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# **PEFC Standard and System Requirement Checklist**

## **CERTFOR Assessment**



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## **1 Purpose**

The purpose of this document is to assist the assessment of the CERTFOR system and standards against the PEFC Council's core documents as listed in chapter 5 of PEFC GD 1007:2012.

## 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	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards. <u>Section 6</u> . Standardization Body, point 6.1 (page 4) <u>Section 7.10</u> Building a Consensus on the final Draft (page 8)  PS-02-19 Procedure for Establishing a Technical Committee for CERTFOR Standards. <u>Point 6.2</u> (page 4)
b) the record-keeping procedures,	Procedures	Yes	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards. <u>Section 6</u> Standardization Body, point 6.1 (page 4) <u>Chapter 9</u> Available Documentation (pages 9 and 10)
c) the procedures for balanced representation of stakeholders,	Procedures	Yes	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards. <u>Section 6</u> Standardization Body, point 6.1, letter b) (page 4)  PS-02-19 Procedure for Establishing a Technical Committee for CERTFOR Standards. <u>Section 6.2</u> General Regulations for Establishment of the Technical Committee (page 4) <u>Section 6.4</u> Invitation to Stakeholders and

Question	Assess. basis*	Yes /NO*	Reference to application documents
			Selection of the Technical Committee (page 5)  PS-02-20 Stakeholder Mapping Procedure
d) the standard-setting process,	Procedures	Yes	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards
e) the mechanism for reaching consensus, and	Procedures	Yes	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards. Section 6 Standardization Body, point 6.1, letter d) (page 4) Section 7.10 Building a Consensus on the Final Draft (page 8) Section 7.11 Formal Approval of CERTFOR Standards (page 9)  PS-02-19: Procedure for Establishing a Technical Committee for CERTFOR Standards Section 6.8 Building a Consensus (page 7)
f) revision of standards/normative documents.	Procedures	Yes	DN-01-02, Procedure for the Development and Revision of CERTFOR Standards Section 8 Revision of CERTFOR Standards (page 9)
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	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards Section 6.2 (page 4)
	Process	Yes	Annex 1: Section 4.2 Procedure publicly available
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	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards Section 7.12 Documentation of Standardization Process (page 9) Section 7.13 Publication of CERTFOR Standards (page 9)
	Process	Yes	Annex 2: Section 4.3 records standard setting process

Question	Assess. basis*	Yes /NO*	Reference to application documents
4.4 The standardising body shall establish a permanent or temporary working group/committee responsible for standard-setting activities.	Procedures	Yes	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards Section 6 Standardization Body Section 6.4 (page 4)  PS-02-19: Procedure for Establishing a Technical Committee for CERTFOR Standards Section 6.2 General Regulations for Establishment of the Technical Committee (page 4)
	Process	Yes	Annex 3: Section 4.4 Technical Committee
4.4 The working group/committee shall:			
a) be accessible to materially and directly affected stakeholders,	Procedures	Yes	PS-02-19 Procedure for Establishing a Technical Committee for CERTFOR Standards Section 6.2 General Regulations for Establishment of the Technical Committee, letter a) (page 4)
	Process	Yes	Annex 3: Section 4.4 Technical Committee
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	PS-02-19 Procedure for Establishing a Technical Committee for CERTFOR Standards Section 6.2 General Regulations for Establishment of the Technical Committee, letter b) and c) (page 4)
	Process	Yes	Annex 3: Section 4.4 Technical Committee
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	PS-02-19 Procedure for Establishing a Technical Committee for CERTFOR Standards Section 6.2 General Regulations for Establishment of the Technical Committee, letter d) and c) (page 4)
	Process	Yes	Annex 3: Section 4.4 Technical Committee
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	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards Section 6 Standardization Body (page 5), Section 6.5 and Section 6.5 (page 5)

Question	Assess. basis*	Yes /NO*	Reference to application documents
			PS-02-13: Procedure for Addressing Complaints
	Process	Yes	Annex 4: Section 4.5 Complains and suggestions
4.5 Upon receipt of the complaint, the standard-setting body shall:			
a) acknowledge receipt of the complaint to the complainant,	Procedures	Yes	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards Section 6 Standardization Body, <u>Section 6.5</u> letter a) (page 5)  PS-02-13 Procedure for Addressing Complaints
	Process	Yes	Annex 4: Section 4.5 Complains and suggestions
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	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards Section 6 Standardization Body, <u>Section 6.5</u> letter b) (page 5)  PS-02-13 Procedure for Addressing Complaints
	Process	Yes	Annex 4: Section 4.5 Complains and suggestions
c) formally communicate the decision on the complaint and of the complaint handling process to the complainant.	Procedures	Yes	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards Section 6 Standardization Body, <u>Section 6.5</u> letter c) (page 5)  PS-02-13: Procedure for Addressing Complaints
	Process	Yes	Annex 4: Section 4.5 Complains and suggestions
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	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards Section 6 Standardization Body, <u>Section 6.6</u> letter (page 5)  PS-02-13 Procedure for Addressing Complaints

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	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards <u>Section 7</u> Development and/or Revision of Standards, <u>Section 7.1</u> Stakeholder Identification (page 5)  PS-02-20 Stakeholder Mapping Procedure <u>Section 6.2</u> Stakeholder Identification (page 4)
	Process	Yes	Annex 5: Stakeholder Identification
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	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards <u>Section 7</u> Development and/or Revision of Standards, <u>Section 7.2</u> Disadvantaged Stakeholders (page 5)  PS-02-20 Stakeholder Mapping Procedure <u>Section 7.3</u> Strategies to Gain Access to Disadvantaged Stakeholders (page 7)
	Process	Yes	Annex 5: Stakeholder Identification
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	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards <u>Section 7</u> Development and/or Revision of Standards, <u>Section 7.3</u> Public Announcement of Initiation of the Standardization Process (page 5)
	Process	Yes	Annex 6: Public announcement of initiation standardization process
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	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards <u>Section 7</u> Development and/or Revision of Standards <u>Section 7.3</u> Public Announcement of Initiation of the Standardization Process, letter a) (page 5)



Question	Assess. basis*	Yes /NO*	Reference to application documents
	Process	Yes	Annex 6: Section 5.3 Public announcement of initiation standardization process
b) information about opportunities for stakeholders to participate in the process,	Procedures	Yes	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards <u>Section 7</u> Development and/or Revision of Standards <u>Section 7.3</u> Public Announcement of Initiation of the Standardization Process, letter b) (page 5)
	Process	Yes	Annex 6: Section 5.3 Public announcement of initiation standardization 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,	Procedures	Yes	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards <u>Section 7</u> Development and/or Revision of Standards <u>Section 7.3</u> Public Announcement of Initiation of the Standardization Process, letter c) (page 6)
	Process	Yes	Annex 6: Section 5.3 Public announcement of initiation standardization process
d) an invitation to comment on the scope and the standard-setting process, and	Procedures	Yes	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards <u>Section 7</u> Development and/or Revision of Standards <u>Section 7.3</u> Public Announcement of Initiation of the Standardization Process, letter d) (page 6)
	Process	Yes	Annex 6: Section 5.3 Public announcement of initiation standardization process
e) reference to publicly available standard-setting procedures.	Procedures	Yes	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards <u>Section 7</u> Development and/or Revision of Standards <u>Section 7.3</u> Public Announcement of Initiation of the Standardization Process, letter e)

Question	Assess. basis*	Yes /NO*	Reference to application documents
			(page 6) <u>Chapter 9</u> Available Documentation (pages 9 and 10)
	Process	Yes	Annex 1: Section 4.2 Procedures Publicly available
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	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards <u>Section 7</u> Development and/or Revision of Standards <u>Section 7.3</u> Public Announcement of Initiation of the Standardization Process (page 5) <u>Section 7.4</u> Standardization Process Review (page 6)  PS-02-19: Procedure for Establishing a Technical Committee for CERTFOR Standards <u>Section 6.4</u> Invitation to Stakeholders and Selection of the Technical Committee (page 5)
	Process	Yes	Annex 7: Section 5.4 Invitation to stakeholders and selection of the technical committee
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	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards <u>Section 7</u> Development and/or Revision of Standards <u>Section 7.6</u> Technical Committee Organization, letter a) (page 6)  PS-02-19: Procedure for Establishing a Technical Committee for CERTFOR Standards <u>Section 6.6</u> Preparation of an Enquiry Draft by the Technical Committee, letter a) (page 6)
	Process	Yes	Annex 8: Section 5.5a Draft zero
b) all members of the working group shall be provided with meaningful opportunities to contribute to the development or	Procedures	Yes	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards

Question	Assess. basis*	Yes /NO*	Reference to application documents
revision of the standard and submit comments to the working drafts, and			<p>Section 7 Development and/or Revision of Standards Section 7.6 Technical Committee Organization, letter b) (page 6)</p> <p>PS-02-19: Procedure for Establishing a Technical Committee for CERTFOR Standards Section 6.6 Preparation of an Enquiry Draft by the Technical Committee, letter b) (page 6)</p>
	Process	Yes	Annex 9: Section 5.5b-c Technical Committee work
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	<p>DN-01-02 Procedure for the Development and Revision of CERTFOR Standards Section 7 Development and/or Revision of Standards Section 7.6 Technical Committee Organization, letter c) (page 6)</p> <p>PS-02-19: Procedure for Establishing a Technical Committee for CERTFOR Standards Section 6.6. Preparation of an Enquiry Draft by the Technical Committee, letter c) (page 6)</p>
	Process	Yes	Annex 9: Section 5.5b-c Technical Committee work
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	<p>DN-01-02 Procedure for the Development and Revision of CERTFOR Standards Section 7 Development and/or Revision of Standards Section 7.8 Public Consultation, letter a) (page 7)</p>
	Process	Yes	Annex 10: Section 5.6a Communication public consultation
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	<p>DN-01-02 Procedure for the Development and Revision of CERTFOR Standards Section 7 Development and/or Revision of Standards</p>

