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Our ref. TMB / NWIP

TO THE ISO MEMBER BODIES

Date 2013-05-28

New work item proposal – Chain of Custody of Forest Based Products – Requirements.

Dear Sir or Madam,

Please find attached a new work item proposal submitted by ABNT (Brazil) and DIN (Germany) on *Chain of Custody of Forest Based Products – Requirements*. It should be noted that, if the NWIP is approved, the work is proposed to be carried out in a Project Committee.

You are kindly invited to complete the ballot form (Form 05) which could be downloaded at www.iso.org/forms and send it, preferably in Word format, to the Secretariat of the ISO Technical Management Board at tmb@iso.org before 28 August 2013.

Yours faithfully,

Sophie Clivio

Secretary to the Technical Management Board

Encl: NWIP (Form 04)

Justification Study (approved by MSS TF)



NEW WORK ITEM PROPOSAL	
Closing date for voting	Reference number (to be given by the Secretariat)
Date of circulation	ıso/тс / sc N
Secretariat ABNT/DIN	⊠ Proposal for new PC

A proposal for a new work item within the scope of an existing committee shall be submitted to the secretariat of that committee with a copy to the Central Secretariat and, in the case of a subcommittee, a copy to the secretariat of the parent technical committee. Proposals not within the scope of an existing committee shall be submitted to the secretariat of the ISO Technical Management Board.

The proposer of a new work item may be a member body of ISO, the secretariat itself, another technical committee or subcommittee, or organization in liaison, the Technical Management Board or one of the advisory groups, or the Secretary-General.

The proposal will be circulated to the P-members of the technical committee or subcommittee for voting, and to the O-members for information.

IMPORTANT NOTE: Proposals without adequate justification risk rejection or referral to originator.

Guidelines for proposing and justifying a new work item are contained in Annex C of the ISO/IEC Directives, Part 1.

The proposer has considered the guidance given in the Annex C during the preparation of the NWIP.

Proposal (to be completed by the proposer)

Title of the proposed deliverable. (in the case of an amendment, revision or a new part of an existing document, show the reference number and current title)		
English title Chain of Custody of Forest Based Products – Requirements.		
French title (if available)		
Scope of the proposed deliverable.		
Standardization in the field of forest management requirements for a chain-of-custody control system for forest products.		
Purpose and justification of the proposal. The forest products industry in the world has grown significantly in recent years, accounting for much of the countries exports and generating many direct and indirect jobs. This growth should occur in a sustainable base and enable an effective social and economic development. Hence, it is necessary to create International management standards, particularly those that promote the traceability of the production chain for legally and sustainable produced goods, so that all stages of production are verified. Forest management – Chain of custody is based on orientation and coordination of goals for improved handling and multiple uses of forests. In that ambit, the appropriate forest handling leans on in the idea of sustainability of the socioeconomic and sustainable development. Sustainable forest management is based on environmentally appropriate, socially beneficial and economically viable management of forests for present and future generations. The purpose of this new committee would be to create standards in the field of management of forest in a sustainable way, providing an assurance mechanism for both enterprises and woodland owners to be able to demonstrate to consumers that wood used in their products comes from sustainable managed forests.		
The objective of the chain of custody is to create an information-link between the raw material included in a forest-based product and the origin of that raw material ensuring the traceability.		
If a draft is attached to this proposal,:		
Please select from one of the following options (note that if no option is selected, the default will be the first option):		
 □ Draft document will be registered as new project in the committee's work programme (stage 20.00) □ Draft document can be registered as a Working Draft (WD – stage 20.20) □ Draft document can be registered as a Committee Draft (CD – stage 30.00) □ Draft document can be registered as a Draft International Standard (DIS – stage 40.00) 		
Is this a Management Systems Standard (MSS)?		

