



Forest Stewardship Council®



Quality Assurance Unit

Overall objectives & priorities

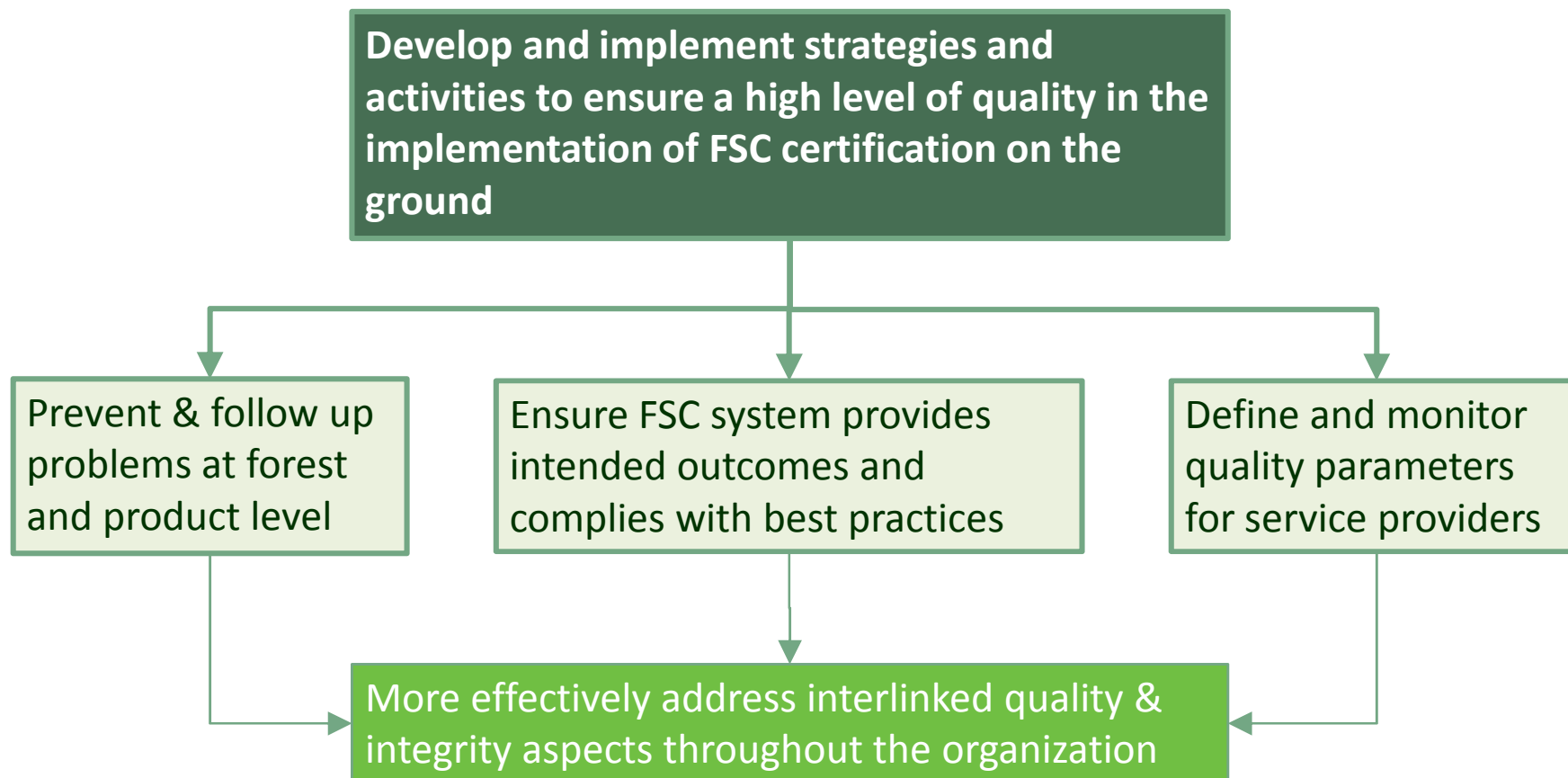
November 2015



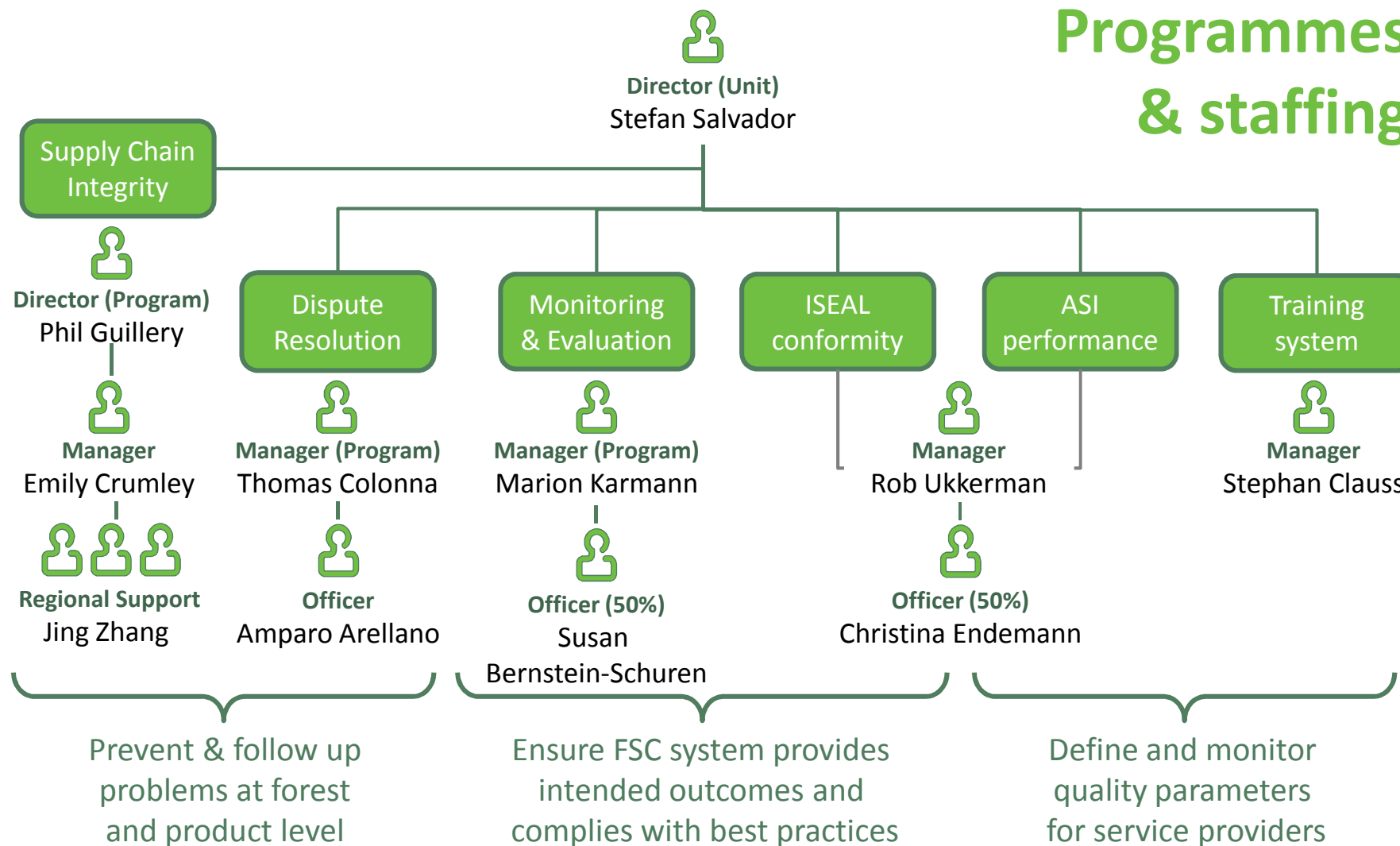
Rationale for QAU establishment

- ◆ Concerns over the quality of certification on-the-ground and the integrity of certain product claims
- ◆ No central point in charge of quality assurance in the organization – work distributed across various units
- ◆ No specific point in FSC responsible for the quality of services provided by the accreditation body (ASI)
- ◆ Uncertainties regarding the impact of FSC on the ground

Main objectives



Programmes & staffing



Programme objectives (1)..