Question	Assess. basis*	Yes /NO*	Reference to application documents
			Section 7.8 Public Consultation, letter b) (page 7)
	Process	Yes	Annex 11: Section 5.6b Invitation public consultation
c) the enquiry draft is publicly available and accessible,	Procedures	Yes	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards Section 7 Development and/or Revision of Standards Section 7.8 Public Consultation, letter c) (page 7)
	Process	Yes	Annex 12: 5.6c Standard Consultation
d) the public consultation is for at least 60 days,	Procedures	Yes	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards Section 7 Development and/or Revision of Standards Section 7.8 Public Consultation, letter d) (page 7)
	Process	Yes	Annex 13: Section 5.6d Schedule public consultation
e) all comments received are considered by the working group/committee in an objective manner,	Procedures	Yes	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards Section 7 Development and/or Revision of Standards Section 7.8 Public Consultation, letter g) (page 7)
	Process	Yes	Annex 14: Section 5.6e comments in public consultation
(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	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards Section 7 Development and/or Revision of Standards Section 7.8 Public Consultation, letter h) (page 8)
	Process	Yes	Annex 15: Section 5.6f summary comments in public consultation
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	DN-01-02, Procedure for the Development and Revision of CERTFOR Standards Section 7 Development and/or Revision of Standards Section 7.9 Pilot Testing (page 8)

Question	Assess. basis*	Yes /NO*	Reference to application documents
	Process	Yes	Document DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations is in force since 2003, therefore its application has been validated by certified companies.  Annex 16: Section 5.7 SFM certification reports
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	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards Section 7 Development and/or Revision of Standards Section 7.10 Building a Consensus on the Final Draft (page 8)
	Process	Yes	Annex 17: Approval final draft by technical committee
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	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards Section 7 Development and/or Revision of Standards Section 7.10 Building a Consensus on the Final Draft, letter a) (page 8)
	Process	No	Was not necessary to apply
b) a telephone conference meeting where there is a verbal yes/no vote,	Procedures	Yes	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards Section 7 Development and/or Revision of Standards Section 7.10 Building a Consensus on the Final Draft, letter b) (page 8)
	Process	No	Was not necessary to apply
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	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards Section 7 Development and/or Revision of Standards Section 7.10 Building a Consensus on the Final Draft, letter c) (page 8)

Question	Assess. basis*	Yes /NO*	Reference to application documents
	Process	Yes	Annex 17: Approval final draft by technical committee
d) combinations thereof.	Procedures	Yes	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards <u>Section 7</u> Development and/or Revision of Standards <u>Section 7.10</u> Building a Consensus on the Final Draft, letter d) (page 8)
	Process	No	Was not necessary to apply
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	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards <u>Section 7</u> Development and/or Revision of Standards <u>Section 7.10</u> Building a Consensus on the Final Draft, letter e) (page 8)
	Process	No	Was not necessary to apply
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	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards <u>Section 7</u> Development and/or Revision of Standards <u>Section 7.10</u> Building a Consensus on the Final Draft, letter d) (page 8)
	Process	No	Was not necessary to apply
c) dispute resolution process.	Procedures	Yes	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards <u>Section 7</u> Development and/or Revision of Standards <u>Section 7.10</u> Building a Consensus on the Final Draft, letter f) (page 8) and g) (page 9)  PS-02-19 Procedure for Establishing a Technical Committee for CERTFOR Standards <u>Section 6.8.</u> Building a Consensus, (page 7)

Question	Assess. basis*	Yes /NO*	Reference to application documents
	Process	No	Was not necessary to apply
5.10 Documentation on the implementation of the standard-setting process shall be made publicly available.	Procedures	Yes	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards <u>Section 7</u> Development and/or Revision of Standards <u>Section 7.12</u> Documentation of Standardization Process (page 9)
	Process	Yes	Annex 1: Section 4.2 Procedures Publicly available Annex 2: Section 4.3 Records Standard Setting Process
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	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards <u>Section 7</u> Development and/or Revision of Standards <u>Section 7.11</u> Formal Approval of CERTFOR Standards (page 9)
	Process	Yes	Annex 17: Approval final draft by technical committee
5.12 The formally approved standards/normative documents shall be published in a timely manner and made publicly available.	Procedures	Yes	DN-01-02 Procedure for the Development and Revision of CERTFOR Standards <u>Section 7</u> Development and/or Revision of Standards <u>Section 7.13</u> Publication of CERTFOR Standards (page 9)
	Process	No	The final document will be formally approved and made publicly available once it has received approval by PEFC Council.
<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	Procedures DN-01-02 Procedure for the Development and Revision of CERTFOR Standards <u>Chapter 8</u> Revision Of CERTFOR Standards, point 8.1 (page 9)  <u>Process</u> Annex 18: Endorsement extension CertforChile

Question	Assess. basis*	Yes /NO*	Reference to application documents
6.2 The revision shall define the application date and transition date of the revised standards/normative documents.	Process	Yes	<p><u>Procedures</u> DN-01-02 Procedure for the Development and Revision of CERTFOR Standards <u>Chapter 8</u> Revision Of CERTFOR Standards, point 8.2 (page 9)</p> <p><u>Process</u> Annex 18: Endorsement extension CertforChile</p>
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	<p><u>Procedures</u> DN-01-02 Procedure for the Development and Revision of CERTFOR Standards <u>Chapter 8</u> Revision Of CERTFOR Standards, point 8.3 (page 9)</p> <p>Note: This activity has not been carried out yet. See Annex 19: Certification and Accreditation Process</p>
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	<p><u>Procedures</u> DN-01-02 Procedure for the Development and Revision of CERTFOR Standards <u>Chapter 8</u> Revision Of CERTFOR Standards, point 8.4 (page 9)</p> <p><b>Note:</b> This activity has not been carried out yet. See Annex 19: Certification and Accreditation Process</p>

### 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.

## PART II: Standard and System Requirement Checklist for Group FOREST MANAGEMENT CERTIFICATION (PEFC ST 1002:2010)

### 1 Scope

Part II covers requirements for group forest management certification as defined in PEFC ST 1002:2010, *Group Forest Management Certification – 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

**Note:** Reference document, DN-02-08 CERTFOR Standard for Group Certification

Question	YES / NO*	Reference to system documentation
<b>General</b>		
4.1 Does the forest certification scheme provide clear definitions for the following terms in conformity with the definitions of those terms presented in chapter 3 of PEFC ST 1002:2010:		
a) the group organisation,	Yes	<u>Glossary of Terms</u> <b>Certification group:</b> A group of participants represented by the group entity for the purpose of implementing the CERTFOR Standard for Sustainable Forest Management of Plantations and its certification process (page 14)
b) the group entity,	Yes	<u>Glossary of Terms</u> <b>Group entity:</b> An entity that represents the participants, with overall responsibility for ensuring the conformity of forest management in the certified area with the CERTFOR Standard for Sustainable Forest Management of Plantations and other applicable requirements of the CERTFOR Forest Certification System (page 14)
c) the participant,	Yes	<u>Glossary of Terms</u> <b>Group participant:</b> A small or medium-sized forest owner covered by a CERTFOR Certification Group certificate, who has the legal right to manage a clearly defined holding subject to forest management, and the ability to implement CERTFOR Standard for Sustainable Forest Management of Plantations requirements at said holding (page 14)
d) the certified area,	Yes	<u>Glossary of Terms</u> <b>Certified area:</b> The forest area covered by a CERTFOR Certification Group certificate, representing the sum of all holdings subject to forest management owned by the participants (page 14)

Question	YES / NO*	Reference to system documentation
e) the group forest certificate, and	Yes	<u>Glossary of Terms</u>  <b>CERTFOR Certification Group Certificate:</b> A document confirming that the certification group complies with the CERTFOR Standard for Sustainable Forest Management of Plantations requirements, and other applicable requirements of the CERTFOR Forest Certification System (page 14)
f) the document confirming participation in group forest certification.	Yes	<u>Glossary of Terms</u>  <b>Document confirming that the participant belongs to the certification group:</b> A document issued by the group entity to an individual participant confirming that he or she belongs to the certification group and is covered by the scope of the certification group (page 14)
4.1.2 In cases where a forest certification scheme allows an individual forest owner to be covered by additional group or individual forest management certifications, the scheme shall ensure that non-conformity by the forest owner identified under one forest management certification is addressed in any other forest management certification that covers the forest owner.	No	<u>Not applicable</u>  CERTFOR Standard for Group Certification states that "A participant belonging to a certification group shall not be entitled to individually qualify for a CERTFOR system sustainable forest management certificate nor belong to more than one certification group (Introduction, page 2)
4.1.3 The forest certification scheme shall define requirements for group forest certification which ensure that participants' conformity with the sustainable forest management standard is centrally administered and is subject to central review and that all participants shall be subject to the internal monitoring programme.	Yes	<u>Criterion: 1.2</u> Indicators: 1.2.1, 1.2.2 and 1.2.3 (page 3)  <u>Criterion: 2.1</u> Indicators: 2.1.1, 2.1.2, 2.1.3 and 2.1.4 (page 4)  <u>Criterion: 2.2</u> Indicator: 2.2.1 (page 4)  <u>Criterion: 2.3</u> Indicator: 2.3.1 (page 4)  <u>Criterion: 2.4</u> Indicators: 2.4.1 and 2.4.2 (page 4)  <u>Criterion: 2.5</u> Indicators: 2.5.1, 2.5.2 and 2.5.3 (page 4)  <u>Criterion: 2.6</u> (page 5) Indicators: 2.6.1 and 2.6.2 (page 5)  <u>Criterion: 2.7</u> Indicators: 2.7.1 and 2.7.2 (page 5)  <u>Criterion: 2.8</u>

