

# WWF Forest Certification Assessment Tool (CAT)

Certification schemes have an important role to play in forest conservation, by enabling customers to choose products from forests that are managed in an economically, socially and environmentally responsible way.

To be effective, certification schemes need to have operational standards that are strong enough to deliver real positive impacts on the ground. And they need to have a strong governance structure and systems in place to ensure that the standards are applied.

WWF has developed the Certification Assessment Tool (CAT) to test the strength of certification systems and their standards on issues that matter to us and many other stakeholders worldwide. The CAT is based on our experience of working with a wide range of commodity certification schemes.

By highlighting strengths and areas for improvement in different schemes, the CAT enables WWF to monitor continuous improvements of certification schemes and their ability to deliver greater benefits for people and nature.

## What does the CAT evaluate?

**Standard strength** – the requirements that forestry operations need to fulfil in order to become certified. This covers environmental issues such as biodiversity, water and soil management, pollution and greenhouse-gas emissions, and social issues such as land tenure, community relations and workers' rights.

**System strength** – the rules and procedures that regulate the system. This includes how the management and other standards are developed and verified, the control of the certification bodies, governance and grievance procedures, and chain of custody and labelling issues.

The CAT is based on WWF's conservation objectives, expert opinion and existing research into the impacts of certification. For example, multi-stakeholder schemes, in which different stakeholders such as communities, civil society organizations and environmental NGOs are actively involved, tend to score higher. This is because our experience shows that multi-stakeholder schemes are more likely to drive dialogue on emerging issues, address issues that matter to civil society and ensure that certificate holders comply with the standards.

The CAT is a living document and will be updated regularly to address upcoming issues and fairly reflect progress made by schemes to deliver better outcomes.

## What the results tell us

WWF has so far assessed three forest management certification schemes:

- The Forest Stewardship Council (FSC) international system and its Principles & Criteria (P&Cs) version 4 (current) and version 5 (in transition) as well as its certification body standards for Malaysia.

- The Programme for Endorsement of Forest Certification (PEFC) system and its global framework for endorsing national standards – Requirements and Criteria (PEFC 2013).
- The Malaysian Timber Certification Scheme (MTCS) and its Standard for Natural Forests, which is endorsed by PEFC.

The CAT suggests that FSC, with stronger system strength, provides the most credible forest certification scheme at present. [Independent research](#) also confirms that FSC certification has positive impacts on the environment, social development and governance. There is no extensive research looking at the impacts of PEFC. Encouragingly, the CAT suggests that the revised FSC standard (P&C v5) has improved considerably compared to P&C v4, particularly on its social criteria: this means that as more forests are certified against this standard, forest management should improve further. The CAT also indicates that the FSC system is strongest where standards are developed and agreed at a national level.

While PEFC (2013) performs well in areas such as water and soil management, it scores less on several important criteria, such as biodiversity, and workers' rights. The CAT result highlights weaknesses in the PEFC system around accreditation and certification. One significant weakness identified is that the controversial sources definition related to non-certified material in the PEFC chain of custody standard could mean that certified products may contain wood from areas where traditional and civil rights are violated, or where poor forest management threatens areas of high conservation value.

MTCS, the Malaysian forest certification scheme endorsed by PEFC, scores considerably lower than PEFC on both standard and system strength.

By comparison, the interpretations of the FSC standard (P&C v 4) for Malaysia developed by two certification bodies scored similar to the global standard.

Both FSC and PEFC have commented on the scorings; however, MTCS declined. This doesn't imply that any of the schemes endorse the content and structure of the CAT as an assessment tool.

### **Areas for improvement**

WWF uses the CAT to highlight areas where certification schemes can be strengthened.

This round of assessment shows that FSC needs to develop national standards through balanced multi-stakeholder negotiations in countries where these are still missing. Stronger criteria on producer communication and greenhouse-gas emissions would strengthen the standard.

The credibility of the PEFC system would benefit from more active and formally balanced participation from a wide range of stakeholders in its governance system, and greater transparency. This recommendation also applies to PEFC-endorsed national schemes, such as MTCS, although they can make improvements independently.

PEFC should ensure all of its endorsed standards fully comply with its international requirements and criteria. This is particularly important as PEFC is rapidly moving into regions where forest governance remains challenging, with low transparency, poor law enforcement and corruption.

The PEFC chain of custody standard needs to be strengthened to ensure the exclusion of non-acceptable sources in labelled products.

Areas for improvement within the PEFC and MTCS management standards include exclusion of natural forest conversion, safeguarding High Conservation Values, better producer communication and addressing greenhouse-gas emissions. MTCS should also better address indigenous peoples' rights and community relations.





# WWF CERTIFICATION ASSESSMENT TOOL V3

## FOREST STEWARDSHIP COUNCIL (FSC)

The CAT is a formalized methodology to evaluate and compare standards and certification schemes. The CAT evaluates the requirements of a certification scheme's standard, and the system strength – rules and procedures that regulate how the standard is implemented, assessed and governed.

The following document assesses the Forest Stewardship Council (FSC) certification scheme: the system strengths for FSC with national standards and FSC with certification body (CB) standards; and standard strengths for FSC Principles & Criteria (P&C) version 4 and version 5. This document also includes assessment of FSC version 4 in Malaysia where there is no national standards but only two certification body interpretations (Rainforest Alliance and SCS). These are included in Part II – Standard Strengths.

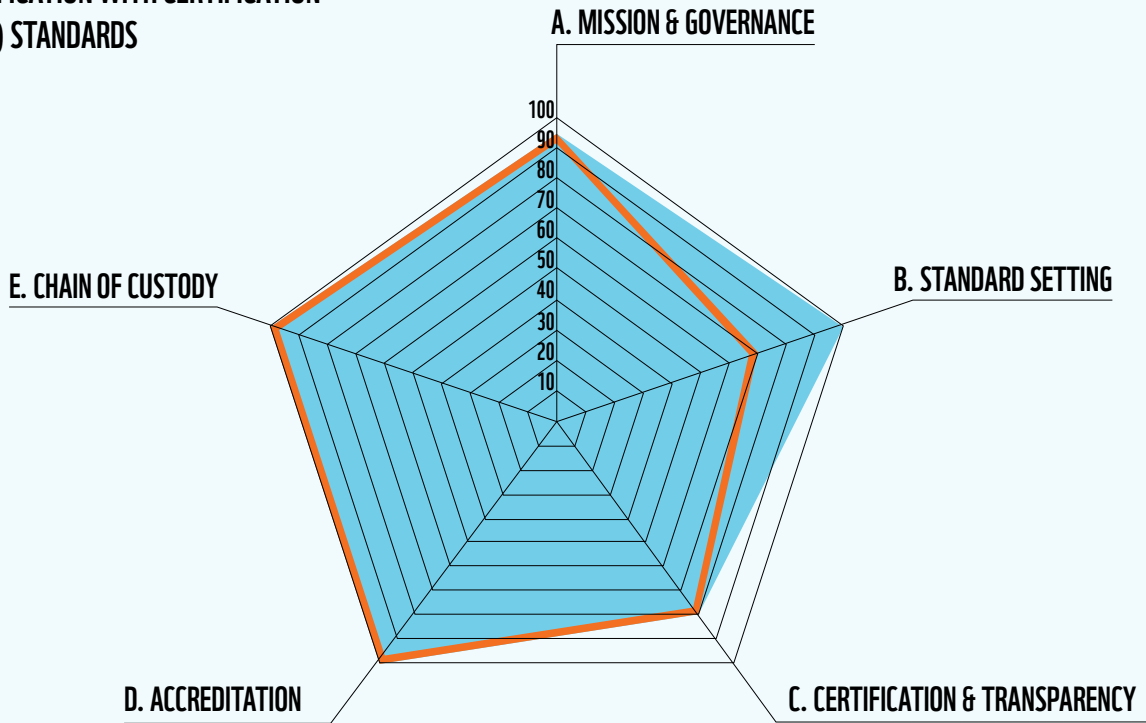
For more information on the CAT, see the [factsheet](#).

# CERTIFICATION ASSESSMENT TOOL (CAT) V3

Forest Stewardship Council (FSC)

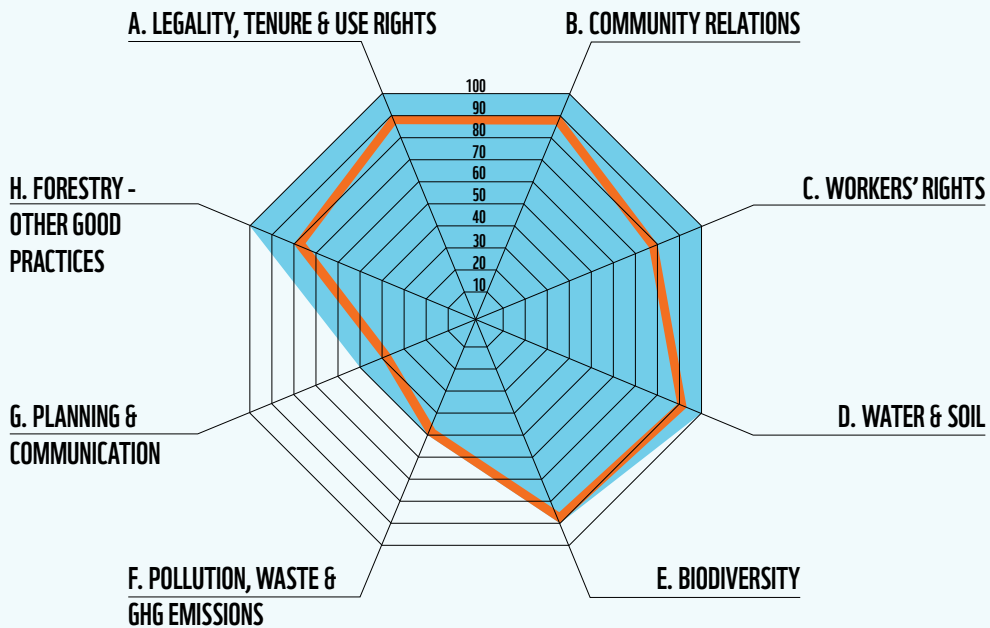
## PART I - SYSTEM STRENGTHS

- FSC WITH NATIONAL STANDARDS
- FSC CERTIFICATION WITH CERTIFICATION BODY (CB) STANDARDS



## PART II - STANDARD STRENGTHS

- FSC P&C v 5\*
- FSC P&C v 4



\*FSC P&C v5 will go into effect on January 2016 for new certificates and on January 2017 for old certificates. As of the publication date of this report, FSC P&C v4 is in use.

FSC PART I - SYSTEM STRENGTHS		FSC with national standards	FSC with CB standards
<b>A. MISSION AND GOVERNANCE</b>			
1	The scheme is set up to continuously improve the social, environmental and economic benefits of producing a specific commodity or category of commodities.	✓	✓
2	Scheme core normative documents, e.g. statutes, bylaws and principles and criteria, are publicly available on a scheme website.	✓	✓
3	The scheme is a (full or associate) member of ISEAL.	✓	✓
4	The scheme has a resourced Secretariat with clearly defined staff and functions related to, at a minimum, finance, standard development, communication, membership/participant handling, quality assurance and complaints. An organizational chart and contact details are publicly available online.	✓	✓
5	The scheme is open to membership (and/or similar level of participation in governance) for all stakeholders who share the scheme's values and objectives.	✓	✓
6	Names and affiliation of members are publicly available on a scheme website.	✓	✓
7	Members are required to commit to scheme values and objectives through signing a code of conduct (or similar).	✓	✓
8	Member's code of conduct requires legal compliance, adherence to International Labour Organization (ILO) core conventions and free, prior and informed consent and maintenance of High Conservation Values (HCVs).	✓	✓
9	Members are required to develop and adhere to a time-bound plan towards certification and/or procurement of certified products, and report annually on progress.	—	—
10	Procedures are in place to suspend or terminate membership for gross violations of the code of conduct.	✓	✓
11	The scheme's highest decision-making forum is, or is formally mandated by, the membership/scheme participants.	✓	✓
12	Highest decision-making forum procedures ensure that no interest group can dominate governance decision-making.	✓	✓
13	Highest decision-making forum procedures ensure that non-economic sector constituencies collectively have (at least) the same governance decision-making power as economic sector constituencies.	✓	✓
14	Highest decision-making forum procedures ensure that constituencies representing economic, social and environmental interests have equal governance decision-making power.	✓	✓
15	Highest governance decision-making forum requires balanced participation of economic, social and environmental representatives.	✓	✓
16	Changes to core normative documents, e.g. statutes, bylaws, and principles and criteria, require voting by the scheme members/participants.	✓	✓
17	Executive (secretariat) functions are overseen by a board of directors or trustees composed of individuals mandated by voting among scheme members/participants.	✓	✓
18	Minutes of board or trustee meetings are publicly available.	✓	✓
19	There are time-bound and transparent procedures for handling disputes and complaints by members/participants related to governance and executive functions.	✓	✓
20	There are defined procedures for appealing the handling of disputes and complaints related to governance and executive functions open to all members/participants.	✓	✓
<b>B. SETTING STANDARDS</b>			
21	Nationally applicable certification standard(s) constitute, or are adapted from, a set of internationally, regionally or nationally applicable principles and criteria (or equivalent).	✓	✓
22	The principles and criteria (or equivalent) address as a minimum: social and environmental impacts, workers' conditions and rights, community relations, environmental services, conservation of biodiversity and good management practices.	✓	✓
23	Nationally applicable certification standards are (or were) developed in accordance with formally defined scheme procedures.	✓	✓
24	Representatives of major economic, social and environmental interests are actively invited to participate in the development of nationally applicable certification standards.	✓	—
25	Nationally applicable certification standards are developed with a meaningful participation of economic, social and environmental representatives.	✓	—
26	Nationally applicable certification standards are developed by consensus or in processes where no single interest group can dominate decision-making.	✓	—
27	Nationally applicable certification standards are developed by consensus or in processes where a certain minimum, balanced quorum is required for decision-making.	✓	—
28	Nationally applicable certification standards are developed in processes where input is solicited from scientific and technical experts.	✓	✓
29	Draft nationally applicable certification standards are subject to public consultation.	✓	✓
30	Input received in consultations on draft nationally applicable certification standards is documented and there is report back on how issues raised are addressed.	✓	✓