ASI
performance

Ensure accreditation service delivery according to agreed quality specifications in line with needs of the FSC group and stakeholder expectations

Dispute
Resolution

Support stakeholders to express concerns they may have with the operation of the FSC system and find the best way of resolving disputes, if possible before they are formalized

Monitoring &
Evaluation

Systematically collect and analyze information (and support related work of third parties) helping to compare on-the-ground FSC impacts with strategic plans and the underlying theory of change

Programme objectives ..(2)



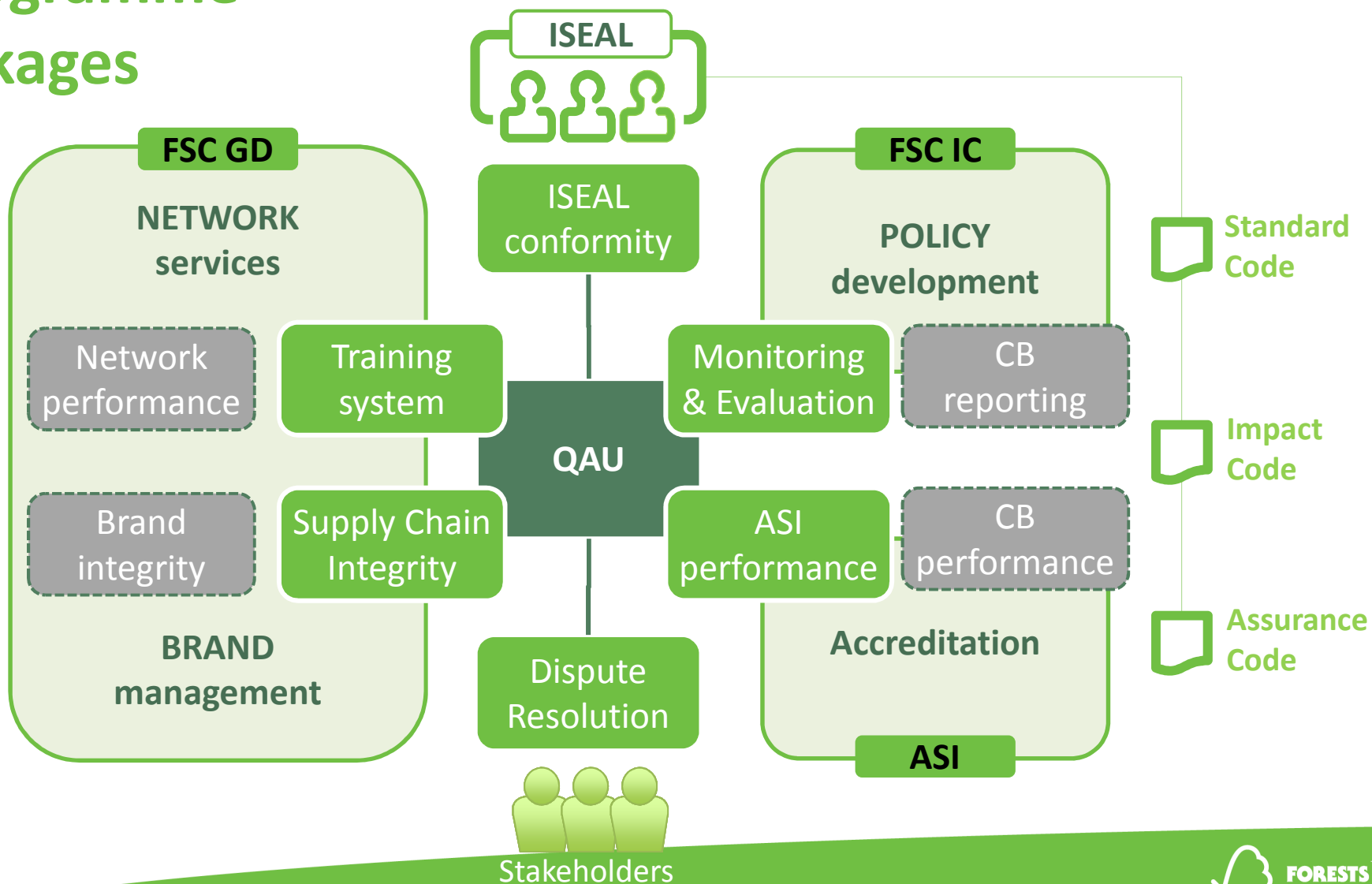
Working with other FSC units (1)..