Question	YES / NO*	Reference to system documentation
		Indicators: 2.8.1, 2.8.2 and 2.8.3 (page 5)  <u>Criterion: 2.14</u> Indicators: 2.14.1, 2.14.2, 2.14.3 and 2.14.4 (page 6)  <u>Criterion: 2.16</u> Indicator: 2.16.1 (page 7)  <u>Criterion: 2.27</u> Indicators: 2.27.1 and 2.27.2
4.1.4 The forest certification scheme shall define requirements for an annual internal monitoring programme that provides sufficient confidence in the conformity of the whole group organisation with the sustainable forest management standard.	Yes	<u>Criterion: 2.14</u> Indicators: 2.14.1, 2.14.2, 2.14.3 and 2.14.4 (page 6)
<b>Functions and responsibilities of the group entity</b>		
4.2.1 The forest certification scheme shall define the following requirements for the function and responsibility of the group entity:		
a) To represent the group organisation 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;	Yes	<u>Criterion: 1.1</u> Indicator: 1.1.1 (page 3)  <u>Criterion: 2.1</u> Indicator: 2.1.3 (page 4)
b) To provide a commitment on behalf of the whole group organisation to comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme;	Yes	<u>Criterion: 1.2</u> Indicators: 1.2.1, 1.2.2 and 1.2.3 (page 3)  <u>Criterion: 2.1</u> Indicator: 2.1.4 (page 4)
c) To establish written procedures for the management of the group organisation;	Yes	<u>Criterion: 2.9</u> Indicator: 2.9.1 (page 6)  <u>Criterion: 2.10</u> Indicators: 2.10.1 and 2.10.2 (page 6)  <u>Criterion: 2.11</u> Indicators: 2.11.1, 2.11.2 2.11.3 and 2.11.4 (page 6)  <u>Criterion: 2.12</u> Indicators: 2.12.1 and 2.12.2 (page 6)  <u>Criterion: 2.13</u> Indicator: 2.13.1 (page 6)  <u>Criterion: 2.14</u> Indicators: 2.14.1, 2.14.2, 2.14.3 and 2.14.4 (page 6)
d) To keep records of: - the group entity and participants' conformity with the requirements of the sustainable forest management standard, and other applicable requirements of the forest certification scheme,	Yes	<u>Criterion: 2.10</u> Indicators: 2.10.1 and 2.10.2 (page 6)  <u>Criterion: 2.16</u> Indicators: 2.16.1 and 2.16.2 (page 7)

Question	YES / NO*	Reference to system documentation
<ul style="list-style-type: none"> <li>- all participants, including their contact details, identification of their forest property and its/their size(s),</li> <li>- the certified area,</li> <li>- the implementation of an internal monitoring programme, its review and any preventive and/or corrective actions taken;</li> </ul>		<p><u>Criterion: 2.23</u> Indicators: 2.23.1, 2.23.2 and 2.23.3 (page 10)</p> <p><u>Criterion: 2.24</u> Indicators: 2.24.1, 2.24.2, 2.24.3 and 2.24.4 (page 10)</p> <p><u>Criterion: 2.25 (page 10)</u></p> <p><u>Criterion: 2.26 (page 10)</u></p> <p><u>Criterion: 2.27</u> Indicators: 2.27.1 and 2.27.2 (page 11)</p>
e) To establish connections with all participants based on a written agreement which shall include the participants' commitment to comply with the sustainable forest management standard. The group entity shall have a written contract or other written agreement with all participants covering the right of the group entity to implement and enforce any corrective or preventive measures, and to initiate the exclusion of any participant from the scope of certification in the event of non-conformity with the sustainable forest management standard;	Yes	<p><u>Criterion: 1.2</u> Indicators: 1.2.1, 1.2.2 and 1.2.3 (page 3)</p> <p><u>Criterion: 2.6</u> Indicators: 2.6.1 and 2.6.2 (page 5)</p>
f) To provide participants with a document confirming participation in the group forest certification;	Yes	<p><u>Criterion: 2.6</u> Indicator: 2.6.2 (page 5)</p>
g) To provide all participants with information and guidance required for the effective implementation of the sustainable forest management standard and other applicable requirements of the forest certification scheme;	Yes	<p><u>Criterion: 2.7</u> Indicators: 2.7.1 and 2.7.2 (page 5)</p> <p><u>Criterion: 2.8</u> Indicators: 2.8.1, 2.8.2 and 2.8.3 (page 5)</p>
h) To operate an annual internal monitoring programme that provides for the evaluation of the participants' conformity with the certification requirements, and;	Yes	<p><u>Criterion: 2.23</u> Indicators: 2.23.1, 2.23.2 and 2.23.3</p>
i) To operate a review of conformity with the sustainable forest management standard, that includes reviewing the results of the internal monitoring programme and the certification body's evaluations and surveillance; corrective and preventive measures if required; and the evaluation of the effectiveness of corrective actions taken.	Yes	<p><u>Criterion: 2.24</u> Indicators: 2.24.1, 2.24.2, 2.24.3 and 2.24.4</p>
<b>Function and responsibilities of participants</b>		
4.3.1 The forest certification scheme shall define the following requirements for the participants:		
a) To provide the group entity with a written agreement, including a commitment on conformity with the sustainable forest management standard and other applicable requirements of the forest certification scheme;	Yes	<p><u>Criterion: 1.2</u> Indicators: 1.2.1, 1.2.2 and 1.2.3 (page 3)</p> <p><u>Criterion: 2.6</u> Indicators: 2.6.1 and 2.6.2 (page 5)</p>
b) To comply with the sustainable forest management standard and other applicable requirements of the	Yes	<p><u>Criterion: 2.1</u> Indicator: 2.1.4 (page 4)</p>

Question	YES / NO*	Reference to system documentation
forest certification scheme;		<p><u>Criterion: 2.6</u> Indicator: 2.6.1 - a. (page 5)</p> <p><u>Criterion 2.7</u> Indicators 2.7.1 and 2.7.2 (page 5)</p> <p><u>Criterion: 2.16</u> Indicator: 2.16.1 (page 7)</p> <p><u>Criterion: 2.27</u> Indicators: 2.27.1 and 2.27.2 (page 11)</p> <p><u>Criterion: 2.28</u> Indicators: 2.28.1 and 2.28.2 (page 11)</p> <p><u>Criterion: 2.29</u> Indicators: 2.29.1 and 2.29.2 (page 11)</p>
c) To 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;	Yes	<p><u>Criterion: 2.6</u> Indicators: 2.6.1 and 2.6.2 (page 5)</p>
d) To implement relevant corrective and preventive actions established by the group entity.	Yes	<p><u>Criterion: 2.24</u> Indicators: 2.24.1, 2.24.2, 2.24.3 and 2.24.4 (page 12)</p>

## PART III: Standard and System Requirement Checklist for SUSTAINABLE FOREST MANAGEMENT (PEFC ST 1003:2010)

### 1 Scope

Part III covers requirements for sustainable forest management as defined in PEFC ST 1003:2010, *Sustainable Forest Management – 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

**Note 1:** Reference document: DN-02-05 CERTFOR Standard for Sustainable Forest Management of Plantations.

**Note 2:** Although in some cases the issues are addressed at the level of verifiers, only the corresponding indicators are referenced.

