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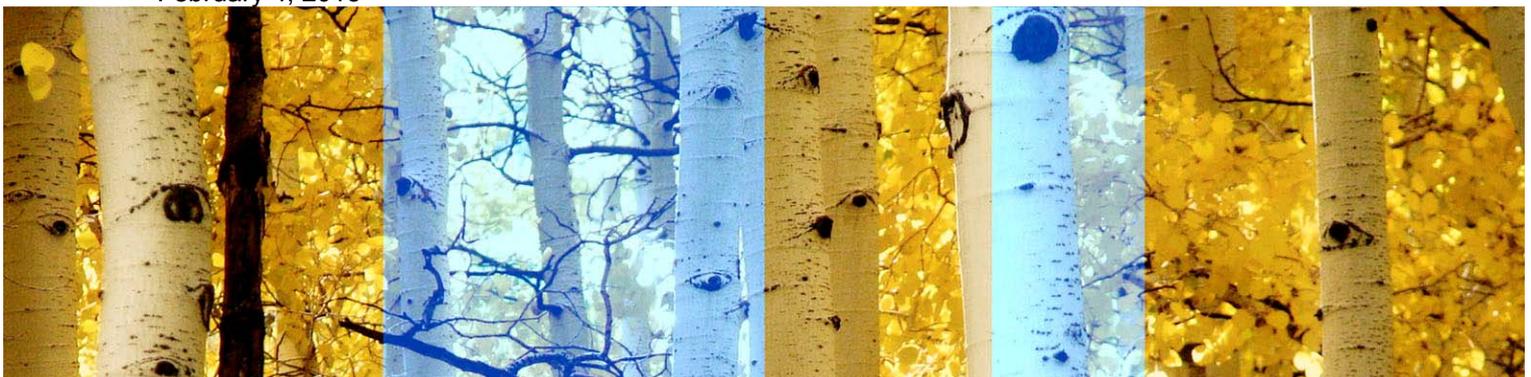
PEFC Council

## **Conformity Assessment of Australian Forest Certification Scheme for PEFC Endorsement**

*Final report*

Helsinki, Finland  
February 4, 2015

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ID 67560





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## **ABBREVIATIONS**

AFCS	Australian Forest Certification Scheme
AFS	Australian Forestry Standard Ltd
ABSDO	Accreditation Board for Standards Development Organisations
CoC	Chain of custody
CM PROC	Corporate Management Procedures
FMS	Forest Management System
IAF	International Accreditation Forum
ILO	International Labour Organisation
ISO	International Organization for Standardisation
JAS-NZ	Joint Accreditation System of Australia and New Zealand
NLA	Native Title Act
PEFC	Programme for the Endorsement of Forest Certification Schemes
PEFC GD	PEFC Guidance document
PEFC ST	PEFC Standard
RMA	Resource Management Act
SD	Standard
SDO	Standard Development Organisation
SRC	Standard Reference Committee
UN	United Nations



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## PREFACE

This report provides an independent conformity assessment on the revision of the Australian Forest Certification Scheme (AFCS) with the requirements of PEFC Council. The report is prepared to provide information for the PEFC Council for its decision on the potential endorsement of AFCS.

The report or its information may not be used for other purposes. PEFC Council has the right to publish the final version of the report on the Council's Internet site.

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## **1. INTRODUCTION**

### **1.1 Objective and Scope of the Assessment**

The Australian Forest Certification Scheme (AFCS) is owned and operated by Australian Forestry Standard Ltd (AFS Ltd). The AFS Ltd is a national standard setting body in Australia accredited by the Accreditation Board for Standards Development Organisations (ASBDO).

The objective of this assignment is to assess the compliance of the revised Australian Forest Certification Scheme revision and standard setting procedures, as well as the Scheme implementation and performance requirements for forest management and chain of custody. The assessment report will provide sufficient information as well as professional and objective conclusions on the compliance of different scheme elements which will provide a basis for the decision-making process of the PEFC Council.

### **1.2 Assessment Process**

The assessment process included the following phases:

#### **1. International public consultation**

The international public consultation organized by the PEFC Council was held in August – September 2014. A compilation of the comments received during the consultation are presented in Table 12.1 (p. 34).