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Indication(s) of the preferred type or types of deliverable(s) to be produced under the proposal.
☑ International Standard ☐ Technical Specification ☐ Publicly Available Specification ☐ Technical Report
Proposed development track ☐ 1 (24 months) ☐ 2 (36 months - default) ☐ 3 (48 months)
Known patented items (see ISO/IEC Directives, Part 1 for important guidance)
☐ Yes ☐ No If "Yes", provide full information as annex
A statement from the proposer as to how the proposed work may relate to or impact on existing work, especially existing ISO and IEC deliverables. The proposer should explain how the work differs from apparently similar work, or explain how duplication and conflict will be minimized.
There are no similar works being developed in ISO, since the Committees that deal with forest are focused on the products (like ISO/TC 89 – Wood based panels, ISO/TC 165 – Timber Structures or ISO/TC 207 – Environmental management).
In the case of TC 207, its scope covers environmental issues only , meanwhile the proposal intends to also address economic and social aspects.
A listing of relevant existing documents at the international, regional and national levels.
ITTO - Guidelines for the sustainable management of natural tropical forests
Pan-European Operational Level Guidelines for Sustainable Forest Management
• Brazil
ABNT NBR 14789:2007 – Forest Management – Principles, criteria and indicators for forest plantations;
ABNT NBR 14790:2007 – Forest management – Chain of custody;
ABNT NBR 15753:2009 – Forest management – Guidelines for implementation of ABNT NBR 15789;
ABNT NBR 15789:2004 – Forest Management – Principles, criteria and indicators for native forests;
ABNT NBR 16789:2010 – Forest management – Guidelines for implementation of ABNT NBR 14789;
ABNT NBR 14793:2001 Revised Version: 2008 – Guidelines for forest auditing – Audit procedures – Qualification criteria for auditors forest.
Australia
AS 4708 Supp 1:2007 – Guidance for medium and large native forest ownerships (Supplement 1 to AS 4708 - 2007).
• Spain
UNE 162001:2007 – Sustainable forest management – Vocabulary, terminology and definitions;
UNE 162002-1:2007 – Sustainable forest management – Criteria and indicators – Part 1: Generics for the management unit;
UNE 162002-2:2007 – Sustainable forest management – Criteria and indicators – Part 2: Complementary for the assessment
at regional level.
UNE 162003:2001 – Sustainable forest management – Qualification criteria for forestry auditors;
UNE 162004:2001 – Sustainable forest management – Qualification criteria for certification bodies.
United States ASTM D7480-08 – Standard guide for evaluating the attributes of a forest management plan;
ASTM D7480-08 – Standard guide for evaluating the attributes of a Forest Management plan.
A simple and concise statement identifying and describing relevant affected stakeholder categories (including small
and medium sized enterprises) and how they will each benefit from or be impacted by the proposed deliverable(s)
The list of affected stakeholders include, but is not limited to, the following:
Consumers;
Society; Government;
Industry;
NGOs;
Forest owners;
Research institutes.

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Liaisons:	Joint/parallel work:	
A listing of relevant external international organizations	Possible joint/parallel work with:	
or internal parties (other ISO and/or IEC committees) to be engaged as liaisons in the development of the	☐ IEC (please specify committee ID)	
deliverable(s).	☐ CEN (please specify committee ID)	
ISO TC 207 Environmental Management;	☐ Other (please specify)	
Forest Stewardship Council (FSC);		
Programme for the Endorsement of Forest Certification (PEFC);		
Food and Agriculture Organization of ther United Nations (FAO).		
A listing of relevant countries which are not already P-me	mbers of the committee.	
Proparatory work (at a minimum an autline should be include	d with the proposal	
Preparatory work (at a minimum an outline should be include ☐ A draft is attached ☐ An outline is attached	☐ An existing document to serve as initial basis	
<u> </u>		
Brazilian standard will be translated into English and could be		
The proposer or the proposer's organization is prepared to und	dertake the preparatory work required	
Proposed Project Leader (name and e-mail address)	Name of the Proposer (include contact information)	
	Eugenio De Simone	
	Standardization Director - ABNT	
	eugenio@abnt.org.br	
	55 21 3974 2300	
Supplementary information relating to the proposal		
☐ This proposal relates to the amendment of existing ISC	document	
☐ This proposal is for the revision of an existing ISO docu	ment;	
☐ This proposal relates to the adoption as an active proje	ct of an item currently registered as a Preliminary Work Item;	
☐ This proposal relates to the re-establishment of a cance	elled project as an active project.	
Other:		
Annex(es) are included with this proposal (give details)		
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ISO/TMB/TF 2

