



PEFC/18-1-1



PEFC 18-1- 1

**Annex 1**  
**ITA 1000**

*Description of PEFC Italy's Scheme –  
Certification of Sustainable Forest  
Management*

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## Contents

<b>INTRODUCTION .....</b>	<b>3</b>
<b>1.1 Aims and field of application of the SFM certification scheme.....</b>	<b>3</b>
<b>1.2 Normative References .....</b>	<b>3</b>
<b>1.3 Definitions and Abbreviations .....</b>	<b>4</b>
1.3.1 Definitions .....	4
1.3.2 Abbreviations .....	5
<b>CO: Corrective Action.....</b>	<b>5</b>
<b>2 DESCRIPTION OF PEFC ITALY .....</b>	<b>6</b>
<b>2.1 The certification schemes.....</b>	<b>6</b>
<b>2.2 The entities of PEFC-Italy certification system.....</b>	<b>6</b>
2.2.1 Applicants .....	7
2.2.2 PEFC-Italy.....	13
2.2.3 Certification (CB) and Accreditation (AB) Bodies.....	14
<b>3 SUSTAINABLE FOREST MANAGEMENT CERTIFICATION .....</b>	<b>15</b>
<b>3.1 Documents necessary for the SFM certification.....</b>	<b>15</b>
<b>3.2 Description of the SFM Documentation.....</b>	<b>15</b>
<b>4 Activities carried out by the applicant following certification 4.1 Use of the certificate.....</b>	<b>17</b>
<b>4.2 Usage of the PEFC Logo .....</b>	<b>17</b>
<b>4.3 Renunciation of Certification.....</b>	<b>17</b>
<b>5 RECOURSES, COMPLAINTS AND DISPUTES for SFM and CoC.....</b>	<b>18</b>
<b>5.1 Management of recourses against the CB .....</b>	<b>18</b>
<b>5.2 Complaints management .....</b>	<b>18</b>
<b>6.1 PEFC Italy as Standardising body .....</b>	<b>19</b>
<b>6.2 Standard-setting process.....</b>	<b>19</b>
<b>6.3 Revision of standards/normative documents .....</b>	<b>21</b>
<b>Appendix 1 .....</b>	<b>23</b>
<b>Appendix 2 .....</b>	<b>27</b>

## INTRODUCTION

This document describes the Italian PEFC (Programme for the Endorsement of Forest Certification schemes) Scheme for the certification of Sustainable Forest Management (SFM). ITA 1000, ITA 1001-1 and ITA 1001 – 2 are the national reference standards.

Together with ITA 1002, ITA 1003, ITA 1004 and ITA 1004-1, these documents serve as the official PEFC Italy reference for certification.

ITA 1002 is the translation into Italian of PEFC ST 2002 regarding the certification of the Chain of Custody (CoC). ITA 1003 describes the operative methods of certification, the methods of accreditation of the Certification Bodies by the National Accreditation organisation and the requirements for the auditors of SFM, SPM and CoC. ITA 1004, together with ITA 1004 -1, is the document used by PEFC certification applicants for the Sustainable Plantation Management at a national level.

In the Italian PEFC certification scheme for sustainable forest management, the following general principles are valid:

- Genetically modified organisms (GMO) must not be introduced, at least until science demonstrates with certainty that they do not impact on natural ecosystems (ITA 1001 -1, guideline 2.3);
- Any use of biotechnologies must be based on a precautionary approach, after adequate scientific experimentation with appropriate field trials (ITA 1001 -1, guideline 2.3);
- The levels of forest use must be sustainable for periods of at least 10 years (ITA 1001 -1, guideline 3.3);
- Harvesting levels of non-woody forest products must not exceed those which can be sustained over a long period (ITA 1001-1, guideline 3.3);
- Forest management operations must also take into consideration the aesthetic value of the forests (ITA 1001 -1, guidelines 3.1 and 3.4);
- Forest managers are encouraged to consider the wide spectrum of forest environmental services offered by the wood, and to consider the market for these services (ITA 1001-1, guidelines 3.1, 3.4, and 6.1; indicators 5.1b and 5.4);

PEFC Italy and associated entities which have been certified as being large enough, sustain forestry research with the aim of improving health, productivity and the management of forest resources.

Forest owners and managers are invited to calculate the net carbon absorption, and to also consider this information when they develop strategies of forest management. PEFC Italy will collaborate to improve the knowledge and the definition of standards for absorption of CO<sub>2</sub> by forest formations (including the activities such as the participation in major projects, the monitoring of forest carbon, and/or the certification of carbon credits).

### 1.1 Aims and field of application of the SFM certification scheme.

This document can be applied: to natural and semi-natural woods (forest sector). The certification of the SFM, which can be earned at an individual, group and territorial group level, is described in Section 3 of this document.

### 1.2 Normative References

- PEFC Council Technical Document and its Annexes and relevant document;
- ITA 1001-1 Criteria and Indicators for SFM certification on an individual and group scale;
- ITA 1001-2 Complementary Criteria and Indicators for SFM on a territorial scale;
- ITA 1002 “Chain of Custody Certification Scheme”;
- ITA 1003 “Plan for SFM, SPM and CoC Accreditation; minimum requirements”;
- UNI CEI EN 45020:1998 Drawing up of regulations and related activities – General Vocabulary;
- UNI EN ISO 19011:2002 Guidelines for quality and/or environmental management systems auditing;

- ACCREDIA Regulation for CB accreditation, Rev. 2 on 26 October 2005 – RG 01;
- ISO/IEC 17065, Conformity assessment — Requirements for bodies certifying products, processes and services

### 1.3 Definitions and Abbreviations

#### 1.3.1 Definitions

- *Accreditation*: A procedure by which an authoritative body gives formal recognition that a body or person is competent to carry out specific tasks (UNI CEI EN 45020: 1998);
- *Accreditation Body*: Body (in Italy, ACCREDIA) that manages and administers an accreditation system and issues the accreditation (UNI CEI EN 45020: 1998);
- *Applicant*: Entity that signs the certification application (owner or his legal agent);
- *Audit*: Systematic, independent and documented activity to discover evidence of the audit and consider it objectively in order to document the extent to which the audit's criteria have been fulfilled (UNI EN ISO 19011:2002);
- *Audit Team*: One or more auditors who perform an audit, supported, if requested, by technical experts (UNI EN ISO 19011:2002);
- *Auditor*: person who has the competence to carry out an inspection (UNI EN ISO 19011: 2002);
- *Chain of custody*: all the changes of the custody of products with a forest origin and derived products, during the phase of harvesting, transport, transformation and distribution from the forest to the final user;
- *Certified area*: The forest area covered by the **individual forest certificate** or by a **group forest certificate** representing the sum of forest areas of the **participants**.
- *Certification* : Procedure by which a third party gives a written assurance that a product, process or service conforms to specified requirements (UNI CEI EN 45020: 1998);
- *Conformity*: Fulfilment of a requirement (UNI EN ISO 9000:2000);
- *Criteria*: Aspects that are considered important and by which success or failure of stewardship can be judged.. The role of criteria is to characterise or define the essential elements or set of conditions or processes by which SFM may be assessed (Intergovernmental Seminar on Criteria and Indicators for SFM);
- Document confirming participation in group forest certification: A document issued to an individual **participant** that refers to the **group forest certificate** and that confirms the **participant** as being covered by the scope of the **group forest certification**.
- *Forest*: the definitions provided for by the regulations in force are considered;
- *Group entity*: An entity that represents the **participants**, with overall responsibility for ensuring the conformity of forest management in the **certified area** to the sustainable forest management standard and other applicable requirements of the forest certification scheme.
- *Group Forest Certificate (GFC)*: A document confirming that the **group organisation** complies with the requirements of the sustainable forest management standard and other applicable requirements of the forest certification scheme.);
- *Group Forest certification*: Certification of the **group organisation** under one **group forest certificate**;
- *Group Organization (GR)*: A group of **participants** represented by the **group entity** for the purposes of implementation of the sustainable forest management standard and its certification.
- *Individual Forest Certificate (IFC)*: A document confirming that the **individual** single owner or by a single manager (i.e. single forestry co-operative or in the case of several owners who totally and unequivocally delegate the management and administration of the forest resources) comply with the requirements of the sustainable forest management standard and other applicable requirements of the forest certification scheme.
- *Indicators*: Quantitative, qualitative or descriptive measures which when periodically evaluated and monitored show the direction of change (Intergovernmental Seminar on Criteria and Indicators for SFM);
- *Interested parties/stakeholders*: An individual or group of individuals with common interests concerned with or affected by the operation of an organisation (ISO 14004:1997);
- *Non-conformity*: The non-fulfilment of a requirement (UNI EN ISO 9000:2000);
- *Owner/Manager (IN)*: Any subject, public and/or private, that is proprietor or owner (including managers with appropriate delegation) in good faith;

- *Participant*: A forest owner/manager or other entity covered by the **individual forest certificate** or by the **group forest certificate**, who has the legal right to manage the forest in a clearly defined forest area, and the ability to implement the requirements of the sustainable forest management standard in that area.

