



NEPCon LegalSource Standard ATIBT, Shanghai 23rd october 2019

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- Presentation of NEPCon简介
- LegalSource Standard 标准
- NEPCon's approach NEPCon方法





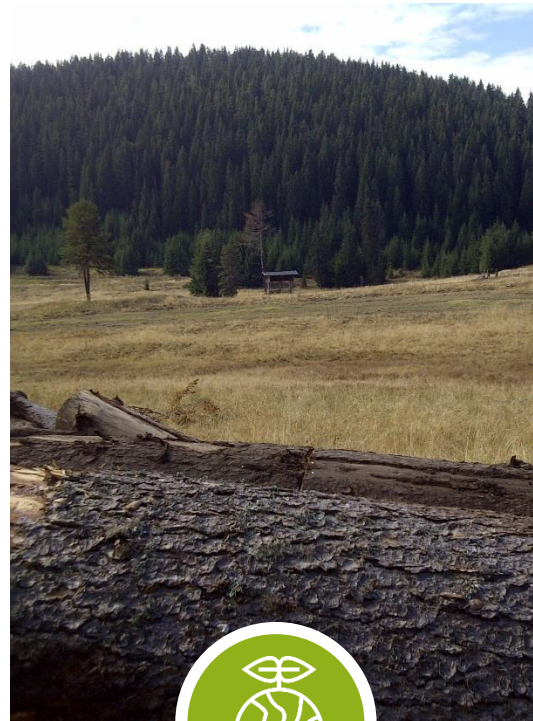
NEPCon
Preferred by Nature™

Presentation of NEPCon

NEPCon简介



Conservation
自然保护



Utilisation of Land
土地利用



Traceability
可追溯性



Approvisionnement responsible
负责任采购

Key milestones 发展过程

1994



Fondee a Aarhus,
Danemark

1995



Projet sur les gestion
durable des forets

1996



Membre du Forest
Stewardship Council™
(FSC™)

1999



1ere certification FSC – En
partenariat avec
Rainforest Alliance

2007



Programme de Formation;
Global Forest Registry

2013



LegalSource™
EU Timber Regulation
Organisation Monitoring

2014



Accredite FSC

2015



Accredite Sustainable
Biomass Program
(SBP)