Question	YES / NO*	Reference to scheme documentation
<b>General requirements for SFM standards</b>		
4.1 The requirements for sustainable forest management defined by regional, national or sub-national forest management standards shall		
a) include management and performance requirements that are applicable at the forest management unit level, or at another level as appropriate, to ensure that the intent of all requirements is achieved at the forest management unit level.	NO	Not applicable
b) be clear, objective-based and auditable.	NO	Not applicable
c) apply to activities of all operators in the defined forest area who have a measurable impact on achieving compliance with the requirements.	NO	Not applicable
d) require record-keeping that provides evidence of compliance with the requirements of the forest management standards.	NO	Not applicable
<b>Specific requirements for SFM standards</b>		
<b>Criterion 1: Maintenance and appropriate enhancement of forest resources and their contribution to the global carbon cycle</b>		
5.1.1 Forest management planning shall aim to maintain or increase forests and other wooded areas and enhance the quality of the economic, ecological, cultural and social values of forest resources, including soil and water. This shall be done by making full use of related services and tools that support land-use planning and nature conservation.	Yes	<u>Criterion: 1.2</u> Indicators: 1.2.1, 1.2.2, 1.2.3 and 1.2.4 (page 4) Indicator: 1.2.5 (page 5)  <u>Criterion: 1.6</u> Indicators: 1.6.3, 1.6.4 and 1.6.5 (page 9)  <u>Criterion: 2.1</u> Indicator: 2.1.3 (page 11)
5.1.2 Forest management shall comprise the cycle of inventory and planning, implementation, monitoring and evaluation, and shall include an appropriate assessment of the social,	Yes	<u>Criterion: 1.2</u> Indicator: 1.2.6 (page 5)  <u>Criterion: 1.6</u>

Question	YES / NO*	Reference to scheme documentation
environmental and economic impacts of forest management operations. This shall form a basis for a cycle of continuous improvement to minimise or avoid negative impacts.		<p>Indicators: 1.6.1 and 1.6.2 (page 9)</p> <p><u>Criterion: 5.1</u> Indicator: 5.1.2 (page 28)</p> <p><u>Criterion: 9.1</u> Indicator: 9.1.1 (page 51)</p> <p><u>Criterion: 9.2</u> Indicators: 9.2.1 and 9.2.4 (page 53)</p>
5.1.3 Inventory and mapping of forest resources shall be established and maintained, adequate to local and national conditions and in correspondence with the topics described in this document.	Yes	<p><u>Criterion: 1.2</u> Indicator: 1.2.2 (page 5)</p> <p><u>Criterion: 1.3</u> Indicators: 1.3.1, 1.3.2 and 1.3.3 (page 6)</p> <p><u>Criterion: 2.2</u> Indicator: 2.2.2 (page 12)</p> <p><u>Criterion: 4.3</u> Indicator: 4.3.1 (page 21)</p> <p><u>Criterion: 4.4</u> Indicator: 4.4.1 (page 22)</p> <p><u>Criterion: 4.7</u> Indicator: 4.7.1 (page 25)</p>
5.1.4 Management plans or their equivalents, appropriate to the size and use of the forest area, shall be elaborated and periodically updated. They shall be based on legislation as well as existing land-use plans, and adequately cover the forest resources.	Yes	<p><u>Criterion: 1.2</u> Indicator: 1.2.6 (page 5)</p> <p><u>Criterion: 9.1</u> Indicator: 9.1.1 (page 51)</p> <p><u>Criterion: 9.2</u> Indicator: 9.2.1 (page 53)</p>
5.1.5 Management plans or their equivalents shall include at least a description of the current condition of the forest management unit, long-term objectives; and the average annual allowable cut, including its justification and, where relevant, the annually allowable exploitation of non-timber forest products.	Yes	<p><u>Criterion: 1.2</u> Indicator: 1.2.1 (page 4)</p>
5.1.6 A summary of the forest management plan or its equivalent appropriate to the scope and scale of forest management, which contains information about the forest management measures to be applied, is publicly available. The summary may exclude confidential business and personal information and other information made confidential by national legislation or for the protection of cultural sites or sensitive natural resource features.	Yes	<p><u>Criterion: 1.2</u> Indicator: 1.2.7 (page 5)</p>
5.1.7 Monitoring of forest resources and evaluation of their management shall be periodically performed, and results fed back into the planning	Yes	<p><u>Criterion: 9.1</u> Indicator: 9.1.1 (page 51)</p>



Question	YES / NO*	Reference to scheme documentation
process.		Criterion: 9.2 Indicator: 9.2.9 (page 54)
5.1.8 Responsibilities for sustainable forest management shall be clearly defined and assigned.	Yes	Criterion: 1.1 Indicators: 1.1.2, 1.1.2 and 1.1.4 (page 3)
5.1.9 Forest management practices shall safeguard the quantity and quality of the forest resources in the medium and long term by balancing harvesting and growth rates, and by preferring techniques that minimise direct or indirect damage to forest, soil or water resources.	Yes	Criterion: 1.2 Indicator: 1.2.3 (page 4)  Criterion: 1.6 Indicators: 1.6.1, 1.6.2, 1.6.3, 1.6.4 and 1.6.5 (page 9)
5.1.10 Appropriate silvicultural measures shall be taken to maintain or reach a level of the growing stock that is economically, ecologically and socially desirable.	Yes	Criterion: 1.6 Indicator: 1.6.4 (page 9)
5.1.11 Conversion of forests to other types of land use, including conversion of primary forests to forest plantations, shall not occur unless in justified circumstances where the conversion: a) is in compliance with national and regional policy and legislation relevant for land use and forest management and is a result of national or regional land-use planning governed by a governmental or other official authority including consultation with materially and directly interested persons and organisations; and b) entails a small proportion of forest type; and c) does not have negative impacts on threatened (including vulnerable, rare or endangered) forest ecosystems, culturally and socially significant areas, important habitats of threatened species or other protected areas; and d) makes a contribution to long-term conservation, economic, and social benefits.	Yes	Criterion: 2.1 Indicators: 2.1.1 and 2.1.2 (page 11)
5.1.12 Conversion of abandoned agricultural and treeless land into forest land shall be taken into consideration, whenever it can add economic, ecological, social and/or cultural value.	Yes	Criterion: 2.1 Indicator: 2.1.3 (page 11)
<b>Criterion 2: Maintenance of forest ecosystem health and vitality</b>		
5.2.1 Forest management planning shall aim to maintain and increase the health and vitality of forest ecosystems and to rehabilitate degraded forest ecosystems, whenever this is possible by silvicultural means.	Yes	Criterion: 4.3 Indicator: 4.3.4 (page 21)
5.2.2 Health and vitality of forests shall be periodically monitored, especially key biotic and abiotic factors that potentially affect health and vitality of forest ecosystems, such as pests, diseases, overgrazing and overstocking, fire, and damage caused by climatic factors, air pollutants or by forest management operations.	Yes	Criterion: 9.1 Indicator: 9.1.1 (page 51)  Criterion: 9.2 Indicator: 9.2.3 (page 52) Indicator: 9.2.9 (page 54)
5.2.3 The monitoring and maintaining of health and	Yes	Criterion: 3.1

Question	YES / NO*	Reference to scheme documentation
vitality of forest ecosystems shall take into consideration the effects of naturally occurring fire, pests and other disturbances.		<p>Indicators: 3.1.1, 3.1.2, 3.1.3, 3.1.4, 3.1.5, 3.1.6, 3.1.7 and 3.1.8 (page 13)</p> <p><u>Criterion: 3.2</u> Indicators: 3.2.1, 3.2.2, 3.2.3, 3.2.4 and 3.2.5 (page 14)</p> <p><u>Criterion: 9.2</u> Indicator: 9.2.3 (page 52)</p>
5.2.4 Forest management plans or their equivalents shall specify ways and means to minimise the risk of degradation of and damages to forest ecosystems. Forest management planning shall make use of those policy instruments set up to support these activities.	Yes	<p><u>Criterion: 1.2</u> Indicator: 1.2.3 (page 4)</p>
5.2.5 Forest management practices shall make best use of natural structures and processes and use preventive biological measures wherever and as far as economically feasible to maintain and enhance the health and vitality of forests. Adequate genetic, species and structural diversity shall be encouraged and/or maintained to enhance the stability, vitality and resistance capacity of the forests to adverse environmental factors and strengthen natural regulation mechanisms.	Yes	<p><u>Criterion: 1.4</u> Indicators: 1.4.1 and 1.4.4 (page 7)</p> <p><u>Criterion: 1.5</u> Indicators: 1.5.1 and 1.5.2 (page 8)</p> <p><u>Criterion: 1.6</u> Indicator: 1.6.5 (page 9)</p> <p><u>Criterion: 3.3</u> Indicators: 3.3.2 and 3.3.3 (page 15)</p> <p><u>Criterion: 4.3</u> Indicator: 4.3.4 (page 21)</p>
5.2.6 Lighting of fires shall be avoided and is only permitted if it is necessary for the achievement of the management goals of the forest management unit.	Yes	<p><u>Criterion: 4.7</u> Indicator: 4.4.7 (page 22)</p>
5.2.7 Appropriate forest management practices such as reforestation and afforestation with tree species and provenances that are suited to the site conditions or the use of tending, harvesting and transport techniques that minimise tree and/or soil damages shall be applied. The spillage of oil during forest management operations or the indiscriminate disposal of waste on forest land shall be strictly avoided. Non-organic waste and litter shall be avoided, collected, stored in designated areas and removed in an environmentally-responsible manner.	Yes	<p><u>Criterion: 1.4</u> Indicators: 1.4.1 and 1.4.3 (page 7)</p> <p><u>Criterion: 1.6</u> Indicator: 1.6.5 (page 9)</p> <p><u>Criterion: 3.4</u> Indicator: 3.4.4 (page 16)</p> <p><u>Criterion: 3.6</u> Indicators: 3.6.1, 3.6.2, 3.6.3 and 3.6.4 (page 18)</p> <p><u>Criterion: 4.4</u> Indicator: 4.4.3 (page 22)</p> <p><u>Criterion: 4.5</u> Indicators: 4.5.1, 4.5.2 and 4.5.3 (page 23)</p> <p><u>Criterion: 4.6</u> Indicators: 4.6.1, 4.6.2 and 4.6.4 (page 24)</p>