#### **2. National consultation of interested parties**

Indufor sent a questionnaire on standard setting process to all 50 parties invited to standard revision in 2010. The original contact list was given by AFS Ltd. The objective of the consultation was to verify that the planned procedures were implemented and the principles of open access, fair decision making, consensus building and availability of grievance procedures were respected.

The questionnaire was sent out on 4 November 2014 but only three replies were received. The time gap between the initiation of standard setting and the date of assessment was a reason for the low reply rate. The questionnaire is available in Appendix 3.

#### **3. Desk study**

The assessment was made against PEFC requirements using the PEFC Checklist (PEFC IGD 1007-01:2012) as a reference template and the AFCS references as a reference guide. Evidence on conformity was verified from the original AFCS or another document referred to by AFS Ltd. In the case where the referred document did not provide satisfactory evidence on the conformity to PEFC requirement other documents/sections were studied or the AFS Ltd was requested to provide additional information.

#### **4. Elaboration of draft report**

Draft report was sent to AFS Ltd and PEFC Council on 14 November 2014. AFS Ltd provided comments and requested further information on 11 December 2014.

#### **5. Elaboration of the final draft report**

The clarifications and additional information and documents received from AFS Ltd on all issues that were classified as non-complying were taken into consideration when drawing the final conclusions in this final draft report.

The final draft report was sent to AFS Ltd and PEFC Council on 5 January 2015, and PEFC Council further submitted it to the PEFC Panel of Experts for review.

#### **6. Review of the Panel of Experts**



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The final draft report was reviewed by the 3 members of the Panel of Experts. Their comments to the report with the consultant's considerations in the final report are presented in Appendix 4.

#### **7. Elaboration of the final report**

The final report included any changes and amendments that Indufor, in the role of independent assessor, deemed relevant to include in the report. The Appendix 4 gives justification for the consideration of each one of the comments received from the Panel of Experts.

The final report was sent to PEFC Council and AFS Ltd on 4 February 2015.

### **1.3 Report Structure**

Chapter 1 describes the purpose and process of the independent assessment.

Chapter 2 states the Indufor's recommendation to the Board of the PEFC Council on the endorsement of the AFCS.

Chapter 3 describes a summary of conclusions justifying the recommendation given.

Chapter 4 presents the assessment method and material used.

Chapter 5 describes the structure of the AFCS and its procedures for scheme revision. It also evaluates how the written procedures were implemented in the recent revision.

Chapter 6 assesses AFCS requirements for group certification and their compliance with PEFC requirements.

Chapter 7 describes the requirements of AFCS forest management standard in view of PEFC requirements.

Chapter 8 analyses chain of custody standard revision and requirements.

Chapter 9 address the AFCS regulations on the use of PEFC logo.

Chapter 10 reviews AFCS requirements for certification and accreditation procedures.

Chapter 11 reviews procedures for appeals and dispute resolution and their application in practice

Chapter 12 summarizes the received stakeholder comments and explain their consideration in the assessment.

Appendices provide detailed information on the assessment. The most relevant is Appendix 1 describing Indufor conclusion on AFCS conformity to each PEFC requirement and lists the reference documents that provide the basis for the conclusion.



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## **2. RECOMMENDATION**

Indufor Oy recommends PEFC Board of Directors to endorse the Australian Forest Certification Scheme (AFCS).

The AFCS has minor non-conformities to specific PEFC requirements of public consultation in standard setting and control of PEFC logo usage. The issues and their consideration in this assessment are described in sections 3.2, 3.4 and 3.5. below (Summary of the Findings).



### 3. SUMMARY OF FINDINGS

#### 3.1 General Scheme Structure

AFCS is a well-structured scheme for forest and chain of custody certification. It is managed by Australian Forestry Standards Ltd (AFS) that is an accredited standard setting body in Australia. AFS approved standards are also registered as Australian Standards®. The New Zealand adoption of the forest management standard is approved by the New Zealand Standards.