FSC PART I - SYSTEM STRENGTHS		FSC with national standards	FSC with CB standards
31	Nationally applicable certification standards are formally approved by the scheme.	✓	—
32	Nationally applicable certification standards are publicly available on a website.	✓	✓
33	Nationally applicable certification standards have auditable indicator(s) for each criterion.	✓	✓
34	Most indicators of nationally applicable certification standards require an absolute level of performance (as opposed to merely relative improvement or the existence of a process).	✓	✓
35	Nationally applicable certification standards clearly distinguish mandatory requirements from recommendations and guidance.	✓	✓
36	Nationally applicable certification standards have separate requirements for small and/or medium-sized management units and/or are formulated so as to take account of the scale and intensity of operations.	✓	✓
37	Nationally applicable certification standards are revised at least every five years.	✓	✓
38	Nationally applicable certification standards are developed and revised in full compliance with the ISEAL Code of Good Practice.	✓	—
39	The scheme either applies the same certification standard in all areas of operation, or has procedures for harmonization of different standards applicable to similar national/regional contexts.	✓	✓
40	The scheme either applies the same certification standard in all areas of operation, or has procedures for certification based on scheme principles and criteria (or equivalent) in countries without nationally applicable standards.	✓	✓
C. CERTIFICATION AND TRANSPARENCY			
41	Producers are certified by independent third party certification bodies operating in compliance with ISO requirements.	✓	✓
42	Producers applying for certification are required to commit to a time-bound plan for certification of all (eligible) units under their control.	—	—
43	Searchable databases with names, sizes and locations of all certified units, including expiry dates, are publicly available on a scheme website.	✓	✓
44	Certification bodies post information about upcoming scheduled certification and surveillance audits on a common national and/or international scheme-operated website or mailing list.	—	—
45	Certification bodies are required to conduct annual or more frequent surveillance audits of certificate holders.	✓	✓
46	Certification bodies are required to proactively consult with affected stakeholders during both certification and surveillance audits.	✓	✓
47	Certification bodies are required take account of stakeholders' comments during certification and surveillance audits.	✓	✓
48	Certification bodies are required conduct risk-based auditing and surveillance.	✓	✓
49	Certification bodies are required to adjust the intensity of auditing and surveillance to match observations in the field.	—	—
50	Certification bodies are required to conduct unannounced audits in high-risk contexts.	—	—
51	Certificate holders are required to rectify non-compliances identified during certification and surveillance audits within a set timeframe that does not exceed one year.	✓	✓
52	Less severe (minor) non-compliances that are not rectified in time are escalated to severe (major) non-compliances.	✓	✓
53	Severe (major) non-compliances that are not rectified in time lead to suspension or termination of the certificate.	✓	✓
54	Summary reports of certification and surveillance audits (including dates, locations and scope of auditing, team composition, main findings and corrective action requests) are publicly available in a UN language on a website.	✓	✓
55	Summary reports of certification and surveillance audits (including dates, locations and scope of auditing, team composition, main findings and corrective action requests) are publicly available in a common local language on a website.	✓	✓
56	Summary reports of certification and surveillance audits are made publicly available within 90 days after completion of the audit.	✓	✓
57	Certificates are valid for no more than five years after which a new full certification audit is required.	✓	✓
58	Certification bodies implement formal and transparent, publicly available procedures for handling disputes and complaints related to certification and surveillance.	✓	✓
59	Certification and surveillance complaints procedures have clear deadlines.	✓	✓
60	Certification and surveillance complaints procedures include appeal mechanisms open to use by any affected party.	✓	✓

FSC PART I - SYSTEM STRENGTHS		FSC with national standards	FSC with CB standards
<b>D. ACCREDITATION</b>			
61	Certification bodies are accredited by an ISEAL member accreditation organization.	✓	✓
62	The accreditation organization(s) list(s) upcoming regular assessments and surveillance audits of certification bodies publicly on a website.	✓	✓
63	The accreditation organization provides mechanisms for stakeholder input during assessment and surveillance audits of certification bodies.	✓	✓
64	The accreditation organization verifies that certification bodies have the systems and competences necessary to audit compliance with the standard's social and environmental requirements and to engage effectively with stakeholders during auditing and surveillance.	✓	✓
65	The accreditation organization conducts risk-based auditing and surveillance of accredited certification bodies.	✓	✓
66	Less severe (minor) non-compliances that are not rectified within the time set are escalated to severe (major) non-compliances.	✓	✓
67	Severe (major) non-compliances that are not rectified within the time set lead to suspension or termination of the accreditation.	✓	✓
68	Summaries of the accreditation assessments of certification bodies are publicly available.	✓	✓
69	Accreditation organizations implement formal and transparent, publicly available procedures for handling disputes and complaints related to approval and accreditation of certification bodies.	✓	✓
70	Certification and accreditation complaints procedures include appeal mechanisms open to any involved party.	✓	✓
<b>E. CHAIN OF CUSTODY</b>			
71	There are scheme procedures for monitoring custody and trade of materials from certified producers (regardless of chain of custody model).	✓	✓
72	There are scheme procedures for assessing risks related to the origin of materials in labelled products.	✓	✓
73	Certificate holders are required to manage critical control points along the supply chain with a scope and rigour that corresponds to the risks.	✓	✓
74	Certification bodies survey certificate holders' operation of chain of custody procedures.	✓	✓
75	Certification bodies survey certificate holders' use of claims, trademarks and labels, on and off products.	✓	✓
76	The scheme either only allows for claims on products consisting of fully segregated materials, or requires that claims associated with products containing a physical mix of certified and non-certified materials are clearly distinguished, e.g. by use of terms such as "mixed" or "proportion."	✓	✓
77	The scheme either only allows for claims on products consisting of fully segregated materials, or requires that products of mixed origins do not any contain any (focus commodity) materials defined as "controversial," "unacceptable" or similar.	✓	✓
78	The scheme requires that products labelled or otherwise claimed as certified do not contain any (focus commodity) materials that are illegally harvested or traded.	✓	✓
79	The scheme requires that products labelled or otherwise claimed as certified do not contain any (focus commodity) materials from areas where traditional or civil rights are violated.	✓	✓
80	The scheme requires that products labelled or otherwise claimed as certified do not contain any (focus commodity) materials from areas where HCVs (1-6) are threatened.	✓	✓



# FSC PART II - STANDARD STRENGTHS

FSC v5

FSC v 4

FSC v 4  
MY RA

FSC v 4  
MY SCS

## A. LEGALITY, TENURE AND USE RIGHTS

1	Producers are required to be legally defined entities.	✓	✓	✓	✓
2	Producers are required to have legal land tenure or title and valid rights to use the management unit.	✓	✓	✓	✓
3	Producers are required to comply with all applicable national and international laws and regulations.	✓	✓	✓	✓
4	Producers are required to identify legal and customary rights of tenure, access and use of other parties that apply on the management unit.	✓	✓	✓	✓
5	Producers are required to uphold legal and customary rights of tenure, access and use of other parties, unless these rights are delegated through documented free, prior and informed consent.	✓	✓	✓	✓
6	Producers are required to respect the rights, customs and culture of indigenous peoples as defined in the UN Declaration on the Rights of Indigenous Peoples (2007) and ILO Convention 169 (1989).	✓	✓	✓	✓
7	Producers are required to engage with affected stakeholders and document measures taken to resolve disputes related to land tenure, access and use.	✓	✓	✓	✓
8	Producers are required to engage with affected stakeholders and document measures taken to resolve disputes related to water access and use.	✓	✓	✓	✓
9	Producers are required to take measures against unauthorized or illegal activities and settlement on the management unit.	✓	✓	✓	✓
10	Producers are required to commit in writing not to offer or receive bribes or engage in any other form of corruption.	✓	—	—	—

## B. COMMUNITY RELATIONS

11	Producers are required to engage in dialogue with neighbouring communities and individuals.	✓	✓	✓	✓
12	Producers are required to identify negative impacts from operations on communities and individuals.	✓	✓	✓	✓
13	Producers are required to take measures to minimize and mitigate negative impacts from operations on communities and individuals.	✓	✓	✓	✓
14	Producers are required to address grievances and provide fair compensation for negative impacts of operations on local communities and individuals.	✓	✓	✓	✓
15	Producers are required to assess potential impacts on communities and individuals, including impacts on food security and water availability, prior to any significant intensification or expansion of cultivation or infrastructure.	✓	✓	✓	✓
16	Producers are required to identify and respect sites of cultural and religious significance in the management unit.	✓	✓	✓	✓
17	Producers are required to assess and maintain High Conservation Values (HCVs) category 5 (basic necessities for local communities) in the management unit.	✓	✓	✓	✓
18	Producers are required to support economic development by providing opportunities for local employment and provision of services.	✓	✓	✓	✓
19	Producers are required to actively engage in welfare programmes, where relevant to the social context.	✓	—	—	—
20	Producers are required to regularly monitor their impacts on the local economy and to adapt management as necessary for improvement.	✓	✓	✓	✓

## C. WORKERS' RIGHTS

21	Producers are required to respect the core ILO rights of workers as defined in the Declaration on Fundamental Principles and Rights at Work (1998).	✓	✓	✓	✓
22	Producers are required to ensure that children under the age of 15 (or higher if stipulated in national law) do not carry out productive work in the management unit.	✓	✓	✓	✓
23	Producers are not allowed to use forced or otherwise involuntary labor.	✓	✓	✓	✓
24	Producers are required to ensure that there is no discrimination at work and that workers are not subject to any form of corporal punishment, abuse, harassment or intimidation.	✓	✓	✓	✓
25	Producers are required to identify potential health and safety risks at work and take measures to avoid them.	✓	✓	✓	✓
26	Producers are required to ensure that workers are adequately equipped, instructed and trained for their tasks, including safe use and handling of chemicals.	✓	✓	✓	✓
27	Producers are required to respect workers' freedom of association and right to collective bargaining.	✓	✓	✓	✓
28	Producers are required to ensure that wages, working hours and leave comply with, or exceed, applicable legislation and sector minimum standards.	✓	—	—	—
29	Producers are required to address grievances related to working conditions and workers' rights and to provide compensation for occupational injuries.	✓	—	—	—
30	Producers are required to regularly monitor working conditions and to adapt management as necessary for improvement.	✓	✓	✓	—

## FSC PART II - STANDARD STRENGTHS

FSC v5

FSC v 4

FSC v 4  
MY RA

FSC v 4  
MY SCS

### D. WATER AND SOIL

31	Producers are required to identify water resources potentially affected by operations, in as well as outside the management unit.	✓	✓	✓	✓
32	Producers are required to take measures to minimize and mitigate negative impacts from operations on water resources.	✓	✓	✓	✓
33	Producers are not allowed to create or aggravate situations of water scarcity.	✓	✓	✓	✓
34	Producers are required to maintain or improve the quality of surface and ground water.	✓	✓	✓	✓
35	Producers are required to maintain natural wetlands in undrained conditions.	✓	—	—	✓
36	Producers are required to avoid or minimize run-off and siltation of watercourses.	✓	✓	✓	✓
37	Producers are required to take measures to minimize negative impacts from operations on soil resources.	✓	✓	✓	✓
38	Producers are required to avoid or minimize soil erosion.	✓	✓	✓	✓
39	Producers are required to maintain or improve soil quality.	✓	✓	✓	✓
40	Producers are required to regularly monitor their impacts on soil and water and to adapt management as necessary for improvement.	✓	✓	✓	✓

