

Table 2. General characteristics of the two major systems for forest certification

Developed by	Forest Stewardship Council (FSC)	
	GENERAL	
Established	Established in 1993 at the initiative of environmental organizations.	
Basic principle	<p>FSC is a system of national and regional standards consistent with ten principles of SFM that cover the following issues:</p> <ol style="list-style-type: none"> 1- Compliance with laws and FSC principles 2- Tenure and use rights and responsibilities 3- Indigenous peoples’ rights 4- Community relations and workers’ rights 5- Benefits from the forests 6- Environmental impact 7- Management plans 8- Monitoring and assessment 9- Special sites – high conservation value forests (HCVF) 10- Plantations 	<p>These principles were developed by a global partnership of stakeholders convened by FSC. The principles apply to all tropical, temperate and boreal forests and are to be considered as a whole. All national and regional standards are derived in-country from the ten principles. The principles are expected to be used in conjunction with national and international laws and regulations, and in compatibility with international principles and criteria relevant at the national and sub-national level (FSC Policy and Standards; principles and criteria of forest stewardship) (FSC, 1996).</p> <p>There is variation in regional standards and in interim standards adopted by auditing bodies.</p>
Components, members	All component standards carry the FSC brand. National initiatives currently exist in Argentina, Australia, Belgium, Bolivia, Brazil, Bulgaria, Burkina Faso, Cameroon, Canada, Chile, China, Colombia, Croatia, Czech Republic, Cote d’Ivoire, Denmark, Democratic Republic of Congo, Ethiopia, Ecuador, Estonia, Finland, Gabon, Germany, Ghana, Hungary, Ireland, Italy, Japan, Mexico, Mozambique, Netherlands,	Papua New Guinea, Peru, Poland, Romania, Russia, Slovakia, South Africa, Spain, Sweden, Switzerland, United Kingdom, United States, Vietnam, and Zambia (FSC website).
Stakeholder scope	FSC is a multi-stakeholder owned system; national standards are set by a consultative process in which economic, social, and environmental interests have equal weight (FSC website).	
Reach and extent	More than 93 million ha have been certified under FSC (as of November 2007) (FSC,2007).	
	MONITORING AND VERIFICATION	
Chain-of-custody (CoC)	<ul style="list-style-type: none"> • The CoC standard is evaluated by a third-party body that is accredited by FSC and compliant with international standards. • CoC standard includes procedures for tracking wood origin. • CoC standard includes specifications for the physical separation of certified and non-certified wood, and for the percentage of mixed content (certified and non-certified) of products. 	<ul style="list-style-type: none"> • CoC certificates state the geographical location of the producer and the standards against which the process was evaluated. Certificates also state the starting and finishing point of the CoC. <p>(FSC policy on percentage-based claims, and various FSC guidelines for certification bodies)</p>
Inclusion of wood from non-certified sources	<p>FSC’s Controlled Wood Standard seeks to avoid:</p> <ol style="list-style-type: none"> (a) Illegally harvested wood (b) Wood harvested in violation of traditional and civil rights (c) Wood harvested in forests where high conservation values are threatened by management activities (d) Wood harvested in forests being converted to plantations or non-forest use 	<p>(e) Wood from forests in which genetically modified trees are planted</p> <p>All certification holders are required to fully implement requirements by 1 January 2008. (FSC, 2004C) (Botriell, 2007).</p>
Verification	Requires third-party verification.	

This table provides an overview of the general characteristics of these two systems. This table is NOT meant to be an exhaustive comparison. A list of references to more detailed comparisons can be found in Section IV – Additional resources. (Additional sources: FSC, 2004A, 2004B, and 2006; Cashore et al., 2004)

Programme for the Endorsement of Forest Certification Schemes (PEFC)

GENERAL

Founded in 1999 in Europe, at the initiative of forest landowners as a certification system. PEFC later became an endorsement mechanism system. Many member certification systems predate PEFC.

PEFC is a mutual recognition mechanism for national and regional certification systems. Endorsed certification systems are to be consistent with internationally agreed environmental, social and economic requirements such as the Pan-European Operational Level Guidelines (PEOLG), the African Timber Organization (ATO) and International Tropical Timber Organization's (ITTO) Guidelines, as well as intergovernmental processes on criteria and indicators for SFM. The elements of SFM covered by these requirements may vary to fit the circumstances of the areas for which they were developed. For instance, the Pan-European Operational Level Guidelines cover the following:

- 1- Maintenance and enhancements of forest resources and their contribution to global carbon cycles
- 2- Maintenance and enhancement of forest ecosystem health and vitality

- 3- Maintenance of productive functions of forests
- 4- Maintenance, conservation and enhancement of biodiversity
- 5- Maintenance and enhancement of protective functions in forest management
- 6- Maintenance of socioeconomic functions and conditions

Endorsed certification systems are expected to be consistent with international agreements such as ILO core conventions, as well as conventions relevant to forest management and ratified by the countries such as the Convention on Biological Diversity (CBD), CITES and others.

There is variation among member certification standards with some standards exceeding PEFC requirements (PEFC, 2006A).

Component standards carry their own brand names, such as SFI in the US and the CSA in Canada. Recognized (endorsed) member country/systems include Australia, Austria, Belgium, Brazil (Cerflor), Canada (CSA), Chile (Certfor), Czech Republic, Denmark, Finland, France, Germany, Italy, Latvia, Luxembourg, Norway, Portugal, Slovakia, Slovenia, Spain, Sweden, Switzerland, United Kingdom,

and United States (the American Tree Farm System (ATFS) and SFI). PEFC endorses certification systems once they have successfully gone through the external assessment process using independent assessors (PEFC website). Other members include schemes from Belarus, Cameroon, Estonia, Gabon, Ireland, Lithuania, Malaysia, Poland, Russia, and Uruguay.

Multi-stakeholder participation is required in the governance of national schemes as well as in the standard-setting process (PEFC, 2006C).

More than 197 million ha have been certified under the PEFC standards (as of November 2007) (PEFC website).

MONITORING AND VERIFICATION

CoC certificates are issued based on: (i) compliance with Annex 4 and with Appendix 1 of the TD, or alternative appendices approved by the PEFC council; (ii) member scheme's definition of origin that is compatible with Appendix 4 and Appendix 1 or alternative appendices; and (iii) member scheme's CoC standard that is compatible with Annex 4 and Appendix 1 or alternative appendices.

- Only accredited certification bodies can undertake certification.

- CoC requirements include specifications for physical separation of wood and percentage-based methods for products with mixed content.

CoC certificates state the geographical location of the certificate holder; the standard against which the certificate was issued; and, identify the scope, product(s) or product(s) group(s) covered (PEFC, 2006A, 2006C, D and F).

PEFC's mandatory Guide for the avoidance of wood from controversial sources seeks to avoid wood from illegal or unauthorized harvesting.

Illegal harvesting includes harvesting in areas which are either protected by law or where a plan for strict protection has been

officially published by the relevant government authorities, unless permission to harvest has been granted. This also implies issues such as workers rights, health and safety, indigenous peoples' rights as protected by legislation (PEFC, 2006G).

Requires third-party verification.