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Central Point of Expertise on Timber

UK Government Timber Procurement Policy

Criteria for Evaluating Forest Certification Schemes (Category A Evidence)

Fourth Edition

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Department
for Environment
Food & Rural Affairs

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Purpose

The UK government Timber Procurement Policy (TPP) requires that only timber and wood-derived products originating from an independently verifiable Legal and Sustainable source (which can include from a licensed Forest Law Enforcement, Governance and Trade (FLEGT) partner) will be demanded for use on the government estate – appropriate documentation will be required to prove it.

A number of ways of implementing the procedure in practice have been identified. One of the most straightforward is the purchase of timber from certified sources provided that the certification scheme involved delivers the government requirements for legality or sustainability. As there are a number of different timber certification schemes available, the government recognised that it needed a framework for assessing which ones provide assurance that its contract requirements for legal and sustainable timber sources are being delivered. This document sets out the criteria developed to provide that framework.

For practical advice on how to implement the TPP during the procurement process, including types of evidence that Contracting Authorities can request of suppliers to demonstrate compliance with the criteria set out below, please refer to the UK government's Timber Procurement Advice Note (TPAN). The TPAN is a guidance document for Contracting Authorities and suppliers to the government.

Changes to the criteria - 4th edition

Section 1.1 and 1.2 provide an updated definition of 'legal' sources and 'sustainable' sources, respectively. No changes have been made to the social criteria in section 1.2

A history of previous changes to this document can be found in Annex 1. The latest changes have been necessary to ensure that the UK TPP is in line with the EU Timber Regulation¹ (EUTR) which came into force on 3rd March 2013. The definition of 'legal' within the UK government's TPP has been amended in this 4th edition to reflect the exact definition of 'legally harvested' set out in the EUTR. Further information can be found under [EUTR²](#) on the CPET website.

1 [Regulation \(EU\) No. 995/2010 of the European Parliament and of the Council of 20 October 2010 laying down the obligations of operators who place timber and timber products on the market.](#)

2 www.cpet.org.uk/eutr

The UK government criteria

The criteria are divided into four sections reflecting the four main components of a forest certification scheme as discussed above and include:

- The requirement which must be met by a scheme.
- Guidance on interpretation and scoring together with notes on the origin or purpose of the requirement where this might help with interpretation.
- An indication of whether compliance is required for legal compliance, sustainability or both.

The requirements for the content of standards reflects the requirements of the UK Government for legality and sustainability which are set out in the document '*UK Government Timber Procurement Policy: Definition of Legal and Sustainable for timber procurement*' Fifth Edition, June 2013.

Scoring

Compliance with the requirements of each criterion will be scored on a 3-point scale:

0: Inadequately addressed and not acceptable.

1: Partially addressed.

2: Acceptable.

For assessing certification schemes' overall compliance with the requirements of the UK Government Timber Procurement Policy the following rules have been adopted:

Legal

A minimum score of 1 for each criterion identified as relating to legal requirements.

Sustainable

A minimum score of 1 for each criterion identified as relating to sustainable requirements, and an overall score of 75% of the total possible score for criteria relating to sustainable requirements.

Glossary of abbreviations

| | |
|---------|---|
| ISO | International Organisation for Standardisation |
| CITES | Convention on International Trade in Endangered Species of Wild Fauna and Flora |
| EMS | Environmental management system |
| FLEGT | Forest Law Enforcement, Governance and Trade |
| FMU | Forest management unit |
| FSC P&C | Forest Stewardship Council Principles and Criteria |
| ISEAL | International Social and Environmental Accreditation and Labelling Alliance |
| PEOLG | Pan European Operational Level Guidelines |

1. Forest Standards

1.1. Content of standards for legal compliance

| Criterion # | Definition of L&S | Criteria | Guidance on interpretation | L ³ | S |
|-------------|-------------------|---|---|----------------|-----|
| 1.1.1. | L1 | Rights to harvest timber within legally gazetted boundaries. | <p>If schemes are only applicable to countries where legal use rights are clear then an explicit requirement for legal compliance is sufficient for a score of 1 even if legal use rights are not explicitly addressed. However, if the scheme can be applied in countries where legal use rights are not clear, there must be an explicit requirement.</p> <p>The European Commission 'Guidance Document for the EU Timber Regulation' includes in Section four examples of documents which relate to the specific criteria listed in Article 2 (h) of the EU Timber Regulation (EUTR⁴). Therefore, according to the EC 1.1.1 for example could relate to: "ownership/rights to land use or contract or concession agreements".</p> | ✓ | N/A |
| 1.1.2. | L2 | Payments for harvest rights and timber including duties related to timber harvesting. | Where payment is clearly required by law, then an explicit requirement for legal compliance is sufficient for a score of 1. | ✓ | N/A |
| 1.1.3 | L3 | Timber harvesting, including environmental and forest | In general, compliance with the law means compliance with all relevant laws. However, it is now recognised in some countries laws may be | ✓ | N/A |