Question	YES / NO*	Reference to scheme documentation
		<u>Criterion: 9.2</u> Indicator: 9.2.3 (page 52)
5.2.8 The use of pesticides shall be minimised and appropriate silvicultural alternatives and other biological measures preferred.	Yes	<u>Criterion: 3.3</u> Indicators: 3.3.2 and 3.3.3 (page 15)
5.2.9 The WHO Type 1A and 1B pesticides and other highly toxic pesticides shall be prohibited, except where no other viable alternative is available.	Yes	<u>Criterion: 3.3</u> Indicator: 3.3.1 (page 15)
5.2.10 Pesticides, such as chlorinated hydrocarbons whose derivatives remain biologically active and accumulate in the food chain beyond their intended use, and any pesticides banned by international agreement, shall be prohibited.	Yes	<u>Criterion: 3.3</u> Indicator: 3.3.1 (page 15)
5.2.11 The use of pesticides shall follow the instructions given by the pesticide producer and be implemented with proper equipment and training.	Yes	<u>Criterion: 3.4</u> Indicators: 3.4.1 and 3.4.6 (page 16)
5.2.12 Where fertilisers are used, they shall be applied in a controlled manner and with due consideration for the environment.	Yes	<u>Criterion: 3.4</u> Indicators: 3.4.3, 3.4.4 and 3.4.5 (page 16)  <u>Criterion: 3.5</u> Indicators: 3.5.1, 3.5.2 and 3.5.3 (page 17)  <b>Note:</b> Fertilisers are treated as chemical products.
<b>Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood)</b>		
5.3.1 Forest management planning shall aim to maintain the capability of forests to produce a range of wood and non-wood forest products and services on a sustainable basis.	Yes	<u>Criterion: 1.6</u> Indicators: 1.6.1 and 1.6.2 (page 9)  <u>Criterion: 1.7</u> Indicators: 1.7.1, 1.7.2 and 1.7.3 (page 10)
5.3.2 Forest management planning shall aim to achieve sound economic performance taking into account any available market studies and possibilities for new markets and economic activities in connection with all relevant goods and services of forests.	Yes	<u>Criterion: 1.2</u> Indicator: 1.2.4 (page 4)
5.3.3 Forest management plans or their equivalents shall take into account the different uses or functions of the managed forest area. Forest management planning shall make use of those policy instruments set up to support the production of commercial and non-commercial forest goods and services.	Yes	<u>Criterion: 1.2</u> Indicator: 1.2.5 (page 5)
5.3.4 Forest management practices shall maintain and improve the forest resources and encourage a diversified output of goods and services over the long term.	Yes	<u>Criterion: 1.2</u> Indicator: 1.2.5 (page 5)  <u>Criterion: 1.7</u> Indicator: 1.7.3 (page 10)  <u>Principle 3</u> (pages 13 - 18)

Question	YES / NO*	Reference to scheme documentation
5.3.5 Regeneration, tending and harvesting operations shall be carried out in time, and in a way that does not reduce the productive capacity of the site, for example by avoiding damage to retained stands and trees as well as to the forest soil, and by using appropriate systems.	Yes	<p>Criterion: 1.6 Indicator: 1.6.4 (page 9)</p> <p>Criterion: 4.2 Indicator: 4.2.2 (page 20)</p> <p>Criterion: 4.3 Indicator: 4.3.7 (page 21)</p> <p>Criterion: 4.4 Indicators: 4.4.2, 4.4.3, 4.4.4, 4.4.5, 4.4.6 and 4.4.7 (page 22)</p> <p>Criterion: 4.5 Indicators: 4.5.1 and 4.4.5 (page 23)</p>
5.3.6 Harvesting levels of both wood and non-wood forest products shall not exceed a rate that can be sustained in the long term, and optimum use shall be made of the harvested forest products, with due regard to nutrient off-take.	Yes	<p>Criterion: 1.6 Indicators: 1.6.1 and 1.6.2 (page 9)</p> <p>Criterion: 1.7 Indicator: 1.7.2 (page 10)</p> <p>Criterion: 4.5 Indicators: 4.5.4 and 4.5.5 (page 23)</p>
5.3.7 Where it is the responsibility of the forest owner/manager and included in forest management, the exploitation of non-timber forest products, including hunting and fishing, shall be regulated, monitored and controlled.	Yes	<p>Criterion: 1.7 Indicators: 1.7.1, 1.7.2 and 1.7.3 (page 10)</p> <p>Criterion: 5.2 Indicator: 5.2.9 (page 31)</p> <p>Criterion: 9.2 Indicator: 9.2.5 (page 53)</p> <p><b>Note:</b> Hunting and fishing are very unusual in Chilean forest plantations.</p>
5.3.8 Adequate infrastructure such as roads, skid tracks or bridges shall be planned, established and maintained to ensure efficient delivery of goods and services while minimising negative impacts on the environment.	Yes	<p>Criterion: 4.6 Indicators: 4.6.1, 4.6.2, 4.6.3 and 4.6.4 (page 24)</p> <p>Criterion: 4.7 Indicators: 4.7.2, 4.7.3, 4.7.4 and 4.7.5 (page 25)</p> <p>Criterion: 9.2 Indicator: 9.2.4 (page 53)</p> <p><b>Note:</b> Bridges are considered as part of the roads.</p>
<b>Criterion 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems</b>		
5.4.1 Forest management planning shall aim to maintain, conserve and enhance biodiversity on ecosystem, species and genetic levels and, where appropriate, diversity at landscape level.	Yes	<p>Criterion: 1.3 Indicator: 1.3.1 (page 6)</p> <p>Criterion: 4.2 Indicators: 4.2.1 and 4.2.2 (page 20)</p>

Question	YES / NO*	Reference to scheme documentation
		<u>Criterion: 4.3</u> Indicators: 4.3.1, 4.3.2, 4.3.3, 4.3.4, 4.3.5 and 4.3.6 (page 21)
5.4.2 Forest management planning, inventory and mapping of forest resources shall identify, protect and/or conserve ecologically important forest areas containing significant concentrations of: a) protected, rare, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes; b) areas containing endemic species and habitats of threatened species, as defined in recognised reference lists; c) endangered or protected genetic <i>in situ</i> resources; and taking into account d) globally, regionally and nationally significant large landscape areas with natural distribution and abundance of naturally occurring species.	Yes	<u>Criterion: 2.2</u> Indicators: 2.2.1, 2.2.2, 2.2.3, 2.2.4, 2.2.5, 2.2.6 and 2.2.7 (page 12)
5.4.3 Protected and endangered plant and animal species shall not be exploited for commercial purposes. Where necessary, measures shall be taken for their protection and, where relevant, to increase their population.	Yes	<u>Criterion: 4.1</u> Indicators: 4.1.1, 4.1.2, 4.1.3, 4.1.4 and 4.1.5 (page 19)  <u>Criterion: 8.1</u> Indicator: 8.1.4 (page 47)  <u>Criterion: 8.2</u> Indicator: 8.2.1 (page 48)
5.4.4 Forest management shall ensure successful regeneration through natural regeneration or, where not appropriate, planting that is adequate to ensure the quantity and quality of the forest resources.	Yes	<u>Criterion: 1.6</u> Indicator: 1.6.3 (page 9)  <u>Criterion: 4.3</u> Indicators: 4.3.2 and 4.3.4 (page 21)
5.4.5 For reforestation and afforestation, origins of native species and local provenances that are well-adapted to site conditions shall be preferred, where appropriate. Only those introduced species, provenances or varieties shall be used whose impacts on the ecosystem and on the genetic integrity of native species and local provenances have been evaluated, and if negative impacts can be avoided or minimised.	Yes	<u>Criterion: 1.4</u> Indicators: 1.4.1 and 1.4.3 (page 7)
5.4.6 Afforestation and reforestation activities that contribute to the improvement and restoration of ecological connectivity shall be promoted.	Yes	<u>Criterion: 4.3</u> Indicators: 4.3.5 and 4.3.6 (page 21)
5.4.7 Genetically-modified trees shall not be used.	Yes	<u>Criterion: 1.4</u> Indicators: 1.4.2 and 1.4.3 (page 7)
5.4.8 Forest management practices shall, where appropriate, promote a diversity of both horizontal and vertical structures such as uneven-aged stands and the diversity of species such as mixed stands. Where appropriate, the practices shall also aim to	Yes	<u>Criterion: 4.5</u> Indicator: 4.5.2 (page 23)  <b>Note:</b> Not directly applicable to forest plantations. However there are stands of