### E. BIODIVERSITY

41	Producers are required to identify biodiversity values, potentially affected by operations, in as well as outside the management unit.	✓	✓	✓	✓
42	Producers are required to take measures to minimize and mitigate negative impacts from operations on biodiversity values.	✓	✓	✓	✓
43	Producers are required to assess potential impacts on biodiversity values prior to significant intensification or expansion of cultivation or infrastructure.	✓	✓	✓	✓
44	Producers are required to protect rare and threatened species and their habitats in the management unit.	✓	✓	✓	✓
45	Producers are required to assess and maintain HCVs category 1 (concentrations of rare and threatened species), 2 (large landscapes in a relatively natural state) and 3 (rare and threatened ecosystems) in the management unit.	✓	✓	✓	✓
46	Producers are required to maintain representative areas of native ecosystems in the management unit.	✓	✓	✓	✓
47	Producers are required to maintain or restore native vegetation along streams and watercourses.	✓	✓	✓	✓
48	Producers are required to take measures against any illegal or inappropriate hunting, fishing or collecting in the management unit.	✓	✓	✓	✓
49	Producers are not allowed to introduce or use invasive alien species in the management unit.	—	—	—	✓
50	Producers are required to regularly monitor their impacts on biodiversity and to adapt management as necessary for improvement.	✓	✓	✓	✓

### F. POLLUTION, WASTE AND GREENHOUSE-GAS EMISSIONS

51	Producers are required to implement integrated pest management practices that minimize the use of pesticides.	✓	✓	✓	✓
52	Producers are not allowed to use hazardous chemicals (as defined by WHO 1A and B and the Stockholm and Rotterdam conventions).	✓	✓	✓	✓
53	Producers are required to document all application, handling, storage and disposal of agrochemicals.	—	—	—	—
54	Producers are required to take measures to avoid or minimize negative impacts of agrochemical use on human health and the environment.	✓	✓	✓	✓
55	Producers are required to ensure that transportation, application, handling, storage and disposal of agrochemicals comply with good practice and/or manufacturers' recommendations.	—	—	—	—
56	Producers are required to ensure that any use of biological control agents complies with internationally recognized standards and/or protocols.	✓	✓	✓	✓
57	Producers are required to estimate sequestration and emissions of greenhouse gases from the management unit.	—	—	—	—
58	Producers are required to take measures to reduce any net emissions of greenhouse gases from the management unit.	—	—	—	—
59	Producers are not allowed to clear native forest and/or areas of high above-ground carbon stocks to expand cultivation or plantations.	✓	✓	✓	✓
60	Producers are not allowed to expand cultivation or plantations on peat soils and/or areas of high below-ground carbon stocks.	—	—	—	—

# FSC PART II - STANDARD STRENGTHS

FSC v5

FSC v 4

FSC v 4  
MY RA

FSC v 4  
MY SCS

## G. PLANNING AND COMMUNICATION

61	Producers are required to continuously improve key practices and operations.	✓	—	—	—
62	Producers are required to have management plans appropriate to the scale and intensity of the operation that demonstrate commitment to long-term social, environmental and economic viability.	✓	✓	✓	✓
63	Producers are required to regularly revise their management plans to reflect the results of monitoring and evaluation.	✓	✓	✓	✓
64	Producers are required to make summaries of their management plans publicly available on their website.	—	—	—	—
65	Producers are required to use independent expertise for assessing social and environmental impacts prior to significant intensification or expansion of cultivation or infrastructure.	—	—	—	—
66	Producers are required to make summaries of social and environmental impact assessments publicly available on their website.	—	—	—	—
67	Producers are required to identify HCVs (all six categories) prior to significant expansion of cultivation or plantations.	✓	✓	✓	✓
68	Producers are required to use independent expertise for assessing HCVs prior to expansion of cultivation or plantations.	—	—	—	—
69	Producers are required to make summaries of their HCV assessments publicly available on their website.	—	—	—	—
70	Producers are not allowed to expand cultivation or establish plantations at the expense of one or more HCVs.	✓	✓	✓	✓

## H. FORESTRY — OTHER GOOD PRACTICE

71	Producers are required to regularly monitor and evaluate key economic performance indicators like yields, revenues and costs and take measures as necessary for improvement.	✓	✓	✓	✓
72	Producers are required to promote use of a diverse range of resources and services from the management unit.	✓	✓	✓	✓
73	Producers are required to ensure that products are not harvested at levels above sustainable yields.	✓	✓	✓	✓
74	Producers are required to ensure that tree cover is regenerated to pre-harvesting (or more natural) conditions after logging.	✓	✓	✓	✓
75	Producers are required to use tree species for regeneration that are well adapted to site conditions.	✓	✓	✓	✓
76	Producers are not allowed to use genetically modified trees in the management unit.	✓	✓	✓	✓
77	Producers are required to use management practices appropriate for the tree species, site conditions and management objectives.	✓	✓	✓	✓
78	Producers are required to use management practices in natural/semi-natural forests that reflect natural disturbance regimes.	✓	—	—	—
79	Producers are required to maintain high scenic landscape values.	✓	✓	✓	✓
80	Producers are required to take measures to increase resilience and reduce potential negative impacts from natural hazards.	✓	—	—	—





# WWF CERTIFICATION ASSESSMENT TOOL V3

## PROGRAMME FOR THE ENDORSEMENT OF FOREST CERTIFICATION (PEFC)

The CAT is a formalized methodology to evaluate and compare standards and certification schemes. The CAT evaluates the requirements of a certification scheme's standard, and the system strength – rules and procedures that regulate how the standard is implemented, assessed and governed.

The following document assesses the Programme for the Endorsement of Forest Certification (PEFC).

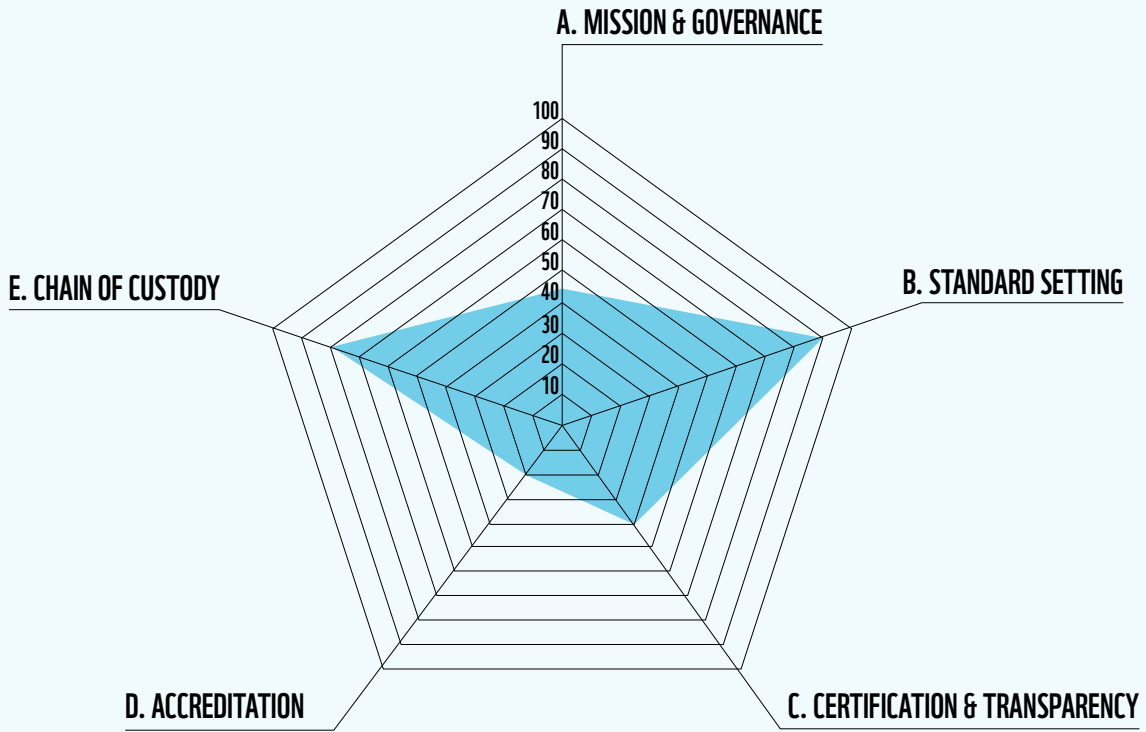
For more information on the CAT, see the [factsheet](#).

# FOREST CERTIFICATION ASSESSMENT TOOL (CAT)

Programme for the Endorsement of Forest Certification (PEFC)

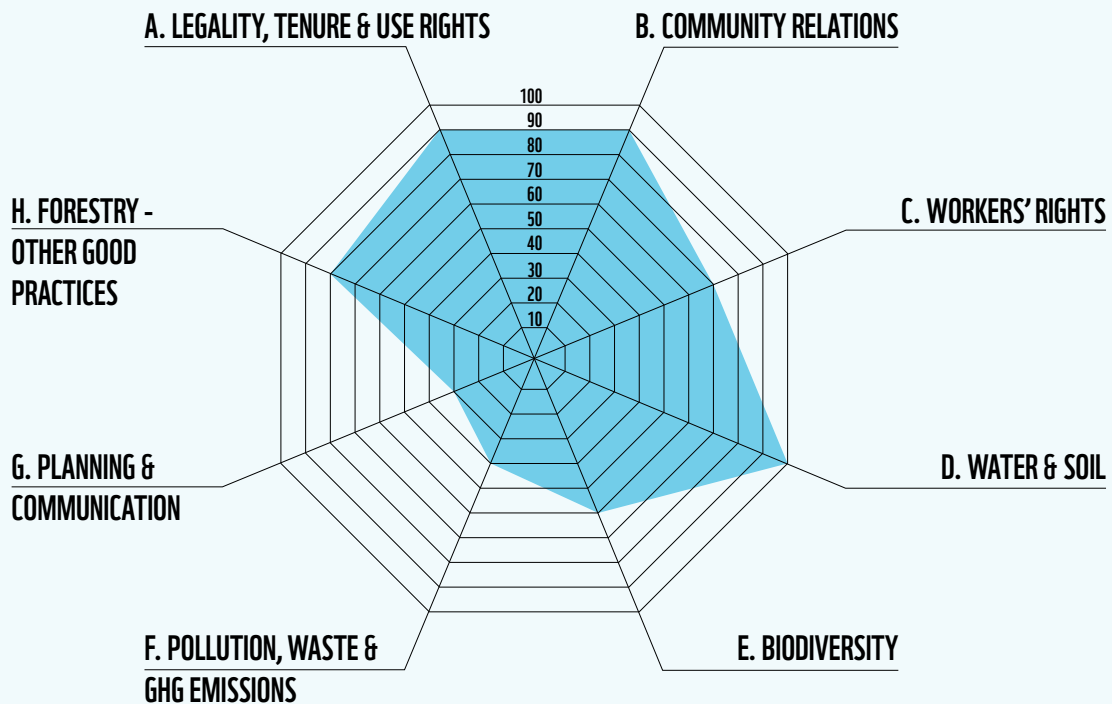
## PART I - SYSTEM STRENGTHS

### PEFC - INTERNATIONAL REQUIREMENTS AND CRITERIA



## PART II - STANDARD STRENGTHS

### PEFC - INTERNATIONAL REQUIREMENTS AND CRITERIA





**A. MISSION AND GOVERNANCE**

1	The scheme is set up to continuously improve the social, environmental and economic benefits of producing a specific commodity or category of commodities.	✓
2	Scheme core normative documents, e.g. statutes, bylaws and principles and criteria, are publicly available on a scheme website.	✓
3	The scheme is a (full or associate) member of ISEAL.	—
4	The scheme has a resourced Secretariat with clearly defined staff and functions related to, at a minimum, finance, standard development, communication, membership/participant handling, quality assurance and complaints. An organizational chart and contact details are publicly available online.	✓
5	The scheme is open to membership (and/or similar level of participation in governance) for all stakeholders who share the scheme's values and objectives.	✓
6	Names and affiliation of members are publicly available on a scheme website.	✓
7	Members are required to commit to scheme values and objectives through signing a code of conduct (or similar).	—
8	Member's code of conduct requires legal compliance, adherence to International Labour Organization (ILO) core conventions and free, prior and informed consent and maintenance of High Conservation Values (HCVs).	—
9	Members are required to develop and adhere to a time-bound plan towards certification and/or procurement of certified products, and report annually on progress.	—
10	Procedures are in place to suspend or terminate membership for gross violations of the code of conduct.	—
11	The scheme's highest decision-making forum is, or is formally mandated by, the membership/scheme participants.	✓
12	Highest decision-making forum procedures ensure that no interest group can dominate governance decision-making.	—
13	Highest decision-making forum procedures ensure that non-economic sector constituencies collectively have (at least) the same governance decision-making power as economic sector constituencies.	—
14	Highest decision-making forum procedures ensure that constituencies representing economic, social and environmental interests have equal governance decision-making power.	—
15	Highest governance decision-making forum requires balanced participation of economic, social and environmental representatives.	—
16	Changes to core normative documents, e.g. statutes, bylaws, and principles and criteria, require voting by the scheme members/participants.	✓
17	Executive (secretariat) functions are overseen by a board of directors or trustees composed of individuals mandated by voting among scheme members/participants.	✓
18	Minutes of board or trustee meetings are publicly available.	—
19	There are time-bound and transparent procedures for handling disputes and complaints by members/participants related to governance and executive functions.	—
20	There are defined procedures for appealing the handling of disputes and complaints related to governance and executive functions open to all members/participants.	✓