³ L: required to meet requirements for legal, S: required to meet requirements for sustainable

⁴ REGULATION (EU) No 995/2010 of the European Parliament and of the Council of 20 October 2010 laying down the obligations of operators who place timber and timber products on the market.

| Criterion # | Definition of L&S | Criteria | Guidance on interpretation | L ³ | S |
|-------------|-------------------|---|--|----------------|-----|
| | | legislation including forest management and biodiversity conservation, where directly related to timber harvesting. | unclear or conflicting making clear definition of legality difficult to achieve. The FLEGT ⁵ process has proposed that in such countries it will be necessary to have or develop a practical working definition of 'legal' or a set of core laws which must be met which has support from major stakeholder groups. This can be done through a national standard-setting process or other appropriate means. | | |
| 1.1.4 | L4 | Third parties' legal rights concerning use and tenure that are affected by timber harvesting. | See 1.1.3. | ✓ | N/A |
| 1.1.5 | L5 | Trade and customs, in so far as the forest sector is concerned. | The European Commission ' Guidance Document for the EU Timber Regulation ' includes in Section nine an explanation of applicable legislation that the specific criteria "Trade and customs, in so far as the forest sector is concerned" (listed in Article 2 (h) of the EUTR) refers to. Therefore, according to the EC criterion 1.1.5 " refers exclusively to compliance with the laws and regulations in countries where timber has been harvested covering the export of timber and timber products. The requirement relates to export from the country of harvest and not the country of export to the EU. For example if timber was exported from country X to country Y and then to the European Union the requirement would apply to the export from X and not from Y to the EU. The applicable legislation includes, but may not be restricted to: | ✓ | N/A |

⁵ Forest Law Enforcement, Governance and Trade (FLEGT) is the European Union's response to the problem of illegal logging and trade in associated timber products.

| Criterion # | Definition of L&S | Criteria | Guidance on interpretation | L ³ | S |
|-------------|-------------------|----------|--|----------------|---|
| | | | <ul style="list-style-type: none"> · Bans, quotas and other restrictions on the export of timber products, for example bans on the export of unprocessed logs or rough-sawn lumber · Requirements for export licences for timber and timber products · Official authorisation that entities exporting timber and timber products may require · Payment of taxes and duties applying to timber product exports” | | |

1.2. Content of standards for sustainability requirements

| Criterion # | Definition of L&S | Criteria | Guidance on interpretation | L | S |
|-------------|-------------------|---|---|-----|---|
| 1.2.1 | S1 | Certification standards must be consistent with a widely accepted set of international principles and criteria defining sustainable or responsible forest management at the forest management unit level. | <p>It is not possible to define a detailed global standard for forest management because of the huge variation in climate, vegetation, topography, socio-economic context etc. Therefore, certification standards need to be adapted to local conditions, but to ensure consistency and avoid trade barriers, it is important to base each standard on accepted international principles such as:</p> <ul style="list-style-type: none"> • Intergovernmental processes designed for use at FMU level, for example the Pan-European Operational Level Guidelines (PEOLG). • Requirements developed by an international organisation such as the ITTO Criteria • International principles developed explicitly for forest certification such as the FSC Principles and Criteria <p>Such international principles can be developed either to guide national planning and reporting, or to guide management at the scale of the forest management unit. As certification applies at the latter level it is appropriate to base certification standards on international principles designed for this use. However, use of a set of appropriate international criteria developed for national reporting or other uses is sufficient for a score of 1.</p> | N/A | ✓ |