The scheme is fully integrated into national standardization, certification and accreditation procedures that are compatible with the requirements of International Organization for Standardization (ISO).

The scheme is applicable in different types of native forests and forest plantations in Australia and New Zealand. It has an option for group certification that, however, has not been used.

#### 3.2 Standard Setting Procedures and Processes

Standard setting procedures are described in AFS policies and procedures. These documents set requirements for organisation, administration and documentation, stakeholder participation, consensus building and possible appeals processes in a standardization process. National procedures are applied in the approval and registration of AFS standards. See Section 5.2 and 5.3 for more detailed information.

The assessment identified minor non-conformities to the PEFC requirements on publishing the information on the results of public consultation:

In standard setting Australian national standardizing procedures require that a synopsis of comments received in public consultation and their consideration in standard setting are shared only with the members of standard setting working group (Standard Reference Committee (SRC) in Australia). PEFC requires that the information is publicly available (PEFC ST 1001:2010, 5.6) (See Appendix 1 p. 21 for details).

The national standardizing procedures applied in development of forest management standard include requirements to assure transparency in standard setting. The procedures assure a level of confidentiality for standard setting working groups decision making processes, which is the reason why consideration of individual comments are not made public. On the other hand the meetings of standard setting working group are open to public.

In the implemented standard revision process the public had Internet access to frequently asked questions on standard setting and in case of need for specific information they were guided to contact AFS Ltd.

**Indufor concluded that the minor restrictions on public availability of results and implications of public consultation does not establish a non-compliance with PEFC's requirements on transparency in standard setting.**

**The standard setting procedures conform to PEFC requirements.**

#### 3.3 Forest Management Standard

The AFCS forest management standard *Sustainable Forest Management (AS4708-2013)* is comprehensive and consistent. It is built on principles of environmental, economic, social and cultural sustainability. The standard sets performance level requirements under different types of criteria for a complete forest management cycle starting from holding level management policies, planning procedures, practical forest management, monitoring and review. The standard is applicable in natural forests and forest plantations managed by different types of entities ranging from large scale forest industry to small private forest holdings.

New Zealand Standards has adopted a national version of the Australian standard. The standard is referred to as NZ4708-2014. The national adaptation includes revised references to



legislation and policies. The performance requirements in New Zealand and Australian versions of the forest management standard are practically the same.

The major concerns in the conformity of Australian and New Zealand forest management standards with PEFC requirements were in the use of chemicals and with respect to ILO Conventions. Additional information of regulations on chemical use and consideration of labour and indigenous peoples' rights in national legislation provided satisfactory evidence of conformance to PEFC requirements (See Chapter 7 and Appendix 1 p. 41 and 53 for details).

**Forest management standard conforms to PEFC requirements.**

### 3.4 Chain of Custody Standard

The AFCS has a scheme specific chain of custody standard (AS4707-2014) and it also recognises certification against international PEFC chain of custody standard (PEFC ST 2002:2013). The standard AS4707 is practically identical to the PEFC standard apart from the replacement of references to PEFC with those of AFS. This change does not imply fundamental changes into the standard requirements, apart from the provisions on the control of logo usage.

**A minor nonconformity in chain of custody certification is that current AS4707 standard does not recognize the New Zealand forest certification.**

- AFS Ltd shall demonstrate that AS4707 standard recognize certification against New Zealand forest certification standard (NZ4708) valid.

See Chapter 8 for detailed information.

**Scheme specific chain of custody standard does not conform to PEFC requirements.**

### 3.5 Logo Use

The AFCS has a scheme specific AFS logo and an international PEFC logo. The logo licence contract stipulates that PEFC Logo Usage Rules apply to the issuance and use of the PEFC logo. However, the license can be issued against scheme specific chain of custody certification although the standard AS4707 does not make any reference to PEFC logo.

The scheme does not state clearly if NZ4708 certification entitles to the application of AFS or PEFC logo usage rights. No reference to that certification is made in AFS Ltd logo use rules.

A nonconformity is that the AFCS does not explicitly require the certification body to carry out controls on the PEFC logo usage if the certified entity is a PEFC logo user. The AFCS has an own AFS label that has appropriate control procedures.

