



INTERNATIONAL GENERIC INDICATORS (IGI) GUIDE TO THE SECOND DRAFT

1. INTRODUCTION

The following document was developed by the Forest Stewardship Council (FSC) to support stakeholder engagement during the second public consultation for the International Generic Indicators (IGIs). It is intended to serve as a starting point for stakeholders, to provide context and explanation before reviewing the second draft.

This document includes the following sections:

1. **Introduction:** A summary of the document, including key points about why the IGIs are so significant to the FSC system.
2. **Overview:** Context about the IGI process, including a timeline for development.
3. **Navigate the Standard:** An introduction to an interactive tool developed to help stakeholders navigate the IGIs by focusing on specific issues they consider to be most significant to their context.
4. **Transfer of National Standards to P&C V5:** A brief summary of the Transfer Process, which is how National Standards move to the Principles & Criteria Version 5 (P&C V5).

Why the IGIs Matter

The future of FSC forest management is being decided now.

Quite literally, the IGIs will affect how Certification Bodies audit forests to FSC standards everywhere in the world. The IGIs will serve as the starting point for FSC National Standards, and shape how FSC forest management happens on the ground.

The second public consultation is the single best opportunity for stakeholders to engage in the IGI process and shape the future of FSC forest management. FSC encourages you to use your voice to impact forests in your home country and around the world.

The purpose of the IGIs is to ensure the consistent application of the P&C V5 across the globe. The IGIs will elevate the quality of, and promote more efficient approval for, FSC National Standards. They will also replace Certification Body Adapted Standards in countries without National Standard.

In short, the IGIs will define FSC forest management. But first, FSC needs to hear from you during the second public consultation.



2. OVERVIEW

The Forest Stewardship Council's vision is that the world's forests meet the social, environmental and economic rights and needs of the present generation without compromising those of future generations.

FSC works to promote responsible forest management worldwide. Through its certification system, it creates a voluntary, market-based incentive for forest owners and managers to follow best social and environmental practices.

Forest Management Certification

FSC's Principles & Criteria are the requirements certified forest owners or forest managers must comply with in order to receive FSC Forest Management (FM) certification.

Principles are the essential rules or elements of environmentally appropriate, socially beneficial and economically viable forest management.

Criteria provide the means of judging whether or not a Principle has been fulfilled.

FM certification confirms that a specific area of forest meets all the P&C, and is therefore being managed in line with FSC certification requirements.

National Forest Stewardship Standard Development

The P&C are adapted at the national level to best reflect the diverse legal, social, ecological and geographical conditions of forests in different parts of the world.

The process for developing the FSC National Forest Stewardship Standards (NFSS) follows the requirements set out in the FSC standard FSC-STD-60-006, '*Process Requirements for the Development and Maintenance of National Forest Stewardship Standards.*'

The FSC Forest Management Program advises National Standards Development Groups (SDGs) as they work through the process of developing a National Standard.

When consensus is reached at the national level, the FSC FM Program evaluates the National Standard to ensure it fully reflects FSC's requirements set out in the FSC standard FSC-STD-60-002, '*Structure and Content of National Forest Stewardship Standards.*'

The FSC Board of Directors has delegated its authority to approve National Standards to the FSC Policy and Standards Committee.

Principles & Criteria Version 5

The revision of the P&C – which started with an initial review in January 2009 and culminated in approval by the FSC membership in February 2012 – was the most comprehensive and thoroughly consultative process in the history of the FSC.

FSC members and other stakeholders from around the world engaged in the review process, providing feedback at many stages and showing strong commitment to the FSC values of participation, consultation and consensus building.

P&C V5 was approved on 10 February 2012. However, it will not be used for auditing until completion of the IGIs.



International Generic Indicators

The IGIs are designed to promote consistency across Forest Management standards globally and to increase the efficiency of approving national standards.

In November 2010, the FSC Board of Directors instructed the FSC Secretariat to develop a set of IGIs to ensure the consistent application of the P&C across the globe. Specifically, the IGIs will address several FSC General Assembly Motions and the following rationale:

- Operationalize at national level the Principles and Criteria Version 5 (P&C V5), approved in February 2012.
- Improve and strengthen the credibility of the FSC System.
- Improve the quality of the National Standards.
- Support a faster and more efficient National Standards approval process.
- Replace the Certification Body's Adapted Standards in countries that lack approved National Standards.

