

Annex 1b. Review of the Programme for the Endorsement of Forest Certification (PEFC)

July 2015

Defra Project ID EV0481

This appendix contains the full results of the review of the PEFC scheme against the UK Government criteria.

Executive Summary

Date of Previous Assessment: November 2010 (published December 2010)

Current Status

Meets requirements for legality

Meets requirements for sustainability

Scheme Source Documents

PEFC Council Technical Document Annex 1 PEFC Terms and Definitions, 27 October 2006

PEFC ST 1001:2010 Standard Setting – Requirements. 26 Nov 2010.

PEFC ST 1002:2010 Group Forest Management Certification - Requirements. 26 Nov 2010.

PEFC ST 1003:2010 Sustainable Forest Management – Requirements. 26 Nov 2010.

PEFC ST 2002:2013 Chain of Custody of Forest Based Products – Requirements. 24 May 2013.

PEFC Council Technical Document Annex 6 Certification and Accreditation Procedures, 5 October 2007

PEFC GD 1001:2009. Structure of the PEFC Technical Documentation, 25 September 2008.

PEFC GD 1002:2008. (V2) Acceptance of PEFC Members, 2 April 2010.

PEFC GD 1005:2012. Issuance of PEFC Logo Use Licenses by the PEFC Council 27 Nov 2012.

PEFC GL3/2010. Nomination for Election of the PEFC Council Chairman, Vice Chairman and Members of the Board of Directors, 4 Feb 2010

PEFC GD 2001:2014 Chain of Custody of Forest-Based Products-Guidance for Use, 19 June 2014

PEFC ST 2003:2012, Second Edition, Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard. 17 November 2014.

PEFC ST 1004:2013 PEFC Requirements for Certification Bodies operating Forest Management Certification. 14 March 2012. (enquiry draft)

PEFC GD 1007:2012 Endorsement and Mutual Recognition of National Systems and their Revision. 5 October 2012.

PEFC ST 2001:2008 (V2) PEFC Logo Usage Rules – Requirements. 26 Nov 2010.

PEFC Council Guidelines GL5/2006. Interpretation of the PEFC Council Requirements for Consensus in the Standard Setting Process, 26 October 2006.

PEFC GD 1002:2008. (V2) Acceptance of PEFC Members, 2 April 2010.

PEFC GD 2001:2014 Chain of Custody of Forest-Based Products-Guidance for Use, 19 June 2014

PEFC GD 1006:2012. Notification of Certification Bodies operating Chain of Custody Certification in Countries without Authorised Bodies. 27 Nov 2012.
PEFC Council Guidelines GL7/2007. Procedures for the Investigation and Resolution of Complaints and Appeals, 28 June 2007
PEFC GD 1007:2012 Endorsement and Mutual Recognition of National Systems and their Revision. 5 October 2012.
PEFC Guide GD 1003:2009. PEFC Council technical documents development procedures - requirements. Issue 1. 2009-01-29.
Public consultation on PEFC ST 1003:2010, Appendix 2, Guidelines for interpretation for some natural forests, including tropical forests. PEFC ST 1003:2010, Appendix 2, Enquiry Draft, Guidelines for interpretation for some natural forests, including tropical forests.

1. Forest Standards

1.1. Content of standards for legal compliance

Criterion #	Criteria	Findings	Score 2015	L	S
1.1.1.	Rights to harvest timber within legally gazetted boundaries.	<p>Fully addressed</p> <p>PEFC-ST-1003:2010 Sustainable Forest Management requirements</p> <p>5.6.3 Property rights and land tenure arrangements shall be clearly defined, documented and established for the relevant forest area...</p> <p>5.7.1 Forest management shall comply with legislation applicable to forest management issues including forest management practices; nature and environmental protection; protected and endangered species; property, tenure and land-use rights for indigenous people; health, labour and safety issues; and the payment of royalties and taxes.</p> <p><u>The TP bases its decision</u> on the EC Non-Paper 'Guidance document for the EU Timber Regulation September 2013'.</p> <p><u>The TP finds that</u> this criterion is fully met.</p> <p>Score: 2</p>	2	✓	
1.1.2.	Payments for harvest rights and timber including duties related to timber harvesting.	<p>Fully addressed</p> <p>PEFC-ST-1003:2010 Sustainable Forest Management requirements</p> <p>5.7.1 Forest management shall comply with legislation applicable to forest management issues including... the payment of royalties and taxes.</p> <p>In the 2010 CPET assessment it was unclear if this criterion would apply to all forests. Referring to the 'Enquiry Draft of PEFC ST 1003/2010, Appendix 2, Guidelines for interpretation for some natural forests, including tropical forests' the <u>TP finds that</u> this criterion is fully met.</p> <p>Score: 2</p>	2	✓	
1.1.3	Timber harvesting, including environmental and forest legislation including forest management and biodiversity	<p>Fully addressed</p> <p>PEFC-ST-1003:2010 Sustainable Forest Management requirements</p> <p>5.7.1 Forest management shall comply with legislation applicable to forest management issues including forest management practices; nature and environmental protection; protected and endangered species; property, tenure and land-use rights for indigenous people; health, labour and safety issues; and the payment of royalties and taxes.</p>	2	✓	

	conservation, where directly related to timber harvesting.	The TP finds this criterion fully met. Score: 2			
1.1.4	Third parties' legal rights concerning use and tenure that are affected by timber harvesting.	Fully addressed PEFC-ST-1003:2010 Sustainable Forest Management requirements 5.6.3 Property rights and land tenure arrangements shall be clearly defined, documented and established for the relevant forest area. Likewise, legal, customary and traditional rights related to the forest land shall be clarified, recognised and respected. 5.6.4 Forest management activities shall be conducted in recognition of the established framework of legal, customary and traditional rights such as outlined in ILO 169 and the UN Declaration on the Rights of Indigenous Peoples, which shall not be infringed upon without the free, prior and informed consent of the holders of the rights, including the provision of compensation where applicable. Where the extent of rights is not yet resolved or is in dispute there are processes for just and fair resolution. In such cases forest managers shall, in the interim, provide meaningful opportunities for parties to be engaged in forest management decisions whilst respecting the processes and roles and responsibilities laid out in the policies and laws where the certification takes place. 5.7.1 Forest management shall comply with legislation applicable to forest management issues including forest management practices; nature and environmental protection; protected and endangered species; property, tenure and land-use rights for indigenous people; health, labour and safety issues; and the payment of royalties and taxes. The TP finds this criterion fully met. Score: 2	2	✓	

1.1.5	Trade and customs, in so far as the forest sector is concerned.	<p>Fully addressed</p> <p>PEFC-ST-1003:2010 Sustainable Forest Management requirements</p> <p>5.7.1 Forest management shall comply with legislation applicable to forest management issues including... the payment of royalties and taxes.</p> <p>PEFC ST 2002:2013. Chain of Custody of Forest Based Products</p> <p>5.1.1 The organisation shall operate a Due Diligence System (DDS), in accordance with the following elements of this standard, which is based on risk management techniques to minimise the risk that the procured material originates in controversial sources.</p> <p>3.9 Controversial sources Forest activities which are: (a) not complying with... (b) not complying with legislation of the country of harvest relating to trade and customs, in so far as the forest sector is concerned, (c) ... (d)</p> <p>The TP finds this criterion fully met.</p> <p>Score: 2</p>	2	✓	
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1.2. Content of standards for sustainability requirements

Criterion #	Criteria	Findings	Score 2015	L	S
1.2.1	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>Fully addressed</p> <p>PEFC-ST-1003:2010 Sustainable Forest Management requirements</p> <p>Introduction</p> <p>“... Since the 1992 United Nations Conference on Environment and Development (UNCED) held in Rio, SFM has been a leading concept in international deliberations and activities. The result today is a broad consensus on principles, guidelines, criteria and indicators for SFM at the international governmental level. These processes include the Ministerial Conference on the Protection of Forests in Europe (MCPFE), an ongoing process in which hundreds of experts from a wide range of stakeholder groups have been involved. Other similar intergovernmental processes are the Montreal Process (Criteria and Indicators for the Conservation and Sustainable Management of Temperate and Boreal Forests), the ITTO (International Tropical Timber Organisation) process for tropical forests or the ATO (African Timber Organisation)/ITTO process for tropical African forests, the Near East – the Lepaterique Process, the Regional Initiative of Dry Forests in Asia, the Criteria and Indicators for the Sustainable Management in Dry-zone Africa, and the Tarapoto Proposal: Criteria and Indicators for the Sustainable Management of Amazonian Forests.”</p> <p>PEFC Council requirements for national forest certification schemes and their forest management standards are based on and respect the results of those intergovernmental processes.</p> <p><u>The TP finds</u> this criterion fully met.</p> <p>Score: 2</p>	2		✓
1.2.2.	The standard must be performance-based.	<p>Fully addressed</p> <p><u>The TP finds:</u></p> <p>The standard (PEFC-ST-1003:2010) has both performance and systems based elements to it. The PEOLG and other intergovernmental processes contain performance requirements. Based on the scores in Criteria 1.2.3 – 1.2.6 this criterion is fully addressed.</p> <p><u>The TP finds</u> this criterion fully met.</p> <p>Score: 2</p>	2		✓
1.2.3.	The standard must ensure that harm to ecosystems is minimised. In order to do this the standard must include requirements for:	<p>Fully addressed</p> <p>PEFC-ST-1003:2010 Sustainable Forest Management requirements</p> <p>a)</p> <p>5.1.1 Forest management planning shall aim to maintain or increase forests and other wooded areas and enhance the quality of the economic, ecological, cultural and social values of forest resources, including soil and water. This shall be done by making full use of related services and tools that support land-use planning and nature conservation.</p> <p>5.1.2 Forest management shall comprise the cycle of inventory and planning, implementation, monitoring and evaluation, and</p>	2		✓