- ◆ **Director's Office**
Coordinated responses to stakeholder concerns; strategic approaches in emerging crises and complaints processes
- ◆ **Communications Unit**
Communication of FSC impacts, FSC progress in ensuring quality on the ground, support for communication on controversial cases/disputes
- ◆ **Policy & Standards Unit**
Potential improvements in the FSC normative framework, based on results from QAU engagement with ASI, results of M&E and lessons from specific disputes

Working with other FSC units ..(2)

- ◆ **Network Unit**
Engagement and role definition of Network Partners in training framework; capacity building for conflict mediation; strategic roadmaps for Network Partners in credibility crises
- ◆ **Business Development Unit**
Support for engagement with Key Accounts in relation to controversial cases; more generally analysis and follow-up on mislabeled or otherwise non-conforming products; business case for non-certificate holders engaging in OCP
- ◆ **Central Services Unit**
Legal advice on dispute system, Policy for Association cases and terms of OCP usage; IT support for OCP integration

Programme linkages



Priorities (1)..

ASI Performance

- ❖ Develop **key performance indicators (KPI)** defining FSC expectations / ASI deliverables and ways to monitor them
- ❖ Restructure the **contractual framework** to better reflect ASI's servicing role and responsibilities
- ❖ Organize proper **resourcing** of those services which go beyond ordinary accreditation work
- ❖ Ensure ASI **procedures for complaints** handling are aligned with FSC's dispute resolution system
- ❖ Review model of **regional representation** in collaboration with Network Partners for its functionality and effectiveness

ASI performance

2013/14 developments

- ❖ MoU with specifications of core services and resources
- ❖ Mapping of mutual expectations in key thematic areas
- ❖ Input to ASI complaints procedures to be aligned with FSC's system
- ❖ Test resourcing of services going beyond ordinary accreditation work
- ❖ Review model of ASI regional representation



2015 objectives

- ❖ New contractual framework (FSC-ASI / ASI-CAB)
- ❖ Develop protocols and related key performance indicators (KPI)
- ❖ Protocol for reporting and interacting on ASI managed complaints
- ❖ Systematic use of work orders for specific processes and concerns
- ❖ Explore expansion of ASI capacity for regional representation

Priorities ..(2)..

Monitoring & Evaluation

- ❖ FSC “**Theory of Change**” (ToC) as M&E framework document
- ❖ FSC **impact indicators** based on FSC ToC and in line with identified broader sustainability and strategic goals
- ❖ Development of a research **project and literature database** for information sharing with the research community
- ❖ **Outreach** to researchers’ community at scientific and other events
- ❖ Ongoing: input to **ISEAL Impact Code** related projects as well as to research projects (e.g. WWF / CIFOR)

Priorities ..(3)..

Supply Chain Integrity: **Online Claims Platform**

- ❖ Fully functional **Live version** – from September 2015 onwards
- ❖ Business case and subscription service **for non-certificate holders** (retailers, publishers, construction industry & distribution network)
- ❖ Analysis of the "**extent of the problem**" within FSC supply chains
- ❖ Risk-based system for **transaction verification** as basis for OCP and alternative mechanisms
- ❖ Pilot testing of "user cases" where OCP can effectively replace requirements for CoC certification
- ❖ **Support and training program** developed and rolled out

Priorities ..(4)..