However, AFS Ltd has taken measures to assure that certification bodies will also control the use of PEFC logo:

- A Directive will be issued to all relevant accredited CBs certifying to scheme specific chain of custody standard (AS4707: 2014) that the Clause 7.2 referring to the AFS logo shall be interpreted to mean the AFS and/or the PEFC logo.
- Regarding forest management certification, the logo license agreements shall be updated to include the requirement for third party verification of logo usage. AFS Ltd has proposed such amendment.

See Chapter 9 for detailed information.

**Currently AFCS provisions for logo use do not conform to PEFC requirements.** The non-conformity is deemed as minor because AFS Ltd has defined corrective actions. It shall assure that the proposed improvements in control of logo usage are implemented.

**When AFS Ltd recommendations are approved, the logo usage rules conform to PEFC requirements.**



### **3.6 Certification and Accreditation Procedures**

Certification and accreditation procedures are in accordance with the general national requirements for certification bodies and conformity assessments. These are defined by Joint Accreditation System of Australia and New Zealand (JAS-NZ) and they are compatible with relevant ISO standards. In addition, JAS-NZ defines forest and chain of custody related requirements for competence of certification bodies and auditors as well as for assessment processes. See Sections 10.1 and 10.3 for detailed information.

**Certification and accreditation requirements conform to PEFC requirements.**

### **3.7 Notification of Certification Bodies**

AFS Ltd has procedures on notifying certification bodies. Notification requirement applies to certification bodies doing forest management and/or chain of custody certification against AS4708, AS4707 standards or PEFC ST 2002:2013 chain of custody standard.

The recently approved NZ4708 forest management standard should be referred to in the AFS notification document.

**Notification procedures conform to PEFC requirements.**

### **3.8 Complaints and Dispute Resolution Procedures**

The AFCS includes complaints procedures that cover standard setting and scheme implementation. If a complaint cannot be addressed in between the parties AFS shall convene a complaints panel/ committee. The process shall be impartial and based on adequate information. See Chapter 11 for detailed information.

**Complaints procedures conform to PEFC requirements.**



## **4. MATERIAL AND METHODS**

### **4.1 PEFC Documentation**

The following international PEFC standards and normative guidelines set the requirements for compliance for the AFCS. The assessment reviews in detail the conformity of AFCS documented procedures and processes to specific PEFC requirement presented in the listed documentation.

#### **Standard Setting**

1. PEFC ST 1001:2010, Standard Setting – Requirements

#### **Forest Management and Chain of Custody Requirements**

2. PEFC ST 1003:2010, Sustainable Forest Management – Requirements
3. PEFC ST 2002:2013, Chain of Custody of Forest Based Products – Requirements

#### **Implementation of Certification**

4. PEFC ST 1002:2010, Group Forest Management Certification – Requirements
5. Procedures for complaints and dispute resolution: PEFC GD1004:2009, Administration of PEFC scheme, chapter 8

#### **Requirements for Certification Bodies**

6. Procedures for notification of certification bodies: PEFC GD1004:2009, Administration of PEFC scheme, chapter 5
7. Certification and accreditation procedures, as defined in the PEFC Council Technical Document, Annex 6 and PEFC ST 2003:2012 (2<sup>nd</sup> edition of 2014), Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard

#### **PEFC Logo Usage**

8. Procedures for logo licensing: PEFC GD1004:2009, Administration of PEFC scheme, chapter 6

#### **Other Documentation**

9. A stakeholder survey to verify stakeholder invitation and participation in standard revision along with stakeholder views on process implementation.

The *PEFC Standard and System Requirement Checklist* (PEFC IGD 1007-01:2012) will provide a template for detailed assessment of conformity to specific PEFC requirements.



## 4.2 AFCS Scheme Documentation

The assessment will be based on the following documentation of the Applicant Scheme (Table 4.1).