Criterion #	Criteria	Findings	Score 2015	L	S
	<p>a) Appropriate assessment of impacts and planning to minimise impacts;</p> <p>b) Protection of soil, water and biodiversity;</p> <p>c) Controlled and appropriate use of chemicals and use of Integrated Pest Management wherever possible.</p> <p>d) Proper disposal of wastes to minimise any negative impacts.</p>	<p>shall include an appropriate assessment of the social, environmental and economic impacts of forest management operations. This shall form a basis for a cycle of continuous improvement to minimise or avoid negative impacts.</p> <p>5.1.7 Monitoring of forest resources and evaluation of their management shall be periodically performed, and results fed back into the planning process.</p> <p>5.4.5 For reforestation and afforestation, origins of native species and local provenances that are well-adapted to site conditions shall be preferred, where appropriate. Only those introduced species, provenances or varieties shall be used whose impacts on the ecosystem and on the genetic integrity of native species and local provenances have been evaluated, and if negative impacts can be avoided or minimised.</p> <p>b)</p> <p>5.1.1 Forest management planning shall aim to maintain or increase forests and other wooded areas and enhance the quality of the economic, ecological, cultural and social values of forest resources, including soil and water. This shall be done by making full use of related services and tools that support land-use planning and nature conservation.</p> <p>5.1.9 Forest management practices shall safeguard the quantity and quality of the forest resources in the medium and long term by balancing harvesting and growth rates, and by preferring techniques that minimise direct or indirect damage to forest, soil or water resources.</p> <p>5.2.7 Appropriate forest management practices such as reforestation and afforestation with tree species and provenances that are suited to the site conditions or the use of tending, harvesting and transport techniques that minimise tree and/or soil damages shall be applied. The spillage of oil during forest management operations or the indiscriminate disposal of waste on forest land shall be strictly avoided. Non-organic waste and litter shall be avoided, collected, stored in designated areas and removed in an environmentally-responsible manner.</p> <p>5.3.5 Regeneration, tending and harvesting operations shall be carried out in time, and in a way that does not reduce the productive capacity of the site, for example by avoiding damage to retained stands and trees as well as to the forest soil, and by using appropriate systems.</p> <p>5.4.1 Forest management planning shall aim to maintain, conserve and enhance biodiversity on ecosystem, species and genetic levels and, where appropriate, diversity at landscape level.</p> <p>5.4.2 Forest management planning, inventory and mapping of forest resources shall identify, protect and/or conserve ecologically important forest areas containing significant concentrations of:</p> <p>a) protected, rare, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes;</p> <p>b) areas containing endemic species and habitats of threatened species, as defined in recognised reference lists;</p> <p>c) endangered or protected genetic <i>in situ</i> resources; and taking into account d) globally, regionally and nationally significant large landscape areas with natural distribution and abundance of naturally occurring species.</p> <p>Note: This does not necessarily exclude forest management activities that do not damage biodiversity values of those biotopes.</p> <p>5.4.3 Protected and endangered plant and animal species shall not be exploited for commercial purposes. Where necessary, measures shall be taken for their protection and, where relevant, to increase their population.</p> <p>5.4.12 With due regard to management objectives, measures shall be taken to balance the pressure of animal populations and grazing on forest regeneration and growth as well as on biodiversity.</p> <p>5.4.13 Standing and fallen dead wood, hollow trees, old groves and special rare tree species shall be left in quantities and distribution necessary to safeguard biological diversity, taking into account the potential effect on the health and stability of forests and on surrounding ecosystems.</p>			

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		<p>5.5.1 Forest management planning shall aim to maintain and enhance protective functions of forests for society, such as protection of infrastructure, protection from soil erosion, protection of water resources and from adverse impacts of water such as floods or avalanches.</p> <p>5.5.3 Special care shall be given to silvicultural operations on sensitive soils and erosion- prone areas as well as in areas where operations might lead to excessive erosion of soil into watercourses. Inappropriate techniques such as deep soil tillage and use of unsuitable machinery shall be avoided in such areas. Special measures shall be taken to minimise the pressure of animal populations.</p> <p>5.5.4 Special care shall be given to forest management practices in forest areas with water protection functions to avoid adverse effects on the quality and quantity of water resources. Inappropriate use of chemicals or other harmful substances or inappropriate silvicultural practices influencing water quality in a harmful way shall be avoided.</p> <p>5.5.5 Construction of roads, bridges and other infrastructure shall be carried out in a manner that minimises bare soil exposure, avoids the introduction of soil into watercourses and preserves the natural level and function of water courses and river beds. Proper road drainage facilities shall be installed and maintained.</p> <p>c)</p> <p>5.2.2 Health and vitality of forests shall be periodically monitored, especially key biotic and abiotic factors that potentially affect health and vitality of forest ecosystems, such as pests, diseases, overgrazing and overstocking, fire, and damage caused by climatic factors, air pollutants or by forest management operations.</p> <p>5.2.3 The monitoring and maintaining of health and vitality of forest ecosystems shall take into consideration the effects of naturally occurring fire, pests and other disturbances.</p> <p>5.2.5 Forest management practices shall make best use of natural structures and processes and use preventive biological measures wherever and as far as economically feasible to maintain and enhance the health and vitality of forests. Adequate genetic, species and structural diversity shall be encouraged and/or maintained to enhance the stability, vitality and resistance capacity of the forests to adverse environmental factors and strengthen natural regulation mechanisms.</p> <p>5.2.9 The WHO Type 1A and 1B pesticides and other highly toxic pesticides shall be prohibited, except where no other viable alternative is available.</p> <p>Note: Any exception to the usage of WHO Type 1A and 1B pesticides shall be defined by a specific forest management standard.</p> <p>5.2.10 Pesticides, such as chlorinated hydrocarbons whose derivatives remain biologically active and accumulate in the food chain beyond their intended use, and any pesticides banned by international agreement, shall be prohibited.</p> <p>Note: "pesticides banned by international agreements" are defined in the Stockholm Convention on Persistent Organic Pollutants 2001, as amended.</p> <p>5.2.11 The use of pesticides shall follow the instructions given by the pesticide producer and be implemented with proper equipment and training.</p> <p>5.2.12 Where fertilisers are used, they shall be applied in a controlled manner and with due consideration for the environment.</p> <p>5.5.4 Special care shall be given to forest management practices in forest areas with water protection functions to avoid adverse effects on the quality and quantity of water resources. Inappropriate use of chemicals or other harmful substances or inappropriate silvicultural practices influencing water quality in a harmful way shall be avoided.</p> <p>The TP notes that IPM is not specifically referenced but considers that the principles of IPM are included.</p>			

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		<p>d)</p> <p>5.2.7 Appropriate forest management practices such as reforestation and afforestation with tree species and provenances that are suited to the site conditions or the use of tending, harvesting and transport techniques that minimise tree and/or soil damages shall be applied. The spillage of oil during forest management operations or the indiscriminate disposal of waste on forest land shall be strictly avoided. Non-organic waste and litter shall be avoided, collected, stored in designated areas and removed in an environmentally-responsible manner.</p> <p><u>The TP finds</u> all aspects a) - d) are fully addressed.</p> <p>Score: 2</p>			
1.2.4.	<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> <p>a) Management planning and implementation of management activities to avoid significant negative impacts on forest productivity.</p> <p>b) Monitoring which is adequate to check compliance</p>	<p>Fully addressed</p> <p>PEFC-ST-1003:2010 Sustainable Forest Management requirements</p> <p>a)</p> <p>5.2.1 Forest management planning shall aim to maintain and increase the health and vitality of forest ecosystems and to rehabilitate degraded forest ecosystems, whenever this is possible by silvicultural means.</p> <p>5.2.2 Health and vitality of forests shall be periodically monitored, especially key biotic and abiotic factors that potentially affect health and vitality of forest ecosystems, such as pests, diseases, overgrazing and overstocking, fire, and damage caused by climatic factors, air pollutants or by forest management operations.</p> <p>5.2.4 Forest management plans or their equivalents shall specify ways and means to minimise the risk of degradation of and damages to forest ecosystems. Forest management planning shall make use of those policy instruments set up to support these activities.</p> <p>5.2.5 Forest management practices shall make best use of natural structures and processes and use preventive biological measures wherever and as far as economically feasible to maintain and enhance the health and vitality of forests. Adequate genetic, species and structural diversity shall be encouraged and/or maintained to enhance the stability, vitality and resistance capacity of the forests to adverse environmental factors and strengthen natural regulation mechanisms.</p> <p>5.2.7 Appropriate forest management practices such as reforestation and afforestation with tree species and provenances that are suited to the site conditions or the use of tending, harvesting and transport techniques that minimise tree and/or soil damages shall be applied. The spillage of oil during forest management operations or the indiscriminate disposal of waste on forest land shall be strictly avoided. Non-organic waste and litter shall be avoided, collected, stored in designated areas and removed in an environmentally-responsible manner.</p> <p>5.3.1 Forest management planning shall aim to maintain the capability of forests to produce a range of wood and non-wood forest products and services on a sustainable basis.</p> <p>5.3.4 Forest management practices shall maintain and improve the forest resources and encourage a diversified output of goods and services over the long term.</p> <p>5.3.5 Regeneration, tending and harvesting operations shall be carried out in time, and in a way that does not reduce the productive capacity of the site, for example by avoiding damage to retained stands and trees as well as to the forest soil, and by using appropriate systems.</p> <p>5.3.7 Where it is the responsibility of the forest owner/manager and included in forest management, the exploitation of</p>	2		✓