**B. SETTING STANDARDS**

21	Nationally applicable certification standard(s) constitute, or are adapted from, a set of internationally, regionally or nationally applicable principles and criteria (or equivalent).	✓
22	The principles and criteria (or equivalent) address as a minimum: social and environmental impacts, workers' conditions and rights, community relations, environmental services, conservation of biodiversity and good management practices.	✓
23	Nationally applicable certification standards are (or were) developed in accordance with formally defined scheme procedures.	✓
24	Representatives of major economic, social and environmental interests are actively invited to participate in the development of nationally applicable certification standards.	✓
25	Nationally applicable certification standards are developed with a meaningful participation of economic, social and environmental representatives.	—
26	Nationally applicable certification standards are developed by consensus or in processes where no single interest group can dominate decision-making.	✓
27	Nationally applicable certification standards are developed by consensus or in processes where a certain minimum, balanced quorum is required for decision-making.	✓
28	Nationally applicable certification standards are developed in processes where input is solicited from scientific and technical experts.	✓
29	Draft nationally applicable certification standards are subject to public consultation.	✓
30	Input received in consultations on draft nationally applicable certification standards is documented and there is report back on how issues raised are addressed.	✓
31	Nationally applicable certification standards are formally approved by the scheme.	✓

PEFC PART I - SYSTEM STRENGTHS		PEFC
32	Nationally applicable certification standards are publicly available on a website.	✓
33	Nationally applicable certification standards have auditable indicator(s) for each criterion.	✓
34	Most indicators of nationally applicable certification standards require an absolute level of performance (as opposed to merely relative improvement or the existence of a process).	✓
35	Nationally applicable certification standards clearly distinguish mandatory requirements from recommendations and guidance.	✓
36	Nationally applicable certification standards have separate requirements for small and/or medium-sized management units and/or are formulated so as to take account of the scale and intensity of operations.	✓
37	Nationally applicable certification standards are revised at least every five years.	✓
38	Nationally applicable certification standards are developed and revised in full compliance with the ISEAL Code of Good Practice.	—
39	The scheme either applies the same certification standard in all areas of operation, or has procedures for harmonization of different standards applicable to similar national/regional contexts.	✓
40	The scheme either applies the same certification standard in all areas of operation, or has procedures for certification based on scheme principles and criteria (or equivalent) in countries without nationally applicable standards.	✓
C. CERTIFICATION AND TRANSPARENCY		
41	Producers are certified by independent third party certification bodies operating in compliance with ISO requirements.	✓
42	Producers applying for certification are required to commit to a time-bound plan for certification of all (eligible) units under their control.	—
43	Searchable databases with names, sizes and locations of all certified units, including expiry dates, are publicly available on a scheme website.	✓
44	Certification bodies post information about upcoming scheduled certification and surveillance audits on a common national and/or international scheme-operated website or mailing list.	—
45	Certification bodies are required to conduct annual or more frequent surveillance audits of certificate holders.	✓
46	Certification bodies are required to proactively consult with affected stakeholders during both certification and surveillance audits.	—
47	Certification bodies are required take account of stakeholders' comments during certification and surveillance audits.	—
48	Certification bodies are required conduct risk-based auditing and surveillance.	—
49	Certification bodies are required to adjust the intensity of auditing and surveillance to match observations in the field.	—
50	Certification bodies are required to conduct unannounced audits in high-risk contexts.	—
51	Certificate holders are required to rectify non-compliances identified during certification and surveillance audits within a set timeframe that does not exceed one year.	—
52	Less severe (minor) non-compliances that are not rectified in time are escalated to severe (major) non-compliances.	✓
53	Severe (major) non-compliances that are not rectified in time lead to suspension or termination of the certificate.	✓
54	Summary reports of certification and surveillance audits (including dates, locations and scope of auditing, team composition, main findings and corrective action requests) are publicly available in a UN language on a website.	—
55	Summary reports of certification and surveillance audits (including dates, locations and scope of auditing, team composition, main findings and corrective action requests) are publicly available in a common local language on a website.	—
56	Summary reports of certification and surveillance audits are made publicly available within 90 days after completion of the audit.	—
57	Certificates are valid for no more than five years after which a new full certification audit is required.	✓
58	Certification bodies implement formal and transparent, publicly available procedures for handling disputes and complaints related to certification and surveillance.	✓
59	Certification and surveillance complaints procedures have clear deadlines.	—
60	Certification and surveillance complaints procedures include appeal mechanisms open to use by any affected party.	✓

**D. ACCREDITATION**

61	Certification bodies are accredited by an ISEAL member accreditation organization.	—
62	The accreditation organization(s) list(s) upcoming regular assessments and surveillance audits of certification bodies publicly on a website.	—
63	The accreditation organization provides mechanisms for stakeholder input during assessment and surveillance audits of certification bodies.	—
64	The accreditation organization verifies that certification bodies have the systems and competences necessary to audit compliance with the standard's social and environmental requirements and to engage effectively with stakeholders during auditing and surveillance.	—
65	The accreditation organization conducts risk-based auditing and surveillance of accredited certification bodies.	—
66	Less severe (minor) non-compliances that are not rectified within the time set are escalated to severe (major) non-compliances.	—
67	Severe (major) non-compliances that are not rectified within the time set lead to suspension or termination of the accreditation.	—
68	Summaries of the accreditation assessments of certification bodies are publicly available.	—
69	Accreditation organizations implement formal and transparent, publicly available procedures for handling disputes and complaints related to approval and accreditation of certification bodies.	✓
70	Certification and accreditation complaints procedures include appeal mechanisms open to any involved party.	✓

**E. CHAIN OF CUSTODY**

71	There are scheme procedures for monitoring custody and trade of materials from certified producers (regardless of chain of custody model).	✓
72	There are scheme procedures for assessing risks related to the origin of materials in labelled products.	✓
73	Certificate holders are required to manage critical control points along the supply chain with a scope and rigour that corresponds to the risks.	✓
74	Certification bodies survey certificate holders' operation of chain of custody procedures.	✓
75	Certification bodies survey certificate holders' use of claims, trademarks and labels, on and off products.	✓
76	The scheme either only allows for claims on products consisting of fully segregated materials, or requires that claims associated with products containing a physical mix of certified and non-certified materials are clearly distinguished, e.g. by use of terms such as "mixed" or "proportion."	✓
77	The scheme either only allows for claims on products consisting of fully segregated materials, or requires that products of mixed origins do not any contain any (focus commodity) materials defined as "controversial," "unacceptable" or similar.	✓
78	The scheme requires that products labelled or otherwise claimed as certified do not contain any (focus commodity) materials that are illegally harvested or traded.	✓
79	The scheme requires that products labelled or otherwise claimed as certified do not contain any (focus commodity) materials from areas where traditional or civil rights are violated.	—
80	The scheme requires that products labelled or otherwise claimed as certified do not contain any (focus commodity) materials from areas where HCVs (1-6) are threatened.	—

**A. LEGALITY, TENURE AND USE RIGHTS**

1	Producers are required to be legally defined entities.	✓
2	Producers are required to have legal land tenure or title and valid rights to use the management unit.	✓
3	Producers are required to comply with all applicable national and international laws and regulations.	✓
4	Producers are required to identify legal and customary rights of tenure, access and use of other parties that apply on the management unit.	✓
5	Producers are required to uphold legal and customary rights of tenure, access and use of other parties, unless these rights are delegated through documented free, prior and informed consent.	✓
6	Producers are required to respect the rights, customs and culture of indigenous peoples as defined in the UN Declaration on the Rights of Indigenous Peoples (2007) and ILO Convention 169 (1989).	✓
7	Producers are required to engage with affected stakeholders and document measures taken to resolve disputes related to land tenure, access and use.	✓
8	Producers are required to engage with affected stakeholders and document measures taken to resolve disputes related to water access and use.	✓
9	Producers are required to take measures against unauthorized or illegal activities and settlement on the management unit.	✓
10	Producers are required to commit in writing not to offer or receive bribes or engage in any other form of corruption.	—

**B. COMMUNITY RELATIONS**

11	Producers are required to engage in dialogue with neighbouring communities and individuals.	✓
12	Producers are required to identify negative impacts from operations on communities and individuals.	✓
13	Producers are required to take measures to minimize and mitigate negative impacts from operations on communities and individuals.	✓
14	Producers are required to address grievances and provide fair compensation for negative impacts of operations on local communities and individuals.	✓
15	Producers are required to assess potential impacts on communities and individuals, including impacts on food security and water availability, prior to any significant intensification or expansion of cultivation or infrastructure.	✓
16	Producers are required to identify and respect sites of cultural and religious significance in the management unit.	✓
17	Producers are required to assess and maintain High Conservation Values (HCVs) category 5 (basic necessities for local communities) in the management unit.	—
18	Producers are required to support economic development by providing opportunities for local employment and provision of services.	✓
19	Producers are required to actively engage in welfare programmes, where relevant to the social context.	✓
20	Producers are required to regularly monitor their impacts on the local economy and to adapt management as necessary for improvement.	✓

**C. WORKERS' RIGHTS**

21	Producers are required to respect the core ILO rights of workers as defined in the Declaration on Fundamental Principles and Rights at Work (1998).	✓
22	Producers are required to ensure that children under the age of 15 (or higher if stipulated in national law) do not carry out productive work in the management unit.	✓
23	Producers are not allowed to use forced or otherwise involuntary labor.	✓
24	Producers are required to ensure that there is no discrimination at work and that workers are not subject to any form of corporal punishment, abuse, harassment or intimidation.	✓
25	Producers are required to identify potential health and safety risks at work and take measures to avoid them.	✓
26	Producers are required to ensure that workers are adequately equipped, instructed and trained for their tasks, including safe use and handling of chemicals.	✓
27	Producers are required to respect workers' freedom of association and right to collective bargaining.	✓
28	Producers are required to ensure that wages, working hours and leave comply with, or exceed, applicable legislation and sector minimum standards.	—
29	Producers are required to address grievances related to working conditions and workers' rights and to provide compensation for occupational injuries.	—
30	Producers are required to regularly monitor working conditions and to adapt management as necessary for improvement.	—

# PEFC PART II - STANDARD STRENGTHS

PEFC

## D. WATER AND SOIL

31	Producers are required to identify water resources potentially affected by operations, in as well as outside the management unit.	✓
32	Producers are required to take measures to minimize and mitigate negative impacts from operations on water resources.	✓
33	Producers are not allowed to create or aggravate situations of water scarcity.	✓
34	Producers are required to maintain or improve the quality of surface and ground water.	✓
35	Producers are required to maintain natural wetlands in undrained conditions.	✓
36	Producers are required to avoid or minimize run-off and siltation of watercourses.	✓
37	Producers are required to take measures to minimize negative impacts from operations on soil resources.	✓
38	Producers are required to avoid or minimize soil erosion.	✓
39	Producers are required to maintain or improve soil quality.	✓
40	Producers are required to regularly monitor their impacts on soil and water and to adapt management as necessary for improvement.	✓

## E. BIODIVERSITY

41	Producers are required to identify biodiversity values, potentially affected by operations, in as well as outside the management unit.	✓
42	Producers are required to take measures to minimize and mitigate negative impacts from operations on biodiversity values.	✓
43	Producers are required to assess potential impacts on biodiversity values prior to significant intensification or expansion of cultivation or infrastructure.	—
44	Producers are required to protect rare and threatened species and their habitats in the management unit.	✓
45	Producers are required to assess and maintain HCVs category 1 (concentrations of rare and threatened species), 2 (large landscapes in a relatively natural state) and 3 (rare and threatened ecosystems) in the management unit.	—
46	Producers are required to maintain representative areas of native ecosystems in the management unit.	✓
47	Producers are required to maintain or restore native vegetation along streams and watercourses.	✓
48	Producers are required to take measures against any illegal or inappropriate hunting, fishing or collecting in the management unit.	✓
49	Producers are not allowed to introduce or use invasive alien species in the management unit.	—
50	Producers are required to regularly monitor their impacts on biodiversity and to adapt management as necessary for improvement.	—