**Table 4.1 AFCS Normative Documents**

No <sup>1)</sup>	Document	Version	Date
<b>Standards setting</b>			
3	Requirements for Accreditation of Standards Development organisations; Accreditation Board for Standards Development Organisations (ABSDO)	Ver 3	4 April 2013; update 1 October 2014
4	Criteria for Designation as an Australian Standard. ABSDO		4 April 2013
5	Setting the Standard for Sustainable Forest Management. AFS Ltd	Policy 03, V1.5-02	February 2012
6	Procedures Manual. Revision and Creation of a Standards Development Project. Standards Development Organisation (SDO). AFS Ltd	Procedure 01 V2.6	May 2014
7	Standard Reference Committees SRC. Procedures for Representation. AFS Ltd	Procedure 02 V2.0	October 2010
21	AFS Ltd. Standards Development Procedures 03. SRC Charter and Code of Conduct	V3	October 2010
<b>Standards</b>			
10	Australian Standard, Sustainable Forest Management – Economic, social, environmental and cultural criteria and requirements. AFS Ltd	AS4708-2013	23 August 2013
25	AS4708–2013 Interpretation of Requirement 5.6 Chemical Use for certification of forest managers under the Australian Forest Certification Scheme (AFCS)	Draft for final ballot	2014
11	New Zealand Standard, Sustainable Forest Management. NZ Standards.	NZS AS 4708	2014
14	Australian Standard, Chain of Custody for Forest Products <sup>2)</sup> AFS Ltd.	AS4707-2014	29 July 2014
<b>Implementation of Certification</b>			
12	Sustainable Forest Management – Guidance for the certification of group forest management (Guidance Note 02 to AS4708-2013)	AS4708 GN02-2013	2013
<b>PEFC Logo Usage</b>			
15	Issuance of PEFC & AFS Logo use licences by Australian Forestry Standard Limited (PEFC Australia), logo licence contract.		June 2014
<b>Requirements for Certification Bodies</b>			
13	Directive to certification bodies notified to provide forest management certification under AFCS group forest management. AFS Ltd		May 2014
17	Requirements for bodies providing audit and certification of Forest Management Systems. Joint Accreditation System of Australia and New Zealand	JAS-ANZ (FMS Scheme) Issue 4	14 Feb 2014
18	AFS/PEFC Notification of certification bodies operating forest management system and/or chain of custody certification. AFS Ltd		February 2014
<b>Complaint and Grievance Procedures</b>			
16	Procedure for Complaints and Grievances. AFS Ltd Corporate Management Procedure	CM PROC 08 – V4.4-10	2011
17	Requirements for bodies providing audit and certification of Forest Management Systems. Joint Accreditation System of Australia and New Zealand	JAS-ANZ (FMS Scheme) Issue 4	14 Feb 2014

<sup>1)</sup> The numbering refers to the document numbers of AFC Scheme description (Appendix 2)

<sup>2)</sup> In addition to the Scheme specific chain of custody standards, AFCS recognises the use of PEFC international chain of custody standard PEFC ST 2002:2013, Chain of Custody of Forest Based Products – Requirements



The normative AFCS documents define the required procedures for standard setting, certification arrangement as well as for certification bodies and related verification processes. Also grievance procedures shall be implemented in line with the scheme requirements.

The descriptive and guiding AFCS documents (Table 4.2) describe the implemented processes in standard setting. The guideline for auditing of group certification gives certification bodies the AFCS interpretation of its requirements.

PEFC Checklist compiled by the AFS Ltd is used as a reference base to look for specific evidence from the documentation. The detailed assessment checklist presented in Appendix 1 is compiled by Indufor.