Question	YES / NO*	Reference to scheme documentation
maintain and restore landscape diversity.		different species and ages on the landscape.
5.4.9 Traditional management systems that have created valuable ecosystems, such as coppice, on appropriate sites shall be supported, when economically feasible.	Yes	<u>Criterion: 4.3</u> Indicators: 4.3.1, 4.3.3 and 4.3.4 (page 21)
5.4.10 Tending and harvesting operations shall be conducted in a way that does not cause lasting damage to ecosystems. Wherever possible, practical measures shall be taken to improve or maintain biological diversity.	Yes	<u>Criterion: 4.2</u> Indicator: 4.2.2 (page 20)  <u>Criterion: 4.3</u> Indicator: 4.3.7 (page 21)
5.4.11 Infrastructure shall be planned and constructed in a way that minimises damage to ecosystems, especially to rare, sensitive or representative ecosystems and genetic reserves, and that takes threatened or other key species – in particular their migration patterns – into consideration.	NO	Requirements regarding infrasture planning and construction are oriented directly to roads (including bridges) and storage yards.
5.4.12 With due regard to management objectives, measures shall be taken to balance the pressure of animal populations and grazing on forest regeneration and growth as well as on biodiversity.	Yes	<u>Criterion: 3.2</u> Indicator: 3.2.1 (page 14)
5.4.13 Standing and fallen dead wood, hollow trees, old groves and special rare tree species shall be left in quantities and distribution necessary to safeguard biological diversity, taking into account the potential effect on the health and stability of forests and on surrounding ecosystems.	Yes	<u>Criterion: 4.3</u> Indicator: 4.3.3 (page 21)
<b>Criterion 5: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)</b>		
5.5.1 Forest management planning shall aim to maintain and enhance protective functions of forests for society, such as protection of infrastructure, protection from soil erosion, protection of water resources and from adverse impacts of water such as floods or avalanches.	Yes	<u>Criterion: 4.2</u> Indicator: 4.2.1 (page 20)  <u>Criterion: 4.4</u> Indicators: 4.4.2, 4.4.4, 4.4.5 and 4.4.6 (page 22)  <u>Criterion: 4.5</u> Indicator: 4.5.1 (page 23)  <u>Criterion: 4.8</u> Indicator: 4.8.2 (page 26)
5.5.2 Areas that fulfil specific and recognised protective functions for society shall be registered and mapped, and forest management plans or their equivalents shall take these areas into account.	Yes	<u>Criterion: 2.2</u> Indicators: 2.2.1, 2.2.2, 2.2.3, 2.2.4, 2.2.5, 2.2.6 and 2.2.7 (page 12)  <u>Criterion: 5.4</u> Indicator: 5.4.2 (page 33)  <u>Criterion: 6.2</u> Indicators: 6.2.2 and 6.2.3 (page 35)
5.5.3 Special care shall be given to silvicultural operations on sensitive soils and erosion-prone	Yes	<u>Criterion: 4.4</u> Indicators: 4.4.1, 4.4.2 and 4.4.3 (page 22)

Question	YES / NO*	Reference to scheme documentation
areas as well as in areas where operations might lead to excessive erosion of soil into watercourses. Inappropriate techniques such as deep soil tillage and use of unsuitable machinery shall be avoided in such areas. Special measures shall be taken to minimise the pressure of animal populations.		<u>Criterion: 4.5</u> Indicators: 4.5.1, 4.5.2 and 4.5.3 (page 23)
5.5.4 Special care shall be given to forest management practices in forest areas with water protection functions to avoid adverse effects on the quality and quantity of water resources. Inappropriate use of chemicals or other harmful substances or inappropriate silvicultural practices influencing water quality in a harmful way shall be avoided.	Yes	<u>Criterion: 1.6</u> Indicator: 1.6.5 (page 9)  <u>Criterion: 3.5</u> Indicator: 3.5.2 (page 17)  <u>Criterion: 3.6</u> Indicator: 3.6.3 (page 18)  <u>Criterion: 4.2</u> Indicator: 4.2.2 (page 10)  <u>Criterion: 4.5</u> Indicator: 4.5.1 (page 23)  <u>Criterion: 4.8</u> Indicators: 4.8.1 and 4.8.2 (page 26)
5.5.5 Construction of roads, bridges and other infrastructure shall be carried out in a manner that minimises bare soil exposure, avoids the introduction of soil into watercourses and preserves the natural level and function of water courses and river beds. Proper road drainage facilities shall be installed and maintained.	Yes	<u>Criterion: 4.6</u> Indicators: 4.6.1, 4.6.2 and 4.6.5 (page 24)  <u>Criterion: 4.7</u> Indicators: 4.7.3, 4.7.4 and 4.7.5 (page 25)
<b>Criterion 6: Maintenance of other socio-economic functions and conditions</b>		
5.6.1 Forest management planning shall aim to respect the multiple functions of forests to society, give due regard to the role of forestry in rural development, and especially consider new opportunities for employment in connection with the socio-economic functions of forests.	Yes	<u>Criterion: 5.2</u> Indicators: 5.2.1, 5.2.2, 5.2.3, 5.2.4, 5.2.5, 5.2.6, 5.2.7 and 5.2.8 (page 30) Indicator: 5.2.9 (page 31)
5.6.2 Forest management shall promote the long-term health and well-being of communities within or adjacent to the forest management area.	Yes	<u>Criterion: 5.3</u> Indicators: 5.3.1, 5.3.2, 5.3.3 and 5.2.4 (page 32)
5.6.3 Property rights and land tenure arrangements shall be clearly defined, documented and established for the relevant forest area. Likewise, legal, customary and traditional rights related to the forest land shall be clarified, recognised and respected.	Yes	<u>Criterion: 5.1</u> Indicator: 5.1.6 (page 28) Indicator: 5.1.7 (page 29)  <u>Criterion: 6.1</u> Indicators: 6.1.1, 6.1.2, 6.1.3 and 6.1.4 (page 34)  <u>Criterion: 6.3</u> Indicators: 6.3.1, 6.3.3 and 6.3.4 (page 36)  <u>Criterion: 6.4</u> Indicators: 6.4.1, 6.4.2, 6.4.3 and 6.4.4 (page

Question	YES / NO*	Reference to scheme documentation
		37)  <u>Criterion: 8.1</u> Indicator: 8.1.1 (page 47)  <u>Criterion: 8.4</u> Indicators: 8.4.1, 8.4.2 and 8.4.3 (page 50)  <u>Criterion: 9.2</u> Indicator: 9.2.6 (page 53) Indicator: 9.2.8 (page 54)
5.6.4 Forest management activities shall be conducted in recognition of the established framework of legal, customary and traditional rights such as outlined in ILO 169 and the UN Declaration on the Rights of Indigenous Peoples, which shall not be infringed upon without the free, prior and informed consent of the holders of the rights, including the provision of compensation where applicable. Where the extent of rights is not yet resolved or is in dispute there are processes for just and fair resolution. In such cases forest managers shall, in the interim, provide meaningful opportunities for parties to be engaged in forest management decisions whilst respecting the processes and roles and responsibilities laid out in the policies and laws where the certification takes place.	Yes	<u>Criterion: 6.3</u> Indicators: 6.3.1, 6.3.2, 6.3.3 and 6.3.4 (page 36)  <u>Criterion: 8.2</u> Indicator: 8.2.2 (page 48)
5.6.5 Adequate public access to forests for the purpose of recreation shall be provided taking into account respect for ownership rights and the rights of others, the effects on forest resources and ecosystems, as well as compatibility with other functions of the forest.	Yes	<u>Criterion: 5.4</u> Indicators: 5.4.1, 5.4.2 and 5.4.3 (page 33)
5.6.6 Sites with recognised specific historical, cultural or spiritual significance and areas fundamental to meeting the basic needs of local communities (e.g. health, subsistence) shall be protected or managed in a way that takes due regard of the significance of the site.	Yes	<u>Criterion: 6.2</u> Indicators: 6.2.1, 6.2.2 and 6.2.3 (page 35)  <u>Criterion: 9.2</u> Indicator: 9.2.6 (page 53)
5.6.7 Forest management operations shall take into account all socio-economic functions, especially the recreational function and aesthetic values of forests by maintaining for example varied forest structures, and by encouraging attractive trees, groves and other features such as colours, flowers and fruits. This shall be done, however, in a way and to an extent that does not lead to serious negative effects on forest resources, and forest land.	NO	Not applicable for forest plantations.
5.6.8 Forest managers, contractors, employees and forest owners shall be provided with sufficient information and encouraged to keep up-to-date through continuous training in relation to sustainable forest management as a precondition	Yes	<u>Criterion: 1.1</u> Indicator: 1.1.4 (page 3)  <u>Criterion: 3.1</u> Indicator: 3.1.8 (page 13)



Question	YES / NO*	Reference to scheme documentation
for all management planning and practices described in this standard.		<p><u>Criterion: 4.9</u> Indicators: 4.9.1, 4.9.2 and 4.9.3 (page 27)</p> <p><u>Criterion: 6.4</u> Indicator: 6.1.4 (page 34)</p> <p><u>Criterion: 7.5</u> Indicators: 7.5.1 and 7.5.2 (page 46)</p>
5.6.9 Forest management practices shall make the best use of local forest-related experience and knowledge, such as those of local communities, forest owners, NGOs and local people.	Yes	<p><u>Criterion: 1.2</u> Indicator: 1.2.2 (page 4)</p> <p><u>Criterion: 4.8</u> Indicator: 4.8.2 (page 26)</p> <p><u>Criterion: 6.5</u> Indicator: 6.5.1 (page 38)</p>
5.6.10 Forest management shall provide for effective communication and consultation with local people and other stakeholders relating to sustainable forest management and shall provide appropriate mechanisms for resolving complaints and disputes relating to forest management between forest operators and local people.	Yes	<p><u>Criterion: 5.1</u> Indicators: 5.1.2, 5.1.3, 5.1.4, 5.1.5 and 5.1.6 (page 28) Indicator: 5.1.7 (page 29)</p> <p><u>Criterion: 6.4</u> Indicators: 6.4.1, 6.4.2 and 6.4.3 (page 37)</p> <p><u>Criterion: 8.4</u> Indicator: 8.4.3 (page 50)</p> <p><u>Criterion: 9.2</u> Indicator: 9.2.5 and 9.2.8 (page 53) Indicator: 9.2.8 (page 54)</p>
5.6.11 Forestry work shall be planned, organised and performed in a manner that enables health and accident risks to be identified and all reasonable measures to be applied to protect workers from work-related risks. Workers shall be informed about the risks involved with their work and about preventive measures.	Yes	<p><u>Criterion: 7.1</u> Indicator: 7.1.1 (page 39)</p> <p><u>Criterion: 7.2</u> Indicator: 7.2.5 (page 41)</p> <p><u>Criterion: 7.3</u> Indicators: 7.3.1, 7.3.2, 7.3.3, 7.3.4 7.3.5, 7.3.6 and 7.3.7 (page 43) Indicator: 7.3.8 (page 44)</p> <p><u>Criterion: 7.4</u> Indicators: 7.4.1, 7.4.3, 7.4.4 and 7.4.5 (page 45)</p>
5.6.12 Working conditions shall be safe, and guidance and training in safe working practices shall be provided to all those assigned to a task in forest operations.	Yes	<p><u>Criterion: 7.3</u> Indicators: 7.3.1, 7.3.2, 7.3.3, 7.3.4 7.3.5 and 7.3.6 (page 43)</p>
5.6.13 Forest management shall comply with fundamental ILO conventions.	Yes	<p><u>Criterion: 6.3</u> Indicator: 6.3.1 (page 36)</p> <p><u>Criterion: 8.2</u> Indicator: 8.2.2 (page 48)</p>