## F. POLLUTION, WASTE AND GREENHOUSE-GAS EMISSIONS

51	Producers are required to implement integrated pest management practices that minimize the use of pesticides.	✓
52	Producers are not allowed to use hazardous chemicals (as defined by WHO 1A and B and the Stockholm and Rotterdam conventions).	✓
53	Producers are required to document all application, handling, storage and disposal of agrochemicals.	—
54	Producers are required to take measures to avoid or minimize negative impacts of agrochemical use on human health and the environment.	✓
55	Producers are required to ensure that transportation, application, handling, storage and disposal of agrochemicals comply with good practice and/or manufacturers' recommendations.	✓
56	Producers are required to ensure that any use of biological control agents complies with internationally recognized standards and/or protocols.	—
57	Producers are required to estimate sequestration and emissions of greenhouse gases from the management unit.	—
58	Producers are required to take measures to reduce any net emissions of greenhouse gases from the management unit.	—
59	Producers are not allowed to clear native forest and/or areas of high above-ground carbon stocks to expand cultivation or plantations.	—
60	Producers are not allowed to expand cultivation or plantations on peat soils and/or areas of high below-ground carbon stocks.	—



**G. PLANNING AND COMMUNICATION**

61	Producers are required to continuously improve key practices and operations.	✓
62	Producers are required to have management plans appropriate to the scale and intensity of the operation that demonstrate commitment to long-term social, environmental and economic viability.	✓
63	Producers are required to regularly revise their management plans to reflect the results of monitoring and evaluation.	✓
64	Producers are required to make summaries of their management plans publicly available on their website.	—
65	Producers are required to use independent expertise for assessing social and environmental impacts prior to significant intensification or expansion of cultivation or infrastructure.	—
66	Producers are required to make summaries of social and environmental impact assessments publicly available on their website.	—
67	Producers are required to identify HCVs (all six categories) prior to significant expansion of cultivation or plantations.	—
68	Producers are required to use independent expertise for assessing HCVs prior to expansion of cultivation or plantations.	—
69	Producers are required to make summaries of their HCV assessments publicly available on their website.	—
70	Producers are not allowed to expand cultivation or establish plantations at the expense of one or more HCVs.	—

**H. FORESTRY — OTHER GOOD PRACTICE**

71	Producers are required to regularly monitor and evaluate key economic performance indicators like yields, revenues and costs and take measures as necessary for improvement.	✓
72	Producers are required to promote use of a diverse range of resources and services from the management unit.	✓
73	Producers are required to ensure that products are not harvested at levels above sustainable yields.	✓
74	Producers are required to ensure that tree cover is regenerated to pre-harvesting (or more natural) conditions after logging.	✓
75	Producers are required to use tree species for regeneration that are well adapted to site conditions.	✓
76	Producers are not allowed to use genetically modified trees in the management unit.	✓
77	Producers are required to use management practices appropriate for the tree species, site conditions and management objectives.	✓
78	Producers are required to use management practices in natural/semi-natural forests that reflect natural disturbance regimes.	—
79	Producers are required to maintain high scenic landscape values.	✓
80	Producers are required to take measures to increase resilience and reduce potential negative impacts from natural hazards.	—



# WWF CERTIFICATION ASSESSMENT TOOL V3

## MALAYSIAN TIMBER CERTIFICATION SCHEME (MTCS)

The CAT is a formalized methodology to evaluate and compare standards and certification schemes. The CAT evaluates the requirements of a certification scheme's standard, and the system strength – rules and procedures that regulate how the standard is implemented, assessed and governed.

The following document assesses the Malaysian Timber Certification Scheme (MTCS).

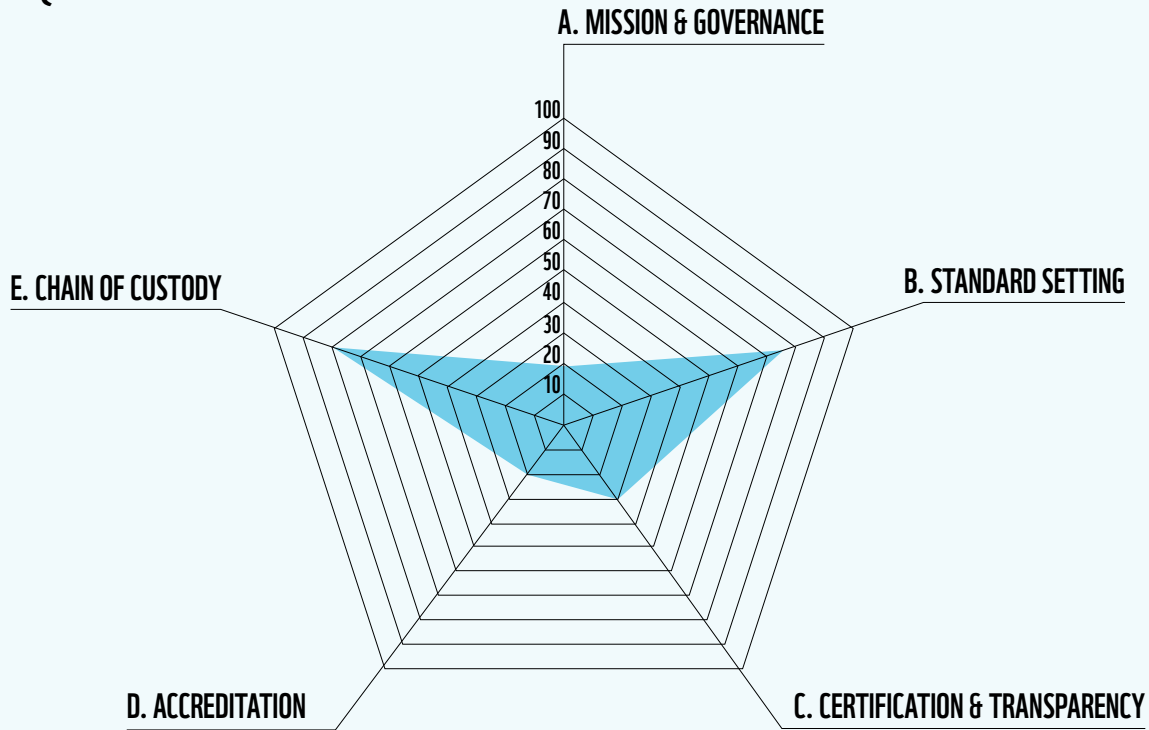
For more information on the CAT, see the [factsheet](#).

# FOREST CERTIFICATION ASSESSMENT TOOL (CAT)

MALAYSIAN TIMBER CERTIFICATION SCHEME (MTCS)

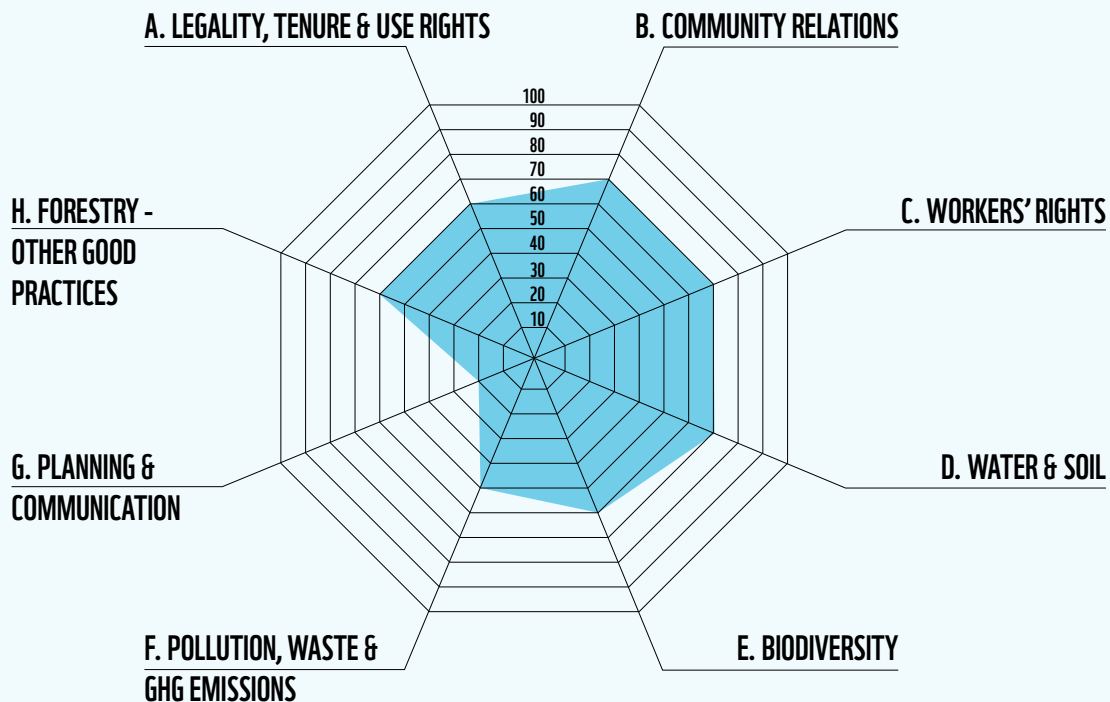
## PART I - SYSTEM STRENGTHS

### MTCS - REQUIREMENTS AND CRITERIA



## PART II - STANDARD STRENGTHS

### MTCS STANDARD FOR MANAGEMENT OF NATURAL FORESTS (IN USE AS OF DECEMBER 2014)



## A. MISSION AND GOVERNANCE

1	The scheme is set up to continuously improve the social, environmental and economic benefits of producing a specific commodity or category of commodities.	✓
2	Scheme core normative documents, e.g. statutes, bylaws and principles and criteria, are publicly available on a scheme website.	✓
3	The scheme is a (full or associate) member of ISEAL.	—
4	The scheme has a resourced Secretariat with clearly defined staff and functions related to, at a minimum, finance, standard development, communication, membership/participant handling, quality assurance and complaints. An organizational chart and contact details are publicly available online.	✓
5	The scheme is open to membership (and/or similar level of participation in governance) for all stakeholders who share the scheme's values and objectives.	—
6	Names and affiliation of members are publicly available on a scheme website.	—
7	Members are required to commit to scheme values and objectives through signing a code of conduct (or similar).	—
8	Member's code of conduct requires legal compliance, adherence to International Labour Organization (ILO) core conventions and free, prior and informed consent and maintenance of High Conservation Values (HCVs).	—
9	Members are required to develop and adhere to a time-bound plan towards certification and/or procurement of certified products, and report annually on progress.	—
10	Procedures are in place to suspend or terminate membership for gross violations of the code of conduct.	—
11	The scheme's highest decision-making forum is, or is formally mandated by, the membership/scheme participants.	—
12	Highest decision-making forum procedures ensure that no interest group can dominate governance decision-making.	—
13	Highest decision-making forum procedures ensure that non-economic sector constituencies collectively have (at least) the same governance decision-making power as economic sector constituencies.	—
14	Highest decision-making forum procedures ensure that constituencies representing economic, social and environmental interests have equal governance decision-making power.	—
15	Highest governance decision-making forum requires balanced participation of economic, social and environmental representatives.	—
16	Changes to core normative documents, e.g. statutes, bylaws, and principles and criteria, require voting by the scheme members/participants.	—
17	Executive (secretariat) functions are overseen by a board of directors or trustees composed of individuals mandated by voting among scheme members/participants.	✓
18	Minutes of board or trustee meetings are publicly available.	—
19	There are time-bound and transparent procedures for handling disputes and complaints by members/participants related to governance and executive functions.	—
20	There are defined procedures for appealing the handling of disputes and complaints related to governance and executive functions open to all members/participants.	—

## B. SETTING STANDARDS

21	Nationally applicable certification standard(s) constitute, or are adapted from, a set of internationally, regionally or nationally applicable principles and criteria (or equivalent).	✓
22	The principles and criteria (or equivalent) address as a minimum: social and environmental impacts, workers' conditions and rights, community relations, environmental services, conservation of biodiversity and good management practices.	✓
23	Nationally applicable certification standards are (or were) developed in accordance with formally defined scheme procedures.	✓
24	Representatives of major economic, social and environmental interests are actively invited to participate in the development of nationally applicable certification standards.	✓
25	Nationally applicable certification standards are developed with a meaningful participation of economic, social and environmental representatives.	—
26	Nationally applicable certification standards are developed by consensus or in processes where no single interest group can dominate decision-making.	—
27	Nationally applicable certification standards are developed by consensus or in processes where a certain minimum, balanced quorum is required for decision-making.	—
28	Nationally applicable certification standards are developed in processes where input is solicited from scientific and technical experts.	✓
29	Draft nationally applicable certification standards are subject to public consultation.	✓
30	Input received in consultations on draft nationally applicable certification standards is documented and there is report back on how issues raised are addressed.	✓
31	Nationally applicable certification standards are formally approved by the scheme.	✓