**Table 4.2 AFCS Descriptive and Guiding Documents**

No <sup>1)</sup>	Document	Version	Date
<b>Standards setting</b>			
1	Request for assessment. AFS Ltd Letter to PEFC Council		July 2014
2	AFCS System Description and list of scheme documentation		July 2014
8	Process Approval: Approval to Standards Australia for Review of AS4707 (chain of custody). AFS Ltd	Ver 4.3	March 2014
9	Process Approval: Approval to Standards Australia for Review of AS4708 (forest management). AFS Ltd	Ver 2.5	May 2013
19	ASBDO AFSL-14-11s Surveillance Assessment report		October 2014
20	Standard revision meeting report– confidential document		4 November 2010
22	Example of a personal invitation letter from AFS Ltd		17 October 2010
24	AFS Ltd Response to PEFC Technical Unit (during the extraordinary assessment)		May 2014
26	AFS Ltd Response to PEFC Technical Unit (during the extraordinary assessment)		January 2014
27	20131120 AFS Response to PEFC EX Ass Consult Draft report (during the extraordinary assessment)		November 2013
<b>Implementation of Certification</b>			
23	<i>Sustainable Forest Management. Guidance for the certification of forest management. Guidance Note 01 to AS4708</i> <a href="http://www.forestrystandard.org.au/resources/standards/AS4708-2013/AS4708-2013-GN01-Publish.pdf">http://www.forestrystandard.org.au/resources/standards/AS4708-2013/AS4708-2013-GN01-Publish.pdf</a>	AS4708 GN01	2013
0	PEFC Check list completed by AFS Ltd.	IGD 1007-01:2012	information filled in October 2013

<sup>1)</sup> The numbering refers to the document numbers of AFC Scheme description (Appendix 2)



### 4.3 Methods

The assessment is done as a desk study based on the documentation listed above, on the feedback received from the stakeholders and on the additional clarification provided by the AFS Ltd. Indufor sent questionnaires to 50 members of the standard setting working group. The questionnaire is presented in Appendix 3.

This conformity assessment presents consultant's conclusion on the conformity to PEFC requirements based on the available evidence. Conformity to the PEFC requirements would assure that the scheme is developed in line with PEFC requirements and that it will operate in a consistent and reliable way. The assessment covers scheme development and provisions for scheme implementation as described in Table 4.3.

**Table 4.3 Assessed Elements and Core Issues**

Element	Core issues
Standard setting	<ul style="list-style-type: none"> <li>- Stakeholder participation</li> <li>- Transparency</li> <li>- Consensus building</li> <li>- Consistency in planned procedures and in their implementation</li> </ul>
Criteria for forest management (standard)	<ul style="list-style-type: none"> <li>- Performance requirements</li> <li>- Practical applicability of the criteria considering natural conditions, forest tenure, organisational and administrative structures</li> <li>- Auditability of compliance with the criteria</li> </ul>
Certification arrangements (group, individual and regional)	<ul style="list-style-type: none"> <li>- Applicability and governance of planned arrangements</li> <li>- Reliability of arrangements to deliver full conformance to the scheme requirements</li> <li>- Methods to indicate certification status</li> </ul>
Requirements for chain of custody certification and logo use	<ul style="list-style-type: none"> <li>- Compatibility of the requirements with PEFC CoC standard</li> <li>- Rules for issuance and control of PEFC logo use within the scheme</li> <li>- Risks for unjustified use e.g., during transition of national certification to PEFC certification</li> </ul>
Certification and accreditation procedures	<ul style="list-style-type: none"> <li>- Requirements set for certification bodies and procedures: competence requirements, independence and impartiality</li> <li>- Applied procedures</li> <li>- Access for CBs to enter into the market</li> <li>- Compliance of scheme provisions with PEFC requirements</li> <li>- Availability of eligible accreditation body to provide the service</li> </ul>

The results and conclusions on the conformity analysis are presented in detail in the assessment of AFCS against each requirement of PEFC Council Checklist (Appendix 1). For standard setting the assessment includes separate conclusions for procedures and applied processes, i.e. rules for standard setting and the processes implemented in standard setting in practice.

The following grading of conformity levels was used in the assessment (Box 4.1).



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#### **Box 4.1 Assessment Scales Used in Conformity Evaluation**

##### **Conformity**

A procedure described by the Scheme documentation fully meets the particular requirement of PEFC Council.

##### **Minor nonconformity**

A minor nonconformity does not violate the integrity of the certification Scheme, and is not a bar to endorsement. The assessor recommends appropriate corrective action. Generally, a minor nonconformity should be corrected within 6 months. The assessor may recommend a longer period where justified by particular circumstances.