2017



Accredite Roundtable on
Sustainable Palm Oil (RSPO)
Sourcing Hub launched

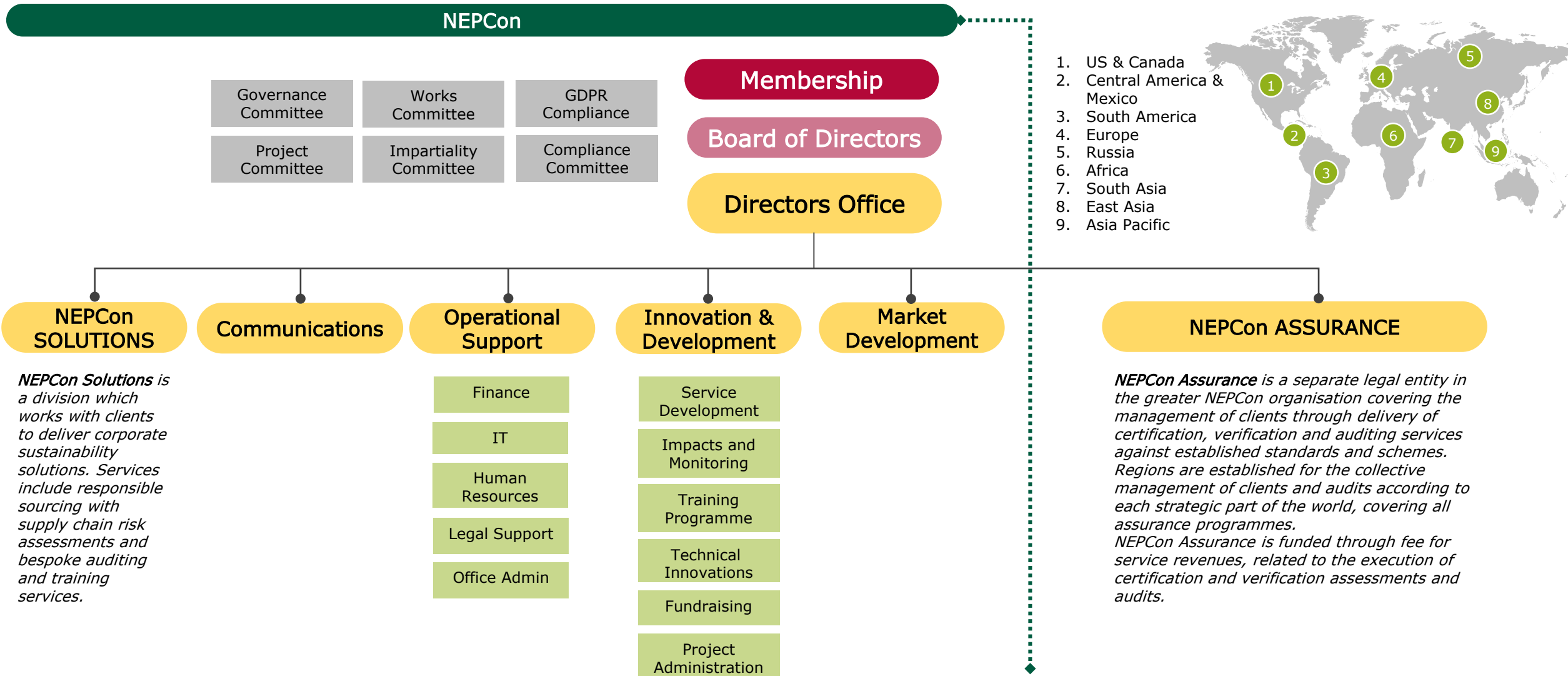
2018

Acquisition par NEPCon de Rainforest Alliance "RA-Cert"
Etendue des services (tourisme, agriculture) et etendue
geographique (6 continents)



Structure组织架构

NEPCon projects and client services are offered through headquarters and regional teams with local staff based in strategic parts of the world.