Criterion #	Criteria	Findings	Score 2015	L	S
	<p>e with all requirements, together with review and feedback into planning.</p> <p>c) Operations and operational procedures which minimise impacts on the range of forest resources and services.</p> <p>d) Adequate training of all personnel, both employees and contractors.</p> <p>e) Harvest levels that do not exceed the long-term production</p>	<p>non-timber forest products, including hunting and fishing, shall be regulated, monitored and controlled.</p> <p>5.3.8 Adequate infrastructure such as roads, skid tracks or bridges shall be planned, established and maintained to ensure efficient delivery of goods and services while minimising negative impacts on the environment.</p> <p>5.4.1 Forest management planning shall aim to maintain, conserve and enhance biodiversity on ecosystem, species and genetic levels and, where appropriate, diversity at landscape level.</p> <p>5.4.4 Forest management shall ensure successful regeneration through natural regeneration or, where not appropriate, planting that is adequate to ensure the quantity and quality of the forest resources.</p> <p>b)</p> <p>5.1.2 Forest management shall comprise the cycle of inventory and planning, implementation, monitoring and evaluation, and shall include an appropriate assessment of the social, environmental and economic impacts of forest management operations. This shall form a basis for a cycle of continuous improvement to minimise or avoid negative impacts.</p> <p>5.1.7 Monitoring of forest resources and evaluation of their management shall be periodically performed, and results fed back into the planning process.</p> <p>c)</p> <p>5.1.2 Forest management shall comprise the cycle of inventory and planning, implementation, monitoring and evaluation, and shall include an appropriate assessment of the social, environmental and economic impacts of forest management operations. This shall form a basis for a cycle of continuous improvement to minimise or avoid negative impacts.</p> <p>5.1.9 Forest management practices shall safeguard the quantity and quality of the forest resources in the medium and long term by balancing harvesting and growth rates, and by preferring techniques that minimise direct or indirect damage to forest, soil or water resources.</p> <p>5.2.4 Forest management plans or their equivalents shall specify ways and means to minimise the risk of degradation of and damages to forest ecosystems. Forest management planning shall make use of those policy instruments set up to support these activities.</p> <p>5.2.7 Appropriate forest management practices such as reforestation and afforestation with tree species and provenances that are suited to the site conditions or the use of tending, harvesting and transport techniques that minimise tree and/or soil damages shall be applied. The spillage of oil during forest management operations or the indiscriminate disposal of waste on forest land shall be strictly avoided. Non-organic waste and litter shall be avoided, collected, stored in designated areas and removed in an environmentally-responsible manner.</p> <p>5.2.8 The use of pesticides shall be minimised and appropriate silvicultural alternatives and other biological measures preferred.</p> <p>5.3.8 Adequate infrastructure such as roads, skid tracks or bridges shall be planned, established and maintained to ensure efficient delivery of goods and services while minimising negative impacts on the environment.</p> <p>5.4.5 For reforestation and afforestation, origins of native species and local provenances that are well-adapted to site conditions shall be preferred, where appropriate. Only those introduced species, provenances or varieties shall be used whose impacts on the ecosystem and on the genetic integrity of native species and local provenances have been evaluated, and if negative impacts can be avoided or minimised.</p> <p>5.5.3 Special care shall be given to silvicultural operations on sensitive soils and erosion-prone areas as well as in areas where operations might lead to excessive erosion of soil into watercourses. Inappropriate techniques such as deep soil tillage</p>			

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	n capacity of the forest, based on adequate inventory and growth and yield data.	<p>and use of unsuitable machinery shall be avoided in such areas. Special measures shall be taken to minimise the pressure of animal populations.</p> <p>5.5.5 Construction of roads, bridges and other infrastructure shall be carried out in a manner that minimises bare soil exposure, avoids the introduction of soil into watercourses and preserves the natural level and function of water courses and river beds. Proper road drainage facilities shall be installed and maintained.</p> <p>5.1.11 Conversion of forests to other types of land use, including conversion of primary forests to forest plantations, shall not occur unless in justified circumstances where the conversion:</p> <p>.....</p> <p>c) Does not have negative impacts on threatened (including vulnerable, rare or endangered) forest ecosystems, culturally and socially significant areas, important habitats of threatened species or other protected areas.</p> <p>5.4.11 Infrastructure shall be planned and constructed in a way that minimises damage to ecosystems, especially to rare, sensitive or representative ecosystems and genetic reserves, and that takes threatened or other key species – in particular their migration patterns – into consideration.</p> <p>d)</p> <p>5.2.11 The use of pesticides shall follow the instructions given by the pesticide producer and be implemented with proper equipment and training.</p> <p>5.6.8 Forest managers, contractors, employees and forest owners shall be provided with sufficient information and encouraged to keep up-to-date through continuous training in relation to sustainable forest management as a precondition for all management planning and practices described in this standard.</p> <p>5.6.12 Working conditions shall be safe, and guidance and training in safe working practices shall be provided to all those assigned to a task in forest operations.</p> <p>e)</p> <p>5.1.9 Forest management practices shall safeguard the quantity and quality of the forest resources in the medium and long term by balancing harvesting and growth rates, and by preferring techniques that minimise direct or indirect damage to forest, soil or water resources.</p> <p>5.3.6 Harvesting levels of both wood and non-wood forest products shall not exceed a rate that can be sustained in the long term, and optimum use shall be made of the harvested forest products, with due regard to nutrient off-take.</p> <p>The TP finds all aspects a) - e) are fully addressed.</p> <p>Score: 2</p>			
1.2.5.	The standard must seek to ensure that forest ecosystem health and vitality is maintained. In order to do this the standard must	<p>Fully addressed</p> <p>PEFC-ST-1003:2010 Sustainable Forest Management requirements</p> <p>a)</p> <p>5.2.1 Forest management planning shall aim to maintain and increase the health and vitality of forest ecosystems and to rehabilitate degraded forest ecosystems, whenever this is possible by silvicultural means.</p> <p>5.2.2 Health and vitality of forests shall be periodically monitored, especially key biotic and abiotic factors that potentially</p>	2		✓

Criterion #	Criteria	Findings	Score 2015	L	S
	<p>include requirements for:</p> <p>a) Management planning which aims to maintain or increase the health and vitality of forest ecosystems</p> <p>b) Management of natural processes, fires, pests and diseases.</p> <p>c) Adequate protection of the forest from unauthorised activities such as illegal logging, mining and encroachment.</p>	<p>affect health and vitality of forest ecosystems, such as pests, diseases, overgrazing and overstocking, fire, and damage caused by climatic factors, air pollutants or by forest management operations.</p> <p>5.2.5 Forest management practices shall make best use of natural structures and processes and use preventive biological measures wherever and as far as economically feasible to maintain and enhance the health and vitality of forests. Adequate genetic, species and structural diversity shall be encouraged and/or maintained to enhance the stability, vitality and resistance capacity of the forests to adverse environmental factors and strengthen natural regulation mechanisms.</p> <p>b) 5.2.2 Health and vitality of forests shall be periodically monitored, especially key biotic and abiotic factors that potentially affect health and vitality of forest ecosystems, such as pests, diseases, overgrazing and overstocking, fire, and damage caused by climatic factors, air pollutants or by forest management operations. 5.2.3 The monitoring and maintaining of health and vitality of forest ecosystems shall take into consideration the effects of naturally occurring fire, pests and other disturbances. 5.4.13 Standing and fallen dead wood, hollow trees, old groves and special rare tree species shall be left in quantities and distribution necessary to safeguard biological diversity, taking into account the potential effect on the health and stability of forests and on surrounding ecosystems.</p> <p>c) 5.7.2 Forest management shall provide for adequate protection of the forest from unauthorised activities such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities.</p> <p>The TP finds all aspects a) - c) are fully addressed</p> <p>Score: 2</p>			
1.2.6.	The standard must seek to ensure that	Fully addressed	2		✓

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	<p>biodiversity is maintained. In order to do this the standard must include requirements for:</p> <p>a) Implementation of safeguards to protect rare, threatened and endangered species.</p> <p>b) The conservation/set-aside of key ecosystems or habitats in their natural state.</p> <p>c) The protection of features and species of outstanding or exceptional value.</p>	<p>PEFC-ST-1003:2010 Sustainable Forest Management requirements</p> <p>a)</p> <p>5.1.11 Conversion of forests to other types of land use, including conversion of primary forests to forest plantations, shall not occur unless in justified circumstances where the conversion:</p> <p>.....</p> <p>c) does not have negative impacts on threatened (including vulnerable, rare or endangered) forest ecosystems, culturally and socially significant areas, important habitats of threatened species or other protected areas;</p> <p>5.4.2 Forest management planning, inventory and mapping of forest resources shall identify, protect and/or conserve ecologically important forest areas containing significant concentrations of:</p> <p>a) protected, rare, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes;</p> <p>b) areas containing endemic species and habitats of threatened species, as defined in recognised reference lists;</p> <p>c) endangered or protected genetic <i>in situ</i> resources; and taking into account d) globally, regionally and nationally significant large landscape areas with natural distribution and abundance of naturally occurring species.</p> <p>5.4.3 Protected and endangered plant and animal species shall not be exploited for commercial purposes. Where necessary, measures shall be taken for their protection and, where relevant, to increase their population.</p> <p>5.4.11 Infrastructure shall be planned and constructed in a way that minimises damage to ecosystems, especially to rare, sensitive or representative ecosystems and genetic reserves, and that takes threatened or other key species – in particular their migration patterns – into consideration.</p> <p>5.4.13 Standing and fallen dead wood, hollow trees, old groves and special rare tree species shall be left in quantities and distribution necessary to safeguard biological diversity, taking into account the potential effect on the health and stability of forests and on surrounding ecosystems.</p> <p>5.7.1 Forest management shall comply with legislation applicable to forest management issues including forest management practices; nature and environmental protection; protected and endangered species; property, tenure and land-use rights for indigenous people; health, labour and safety issues; and the payment of royalties and taxes.</p> <p>b)</p> <p>5.4.2 Forest management planning, inventory and mapping of forest resources shall identify, protect and/or conserve ecologically important forest areas containing significant concentrations of:</p> <p>a) protected, rare, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes;</p> <p>b) areas containing endemic species and habitats of threatened species, as defined in recognised reference lists;</p> <p>c) endangered or protected genetic <i>in situ</i> resources; and taking into account d) globally, regionally and nationally significant large landscape areas with natural distribution and abundance of naturally occurring species.</p> <p>c)</p> <p>5.1.11 Conversion of forests to other types of land use, including conversion of primary forests to forest plantations, shall not occur unless in justified circumstances where the conversion:</p> <p>.....</p> <p>c) does not have negative impacts on threatened (including vulnerable, rare or endangered) forest ecosystems, culturally and socially significant areas, important habitats of threatened species or other protected areas;</p> <p>5.4.2 Forest management planning, inventory and mapping of forest resources shall identify, protect and/or conserve</p>			