ISO/TMB/TF 2 - Task force on management system standards

Email of secretary: Secretariat: ISOCS

JS MSS proposal Forest management CoC may 13 rev 1

Document type: Other committee document

Date of document: 2013-05-24

Expected action: INFO

Background: Dear members of the TMB MSS TF,

This is revised JS for Forest Management taking into account the comments that were made by the

TMB MSS TF on the initial submission (N202).

The changes made are indicated in red in this version of the JS. The additions/clarification have been found to answer satisfactorily to the comments raised in N202 and the work can progress as a

NWIP.

The JS will be part of the NWIP voting documents so that the voters have additional information.

Best regards, Stefan

Committee URL: http://isotc.iso.org/livelink/livelink/open/tmbtf2

Basic information on the MSS proposal

	What is the proposed purpose and scope of the MSS? Is the document supposed to be a guidance document or a document with requirements?
	The proposed scope of the MSS is to provide requirements for a management system related to the chain of custody of forests, in order to enable woodland owners and enterprises to manage their activities in a sustainable way. The purpose of the document is also to allow businesses to demonstrate to consumers that the wood used in their products comes from sustainable managed forests and it will be essential for companies to implement and demonstrate ethical business behaviour, and consumers to make responsible purchasing decisions.
1	The scope of the project covers all the elements of sustainable development – social, economic and environmental – with the goal to enable the creation of an information-link between the raw material included in a forest, based product and the origin of the raw material ensuring the traceability.
	We want to underline that we expect a standard dealing with sustainable forest management taking in account the existing FM standards or systems that the COC ISO can
	be applied to. Note that not the development of a FM standard or systems are proposed,
	the COC ISO shall be a bridge between the existing FM standards and the consumers
	tracking certified material from the forest to the final product.
2	Would the proposed MSS work item result in an International Standard (IS), an ISO(/IEC) Guide, a Technical Specification (TS), a Technical Report (TR), a Publicly Available Specification (PAS), or an International Workshop Agreement (IWA)?
	The result is intended to be an International Standard.
3	Does the proposed purpose or scope include product (including service) specifications, product test methods, product performance levels, or other forms of guidance or requirements directly related to products produced or provided by the implementing organization?
	No. The main goal of the proposal is to provide requirements that the sustainability principles are applied to the chain of custody of forests and wood production.
4	Is there one or more existing ISO committee or non-ISO organization that could logically have responsibility for the proposed MSS? If so, identify. No.
_	Have relevant reference materials been identified, such as existing guidelines or established practices?
5	Yes. The proposal brings a list containing relevant work developed on the field of Forest Management around the world, which indicates the necessity for such initiative.
	Are there technical experts available to support the standardization work? Are the technical experts direct representatives of the affected parties from the different geographical regions?
6	Yes. That can be checked in the list of similar initiatives. We have been able to identify a list of countries that develop such work and that could provide support to the development of this project.
	Lists of senior experts in Forest COC are fully available in the major existing schemes web page as:
	https://ic.fsc.org/experts-staff.15.htm
	http://www.pefc.org/about-pefc/governance/board-of-directors
	What efforts are anticipated as being necessary to develop the document in terms of experts needed and number/duration of meetings?
7	Expected number the experts bearing in mind the multistakeholder approach varies from 100-200 per meeting. Meetings will take 5 working days following the traditional ISO approach opening plenary – sub groups breakdown – closing plenary. Expected meeting year basis as plenary and twice year for sub groups.
	Under traditional ISO arrangements, representatives and experts engaged in standards development fund their own participation. While this is not normally an issue for ex-