IGIs to usher in the P&C V5

To phase in use of the P&C V5 in a consistent way across the world – and to strengthen the credibility of the FSC system – the IGIs are to be used by SDGs as the starting point for the development of National Standards.

In countries with an existing National Standard, the IGIs will serve as the starting point for the transfer process from P&C V4 to P&C V5.

In countries where there are no National Standards, where Certification Bodies (CBs) have had to develop CB Adapted Standards as an alternative basis for evaluating compliance with the P&C, the IGIs will now take the place of CB Adapted Standards, and will serve as the Forest Stewardship Standard.

The specifications on how this process will be developed will be included in a revision of the standard FSC-STD-20-002, *'Structure, content and local adaptation of generic Forest Stewardship Standards'*.

Development and Implementation of the IGIs

The IGI Group, which is comprised of the IGI Working Group (IGI WG) and the Technical Experts, is guiding development of the IGIs.

The IGI WG comprises six FSC members, two from each of the Social, Environmental and Economic membership chambers, with one coming from the global North and one from the global South.

A group of Technical Experts has also been appointed as a resource for the IGI WG, comprising representatives from each of the FSC regions and two CBs, one northern and one southern. The Technical Experts provide advice and expertise to the development of the IGIs.

Together, the IGI WG and the Technical Experts form the IGI Group, which also serves a liaison function. The IGI Group collects and shares perspectives gathered from their respective sub-chambers, regions and CBs, and participates in stakeholder outreach and information-sharing workshops where possible.



Congregations

IGI Group meetings. Regular IGI Group Meetings are held to discuss the development of the IGIs.

Public consultations. Two periods of public consultation are planned in the process of developing the IGIs, unless further rounds of public consultation are required due to substantial feedback from stakeholders. These are open to FSC members and other stakeholders. The latest draft IGIs will be published as each consultation opens, along with information on how to provide input.

Regional workshops. During the public consultations, Regional Workshops will take place in the six FSC regions. At these events, the Regional Representatives from the IGI Group, together with Network Partners and SDGs representatives, will gather to discuss the draft IGIs and to prepare for the national consultations.

Timeline

- **July 2012 – 1st IGI Group meeting**
The IGI Group held its first meeting in Bonn, Germany, officially launching the IGI process.
- **October 2012 – 2nd IGI Group meeting**
The IGI Group met in Bonn, Germany. The Drafting Team at the Policy and Standards Unit set to work on the draft IGIs, incorporating the feedback and outcomes of the first IGI Group meeting.
- **March to April 2013 – 1st public consultation**
The 1st public consultation began on 01 March and was open for 60 days until 30 April 2013.
- **March to April 2013 – 1st set of regional workshops**
At the same time as the first public consultation period, a series of regional workshops were held in North America, Latin America, Europe/CIS countries, Africa and Asia/Pacific.
- **June 2013 – 3rd IGI Group meeting**
The IGI Group held its third meeting in Madrid, Spain, where it began analyzing the feedback received during the first public consultation.
- **October 2013 – 4th IGI Group meeting**
The IGI Group held its fourth meeting in Lisbon, Portugal. Arrangements were made for the final steps towards the second draft of the IGIs.
- **January to March 2014 – 2nd public consultation**
Draft 2.0 of the IGIs is submitted for the second period of public consultation.
- **January to March 2014 – 2nd set of regional workshops**
Coinciding with the second public consultation period, the second set of Regional Workshops will be developed in the six FSC regions.



- **June 2014 – Approval of the IGIs**
Once the final draft IGIs has been developed and approved by the IGI Working Group, it will be submitted to the FSC Board of Directors for approval.
- **December 2015 – Transfer to P&C V5**
By December 2015, it is expected that all National Standards will be transferred to the P&C V5.

Conclusion

To promote consistent and efficient operationalization of P&C V5 worldwide, the FSC Board of Directors instructed the FSC Secretariat to develop a set of IGIs.

The IGIs will operationalize the P&C V5 at a national level, thereby replacing the CB Adapted Standards in countries that lack approved National Standards, and improve the overall quality of National Standards.

The development of IGIs is essential to the consistent phasing in of the P&C V5 across the world and will strengthen the credibility of the FSC System. Approval is expected in June 2014 for the final IGIs.