Certification Services 认证服务



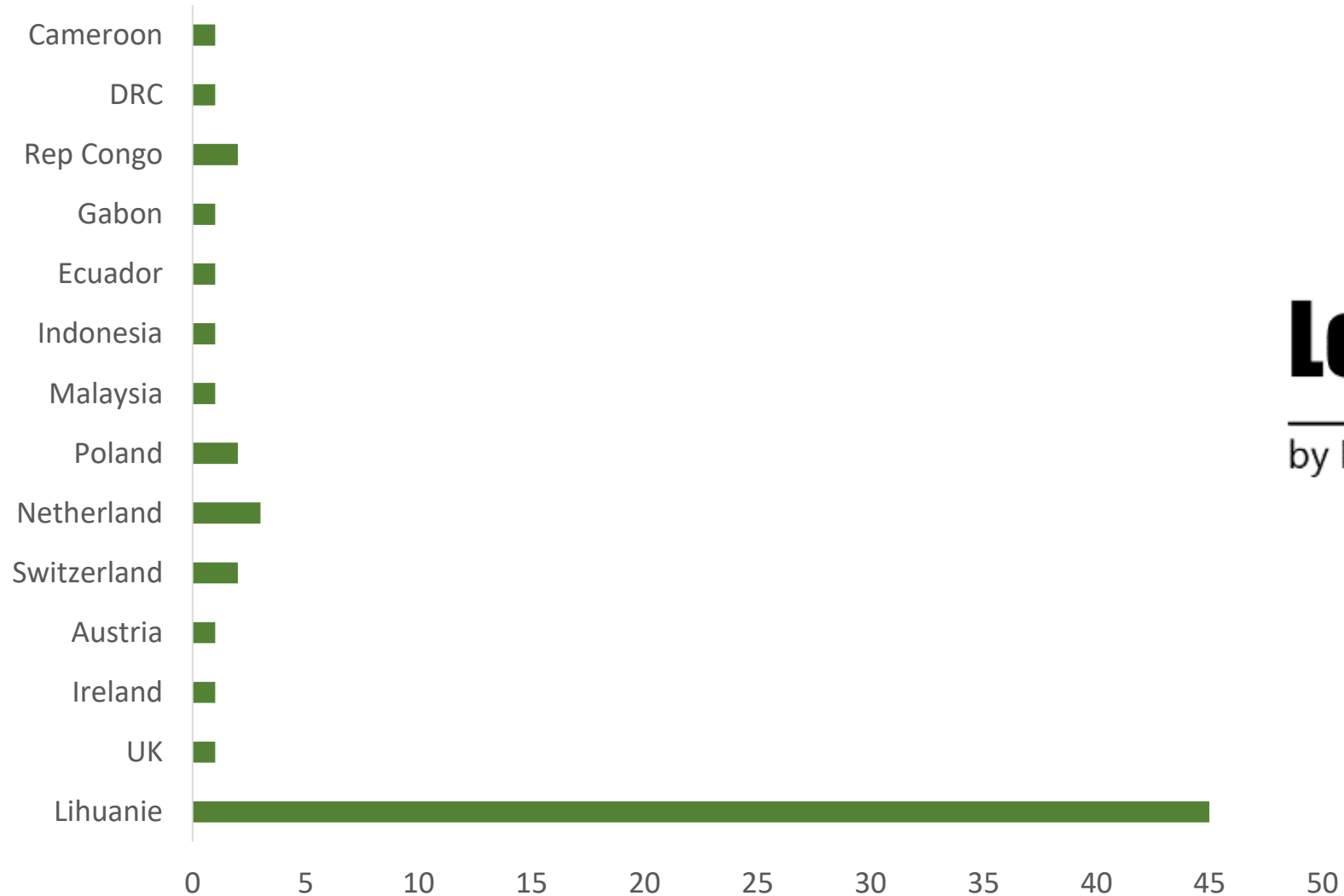
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- More than **69 million ha** of FSC FM certified forest in more than **50 countries** 在50多个国家对6700万多公顷的森林FSC-FM认证；
- More than **3 300 FSC & PEFC CoC certifications** dans in more than **70 countries** 在70多个国家为3300多家企业颁发了FSC & PEFC CoC认证证书；
- More than **60 LegalSource certificates** 颁发了60多张LegalSource证书；
- NEPCon is a EUTR Monitoring Organisation 欧盟认可的木材法案的监督机构。

LegalSource Certificates 已颁发证书的国家

Legal Source certificates/countries





NEPCon
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LegalSource Standard 标准简介

Definition of “legal” according to EU

欧盟对合法采伐的定义

“legally harvested means harvested in accordance with the applicable legislation in the country of harvest”

“合法采伐是指遵守采伐国家所有适用法规的采伐”



Legality category	Legality Sub-Category
Legal rights to harvest	<ul style="list-style-type: none"> Land tenure and management rights Concession licenses Management and harvesting planning Harvesting permits
Taxes & fees	<ul style="list-style-type: none"> Payment of royalties and harvesting fees Value added taxes and other sales taxes Income and profit taxes
Timber harvesting	<ul style="list-style-type: none"> Timber harvesting regulations Protected sites and species Environmental requirements Health and safety Legal employment
Third parties' rights	<ul style="list-style-type: none"> Customary rights Free, Prior and Informed Consent Indigenous peoples rights
Trade & transport	<ul style="list-style-type: none"> Classification of species, quantities, qualities Trade and transport Offshore trading and transfer pricing Custom regulations CITES



Ref: Regulation (EU) No 995/2010

Standard aligned on the EUTR, US (Lacey Act) and Australia (The Australian Logging Bill) requirements
 标准已经结合了EUTR、美国雷斯法案、澳大利亚非法采伐禁令等法规要求

Introduction and Scope

简介和范围

Quality management and due diligence requirements

This is the main normative part of the standard.