| Criterion # | Definition of L&S | Criteria | Guidance on interpretation | L | S |
|-------------|-------------------|---|--|-----|---|
| 1.2.2. | S2 | The standard must be performance-based. | <p>There are two types of requirements – performance and management system. Only performance requirements guarantee a defined level of performance. Therefore, only standards which include performance requirements (which may be in addition to system requirements) can provide the basis for the delivery of the UK government requirements for legal compliance or sustainability.</p> <p>To score 2, criteria 1.2.3 – 1.2.6 must be scored 2. To score 1, each of the criteria 1.2.3 – 1.2.6 must be at least partially addressed.</p> | N/A | ✓ |

| Criterion # | Definition of L&S | Criteria | Guidance on interpretation | L | S |
|-------------|-------------------|---|---|-----|---|
| 1.2.3. | S5 | <p>The standard must ensure that harm to ecosystems is minimised. In order to do this the standard must include requirements for:</p> <ul style="list-style-type: none"> a) Appropriate assessment of impacts and planning to minimise impacts; b) Protection of soil, water and biodiversity; c) Controlled and appropriate use of chemicals and use of Integrated Pest Management wherever possible. d) Proper disposal of wastes to minimise any negative impacts. | <p>The first sentence sets out the goal of the criterion. Compliance will be assessed against the list of requirements.</p> <p>To score a 2, each requirement must be adequately addressed. Where this is not achieved, but there are no major omissions, a score of 1 can be awarded.</p> <p>Where an issue (for example, waste disposal) is adequately covered by legal requirements in all countries where a scheme can be used, it need not be explicit provided that legal compliance is required by the standard.</p> | N/A | ✓ |

| Criterion # | Definition of L&S | Criteria | Guidance on interpretation | L | S |
|------------------------|----------------------------------|---|---|------|---|
| 1.2.4. | S6 | <p>The standard must seek to ensure that productivity of the forest is maintained. In order to do this the standard must include requirements for:</p> <ul style="list-style-type: none"> a) Management planning and implementation of management activities to avoid significant negative impacts on forest productivity. b) Monitoring which is adequate to check compliance with all requirements, together with review and feedback into planning. c) Operations and operational procedures which minimise impacts on the range of forest resources and services. d) Adequate training of all personnel, both employees and contractors. e) Harvest levels that do not exceed the long-term production capacity of the forest, based on adequate | <p>The first sentence sets out the goal of the criterion. Compliance will be assessed against the list of requirements.</p> <p>To score a 2, each requirement must be adequately addressed. Where this is not achieved, but there are no major omissions, a score of 1 can be awarded.</p> <p>Where an issue is adequately covered by legal requirements in all countries where a scheme can be used, it need not be explicitly provided that legal compliance is required by the standard.</p> | N/A | ✓ |
| Criteria for Eval Cert | Scheme 4 th Ed. Draft | inventory and growth and yield data. | 11 | CPET | |

| Criterion # | Definition of L&S | Criteria | Guidance on interpretation | L | S |
|-------------|-------------------|--|--|-----|---|
| 1.2.5. | S7 | <p>The standard must seek to ensure that forest ecosystem health and vitality is maintained. In order to do this the standard must include requirements for:</p> <ul style="list-style-type: none"> a) Management planning which aims to maintain or increase the health and vitality of forest ecosystems b) Management of natural processes, fires, pests and diseases. c) Adequate protection of the forest from unauthorised activities such as illegal logging, mining and encroachment. | <p>The first sentence sets out the goal of the criterion. Compliance will be assessed against the list of requirements.</p> <p>To score a 2, each requirement must be adequately addressed. Where this is not achieved, but there are no major omissions, a score of 1 can be awarded.</p> <p>Where an issue is adequately covered by legal requirements in all countries where a scheme can be used, it need not be explicit provided that the standard assures legal compliance.</p> | N/A | ✓ |

| Criterion # | Definition of L&S | Criteria | Guidance on interpretation | L | S |
|-------------|-------------------|---|--|-----|---|
| 1.2.6. | S8 | <p>The standard must seek to ensure that biodiversity is maintained. In order to do this the standard must include requirements for:</p> <ol style="list-style-type: none"> a) Implementation of safeguards to protect rare, threatened and endangered species. b) The conservation/set-aside of key ecosystems or habitats in their natural state. c) The protection of features and species of outstanding or exceptional value. | <p>The first sentence sets out the goal of the criterion. Compliance will be assessed against the list of requirements.</p> <p>To score a 2, each requirement must be adequately addressed. Where this is not achieved, but there are no major omissions, a score of 1 can be awarded.</p> <p>Where an issue is adequately covered by legal requirements in all countries where a scheme can be used, it need not be explicitly provided that the standard assures legal compliance.</p> | N/A | ✓ |
| 1.2.7 | S9 | <p>The standard requires compliance from both the forest management organisation and any contractors with local and national legal requirements including those relevant to:</p> <ul style="list-style-type: none"> • Labour and welfare • Health and safety. | <p>If schemes are only applicable to countries where legal use rights are clear then an explicit requirement for legal compliance is sufficient for a score of 1 even if legal use rights are not explicitly addressed. However, if the scheme can be applied in countries where legal use rights are not clear, there must be an explicit requirement.</p> | N/A | ✓ |