MTCS PART I - SYSTEM STRENGTHS		MTCS
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34	Most indicators of nationally applicable certification standards require an absolute level of performance (as opposed to merely relative improvement or the existence of a process).	✓
35	Nationally applicable certification standards clearly distinguish mandatory requirements from recommendations and guidance.	✓
36	Nationally applicable certification standards have separate requirements for small and/or medium-sized management units and/or are formulated so as to take account of the scale and intensity of operations.	—
37	Nationally applicable certification standards are revised at least every five years.	✓
38	Nationally applicable certification standards are developed and revised in full compliance with the ISEAL Code of Good Practice.	—
39	The scheme either applies the same certification standard in all areas of operation, or has procedures for harmonization of different standards applicable to similar national/regional contexts.	✓
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C. CERTIFICATION AND TRANSPARENCY		
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46	Certification bodies are required to proactively consult with affected stakeholders during both certification and surveillance audits.	—
47	Certification bodies are required take account of stakeholders' comments during certification and surveillance audits.	—
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57	Certificates are valid for no more than five years after which a new full certification audit is required.	✓
58	Certification bodies implement formal and transparent, publicly available procedures for handling disputes and complaints related to certification and surveillance.	✓
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**E. CHAIN OF CUSTODY**

71	There are scheme procedures for monitoring custody and trade of materials from certified producers (regardless of chain of custody model).	✓
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78	The scheme requires that products labelled or otherwise claimed as certified do not contain any (focus commodity) materials that are illegally harvested or traded.	✓
79	The scheme requires that products labelled or otherwise claimed as certified do not contain any (focus commodity) materials from areas where traditional or civil rights are violated.	—
80	The scheme requires that products labelled or otherwise claimed as certified do not contain any (focus commodity) materials from areas where HCVs (1-6) are threatened.	—

## A. LEGALITY, TENURE AND USE RIGHTS

1	Producers are required to be legally defined entities.	✓
2	Producers are required to have legal land tenure or title and valid rights to use the management unit.	✓
3	Producers are required to comply with all applicable national and international laws and regulations.	✓
4	Producers are required to identify legal and customary rights of tenure, access and use of other parties that apply on the management unit.	✓
5	Producers are required to uphold legal and customary rights of tenure, access and use of other parties, unless these rights are delegated through documented free, prior and informed consent.	—
6	Producers are required to respect the rights, customs and culture of indigenous peoples as defined in the UN Declaration on the Rights of Indigenous Peoples (2007) and ILO Convention 169 (1989).	—
7	Producers are required to engage with affected stakeholders and document measures taken to resolve disputes related to land tenure, access and use.	✓
8	Producers are required to engage with affected stakeholders and document measures taken to resolve disputes related to water access and use.	—
9	Producers are required to take measures against unauthorized or illegal activities and settlement on the management unit.	✓
10	Producers are required to commit in writing not to offer or receive bribes or engage in any other form of corruption.	—

## B. COMMUNITY RELATIONS

11	Producers are required to engage in dialogue with neighbouring communities and individuals.	✓
12	Producers are required to identify negative impacts from operations on communities and individuals.	✓
13	Producers are required to take measures to minimize and mitigate negative impacts from operations on communities and individuals.	✓
14	Producers are required to address grievances and provide fair compensation for negative impacts of operations on local communities and individuals.	✓
15	Producers are required to assess potential impacts on communities and individuals, including impacts on food security and water availability, prior to any significant intensification or expansion of cultivation or infrastructure.	—
16	Producers are required to identify and respect sites of cultural and religious significance in the management unit.	✓
17	Producers are required to assess and maintain High Conservation Values (HCVs) category 5 (basic necessities for local communities) in the management unit.	—
18	Producers are required to support economic development by providing opportunities for local employment and provision of services.	✓
19	Producers are required to actively engage in welfare programmes, where relevant to the social context.	—
20	Producers are required to regularly monitor their impacts on the local economy and to adapt management as necessary for improvement.	✓

# MTCS PART II - STANDARD STRENGTHS

MTCS

## C. WORKERS' RIGHTS

21	Producers are required to respect the core ILO rights of workers as defined in the Declaration on Fundamental Principles and Rights at Work (1998).	✓
22	Producers are required to ensure that children under the age of 15 (or higher if stipulated in national law) do not carry out productive work in the management unit.	—
23	Producers are not allowed to use forced or otherwise involuntary labor.	✓
24	Producers are required to ensure that there is no discrimination at work and that workers are not subject to any form of corporal punishment, abuse, harassment or intimidation.	—
25	Producers are required to identify potential health and safety risks at work and take measures to avoid them.	✓
26	Producers are required to ensure that workers are adequately equipped, instructed and trained for their tasks, including safe use and handling of chemicals.	✓
27	Producers are required to respect workers' freedom of association and right to collective bargaining.	✓
28	Producers are required to ensure that wages, working hours and leave comply with, or exceed, applicable legislation and sector minimum standards.	—
29	Producers are required to address grievances related to working conditions and workers' rights and to provide compensation for occupational injuries.	✓
30	Producers are required to regularly monitor working conditions and to adapt management as necessary for improvement.	✓

## D. WATER AND SOIL

31	Producers are required to identify water resources potentially affected by operations, in as well as outside the management unit.	✓
32	Producers are required to take measures to minimize and mitigate negative impacts from operations on water resources.	✓
33	Producers are not allowed to create or aggravate situations of water scarcity.	✓
34	Producers are required to maintain or improve the quality of surface and ground water.	—
35	Producers are required to maintain natural wetlands in undrained conditions.	—
36	Producers are required to avoid or minimize run-off and siltation of watercourses.	—
37	Producers are required to take measures to minimize negative impacts from operations on soil resources.	✓
38	Producers are required to avoid or minimize soil erosion.	✓
39	Producers are required to maintain or improve soil quality.	✓
40	Producers are required to regularly monitor their impacts on soil and water and to adapt management as necessary for improvement.	✓

## E. BIODIVERSITY

41	Producers are required to identify biodiversity values, potentially affected by operations, in as well as outside the management unit.	✓
42	Producers are required to take measures to minimize and mitigate negative impacts from operations on biodiversity values.	✓
43	Producers are required to assess potential impacts on biodiversity values prior to significant intensification or expansion of cultivation or infrastructure.	—
44	Producers are required to protect rare and threatened species and their habitats in the management unit.	✓
45	Producers are required to assess and maintain HCVs category 1 (concentrations of rare and threatened species), 2 (large landscapes in a relatively natural state) and 3 (rare and threatened ecosystems) in the management unit.	—
46	Producers are required to maintain representative areas of native ecosystems in the management unit.	✓
47	Producers are required to maintain or restore native vegetation along streams and watercourses.	✓
48	Producers are required to take measures against any illegal or inappropriate hunting, fishing or collecting in the management unit.	✓
49	Producers are not allowed to introduce or use invasive alien species in the management unit.	—
50	Producers are required to regularly monitor their impacts on biodiversity and to adapt management as necessary for improvement.	—

## F. POLLUTION, WASTE AND GREENHOUSE-GAS EMISSIONS

51	Producers are required to implement integrated pest management practices that minimize the use of pesticides.	✓
52	Producers are not allowed to use hazardous chemicals (as defined by WHO 1A and B and the Stockholm and Rotterdam conventions).	✓
53	Producers are required to document all application, handling, storage and disposal of agrochemicals.	—
54	Producers are required to take measures to avoid or minimize negative impacts of agrochemical use on human health and the environment.	✓
55	Producers are required to ensure that transportation, application, handling, storage and disposal of agrochemicals comply with good practice and/or manufacturers' recommendations.	✓
56	Producers are required to ensure that any use of biological control agents complies with internationally recognized standards and/or protocols.	✓
57	Producers are required to estimate sequestration and emissions of greenhouse gases from the management unit.	—
58	Producers are required to take measures to reduce any net emissions of greenhouse gases from the management unit.	—
59	Producers are not allowed to clear native forest and/or areas of high above-ground carbon stocks to expand cultivation or plantations.	—
60	Producers are not allowed to expand cultivation or plantations on peat soils and/or areas of high below-ground carbon stocks.	—

## G. PLANNING AND COMMUNICATION

61	Producers are required to continuously improve key practices and operations.	—
62	Producers are required to have management plans appropriate to the scale and intensity of the operation that demonstrate commitment to long-term social, environmental and economic viability.	✓
63	Producers are required to regularly revise their management plans to reflect the results of monitoring and evaluation.	✓
64	Producers are required to make summaries of their management plans publicly available on their website.	—
65	Producers are required to use independent expertise for assessing social and environmental impacts prior to significant intensification or expansion of cultivation or infrastructure.	—
66	Producers are required to make summaries of social and environmental impact assessments publicly available on their website.	—
67	Producers are required to identify HCVs (all six categories) prior to significant expansion of cultivation or plantations.	—
68	Producers are required to use independent expertise for assessing HCVs prior to expansion of cultivation or plantations.	—
69	Producers are required to make summaries of their HCV assessments publicly available on their website.	—
70	Producers are not allowed to expand cultivation or establish plantations at the expense of one or more HCVs.	—

## H. FORESTRY — OTHER GOOD PRACTICE

71	Producers are required to regularly monitor and evaluate key economic performance indicators like yields, revenues and costs and take measures as necessary for improvement.	✓
72	Producers are required to promote use of a diverse range of resources and services from the management unit.	✓
73	Producers are required to ensure that products are not harvested at levels above sustainable yields.	✓
74	Producers are required to ensure that tree cover is regenerated to pre-harvesting (or more natural) conditions after logging.	✓
75	Producers are required to use tree species for regeneration that are well adapted to site conditions.	—
76	Producers are not allowed to use genetically modified trees in the management unit.	✓
77	Producers are required to use management practices appropriate for the tree species, site conditions and management objectives.	✓
78	Producers are required to use management practices in natural/semi-natural forests that reflect natural disturbance regimes.	—
79	Producers are required to maintain high scenic landscape values.	—
80	Producers are required to take measures to increase resilience and reduce potential negative impacts from natural hazards.	—



**WWF Forest Certification Assessment Tool (CAT)  
Frequently Asked Questions  
15 May 2015**

**What is the purpose of the WWF Certification Assessment Tool (CAT)?**

The CAT is a formalized methodology to evaluate and compare standards and certification schemes. It assesses standard requirements and a scheme's governance, rules and procedures. The outcome is a better understanding of a certification scheme's strengths and weaknesses. WWF uses CAT assessments to help identify areas for improvement so these can be addressed as part of a scheme's efforts to further refine and strengthen its systems and requirements. The ultimate objective is to enable better production on the ground for the commodity in question.

The CAT is designed to be used across commodities; v3 was developed for agriculture and forestry and includes one section (Part II: H), which is particular to forestry/agriculture.

More information is available in the [factsheet](#).

The CAT will also identify which certification schemes are best equipped to achieve conservation goals and objectives: that is, which certification schemes are likely to deliver the best social and environmental impact at scale. CAT assessments will inform WWF's official position on reviewed schemes. However, WWF would consider additional factors and research before supporting and/or engaging in a certification scheme.

The CAT is a living document and will be updated regularly to address upcoming issues of importance.

**How are CAT assessments conducted?**

Assessments are conducted by independent third-party consultants with strong expertise in standards implementation. In the process of assessment and finalization of scores, all the assessed certification schemes are approached to respond.

**Will other forest certification schemes be evaluated in the future?**

Yes, it is likely that other forest certification schemes will be assessed in the future. The schemes will be contacted to review the scorings before WWF goes public with the result.



### **On what basis were the CAT indicators developed?**

The CAT indicators are based on WWF's view that we need to make better choices for managing, using and sharing natural resources within the planet's capacity. This includes producing and consuming better and having more equitable resource governance.

The CAT criteria references the following documents and organizations:

- [WWF Principles](#) to actively endorse and recognize effective and credible standards and certification schemes
- ISEAL Alliance codes
- International Organization for Standardization (ISO)
- Social Accountability Standard (SA 8000)
- International Finance Corporation (IFC)
- Forest Certification Guide (FCAG)
- WWF/World Bank Biofuels Sustainability Environmental Scorecard
- HCV Network toolkit/resources.

The CAT v3 has been developed by a WWF working group, supported by external experts, including PwC. The CAT is a living document and will be updated regularly to address upcoming issues of importance (for example, the next version will put more focus on water management).

### **What are the limitations of CAT?**

The CAT is solely based on the study of documents: it cannot directly verify implementation of better production practices and resulting reduction of negative social and environmental impacts in practice. However, the indicators to assess a standard's system strength can be seen as proxies for likelihood of field level implementation of a scheme's requirements.

### **What is WWF's position on credible forest certification?**

WWF believes that responsibly managed forests are necessary for the maintenance of biodiversity and ecosystem services, both on individual sites and within the wider landscape. Responsible forest management can be a critical and cost-effective conservation tool within larger-scale conservation strategies. WWF sees credible forest certification as one of the tools to:

- Promote socially, environmentally and economically responsible forest management
- Safeguard biological diversity in managed forests, including high conservation value forests
- Respect the ownership and use rights of local communities and indigenous peoples
- Provide a forum for dialogue between different stakeholders and establish frameworks for resolution of social conflict over use of forest resources
- Ensure transparency of both forest management and the forest products trade
- Provide a market mechanism allowing companies and consumers to identify and purchase timber and non-timber forest products from well-managed forests.