*Note*: The term “ability to implement the requirements of the sustainable forest management standard” requires the entity to have a long-term legal right to manage the forest and would disqualify one-off contractors from becoming participants in group certification.

- *Principles*: Fundamental rules which serve as a basis for reasoning and action. Principles are explicit elements of a goal such as SFM (PEFCC-TD);
- *Re-examination*: Activity that is carried out in order to verify the suitability, conformity and the efficacy of the measures taken towards reaching the established goals (UNI EN ISO 9000:2000);
- *Region*: Homogeneous territory that is clearly geographically and administratively delineated;
- *Regulatory guidelines and forestry police guidelines*: a series of regulations which regulate the uses of the territories which are under geological and watershed restrictions;
- *Requirement*: Claim or expectation that can be expressed as an implicit obligation (UNI EN ISO 9000:2000);
- *Responsible for the Audit Team*: An auditor of the audit team who is generally appointed responsible for the team (UNI EN ISO 19011:2002);
- *Revocation*: Withdrawal of the certificate by the CB;
- *Renunciation*: Voluntary decision of the applicant (IN, GR, TA) or his members – in case of GR or TA – to cease participation in a certification scheme;
- *Secretariat*: Secretariat PEFC Italy;
- *Suspension*: Temporary interruption of the certification procedure or in the certificate’s validity;
- *Sustainable Development*: Meeting the needs of the present generations without compromising the ability of future generations to meet their own needs (ISO/TR 14061: 1998);
- *Sustainable Forest Management*: The stewardship and use of forests and forest land in a way and at a rate that maintains their biodiversity, productivity, regeneration capacity, vitality and their potential to fulfil now and in the future, relevant ecological, economic and social functions, at local, national and global levels and does not cause damage to other ecosystems. (PEFCC-TD);
- *Territorial Group Association (TA)*: An organisation recognised by PEFC Italy and created by forest owners and/or managers Only one TA can represent each region; the applicant shall represent forest owners/managers representing or managing more than 50% of the planned forest areas in the region;
- *Territorial Group Forest Certificate (TFC)*: A document confirming that the **Territorial group organisation** complies with the requirements of the sustainable forest management standard and other applicable requirements of the forest certification scheme. The certificate is granted to the **Territorial Group Association** relating to the entire **region**, which concerns the voluntary participation of the **forest owners** and/or **groups**; only those adhering to territorial group forest certification will be considered certified; only their forest area will be considered certified and only the forest material from this area will, therefore, be considered certified.
- *Territorial Group Forest certification*: Certification of the recognized **Territorial group association** under the **Territorial group forest certificate**;
- *Third Party*: Person or Body that is recognised as independent from the involved parties in regard to a specific subject (UNI CEI EN 45020: 1998);

### 1.3.2 Abbreviations

**A**: Audit

**AB**: Accreditation Body

**ACCREDIA**: Accreditation body for Certification bodies in Italy

**AT**: Audit Team.

**CA**: Corrective Action

**IN**: Forest Owner/Manager.

**CB**: Certification Body.

**CO**: Corrective Action.

**CoC**: Chain of Custody.

**GR**: Group Organization.

**NC**: Non-Conformity.

**PEFC**: Programme for the Endorsement of Forest Certification schemes.

**PEFCC:** Programme for the Endorsement of Forest Certification Council.

**PMPF:** Regulatory guidelines and Forestry Police

**TA:** Territorial Association.

**SFM:** Sustainable Forest Management.

**SPM:** Sustainable Plantation Management

**TD:** Technical Document.

## **2 DESCRIPTION OF PEFC ITALY**

### **2.1 The certification schemes**

The Italian PEFC system is divided into three schemes, which include the:

- a) SFM certification;
- b) certification of SPM; and
- c) certification of the CoC of products deriving from SFM or SPM (translation of PEFC ST 2002).

The certification of SFM and SMP concerns exclusively the forestry sector and plantation sector respectively (woody and non-woody) and its products until their change of custody (as considered in ITA 1002). This change of custody begins with the sale of the forest products (woody or non-woody) or of the transformed product. In case of uniquely manufacturing of raw materials coming from the certified forest, the owner or forest manager does not need CoC certification for declaring the products as certificated.

In case of purchasing and manufacturing of species and/or assortment different from the ones included in the certificated forest, the CoC Certification is mandatory if may occur the risk of mixing its own certificated material with "other material"

In these cases, the manufacturing processes must be appropriately described by procedures detailed in the SFM Manual.

In order to obtain the desired certification of SFM, SMP, and/or CoC – and at the correct level of application (individual, group, territorial group for the SFM; individual and group for the SPM; individual and group for the CoC) - the applicant must demonstrate to the best of his ability, the fulfilment of requirements indicated in the PEFC documents, and once certification is issued, their maintenance.

The obligation of compliance with the existing regional, national and EU regulations is a prerequisite for all the schemes. Any report of the violation of these regulations must be taken into consideration in the internal and external audits.

PEFC Italy controls and updates the certification requirements and standards in order to make suitable changes and/or integrations, when dictated by new knowledge, at least every five years.

Periodical controls are an essential element of the PEFC's continual improvement process.

The period of transition for the implementation of the changes to the scheme will last 12 months from the moment in which the scheme is approved by PEFC Council, for all the new certifications and for renewals. For certificates issued before the end of the transition period, the changes must be implemented by the following surveillance visit.

### **2.2 The entities of PEFC-Italy certification system**

The following entities are actively involved in the Italian PEFC certification system:

- a) The certification applicants;
- b) PEFC-Italy;
- c) The Certification Bodies (CB);
- d) The Accreditation Bodies (AB).

## 2.2.1 Applicants

The applicants are the candidates for certification.

The applicants are the following entities:

- 1) The legal agent of the Territorial Group Association (TA) or its delegate for the territorial certification
- 2) The legal agent of the Group (GR) or its delegate for the group certification
- 3) The Owner, the manager or their delegates for the individual certification (IN).

Legislative compliance is compulsory for the applicants who wish to commence a certification process in accordance with PEFC certification schemes.

All the participants involved in certification (individual or as members of a GR or a TA) are responsible for ensuring that the activities of third parties are in compliance with the SFM criteria and indicators.

### 2.2.1.1 Territorial Group Association (TA)

The TA is the only recognised organism by PEFC Italy for a specific territorial unit or geographical unit. The TA has to implement and respect ITA 1001-1, ITA 1001-2 (and the related integration and/or modification)

TA's must:

- a) Represent the group participants in the certification process, including in communications and relationships with the certification body, submission of an application for certification, and contractual relationship with the certification body;
- b) Provide a commitment on behalf of the whole group participants to comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme ;
- c) Pay the costs of the TA certification and its maintenance (through contributions fixed by the TA for the forest owners);
- d) Start the process of TA certification, charging its legal agent to endorse and present the certification application to PEFC-Italy;
- e) Produce a SFM handbook in which the requirements for implementation of the whole group participants with the sustainable forest management standard are elaborated (see point § 3.2); in the case of CoC certification, produce a CoC Disciplinary/Procedure Manual which contains all the necessary information to reconstruct the passage of woody products coming from forests whose sustainable management has been certified in accordance with the requirements of the PEFC Italian scheme for SFM;
- f) Arrange, update, and distribute the documentation, information and necessary forms to the participants in order to facilitate voluntary participation in the system;
- g) Inform, with a dedicated document (for example a Regulation), the members and the interested parties to the certification of their rights and duties and implement procedures which ensure the fulfilment of their own requirements; check that the owners must respect the points of the paragraph 2.2.1.1.1;
- h) Organize an annual internal monitoring programme on TA participants and collaborate in the audits run by the CB;
- i) Maintain the TA certificate issued by the CB;
- j) Present formal application to PEFC-Italy for the PEFC Logo usage;
- k) Gather and accept the individual assent applications of the participants, which are accompanied by an obligation to comply with the PEFC-Italy sustainable forest management standard and other applicable requirements of the PEFC-Italy forest certification scheme;
- l) Keep and update records (names, land register's location and concerned/certified areas) of TA and participants to the certification, and periodically send it to the CB; each new

participant to the TA certification will be included in the TA certification only after the CB's surveillance audit;