质量管理和尽职调查要求。这是其中主要的衡量标准。

Annex附录 1:

Risk assessment and legality requirements for FMEs

森林管理企业的风险评估和合法性要求

Annex附录2:

Risk assessment and legality requirements for the supply chain

供应链的风险评估和合法性要求

Due Diligence requirement LegalSource 尽职调查要求

1

Quality Management
质量管理

2

Access to Information
获取信息

3

Risk assessment
风险评估

4

Risk mitigation
风险减缓

质量要求

Quality management requirement

1.

合法木材采购承诺Engagement à l'égard de l'approvisionnement légal

2.

职责和能力Responsabilités et compétences

3.

制定程序Procédures documentées

4.

质量控制和表现监督Contrôle de la qualité et suivi des performances

5.

尽职调查体系范围Champ d'application du système de diligence raisonnée

6.

获取信息Accès à l'information

7.

风险评估Évaluation des risques

8.

风险减缓Atténuation des risques

9.

投诉Documents de vente

核心尽职调查体系

DD system

LegalSource: new approach to certification 认证新途径

- Legal Source certification is a « **product-based** » certification, which mean it is the **company who decide** what the audit scope should be based on 是产品认证，意味着公司需要基于以下因素来确定认证范围：
 - ✓ The organisation (size, type of products, sites, single or groupe), 公司规模、产品类型、地点、单一还是多地点
 - ✓ Supply chain (complexity, number of products, number of suppliers, risks, risks mitigation measures) 供应链复杂性、产品数量、供应商数量、风险和风险减缓措施
- The company does **its own Due Diligence** (Responsabilising the company) 公司建立自己尽职调查体系
→ the company creates its own evaluation framework 公司可以建立的自己风险评估框架
- Can be used to **evaluate 1st, 2nd and 3rd partie** evaluation 可用于一方、二方和三方审核。
 - ✓ Evaluate DD 评估
 - ✓ Evaluate presence of Non Conformities at several levels 在多个层面进行评估
 - ✓ Verify risk mitigation measures 验证风险减缓措施
- **Standard applicable to** 标准适用于：
 - ✓ Forest managers 森林经营单位
 - ✓ Processors 生产商
 - ✓ Traders 贸易商
 - ✓ Imports et exports 进出口商
 - ✓ Retailer 零售商

