

**Part I: Standard and System Requirement Checklist for standard setting (PEFC ST 1001:2010)****1 Scope**

Part I covers the requirements for standard setting defined in PEFC ST 1001:2010, Standard Setting – Requirements.

Any inconsistencies between this text and the original referred to document will be overruled by the content and wording of the technical document.

**2 Checklist**

Question	Assess. basis*	YES/ NO	Reference to application documents
<b>Standardising Body</b>			
4.1 The standardising body shall have written procedures for standard-setting activities describing:			
a) its status and structure, including a body responsible for consensus building (see 4.4) and for formal adoption of the standard (see 5.11)	Procedures	Yes	SSP 2/2012 – <i>Rules on Standard Setting Process for Development of Timber Certification Standards</i> - Section 4 & 5  Standard setting procedure has been revised as SSP 3/2014 on 10 January 2014. - Section 4 & 5
b) the record-keeping procedures,	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 4.4
c) the procedures for balanced representation of stakeholders,	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 4.5
d) the standard-setting process,	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5
e) the mechanism for reaching consensus, and	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.8
f) revision of standards/normative documents.	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 6
4.2 The standardising body shall make its standard-setting procedures publicly available and shall regularly review its standard-setting procedures including consideration of comments from stakeholders.	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 4.3
	Process	Yes	<ul style="list-style-type: none"> <li>• Report on Review of MC&amp;I(Forest Plantations) and Development of MC&amp;I Forest Plantation.v2</li> <li>• <a href="http://www.mtcc.com.my/activities/review-of-malaysian-criteria-and-indicators-for-">http://www.mtcc.com.my/activities/review-of-malaysian-criteria-and-indicators-for-</a></li> </ul>

Question	Assess. basis*	YES/ NO	Reference to application documents
			<a href="#">forest-management-certification-forest-plantations</a>
4.3 The standardising body shall keep records relating to the standard-setting process providing evidence of compliance with the requirements of this document and the standardising body's own procedures. The records shall be kept for a minimum of five years and shall be available to interested parties upon request.	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 4.4
	Process	Yes	Report on Review of MC&I(Forest Plantations) and Development of MC&I Forest Plantation.v2
4.4 The standardising body shall establish a permanent or temporary working group/committee responsible for standard-setting activities.	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 4.5
	Process	Yes	Report on Review of MC&I(Forest Plantations) and Development of MC&I Forest Plantation.v2 – Section 4
4.4 The working group/committee shall:			
a) be accessible to materially and directly affected stakeholders,	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 4.5 (a)
	Process	Yes	Report on Review of MC&I(Forest Plantations) and Development of MC&I Forest Plantation.v2 – Section 4.1
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	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 4.5 (b)
	Process	Yes	Report on Review of MC&I(Forest Plantations) and Development of MC&I Forest Plantation.v2 – Section 4.1.2
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.	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 4.5 (c)
	Process	Yes	Report on Review of MC&I(Forest Plantations) and Development of MC&I Forest Plantation.v2 – Section 4.1.2