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		<p>ecologically important forest areas containing significant concentrations of:</p> <p>a) protected, rare, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes;</p> <p>b) areas containing endemic species and habitats of threatened species, as defined in recognised reference lists;</p> <p>c) endangered or protected genetic <i>in situ</i> resources; and taking into account</p> <p>d) globally, regionally and nationally significant large landscape areas with natural distribution and abundance of naturally occurring species.</p> <p>5.4.3 Protected and endangered plant and animal species shall not be exploited for commercial purposes. Where necessary, measures shall be taken for their protection and, where relevant, to increase their population.</p> <p>5.4.11 Infrastructure shall be planned and constructed in a way that minimises damage to ecosystems, especially to rare, sensitive or representative ecosystems and genetic reserves, and that takes threatened or other key species – in particular their migration patterns – into consideration.</p> <p>5.4.13 Standing and fallen dead wood, hollow trees, old groves and special rare tree species shall be left in quantities and distribution necessary to safeguard biological diversity, taking into account the potential effect on the health and stability of forests and on surrounding ecosystems.</p> <p>5.7.1 Forest management shall comply with legislation applicable to forest management issues including forest management practices; nature and environmental protection; protected and endangered species; property, tenure and land-use rights for indigenous people; health, labour and safety issues; and the payment of royalties and taxes.</p> <p>The TP finds all aspects a) - c) are fully addressed.</p> <p>Score: 2</p>			
1.2.7.	<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>Fully addressed</p> <p>PEFC-ST-1003:2010 Sustainable Forest Management requirements</p> <p>1 Scope</p> <p>This document covers requirements for forest management standards applicable to all types of forests. The interpretation of the requirements for various types of forests or geographical zones is included as an appendix to this document. The interpretation for forest plantations is included in Appendix 1 to this document. The requirements laid out in this document must be reflected in the forest management standards submitted for PEFC endorsement. They constitute requirements for owners or managers applying for forest certification, as well as contractors and other operators operating in certified forests.</p> <p>5.7.1 Forest management shall comply with legislation applicable to forest management issues including forest management practices; nature and environmental protection; protected and endangered species; property, tenure and land-use rights for indigenous people; health, labour and safety issues; and the payment of royalties and taxes.</p> <p>The TP finds this criterion fully met.</p> <p>Score: 2</p>	2		✓

Criterion #	Criteria	Findings	Score 2015	L	S
1.2.8	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>Fully addressed PEFC-ST-1003:2010 Sustainable Forest Management requirements</p> <p>5.6.3 Property rights and land tenure arrangements shall be clearly defined, documented and established for the relevant forest area. Likewise, legal, customary and traditional rights related to the forest land shall be clarified, recognised and respected.</p> <p>5.6.4 Forest management activities shall be conducted in recognition of the established framework of legal, customary and traditional rights such as outlined in ILO 169 and the UN Declaration on the Rights of Indigenous Peoples, which shall not be infringed upon without the free, prior and informed consent of the holders of the rights, including the provision of compensation where applicable. Where the extent of rights is not yet resolved or is in dispute there are processes for just and fair resolution. In such cases forest managers shall, in the interim, provide meaningful opportunities for parties to be engaged in forest management decisions whilst respecting the processes and roles and responsibilities laid out in the policies and laws where the certification takes place.</p> <p>5.7.1 Forest management shall comply with legislation applicable to forest management issues including forest management practices; nature and environmental protection; protected and endangered species; property, tenure and land-use rights for indigenous people; health, labour and safety issues; and the payment of royalties and taxes.</p> <p><u>The TP finds</u> this criterion fully met.</p> <p>Score: 2</p>	2		✓
1.2.9.	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>Partially addressed PEFC-ST-1003:2010 Sustainable Forest Management requirements</p> <p>Tenure and use rights: Fully addressed</p> <p>5.6.4 Forest management activities shall be conducted in recognition of the established framework of legal, customary and traditional rights such as outlined in ILO 169 and the UN Declaration on the Rights of Indigenous Peoples, which shall not be infringed upon without the free, prior and informed consent of the holders of the rights, including the provision of compensation where applicable. Where the extent of rights is not yet resolved or is in dispute there are processes for just and fair resolution. In such cases forest managers shall, in the interim, provide meaningful opportunities for parties to be engaged in forest management decisions whilst respecting the processes and roles and responsibilities laid out in the policies and laws where the certification takes place.</p> <p>Forest management practices: Fully addressed</p> <p>5.6.10 Forest management shall provide for effective communication and consultation with local people and other stakeholders relating to sustainable forest management and shall provide appropriate mechanisms for resolving complaints and disputes relating to forest management between forest operators and local people.</p> <p>Work conditions: Partially addressed</p> <p>5.6.13 Forest management shall comply with fundamental ILO conventions.</p> <p>5.7.1 Forest management shall comply with legislation applicable to forest management issues including forest</p>	1		✓

Criterion #	Criteria	Findings	Score 2015	L	S
		<p>management practices; nature and environmental protection; protected and endangered species; property, tenure and land-use rights for indigenous people; health, labour and safety issues; and the payment of royalties and taxes.</p> <p>The TP finds that work conditions grievances and disputes resolution mechanisms are only partially addressed by PEFC-ST-1003:2010. If there is a legal requirement that such mechanisms exist in a specific country then PEFC-ST-1003:2010 would be compliant with this requirement. The fundamental ILO conventions listed do not appear to cover the need for grievance and dispute resolution mechanisms in a forest management unit.</p> <p>The 2010 assessment found “that explicit requirements should be stated in the PEFC’s standards in order fully to address the criterion” and it would appear that this is still not the case. Therefore the TP’s conclusion remains that this part of the criterion is still only partially addressed.</p> <p>Score: 1</p>			
1.2.10.	<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 	<p>Fully addressed PEFC-ST-1003:2010 Sustainable Forest Management requirements</p> <p>5.6.13 Forest management shall comply with fundamental ILO conventions.</p> <p>Terms and definitions 3.5 Fundamental ILO conventions Eight conventions (ILO 29, 87, 98, 100, 105, 111, 138 and 182) are identified by the ILO's Governing Body as a set of core labour principles and are "fundamental" in terms of principles and rights at work: freedom of association and the effective recognition of the right to collective bargaining; the elimination of all forms of forced or compulsory labour; the effective abolition of child labour; and the elimination of discrimination in respect of employment and occupation.</p> <p>The TP finds this criterion fully met.</p> <p>Score: 2</p>	2		✓

Criterion #	Criteria	Findings	Score 2015	L	S
	in respect of employment and occupation.				
1.2.11.	The standard must require that appropriate safeguards are put in place to protect the health and safety of forest workers.	<p>Fully addressed PEFC-ST-1003:2010 Sustainable Forest Management requirements</p> <p>5.6.12 Working conditions shall be safe, and guidance and training in safe working practices shall be provided to all those assigned to a task in forest operations. Note: Guidance for specifying national standards can be obtained from the ILO Code of Good Practice: Safety and Health in Forestry Work.</p> <p>5.7.1 Forest management shall comply with legislation applicable to forest management issues including forest management practices; nature and environmental protection; protected and endangered species; property, tenure and land-use rights for indigenous people; health, labour and safety issues; and the payment of royalties and taxes.</p> <p>The TP finds this criterion fully met.</p> <p>Score: 2</p>	2		✓

1.3. Standard setting process

Criterion #	Criteria	Findings	Score 2015	L	S
1.3.1	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.	<p>Fully addressed PEFC-ST-1001:2010 Standard Setting – Requirements</p> <p>“Introduction This document is based on ISO/IEC Guide 59. In addition, the ISEAL Code of Good Practice for Setting Social and Environmental Standards was taken into consideration.”</p> <p>The ISO Guide 59 is listed as a normative document in PEFC ST 1001:2010.</p> <p>The TP finds this criterion fully met.</p> <p>Score: 2</p>	2		✓
1.3.2	The standard-setting process must seek to ensure balanced representation and input from the economic, environmental and social interest categories.	<p>Fully addressed PEFC-ST-1001:2010 Standard Setting – Requirements:</p> <p>4.4 The standardising body shall establish a permanent or temporary working group/committee responsible for standard-setting activities. The working group/committee shall:</p> <ul style="list-style-type: none"> (a) be accessible to materially and directly affected stakeholders, (b) have balanced representation and decision-making by stakeholder categories relevant to the subject matter and geographical scope of the standard where single concerned interests shall not dominate nor be dominated in the process, and (c) include stakeholders with expertise relevant to the subject matter of the standard, those that are materially affected by the standard, and those that can influence the implementation of the standard. The materially affected stakeholders shall represent a meaningful segment of the participants. <p>5.1 The standardising body shall identify stakeholders relevant to the objectives and scope of the standard-setting work. Note: A stakeholder mapping exercise that includes defining which interest sectors are relevant and why, and for each sector what are likely to be the key issues, who are the key stakeholders, and what means of communication will best reach them, is a recognised means of meeting the requirement.</p> <p>5.2 The standardising body shall identify disadvantaged and key stakeholders. The standardising body shall address the constraints of their participation and proactively seek their participation and contribution in the standard-setting activities.</p> <p>5.3 The standardising body shall make a public announcement of the start of the standard-setting process and include an invitation for participation in a timely manner on its website and in suitable media as appropriate to afford stakeholders an opportunity for meaningful contributions. The announcement and invitation shall include:</p> <ul style="list-style-type: none"> (a) information about the objectives, scope and the steps of the standard-setting process and its timetable, (b) information about opportunities for stakeholders to participate in the process, (c) an invitation to stakeholders to nominate their representative(s) to the working group/committee. The invitation to disadvantaged and key stakeholders shall be made in a manner that ensures that the information reaches intended 	2		✓