- m) Keep and send within a month after the audit, record of participants the certification to PEFC Italy, specifying names, location and concerned/certified areas and subsequently informing PEFC-Italy of exclusions and new entries. The commitment of participants may be based either on individual commitment or on a majority decision of a forest owner's organisation on behalf of the forest owners/managers that they represent in the region;
- n) Consign to participants a "document confirming participation in TA forest certification" certificate, in which are indicated the number and the expiry of the TA certificate's validity, vital information about the TA which obtained the certificate and about the CB that issued it;
- o) Inform the participant if Non-Conformities (NC) are discovered and collaborate on the Corrective Action (CA), organizing any supplementary audits and providing suitable aid;
- p) When participant is covered by additional group or individual forest management certifications, ensure that NC by the participant identified under one forest management certification scheme is addressed in any other forest management certification scheme that covers the participant.
- q) Expel participants who haven't remedied NC's in a timely fashion; consequently, annul the sub-licence of the Logo usage and inform PEFC Italy and the CB so that the PEFC Logo usage contract may be cancelled;
- r) Record and send to PEFC-Italy and the CB any claims which may be raised by the interested parties;
- s) Should an TA want to independently develop TA certification standards it must arrange an advisory forum, in which all the interested parties in forestry management can participate, and must follow all the operational procedures used to develop standards at the national level; as the standards must be more restrictive than national standards, they must be approved by PEFC-Italy and subsequently by PEFCC;
- t) Periodically organize meetings with the "interested parties" (at least one each validity time of the certificate). If it is possible with the certification bodies' participation.  
at least on an annual basis (for example government agencies, citizens associations, environmental organisations etc.), so as to provide detailed information for the PEFC certification and to gather other information regarding forest management, which the TA should use appropriately, if it is relevant.

The public consultation must consider environmental factors (e.g. forests with special conservation value), social factors (e.g. cultural values and impact on the community) and economic factors regarding the forest management in the area which is the object of certification. The public consultation must explicitly include stakeholders and local experts. The information gathered during public consultations (through any means, be it written, video or audio) must be conserved and used as documented evidence during the audit by the CB;

- u) Make public the summary of the audit activity (written by the certification body), which will include a summary of the verification of compliance with the standard of forest management.
- v) Make available to the public the summary of the management plan (or similar planning tools) through a document that contains the following list of criteria: amplitude of the planned area (in hectares) of forest and percentage of total certified properties;
  - description of the main forest stands on the certified forest (extracted from the forest management plan, if any, or from public documents/scientific research /industry publications);
  - proportion of the total certified forest ownership of productive area, protected area, any area of total protection;
  - Duration of the management plan or similar planning tools, who has written, who approved it;
  - principles that were the guidelines of the management plan (or policies of the district planning/regional planning adopted by planning instruments);

- harvesting rate (indicating the objectives of this rate, for the stability and/or increase of the forest growth;
  - any other useful information for understanding the adopted management plan (for examples: activities aimed to biodiversity promotion, protection of sensitive areas, protection of historical valuable areas, etc.; peculiar harvesting and hauling techniques adopted in specific forest area; forestry techniques adopted for fire prevention; description of reasoning behind high forest conversion; description of reasoning behind coppice forest management as local economy promotional activity; forest activities aimed to promote landscape values, tourisms, etc..).
- w) Shall provide appropriate mechanisms for resolving complaints and disputes relating to forest management between forest operators and local people.

#### 2.2.1.1.1 Duties of participants in TA certification

Participants must:

- a) Have a current and valid forestry management plan, adopted or under revision, in compliance with the provisions indicated in indicator 3.1 a of ITA 1001-1;
- b) Pay their association share to the TA, in order to economically sustain the TA's territorial group certification and maintenance costs;
- c) Indicate to the TA, in written form, the forest areas under management and which of these are candidates for certification; all the areas owned/managed within the "region" must go through the certification process, in their entirety, if these woods are amalgamated productive units;
- d) Conform to the requirements imposed by the PEFC-Italy certification scheme;
- e) Demonstrate that the forestry management activities are carried out both by employees and external suppliers who respect the PEFC-Italy certification scheme;
- f) Make available to the TA and CB all the documents and records necessary to conduct internal and CB audits;
- g) Report to the TA, when requested, the forest utilization and treatment for the certified areas;
- h) Confirm assent to the TA at least every five years;
- i) Communicate voluntary waiver of the certification and the related TA assent retraction at least two months in advance in order to allow to the TA agent to fulfil all obligations to the CB and PEFC-Italy
- j) Provide full co-operation and assistance in responding effectively to all requests from the TA or CB for relevant data, documentation or other information; allowing access to the forest and other facilities, whether in connection with formal audits or reviews or otherwise;
- k) Implement relevant corrective and preventive actions established by the TA.

#### 2.2.1.2 Group (GR)

The TA is the only recognised organism by PEFC Italy for a specific territorial unit or geographical unit. The TA has to implement and respect ITA 1001-1 (and the related integration and/or modification)

GR's must:

- a) Represent the group participants in the certification process, including in communications and relationships with the certification body, submission of an application for certification, and contractual relationship with the certification body;
- b) Provide a commitment on behalf of the whole group participants to comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme ;
- c) Pay the costs of the group certification and its maintenance, through collecting fees fixed by GR for the members;

- d) Start the process of group certification, charging its legal agent to endorse and present the certification application to PEFC Italy;
- e) Produce a SFM handbook in which the requirements for implementation of the whole group organisation with the sustainable forest management standard are elaborated (see point § 3.2); in the case of CoC certification, produce a CoC Disciplinary/Procedure Manual which contains all the necessary information to reconstruct the passage of woody products coming from forests whose sustainable management has been certified in accordance with the requirements of the PEFC Italian scheme for SFM;
- f) Arrange, update, and distribute the documentation, information and necessary forms to the owners of the group in order to facilitate a voluntary participation to the system;
- g) Inform the members and the key players in the certification of their rights and duties and initiate procedures which ensure the fulfilment of their own duties; check that the owners respect the points of the paragraph 2.2.1.2.1;
- h) Organize an annual internal monitoring programme on Group participants and collaborate in the audits run by the CB;
- i) Maintain the certificate issued by the CB;
- j) Present formal application to PEFC Italy for the PEFC Logo usage;
- k) Draw up, update and maintain the individual assent applications of the owners, which are accompanied by an obligation deed to the PEFC Italian scheme requirements;
- l) Update and maintain the register of members participating in the certification (names, location and concerned areas). Each new participant to the group certification will be included in the group certification only after the CB's surveillance audit;
- m) Record and send to PEFC Italy, within one month of the audit, the register of owners who assent to the certification, subsequently communicating to PEFC Italy any exclusions or new entries;
- n) Issue the owner a "group certification assent" certificate, which contains the number and expiry of the group certificate's validity, the vital information regarding the GR who obtained the certificate, and about the CB who issued it are indicated;
- o) If Non-Conformities (NC) are discovered, inform the owner and collaborate on the Corrective Action (CA), organizing any supplementary audits and providing suitable aid to the auditors;
- p) When participant is covered by additional group or individual forest management certifications, ensure that NC by the participant identified under one forest management certification scheme is addressed in any other forest management certification scheme that covers the participant.
- q) Enforce exclusion of participants who have not remedied the NC within the appropriate time limits and annul consequently the sub-licence of the Logo usage and inform PEFC Italy and the CB ;
- r) Record and send to PEFC Italy and the CB any claims which may be made by the interested parties;
- s) Periodically organize meetings with the "interested parties" (at least one each validity time of the certificate). If it is possible with the certification bodies' participation. The public consultation must consider the environmental factors (e.g. forests with special conservation value), social factors (e.g. cultural values and impact on the community) and economic factors regarding the forest management in the area which is the object of certification. The public consultation must explicitly include stakeholders and local experts. The information gathered during such public consultations (through any means, be it written, video or audio) must be conserved and used as documented evidence during the audit by the CB.
- t) Make public the summary of the audit activity (written by the certification body), which will include a summary of the verification of the compliance with the standard of forest management.
- u) Make available to the public the summary of the management plan (or similar planning tools) through a document that contains the following list of criteria:

- amplitude of the planned area (in hectares) of forest and percentage of total certified properties;
  - description of the main forest stands on the certified forest (extracted from the forest management plan, if any, or from public documents/scientific research /industry publications);
  - proportion of the total certified forest ownership of productive area, protected area, any area of total protection;
  - Duration of the management plan or similar planning tools, who has written, who approved it;
  - principles that were the guidelines of the management plan (or policies of the district planning/regional planning adopted by planning instruments);
  - harvesting rate (indicating the objectives of this rate, for the stability and/or increase of the forest growth);
  - any other useful information for understanding the adopted management plan (for examples: activities aimed to biodiversity promotion, protection of sensitive areas, protection of historical valuable areas, etc.; peculiar harvesting and hauling techniques adopted in specific forest area; forestry techniques adopted for fire prevention; description of reasoning behind high forest conversion; description of reasoning behind coppice forest management as local economy promotional activity; forest activities aimed to promote landscape values, tourisms, etc..)
- v) Shall provide appropriate mechanisms for resolving complaints and disputes relating to forest management between forest operators and local people.

#### 2.2.1.2.1 Duties of the group certification members

The participants of the group certification must:

- a) Have a current and valid forestry management plan, adopted or being revised, in compliance with the indicator 3.1.a of ITA 1001-1;
- b) Pay the association fee to the GR when required (in order to economically sustain the GR, and the costs of certification and maintenance);
- c) Indicate to the GR, in written form, the forest areas under management and which of these are candidates for certification; all the whole areas owned/managed within the “group” must be certified, if these forest are unified productive units;
- d) Conform to the requirements imposed by the Italian PEFC certification scheme;
- e) Demonstrate that the forestry management activities are carried out both by employees and external suppliers who respect the Italian PEFC certification scheme;
- f) Make available to the GR and CB all the documents and records necessary to conduct internal and CB audits;
- g) Report to the GR, when requested, the forest utilization and treatment for the certified areas;
- h) Confirm assent to the GR at least every five years;
- i) Communicate voluntary waiver of the certification and the related GR assent retraction at least two months in advance in order to allow to the GR agent to fulfil all obligations to the CB and PEFC Italy
- j) provide full co-operation and assistance in responding effectively to all requests from the group entity or certification body for relevant data, documentation or other information; allowing access to the forest and other facilities, whether in connection with formal audits or reviews or otherwise;
- k) implement relevant corrective and preventive actions established by the group entity.

#### 2.2.1.3 Single Owner/Manager (IN)

The single owner/manager must:

- a) Be the owner or manager of the forestry area seeking certification;

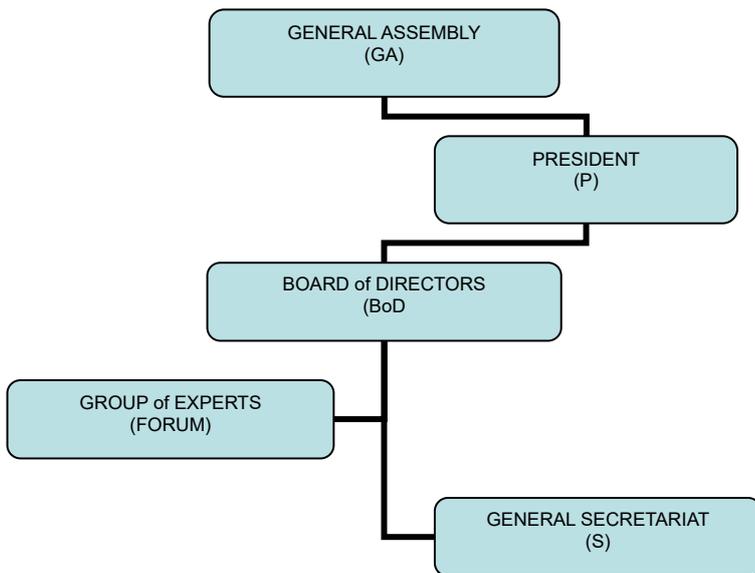
- b) Have a current and valid forest plan, adopted or under revision, in compliance with the indications of 3.1.a of ITA 1001-1;
- c) Start the process of individual certification, charging its legal agent to endorse and present the certification application to PEFC Italy;
- d) Pay the costs of the certification and its maintenance;
- e) Conform to the requirements imposed by the Italian PEFC certification scheme;
- f) Demonstrate that the forestry management activities are carried out both by employers and external suppliers who respect the Italian PEFC certification scheme;
- g) Ensure the whole of the woods owned by a owner (or managed by a manager) be certified, if these forests are unified productive units;
- h) For SFM certification, produce an SFM handbook in which the various elements demonstrating the SFM in the candidate areas are elaborated (see point § 3.2);
- i) Collaborate with audits run by the CB, providing full co-operation and assistance in responding effectively to all requests from certification body for relevant data, documentation or other information; allowing access to the forest and other facilities, whether in connection with formal audits or reviews or otherwise; implement relevant corrective and preventive actions established by CB;
- j) Maintain the certificate issued by the CB;
- k) Present formal application to PEFC Italy for the PEFC Logo usage;
- l) Update and maintain the register of certified areas (land register's location and concerned areas) and forward it to the CB;
- m) Record and send to PEFC Italy and the CB any claims which may be raised by the interested parties;
- n) Commit itself to the correct usage of the certificate and of PEFC Italy Logo;
- o) Periodically organize meetings with the "interested parties" (at least one each validity time of the certificate). If it is possible with the certification bodies' participation.
- p) The public consultation must consider the environmental components (for example forests of special conservation value), and the social and economic components (for example cultural values and the impact on the community) of the forest management in the area being certified. The public consultation must specifically include stakeholders and local experts. The information gathered during public consultation (through whatever means, be it written, video or audio) must be conserved and provided as evidence during the audits by the CB; and
- q) Make public the summary of the audit activity (written by the certification body) which includes a summary of the verification of compliance with the standard of forest management.
- r) Make available to the public the summary of the management plan (or similar planning tools) through a document that contains the following list of criteria:
  - amplitude of the planned area (in hectares) of forest and percentage of total certified properties;
  - description of the main forest stands on the certified forest (extracted from the forest management plan, if any, or from public documents/scientific research /industry publications);
  - proportion of the total certified forest ownership of productive area, protected area, any area of total protection;
  - duration of the management plan or similar planning tools, who has written, who approved it;
  - principles that were the guidelines of the management plan (or policies of the district planning/regional planning adopted by planning instruments);
  - harvesting rate (indicating the objectives of this rate, for the stability and/or increase of the forest growth);
  - any other useful information for understanding the adopted management plan (for examples: activities aimed to biodiversity promotion, protection of sensitive areas, protection of historical valuable areas, etc.; peculiar harvesting and hauling techniques adopted in specific forest area; forestry techniques adopted for fire prevention; description of reasoning behind high forest conversion; description of reasoning behind coppice forest management as local

economy promotional activity; forest activities aimed to promote landscape values, tourisms, etc..).

s) Shall have appropriate mechanisms for resolving complaints and disputes relating to forest management with local people.

### 2.2.2 PEFC-Italy

PEFC-Italy is the association which represents the national governing body of Italy in the PEFC certification scheme. Its composition, its objectives and its function respect the mission established in its own Statutes and in this document.



#### 2.2.2.1 General Assembly

In addition to the provisions of the Statutes of Association, the General Assembly of the members:

- a) instructs the President to begin the process of creation and subsequent revision of the SFM standard,
- b) instruct the Board of Directors to identify the group of experts (permanent and external) to take care of the periodic review of the SFM standard and identify the three “wise men” of the Group for conflicts resolution that might arise during the course of the Forum for the revision of the SFM standards,
- c) ratify or modify the decisions of the Board of Directors in relation to the periodic revision of SFM standard.