Question	Assess. basis*	YES/ NO	Reference to application documents
4.5 The standardising body shall establish procedures for dealing with any substantive and procedural complaints relating to the standardising activities which are accessible to stakeholders.	Procedures	Yes	<ul style="list-style-type: none"> <li>• SSP 2/2012, SSP 3/2014               <ul style="list-style-type: none"> <li>- Section 4.6</li> </ul> </li> <li>• DRP 2/2013 – <i>Dispute Resolution Procedure</i> <ul style="list-style-type: none"> <li>- Section 1.2, 2.1, 2.2</li> </ul> </li> </ul>
	Process	Yes	No complaints received by Dispute Resolution Committee (DRC) regarding the standard setting process. However, during the review process, one concern related to the composition of SRC had been raised and the matter has been addressed by SRC as recorded in the Minutes of First Meeting of SRC. Refer to Report on Review of MC&I(Forest Plantations) and Development of MC&I Forest Plantation.v2 (see Appendix V).
4.5 Upon receipt of the complaint, the standard-setting body shall:			
a) acknowledge receipt of the complaint to the complainant,	Procedures	Yes	<ul style="list-style-type: none"> <li>• SSP 2/2012, SSP 3/2014               <ul style="list-style-type: none"> <li>- Section 4.6 (a)</li> </ul> </li> <li>• DRP 2/2013               <ul style="list-style-type: none"> <li>- Section 4.1.2</li> </ul> </li> </ul>
	Process	No	No complaint received
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	Procedures	Yes	<ul style="list-style-type: none"> <li>• SSP 2/2012, SSP 3/2014               <ul style="list-style-type: none"> <li>- Section 4.6 (b)</li> </ul> </li> <li>• DRP 2/2013               <ul style="list-style-type: none"> <li>- Section 4</li> </ul> </li> </ul>
	Process	No	No complaint received
c) formally communicate the decision on the complaint and of the complaint handling process to the complainant.	Procedures	Yes	<ul style="list-style-type: none"> <li>• SSP 2/2012, SSP 3/2014               <ul style="list-style-type: none"> <li>- Section 4.6 (c)</li> </ul> </li> <li>• DRP 2/2013               <ul style="list-style-type: none"> <li>- Section 4.5.6</li> </ul> </li> </ul>
	Process	No	No complaint received
4.6 The standardising body shall establish at least one contact point for enquiries and complaints relating to its standard-setting activities. The contact point shall be made easily available.	Procedures	Yes	<ul style="list-style-type: none"> <li>• SSP 2/2012, SSP 3/2014               <ul style="list-style-type: none"> <li>- Section 4.7</li> </ul> </li> <li>• DRP 2/2013               <ul style="list-style-type: none"> <li>- Section 4</li> </ul> </li> </ul>

Question	Assess. basis*	YES/ NO	Reference to application documents
<b>Standard-setting process</b>			
5.1 The standardising body shall identify stakeholders relevant to the objectives and scope of the standard-setting work.	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.1
	Process	Yes	Report on Review of MC&I(Forest Plantations) and Development of MC&I Forest Plantation.v2 – Section 4.1.1
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.	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.2
	Process	Yes	Report on Review of MC&I(Forest Plantations) and Development of MC&I Forest Plantation.v2 – Section 3.4 & Appendix III  Disadvantaged and key stakeholders were given special attention, and were provided with financial assistance to participate in the standard-setting process.
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.	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.3
	Process	Yes	<ul style="list-style-type: none"> <li>Report on Review of MC&amp;I(Forest Plantations) and Development of MC&amp;I Forest Plantation.v2</li> <li><a href="http://www.mtcc.com.my/news-items/review-of-the-malaysian-criteria-and-indicators-for-forest-management-certification-forest-plantations-mci-forest-plantations">http://www.mtcc.com.my/news-items/review-of-the-malaysian-criteria-and-indicators-for-forest-management-certification-forest-plantations-mci-forest-plantations</a></li> </ul>
5.3 The announcement and invitation shall include:			
a) information about the objectives, scope and the steps of the standard-setting process and its timetable,	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.3 (a)
	Process	Yes	Report on Review of MC&I(Forest Plantations) and Development of MC&I Forest Plantation.v2 - Section 4.2,

Question	Assess. basis*	YES/ NO	Reference to application documents
			Appendix IV
b) information about opportunities for stakeholders to participate in the process,	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.3 (b)
	Process	Yes	<ul style="list-style-type: none"> <li>Report on Review of MC&amp;I(Forest Plantations) and Development of MC&amp;I Forest Plantation.v2 - Section 4.2</li> <li><a href="http://www.mtcc.com.my/news-items/review-of-the-malaysian-criteria-and-indicators-for-forest-management-certification-forest-plantations-mci-forest-plantations">http://www.mtcc.com.my/news-items/review-of-the-malaysian-criteria-and-indicators-for-forest-management-certification-forest-plantations-mci-forest-plantations</a></li> </ul>
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,	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.3 (c)
	Process	Yes	Report on Review of MC&I(Forest Plantations) and Development of MC&I Forest Plantation.v2 – Section 4
d) an invitation to comment on the scope and the standard-setting process, and	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.3 (d)
	Process	Yes	Report on Review of MC&I(Forest Plantations) and Development of MC&I Forest Plantation.v2 - Appendix V
e) reference to publicly available standard-setting procedures.	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.3 (e)
	Process	Yes	<ul style="list-style-type: none"> <li>Report on Review of MC&amp;I(Forest Plantations) and Development of MC&amp;I Forest Plantation.v2</li> <li><a href="http://www.mtcc.com.my/news-items/review-of-the-malaysian-criteria-and-indicators-for-forest-management-certification-forest-plantations-mci-forest-plantations">http://www.mtcc.com.my/news-items/review-of-the-malaysian-criteria-and-indicators-for-forest-management-certification-forest-plantations-mci-forest-plantations</a></li> </ul>