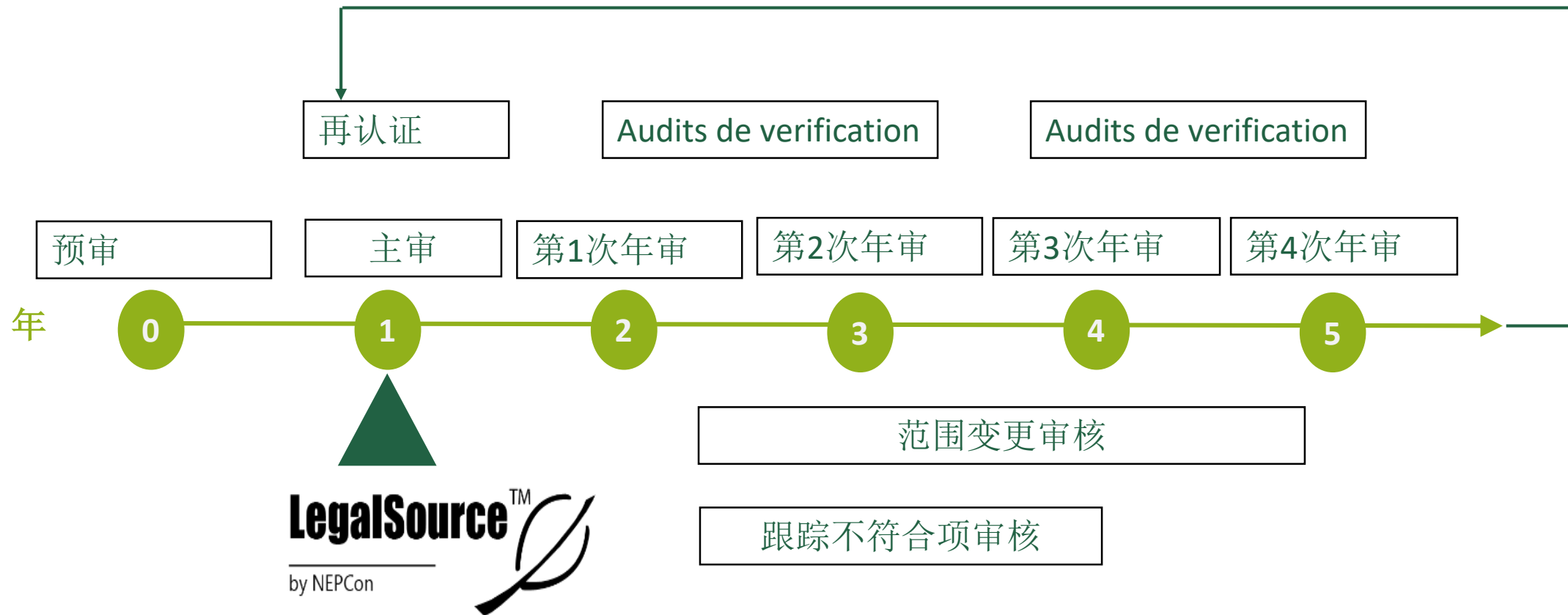


Evaluation of conformity at different levels: 评估不同层面的符合性



- Company engagement 公司政策和程序;
- Quality management of DD (risk evaluation, risk attenuation measures) 尽职调查体系的质量管理（风险评估、风险规避）
- Supply chain management and supply chain consent (if applicable) 供应商管理和获得供应商支持
- Onsite evaluation in the field at the forest level/or processing level 森林经营和加工过程的符合性
- Onsite evaluation at the supplier level
- Trademark use and communication 商标使用和沟通

Certificate Cycle : 5 years 认证周期5年



MINOR RNC 轻微 :

- Ne constituant pas un risque important que du matériel illégal ait été produit ou mis sur le marché
- Les RNC mineurs délivrés au cours des évaluations n'empêchent pas la délivrance d'un certificat.
- La RCN mineure identifiée au cours d'une évaluation peut avoir une période pouvant aller jusqu'à 12 mois
- Les RNC mineurs émis au cours d'une évaluation sont reclassés au rang de RNC majeur s'ils ne sont pas respectés dans les délais prescrits.