Criterion #	Criteria	Findings	Score 2015	L	S
		<p>recipients and in a format that is understandable.</p> <p>PEFC have commented that “The term “subject matter” is aligned with ISO 59:1994. As the subject matter of PEFC standards is sustainable commodity production, it refers to input from economic, environmental and social interest categories as these are integral to the concept of sustainability and therefore directly affected.”</p> <p>The TP accepts this interpretation. However, it would be helpful if there was an explicit reference to economic, environmental and social stakeholder representation.</p> <p>PEFC-GD-1003:2009 PEFC Council technical documents development procedures – requirements:</p> <p>4.5 Working Group A permanent or temporary Working Group shall be established and dissolved by the Board of Directors. The Working Group shall report to the Board of Directors. The Working Group’s composition shall provide for balanced representation of stakeholder categories where no single concerned interest shall be allowed to dominate the process. The Working Group’s representation shall respect the subject matter of the standard setting of the specific project and includes representatives nominated by:</p> <ol style="list-style-type: none"> PEFC National Governing Bodies, Members of the Stakeholder Forum, Extraordinary members of the PEFC Council, Board of Directors, PEFC Council Secretariat, Other stakeholder groups interested in the development process. <p>A Secretariat representative and the project leader shall be a member of any Working Group. The objective of the Working Group is to build consensus amongst participating interested stakeholders and/or experts.</p> <p>The PEFC-GD-1003:2009 requirements for PEFC international standards setting do require ‘balanced representation’ which “shall respect the subject matter of the standard setting”.</p> <p>The term ‘subject matter’ is interpreted by the TP to have the same meaning as for the standard setting process (see above). However, it would be helpful if there was an explicit reference in the GD to economic, environmental and social stakeholder representation.</p> <p>The TP finds this criterion fully met.</p> <p>Score: 2</p>			
1.3.3	<p>The standard-setting and decision-making process adopted must seek to ensure:</p> <ul style="list-style-type: none"> No single 	<p>Fully addressed PEFC-ST-1001:2010 Standard Setting – Requirements</p> <p>4.4 The standardising body shall establish a permanent or temporary working group/committee responsible for standard-setting activities. The working group/committee shall:</p>	2		✓

Criterion #	Criteria	Findings	Score 2015	L	S
	<p>interest can dominate the process;</p> <ul style="list-style-type: none"> No decision can be made in the absence of agreement from the majority of an interest category. 	<p>(a) be accessible to materially and directly affected stakeholders, (b) have balanced representation and decision-making by stakeholder categories relevant to the subject matter and geographical scope of the standard where single concerned interests shall not dominate nor be dominated in the process.</p> <p>5.8 The decision of the working group to recommend the final draft for formal approval shall be taken on the basis of a consensus. In order to reach a consensus the working group/committee can utilise the following alternative processes to establish whether there is opposition:</p> <p>(a) a face-to face meeting where there is a verbal yes/no vote, show of hands for a yes/no vote; a statement on consensus from the Chair where there are no dissenting voices or hands (votes); a formal balloting process, etc., (b) a telephone conference meeting where there is a verbal yes/no vote, (c) an e-mail meeting where a request for agreement or objection is provided to members with the members providing a written response (a proxy for a vote), or (d) Combinations thereof.</p> <p>5.9 In the case of a negative vote which represents sustained opposition to any important part of the concerned interests surrounding a substantive issue, the issue shall be resolved using the following mechanism(s):</p> <p>(a) discussion and negotiation on the disputed issue within the working group/committee in order to find a compromise, (b) direct negotiation between the stakeholder(s) submitting the objection and stakeholders with different views on the disputed issue in order to find a compromise, (c) Dispute resolution process.</p> <p>PEFC-GD-1003:2009 PEFC Council technical documents development procedures – requirements (see also PEFC Statutes below):</p> <p>Introduction The PEFC Council is committed to work with a broad range of stakeholders and to provide them with open and transparent opportunity for participation, and prepares its documentation in consensus process.</p> <p>5.4 Working Group stage 5.4.1 Consideration of comments The Working Group stage shall be the principal stage at which comments from PEFC members and interested stakeholders are taken into consideration, with a view to achieving consensus on the technical content of the Working Group draft document(s). Comments and views submitted by any participation member of the Working Group shall be considered in an open and transparent way and their resolution and proposed changes to the working draft shall be recorded. The working drafts shall be available to all members of the Working Group as well as to other interested stakeholders and PEFC members upon request.</p> <p>5.4.2 Consensus building The decision of the Working Group to circulate the working draft as an Enquiry draft (see 5.5) or to recommend a Final draft for formal Approval (see 5.6) shall be taken on the basis of the consensus principle. It shall be the responsibility of the Chair of the Working Group, in consultation with the Secretary of the Working Group and, if necessary, the Project Leader, to judge whether there is sufficient support to move to the Enquiry stage or Approval stage, bearing in mind the definition of consensus given in ISO/IEC Guide 2:1996:</p>			

Criterion #	Criteria	Findings	Score 2015	L	S
		<p><i>"consensus: General agreement, characterized by the absence of sustained opposition to substantial issues by any important part of the concerned interests and by a process that involves seeking to take into account the views of all stakeholders concerned and to reconcile any conflicting arguments.</i></p> <p><i>Note:</i> <i>Consensus need not imply unanimity."</i></p> <p>In order to reach consensus the Working Group can utilise the following alternative processes to establish whether there is opposition to the Working draft or Final draft:</p> <ul style="list-style-type: none"> a) a face-to face or telephone conference meeting, or combinations of thereof, where there is a verbal yes/no vote; b) a face-to face meeting where there is a show of hands for a yes/no vote; c) a face-to face meeting where there is a "secret ballot" of members on a yes/no vote; d) a statement on consensus from the Chair at a face-to face meeting where there are no dissenting voices or hands (votes); e) an e-mail meeting where a request for agreement is provided to members and the members providing a written response (a proxy for a vote); or f) a formal balloting process where votes are collated for the collective consensus decision. <p>No single concerned interest shall be allowed to dominate the process.</p> <p>In any case of a negative vote which represents sustained opposition of any important part of the concerned interests to a substantive issue, the issue shall be resolved using the following mechanism:</p> <ul style="list-style-type: none"> a) discussion and negotiation on the disputed issue within the Working Group in order to find a compromise, b) direct negotiation between the stakeholder(s) submitting the objection and stakeholders with different view on the disputed issue in order to find a compromise, c) dispute resolution process. <p><i>Note:</i> The dispute resolution process shall be governed by GL 7/2007</p> <p>In order to define what issues are substantial, the Working Group shall agree in the beginning which issues and areas shall be considered as substantial in the consensus building.</p> <p>5.5 Enquiry stage</p> <p>5.5.1 PEFC members consultation</p> <p>The Enquiry draft shall be circulated to the PEFC members (PEFC National Governing Bodies, members of the Stakeholder Forum and extraordinary members) for a 4 week consultation period.</p> <p>Where both PEFC members and public consultation are required, the consultation period and methods defined for the public consultation (5.5.2) shall also apply to the members' consultation.</p> <p>Received comments and views shall be considered in an open and transparent way and these comments as well as changes resulting from the PEFC members' consultation shall be communicated in a timely manner to the PEFC members through E-mail communication, intranet or other appropriate means. All comments shall be submitted using the form in Annex 1.</p> <p>5.5.2 Public consultation</p> <p>The Enquiry draft shall be made available through the PEFC Council website and upon request by other appropriate means to interested stakeholders and the public for a 60 day public consultation. The invitation to the public consultation shall be made through its announcement on the PEFC Council website and E-mail distribution.</p> <p>The received comments and views received shall be considered in an open and transparent way and these comments as well as</p>			

Criterion #	Criteria	Findings	Score 2015	L	S
		<p>changes resulting from the public consultation or their summaries shall be made available in a timely manner through the PEFC Council website or upon request. All comments shall be submitted using the form in Annex 1.</p> <p>The public consultation may also be supported by seminars, public or stakeholder's presentations or conferences aimed at encouraging the submission of comments on the Enquiry draft.</p> <p>5.6 Approval stage</p> <p>5.6.1 Development report</p> <p>The Final draft shall be presented for the formal Approval stage together with a development report which provides the following evidence on the process compliance with this document's procedures:</p> <ul style="list-style-type: none"> a) timetable of the development process, b) information on the announcement of the start of the development process and invitation to stakeholders supported by a list of invited and participating interested stakeholders and/or PEFC members, c) information on public and/or PEFC members consultation(s) and summary of comments and views, and result of their consideration, d) evidence on the consensus, including a summary of presented oppositions and their resolution, e) a proposal for the transition period. <p>5.6.2 Formal approval by the Board of Directors</p> <p>The formal approval of the Final draft by the Board of Directors shall be governed by the PEFC Council Statutes. Where the Final draft has not received a sufficient number of votes to be formally approved, the Board of Directors shall decide to:</p> <ul style="list-style-type: none"> a) return the document to the Preparatory or Working Group stage or b) cancel the project. <p>Note:</p> <p>The documents within the PEFC technical documentation structure which are formally approved by the Board of Directors are indicated in PEFC GD 1001:2009. See also Table 3.</p> <p>5.6.3 Formal approval by the General Assembly</p> <p>The Final draft shall be submitted to the PEFC General Assembly based on the recommendation of the Board of Directors. The voting procedures of the PEFC General Assembly and the Board of Directors are governed by the PEFC Council Statutes. Where the Final draft has not received a sufficient number of votes of the Board of Directors to be recommended for the formal approval or has not received sufficient number of votes of the General Assembly to be formally approved, the Board of Directors or the General Assembly shall decide to:</p> <ul style="list-style-type: none"> c) return the document to the Preparatory or Working Group stage or d) Cancel the project. Note: <p>The documents within the PEFC technical documentation structure which are formally approved by the General Assembly are indicated in PEFC GD 1001:2009. See also Table 3.</p> <p>PEFC Council Statutes</p> <p>Article 5: General Assembly</p> <ul style="list-style-type: none"> 11. If the statutes do not foresee otherwise, decisions of the General Assembly are taken by a simple majority of the cast votes. 12. The General Assembly voting quorum is deemed to have been reached with one half of the total NGB votes. 			