Question	Assess. basis*	YES/ NO	Reference to application documents
5.4 The standardising body shall review the standard-setting process based on comments received from the public announcement and establish a working group/committee or adjust the composition of an already existing working group/committee based on received nominations. The acceptance and refusal of nominations shall be justifiable in relation to the requirements for balanced representation of the working group/committee and resources available for the standard-setting.	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.4
	Process	Yes	Report on Review of MC&I(Forest Plantations) and Development of MC&I Forest Plantation.v2 - Appendix V:
5.5 The work of the working group/committee shall be organised in an open and transparent manner where:			
a) working drafts shall be available to all members of the working group/committee,	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.5 (a)
	Process	Yes	Report on Review of MC&I(Forest Plantations) and Development of MC&I Forest Plantation.v2 – Section 4.3, 4.5, 4.7 & 4.9
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	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.5 (b)
	Process	Yes	Report on Review of MC&I(Forest Plantations) and Development of MC&I Forest Plantation.v2 – Section 4.3, 4.5, 4.7 & 4.9
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.	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.5 (c)
	Process	Yes	Report on Review of MC&I(Forest Plantations) and Development of MC&I Forest Plantation.v2 – Section 4.3, 4.5, 4.7 & 4.9
5.6 The standardising body shall organise a public consultation on the enquiry draft and shall ensure that:			
a) the start and the end of the public consultation is announced in a timely manner in suitable media,	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.6 (a)
	Process	Yes	<ul style="list-style-type: none"> <li>Report on Review of MC&amp;I(Forest Plantations) and</li> </ul>

Question	Assess. basis*	YES/ NO	Reference to application documents
			Development of MC&I Forest Plantation.v2 – Section 4.2, 4.4, 4.8 <ul style="list-style-type: none"> <li><a href="http://www.mtcc.com.my/new-s-items/review-of-the-mciforest-plantations-first-public-comment-15-january-16-march-2013">http://www.mtcc.com.my/new-s-items/review-of-the-mciforest-plantations-first-public-comment-15-january-16-march-2013</a></li> </ul>
b) the invitation of disadvantaged and key stakeholders shall be made by means that ensure that the information reaches its recipient and is understandable,	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.6 (b)
	Process	Yes	Report on Review of MC&I(Forest Plantations) and Development of MC&I Forest Plantation.v2 – Section 4.2, 4.4, 4.8
c) the enquiry draft is publicly available and accessible,	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.6 (c)
	Process	Yes	<ul style="list-style-type: none"> <li>Report on Review of MC&amp;I(Forest Plantations) and Development of MC&amp;I Forest Plantation.v2 – Section 4.2, 4.4, 4.8</li> <li><a href="http://www.mtcc.com.my/new-s-items/review-of-the-mciforest-plantations">http://www.mtcc.com.my/new-s-items/review-of-the-mciforest-plantations</a></li> </ul>
d) the public consultation is for at least 60 days,	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.6 (d)
	Process	Yes	Report on Review of MC&I(Forest Plantations) and Development of MC&I Forest Plantation.v2 – Section 4.2, 4.8
e) all comments received are considered by the working group/committee in an objective manner,	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.6 (e)
	Process	Yes	Report on Review of MC&I(Forest Plantations) and Development of MC&I Forest Plantation.v2 – Section 4.3, 4.5, 4.7 & 4.9
f) a synopsis of received comments compiled from material issues, including the results of their consideration, is publicly available, for example on a website.	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.6 (f)
	Process	Yes	Synopsis of comments received and results of the consideration