##### **Major nonconformity**

A major nonconformity violates the integrity of the certification Scheme and has to be corrected before the endorsement of the Scheme.

**NA** Not applicable.

Only a positive conclusion on the conformity was considered to meet the PEFC requirements. The Scheme elements indicating minor or major nonconformities were classified as not meeting the performance level set for the endorsed Schemes.

PEFC requirements were classified as not applicable e.g., if they address a scheme development phase that is not relevant for the AFCS (i.e., testing or revised standard or requirements for scheme revision or dispute resolution process in the case where no disputes have been raised during revision).

The assessment process is described in Section 1.2.

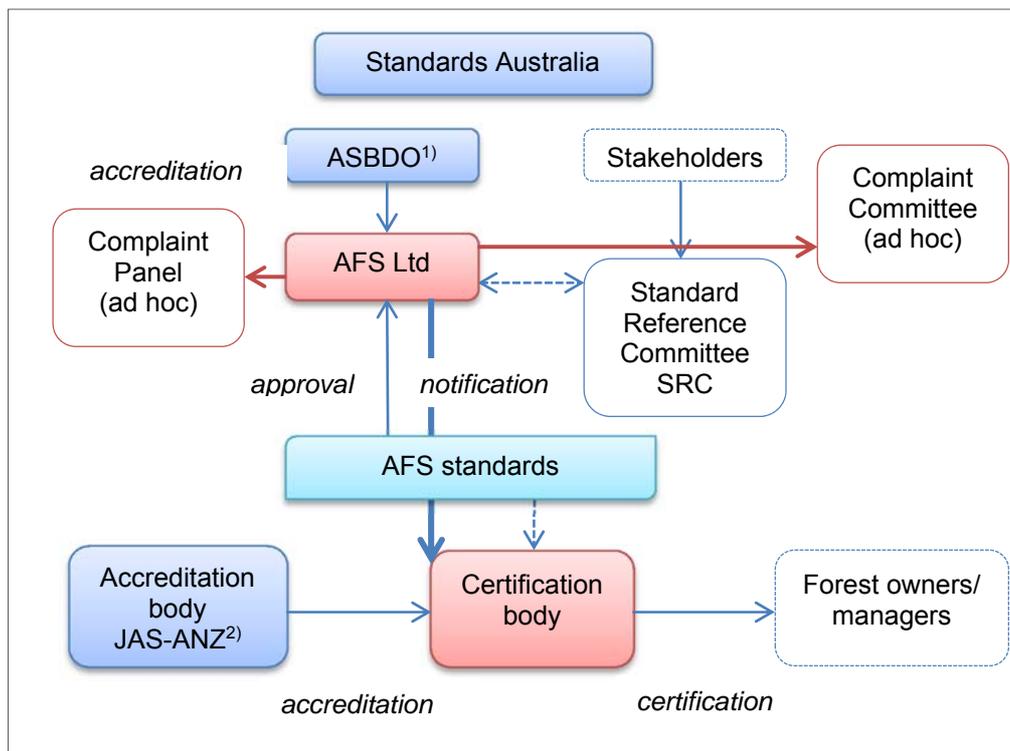


## 5. STRUCTURE OF THE AUSTRALIAN FOREST CERTIFICATION SCHEME

### 5.1 Scheme Organisation

The Australian Forest Certification Scheme is managed by Australian Forest Standards Ltd that acts also as a PEFC governing body. The AFCS scheme is applicable in Australia and New Zealand. AFCS has published an adapted version of the AS4708 standard for forest management. The Adapted version is adopted by the Standards New Zealand. Other scheme elements and functions are organised as presented in the Figure 5.1.

**Figure 5.1 Organisation of the Australian Forest Certification Scheme**



1) ASBDO – Accreditation Board for Standards Development Organisations

2) JAS-ANZ – Joint Accreditation System of Australia and New Zealand

AFS Ltd is accredited by Accreditation Board for Standards Development Organisations (ASBDO) to develop national standards. It is the owner of the AFCS forest and chain of custody certification standards. AFS Ltd has set defined policies<sup>1</sup> and procedures<sup>2</sup> for standard setting with detailed flow charts of the different phases of the approval process. AFS Ltd is responsible for launching independent standard development or revision process by inviting stakeholders to participate in Standard Reference Committees (SRC). It also provides financial and administrative support to the SRC.