Criterion #	Criteria	Findings	Score 2015	L	S
		<p>13. All NGB members have between 1 and 4 votes, according to the annual cutting categories: less than 10 million m³, between 10 and 30 million m³; between 30 and 100 million m³ and over 100 million m³ annual cutting according to the official UN ECE/FAO statistics.</p> <p>14. All International Stakeholder members have 1 vote, not exceeding collectively the equivalent of 50% of the number of votes of the national governing body members, i.e. a maximum of one third of the General Assembly votes.</p> <p>Article 6: Board</p> <p>2. The Board comprises the Chairman of the PEFC Council, the two Vice-Chairmen and 2-10 members who are elected by the General Assembly for an election period of three years. The constitution of the Board members should aim to reflect the major interested parties who support the PEFC, the geographical distribution of the members, the diversity of their annual cutting categories and an appropriate gender balance. Board decisions are taken by simple majority. In the case of equality of votes, the chairman has the determining vote. After having considered agenda items at a Board meeting, the Board may agree to use email ballots to arrive at a final decision, in a manner decided on by the Board.</p> <p>The TP finds that PEFC -ST-1001:2010, i.e. national scheme standard setting meets this requirement.</p> <p>The TP finds that PEFC-GD-1003:2009 describes the consensus procedure required to develop international PEFC standards. The voting of both the PEFC Board of Directors and the PEFC General Assembly (described in the PEFC Statutes) is by a simple majority. However, because:</p> <ul style="list-style-type: none"> - criterion 1.3.2 is met with regard to balanced representation and input and - PEFC GD 1003:2009 4.1. states that “The PEFC Council General Assembly shall be responsible for the formal approval of the PEFC Council international standards.”, and - This formal approval process cannot result in any modifications to a final standard, based on the usage of the term “approval”, which is defined as “to officially accept (an idea, action, plan, etc.)” <p>The TP finds this criterion is fully met.</p> <p>Score: 2</p>			

2. Certification

Criterion #	Criteria	Findings	Score 2015	L	S
2.1	Certification must be undertaken by a body whose organisation, systems and procedures conform to applicable ISO guidance, or publicly available equivalent.	<p>Fully addressed PEFC Council Technical Document Annex 6. Certification and Accreditation procedures</p> <p>3.1 1) The certification body carrying out forest management certification or chain of custody certification against a scheme specific chain of custody standard, shall fulfil requirements defined in: a) ISO 17021:2006 if the certification is carried out as management system certification, b) ISO/IEC Guide 65:1996 (EN 45 011:1998) if the certification is carried out as product certification (the term "product" is used in its widest sense and includes also processes and services)</p> <p>PEFC ST 1004:2013 PEFC Requirements for Certification Bodies operating Forest Management Certification. 14 March 2012. (Enquiry draft) refers only to ISO 17021:2011 and not ISO/IEC Guide 65:1996 (EN 45 011:1998)</p> <p>The TP notes that PEFC currently requires implementation of either ISO/IEC Guide 65:1996 (EN 45 011:1998) or ISO 17021:2006.</p> <p>There is an inconsistency in permitting accreditation against either system (one relating to product certification and the other to management system certification). The draft standard PEFC ST 1004:2013 will address this inconsistency.</p> <p>The TP finds this criterion fully met.</p> <p>Score: 2</p>	2		✓
2.2	Certification is undertaken by a body which is accredited to evaluate against forest management standards.	<p>Fully addressed PEFC Council Technical Document Annex 6. Certification and Accreditation procedures.</p> <p>5. ACCREDITATION Certification bodies carrying out forest management or chain of custody certification, shall be accredited by a national accreditation body so as to ensure the credibility of the certification work and to facilitate mutual recognition. An accredited certificate shall bear an accreditation symbol of the relevant accreditation body.</p> <p>The TP finds this criterion fully met.</p> <p>Score: 2</p>	2		✓
2.3	The requirements for certification audits must include assessment of systems and documentation together with	<p>Fully addressed PEFC Council Technical Document Annex 6. Certification and Accreditation procedures</p> <p>Certification audits undertaken in compliance with ISO/IEC Guide 65:1996 (EN 45 011:1998) are required to meet the requirement of section 10 of this standard, namely:</p> <p>10 Evaluation</p>	2		✓

Criterion #	Criteria	Findings	Score 2015	L	S
	verification of outcomes in the forest adequate to ensure that both system and performance requirements in the standard are being met.	<p>The certification body shall evaluate the products of the applicant against the standards covered by the scope defined in its application against all certification criteria specified in the rules of the scheme.</p> <p>Certification audits undertaken in compliance with ISO 17021:2006 are required: 9.2.3.2 The purpose of the stage 2 audit is to evaluate the implementation, including effectiveness, of the client's management system. The stage 2 audit shall take place at the site(s) of the client. It shall include at least the following: b) performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document);</p> <p>The TP notes that the forthcoming PEFC ST 1004:2013 requires compliance with ISO/IEC 17021:2011 for forest management. Additionally PEFC ST 2002:2012 and PEFC ST 2003:2012, Second edition require compliance with ISO/IEC 17065:2012 for chain of custody.</p> <p>The TP finds this criterion fully met.</p> <p>Score: 2</p>			
2.4	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>Fully addressed</p> <p>This criterion was partially addressed in 2010 (see text below). The PEFC Technical Document Annex 6 was the relevant document and PEFC acknowledged CPET's findings stating that a revision of the document was due and that the issues found by CPET would be addressed. In 2014 Annex 6 is still the current document. However a draft standard now exists. Both are considered here, the analysis of Annex 6 is copied from the 2010 evaluation:</p> <p>PEFC Council Technical Document Annex 6 (from 2010) : Partially addressed Section 4 states that "The audit evidence to determine the conformity with the forest management standard shall include relevant information from external parties (e.g. government agencies, community groups, conservations organisations etc) as appropriate." This does not specifically require that stakeholder consultation must be designed to ensure the identification of all relevant issues. It is noted that the wording of PEFC Council Technical Document Annex 6 section 4 requires lenient interpretation to justify a score of 1 rather than 0. It is recommended that the PEFC strengthen the wording so that compliance with the criterion, in particular "must include sufficient consultation ... to ensure that all relevant issues are identified..." is explicit. PEFC have commented as follows: "PEFC acknowledges CPET's comments. The requirements of Annex 6 are scheduled to be revised as part of PEFC's Standards Revision process. Revision of Annex 6 is scheduled to start in 2010/2011 and aims at specifying this requirement further to ensure that stakeholder consultation must be designed to ensure the identification of all relevant issues."</p>	2		✓

Criterion #	Criteria	Findings	Score 2015	L	S
		<p>PEFC ST 1004:2013 PEFC Requirements for Certification Bodies operating Forest Management Certification. 14 March 2012. (Enquiry draft) Contains no requirements that meet this CPET criterion.</p> <p>The TP took note of interpretation by the PEFC Board of Directors, in its meeting on 17 November 2014 in Paris, France:</p> <p>“The requirement “the audit evidence to determine the conformity with the forest management standard shall include relevant information from external parties (e.g. government agencies, community groups, conservations organisations etc.) as appropriate” (PEFC TD Annex 6, section 4) shall be understood as “the audit must, amongst other relevant information, include sufficient consultation with external stakeholders to ensure that all relevant issues are identified relating to compliance with the requirements of the standard”. PEFC have commented</p> <p>“The interpretation does not establish a new requirement but it provides an elaboration of an existing normative requirement to ensure that the spirit of the requirement is met. To establish (or revise) normative documents/requirements, PEFC must follow PEFC GD 1003:2009.”</p> <p>PEFC has confirmed that this decision was communicated to the standard users and CBs. This was achieved through the use of a dedicated workspace on the PEFC extranet for CBs that is utilized for communication with/training of auditors. This decision was also incorporated into the interpretation database and ongoing training.</p> <p>The TP finds this criterion fully addressed.</p> <p>Score: 2</p>			
2.5	A summary of the results of the certification audit (excluding confidential information) must be publicly available to interested parties.	<p>Partially addressed</p> <p>Guidance <u>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.</u></p> <p>This criterion was partially addressed also in 2010 (see text below). However a draft standard now exists. Both are considered here, the analysis of Annex 6 is copied from the 2010 evaluation:</p> <p>“Partially addressed PEFC Council Technical Document Annex 6 section 4 states that “A summary of the certification report, including a summary of findings on the auditee’s conformity with the forest management standard, written by the certification body, shall be made available to the public by the auditee or in accordance with any applicable requirements defined by the respective forest certification scheme.”</p> <p>Annex 6 does not require that the public summary must be available on a relevant website. Annex 6 does not require that the summary shall be made available to any interested party on request within a defined</p>	1		✓

Criterion #	Criteria	Findings	Score 2015	L	S
		<p>timescale. PEFC has commented as follows: "PEFC acknowledges CPET"s comments, though it notes that the specification for publication on a website is part of the guidance, not the criterion. The requirements of Annex 6 are scheduled to be revised as part of PEFC's Standards Revision process. Revision of Annex 6 is scheduled to start in 2010/2011 and aims at specifying this requirement further. "</p> <p>PEFC ST 1004:2013 PEFC Requirements for Certification Bodies operating Forest Management Certification. 14 March 2012. (Enquiry draft) 8.1 Publicly accessible information. The certification body shall make a summary of the audit report which shall be made publicly available by the certificate holder. Confidential data can be excluded.</p> <p>TP notes the guidance for the Cat A criteria requires the summaries are available on a website. No evidence of this has been provided. <u>The TP finds</u> this criterion partially addressed.</p> <p>Score: 1</p>			
2.6	There is an accessible and functioning mechanism for dealing with complaints and disputes which is open to any interested party.	<p>Fully addressed</p> <p>PEFC Council procedures for the investigation and resolution of complaints and Appeals 1. OBJECTIVE The objective of this guideline is to describe the responsibilities and actions of the PEFC Council and the PEFC National Governing Bodies in relation to the investigation and resolution of complaints and appeals. The PEFC Council regards all complaints and appeals as opportunities to improve its services and implement corrective and preventive measures. The PEFC Council is committed to monitoring and achieving continual improvement in all areas of its activities and those of its members.</p> <p>ISO/IEC Guide 65:1996 (EN 45 011:1998) and ISO 17021:2006 both require the certification body to have complaints mechanisms.</p> <p><u>The TP finds</u> this criterion fully met.</p> <p>Score: 2</p>	2		✓
2.7	The certification scheme must include measures which limit and clearly describe and justify the circumstances in	<p>Fully addressed</p> <p>PEFC-ST-1003:2010 Sustainable Forest Management requirements 5.1.11 Conversion of forests to other types of land use, including conversion of primary forests to forest plantations, shall not occur unless in justified circumstances where the conversion: a) is in compliance with national and regional policy and legislation relevant for land use and forest management and</p>	2		✓