### **What are [WWF's basic requirements for certification standards and schemes](#), applicable for all kinds of commodities and services?**

A robust, effective and credible certification scheme must be based on the following criteria:

- Be consistent with, and support, the WWF Global Programme Framework
- Require compliance with relevant national and international laws and conventions
- Be developed in compliance with ISEAL's Code of Good Practice for Setting Social and

#### Environmental Standards

- Focus on minimizing or eliminating important environmental and/or social negative impacts, as well as creating environmental, economic and social positive impacts, through the use and processing of the commodity/product/service
- Be science-based
- Require minimum measurable performance requirements and be in compliance with ISEAL's Impacts Code
- Be adaptable to national/regional conditions and needs
- Not allow GMOs, or, contain a non-GM option
- Comply with international frameworks for certification and accreditation
- Require meaningful and equitable stakeholder participation, considering economic, social and environmental interest groups, and provide means to have smaller producers and vulnerable groups engaged in the process
- Provide transparency in decision-making and public reporting on its certification
- Set high-levels for scheme rigour
- Require independent third-party certification and accreditation
- Require truthful claims, and where applicable, traceability
- Include accessible complaint and appeal mechanisms
- Be committed to continuous improvement.

## WWF Certification Assessment Tool (CAT)



Numerous certification schemes with different intentions, credibility and focus areas, create confusion and make it difficult to assess which scheme to choose to achieve a specific goal. At WWF, we measure certification schemes by their ability to accomplish positive social and environmental impact measurably on the ground and with surrounding communities. For WWF, “impact” means impact at scale: create change at a level ambitious enough to make a real and lasting difference for the better, achievable by most of the industry. Niche certification schemes that recognise the very best practices are important, but cannot provide a pathway for the bulk of production to set a new “normal” - a widely adopted, less destructive and less wasteful way of growing and harvesting commodities.

WWF has developed the Certification Assessment Tool (CAT) to assess, which certification schemes are best equipped to achieve conservation goals and objectives: i.e. which certification schemes are likely to deliver the best social and environmental impact at scale.

### Summary and overview

The CAT is a formalized methodology to evaluate and compare standards and certification schemes. It assesses standard requirements and a scheme’s governance, rules and procedures. The outcome is a better understanding of a certification scheme’s strengths and weaknesses. WWF uses CAT assessments to help identify areas for improvement so these can be addressed as part of a scheme’s efforts to further refine and strengthen their systems. CAT assessments can be applied to all sectors. So far, WWF has developed the CAT for terrestrial commodities (agriculture and forestry). Of 160 questions in total, 150 apply to all sectors, while the remaining 10 questions address sector specific issues for forestry or agriculture.

## What does the CAT evaluate?

The CAT **evaluates the requirements of a certification scheme's standard**. For example, is the maintenance of riparian zones a necessary requirement, and if so, do these requirements go beyond legal regulations and how robust are specific requirements?

The CAT also **evaluates the rules and procedures that regulate how the standard is implemented, assessed and governed**. This is called “system strength”. It includes standard development, certification, accreditation, verification and grievance procedures, chain of custody and labelling issues, together with a transparent governance system that includes balanced multi-stakeholder participation.

The strength of a standard's overall system is crucial for the implementation of its requirements. Therefore, the CAT gives equal weight to the standard requirements and the system strength of a scheme.

This can best be illustrated with a hypothetical case: imagine a scheme where comprehensive standard requirements exist, but no measures are in place to implement these or to verify their implementation. Such a scheme would not be credible and would likely be perceived as “greenwashing”.

The CAT is solely based on the study of documents, thus it cannot directly assess implementation of better production practices and resulting reduction of negative social and environmental impacts in practice. However, the indicators to assess a standard's system strength can be seen as proxies for likelihood of field level implementation of a scheme's requirements.

Through its Impact Programme, WWF is partnering with research institutions to better understand the impact certification schemes have in practice.

To be credible, schemes should have strong verification systems. A scheme largely based on legal rules, procedures and enforcement, may be valid in countries with strong and functioning law enforcement, but could potentially be damaging in countries where this is not the case.

## Interpretation of results

While a CAT assessment gives a good overview of the strengths and weaknesses of a standard scheme, it has to be carefully interpreted as different commodities and geographies require different areas of attention. It is for these reasons that WWF evaluates CAT assessments together with technical experts.

## How was the CAT developed?

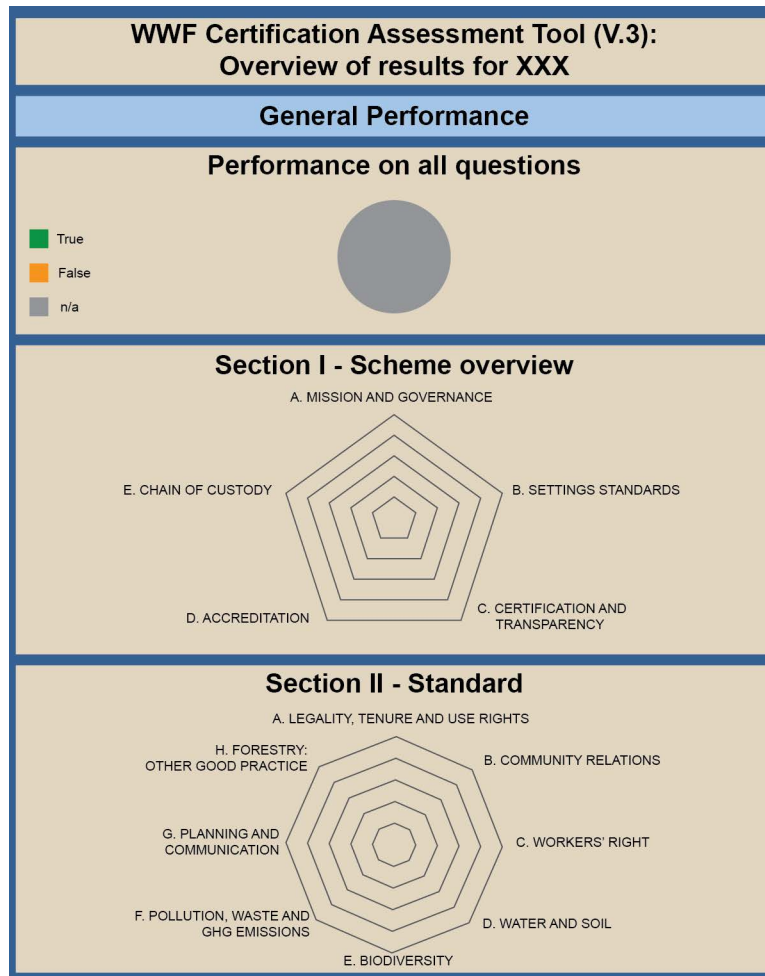
The CAT has been developed by a working group of WWF experts from a variety of fields, including agriculture, forestry and standards and certification. This process was further supported by external experts.

The criteria are derived from the WWF mission and objectives and reference the following documents and organisations:

- WWF principles to actively endorse and recognize effective and credible standards and certification schemes;
- Social Accountability Standard (SA 8000);
- International Finance Corporation (IFC);
- WWF/World Bank Forest Certification Assessment Guide (FCAG);
- WWF/World Bank Biofuels Sustainability Environmental Scorecard;
- HCV Resource Network;

## CAT: Results and presentation

The result of a CAT evaluation of a forest management certification scheme will highlight the strengths in spider diagrams of Part I and Part II respectively.



## CRITERIA

*SYSTEM STRENGTHS (Part 1)*  
(80 questions - 5 sections)

- A. Mission & Governance
- B. Setting standards
- C. Certification and transparency
- D. Accreditation
- E. Chain of custody

*STANDARD STRENGTHS (Part 2)*  
(80 questions - 8 sections)

- A. Legality, tenure, use rights
- B. Community relations
- C. Workers' rights
- D. Water & soil
- E. Biodiversity
- F. Pollution, waste & GHG emissions
- G. Planning and communication
- H. Forestry – Other good practices

On the following pages you will find the 160 criteria of the CAT (forest version) – 160 questions in total; 80 questions for scheme strengths and 80 for standard strengths.



**A MISSION AND GOVERNANCE**

- 1 The scheme is set up to continuously improve the social, environmental and economic benefits of producing a specific commodity or category of commodities.
- 2 Scheme core normative documents, e.g. statutes, bylaws and principles and criteria, are publicly available on a scheme website.
- 3 The scheme is a (full or associate) member of ISEAL.
- 4 The scheme has a resourced Secretariat with clearly defined staff and functions related to, at a minimum, finance, standard development, communication, membership/participant handling, quality assurance and complaints. An organisational chart and contact details are publicly available online.
- 5 The scheme is open to membership (and/or similar level of participation in governance) for all stakeholders who share the scheme's values and objectives.
- 6 Names and affiliation of members are publicly available on a scheme website.
- 7 Members are required to commit to scheme values and objectives through signing a code of conduct (or similar).
- 8 Members' code of conduct requires legal compliance, adherence to International Labour Organisation core conventions and free prior and informed consent and maintenance of High Conservation Values (HCVs).
- 9 Members are required to develop and adhere to a time-bound plan towards certification and/or procurement of certified products, and report annually on progress.
- 10 Procedures are in place to suspend or terminate membership for gross violations of the code of conduct.
- 11 The scheme's highest decision-making forum is, or is formally mandated by, the membership/scheme participants.
- 12 Highest decision-making forum procedures ensure that no interest group can dominate governance decision-making.
- 13 Highest decision-making forum procedures ensure that non-economic sector constituencies collectively have (at least) the same governance decision-making power as economic sector constituencies.
- 14 Highest decision-making forum procedures ensure that constituencies representing economic, social and environmental interests have equal governance decision-making power.
- 15 Highest governance decision-making forum requires balanced participation of economic, social and environmental representatives.
- 16 Changes to core normative documents, e.g. statutes, bylaws, and principles and criteria, require voting by the scheme members/participants.
- 17 Executive (secretariat) functions are overseen by a board of directors or trustees composed of individuals mandated by voting among scheme members/participants.
- 18 Minutes of board of trustee meetings are publicly available.
- 19 There are time-bound and transparent procedures for handling disputes and complaints by members/participants related to governance and executive functions.
- 20 There are defined procedures for appealing the handling of disputes and complaints related to governance and executive functions open to all members/participants.

**B SETTING STANDARDS**

- 21 Nationally applicable certification standard(s) constitute, or are adapted from, a set of internationally, regionally or nationally applicable principles and criteria (or equivalent).
- 22 The principles and criteria (or equivalent) address as a minimum: social and environmental impacts, workers' conditions and rights, community relations, environmental services, conservation of biodiversity and good management practices.
- 23 Nationally applicable certification standards are (or were) developed in accordance with formally defined scheme procedures.
- 24 Representatives of major economic, social and environmental interests are actively invited to participate in the development of nationally applicable certification standards.
- 25 Nationally applicable certification standards are developed with a meaningful participation of economic, social and environmental representatives.
- 26 Nationally applicable certification standards are developed by consensus or in processes where no single interest group can dominate decision-making.
- 27 Nationally applicable certification standards are developed by consensus or in processes where a certain minimum, balanced quorum is required for decision-making.
- 28 Nationally applicable certification standards are developed in processes where input is solicited from scientific and technical experts.
- 29 Draft nationally applicable certification standards are subject to public consultation.
- 30 Input received in consultations on draft nationally applicable certification standards is documented and there is report back on how issues raised are addressed.
- 31 Nationally applicable certification standards are formally approved by the scheme.
- 32 Nationally applicable certification standards are publicly available on a website.
- 33 Nationally applicable certification standards have auditable indicator(s) for each criterion.
- 34 Most indicators of nationally applicable certification standards require an absolute level of performance (as opposed to merely relative improvement or the existence of a process).
- 35 Nationally applicable certification standards clearly distinguish mandatory requirements from recommendations and guidance.
- 36 Nationally applicable certification standards have separate requirements for small and/or medium sized management units and/or are formulated so as to take account of the scale and intensity of operations.
- 37 Nationally applicable certification standards are revised at least every five years.
- 38 Nationally applicable certification standards are developed and revised in full compliance with the ISEAL Code of Good Practice.
- 39 The scheme either applies the same certification standard in all areas of operation, or has procedures for harmonization of different standards applicable to similar national/regional contexts.
- 40 The scheme either applies the same certification standard in all areas of operation, or has procedures for certification based on scheme principles and criteria (or equivalent) in countries without nationally applicable standards.