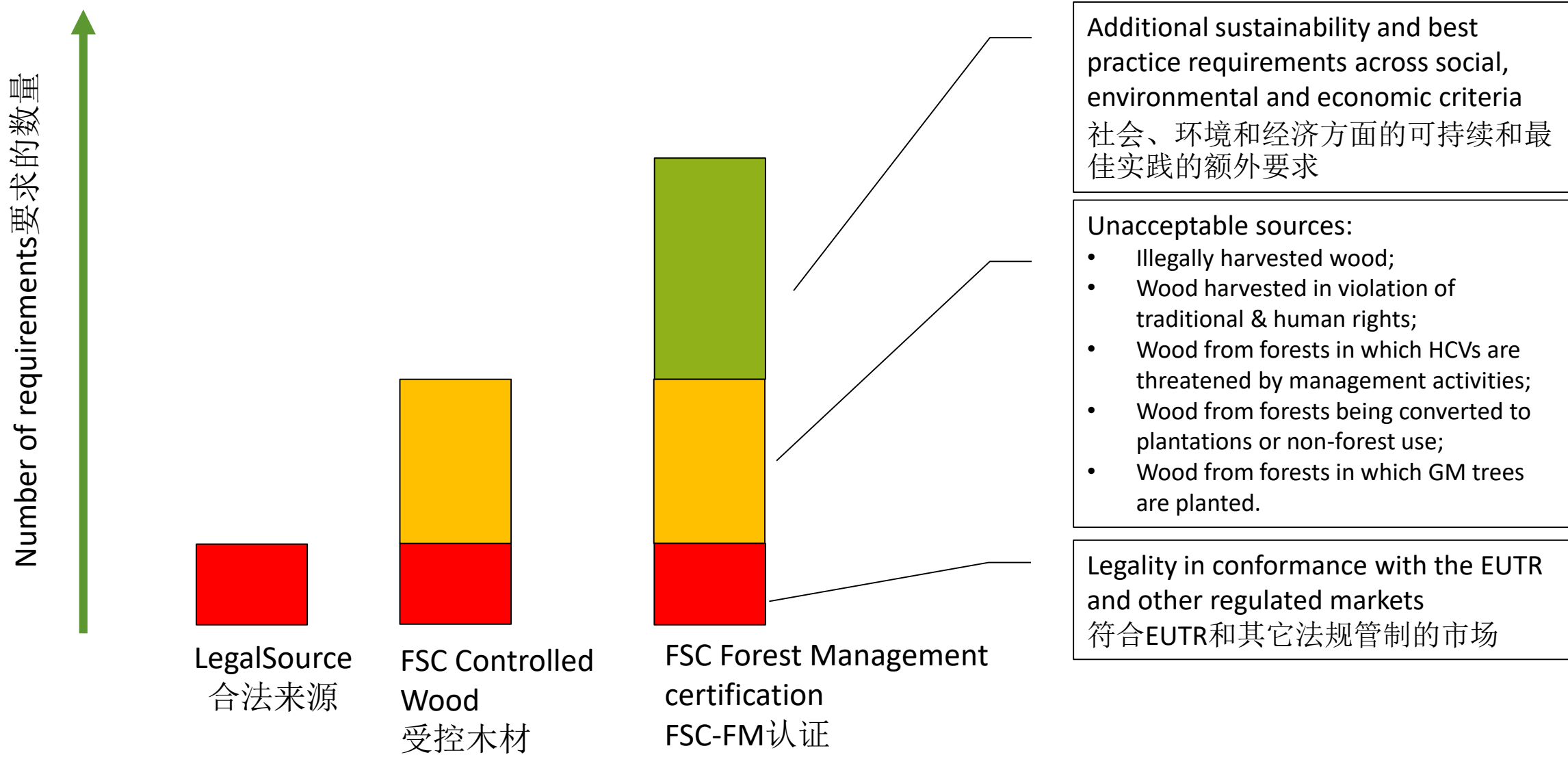
MAJOR RNC 严重 :

- Toutes les RNC majeures pendant les ÉVALUATIONS doivent être fermées avant la certification.
- Le RNC majeur identifiée au cours de la vérification annuelle doit être fermée dans un délai de 3 mois.
- Les principaux RNC émis au cours d'une vérification annuelle font l'objet d'une suspension s'ils ne sont pas respectés dans les délais prescrits.
- La survenance de cinq non-conformités majeures ou plus lors d'un audit annuel entraîne la suspension immédiate du certificat.

Observation 观察项:

- Lorsqu'une conformité est constatée, mais que des améliorations peuvent être apportées et qu'une observation peut être émise.

Relationship between LS, FSC CW and FSC的关系





**does not mean that the
company is legal**
并不意味着公司是合法的

A close-up photograph showing a person's hand using a tool to work on a textured, light-colored surface. The surface has a rough, fibrous appearance, possibly a piece of wood or a composite material. The hand is positioned on the left side of the frame, and the tool is being used to shape or smooth the edge of the material. The background is blurred, focusing attention on the work being performed.