#### 2.2.2.2 President

In addition to the provisions of the Statute, the President shall perform the procedures to begin the process of periodic review of the SFM standards; coordinates the work of the Board of Directors and Secretariat for the approval of SFM standard.

#### 2.2.2.3 Board of Directors

In addition to the provisions of the Statute, the Board of Directors:

- a) arranges the development, formal adoption and rules modification relating to the SFM certification controls;
- b) arranges the development, adoption and rules modification relating to the chain of custody for wood products;
- c) approves the final revision of the national SFM standard proposed by the Group of Expert of the Forum
- d)** draws up contracts with the TA, GR and IN for the usage of PEFC Logo.

#### 2.2.2.4 Group of Expert (Forum)

A permanent Working Group of external experts (that is a balanced representation of stakeholder categories relevant to forest sector) is delegated by PEFC-Italy Assembly to periodically (at least every five years) review the national SFM Standard, according to formal procedures for standard-setting activities recognized by PEFCC (see Appendix 1); the final revision will be approved by BoD. PEFC Italy will identify disadvantaged and key stakeholders, addressing the constraints of their participation and proactively seeking their participation and contribution in the standard-setting activities.

PEFC Italy will 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.

In the public announcement there will be:

- 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 will be made in a manner that ensures that the information reaches intended recipients and in a format that is understandable,
- d) an invitation to comment on the scope and the standard-setting process
- e) reference to publicly available standard-setting procedures.

#### 2.2.2.5 General Secretariat

PEFC-Italy General Secretariat is charged with managing the ordinary and administrative activity of PEFC, with maintaining the institutional relationship with TA and GR, with coordinating the association's activities and deals with the execution of the association's resolutions. PEFC-Italy General Secretary manages the Secretariat functions.

In particular, it:

- a) Coordinates actors involved in reviewing documents in accordance with PEFC-Italy procedures;
- b) Informs the applicants of lists of CBs accredited by ACCREDIA and of list of the CBs, which have applied for accreditation by ACCREDIA;
- c) Maintains and updates the register of certified single owners/managers (IN), TA and GR;
- d) Maintains and updates the register of participants in TA and GR certification;
- e) Maintains and updates the register of PEFC Logo users, and sends the information to the PEFCC;
- f) Offers assistance to all applicants and involved actors (IN, TA, GR, CB, etc.); and
- g) Represents the only entity delegated to provide exact (or precise) interpretation of the PEFC-Italy scheme regarding questions concerning the scheme and not third party audits.

### 2.2.3 Certification (CB) and Accreditation (AB) Bodies

Certification is carried out by CBs, third-party independent bodies, who are accredited by a national AB which is a member of the IAF – International Accreditation Forum (for example ACCREDIA in Italy) - for the certification of SFM and of the CoC of forest derived products which have been

subsequently notified by PEFC Italy. In regards to the operational methods for certification and accreditation, refer to ITA 1003.

### **3 SUSTAINABLE FOREST MANAGEMENT CERTIFICATION**

The scheme allows for the application of three types of certification:

- a) Individual certification; or
- b) Group certification; or
- c) Territorial Group certification.

The candidate for TA Group certification is the TA's; for the group certification the GR's; and the individual certification is the Companies (Co) or Owners (IN).

The management system of the forest properties can take, as an example, the documents issued by standardisation bodies (e.g. ISO 14001, ISO 9001) in conformity with PEFC requirements (for example aims, organizational structure, executive control).

The costs of the audit and certification are borne by the applicant.

#### **3.1 Documents necessary for the SFM certification**

Documents which must be submitted by the applicant to the CB, with copies to PEFC Italy, are:

- a) The certification application duly completed and signed by the applicant and sent to the CB. The application contains information about the applicant including: title, name, certification type, address, contact person for relationship with the CB and the name of the consultant;
- b) In the case of submission by a legal agent, the written authorization from the applicant to submit the application to the CB ;
- c) The SFM Handbook, in which is illustrated the entire SFM framework, (reference to third party documents is permissible) including: managerial procedure, operating instructions and recording forms for the activities already implemented;
- d) In the case of application for territorial group or group certification, the register of the owners participating in the application for certification;
- e) Any trademarks, either individual or collective, used by the applicant to commercialise the products produced from the object (forest) of SFM certification;
- f) Any other documents required by the CB for choosing the plan of samples for the certification audits.

#### **3.2 Description of the SFM Documentation**

The SFM documentation can consist of only one Handbook or a Handbook and many relating procedures. The SFM Handbook briefly describes the activities associated with producing the relevant supporting documents for SFM certification. The purpose of the handbook is to explain the owners' managerial choices in specific situations and to facilitate the SFM operational application.

The SFM documentation, tailored to the needs of the applicant and its organization of reference, must give the following indications:

- Generality:
  - Motivation and goals of the document;
  - Description of the applicant (organizational structure) and of the owners (including applications for individual certification made by a IN that manages - with special delegations - individual properties); information about existing forestry planning instruments, any UN EN ISO 14001 certificates, any EMAS registration (Reg. (CE) 761/2001), forestry inventories, forestry typologies, any other relevant information;
  - Purpose and scope of application (type of application);
  - Any definitions and abbreviations;
- SFM policy;
- Registry of the applicable legislation (also list of the dispositions in force that are applicable in the self-governing Region/Province)

- Terms of involvement for forestry owners (expressly indicating any delegations to the applicant for certification, including applications for individual certification by a IN that manages – with special delegations - individual properties);
- Implementation – with identification of the sources of information which have generated the data – of the requirements needed
- For individual certification (IN) and Group certification (GR) - use of ITA 1001-1; for territorial group certification (TA) - use of ITA 1001 – 1 and ITA 1001 – 2; the territorial group certification provides for the application of the requirements both at a territorial level (ITA 1001– 2) and an individual/group level (ITA 1001-1); single IN which are part of the TA must therefore apply both ITA 1001-1 and ITA 1001-2;
- SFM Improvement Programme relating to those indicators needing improvement in ITA 1001-1 and/or ITA1001-2. The Improvement Programme must grant the improvement of one or more improvable indicators during the validity time of the certificate. Every certified entity will have to indicate in his manual the chosen improvable indicators to be implemented during the validity time of the certificate. The Improvement Programme must indicate: the indicator’s number, the final goal for the 5 year of certification’s validity, the intermediate goals, the proposed action for achieving the goal; the estimated time for reaching intermediate and final goals; the human and financial resources allotted or proposed; the responsible party for achieving the final aim;
- Management of the NC and CA;
- Management of complaints (with relative registry), recourses and disputes;
- Management of internal controls carried out through annual internal audits and management review of the activities concerning SFM; internal monitoring programme shall cover all SFM Criteria and Indicators and applicable Management requirements (as to TA and GR certification these activities shall be centrally administered and reviewed; all SFM participants shall be subject to them; as to the annual internal monitoring programme, TA and GR shall take into account the following minimal requirements in order to provide provide sufficient confidence in the conformity of the whole group organisation with the sustainable forest management standard:
- a) Number (x) of participants (n. Ps) to be audited:

Participants	Sample
Up to 30	$x = \sqrt{n. Ps}$
31-300	$x = 0.8 * \sqrt{n. Ps}$
301-3.000	$x = 0.6 * \sqrt{n. Ps}$
3.001-10.000	$x = 0.4 * \sqrt{n. Ps}$
More than 10.000	$x = 0.2 * \sqrt{n. Ps}$

- b) Hectares (x) of Certified Area (CA) of TA or GR to be audited (monitoring can be distributed among sampled participants):  

$$x = 0,6 * \sqrt{CA}$$
- c) Geographical distribution of the main typology of forest stands (i.e., alpine, subalpine, mediterranean, ...)
- d) Management typology of stands (high forest, coppice)
- e) issues annual internal audits (corrective and/or preventive actions, their status and effectiveness),
- f) Issues of CB’s certification and surveillance audits (corrective and/or preventive actions, their status and effectiveness),
- g) Internal and external (i.e. from stakeholders) complaints,
- Description of the record keeping system (including document management, registrations, and internal and external communications);

- Any necessary management of the traceability of wood referred to in chapter 2.1 of this document.

