<td>e) Evidence of timber sales</td>
<td>Sales contracts, invoices</td>
</tr>
<tr>
<td>f) Evidence of payment of royalties or other fees (i.e. fees on harvesting rights)</td>
<td>Official records confirming payments</td>
</tr>
<tr>
<td>g) Evidence of compliance with applicable provisions and requirements of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)</td>
<td>An up to date list of tree species in the FMU that are listed in Appendices I to III of the (CITES)</td>
</tr>
<tr>
<td></td>
<td>National permits for harvest or trade of any CITES-listed species, if applicable</td>
</tr>
<tr>
<td>h) Evidence of compliance with requirements in relation to transportation of timber</td>
<td>Copies of transport or sales permits with specification of species and volumes as applicable</td>
</tr>
</tbody>
</table>
4. **Wood harvested in violation of traditional and civil rights**

4.1. There is evidence of no violation of the International Labor Office (ILO) Fundamental Principles and Rights at Work in the FMU.

The ILO Declaration on Fundamental Principles and Rights at Work is an expression of commitment by governments, employers' and workers' organizations to uphold basic human values - values that are vital to our social and economic lives. The Declaration on Fundamental Principles and Rights at Work covers four areas:

- Freedom of association and the right to collective bargaining;
- The elimination of forced and compulsory labour;
- The abolition of child labour, and;
- The elimination of discrimination in the workplace.

4.2. No conflicts relating to land tenure or land use rights of traditional or indigenous peoples groups exist in the FMUs under control of the Forest Management Enterprise for which a resolution process has not been agreed by the main parties to the dispute (see section 4.4 below).

4.3. There is evidence of no violation of the ILO Convention 169 on Indigenous and Tribal Peoples taking place in the FMUs under control of the Forest Management Enterprise.

4.4. The Forest Management Enterprise shall implement a consultation process to identify potential conflicts relating to land tenure or land use rights of traditional or indigenous peoples groups in the areas affected by the Forest Management Enterprise operations.

4.5. In cases where a resolution process is in place (see section 4.2 above), the Forest Management Enterprise shall provide evidence of the process by which any disputes are being resolved, which demonstrates the broad support of the parties to the dispute, and which outlines an agreed interim process for addressing the dispute and for the management of the forest area concerned.

5. **Wood harvested in forests in which high conservation values are threatened by management activities**

5.1. Forest management activities in the FMU shall not threaten high conservation values in accordance with section 5.2 below.

5.2. The Forest Management Enterprise shall keep records of evidence to demonstrate compliance with Section 5.1 above. Evidence shall include but is not restricted to:

   a) records of an assessment (e.g. ecological assessment, environmental impact assessment or wildlife census, social assessment) appropriate to the size of the FMU and intensity of management to identify the presence of high conservation values.
a) evidence[1] of consultation with stakeholders in relation to the precautionary measures, including NGOs and parties that are involved with or have an interest in the forest area with respect to social or environmental aspects. Where relevant, the assessment shall include consultation with representatives and members of communities and indigenous peoples living in or adjacent to the FMU.

c) a list of the high conservation values thus identified in the FMU, together with evidence indicating that high conservation values are not threatened in the FMUs.

Intent box: The intent of the requirements for ‘FSC Controlled Wood’ is to ensure that critically endangered or threatened high conservation values are identified and conserved.

6. Wood harvested from areas being converted from forests and other wooded ecosystems to plantations or non-forest uses

6.1. No conversion of natural and semi-natural forests and other wooded ecosystems such as woodlands and savannahs to plantations or non-forest uses take place, except as permitted by section 6.3 below.

6.2. The Forest Management Enterprise shall keep records to demonstrate compliance with section 6.1 above.

6.3. Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion:
   a) entails a very limited portion of the FMU
   b) does not occur on high conservation value forest areas,
   c) will enable clear, substantial, additional, secure long term environmental and social benefits across the FMU

7. Wood from forest management units in which genetically modified trees are planted

7.1. The Forest Management Enterprise shall ensure that no planted genetically modified (GM) trees are present in the FMU.

7.2. The Forest Management Enterprise shall keep records of and make available on request evidence to demonstrate compliance with section 7.1 above.

[1] For example minutes of meetings, letters of invitation, photographs
Annex 1: Glossary of terms

Broad Support. Agreement characterised by a wide and strong majority in favour of a proposal.

Civil Rights. Right or rights belonging to a person by reason of citizenship
The rights that every person in a society has, for example to be treated equally, to be able to vote, work, etc.

Civil Rights Violations. Infringement of the right or rights belonging to a person by reason of citizenship.

Excluded Groups. Groups that do not have access to the full benefits of society.

Forest Management Enterprise (FME). Company or operation responsible for forest management.

Forest Management Unit (FMU). A clearly defined forest area with mapped boundaries, managed by a single managerial body.

FSC Controlled Wood. Virgin wood or wood fibre which has been verified as having a low probability of including wood from any of the following categories:

a) Illegally harvested wood;
b) Wood harvested in violation of traditional and civil rights;
c) Wood harvested in forests in which high conservation values are threatened by management activities;
d) Wood harvested in forests being converted from natural and semi natural forest to plantations or non-forest use;
e) Wood from forests in which genetically modified trees are planted.