Criterion #	Criteria	Findings	Score 2015	L	S
	<p>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>	<p>is a result of national or regional land-use planning governed by a governmental or other official authority including consultation with materially and directly interested persons and organisations; and</p> <p>b) entails a small proportion of forest type; and</p> <p>c) does not have negative impacts on threatened (including vulnerable, rare or endangered) forest ecosystems, culturally and socially significant areas, important habitats of threatened species or other protected areas; and</p> <p>d) makes a contribution to long-term conservation, economic, and social benefits.</p> <p>Interpretation for forest plantations: The requirement for the “conversion of forests to other types of land use, including conversion of primary forests to forest plantations” means that forest plantations established by a forest conversion after 31 December 2010 in other than “justified circumstances” do not meet the requirement and are not eligible for certification.</p> <p>The TP also takes note of PEFC ST 1003:2010 (Enquiry draft) Appendix 2: Guidelines for interpretation for some natural forests, including tropical forests, Criterion 5.1.11: “<i>This requirement is understood to mean that disturbed natural forests with sufficient integrity to still provide values, services and functions characteristic to an undisturbed primary forest, should be treated in the same way.</i>”</p> <p>The TP finds this criterion fully met.</p> <p>Score: 2</p>			

3. Accreditation

Criterion #	Criteria	Findings	Score 2014	L	S
3.1	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.	<p>Fully addressed</p> <p>PEFC Council Technical Document Annex 6 Section 5 states that "Accreditation bodies shall be a member of the International Accreditation Forum (IAF) or a member of IAF's special recognition regional groups and implement procedures described in ISO/IEC 17011:2004 and other documents recognised by the above organisations."</p> <p><u>The TP finds</u> this criterion fully met.</p> <p>Score: 2</p>	2		✓

4. Chain of Custody

Criterion #	Criteria	Findings	Score 2015	L	S
4.1	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.	<p>Fully addressed</p> <p>PEFC ST 2003:2012, Second edition requires compliance with ISO/IEC 17065:2012. The accreditation bodies are required to operate in conformance with ISO 17011.</p> <p>PEFC Council Technical Document Annex 6 Section 5 states that "Accreditation bodies shall be a member of the International Accreditation Forum (IAF) or a member of IAF's special recognition regional groups and implement procedures described in ISO/IEC 17011:2004 and other documents recognised by the above organisations."</p> <p><u>The TP finds</u> this criterion fully met.</p> <p>Score: 2</p>	2		✓
4.2	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.	<p>Fully addressed</p> <p>PEFC ST 2002:2013. Chain of Custody of Forest Based Products – Requirements The scope states "This standard covers the requirements to implement a chain of custody for forest based products. These chain of custody requirements describe a process of how to get from the information about the origin associated with the procured raw material to the information about the origin which is attached to the organisation's products. This standard specifies two optional approaches for chain of custody, namely the physical separation method and the percentage based method."</p> <p><u>The TP finds</u> this criterion fully met.</p> <p>Score: 2</p>	2		✓
4.3	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>Fully addressed</p> <p>PEFC ST 2002:2013. Chain of Custody of Forest Based Products – Requirements</p> <p>Controversial sources is defined as "Forest activities which are: (a) not complying with local, national or international legislation, applying to forest related activities, in particular in the following areas:"</p> <p>PEFC requires a due diligence system specified in 5 Minimum Due Diligence System (DDS) requirements. Additionally, 5.6.2 requires that "Timber known or reasonably suspected as coming from illegal sources (controversial sources 3.9(a) or (b)) shall not be processed and, shall not be traded and/or shall not be placed on the market unless appropriate documented evidence has been provided and verified which allows the timber supplied to be classified as presenting "negligible risk".</p>	2		✓

Criterion #	Criteria	Findings	Score 2015	L	S
		<p>The TP finds this criterion fully met.</p> <p>Score: 2</p>			
4.4	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>Partially addressed</p> <p>PEFC ST 2002:2013. Chain of Custody of Forest Based Products – Requirements The TP has chosen to interpret this criterion building on the 2010 assessment concerning the use of logos and not claims.</p> <p>According to the PEFC logo usage rules (PEFC ST 2001:2008, Second Edition), PEFC certified logo requires a minimum 70% of raw materials from PEFC certified sources. Thus uncertified material may not exceed 30%.</p> <p>PEFC certified and recycled logo requires the minimum content of PEFC certified and recycled material to be 70%.</p> <p>Certified timber that has been tracked in the CoC by a volume credit/mass balance system does not meet this criterion, as it does not show the percentage of the certified material in the product line.</p> <p>Note: even % based claims like Mixed 70% do not guarantee that the specific product e.g. a sawn timber package contains 70% sustainable timber. What the claim indicates is that the product comes from a product line which contains a minimum of 70% sustainable timber. Some batches in the line may contain 100% others may contain 0%.</p> <p>TP cannot change the criterion as it stands and consequently the score remains the same.</p> <p>The TP finds this criterion partially met.</p> <p>Score: 1</p>	1		✓
4.5	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>Fully addressed</p> <p>PEFC ST 2001:2008 (V2) PEFC Logo Usage Rules – Requirements:</p> <p>7.2.3 Specific requirements for PEFC labels 7.2.3.1 “PEFC certified” label The product includes minimum of 70 % of “PEFC certified” material from forest which has been certified against a PEFC endorsed forest certification scheme as sustainably managed or from recycled material. The content of recycled material is lower than 85 %.</p> <p>The content of “PEFC certified” material is verified through the PEFC recognised chain of custody standard. Both forest management and chain of custody have been certified by third party certification body accredited by an IAF (International Accreditation Forum) member accreditation body. Where the product does not include recycled material, the label claim shall be used without the word “recycled”.</p> <p>7.2.3.2 “PEFC recycled” label</p>	2		✓

Criterion #	Criteria	Findings	Score 2015	L	S
		<p>The product includes a minimum of 70 % of “PEFC certified” material from recycled sources. The content of recycled material is calculated based on ISO / IEC 14021.</p> <p>PEFC has defined mechanisms to ensure that action is taken to prevent any false or misleading claims about the certified nature of products.</p> <p>The use of the PEFC label on products is restricted to companies that meet PEFC Chain of Custody and Label Usage requirements, and only permitted after signing a separate legally binding label use contract with PEFC. Upon signing the contract a unique license number is provided to the company, making any use of the label in the marketplace traceable.</p> <p>In addition, training in the use of the label is provided through both a guide and a logo usage toolkit.</p> <p>The correct use of the PEFC label is then verified through third-party auditing.</p> <p>False or misleading claims about the certified nature of products or any other violation of the label use contract may result in loss of label usage rights.</p> <p>PEFC also undertakes spot checks of PEFC label usage in the marketplace to verify correct application and prevent false or misleading claims.</p> <p>Use of the label without label usage contract, or by uncertified companies will result, and has resulted, in legal action by PEFC.</p> <p>The TP finds that there is sufficient evidence of a clearly defined mechanism to ensure that action is taken to prevent any false or misleading claims.</p> <p>.</p> <p>The TP finds this criterion fully met.</p> <p>Score: 2</p>			
4.6	<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 	<p>Fully addressed</p> <p>PEFC ST 2001:2008 (V2) PEFC Logo Usage Rules – Requirements:</p> <p>3 Terms and Definitions</p> <p>3.24 Recycled material</p> <p>Forest based material that is</p> <p>(a) diverted from the waste stream during a manufacturing process. Excluded is reutilisation of materials such as rework, regrind or scrap generated in a process and capable of being reclaimed within the same process that generated it. Excluded are by- products such as sawmilling by-products (sawdust, chips, bark, etc.) or forestry residues (bark, chips from branches, roots, etc.) as they do not represent “waste stream”.</p> <p>(b) generated by households or by commercial, industrial and institutional facilities in their role as end-users of the</p>	2		✓

Criterion #	Criteria	Findings	Score 2015	L	S
	<p>wood and wood fibre or industrial by-products but excluding sawmill co-products unless certified</p> <ul style="list-style-type: none"> • Post-consumer recycled wood and wood fibre • Drift wood. 	<p>product which can no longer be used for its intended purpose. This includes returns of material from the distribution chain.</p> <p>4 Identification of the material category of material/products</p> <p>4.1 Identification at delivery (incoming) level</p> <p>4.1.1 For each delivery of material entering the chain of custody product group the organisation shall obtain from the supplier the information that is necessary to identify and verify the material category of the procured material.</p> <p>8.2.2 Responsibilities and authorities for chain of custody</p> <p>The organisation shall identify the personnel performing activities for the implementation and maintenance of chain of custody and shall establish personnel responsibilities and authorities relating to chain of custody for at least the following elements:</p> <p>(a) raw material procurement and identification of the origin,</p> <p>The TP notes that there is no mention of drift wood, but did not consider this to be a material consideration.</p> <p>The TP finds this criterion fully met.</p> <p>Score: 2</p>			

5. National Level Application

Criterion #	Criteria	Findings	Score 2015	L	S
5.1	<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>Fully addressed</p> <p>Background commentary: Under the PEFC programme, requirements applicable to national schemes include all of the main elements; forest standards and standard-setting, certification, accreditation and chain of custody.</p> <p>a) Forest standards (section 1) PEFC-ST-1001:2010 Standard setting – requirements 6.1 The standards/normative documents shall be reviewed and revised at intervals that do not exceed a five-year period. The procedures for the revision of the standards/normative documents shall follow those set out in chapter 5. 6.2 The revision shall define the application date and transition date of the revised standards/normative documents. 6.3 The application date shall not exceed a period of one year from the publication of the standard. This is needed for the endorsement of the revised standards/normative documents, introducing the changes, information dissemination and training. 6.4 The transition date shall not exceed a period of one year except in justified exceptional circumstances where the implementation of the revised standards/normative documents requires a longer period.</p> <p>b) Certification (section 2) Annex 6 Certification and Accreditation Procedures 4. CERTIFICATION PROCEDURES The certification body shall have established internal procedures for forest management certification against a national forest certification scheme and for chain of custody certification against Annex 4 (<i>Chain of Custody of Forest Based Products – Requirements</i>) or against a scheme specific chain of custody standard.</p> <p>The applied certification procedures for forest management certification or chain of custody certification against a scheme specific chain of custody standard shall fulfil or be compatible with the requirements defined in any of the following documents: a) ISO 17021 if the certification is carried out as management system certification, b) ISO Guide 65 (EN45011) if the certification is carried out as product certification (the term “product” is used in its widest sense and includes also processes and services)(2)...The applied auditing procedures shall fulfill or be compatible with the requirements of ISO 19011(3).</p> <p>In addition to above requirements the certification body: a) Informs the relevant PEFC National Governing Bodies about all issued forest management and chain of custody certificates and changes concerning validity and scope of these certificates...</p> <p>The maximum period for surveillance audits is one year and maximum period for re- assessment audit is five years for both forest management and chain of custody certifications. The audit evidence to determine the conformity with the forest management standard shall include relevant information from external parties (e.g. government agencies, community groups, conservations organizations, etc.) as appropriate.</p>	2		✓