Supply Chain Integrity: **Fiber Testing**

- ❖ **Partnership** with US Forest Products Laboratory to provide continuous testing of FSC products
- ❖ Develop and implement **protocol for escalating issues** when fiber testing identifies inaccurate products claims
- ❖ Work with **CBs, Network Partners and key accounts** to develop a fee-based system for participating in fiber testing
- ❖ Collaborate with WRI and WWF to test and evaluate the feasibility of **DNA** and **isotope** testing
- ❖ Develop easy to understand **communication materials** on the different methods of wood and fiber testing that FSC is using or developing to raise awareness and drive system improvement

Priorities ..(5)..

Dispute Resolution System

- ❖ Manage **Policy for Association (PfA) complaints**
 - strengthening the robustness of evaluations is top priority.
 - supporting follow-up and communications
- ❖ Manage other **formal complaints**
 - incl. directing complaints to CBs and ASI,
 - tracking and monitoring corresponding complaints
- ❖ **Prevent** the escalation of complaints
 - through dialogue, working with the FSC Network and explaining the DRS to stakeholders.
- ❖ Strengthen the **role of the FSC Network** in Dispute Resolution
 - introducing mediation as an informal conflict resolution tool
 - training the FSC Network in dispute resolution.
- ❖ Revise normative, **procedural framework** of the FSC DRS
 - incl. a standard, procedures, guidance, ToR and input to PfA

Dispute Resolution System

2013/14 developments

- ❖ Strengthen robustness of Policy for Association complaint evaluations
- ❖ Revision / consultation of revised complaints and appeals procedures
- ❖ Strategic engagement in local / regional credibility crises
- ❖ Established complaint summaries for internal briefing / tracking



2015 objectives

- ❖ Revision of PfA and related due diligence procedure (started)
- ❖ Implementation of revised dispute resolution system
- ❖ Continue with and evaluate national credibility pilots for replication and system review
- ❖ Systemize follow-up on stakeholder comments other than complaints

Priorities ..(6)

Training Programme

- ❖ Definition of a **strategic vision and objectives** for an international training framework
- ❖ **Centralization and dissemination** of information on trainings to allow for systematic support and consistent approaches
- ❖ Further operationalization of the FSC eTraining Platform for online training modules
- ❖ Support and didactical advice for **establishing online trainings** on the LMS
- ❖ **Guidance for training development** based on experience from pilot trainings
- ❖ Developing a **quality assurance framework for auditor trainings**

Training Programme

2013/14 developments

- ❖ Definition of strategic objectives for an international training framework
- ❖ Selection and setup of a Learning Management System (LMS)
- ❖ Support and didactical advice for establishing first online trainings via the LMS



2015 objectives

- ❖ Incorporate a comprehensive auditor qualification framework into the revised FSC-STD-20-001
- ❖ Adapt functionality of LMS to needs of FSC Network Partners (ongoing)
- ❖ Conceptualization of a strategic alliance for the provision of auditor trainings ('Training Consortium')
- ❖ Guidance for training development (Training of Trainers) based on experience from pilot trainings

QAU programmes on the web (1)..

Dispute Resolution System

<https://ic.fsc.org/dispute-resolution.139.htm>



The screenshot shows the FSC website's navigation menu with options: ABOUT US, OUR IMPACT, FSC CERTIFICATION, MARKET & PARTNERS, and BE PART OF THE SOLUTION. The main content area features the 'FSC DISPUTE RESOLUTION SYSTEM' header, a sub-header 'Committed to facilitating consistent and timely evaluation of complaints and appeals', a forest image, and a text block explaining the process. A sidebar on the left lists 'STAKEHOLDER PORTAL' items: Dispute Resolution, Overview, Submit A Complaint, Track Your Dispute, Current Cases, Archived Cases, DRS Consultation, FM Assessments, CB Assessments, Stakeholder Updates, and Forest Issues. Social media icons for Facebook, Twitter, Pinterest, Google+, and Email are visible on the right side of the main content area.

QAU programmes on the web ..(2)..