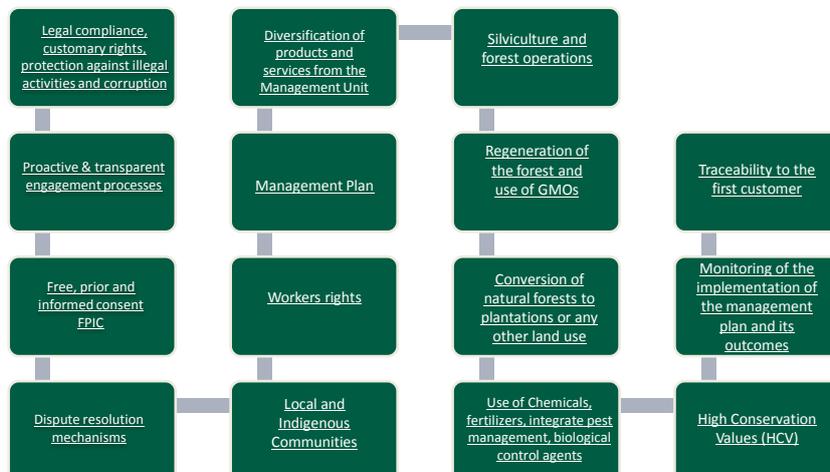
3. NAVIGATE THE STANDARD

To help stakeholders navigate the second draft of the IGIs, FSC developed an interactive tool known as “Navigate the Standard.”

Based on PowerPoint, this tool allows stakeholders to select specific issues that are most significant to their interests.

Guide to Navigate the standard

Select your area of interest





Because the IGIs are technical and complex, this tool is designed to help stakeholders focus their review and input.

4. TRANSFER OF NATIONAL STANDARDS TO P&C V5

The Transfer Process describes how National Standards are transferred from the P&C V4 to P&C V5. Because the Transfer Process is central to how the IGIs will be applied in practice, and will affect how stakeholders comment on the second draft of the IGIs, we have summarized it below.

This document is non-normative. It is only designed to inform the second public consultation of the IGIs. For a full description of the Transfer Process, including normative details, see the Transfer Procedure.

This process has to be followed by all countries where a Standards Development Group (SDG) can be created according to the specifications in FSC-STD-60-006. Depending on the current situation in these countries, they will have to follow one of the options specified below.

In countries where there is currently no FSC Network Partner, or where it is not possible to create an SDG, the IGIs will be used as the standard for the evaluation of compliance with the FSC Principles and Criteria. Specifications on how Certification Bodies will use the IGIs in these countries will be included in the standard FSC-STD-20-002.

After the approval of the IGIs, Certification Body's Adapted Standards will no longer be used.

Why the transfer process is needed

The P&C set the core requirements for responsible forest management in the FSC system. Indicators are used to operationalize the P&C at the national level and to provide Certification Bodies with a tool to evaluate compliance with the P&C on the ground. These indicators are developed by the Standards Development Groups (SDGs) and included in the National Standards.

The National Standards that currently exist in the different countries were developed according to the P&C Version 4. This version was revised for three years and resulted in the P&C Version 5, which was approved by the FSC members in February 2012. Consequently, existing National Standards (based on P&C Version 4) need to be transferred to the P&C Version 5 following one of the options described below.

Who participates in the Transfer Process

Countries with a Standards Development Group have to follow the Transfer Process. A Network Partner in the country (National Office, National Representative or Focal Point) will support the SDG.

Countries that cannot follow the Transfer Process will not have a valid National Standard after the approval of the IGIs. In these cases, the Certification Bodies will adapt the IGIs to the national context following the specifications in FSC-STD-20-002 and use them as the standard for the forest management evaluations.



Transfer Options

In order to respect and consider the different situations around the world, FSC is offering two options for SDGs to follow the Transfer Process:

Transferring an existing National Standard to P&C V5:

For countries with an approved National Standard with full or limited (e.g. SLIMFs, Plantations, NTFP, etc.) scope or a draft National Standard.

All existing National Standards in the country can be used for the Transfer Process, whether they were approved or are drafts, and whether they have full or partial scope.