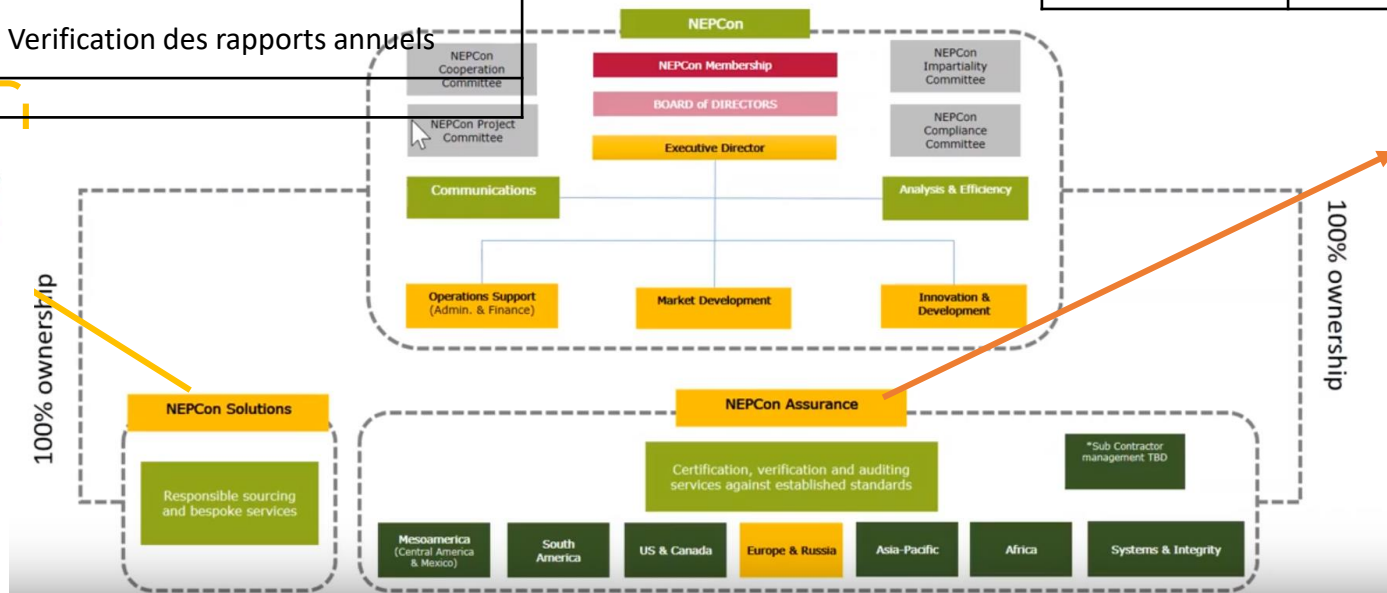
NEPCon services
NEPCon服务

Support and certification 技术支持与认证



Dept. 部门	Services 服务	
NEPCon Solutions	Formation 培训	Cours d'introduction 介绍课程
		Kickstarter Cours
		Cours sur mesure 定制培训
	Support des systems 体系支持	Gap Analysis 差距分析
		Development des systems 建立体系
		Development de plateformes IT 构建平台
	Test des produits 树种测试	Tests Anatomie 微观构造测试
		Tests DNA DNA测试
		Test Stable Isotope 稳定同位素测试
	Supply Chain Audit 供应商审核	Analyse de risqué 风险评估
		Audit de la chaine d'approvisionnement 供应链审核
	Rapport development durable	Verification des rapports annuels
Advisory		

Dept. 部门	Services 服务	
NEPCon Assurance NEPCon 保证	Certification LegalSource 认证服务	Pre-audit 预审
		Audit initial 主审
		Audit annuel 年审
		CVA 补充审核
		Audit de changement de portee 范围变更审核
		Audit de reintegration
		Audit de re-certification
		Audit non annonces
		Autres



Tools and documents available for free 公开免费的工具和文件

<https://www.nepcon.org/certification/legalsource>

Tools and information

LegalSource Standard



This standard forms the backbone of our LegalSource Due Diligence System and related certification, monitoring and training services.

LegalSource Due Diligence System



The LegalSource Due Diligence System is EUTR-compliant and comprises of tools and templates to help you exercise due diligence.