	perts from government, industry and national standards bodies, it can be a particular problem for other categories of expert like consumers and NGOs. For these reasons we shall established a special Trust Fund, whose purpose is to provide a financial mechanism for funding the participation of stakeholders with limited resources including necessity of support for the participation of developing countries, so that we can have its contribution and assurance of the global relevance of the document proposed.
8	What is the anticipated completion date? The intended timeframe is the standard one in ISO: 36 months. If necessary, due to the challenging topic, an extension of the completion date will be requested.
9	Is the MSS intended to be a guidance document, contractual specification or regulatory specification for an organization? No. The proposal is not intended to be any of the above.

Principle 1: Market relevance

Have all the affected parties been identified? For example:

Traditionally Forest standards developments include three clusters – environmental, social and economic (industry) – which are further, sub-divided into stakeholders categories:

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- Consumers organizations
- Government
- NGOs
- Forest owners
- Academia

Correspondent members of ISO (NSBs) are allowed to nominate up to 6 experts considering 2 per cluster.

What is the need for this MSS? Does the need exist at a local, national, regional or global level? Does the need apply to developing countries? Does it apply to developed countries? What is the added value of having an ISO document (e.g. facilitating communication between organizations in different countries)?

The issue exists in the global level, since the protection of the environment concerns all parts of the globe. The intended document would be applicable to any country or region that has economic activities being developed in forests. The proposal aims to deal with the entire forest supply chain to provide good practices in the forest and to ensure that timber and non-timber forest products are produced with respect for the highest ecological, social and ethical standards, but has no intention of conflicting with existent national regulation, which outside the mandate ISO Committee's.

The forest products industry in the world has grown significantly in recent years, representing a big chunk of many countries' economies due to exports and generation of many direct and indirect jobs. So this growth should occur in a sustainable base, enabling an effective social and economic development in the long term, international standards on management, particularly those that promote the traceability of the production chain, are necessary.

The establishment of a new field of activity, and the development of this International Standard, would help to harmonize the current variety of national and private standards, which increases the organizations expenses, mainly the ones that have to demonstrate their conformity with requirements from different stakeholders, and consequently bilateral, or multiple, recognition for their maintenance in the market.

Among the potential benefits of the document we list:

- Improved corporate image;
- Promotion of the sustainability culture:
- Open new markets;

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Enhance the brand and gain a reputation as a sustainable business; Find new business partnerships; Develop reliable verification systems to traceability of timber products; Encourage transparency through the provision of accurate data; Build the capacity of government agencies and other institution to enforce existing legislation, with support from standardization; Strengthen enforcement by improving co-ordination between regulators and standardization bodies. Does the need exist for a number of sectors and is thus generic? If so, which ones? Does the need exist for small, medium or large organizations? The need exists for a specific sector, which comprises businesses acting within the forest supply chain. Taking a step away from the forest industry, it is important to note 12 that in the bottom line of the issue itself, the biggest beneficiary from the outcome of the implementation of sustainable practices within the forest management would be society in general, due to the well-known fact that natural resources tend to get scarcer and scarcer due to unsustainable exploitation. Is the need important? Will the need continue? If yes, will the target date of completion for the proposed MSS satisfy this need? Are viable alternatives identified? 13 Yes the need is relevant and will continue. The targeted date of completion will satisfy the need and the enforced systematic review period will allow the document to be updated according to the latest practices. Describe how the need and importance were determined. List the affected parties consulted and the major geographical or economical regions in which they are located. The need for that document has been determined by the observation of the proliferation of lots of similar initiatives in the forest field. Based on that, having an international 14 document that could allow the communication between these initiatives, and foster the use from those who do not yet follow those practices. There are major countries that we can indicate in the list of affected parties, like Germany, Canada, USA and Brazil, amongst others. Is there known or expected support for the proposed MSS? List those bodies that have indicated support. Is there known or expected opposition to the proposed MSS? List those bodies that have indicated opposition. So far we have not received any indication of opposition to this proposal. From the expected support (and possible liaison) we indicate Forest Stewardship Council (FSC) and 15 Programme for the Endorsement of Forest Certification (PEFC), which develop approaches which are similar to the ones expected. Previous consultation contacts with PEFC and FSC has been carried out by ISO officers and no sustain opposition was not-What are the expected benefits and costs to organizations, differentiated for small, medium and large organizations if applicable? The differentiation of costs between organizations' sizes does not apply, due to the fact that, within the sustainability principles - economic, environmental and social - one item does not surpass the other. Meaning that the environmental and social initiatives cannot be represent an economic prejudice. Standards in the field of forest management would contribute as an alternative to the market in terms of economic feasibility and more profitable results. Through the sus-16 tainable management of forests the optimization of the use of natural resources and waste minimization, reduction of environmental impact, conservation of forest productivity and reduce production costs can be achieved. The Forest resources contribute to the overall economy in many ways such as through employment, values generated through processing and marketing of forest products, and energy, trade and investment in the forest sector. This International Standard will help to deal with a wide variety of aspects, from native people rights to health and safety issues to contributions to local employment. Also, the proposal intends to host and protect sites and landscapes of high cultural,

