

Annex G Extended company risk assessment template (informative)

This template provides examples of a risk assessment. Additional examples with graphical presentation are provided in *FSC-PRO-60-002a FSC National Risk Assessment Framework*.

Controlled wood extended company risk assessment
 DEVELOPED BASED ON THE STANDARD *FSC-STD-40-005 V3-1 Requirements for Sourcing FSC Controlled Wood*

Date of preparation: Date of the last review:	DD-MM-YYYY
The organization Name: Responsible staff and email address: Entity developing risk assessment Name: Responsible staff and email address:	
The certification body Name: Responsible staff and email address: Date of the last approval:	
Area(s) under assessment:	

Extended company risk assessment performed for supply area(s) or part thereof not covered by an approved FSC risk assessment

1. Extended company risk assessment

Area under assessment: (name of the country/region allowing for quick identification, e.g. Germany, North Rhine-Westphalia)

NOTE: Whether separate descriptions of areas under assessment shall be provided or not depends on the scale of the assessment (consult Section 2.3. of *FSC-PRO-60-002a*)

Country: (e.g. Germany)

Geographic area covered by the assessment: (e.g. states, counties, provinces, bio-regions, eco-regions, water catchments, watersheds, etc.; e.g. North Rhine-Westphalia)

Are maps of the sourcing area provided²⁴? Yes No

Specify directory to the maps: (E.g. Annex X to the extended company risk assessment, online portals, directory to the files)

Controlled wood category 1: Illegally harvested wood

1. Identification of applicable legislation

Applicable legislation identified based on data available on the GFR

Describe how the list available on the GFR was reviewed to ensure it is complete and up-to-date:

.....

Applicable legislation identified using other sources

Provide the location of the list of applicable legislation developed based on *FSC-PRO-60-002a* and structured according to Table 1 in *FSC-PRO-60-002a*:

.....

(E.g. see Annex X to the extended company risk assessment/directory to the file with the list)

²⁴ Providing maps directly with the extended company risk assessment means that the organization agrees with FSC reproducing them in order to populate maps on the FSC website (population of the maps will depend on their format and quality).

Specify sources of information used for identification:
 (E.g. FSC FM National Standard, expert evaluation, list provided by NGO and/or governmental institutions)

NOTE: Links to existing governmental databases are not sufficient for the identification of applicable legislation.

2. Assessment of enforcement of the applicable legislation;
 Assessment for the indicators in the same sub-category of law may be jointly presented.

Indicator (Applicable legality categories and sub-categories) (1)	Sources of information ²⁵ (2)	Risk determination and specification (if not low risk) Provide numbers of thresholds ²⁶ that are met. JUSTIFY THE OUTCOME (for each threshold). (3)	Functional scale ²⁷ (4)	Control measures (5)
Example 1				
Legal rights to harvest				
1.1 Land tenure and management rights.	World Bank Worldwide Governance Indicators: info.worldbank.org/governance/wgi/sc_country.asp ;	Low (1): Land and management rights are clearly defined in the legislation. Sources confirm enforcement of these laws (general assessment of law enforcement based on international indicators and lack of evidence of violation of these laws).	-	-
1.2 Concession licenses.	NGO report on issuing and controlling of licensing and planning (available at: ...) Transparency International http://www.transparency.org/policy_research/surveys_indices/cpi for Transparency International indices;	Specified (2) NGO report provides information that, even though there is no violation of regulations about planning and management, required concession licenses are often issued with a delay and outdated. This problem, however, exists in a great majority for private forest.	Ownership: 'Specified risk' – private forest; 'Low risk' – other forests.	Where concession is required, sourcing from forest areas with valid concession license.
1.3 Management and harvesting planning.	Government report on land management and rights (NGO, available at....)	Low (1): Sources confirm enforcement of these laws (general assessment of law enforcement based on international indicators and lack of evidence of violation of these laws).	-	-
1.4 Harvesting permits.		Low (1): Sources confirm enforcement of these laws (general assessment of law enforcement based on international indicators and lack of evidence of violation of these laws).	-	-
Example 2				
1.14 Free, Prior and Informed Consent.	Royal Institute of International Affairs: www.illegal-logging.org (provide directory to relevant report!);	Specified (2) Expert overview shows that Indigenous Peoples' rights are inconsistently described in the existing legislation. Reports of RIIA indicate that traditional laws are violated in terms of access to the forest.	IP presence: 'Low risk' for area not occupied by IP; 'Specified risk' for area occupied by IP (keep consistency with cat. 2 assessment)	Documentation confirms that Free, Prior and Informed Consent (FPIC) was given; keep consistency with cat. 2 assessment)
1.15 Indigenous Peoples' rights	Expert overview on laws regulating traditional rights (report: ...).			