The IGIs together with the IGI Notes (Addendum to FSC-STD-01-004) are to be used as the starting point for the transfer. Here is a brief explanation of the recommended steps:

1. **Transfer indicators:** Identify indicators from your existing standards that also cover the normative elements in the P&C V5 and transfer them over to the new National Standard structure (following the structure of the P&C V5). The Transfer Matrix is a tool developed by PSU to support this exercise.
2. **IGIs transfer:** Compare your old indicators that have been transferred in Step 1 with the corresponding IGIs to check if the IGI may better fit into your new National Standard than your old indicators. If so, replace your old indicator with the corresponding IGI. If not, keep your transferred indicators (justification to be provided).
3. **Gap analysis:** Identify the remaining gaps (not covered normative elements) in your new National Standard and fill them by adding the corresponding IGIs word-for-word.
4. **Normative elements:** Verify that all normative elements in each criterion on the new National Standard are covered by the indicators.
5. **Apply AADA concept:** Go through your new National Standard indicator by indicator and decide if the wording can remain as it is (Adopt). If it needs to be adapted to match national terminology, or to add thresholds or best practice, justify the adaptation (Adapt). Then look at the whole criterion and decide if collectively your indicators are sufficient to address the criterion or if indicators are missing or redundant. You may then develop new indicators (Add) or drop indicators (Drop) as appropriate, with justification.
6. **Polish the standard:** Go through your National Standard criterion by criterion and confirm that the set of indicators makes sense, without gaps or redundancies and is consistent in language and terminology. Look at the standard in its totality and check again for consistency across the whole standard. Polish your standard in this step as required.
7. **Self-evaluate for FSC-STD-60-002 compliance:** Ensure your new National Standard is in compliance with FSC-STD-60-002.

Once the transfer is completed, follow the applicable process requirements in FSC-STD-60-006 to finalize the draft National Standard and send it to FSC for approval. Some countries may not need to follow the complete process in FSC-STD-60-006, whereas others will need to do so. Instructions will be included in the Transfer Template (FSC-TPT-60-007), and orientation can be also provided by PSU.

Developing a new National Standard according to P&C V5:

For countries that do not have an approved or draft National Standard.



Here is a brief explanation of the steps:

1. **Standard FSC-STD-60-002:** Follow the standard FSC-STD-60-002 with the modifications specified in the Transfer Procedure, including:
 - a. Use IGIs and the IGI Notes as the starting point for the development of National Standards (instead of the Suggested Indicators).
 - b. Apply the AADA concept (Adopt, Adapt, Drop, Add) as per the step 5 in the option above.
 - c. Apply the Scale, Intensity and Risk (SIR) concept, at least to the criteria in P&C Version 5 where adaptation to SIR is required.
2. **Process requirements:** Follow all the process requirements in FSC-STD-60-006 to finalize the draft National Standard and send it to FSC for approval.

Transfer Methodology

More details on how to use these options are included in the Transfer Procedure.

Adopt the proposed International Generic Indicator (IGI) word for word. This means the IGI proposed for a criterion is copied as it is (in FSC-STD-01-004) into the new National Standard that is being developed or transferred. No justification is required.

Adapt the proposed IGI to the national situation. This includes revising the wording of the IGI to include terminology that is more appropriate to the local, regional or national context or adding relevant thresholds. Under this option, it may be also possible to transfer corresponding indicators from the approved National Standard when a criterion in the P&C V4 includes the same elements as the related criterion in the P&C V5. In this way, previous investment in agreed upon and consulted National Standards can be retained as a foundation for the new National Standard. A justification must be provided.

Drop the proposed IGI (not including it in the National Standard). A justification must be provided.

Add a new indicator. Develop and suggest additional indicators in order to better establish conformance to a Criterion in the regional/national context. Justification must be provided.

For the last three options – Adapt, Drop or Add a new indicator – justification must be provided. This justification can be brief, and can be grouped across more than one indicator. For these three options, the national context will be taken into consideration, without undermining related FSC normative documents.

Timing

The IGIs development and the Transfer Process were intended to run in parallel since July 2012 to enable national outcomes of the Transfer Process to be considered in the development of the IGIs, through the consultation processes.

Having both processes in parallel proved to be complicated to keep and needing too many resources, what ended in a petition to extend the Transfer Process deadline. This was recently approved by the Board of Directors, allowing for one more year (until December 2015) to transfer the National Standards to the P&C V5.