Monitoring & Evaluation

<https://ic.fsc.org/monitoring-and-evaluation.82.htm>



ABOUT US	OUR IMPACT	FSC CERTIFICATION	MARKET & PARTNERS	BE PART OF THE SOLUTION
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OUR IMPACT

Importance of Forest Stewardship

Program Areas

Forest Program

Chain of Custody

Social Policy

Monitoring and Evaluation

> Monitoring & Evaluation Reports

> FSC Theory of Change

> Internally Generated Data

> Independent Studies

> ISEAL Alliance

Supply Chain Integrity

MONITORING & EVALUATION

Measuring the impacts of our certification on forests, people and forest management practices is a priority for FSC.



Given the broad scope of our work, we rely on several different approaches to assess our social, economic and environmental impacts.



Internally generated data



A large amount of information is

Downloads

FSC Monitoring and

QAU programmes on the web ..(3)

Supply Chain Integrity

<https://ic.fsc.org/quality-assurance.110.htm>



- ABOUT US
- OUR IMPACT
- FSC CERTIFICATION
- MARKET & PARTNERS
- BE PART OF THE SOLUTION

OUR IMPACT

Importance of Forest Stewardship

Program Areas

Forest Program

Chain of Custody

Social Policy

Monitoring and Evaluation

Supply Chain Integrity

› Online Claims Platform

› Wood and Fiber Testing

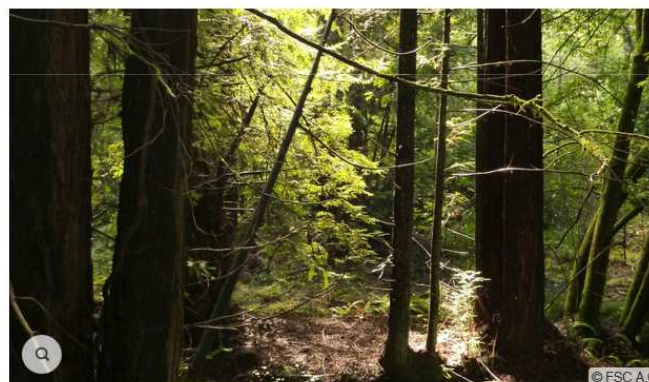
Ecosystem Services

Controlled Wood

Current Projects

SUPPLY CHAIN INTEGRITY IN FSC SYSTEM

Using technology and science as quality control measures



The FSC system includes more than 20,000 chain of custody certificates.

This not only demonstrates the unprecedented success of FSC certification but also highlights the importance of ensuring the integrity of FSC is maintained in a scalable way.

As a result, the Forest Stewardship Council is pursuing initiatives to solidify the integrity

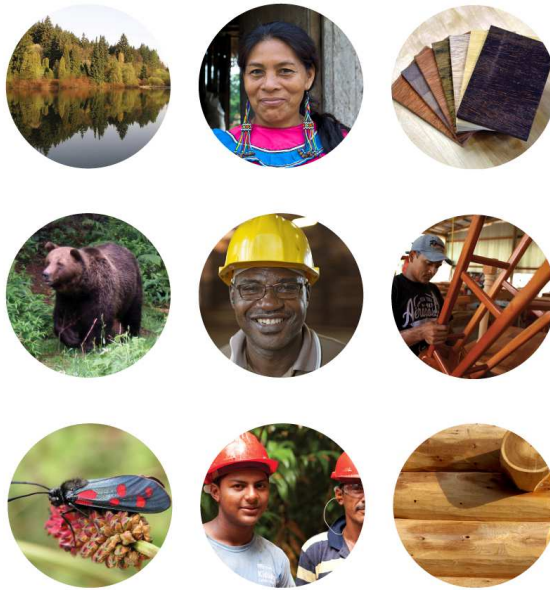
of the FSC system through the use of technology.

Chain of custody and traceability have been recognized as a highly powerful tool in support of monitoring, control and enforcement in the forestry sector.

Find out more on ...

› National Standard Development





Forest Stewardship Council®
FSC International
Global Development

Charles-de-Gaulle-Str. 5 53113 Bonn, Germany
T +49 (0) 228 367 66-0
F +49 (0) 228 367 66-30
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ic.fsc.org