LegalSource Certificate Database



Find and verify valid LegalSource certificates.

* Indicates that NEPCon is Monitoring Organisation

Timber regulations

Get to grips with the EUTR



EUTR: which products are covered?

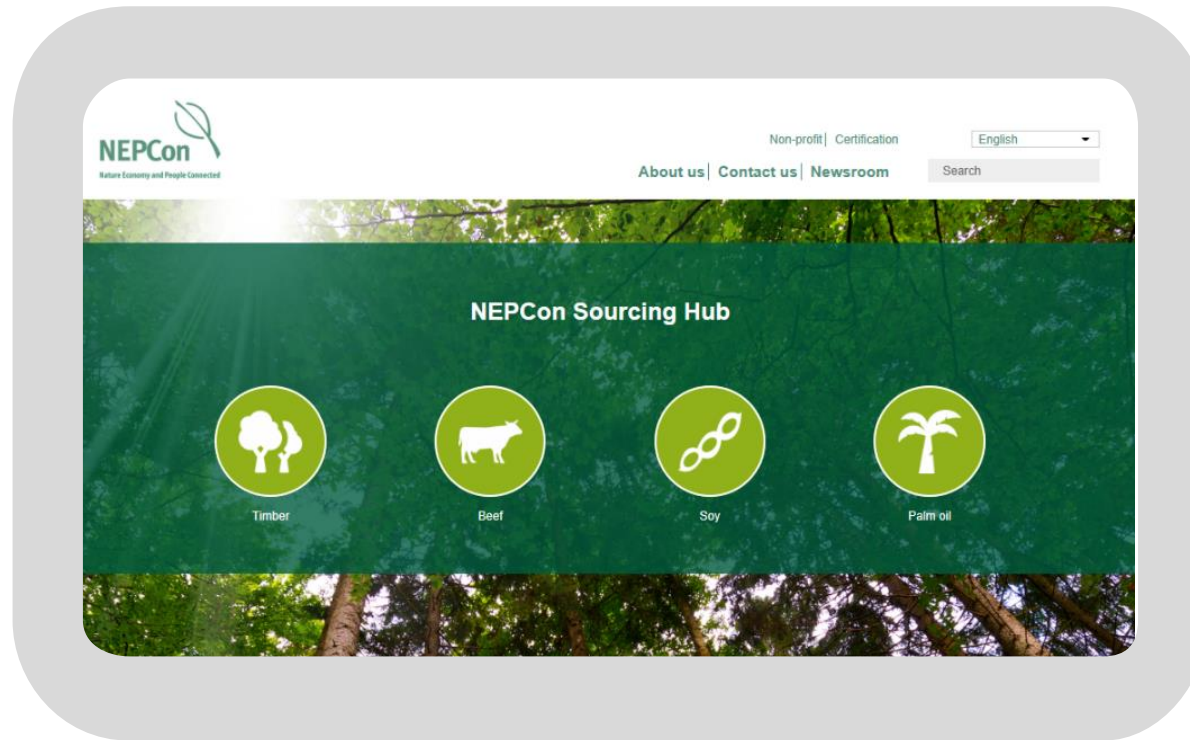


EUTR Monitoring Organisations



Tools and documents available for free

NEPCon Sourcing Hub



www.nepcon.org/sourcinghub

NEPCon

Sourcing Hub

contains national
risk assessments

for timber for

62 pays

Activities around LegalSource 活动

- New Service proposed in Central Africa 在中非提供新的服务;
- 4 new certificats in the Congo Basin since the acquisition with RA-Cert 收购雨林联盟后在刚果盆地颁发4张新证书;
- Mandatory risk analysis before any engagement with companies 在与公司合作前进行风险分析;
- Increase capacity with auditor trainings 提升审核员培训的能力;
- Training towards consultancy companies 向咨询公司提供培训;
- 1 day seminar for companies to present the standard 为公司进行1天的标准培训
- Strong collaboration with NEPCon China office 与NEPCon中国办公室紧密联系;



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