Criterion #	Criteria	Findings	Score 2015	L	S
		<p>A summary of the certification report, including a summary of findings on the auditee's conformity with the forest management standard, written by the certification body, shall be made available to the public by the auditee or in accordance with any applicable requirements defined by the respective forest certification scheme.</p> <p>Additional specific requirements for certification procedures over and above the ones listed above might be defined by the respective forest certification scheme (i.e. forest management certification and chain of custody certification).</p> <p>Compliance of the certification body's procedures with the above requirements shall be verified by accreditation according to chapter 5.</p> <p>c) Accreditation (section 3) Annex 6 Certification and Accreditation Procedures 5. ACCREDITATION Certification bodies carrying out forest management or chain of custody certification, shall be accredited by a national accreditation body so as to ensure the credibility of the certification work and to facilitate mutual recognition. An accredited certificate shall bear an accreditation symbol of the relevant accreditation body.</p> <p>Accreditation bodies shall be a member of the International Accreditation Forum (IAF) or a member of IAF's special recognition regional groups and implement procedures described in ISO/IEC 17011:2004 and other documents recognised by the above organisations...</p> <p>The certification body carrying out forest management certification or chain of custody certification against a scheme specific chain of custody standard shall be accredited based on 17021(1) or ISO Guide 65(2) and the relevant forest management or chain of custody standard(s) / scheme shall be covered by the accreditation scope.</p> <p>The certification body carrying out chain of custody certification against Annex 4 (Chain of Custody of Forest Based Products – Requirements) shall be accredited based on ISO Guide 65 (EN 45 011)(2).</p> <p>Non-conformance with the accreditation requirements, results in the certification bodies not being regarded as having met PEFC Council requirements and their certifications not be considered as certified for PEFC purposes...</p> <p>d) Chain of custody (section 4) PEFC-ST-2003:2012 Requirements for certification bodies operating certification against the PEFC International chain of custody standard 10.1 General requirements 10.1.1 The scope of the chain of custody audit is:</p> <ul style="list-style-type: none"> a) to determine the conformity of the client organisation's chain of custody process with the requirements of the chain of custody standard and the relevant Appendix with the definition of the raw material origin and its effective implementation; b) to determine the conformity of the client organisation's management system with the requirements of the chain of custody standard and its effective implementation; c) to determine the conformity of the client organisation's chain of custody process with requirements for the avoidance 			

Criterion #	Criteria	Findings	Score 2015	L	S
		<p>of raw material from controversial sources where applicable (Appendix 2 to the chain of custody standard) and its effective implementation;</p> <p>d) to determine the conformity of the client organisation with the PEFC logo usage rules and its effective implementation; and</p> <p>Note: The usage of the PEFC Logo and PEFC claims is to be evaluated at the time of the surveillance and re-certification audits.</p> <p>e) to identify areas for potential improvement of the client organisation's chain of custody.</p> <p>10.1.2 The certification body shall conduct the initial audit of a chain of custody following the relevant guidance provided in ISO 19011, clause 6.5. The initial audit and re-certification audits shall be conducted on-site.</p> <p>12.1 Nonconformities</p> <p>12.1.1 Audit findings shall be classified as major nonconformities, minor nonconformities and observations.</p> <p>12.1.2 Major and minor nonconformities shall be corrected and the corrective action(s) verified by the certification body before granting a certification and recertification.</p> <p>12.1.3 Major and minor nonconformities identified in the surveillance audits shall result in corrective action(s) by the client organisation resolving the nonconformities. The corrective action plan, including a timeframe shall be reviewed and accepted by the certification body.</p> <p>The time period for completion of the corrective action(s) for major non-conformities identified in surveillance audits and their verification by the certification body shall follow the rules of the certification body but not exceed 3 months. Corrective action(s) for minor nonconformities shall be verified no later than during the next audit.</p> <p>12.1.4 Corrective action(s) for all nonconformities identified in initial, surveillance and re- certification audits shall be verified by the certification body by site visit or other appropriate forms of verification.</p> <p>13.1 Audit requirements</p> <p>13.1.1 The surveillance audits shall be carried out at least annually.</p> <p>13.1.2 The surveillance shall be carried out at the client organisation's site. The annual on-site surveillance audit at the client organisation's premises can be replaced by other audit techniques, such as documentation and records review and the period between on-site surveillance audits shall not exceed two (2) years where:</p> <p>a) the certification body can demonstrate that audit techniques used deliver sufficient confidence in the certified entity's compliance with the certification criteria,</p> <p>b) the client organisation is a micro enterprise,</p> <p>c) no nonconformity was raised during the previous initial, surveillance or re-certification audit,</p> <p>d) the client organisation procurement does not include high risk supplies, and</p> <p>e) the client organisation provides the certification body with all the individual records required to be kept by the chain of custody standard or a list of all the records which allow the certification body to establish an independent sampling.</p> <p>13.1.3 The on-site surveillance audit can also be avoided and replaced by other audit technique where the submitted records provide sufficient evidence that the client organisation has not procured and has not made claims on certified raw material since the last certification, surveillance or re-certification audit. The period between the on-site surveillance audits shall however not exceed two (2) years.</p>			

Criterion #	Criteria	Findings	Score 2015	L	S
		<p>All aspects: a) – d) PEFC-GD-1007:2012 Endorsement and Mutual Recognition of national systems and their revision 5 PEFC Council standard and system requirements for regional, national and sub-national systems The systems and standards applying for PEFC Council endorsement and mutual recognition shall demonstrate conformance with the following PEFC requirements:</p> <ul style="list-style-type: none"> • the content of the forest management certification standard(s) (PEFC ST 1003:2010, Sustainable Forest Management – Requirements) • standard setting procedures and process (PEFC ST 1001:2010, Standard Setting – Requirements) • the group certification model (PEFC ST 1002:2010, Group Forest Management Certification – Requirements) • the content of the chain of custody standard(s) (PEFC ST 2002:2010, Chain of Custody of Forest Based Products – Requirements) <p>procedures for notification of certification bodies (PEFC GD 1004:2009, Administration of PEFC scheme, chapter 5)</p> <ul style="list-style-type: none"> • procedures for logo licensing (PEFC GD 1004:2009, Administration of PEFC scheme, chapter 6) • procedures for complaints and dispute resolution (PEFC GD 1004:2009, Administration of PEFC scheme, chapter 8) • procedures for certification and accreditation (TD Annex 6, Certification and Accreditation Procedures; after transition period PEFC ST 2003:2012, Second edition, Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard). <p>6 System development and review The application of the endorsement process is relevant when a newly developed system wants to act as a "PEFC System" and make PEFC claims or when existing systems are reviewed. Revisions in a system documentation, as a consequence of a review, lead to a specific assessment procedure.</p> <p>6.2 System reviews and revisions Reviews may arise from one of the following:</p> <ol style="list-style-type: none"> 1. Expiry of the five year endorsement period 2. Changes to the PEFC Council requirements 3. Changes in the system specific framework <p>Each of these reviews can result in changes to existing system documentation.</p> <p>6.2.1 Periodic Review: expiry of five year endorsement period The periodic review of the forest and chain of custody standards shall take place every 5 years. Requirements for this review are described in PEFC ST 1001:2010 Standard Setting Procedures. The reviewed standards shall be submitted for a full re-assessment as outlined in chapter 7.2.1.1.</p> <p>6.2.2 Extraordinary review: changes in PEFC Council's requirements When the PEFC Council revises the general PEFC Council requirements for standard setting and implementation, the PEFC Council will inform the PEFC National Governing Bodies of the changes and of the transition arrangements for their implementation. Any revisions to standards or systems introduced by the PEFC Council shall be submitted by the PEFC National Governing Body, to the PEFC Council for assessment within the time limits specified. The PEFC Council Board of Directors will determine specific assessment procedures.</p> <p><i>Note: The assessment procedure determined by the PEFC Council Board of Directors can include elements of the full assessment</i></p>			

Criterion #	Criteria	Findings	Score 2015	L	S
		<p><i>process as well as any simplified Panel of Expert assessment.</i></p> <p>6.2.3 System-specific review</p> <p>From time to time, on a system specific level, the necessity to review the system against specific requirements can arise before the periodic review has to be carried out. The changes resulting from a review may be substantial or merely editorial. Unless a National Governing Body classifies the changes as major changes, which have to pass through the full assessment process, the changes can potentially be assessed in a simplified process.</p> <p>The PEFC Council Secretariat will decide on whether an amendment is major or minor using the procedures outlined in chapter 7.2.4 of this guide and the assessment will proceed accordingly.</p> <p>The TP notes that the systems for endorsement are in place but, at the time of writing, the TP was not in a position to assess how effectively the above requirements are executed in practice. However, PEFC provided evidence that shows that the re-endorsement process was being undertaken and within a reasonable timescale.</p> <p>PEFC has advised the TP that as part of the development of an “Integrity Program” PEFC is currently establishing a procedure for regular checks of audit reports (FM, CoC and accreditation). First assessments of audit reports are scheduled for the second half of 2015, with the procedure expected to be fully operational in 2016.</p> <p>The TP finds this criterion is fully met.</p> <p>Score: 2</p>			