| Criterion # | Definition of L&S | Criteria | Guidance on interpretation | L | S |
|-------------|-------------------|--|---|-----|---|
| 1.2.8 | SC1 | The standard must require that the legal, customary and traditional tenure and use rights of indigenous peoples and local communities related to the forest are identified, documented and respected. | <p>To score 1 every aspect of the criterion must be adequately addressed.</p> <p>To score 2 the standard must include a requirement for a process of free, prior and informed consent.</p> <p>Where the criterion is adequately addressed by legal requirements in all countries where a scheme can be used, the standard need not make explicit reference to the subject matter of the criterion provided that the standard requires legal compliance.</p> | N/A | ✓ |
| 1.2.9 | SC2 | The standard must require that appropriate mechanisms are in place for resolving grievances and disputes including those relating to tenure and use rights, to forest management practices and to work conditions. | <p>To score 2 each aspect of the requirement must be adequately addressed. Where this is not achieved but there are no major omissions for any aspect a score of 1 can be awarded.</p> <p>Where the criterion is adequately addressed by legal requirements in all countries where a scheme can be used, the standard need not make explicit reference to the subject matter of the criterion provided that the standard requires legal compliance.</p> | N/A | ✓ |

| Criterion # | Definition of L&S | Criteria | Guidance on interpretation | L | S |
|-------------|-------------------|--|---|-----|---|
| 1.2.10. | SC3 | <p>The standard must ensure that the basic labour rights of forest workers are safeguarded. In order to do this the standard must include requirements concerning the following:</p> <ul style="list-style-type: none"> • freedom of association and the effective recognition of the right to collective bargaining; • the elimination of all forms of compulsory or forced labour; • the effective abolition of child labour; • the elimination of discrimination in respect of employment and occupation. | <p>To score 2 each requirement must be adequately addressed, for example by reference to all of the core ILO conventions⁶. Where this is not achieved but there are no major omissions a score of 1 can be awarded.</p> <p>Where the criterion is adequately addressed by legal requirements in all countries where a scheme can be used, the standard need not make explicit reference to the subject matter of the criterion provided that the standard requires legal compliance.</p> | N/A | ✓ |

⁶ The core ILO conventions are those conventions which form the basis for the ILO Declaration on Fundamental Principles and Rights at Work covering:

- freedom of association and the effective recognition of the right to collective bargaining (conventions 87 and 98);
- the elimination of all forms of compulsory or enforced labour (conventions 29 and 105);
- the effective abolition of child labour (conventions 138 and 182);
- the elimination of discrimination in respect of employment and occupation (conventions 100 and 111).

| Criterion # | Definition of L&S | Criteria | Guidance on interpretation | L | S |
|-------------|-------------------|--|--|-----|---|
| 1.2.11. | SC3 | The standard must require that appropriate safeguards are put in place to protect the health and safety of forest workers. | <p>To score 2 the requirement must be adequately addressed, for example by reference to relevant ILO conventions or national/local legal requirements. Where this is not achieved but there are no major omissions a score of 1 can be awarded.</p> <p>Where the criterion is adequately addressed by legal requirements in all countries where a scheme can be used, the standard need not make explicit reference to the subject matter of the criterion provided that the standard requires legal compliance.</p> | N/A | ✓ |