## C CERTIFICATION AND TRANSPARENCY

- 41 Producers are certified by independent third party certification bodies operating in compliance with ISO requirements.
- 42 Producers applying for certification are required to commit to a time-bound plan for certification of all (eligible) units under their control.
- 43 Searchable databases with names, sizes and locations of all certified units, including expiry dates, are publicly available on a scheme website.
- 44 Certification bodies post information about upcoming scheduled certification and surveillance audits on a common national and/or international scheme-operated website or mailing list.
- 45 Certification bodies are required to conduct annual or more frequent surveillance audits of certificate holders.
- 46 Certification bodies are required to proactively consult with affected stakeholders during both certification and surveillance audits.
- 47 Certification bodies are required take account of stakeholders' comments during certification and surveillance audits.
- 48 Certification bodies are required conduct risk-based auditing and surveillance.
- 49 Certification bodies are required to adjust the intensity of auditing and surveillance to match observations in the field.
- 50 Certification bodies are required to conduct unannounced audits in high-risk contexts.
- 51 Certificate holders are required to rectify non-compliances identified during certification and surveillance audits within a set timeframe that does not exceed one year.
- 52 Less severe (minor) non-compliances that are not rectified in time are escalated to severe (major) non-compliances.
- 53 Severe (major) non-compliances that are not rectified in time lead to suspension or termination of the certificate.
- 54 Summary reports of certification and surveillance audits (including dates, locations and scope of auditing, team composition, main findings and corrective action requests) are publicly available in a UN language on a website.
- 55 Summary reports of certification and surveillance audits (including dates, locations and scope of auditing, team composition, main findings and corrective action requests) are publicly available in a common local language on a website.
- 56 Summary reports of certification and surveillance audits are made publicly available within 90 days after completion of the audit.
- 57 Certificates are valid for no more than five years after which a new full certification audit is required.
- 58 Certification bodies implement formal and transparent, publicly available procedures for handling disputes and complaints related to certification and surveillance.
- 59 Certification and surveillance complaints procedures have clear deadlines.
- 60 Certification and surveillance complaints procedures include appeal mechanisms open to use by any affected party.

## D ACCREDITATION

- 61 Certification bodies are accredited by an ISEAL member accreditation organisation.
- 62 The accreditation organization(s) list(s) upcoming regular assessments and surveillance audits of certification bodies publicly on a website.
- 63 The accreditation organization provides mechanisms for stakeholder input during assessment and surveillance audits of certification bodies.
- 64 The accreditation organization verifies that certification bodies have the systems and competences necessary to audit compliance with the standard's social and environmental requirements and to engage effectively with stakeholders during auditing and surveillance.
- 65 The accreditation organization conducts risk based auditing and surveillance of accredited certification bodies.
- 66 Less severe (minor) non-compliances that are not rectified within the time set are escalated to severe (major) non-compliances.
- 67 Severe (major) non-compliances that are not rectified within the time set lead to suspension or termination of the accreditation.
- 68 Summaries of the accreditation assessments of certification bodies are publically available
- 69 Accreditation organizations implement formal and transparent, publicly available procedures for handling disputes and complaints related to approval and accreditation of certification bodies.
- 70 Certification and accreditation complaints procedures include appeal mechanisms open to any involved party.

## E CHAIN OF CUSTODY

- 71 There are scheme procedures for monitoring custody and trade of materials from certified producers (regardless of chain of custody model).
- 72 There are scheme procedures for assessing risks related to the origin of materials in labelled products.
- 73 Certificate holders are required to manage critical control points along the supply chain with a scope and rigour that corresponds to the risks.
- 74 Certification bodies survey certificate holders' operation of chain of custody procedures.
- 75 Certification bodies survey certificate holders' use of claims, trademarks and labels, on and off products.
- 76 The scheme either only allows for claims on products consisting of fully segregated materials, or requires that claims associated with products containing a physical mix of certified and non-certified materials are clearly distinguished, e.g. by use of terms such as "mixed" or "proportion".
- 77 The scheme either only allows for claims on products consisting of fully segregated materials, or requires that products of mixed origins do not any contain any (focus commodity) materials defined as "controversial", "unacceptable" or similar.
- 78 The scheme requires that products labelled or otherwise claimed as certified do not contain any (focus commodity) materials that are illegally harvested or traded.
- 79 The scheme requires that products labelled or otherwise claimed as certified do not contain any (focus commodity) materials from areas where traditional or civil rights are violated.
- 80 The scheme requires that products labelled or otherwise claimed as certified do not contain any (focus commodity) materials from areas where HCVs (1-6) are threatened.

**A LEGALITY, TENURE & USE RIGHTS**

- 1 Producers are required to be legally defined entities.
- 2 Producers are required to have legal land tenure or title and valid rights to use the management unit.
- 3 Producers are required to comply with all applicable national and international laws and regulations.
- 4 Producers are required to identify legal and customary rights of tenure, access and use of other parties that apply on the management unit.
- 5 Producers are required to uphold legal and customary rights of tenure, access and use of other parties, unless these rights are delegated through documented free, prior and informed consent.
- 6 Producers are required to respect the rights, customs and culture of indigenous peoples as defined in the UN Declaration on the Rights of Indigenous Peoples (2007) and ILO Convention 169 (1989).
- 7 Producers are required to engage with affected stakeholders and document measures taken to resolve disputes related to land tenure, access and use.
- 8 Producers are required to engage with affected stakeholders and document measures taken to resolve disputes related to water access and use.
- 9 Producers are required to take measures against unauthorized or illegal activities and settlement on the management unit.
- 10 Producers are required to commit in writing not to offer or receive bribes or engage in any other form of corruption.

**B COMMUNITY RELATIONS**

- 11 Producers are required to engage in dialogue with neighbouring communities and individuals.
- 12 Producers are required to identify negative impacts from operations on communities and individuals.
- 13 Producers are required to take measures to minimize and mitigate negative impacts from operations on communities and individuals.
- 14 Producers are required to address grievances and provide fair compensation for negative impacts of operations on local communities and individuals.
- 15 Producers are required to assess potential impacts on communities and individuals, including impacts on food security and water availability, prior to any significant intensification or expansion of cultivation or infrastructure.
- 16 Producers are required to identify and respect sites of cultural and religious significance in the management unit.
- 17 Producers are required to assess and maintain High Conservation Values (HCVs) category 5 (basic necessities for local communities) in the management unit.
- 18 Producers are required to support economic development by providing opportunities for local employment and provision of services.
- 19 Producers are required to actively engage in welfare programmes, where relevant to the social context.
- 20 Producers are required to regularly monitor their impacts on the local economy and to adapt management as necessary for improvement.

**C WORKERS' RIGHTS**

- 21 Producers are required to respect the core ILO rights of workers as defined in the Declaration on Fundamental Principles and Rights at Work (1998).
- 22 Producers are required to ensure that children under the age of 15 (or higher if stipulated in national law) do not carry out productive work in the management unit.
- 23 Producers are not allowed to use forced or otherwise involuntary labor.
- 24 Producers are required to ensure that there is no discrimination at work and that workers are not subject to any form of corporal punishment, abuse, harassment or intimidation.
- 25 Producers are required to identify potential health and safety risks at work and take measures to avoid them.
- 26 Producers are required to ensure that workers are adequately equipped, instructed and trained for their tasks, including safe use and handling of chemicals.
- 27 Producers are required to respect workers' freedom of association and right to collective bargaining.
- 28 Producers are required to ensure that wages, working hours and leave comply with, or exceed, applicable legislation and sector minimum standards.
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- 38 Producers are required to avoid or minimize soil erosion.
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- 44 Producers are required to protect rare and threatened species and their habitats in the management unit.
- 45 Producers are required to assess and maintain HCVs category 1 (concentrations of rare and threatened species), 2 (large landscapes in a relatively natural state) and 3 (rare and threatened ecosystems) in the management unit.
- 46 Producers are required to maintain representative areas of native ecosystems in the management unit.
- 47 Producers are required to maintain or restore native vegetation along streams and watercourses.
- 48 Producers are required to take measures against any illegal or inappropriate hunting, fishing or collecting in the management unit.
- 49 Producers are not allowed to introduce or use invasive alien species in the management unit.
- 50 Producers are required to regularly monitor their impacts on biodiversity and to adapt management as necessary for improvement.

## **F POLLUTION, WASTE & GHG EMISSIONS**

- 51 Producers are required to implement integrated pest management practices that minimize the use of pesticides.
- 52 Producers are not allowed to use hazardous chemicals (as defined by WHO 1A and B and the Stockholm and Rotterdam conventions).
- 53 Producers are required to document all application, handling, storage and disposal of agrochemicals.
- 54 Producers are required to take measures to avoid or minimize negative impacts of agrochemical use on human health and the environment.
- 55 Producers are required to ensure that transportation, application, handling, storage and disposal of agrochemicals comply with good practice and/or manufacturers' recommendations.
- 56 Producers are required to ensure that any use of biological control agents complies with internationally recognized standards and/or protocols.
- 57 Producers are required to estimate sequestration and emissions of greenhouse gases from the management unit.
- 58 Producers are required to take measures to reduce any net emissions of greenhouse gases from the management unit.
- 59 Producers are not allowed to clear native forest and/or areas of high above-ground carbon stocks to expand cultivation or plantations.
- 60 Producers are not allowed to expand cultivation or plantations on peat soils and/or areas of high below-ground carbon stocks.

## **G PLANNING AND COMMUNICATION**

- 61 Producers are required to continuously improve key practices and operations.
- 62 Producers are required to have management plans appropriate to the scale and intensity of the operation that demonstrate commitment to long-term social, environmental and economic viability.
- 63 Producers are required to regularly revise their management plans to reflect the results of monitoring and evaluation.
- 64 Producers are required to make summaries of their management plans publicly available on their website.
- 65 Producers are required to use independent expertise for assessing social and environmental impacts prior to significant intensification or expansion of cultivation or infrastructure.
- 66 Producers are required to make summaries of social and environmental impact assessments publicly available on their website.
- 67 Producers are required to identify HCVs (all 6 categories) prior to significant expansion of cultivation or plantations.
- 68 Producers are required to use independent expertise for assessing HCVs prior to expansion of cultivation or plantations.
- 69 Producers are required to make summaries of their HCV assessments publicly available on their website.
- 70 Producers are not allowed to expand cultivation or establish plantations at the expense of one or more HCVs.

## **H FORESTRY: OTHER GOOD PRACTICE**

- 71 Producers are required to regularly monitor and evaluate key economic performance indicators like yields, revenues and costs and take measures as necessary for improvement.
- 72 Producers are required to promote use of a diverse range of resources and services from the management unit.
- 73 Producers are required to ensure that products are not harvested at levels above sustainable yields.
- 74 Producers are required to ensure that tree cover is regenerated to pre-harvesting (or more natural) conditions after logging.
- 75 Producers are required to use tree species for regeneration that are well adapted to site conditions.
- 76 Producers are not allowed to use genetically modified trees in the management unit.
- 77 Producers are required to use management practices appropriate for the tree species, site conditions and management objectives.
- 78 Producers are required to use management practices in natural/semi-natural forests that reflect natural disturbance regimes.
- 79 Producers are required to maintain high scenic landscape values.
- 80 Producers are required to take measures to increase resilience and reduce potential negative impacts from natural hazards.

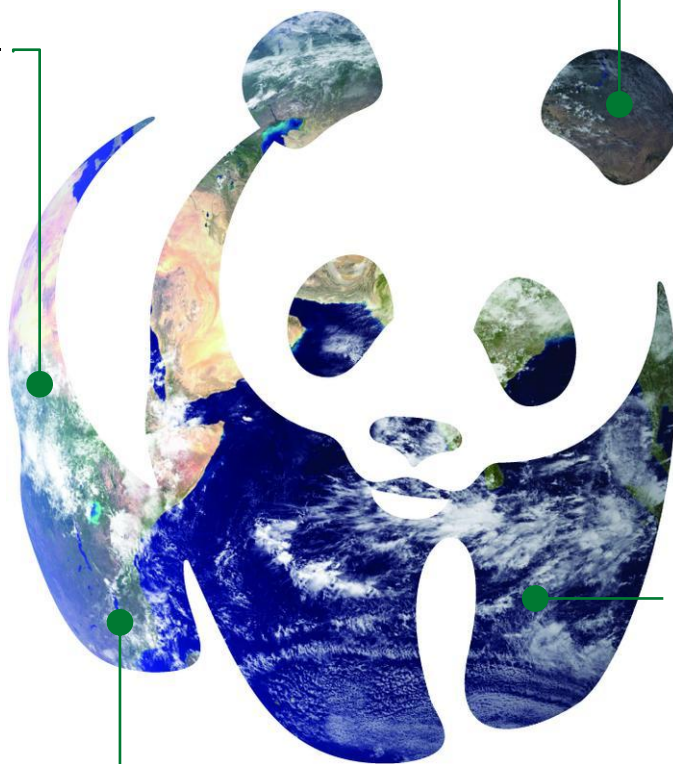
# WWF in numbers

1961

WWF was founded in 1961

+100

WWF is in over 100 countries,  
on 6 continents



+5,000

WWF has over 5,000 staff  
worldwide

+5M

WWF has over 5 million  
supporters



**Why we are here**

To stop the degradation of the planet's natural environment and  
to build a future in which humans live in harmony with nature.

[panda.org](http://panda.org)

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