Genetically Modified Organism (GMO). Biological organisms which have been induced by various means to consist of genetic structural changes (FSC Principles and Criteria, Feb 2000).

Genetically Modified (GM) tree. GMO derived from a tree species[^2].

High Conservation Value Forests (HCVFs). High conservation Value Forests are those that possess one or more of the following attributes:

a) forest areas containing globally, regionally or nationally significant concentrations of biodiversity values (e.g. endemism, endangered species, refugia); and/or large landscape level forests, contained within, or containing the management unit, where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance
b) forest areas that are in or contain rare; threatened or endangered ecosystems
c) forest areas that provide basic services of nature in critical situations (e.g. watershed protection, erosion control)
d) forest areas fundamental to meeting basic needs of local communities (e.g. subsistence, health) and/or critical to local communities’ traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities

[^2]: Clones, hybrids formed by natural processes, or the products of traditional tree breeding, selection, grafting, vegetative propagation or tissue culture are not GMOs, unless produced by GMO techniques (FSC POL-30-602).
Illegally harvested wood. Wood that has been harvested in violation of any laws applicable to harvesting in that location or jurisdiction including the acquisition of the harvesting rights from the rightful owner; the harvesting methods used and the payment of all relevant fees and royalties.

International Labor Office (ILO) Fundamental Principles and Rights at Work. Conventions number 29, 87, 98, 100, 105, 111, 138 and 182 are Core Standards covered by the 1998 ILO Declaration on Fundamental Principles and Rights at Work and its Follow-up. ILO member states are expected to promote and realize these principles, even if they have not ratified the Conventions. The ILO Code of Practice is not a legal instrument, but it provides authoritative guidance on forest work.

- 29 Forced Labour Convention, 1930.
- 100 Equal Remuneration Convention, 1951.

Indigenous Peoples. "The existing descendants of the peoples who inhabited the present territory of a country wholly or partially at the time when persons of a different culture or ethnic origin arrived there from other parts of the world, overcame them and, by conquest, settlement, or other means reduced them to a non-dominant or colonial situation; who today live more in conformity with their particular social, economic and cultural customs and traditions than with the institutions of the country of which they now form a part, under State structure which incorporates mainly the national, social and cultural characteristics of other segments of the population which are predominant." (Working definition adopted by the UN Working Group on Indigenous Peoples) (FSC Principles and Criteria, February 2000). Convention 169 of the International Labour Office relates to Indigenous and Tribal peoples and is applicable to the definitions and provisions of this standard.

Local civil society groups. Those groups representing local and community interests.

Long term. The time-scale of the forest owner or manager as manifested by the objectives of the management plan, the rate of harvesting, and the commitment to maintain permanent forest cover. The length of time involved will vary according to the context and ecological conditions, and will be a function of how long it takes a given ecosystem to recover its natural structure and composition following harvesting or disturbance, or to produce mature or primary conditions (FSC Principles and Criteria, February 2000).

Origin. Forest area where the trees for the wood or fiber were harvested.

Plantation. Forest areas lacking most of the principal characteristics and key elements of native ecosystems as defined by FSC-approved national and regional standards of forest stewardship, which result from the human activities of either planting, sowing or intensive silvicultural treatments (FSC Principles and Criteria, February 2000).

SLIMF (Small or Low Intensity Managed Forest). A forest management unit which meets specific FSC requirements related to size and/or intensity of timber harvesting, and can
therefore be evaluated by certification bodies using streamlined evaluation procedures. The applicable FSC requirements are defined in FSC-STD-01-003 SLIMF Eligibility Criteria.

**Stakeholder.** Any individual or group whose interests are affected by the way in which a forest is managed.

**Tenure.** Socially defined agreements held by individuals or groups, recognized by legal statutes or customary practice, regarding the "bundle of rights and duties" of ownership, holding, access and/or usage of a particular land unit or the associated resources there within (such as individual trees, plant species, water, minerals, etc) (FSC Principles and Criteria, February 2000).

**Threatened.** Having an uncertain chance of continued survival.

**Traditional rights.** Rights which result from a long series of habitual or customary actions, constantly repeated, which have, by such repetition and by uninterrupted acquiescence, acquired the force of a law within a geographical or sociological unit. Also known as customary rights (FSC Principles and Criteria, February 2000).

**Traditional rights violations.** Infringement on local customary rights.

**Use rights.** Rights for the use of forest resources that can be defined by local custom, mutual agreements, or prescribed by other entities holding access rights. These rights may restrict the use of particular resources to specific levels of consumption or particular harvesting techniques (FSC Principles and Criteria, February 2000).

**Very limited portion.** The area affected shall not exceed 0.5% of the area of the FMU in any one year, nor affect a total of more than 5% of the area of the FMU.
Annex 2: Requirements for Small & Low Intensity Managed Forest (SLIMF) operations

1. System requirements
1.1. The Forest Management Enterprise (FME) shall have procedures or work instructions to ensure implementation of all the elements specified in Sections 1-7 below.