#### 4 Activities carried out by the applicant following certification

##### 4.1 Use of the certificate

For Territorial Group Certification, certificate confirms that the group organisation complies with the requirements of the sustainable forest management standard and other applicable requirements of the forest certification scheme. after the certification has been granted by CB, TA:

upon request, issues to the participant a “Certificate of Participation” that refers to the territorial group forest certificate and that confirms the participant as being covered by the scope of the territorial group forest certification; and submits these documents to PEFC Italy. The “Certificate of Participation” includes the following declaration: “*[owner’s information] manages his forests in accordance with the criteria established by the PEFC Italy certification scheme, endorsed by the PEFC Council on \_\_\_\_\_ . The forest property is part of the territorial group [region’s name] that is certified by [CB’s name] with certificate n° \_\_\_\_\_ dated \_\_\_\_\_, in accordance with the criteria established by the PEFC Italy certification scheme.*”

The Certificate of Participation is valid from the date the voluntary commitment deed is signed and expires at the end of the certification’s term of validity.

For Group Certification, after the certification has been granted, the GR:

- upon request, issues to the participant a “Certificate of Participation” that refers to the **group forest certificate** and that confirms the **participant** as being covered by the scope of the **group forest certification**; and
- submits these documents to PEFC Italy.

The “Certificate of Participation” includes the following declaration: “*[owner’s information] manages his forests in accordance with the criteria established by the PEFC Italy certification scheme, endorsed by the PEFC Council on \_\_\_\_\_ . The forest property is part of the group [group’s name] that is certified by [CB’s name] with certificate n° \_\_\_\_\_ dated \_\_\_\_\_, in accordance with the criteria established by the PEFC Italy certification scheme.*”

The “Certificate of Participation” is valid from the date the voluntary commitment deed is signed after forest certification is issued and expires at the end of the certification’s term of validity.

##### 4.2 Usage of the PEFC Logo

The applicant (in possession of the certificate) may use the PEFC Logo together with any individual or collective trademarks. For more details, please refer to ITA 1003.

##### 4.3 Renunciation of Certification

For territorial group certification, any TA withdrawing from participation in PEFC Italy triggers the revocation of the certification and the withdrawal of the sub-licence for all further PEFC Logo usage.

For group certification, any GR withdrawing from participation in PEFC Italy triggers the revocation of the certification and the withdrawal of the sub-licence for all further PEFC Logo usage.

For individual certification, renunciation of the certification in the Italian PEFC scheme triggers the revocation of the certification and the withdrawal of the sub-licence for all further PEFC Logo usage.

The renunciation of individual members of TA’s or GR’s is managed directly by the concerned TA or GR; members renouncing participation are deleted from the TA or GR membership register.

Applicants and any members (for TA or GR) renouncing participation in PEFC Italy must submit their decision in written form to PEFC Italy and to the CB.

## **5 RECOURSES, COMPLAINTS AND DISPUTES for SFM and CoC**

PEFC Italy is the solely responsible for standard-setting activities and any enquiries and complaints should be addressed to the Secretariat (contact point is available in any normative documents and in the website).

### **5.1 Management of recourses against the CB**

Any recourse must be handled in accordance with the procedures established by the CB; such procedures must have been accepted by the applicant when the CB itself is given the assignment or contract for certification.

PEFC Italy keeps records of all disputes and eventual recourses submitted by its members and by applicants for certification.

For all appeals of decisions made regarding the recourse for disputes by PEFC Italy, PEFC Italy will appoint an Examining Committee to settle the dispute. The Examining Committee consists of three arbitrators:

- a) An agent appointed by PEFC Italy;
- b) An agent appointed by the appellant;
- c) An independent third party acting as president of the committee appointed jointly by both parties to the dispute. In the case that the parties cannot agree on the appointment of the president of the committee, the appointment will be made by President of the Court of the District where the arbitration will take place.

Any questions arising from eventual disputes not addressed by this paragraph will be referred to Title VIII of the Civil Procedure Code.

All disputes and eventual recourses against the CB are managed according to the procedures elaborated in the Code above.

### **5.2 Complaints management**

PEFC Italy maintains records of all complaints made:

- a) By individual owners and Group Entities;
- b) By TA's/GR's and participants in the case of territorial and group certification;
- c) By applicants and third parties not included in point 2.2 (such as the stakeholders).

Complaints must be submitted in written form signed by the complainant and sent to PEFC Italy. They will be recorded on delivery with an acknowledgement of receipt. The complainant's representative forwards a copy of the complaint to PEFC Italy if the complaint is relevant in civil or criminal law.

Regarding such recourses, PEFC Italy has the complaint examined and decided by an Examining Committee (see 5.1), if such recourses have not already been settled at the level of Co, GR, or TA and do not regard the process of certification.

For any matters not expressly covered in Section 5.2, the involved parties must refer to Title VIII of Civil Procedure Code.

If the complaint concerns related aspects for what is included in the PEFC Italy rules, the interested party of the complaint must also send a copy to the CB which – after a positive judgement – commences a supplementary audit.

If the forest owners (IN), TA or GR complain to the CB, the CB must notify PEFC Italy and the AB.

## **6 Standard settings and re-endorsement**

PEFC Italy, acting as a standardizing/normative body, will develop and periodically revise its forest management standard, according to PEFC ST 1001-2010. In appendix 1 are described the actions that are implemented to respect the requirements of PEFC ST 1001-2010. If in this document are missing some of the prescribed requirements, the document PEFC ST 1001-2010 is taken as reference.

### **6.1 PEFC Italy as Standardising body**

6.1.1 PEFC Italy has written procedures for standard-setting activities describing:

- (a) its status and structure, including a body responsible for consensus building and for formal adoption of the standard
- (b) the record-keeping procedures,
- (c) the procedures for balanced representation of stakeholders,
- (d) the standard-setting process,
- (e) the mechanism for reaching consensus, and

Note: Where a vote is used as a part of decision-making procedures, the standard-setting procedures include decision-making thresholds that are considered to achieve the consensus and that are consistent with the consensus definition.

- (f) revision of standards/normative documents.

6.1.2 PEFC Italy makes its standard-setting procedures publicly available and regularly reviews its standard-setting procedures including consideration of comments from stakeholders.

6.1.3 PEFC Italy keeps records relating to the standard-setting process providing evidence of compliance with the requirements of PEFC ST 1001-2010 and the standardising body's own procedures. The records are kept for a minimum of five years and shall be available to interested parties upon request.

6.1.4 PEFC Italy establishes a permanent or temporary working group/committee responsible for standard-setting activities. The working group/committee will:

- (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.

6.1.5 PEFC Italy establishes procedures for dealing with any substantive and procedural complaints relating to the standardising activities which are accessible to stakeholders. Upon receipt of the complaint, PEFC Italy will:

- (a) acknowledge receipt of the complaint to the complainant,
- (b) gather and verify all necessary information to validate the complaint, impartially and objectively evaluate the subject matter of the complaint, and make a decision upon the complaint, and
- (c) formally communicate the decision on the complaint and of the complaint handling process to the complainant.

6.1.6 PEFC Italy establishes at least one contact point for enquiries and complaints relating to its standard-setting activities. The contact point will be made easily available.

### **6.2 Standard-setting process**

6.2.1 PEFC Italy identifies stakeholders relevant to the objectives and scope of the standard-setting work.

Note: The stakeholder mapping operation 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.

6.2.2 PEFC Italy identifies disadvantaged and key stakeholders. PEFC Italy addresses the constraints of their participation and proactively seek their participation and contribution in the standard-setting activities.

6.2.3 PEFC Italy makes 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 will include:

- (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 recipients and in a format that is understandable,
- (d) an invitation to comment on the scope and the standard-setting process, and
- (e) reference to publicly available standard-setting procedures.

6.2.4 PEFC Italy reviews the standard-setting process based on comments received from the public announcement and establishes a working group/committee or adjusts the composition of an already existing working group/committee based on received nominations. The acceptance and refusal of nominations will be justifiable in relation to the requirements for balanced representation of the working group/committee and resources available for the standard-setting.

6.2.5 The work of the working group/committee will be organised in an open and transparent manner where:

- (a) working drafts shall be available to all members of the working group/committee,
- (b) all members of the working group shall be provided with meaningful opportunities to contribute to the development or revision of the standard and submit comments to the working drafts, and
- (c) comments and views submitted by any member of the working group/committee shall be considered in an open and transparent way and their resolution and proposed changes shall be recorded.