spiritual or recreational value. This theme thus includes aspects of land tenure, indigenous and community management systems, and traditional knowledge. What are the expected benefits and costs to other affected parties (including developing countries)? The proposal intends to host and protect sites and landscapes of high cultural, spiritual or recreational value. This theme thus includes aspects of land tenure, indigenous and community management systems, and traditional knowledge. From the social aspect, for example, we can list: Conservation of biological diversity; Maintenance of productive capacity of forest ecosystems; Maintenance of forest ecosystem health and vitality: Conservation and maintenance of soil and water resources; Maintenance of forest contribution to global carbon cycles: 17 Maintenance and enhancement of long-term multiple socio-economic benefits to meet the needs of societies; Legal, institutional and economic framework for forest conservation and sustainable management; Forest ecosystems can act as a tool for mitigation and adaptation to climate change; Forests make their most significant contribution to the supply of water; In relation to the soil, forests minimize erosion and hence reduce the impairment; Indicators and regulations on land use change; Reduced emissions due to avoided deforestation and degradation; Reduction of global deforestation rates and illegal logging. What will be the expected value to society? As mentioned previously, the expected value to society is the establishment of new jobs, respect to the regional culture, and, most importantly, the preservation of the envi-18 ronment and natural resources, with aim to the sustainability of the forest resources. It is also important to highlight the fact that reduced deforestation and degradation is climate positive, can reduce CO2-emissions and biodiversity can be sustained with the help of this work. Have any other risks been identified (e.g. timeliness or unintended consequences to a specific business)? 19 No major risk has been perceived considering that the idea is to have two or more COC systems adopting the same rules. (see question 20)

Principle 2: compatibility

Is there potential overlap or conflict with other existing or planned ISO or non-ISO international standards, or those at the national or regional level? Are there other public or private actions, guidance, requirements and regulations that seek to address the identified need, such as technical papers, proven practices, academic or professional studies, or any other body of knowledge?

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The proposal is not to reinvent the wheel but to considering existing standards in the development of a global COC standard. The main challenge is to have the systems agreeing into one standard, but the challenges of COC systems are already being addressed by the systems directly. The idea here is to improve those standards and to reduce the amount of \$\$ spent annually on similar COC audits and fees.

We were able to identify the following documents or organizations that develop work in the field:

- PEFC
- FSC
- FAO

	 ITTO - Guidelines for the sustainable management of natural tropical forests Pan-European Operational Level Guidelines for Sustainable Forest Management
21	Is the MSS or the related conformity assessment activities (e.g. audits, certifications) likely to add to, replace all or parts of, harmonize and simplify, duplicate or repeat, conflict with, or detract from the existing activities identified above? What steps are being considered to ensure compatibility, resolve conflict or avoid duplication? This proposal will not conflict with previous existing conformity assessment initiatives.
	Is the proposed MSS likely to promote or stem proliferation of MSS at the national or regional level, or by industry sectors?
22	No. The intent is to congregate the existing knowledge and best practices into one document, so the standard, when published, can be used worldwide as a reference when it comes to Forest Management.