Supplying FSC Controlled Wood
1.2. The Forest Management Enterprise shall include the following information on all invoices issued for sales of FSC Controlled Wood products:
   a) the name and address of the buyer
   b) the date on which the invoice was issued
   c) the description of the product
   d) the quantity of the products sold
   e) reference to the products batch and/or to related shipping documentation,
   f) sufficient to link the invoice to the goods received by the customer;
   g) the certification code issued by an FSC accredited Certification Body

1.3. Invoices and shipping documents for sale of FSC controlled wood shall always include the claim “FSC Controlled Wood”. Where sale or transport documents cover a consignment of both controlled and uncontrolled wood it shall specify which products are sold or transported as “FSC Controlled Wood”

2. Specification of scope of evaluation
2.1. The Forest Management Enterprise shall specify the Forest Management Units (FMUs) under its management.
2.2. The Forest Management Enterprise shall specify the FMUs to be included in the scope of evaluation for compliance with this standard.
2.3. If some FMUs under the control of the Forest Management Enterprise are not included in the scope of evaluation for compliance with this standard, then the FME shall implement a tracking system to ensure wood from FMUs included in the scope of the standard to be reliably identified as such.

Part 3: FSC Controlled Wood categories:

3. Illegally harvested wood
3.1. The Forest Management Enterprise shall provide verifiable evidence of legal authority to harvest in the FMU.
3.2. The Forest Management Enterprise shall provide verifiable evidence of payment of royalties or other fees (i.e. fees on harvesting rights).
3.3. The Forest Management Enterprise shall demonstrate that species, qualities and quantities are classified and measured according to legally-prescribed or acceptable standards in the jurisdiction

4. Wood harvested in violation of traditional and civil rights
4.1. The Forest Management Enterprise shall demonstrate that there is no evidence violation of the ILO Fundamental Principles and Rights at Work in the FMU.
4.2. The Forest Management Enterprise shall demonstrate that there are no conflicts relating to land tenure or land use rights of traditional or indigenous peoples groups in the FMU's within control of the Forest Management Enterprise for which a resolution process has not been agreed by the main parties to the dispute.

5. Wood harvested in forests in which high conservation values are threatened by management activities.
   5.1. Forest management activities in the FMU shall not threaten high conservation values in accordance with section 5.2 below.
   5.2. High conservation values in the FMU shall be identified and precautionary measures taken by the Forest Management Enterprise to eliminate potential negative impacts to high conservation values present.

6. Wood harvested from areas being converted from forests and other wooded ecosystems to plantations or non-forest uses.
   6.1. No conversion of natural and semi-natural forests and other wooded ecosystems such as woodlands and savannahs to plantations or non-forest uses take place, except as permitted by Section 6.2 below.
   6.2. The Forest Management Enterprise shall provide verifiable evidence to demonstrate compliance with Section 6.1 above. Forest conversion to plantations or non-forest land uses shall not occur, except in circumstances where conversion:
      a) entails a very limited portion of the FMU;
      b) does not occur on high conservation value forest areas, and;
      c) will enable clear, substantial additional, secure long term environmental and social benefits across the FMU.

7. Wood from forest management units in which genetically modified trees are planted.
   7.1 The Forest Management Enterprise shall ensure that no planted GM trees are present in the FMU.
   7.2 The Forest Management Enterprise shall provide verifiable evidence to demonstrate compliance with Section 7.1 above.
Annex 3: Provisions for claims related to FSC Controlled Wood

1.1 Companies supplying FSC Controlled Wood shall make claims regarding FSC Controlled Wood or use the statement ‘FSC Controlled Wood’ only in business to business relation with FSC certified Chain-of-Custody operations acquiring FSC Controlled Wood for the purpose of mixing with FSC certified material in mixed products.

1.2 Companies supplying FSC Controlled Wood shall not make claims regarding FSC Controlled Wood or use the statement ‘FSC Controlled Wood’ or the FSC Trademarks on-product or on point of sale materials or in any other promotional material.

1.3 Companies supplying FSC Controlled Wood may use the term ‘FSC Controlled Wood’ in segregation marks during manufacturing process or storage. Segregation marks with the statement ‘FSC Controlled Wood’ shall be removed/deleted if products are reaching final points of sale and/or when the segregation marks could be interpreted as commercial labels.

1.4 Companies supplying FSC Controlled Wood shall clearly link the statement ‘FSC Controlled Wood’ to the products being sold as FSC Controlled Wood in the respective documentation.

1.5 Companies supplying FSC Controlled Wood shall be in compliance with the following requirements outlined in sections 1.6-1.7 of Annex 3 below when making claims about ‘FSC Controlled Wood’.

1.6 The statement ‘FSC Controlled Wood’ shall always be accompanied by the FSC Controlled Wood certificate code issued by the FSC accredited certification body.

1.7 The FSC label shall not be used with claims about products sold or sourced exclusively as ‘FSC Controlled Wood’ or in reference to Controlled Wood certificates.