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			is made publicly available on the website ( <a href="http://www.mtcc.com.my/activities/review-of-malaysian-criteria-and-indicators-for-forest-management-certification-forest-plantations">http://www.mtcc.com.my/activities/review-of-malaysian-criteria-and-indicators-for-forest-management-certification-forest-plantations</a> )
5.7 The standardising body shall organise pilot testing of the new standards and the results of the pilot testing shall be considered by the working group/ committee.	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.7
	Process	No	Pilot testing is not necessary as this is not the development of a new standard, but the revision of an existing standard
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.	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.8
	Process	Yes	Report on Review of MC&I(Forest Plantations) and Development of MC&I Forest Plantation.v2 – Section 4.9.3 & Appendix XI
5.8 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.,	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.8 (a)
	Process	Yes	Decision was made by consensus at every meeting of the SRC. (See Report on Review of MC&I(Forest Plantations) and Development of MC&I Forest Plantation.v2 – Appendix V, VII, X & XI)
b) a telephone conference meeting where there is a verbal yes/no vote,	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.8 (b)
	Process	No	With the decision by consensus, there was no need for this procedure to be implemented
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	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.8 (c)
	Process	No	With the decision by consensus, there was no need for this procedure to be implemented



Question	Assess. basis*	YES/ NO	Reference to application documents
d) combinations thereof.	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.8 (d)
	Process	No	With the decision by consensus, there was no need for this procedure to be implemented
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):			
a) discussion and negotiation on the disputed issue within the working group/committee in order to find a compromise,	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.9 (a)
	Process	No	With the decision by consensus, there was no need for this procedure to be implemented
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,	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.9 (b)
	Process	No	With the decision by consensus, there was no need for this procedure to be implemented
c) dispute resolution process.	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.9 (c)
	Process	No	With the decision by consensus, there was no need for this procedure to be implemented
5.10 Documentation on the implementation of the standard-setting process shall be made publicly available.	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.10
	Process	Yes	<ul style="list-style-type: none"> <li>Report on Review of MC&amp;I(Forest Plantations) and Development of MC&amp;I Forest Plantation.v2</li> <li><a href="http://www.mtcc.com.my/activities/review-of-malaysian-criteria-and-indicators-for-forest-management-certification-forest-plantations">http://www.mtcc.com.my/activities/review-of-malaysian-criteria-and-indicators-for-forest-management-certification-forest-plantations</a></li> </ul>
5.11 The standardising body shall formally approve the standards/normative documents based on evidence of consensus reached by the working group/committee.	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.11
	Process	Yes	Report on Review of MC&I(Forest Plantations) and Development of MC&I Forest Plantation.v2

Question	Assess. basis*	YES/ NO	Reference to application documents
5.12 The formally approved standards/normative documents shall be published in a timely manner and made publicly available.	Procedures	Yes	SSP 2/2012, SSP 3/2014 - Section 5.12
	Process	Yes	<ul style="list-style-type: none"> <li>Report on Review of MC&amp;I(Forest Plantations) and Development of MC&amp;I Forest Plantation.v2</li> <li><a href="http://www.mtcc.com.my/new-s-items/new-standard-for-forest-plantation-management-certification-published">http://www.mtcc.com.my/new-s-items/new-standard-for-forest-plantation-management-certification-published</a></li> </ul>

Question	Assess. basis*	YES/ NO	Reference to application documents
<b>Revisions of standards/normative documents</b>			
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.	Process	Yes	SSP 2/2012, SSP 3/2014 - Section 6.1
6.2 The revision shall define the application date and transition date of the revised standards/normative documents.	Process	Yes	MC&I Forest Plantation.v2 - Verso of technical title page
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.	Process	Yes	MC&I Forest Plantation.v2 - Verso of technical title page
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.	Process	Yes	MC&I Forest Plantation.v2 - Verso of technical title page

### 3 Application documentation

The application for the endorsement and mutual recognition as defined in Chapter 5 of Annex 7 (Endorsement and Mutual Recognition of National Systems and their Revision) shall include information which enables the assessment of the applicant system's compliance with the PEFC Council requirements.

The application documentation should identify and make reference to other detailed documentation such as minutes, internal procedures and rules, reports, etc. which do not need to create a part of the application documentation.

**Asses. basis\*** The standard setting is assessed against the PEFC Council requirements in two stages: (i) compliance of written standard setting procedures ("Procedures") and (ii) compliance of the standard setting process itself ("Process").

For "Procedures" the applicant should refer to the part(s) of its standard setting procedures related to the respective PEFC requirement. For "Process" the applicant should either refer to the report/records of the standard setting process forming a part of the submitted application documents, or describe how the PEFC requirement was fulfilled during the standard setting process.

**YES/NO\*** If the answer to any question is no, the application documentation shall indicate for each element why and what alternative measures have been taken to address the element in question.