²⁵ Provide justification why only these sources were used in the assessment.

²⁶ See threshold number as provided in FSC-PRO-60-002a.

²⁷ Spatial units based on non-geographical characteristics, e.g. type of forested area tenure/ownership, scope of management, scale, intensity, and risk.

Controlled wood category 2: Wood harvested in violation of traditional and human rights

1	2	3	4	5
<i>Example 1</i>				
2.3. The rights of Indigenous Peoples and traditional peoples are upheld.	Legality assessment (see controlled wood category 1);	Specified (22): See risk specification for indicators 1.14 and 1.15.	IP presence: 'Low risk' for area not occupied by IP; 'Specified risk' for area occupied by IP	Documentation confirms that FPIC was given
<i>Example 2</i>				
2.3. The rights of Indigenous Peoples and traditional peoples are upheld.	Applicable legislation (see controlled wood category 1); NGO report about nomads entering region covered by the area under assessment. ILO database (...)	Specified (24): NGO reports confirm seasonal presence of Indigenous Peoples in the northern part of the area. There are no laws nor regulations, as well as no other practices ensuring respect to traditional laws, and NGO reports provide evidence of violation of these laws. Sources challenging NGO findings do not provide sufficient contra-arguments for report contents.	IP presence: 'Low risk' for area not occupied by IP; 'Specified risk' for area occupied by IP	Documentation confirms that FPIC was given

Controlled wood category 3: Wood from forests in which high conservation values are threatened by management activities

HCV category	Data ²⁸ used for HCV identification	Identified threats (provide sources ²⁷)	3	4	5
<i>Example 1</i>					
3.1 HCV 1	Known and available inventory data relevant for HCVs. Threatened species recovery plans/implementation reports. (...)	Habitat removal (Act of forest ...; Code of practice of Public State Forest XX)	Specified (8): Management regulations do not require protection of birth sites of HCVs. As within the area species XX require seasonal protection, habitats of these species are being removed. Country is signatory to CBD but reports show little progress in achieving CBD targets. The problem does not occur within the areas of nature protection (particularly: national parks and reserves) and in the forest areas managed by public state forest due to internal regulation.	'Low risk': Public state forest (identified risk is mitigated by internal code of practice and existing evidence confirms that code is respected). 'Specified risk': rest of the area.	Sourcing from areas where seasonal birth sites are not logged during breeding season; Ex. of verifiers: agreements with forest managers that confirm implementation of CMs.

Where an HCV assessment framework that meets FSC controlled wood requirements for HCV presence and threat assessment as provided in *FSC-PRO-60-002a* has been developed by the relevant FSC National Office, it shall be applied in the extended company risk assessment for controlled wood category 3.

²⁸ Provide justification why only these sources were used in the assessment.

Controlled wood category 4: Wood from forests being converted to plantations or non-forest use

1	2	3	4	5
<i>Example 1</i>				
4.1 (...)	<i>Legality assessment (see controlled wood category 1);</i>	<i>Low (2): Legislation only allows removal of forest ecosystems (including conversion to plantation) for the purpose of investments of public priority (high speed road development, establishment of water bodies serving as a means for fire-protection and water supply, etc.). Clear cuts are allowed in the legislation but regeneration of felled areas is required in time short enough to protect ecosystem values from degradation. Controlled wood category 1 assessment confirms law enforcement.</i>	-	-
<i>Example 2</i>				
4.1 (...)	<i>Spatial database of sourcing forest area. Land cover reports.</i>	<i>Low (1): Spatial data available on the database confirm that spatial threshold in the indicator is met. Additionally, governmental reports (past five years) dealing with land cover changes confirm that conversion does not exceed the threshold.</i>	-	-

Controlled wood category 5: Wood from forests in which genetically modified trees are planted

1	2	3	4	5
<i>Example 1</i>				
<i>5.1 There is no commercial use of genetically modified trees.</i>	<i>Legality assessment (see controlled wood category 1);</i>	<i>Low (1) Introduction of GM trees to forest areas is forbidden according to the law. Controlled wood category 1 assessment confirms law enforcement.</i>	-	-

2. List and contact details of experts involved in the risk assessment

Controlled wood category 1

1. (Provide name and contact details or references to publicly available expertise)

Areas under assessment: (Include areas under assessment where the expert was involved²⁹)

Controlled wood category 2

1. (Provide name and contact details or references to publicly available expertise)

(Etc.)

²⁹ Applies when an extended company risk assessment covers more than one area under assessment.