6.2.6 PEFC Italy organises a public consultation on the enquiry draft and ensures that:

- a) the start and the end of the public consultation is announced in a timely manner in suitable media,
- b) the invitation of disadvantaged and key stakeholders shall be made by means that ensure that the information reaches its recipient and is understandable,
- c) the enquiry draft is publicly available and accessible,
- d) the public consultation is for at least 60 days,
- e) all comments received are considered by the working group/committee in an objective manner,
- f) a synopsis of received comments, including the results of their consideration, is publicly available, for example on PEFC Italy website.

6.2.7 PEFC Italy organises pilot testing of the new standards and the results of the pilot testing will be considered by the working group/committee.

Note: Pilot testing is not required in case of revision of a standard where experience from its usage can substitute for pilot testing.

6.2.8 The decision of the working group to recommend the final draft for formal approval will 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:

- 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 web-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.

6.2.9 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 will be resolved using the following mechanism(s):

- (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.

6.2.10 Documentation on the implementation of the standard-setting process will be made publicly available.

6.2.11 The standardising body will formally approve the standards/normative documents based on evidence of consensus reached by the working group/committee.

6.2.12 The formally approved standards/normative documents will be published in a timely manner and made publicly available.

### **6.3 Revision of standards/normative documents**

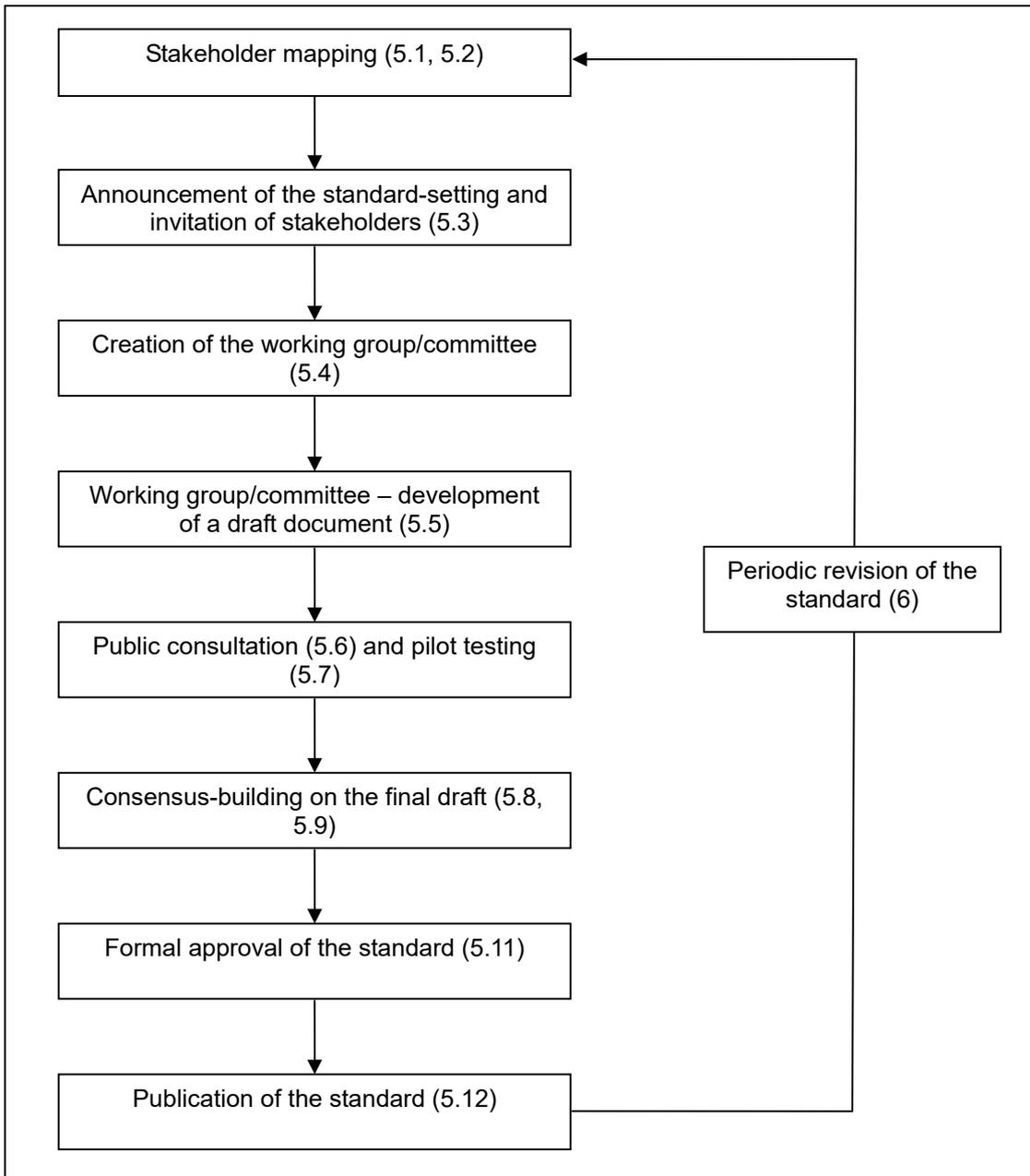
6.3.1 The standards/normative documents will be reviewed and revised at intervals that do not exceed a five-year period.

6.3.2 The revision will define the application date and transition date of the revised standards/normative documents.

6.3.3 The application date will 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.

6.3.4 The transition date will 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.

Figure 1: Standard-setting process



## Appendix 1

### Standard Revision Setting Process and Forum Working Group Rules

*(Version 4: approved by the PEFC Forum Working Group in date 28.01.2015 and amended by PEFC I BoD in date 28.10.2015)*

#### Introduction

This is a consolidating document which defines the existing Italian standard setting process and procedures with the Forum Working Group Rules.

#### Scope

The document defines the procedures and process requirements for the revision of the PEFC Italy Standards. The procedures and process requirements have been developed by PEFC Italy to ensure alignment with the requirements of the PEFC Sustainable Forest Management certification scheme and are consistent with PEFC ST 1001:2010 Standard. To ensure their continued alignment, these procedures and process requirements should be subject to review, every five years.

#### Purpose

This standard setting document defines the roles, responsibilities and authorities of the Forum in relation to the delivery of the national PEFC SFM certification standards for Italy.

#### Effective date

17 February 2015

#### References

- Statutes of PEFC Italia
- PEFC ST 1001:2010 - PEFC International Standard requirements for certification schemes

#### Terms & definitions

- Members – Members of PEFC Italia.
- Stakeholders - all interested parties involved in forest management from the economic, social and ecological point of view.
- Standard – ITA 1000, ITA 1001-1 and ITA 1001-2 (for sustainable forest management).
- ITA 1003 (rules for CBs and auditors).
- Forum – the working group established by PEFC Italy which discusses and proposes a revised standard documentation.
- Forum members – participants with voting rights.

#### A. General Provisions

##### A1 Independence

The not-for-profit association, “*Associazione PEFC Italia*”, was established in April 2001 to own and manage the PEFC scheme in Italy. The Association is managed by the Members, according to the Statutes.

PEFC Italy’s objects, according to Article 1 of its Statutes, are: “*to encourage and improve the sustainable development of forests, through the promotion of the “Pan European Forest Certification” certification system, subsequently referred to as PEFC, according to its established standards.*”

*In particular the Association:*

- a) *promotes the PEFC system and the **PEFC ITALIA** certification system and any certification systems at territorial or regional level;*
- b) *determines methods and criteria in conformity with the certification process and defines the procedures for any future amendments;*
- c) *defines the requirements of the certification bodies and of the inspectors;*
- d) *defines standard certification procedures; ...”*

The Statutes of PEFC Italy and ITA 1000 (2.2.3 Bodies of Certification and Accreditation) do not provide for the Association to undertake certification or accreditation thereby ensuring that the certification standard shall be developed independently from the certification or accreditation processes.

