II.VI. Planning - Risk-based approach

> Fields marked with * need to be filled in before the form can be submitted to the next level.

II. Verification of compliance - context and implementation

II.VI. Planning - Risk-based approach for planning of checks on operators (ref. EUTR Article 10)

The criteria used in the risk-based planning determine the efficiency and effectiveness of the identification of operators meeting one or more risk criteria. Operators fulfilling one or more criteria are considered at risk of breaching the EUTR. For the establishment of the check plan, the Competent authority needs to dispose of additional criteria for identifying the operators to be included in the actual check plan. The better these criteria serve to identify those operators with the highest risk of non-compliance, the higher are the chances that the Competent authority can take measures to prevent that timber with a non-negligible risk of having been illegally harvest or products derived therefrom are placed on the market, and if necessary, to impose effective, dissuasive, and proportionate penalties.

1 What is the basis for the establishment of the risk based planning at the national level?

	EUTR Art. 10	National law/Regulation/Circular	Other
*Operators - domestic timber/ timber products	☑	☐	☐
*Operators - imported timber/ timber products	☑	☐	☐

*3 For the risk-based planning, the Competent authority differentiates between operators placing domestic timber /timber products or imported timber/products on the market:

◉ Yes ○ No

*4 Which **criteria are used in the preparation of the risk based planning** of checks of operators placing **domestic** timber /timber products on the market, to identify those for which there is a risk of breaching the EUTR? Select all that apply:

- ☐ Operator with antecedents (e.g. prior breaches of the EUTR or other wood/wildlife trade laws, applicable forest laws, accounting, tax, social security, or customs laws)
- ☐ Type of timber product (e.g. fuel wood)
- ☐ Type of business (e.g. forest owner, timber mill)
- ☐ Area/Region of harvest (e.g. areas/regions subject to high levels of corruption or illegal logging)
- ☐ Type of forest of harvest (e.g. primary/natural forest, Natura 2000 or national nature protected area, biosphere park)
- ☐ Timber types (e.g. broad leaf) or species (e.g. oak)
- ☐ Size of forest property of harvest
- ☐ High volume/weight of timber/timber products placed on the market
- ☐ High value of timber/timber products placed on the market
- ☐ Unusual value/volume ratio of timber/timber products placed on the market
- ☑ Other

5 Please specify other:

> Since no criteria for a higher risk of illegal logging have been identified to date, the planned checks are selected on the basis of a random sample. The sample selection is carried out centrally by the Ministry. Larger forest holdings with more than 200 hectares of forest are more likely to be selected.

*6 Which **criteria are used in the preparation of the risk based planning** of checks of operators placing **imported** timber/timber products on the market, to identify those for which there is a risk of breaching the EUTR? Select all that apply:

- ☑ Operator with antecedents (e.g. prior breaches of the EUTR or other wood/wildlife trade laws, applicable forest laws, accounting, tax, social security, or customs laws)
- ☑ Type of timber product (e.g. composite wood)
- ☑ Type of business (e.g. builder's merchant, boatyard)
- ☑ Country of harvest (e.g. countries with high corruption, internal armed conflicts, track record of illegal logging, export bans)
- ☐ Area/Region of harvest (e.g. areas/regions with high corruption, internal armed conflicts, a track record of illegal logging)
- ☐ Type of forest of harvest (e.g. primary/natural forest, national nature protected area, biosphere park)
- ☑ Timber types (e.g. tropical, broad leaf) or species (e.g. teak)
- ☑ Complexity or type of supply chain (e.g. trade involving transit or processing countries)
- ☑ High volume/weight of timber/timber products placed on the market
- ☑ High value of timber/timber products placed on the market
- ☑ Unusual value/volume ratio placed on the market
- ☑ Other

7 Please specify other:

> Supplier to the operator

*10 After having identified the operators placing **imported, domestic or unspecified** timber/timber products on the market which fulfill one or more risk criteria, which of the following **criteria** are used **to prioritize the operators to be included in the inspection/check plan**? Select all that apply:

- ☑ Checks carried over from the prior reporting period
- ☑ Substantiated concerns
- ☑ Number of risk criteria fulfilled (the higher the number, the higher the priority)
- ☑ Ranking specific risk criteria higher than others (e.g. antecedents are considered more risky than harvest of a risk species)
- ☐ Using one criterion, to choose among operators, where the risks are considered equivalent (weighting)
- ☐ Geographic proximity to other operators to be checked
- ☑ Random choice among those fulfilling one or several risk criteria
- ☐ Other

12 How often are the risk criteria, risk level or prioritization of risks reassessed?

	Annually	Monthly	When new relevant information becomes available	Other
*Operators - domestic timber/ timber products	◉	○	○	○
*Operators - imported timber/ timber products	○	○	◉	○

14 Comments:

Contact

ENV-DECLARE@ec.europa.eu