Question	YES / NO*	Reference to scheme documentation
5.6.14 Forest management shall be based inter-alia on the results of scientific research. Forest management shall contribute to research activities and data collection needed for sustainable forest management or support relevant research activities carried out by other organisations, as appropriate.	Yes	<u>Criterion: 1.2</u> Indicator: 1.2.6 (page 5)  <u>Criterion: 1.4</u> Indicators: 1.4.4 and 1.4.5 (page 7)  <u>Criterion: 4.8</u> Indicator: 4.8.2 (page 26)
<b>Criterion 7: Compliance with legal requirements</b>		
5.7.1 Forest management shall comply with legislation applicable to forest management issues including forest management practices; nature and environmental protection; protected and endangered species; property, tenure and land-use rights for indigenous people; health, labour and safety issues; and the payment of royalties and taxes.	Yes	<u>Criterion: 7.1</u> Indicators: 7.1.1 and 7.1.3 (page 39)  <u>Criterion: 8.1</u> Indicators: 8.1.1 and 8.1.2 (page 47)  <u>Criterion: 8.3</u> Indicators: 8.3.1 and 8.3.2 (page 49)  <u>Criterion: 8.4</u> Indicators: 8.4.1 and 8.4.2 (page 50)  <u>Criterion: 9.2</u> Indicators: 9.2.8 (page 54)
5.7.2 Forest management shall provide for adequate protection of the forest from unauthorised activities such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities.	Yes	<u>Criterion: 2.2</u> Indicator: 2.2.6 (page 12)  <u>Criterion: 4.1</u> Indicator: 4.1.4 (page 19)  <u>Criterion: 8.1</u> Indicator: 8.1.4 (page 47)  <u>Criterion: 9.2</u> Indicator: 9.2.8 (page 54)

\* 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.

## PART IV: Standard and System Requirement Checklist for certification and accreditation procedures (Annex 6)

### 1 Scope

This document covers requirements for certification and accreditation procedures given in Annex 6 to the PEFC Council Technical Document (*Certification and accreditation procedures*).

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

**Note:** Reference document: DN-02-11 Certification and Accreditation Procedures

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
<b>Certification Bodies</b>				
1.	Does the scheme documentation require that certification shall be carried out by impartial, independent third parties that cannot be involved in the standard setting process as governing or decision making body, or in the forest management and are independent of the certified entity?	Annex 6, 3.1	Yes	<u>Clause 3.1</u> Competence of Certification Bodies (page 3)
2.	Does the scheme documentation require that certification body for forest management certification shall fulfil requirements defined in ISO 17021 or ISO Guide 65?	Annex 6, 3.1	Yes	<u>Clause 3.1</u> Competence of Certification Bodies, point 1) letter a) and b) (page 3) and point 2) (page 4)
3.	Does the scheme documentation require that certification bodies carrying out forest certification shall have the technical competence in forest management on its economic, social and environmental impacts, and on the forest certification criteria?	Annex 6, 3.1	Yes	<u>Clause 3.1</u> Competence of Certification Bodies, point 3) (page 4)
4.	Does the scheme documentation require that certification bodies shall have a good understanding of the national PEFC system against which they carry out forest management certification?	Annex 6, 3.1	Yes	<u>Clause 3.1</u> Competence of Certification Bodies, point 4) (page 4)
5.	Does the scheme documentation require that certification bodies have the responsibility to use competent auditors and who have adequate technical know-how on the certification process and issues related to forest management certification?	Annex 6, 3.2	Yes	<u>Clause 3.2</u> Auditors, paragraph 1 (page 4)
6.	Does the scheme documentation require that the auditors must fulfil the general criteria of ISO 19011 for Quality Management Systems auditors or for Environmental Management Systems	Annex 6, 3.2	Yes	<u>Clause 3.2</u> Auditors, paragraph 2 (page 4)

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	auditors?			
7.	Does the scheme documentation include additional qualification requirements for auditors carrying out forest management audits? <sup>[*1]</sup>	Annex 6, 3.2	Yes	<u>Clause 3.2</u> Auditors, paragraph 3 (page 4) <u>Clause 3.3</u> Points 1 and 2 (page 4) Point 3 (page 5)
<b>Certification procedures</b>				
8.	Does the scheme documentation require that certification bodies shall have established internal procedures for forest management certification?	Annex 6, 4	Yes	<u>Clause 4</u> Certification Procedures, paragraph 1 (page 5)
9.	Does the scheme documentation require that applied certification procedures for forest management certification shall fulfil or be compatible with the requirements defined in ISO 17021 or ISO Guide 65?	Annex 6, 4	Yes	<u>Clause 4</u> Certification Procedures, paragraph 2 letter a) (page 5)
10.	Does the scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011?	Annex 6, 4	Yes	<u>Clause 4</u> Certification Procedures, paragraph 4 (page 5)
11.	Does the scheme documentation require that certification body shall inform the relevant PEFC National Governing Body about all issued forest management certificates and changes concerning the validity and scope of these certificates?	Annex 6, 4	Yes	<u>Clause 4</u> Certification Procedures, paragraph 5, letter a) (page 5)
12.	Does the scheme documentation require that certification body shall carry out controls of PEFC logo usage if the certified entity is a PEFC logo user?	Annex 6, 4	Yes	<u>Clause 4</u> Certification Procedures, paragraph 5, letter b) (page 5)
13.	Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?	Annex 6, 4	Yes	<u>Clause 4</u> Certification Procedures, paragraph 6 (page 5)
14.	Does a maximum period for assessment audit not exceed five years for forest management certifications?	Annex 6, 4	Yes	<u>Clause 4</u> Certification Procedures, paragraph 6 (page 5)
15.	Does the scheme documentation include requirements for public availability of certification report summaries?	Annex 6, 4	Yes	<u>Clause 4</u> Certification Procedures, paragraph 8 and 9 (page 6)
16.	Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?	Annex 6, 4	Yes	<u>Clause 4</u> Certification Procedures, paragraph 7 (page 5)
17.	Does the scheme documentation include additional requirements for certification procedures? <sup>[*1]</sup>	Annex 6, 4	Yes	PS-02-21 Notification of Certification Bodies for Chain of Custody and Forest Management Certification in Chile against the requirements of the CERTFOR System

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
				DN-02-14 Requirements of Certification Bodies operating Certification against the CERTFOR Chain of Custody Standard
<b>Accreditation procedures</b>				
18.	Does the scheme documentation require that certification bodies carrying out forest management certification shall be accredited by a national accreditation body?	Annex 6, 5	Yes	Clause 5 Accreditation, paragraph 1 (page 6) and point 5.1 Accreditation process by the Instituto Nacional de Normalización (INN) (page 7)
19.	Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?	Annex 6, 5	Yes	Clause 5 Accreditation, paragraph 1 (page 6)
20.	Does the scheme documentation require that the accreditation shall be issued by an accreditation body which is a part of the International Accreditation Forum (IAF) umbrella or a member of IAF's special recognition regional groups and which implement procedures described in ISO 17011 and other documents recognised by the above mentioned organisations?	Annex 6, 5	Yes	Clause 5 Accreditation, paragraph 2 (page 6) point 5.1 Accreditation process by the Instituto Nacional de Normalización (INN) (page 7)
21.	Does the scheme documentation require that certification body undertake forest management certification as "accredited certification" based on ISO 17021 or ISO Guide 65 and the relevant forest management standard(s) shall be covered by the accreditation scope?	Annex 6, 5	Yes	Clause 5 Accreditation, paragraphs 3 and 4 (page 6)
22.	Does the scheme documentation include a mechanism for PEFC notification of certification bodies?	Annex 6, 6	Yes	Clause 6 CERTFOR/PEFC Notification of Certification Bodies (page 7)  PS-02-21, Notification of Certification Bodies for Chain of Custody and Forest Management Certification in Chile against the requirements of the CERTFOR System
23.	Are the procedures for PEFC notification of certification bodies non-discriminatory?	Annex 6, 6	Yes	Clause 6 CERTFOR/PEFC Notification of Certification Bodies, paragraph 4 (Page 7)

\* 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.