## **B. Participatory Process**

### **B1 The Forum Working Group**

For 2014 Revision, PEFC Italy Board of Directors asked to Federforeste to build a “Forum” of experts in collaboration with PEFC Italy Secretary General. The Forum shall be representing the forest sector and tree plantation sector. The forum has to:

- a) correct and revise Italian SFM standards within five years of its approval. PEFC Italy and Federforeste, after having collected and evaluated the request of participation, identified the Working group participants.
- b) adopt the Working Group rules. The Working Group Rules shall regulate, *inter alia*, the number, appointment, retirement and removal of Group members, after discussion with PEFC Italy BoD.

The permanent working group includes the following categories: Forest owners and Consortium, Regional and National government, Trade Unions, Wood processing industry, Environmental organizations, Forestry practitioners and forest workers, Forest consultants organizations, Wood products art craft, Consumers, mixed category (Research organizations, Academy, Standardizing body etc.).

PEFC Italy has to assure that the invitation to disadvantaged and key stakeholders shall be made in a manner that ensures that the information reaches intended recipients and in a format that is understandable.

Are considered disadvantaged stakeholders those that cannot participate because of financial problems, lack of transportation facilities or lack of informatics tools for the exchange of the standard revision documentation, while key stakeholders are those organizations that strongly influence the revision process because of their relevance in the Forest and related sectors.

Every delegate can indicate one or more substitute, in case of the substitute participates at the meeting with the legal delegate, they do not have right to vote.

An independent President of the Working Group shall be designated by the Forum. The president has to promote both consensus and respect of Forum procedures. The President has a vote, as well as any other Forum participant. The President will be in charge with collecting all Forum observation and making synthesis to reach a final decision. The Secretary general of PEFC Italy will coordinate the Forum work.

### **B2 Transparency**

This document shall be published on the PEFC Italy website, ensuring transparency of process.

The beginning of the standard setting process and information on the development process shall be communicated publicly and stakeholder representatives shall be notified directly. Key documents including this process document and related documents, the consultation drafts and the formal responses to comments received shall be available to all interested parties by publication on the website and direct notification to stakeholder representatives.

Working Group members shall receive all relevant papers and minutes of meeting before the meeting; the results will be available for the participants that shall be responsible for keeping their constituents informed.

### **B3 Consultation and timing**

The process for developing and revising standards shall include provision for consultation through notifying a wide range of stakeholders and publicising the availability of the following documents as a minimum:

- a) An 'Initial Stakeholder Consultation' - an invitation to comment on the current standard which should identify any areas identified as requiring review (minimum consultation period of 60 days). This document should be used by Working Group as Draft for its revision work;
- b) The Working Group meetings should be at least three, with at least one face-to-face meeting (preferably the first one) and the following, if decided by the Working Group, in an electronic way;
- c) A "Pre-approval Draft" which should include a summary of the Working Group comments and clearly identify and explain the proposed changes (minimum consultation period of 60 days) before the presentation to PEFC Italy Board of Directors.

Additional drafts may be issued at the discretion of the Working Group in case of substantial proposal(s) for changes.

Within 15 days from the meeting, the President and the Secretary will send the minutes of the meeting with the decisions together with timing and modalities on how to communicate comments from the present participants and the absents.

The Forum will propose topics, procedures and timing to collect any proposals between one meeting and the other.

In order to facilitate the discussion the participants are invited to write their text changes using a "Word" format in modality "revision".

#### **B4 Consensus**

Decisions of the Working Group shall require the vote that represents the consensus (see C3) .

#### **B5 Records**

The Working Group shall keep the following records of the standards development process:

- a) List of all consultants or other individuals who have been involved in drafting the standard, together with their affiliations;
- b) List of all stakeholders invited to participate in the standards setting process;
- c) List of all forest stakeholders sent specified drafts of the standard and invited to comment;
- d) All correspondence in relation to development of the standard;
- e) Copies of each draft of the standard which was prepared during the development process;
- f) Copies of all comments submitted in writing with respect to the specified draft standards; and
- h) Summaries of comments on each draft, together with a brief explanation of the way in which those comments were responded to in the draft.

The Working Group shall provide PEFC Italy with a copy of the complete set of records specified above and shall keep a copy of the records for at least seven years.

### **C. Development of the decision process**

#### **C1 Decision making**

The quorum for the transaction of the business of the Working Group shall be 50% of all the persons who at the commencement of the meeting are Working Group members.

#### **C2 Decision to approve the standard**

The working group will be responsible of the standard revision. The work of the Forum is organized with the goal to reach the highest level of consensus. According to PEFC Council definition of consensus present in PEFC ST 1003:2010 all decisions shall be based on an evident consensus. Consensus need not imply

unanimity but is reached in case of absence of sustained opposition from a relevant part of the forum (10% of Forum components, representing at least two categories).

The President and the Secretary shall guarantee that every point of view is taken in consideration to reconcile any possible conflicts. Any single interest can not prevail and none of the participants can ask for a veto. In case of not reaching an agreed text, the Secretary of PEFC will start a process of conflict resolution as described in PEFC ST 1003: 2010.

### **C3 Complaints and Dispute resolution procedures**

For any irresolvable discussions related to technical issues that did not find a consensus decision, it shall be referred to a "Panel of experts for conflict resolution", comprised of three persons appointed by PEFC Italy and Federforeste, that are highly recognized in forestry sector and with knowledge of PEFC forest certification. Its members will be communicated to the Working Group and to the stakeholders in the beginning of the standard revision setting process through a formal publication into the website of PEFC Italy. The decision of this Panel will be definitive for the standard and the final result will be considered by the Working Group.

## Appendix 2

### Composition of Permanent FORUM / Working Group

Constituency and maximum number of appointments to Steering Group	Constituency Members	Name Organizations	Name
Woodland owners and Consortium	Public Administration	Provincia Autonoma Trento	Francesco Dellagiacoma
	Public Administration	Provincia Autonoma Bolzano	Marco Pietrogiovanna
	Private and Public Forest Consortia	Federforeste	Pietro Torchio
		Confagricoltura	Concezio Gasbarro
	Private and Public Forest Consortia	Consorzio Amiata	Francesca Galli
	Private forest owners Organization	Aziende Agricole diocesane riunite Srl	Leonardo Nocentini
	Poplar growing	Asprolegno*	Fabio Fracchia
	Regional Administration (Ordinary)	Regione Veneto	Giovanni Carraro e Isabella Pasutto
	Regional Administration (Ordinary)	Regione Emilia Romagna	Enzo Valbonesi
	Regional Administration (Special)	Regione Friuli Venezia Giulia*	Maria Cristina D'Orlando
Wood processing industry	Private Organizations	Federlegno-Arredo	Claudio Garrone
		Conlegno	Maria Rita Gallozzi
Environmental organisations	National organization	Legambiente	Federica Barbera
		Amici della Terra	Monica Tommasi
		FareAmbiente	Massimo Scarpetta
Forestry practitioners and forest workers (S)	National organization	Colafor	Gasper Rino Talucci
		Conaibo	Livio Bozzolo e Giulio Zanetti
		Legnoservizi	Daniele Peresson
Forest consultants organisations	Public organization	CONAF	Mattia Busti
	Private organization	Geoponica*	Alessandro Pansecco/Carlotta De Zio
	Private organization	Consorzio regionale forestale FORESTARE	Benito Scazziota
Consumers and civil society	National Consumer Organization	Aalsea*	Paolo Mori
	Associazione culturale tecnica	AIAF (Associazione italiana agroforestazione)*	Michele Salviato
	Associazione zona rurale e Montana	ForestAmica	Claudio Cervellati

<b>Other</b>	<b>Ente Normatore</b>	PEFC Italia*	Antonio Brunori/ Eleonora Mariano
	<b>Accademia e Università</b>	Accademia di Scienze Forestali	Davide Travaglini
	<b>CNR</b>	IVALSA Sesto Fiorentino	Carla Nati
	<b>CRA</b>	Unità di Ricerca per le Produzioni Legnose Fuori Foresta*	Lorenzo Vietto e Domenico Coaloa Achille Giorcelli
	<b>Coldiretti</b>	Coldiretti – Sez.pioppo*	Stefano Loporati
	<b>Unprofor</b>	Unprofor	Andrea Montresor

**Composition of the "Panel of experts for conflict resolution"**

- 1) Pierluigi Bortoli (dirigente della R FVG, ora in pensione)
- 2) Filippo Brun (Professore di Economia Forestale – UniTo)
- 3) Sandro Castelli (libero professionista e già rappresentante del CONAF)