1.3. Standard setting process

| Criterion # | Definition of L&S | Criteria | Guidance on interpretation | L | S |
|-------------|-------------------|---|---|-----|---|
| 1.3.1 | N/A | The standard-setting process must be consistent with the requirements of ISO Guide 59: Code of Good Practice for Standardisation or the ISEAL Code of Good Practice for Setting Social and Environmental Standards or equivalent. | Consistency or equivalence can be assessed by reference to the list of key requirements in Annex 1. | N/A | ✓ |

| Criterion # | Definition of L&S | Criteria | Guidance on interpretation | L | S |
|-------------|-------------------|---|--|-----|---|
| 1.3.2 | S3 | The standard-setting process must seek to ensure balanced representation and input from the economic, environmental and social interest categories. | <p>It is widely accepted that ‘sustainable forest management’ is management which delivers an appropriate combination of economic, environmental and social benefits. In practice it is rarely possible to deliver all possible benefits all of the time so it is necessary to find appropriate compromises between competing interests.</p> <p>The only way to achieve balanced representation in practice is to ensure that the range of issues and viewpoints of the different stakeholder groups making up the economic, environmental and social interest categories are fed into and influence the standard-setting process.</p> <p>Major stakeholder groups include such groups as forest owners and managers, processors, buyers, governments, academics, conservation organisations, NGOs, workers, forest users, indigenous groups, and communities.</p> <p>To score 2 the process must actively seek to ensure that the full range of stakeholder groups within each interest category are engaged and involved. A score of 1 can be achieved if the range of stakeholder groups within each interest category have access to the standard-setting process.</p> | N/A | ✓ |

| | | | | | |
|-------|----|---|--|-----|---|
| 1.3.3 | S4 | <p>The standard-setting and decision-making process adopted must seek to ensure:</p> <ul style="list-style-type: none"> • No single interest can dominate the process; • No decision can be made in the absence of agreement from the majority of an interest category. | <p>The way in which the process is run and decisions are made is as important as the range of interests represented since an appropriate compromise will only be achieved if all the interest categories are able to influence the standard-setting and decision-making process.</p> <p>To achieve a score of 2 the standard-setting process must be designed to ensure that all three interest categories can influence the process equally and that the standard cannot be finalised in the absence of agreement from a majority of an interest category. In practice this can be achieved by:</p> <ul style="list-style-type: none"> • A process based on consensus where this means that a decision cannot be reached if any major stakeholder group sustains a strong objection; or • A process based on majority voting within each of the three interest categories. <p>Where neither of these approaches is followed, in order to achieve a score of 1 the scheme must ensure⁷ that it would not be possible for a standard to be finalised if:</p> <ul style="list-style-type: none"> • It would be possible for a major stakeholder group to be involved in the process but not able to significantly influence the content of the standard; and • The stakeholder group was strongly opposed to the content of the standard. | N/A | ✓ |
|-------|----|---|--|-----|---|

2. Certification

| Criterion # | Definition of L&S | Criteria | Guidance on interpretation | L | S |
|-------------|-------------------|---|--|---|---|
| 2.1 | N/A | Certification must be undertaken by a body whose organisation, systems and procedures conform to applicable ISO guidance, or publicly available equivalent. | <p>Applicable ISO guidance includes:</p> <ul style="list-style-type: none"> • ISO/IEC 17021:2006 – Conformity assessment – Requirements for bodies providing audit and certification of management systems • ISO Guide 65: 1996 General Requirements for bodies operating product certification systems <p>Note if this is not delivered by the scope of the accreditation, then the checklist in Annex 2 must be completed.</p> | ✓ | ✓ |
| 2.2 | N/A | Certification is undertaken by a body which is accredited to evaluate against forest management standards. | The scope of the accreditation should include the elements set out in 2.3 – 2.6. | ✓ | ✓ |
| 2.3 | N/A | The requirements for certification audits must include assessment of systems and documentation together with verification of outcomes in the forest adequate to ensure that both system and performance requirements in the standard are being met. | <p>The make-up of the team, the sampling strategy and the amount of time spent carrying out the audit are all important in ensuring that sufficient objective evidence of compliance with the standard is collected to make the final decision robust.</p> <p>Therefore the possible scores against this criterion are either 0 or 2.</p> | ✓ | ✓ |

⁷ If a process provides a genuine opportunity for any major stakeholder group to influence the content of the standard, but a group chooses not to participate, this would not constitute a failure.