[\*1] This is not an obligatory requirement

## PART V: Standard and System Requirement Checklist for system specific Chain of custody standards – COMPLIANCE WITH PEFC ST PEFC 2002:2013

### 1 Scope

Part V is used for the assessment of scheme specific chain of custody standards against PEFC ST 2002:2013 (*Chain of Custody of Forest Based Products - 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

**Note:** Reference document, DN-02-07 CERTFOR Standard for Chain of Custody of Forest Products

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
<b>Terms and Definitions</b>				
1.	Are the terms and definitions of the scheme specific CoC standard in compliance with chapter 3?	3	Yes	<u>Chapter 3</u> (page 7)
<b>Identification of material/products</b>				
2.	Does the scheme specific CoC standard require identification of the material/products in compliance with chapter 4?	4	Yes	<u>Chapter 4</u> (page 13 and 14)
<b>PEFC Due Diligence System (DDS) for avoidance of raw material from controversial sources</b>				
3.	Are the general requirements of the DDS of the scheme specific CoC standard in compliance with 5.1?	5.1	Yes	<u>Chapter 5</u> Point: 5.1 (page 13)
4.	Does the DDS of the scheme specific CoC standard require gathering of information in compliance with 5.2?	5.2	Yes	<u>Chapter 5</u> Point: 5.2 (page 13 and 14)
5.	Does the DDS of the scheme specific CoC standard include requirements for a risk assessment in compliance with 5.3?	5.3	Yes	<u>Chapter 5</u> Point: 5.3 (page 14, 15 and 16)
6.	Does the DDS of the scheme specific CoC standard require the consideration of substantiated concerns in compliance with 5.4?	5.4	Yes	<u>Chapter 5</u> Point: 5.4 (page 16 and 17)
7.	Does the DDS of the scheme specific CoC standard include requirements for management of high-risk supplies in compliance with 5.5?	5.5	Yes	<u>Chapter 5</u> Point: 5.5 (page 17 and 18)
8.	Does the DDS of the scheme specific CoC standard include requirements concerning the placement of material on the market which are in compliance with 5.6?	5.6	Yes	<u>Chapter 5</u> Point: 5.6 (page 18)
<b>Chain of custody methods</b>				
9.	Does the scheme specific CoC standard allow physical separation and percentage based method as chain of custody methods?	6.1	Yes	<u>Chapter 6</u> Point: 6.1 (page 18)
10.	Are the general requirements for the physical separation method in compliance with 6.2.1?	6.2.1	Yes	<u>Chapter 6</u> Point: 6.2.1 (page 18)

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
11.	Are the requirements for the separation of certified material/products in compliance with 6.2.2?	6.2.2	Yes	<a href="#">Chapter 6</a> Point: 6.2.2 (page 19)
12.	Are the requirements for the application of the percentage based method in compliance with 6.3.1?	6.3.1	Yes	<a href="#">Chapter 6</a> Point: 6.3.1 (page 19)
13.	Does the scheme specific CoC standard include requirements for the definition of the product group in compliance with 6.3.2?	6.3.2	Yes	<a href="#">Chapter 6</a> Point: 6.3.2 (page 19 and 20)
14.	Does the scheme specific CoC standard include requirements for the calculation of the certification percentage in compliance with 6.3.3?	6.3.3	Yes	<a href="#">Chapter 6</a> Point: 6.3.3 (page 20)
15.	Does the scheme specific CoC standard include requirements for the transfer of the calculated percentage to the outputs, which are in compliance with 6.3.4?	6.3.4	Yes	<a href="#">Chapter 6</a> Point: 6.3.4 (page 21 and 22)
<b>Sale of and communication on claimed products</b>				
16.	Does the scheme specific CoC standard include requirements for the documentation associated with sold/transferred products in compliance with 7.1?	7.1	Yes	<a href="#">Chapter 7</a> Point: 7.1 (page 23)
17.	Does the scheme specific CoC standard include requirements for the use of logos and labels in compliance with 7.2?	7.2	Yes	<a href="#">Chapter 7</a> Point: 7.2 (page 23 and 24)
<b>Management system</b>				
18.	Does the scheme specific CoC standard require management responsibilities for the organisation's management in compliance with 8.1?	8.1	Yes	<a href="#">Chapter 8</a> Point: 8.1 (page 25)
19.	Does the scheme specific CoC standard include requirements for responsibilities and authorities for C-o-C in compliance with 8.2?	8.2	Yes	<a href="#">Chapter 8</a> Point: 8.2 (page 25)
20.	Does the scheme specific CoC standard include requirements for documented procedures in compliance with 8.3?	8.3	Yes	<a href="#">Chapter 8</a> Point: 8.3 (page 25 and 26)
21.	Does the scheme specific CoC standard include requirements for record keeping in compliance with 8.4?	8.4	Yes	<a href="#">Chapter 8</a> Point: 8.4 (page 26)
22.	Does the scheme specific CoC standard include requirements for resource management in compliance with 8.5?	8.5	Yes	<a href="#">Chapter 8</a> Point: 8.5 (page 26)
23.	Does the scheme specific CoC standard include requirements for inspection and control in compliance with 8.6?	8.6	Yes	<a href="#">Chapter 8</a> Point: 8.6 (page 27)
24.	Does the scheme specific CoC standard include requirements for complaint resolution procedures in compliance with 8.7?	8.7	Yes	<a href="#">Chapter 8</a> Point: 8.7 (page 27)
25.	Does the scheme specific CoC standard include requirements for subcontracting in compliance with 8.8?	8.8	Yes	<a href="#">Chapter 8</a> Point: 8.8 (page 27)



No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
<b>Social, health and safety requirements</b>				
26.	Does the scheme specific CoC standard include social, health and safety requirements in compliance with chapter 9?	9	Yes	<u>Chapter 9</u> Point: 9.1 (page 28) Point 9.2 (page 28)
<b>Specification of PEFC claims</b>				
27.	Does the scheme specific CoC standard include a definition of certified raw material, neutral and other raw material (for the purposes of PEFC claims / labelling) in compliance with Appendix 1?	Appendix 1	Yes	<u>Appendix 1</u> (page 29)
28.	Does the national standard specify formal PEFC claims in compliance with 1.2 and 2.2?	Appendix 1, 1.2, 2.2	Yes	<u>Appendix 1</u> Point: 1.2 (page 29) Point: 2.2 (page 30)
<b>Implementation of chain of custody by multisite organisations (only for standards which include rules for multisite or group certification)</b>				
29.	Does the scheme specific CoC standard define "multisite organisation" in compliance with Appendix 2, 2?	Appendix 3, 2	Yes	<u>Appendix 2</u> Point: 2 (page 31)
30.	Does the scheme specific CoC standard include requirements for multisite organisations in compliance with Appendix 3, 3.1?	Appendix 3, 3.1	Yes	<u>Appendix 2</u> Point: 3.1 (page 32)
31.	Does the scheme specific CoC standard include requirements for the function and responsibilities of the central office in compliance with chapter Appendix 3, 3.2.1?	Appendix 3, 3.2.1	Yes	<u>Appendix 2</u> Point: 3.2.1 (page 32 and 33)
32.	Does the scheme specific CoC standard include requirements for function and responsibilities of sites connected to a multisite organisation in compliance with Appendix 3, 3.2.2?	Appendix 3, 3.2.2	Yes	<u>Appendix 2</u> Point: 3.2.2 (page 33)

\* 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.

## PART VI: Standard and System Requirement Checklist for scheme administration requirements

### 1 Scope

Part VI is used for the assessment of requirements for the administration of PEFC schemes outlined in PEFC 1004:2009, *Administration of PEFC scheme*.

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

The compliance with these requirements is only evaluated in the first PEFC assessment of a scheme or on specific request by the PEFC Secretariat.

### 2 Checklist

Note: Reference document: DN-01-01 CERTFOR System Manual

No.	Question	Reference to PEFC GD 1004:2009	YES / NO*	Reference to application documents
<b>PEFC Notification of certification bodies</b>				
1.	Are procedures for the notification of certification bodies in place, which comply with chapter 5 of PEFC GD 1004:2009, <i>Administration of PEFC scheme</i> ?	Chapter 5	Yes	Chapter 9 CERTFOR/PEFC Notification (pages 12 and 13)  DN-02-11 Certification and Accreditation Procedures  PS-02-21 Notification of Certification Bodies for Forest Management and Chain of Custody Certification in Chile using CERTFOR Scheme requirements
<b>PEFC Logo usage licensing</b>				
2.	Are procedures for the issuance of PEFC Logo usage licenses in place, which comply with chapter 6 of PEFC GD 1004:2009, <i>Administration of PEFC scheme</i> ?	Chapter 6	Yes	Chapter 13 CERTFOR and PEFC Logo Licenses (pages 16 and 17)  DN-02-13 Guidelines for use of the CERTFOR Logo  DN-02-04 Guidelines for Use of the PEFC Logo
<b>Complaints and dispute procedures</b>				
3.	Are complaint and dispute procedures in place, which comply with chapter 8 of PEFC GD 1004:2009, <i>Administration of PEFC scheme</i> ?	Chapter 8	Yes	Chapter 14 Claims Processing Procedure (page 17)  PS-02-13 Claims Processing Procedure

\* 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.