Principle 3: Topic coverage

23	Is the MSS for a single specific sector? Initially this MSS is intended for the main use of the forest industry, but its application,
	and benefits, can be shared by a great number of stakeholders (consumers, Government etc.).
	Will the MSS reference or incorporate an existing, non-industry-specific ISO MSS (e.g. from the ISO 9000 series of quality management standards)? If yes, will the development of the MSS conform to the ISO/IEC Sector Policy (see 6.8.2 of ISO/IEC Directives, Part 2), and any other relevant policy and guidance procedures (e.g. those that may be made available by a relevant ISO committee)?
24	Yes. The ISO FM shall be integrated into existing systems that organizations may have already implemented, such as ISO 9001 or ISO 14001 procedures. Note that other ISO initiatives (MSS or not) will be take in account like TMB WGSR/ISO 26000 and ISO/TC 34/ISO 22005.
	The intention of the proposal is to incorporate and use as guidance the best practices on MSS, such as ISO 9000 and ISO 14000, as well as the appendix SL.
25	What steps have been taken to remove or minimize the need for particular sector-specific deviations from a generic MSS?
25	The exclusivity of this theme itself does require particular sector-specific deviations that a generic MS Standard could not handle.

Principle 4: Flexibility

	Will the MSS allow an organization competitively to add to, differentiate or encourage innovation of its management system beyond the standard?
26	This aspect is not an intention of this document, and due to that no evaluation has been made on that. Regarding the flexibility aspects we are kind do accept suggestions and complementary language for liaison organizations to indicate their full and formal backing for the process.

Principle 5: free trade

	27	How would the MSS facilitate or impact global trade? Could the MSS create or prevent a technical barrier to trade? The MSS would facilitate the global trade of forest products by enabling the traceability of sustainable companies.
•	28	Could the MSS create or prevent a technical barrier to trade for small, medium or large organizations?
		No. The intention of this proposal is to allow the traceability of its product and ensure that it comes from a specific qualified (forest managed) source. As co-effect the en-

	hancement of the use of sustainable practices to the forest will be fostered around the world.
29	Could the MSS create or prevent a technical barrier to trade for developing or developed countries?
	As presented in the above-mentioned, no.
	If the proposed MSS is intended to be used in government regulations, is it likely to add to, duplicate, replace, enhance or support existing governmental regulations?
30	The MSS is not intended to be used in government regulations, and its development may even support, but not duplicate, replace or even conflict with Governmental regulation.

Principle 6: applicability of conformity

31	If the intended use is for contractual or regulatory purposes, what are the potential methods to demonstrate conformance (e.g. first party, second party or third party)? Does the MSS enable organizations to be flexible in choosing the method of demonstrating conformance, and to accommodate for changes in its operations, management, physical locations and equipment? The MSS is not intended to be used for contractual or regulatory purposes, but as far as it is a MSS, and allows conformity assessment, it is flexible enough to allow organizations on choosing its method of demonstration, as well as accommodate any necessary changes.
	If third-party registration/certification is a potential option, what are the anticipated benefits and costs to the organization? Will the MSS facilitate joint audits with other management system standards or promote parallel assessments?
	Certification is one of the potential options of this proposal.
32	As benefits we can one more time mention the ones previously presented in this justification study.
	Regarding joint audits or other parallel assessments, as previously mentioned, the intention of the proposal is to base in wide-spread used MS documents, which will surely facilitate this approach.

Principle 7: Exclusions

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Does the proposed purpose or scope include product (including service) specifications, product test methods, product performance levels, or other forms of guidance or requirements directly related to products produced or provided by the implementing organization?

No. The sole intention of the proposal is to develop a document to support the Chain of custody for forest management.