| Criterion # | Definition of L&S | Criteria | Guidance on interpretation | L | S |
|-------------|-------------------|---|---|---|---|
| 2.4 | N/A | The certification audit must include sufficient consultation with external stakeholders to ensure that all relevant issues are identified relating to compliance with the requirements of the standard. | <p>Consultation with external stakeholders is very important to establish whether there are any issues which might prevent full compliance with the standard which the audit team has not identified (e.g. seasonal issues not evident at the time of the audit, ongoing social conflicts) and to ensure that any interpretation of the requirements of the standard for the immediate local conditions is appropriate.</p> <p>To score 2, the stakeholder consultation must be designed to ensure identification of all relevant issues. To score 1, there must be some provision for consultation.</p> | ✓ | ✓ |
| 2.5 | N/A | A summary of the results of the certification audit (excluding confidential information) must be publicly available to interested parties. | <p>Sustainability can only be delivered by an appropriate balance of economic, social and environmental imperatives. It is important that representatives of each of these groups can monitor certification to make sure that the appropriate balance is being delivered.</p> <p>The information must, at a minimum, provide a summary of the findings with respect to conformance with the requirements of the forest management standard.</p> <p>To score 2, the public summary must be available on a relevant website. To score 1, the summary must be available to any interested party on request within a defined timescale.</p> | ✓ | ✓ |

| Criterion # | Definition of L&S | Criteria | Guidance on interpretation | L | S |
|-------------|-------------------|---|--|---|---|
| 2.6 | N/A | There is an accessible and functioning mechanism for dealing with complaints and disputes which is open to any interested party. | It is widely accepted good practice to ensure that any issues or concerns are dealt with efficiently and transparently, whatever their origin. | ✓ | ✓ |
| 2.7 | N/A | The certification scheme must include measures which limit and clearly describe and justify the circumstances in which certification may be awarded to a forest, the character of which has been subject to planned and systematic transformation in a concentrated period of time with the consequence of significantly reducing the forest's biodiversity and/or health and vitality of the forest ecosystem; for example, the conversion of natural forest or forest with many of the characteristics of natural forest to industrial forest plantation. | <p>Certification schemes may limit the circumstances in which affected forests may be certified in whatever ways they consider appropriate.</p> <p>A score of 2, 1 or 0 shall be awarded based on the degree of assurance provided that timber from forests that have been the subject of transformation, as described in the criterion, will enter the supply chain as timber from certified forests only in clearly defined and justifiable circumstances.</p> | ✓ | ✓ |

3. Accreditation

| Criterion # | Definition of L&S | Criteria | Guidance on interpretation | L | S |
|-------------|-------------------|---|---|---|---|
| 3.1 | N/A | Accreditation must be undertaken by a national or international body whose organisation, systems and procedures are consistent with ISO 17011:2004 Conformity assessment -- General requirements for accreditation bodies accrediting conformity assessment bodies or equivalent. | Note if this is not provided by the requirements of the certification system, or through other mechanisms such as the International Accreditation Forum's Multilateral Recognitions Arrangements then the checklist in Annex 3 must be completed. | ✓ | ✓ |

4. Chain of Custody

| Criterion # | Definition of L&S | Criteria | Guidance on interpretation | L | S |
|-------------|-------------------|---|---|---|---|
| 4.1 | N/A | Assessment of chain of custody must be undertaken by a certification body operating in accordance with ISO Guide 65 or equivalent and accredited by an accreditation body operating in accordance with ISO 17011 or equivalent. | Chain of custody certification must be undertaken by an accredited competent third-party just as for forest management certification. | ✓ | ✓ |
| 4.2 | N/A | There must be a certified chain of custody in place from the forest of origin to the final certified product which provides a link between the certified material in the product or product line and certified forests. | This means that each organisation in the chain from forest to final certified product which owns or processes the material in any way must have been audited to confirm that they are implementing chain of custody requirements and have a valid chain of custody certificate. Therefore the possible scores against this criterion are either 0 or 2. | ✓ | ✓ |

| Criterion # | Definition of L&S | Criteria | Guidance on interpretation | L | S |
|-------------|-------------------|--|---|---|---|
| 4.3 | N/A | <p>If mixing of certified and uncertified material in a product or product line is allowed, the uncertified material must be covered by a verifiable system which is designed to ensure that it is from legal sources.</p> | <p>This requirement is relevant when mixing of certified and non-certified material is allowed. Mixing occurs whenever the following approaches are used: percentage labelling, volume accounting, input-output or processor certification.</p> <p>In such cases, in order to meet UK government requirements for legality, there must be a system in place which provides assurance that the uncertified material is from a legal source.</p> <p>The UK government requires all timber and wood products to be from legal sources. Therefore, if mixing of certified and uncertified material is allowed, in order to meet UK government requirements for legality, there must be a system in place which provides assurance that the uncertified material is from a legal source.</p> <p>If the certification system does not include requirements to ensure that the uncertified material is from legal sources, then only products which are 100% certified can be accepted as providing assurance of legality.</p> <p>NB If a scheme scores 0 for this criterion, it only affects acceptance of products containing uncertified material.</p> | ✓ | ✓ |

| Criterion # | Definition of L&S | Criteria | Guidance on interpretation | L | S |
|-------------|-------------------|--|--|---|---|
| 4.4 | N/A | <p>If mixing of certified and uncertified material in a product or product line is allowed and the proportion of uncertified material can exceed 30%, then the uncertified material must be covered by a verifiable system which ensures that it is from sustainable forest sources where the requirements for sustainability set out in criteria 1.2.3 – 1.2.6 above are being met.</p> | <p>This requirement is relevant when mixing of certified and non-certified material is allowed. Mixing occurs whenever the following approaches are used: percentage labelling, volume accounting, input-output or processor certification.</p> <p>The UK government requires that 70% of the material in a product or product line is from sustainable sources. To meet this requirement, if the proportion of uncertified material is more than 30% then there must be a system in place which provides assurance that the uncertified material is from a sustainable source.</p> <p>If such a system is not in place, then only material which contains 70% or more certified material can be accepted. Examples of approaches which provide such information include:</p> <ul style="list-style-type: none"> • Segregation: material from a certified forest is kept separate from uncertified material throughout the production process. • Percentage-based claims: the percentage of material in the product or product line from a certified forest is reported. • Mass-balance: the proportion of product sold as certified is equivalent to the proportion of certified raw material entering the process. <p>NB If a scheme scores 0 for this criterion, it only affects acceptance of products or product lines containing more than 30% uncertified material.</p> | ✓ | ✓ |

| Criterion # | Definition of L&S | Criteria | Guidance on interpretation | L | S |
|-------------|-------------------|---|--|---|---|
| 4.5 | N/A | There is a clearly defined mechanism for controlling all claims made about the certified nature of products which ensures that claims are clear and accurate and that action is taken to prevent any false or misleading claims. | <p>If claims are not controlled, then the veracity of any claim made is in question.</p> <p>Note ISO 14020 contains general guidance on environmental labels and declarations.</p> | ✓ | ✓ |
| 4.6 | N/A | <p>If recycled material is used there must be a verifiable system in place which is designed to ensure that recycled material is from the following categories:</p> <ul style="list-style-type: none"> • Pre-consumer recycled wood and wood fibre or industrial by-products but excluding sawmill co-products unless certified • Post-consumer recycled wood and wood fibre • Drift wood. | <p>Further guidance needs to be developed.</p> <p>NB If a scheme scores 0 for this criterion, it only affects acceptance of products containing recycled material.</p> | ✓ | ✓ |

5. National Level Application

| Criterion # | Definition of L&S | Criteria | Guidance on interpretation | L | S |
|-------------|-------------------|--|--|---|---|
| 5.1 | N/A | <p>International certification programmes that endorse national/sub-national schemes or standards must be implementing documented systems that ensure the fulfilment, within a reasonable and practicable timeframe, of all requirements which are applicable at a national level related to:</p> <ul style="list-style-type: none"> a) Forest standards (section 1); b) Certification (section 2); c) Accreditation (section 3); d) Chain of custody (section 4). | <p>Assessment against this criterion shall consider not only the existence of systems but also the documented results of their implementation; for example, reports, made by the programme in question, on scheme endorsement.</p> <p>To score 2 every aspect of the criterion must be adequately addressed.</p> <p>Where this is not achieved but there are no major omissions a score of 1 can be awarded.</p> | ✓ | ✓ |

Annex 1. History of amendments

Since the publication of the third edition of this document in April 2010 , the following key changes have been made to the *UK Government Timber Procurement Policy: Definition of Legal' and Sustainable for timber procurement'* Fifth Edition, June 2013) and this document:

- June 2013: change to definition of “legal” to reflect the definition of legally harvested timber and timber products within the EU Timber Regulation and movement of one criterion from legal criteria, to sustainable criteria (see 1.2.7 of this document and S9 in the *UK Government Timber Procurement Policy: Definition of Legal' and Sustainable for timber procurement'* Fifth Edition, June 2013).