SRC should agree on the standard content in consensus and submit the draft to AFS Ltd for final approval process. The standard development process and final standard approval is communicated as appropriate to ASBDO and The Standards Australia. The Standards Australia

<sup>1</sup>Setting the Standard for Sustainable Forest Management. AFS Ltd Policy 03 v1.5-02/2012

<sup>2</sup> Revision and Creation of a Standards Development Project. Standard Development Organisation Procedures Manual. Procedure 01 V2.6-Issue 05/2014



is responsible for the oversight, coordination and governance of standard development including AFS Ltd. The final standards are officially registered national standards.

Disagreements in standard setting or on AFS Ltd are addressed by ad hoc Complaint Panels/Committees when they are informed to AFS Ltd following the AFS Ltd Complaint Procedures<sup>3</sup>.

Certification bodies eligible for AFCS certification shall be accredited by national accreditation body that is a member of International Accreditation Forum (IAF) and comply with general accreditation and specific AFCS requirements. In addition certification bodies shall apply for AFS Ltd notification. Certification bodies provide certification services to applying forest owners/managers and other applicants (chain of custody certification).

## 5.2 Standard Setting and Revision Procedures

The standard setting documents (Table 4.1) define in detail the policies and procedures for AFS Ltd standard setting. In addition ASBDO sets requirements for AFS Ltd as a standard setting organisation and on the procedures it implements. ASBDO audits every five years compliance with the approved procedures.

**Table 5.1 Documentation Guiding AFS Ltd Standard Setting**

Document	Purpose
Setting the Standard for Sustainable Forest Management. AFS Ltd Policy 03 v1.5-02/2012	Defines the role AFS Ltd has in standard setting in different aspects and stages
Revision and Creation of a Standards Development Project. Standard Development Organisation Procedures Manual. Procedure 01 V2.6-Issue 05/2014	Defines procedures for SCR, and different stages of standard revision and approval. It also refers to additional relevant normative and voluntary guidelines

The established and published standard procedures are comprehensive, consistent and comply with PEFC in requirements for

- Documentation, publishing and record keeping (PEFC Checklist Part I 4.1 – 4.3, 5.10, 5.12)
- Invitation and accessibility to a stakeholder working group (PEFC Checklist Part I 4.4)
- Complaint resolution (PEFC Checklist Part I 4.5)
- Standard setting process and public consultation (PEFC Checklist Part I 5.1 – 5.6, only partial compliance with 5.4 and 5.6 f)
- Consensus building procedures (PEFC Checklist Part I 5.8-5.9, 5.11)

Requirement on pilot testing (PEFC Checklist Part I 5.7) is not applicable in this standard revision.

The procedures do not require specifically that invitation and participation of disadvantaged stakeholders shall be of special concern (PEFC Checklist Part I 5.3 c). However, the members of SRC shall represent all relevant interested parties including indigenous groups or other potentially disadvantaged groups and no undue financial barrier shall prevent participation. SRC Code of Conduct require fair consideration of different opinions in the standard setting.

<sup>3</sup> Procedures for Complaints and Grievances. AFS Ltd Corporate Management Procedures 08 v 4.4-10/2011



ABSDO audit report on standard setting from October 2014 provided evidence that the all relevant interest groups were contacted and provided the possibility to participate in standard setting.

The Australian national standardizing procedures do not require that a synopsis of comments received in public consultation and their consideration in standard setting are made public e.g. in Internet (PEFC Checklist Part I 5.6 f). In ABSDO and AFCS rules the information is shared only with SRC members. However, the national standardizing procedures applied in development of forest management standard include requirements to assure transparency in standard setting. The procedures assure a level of confidentiality for standard setting working groups decision making processes, which is the reason why consideration of individual comments are not made public. On the other hand the meetings of standard setting working group are open to public. Indufor concluded that the public had on request adequate access to the information.

In the implemented standard revision process the public had Internet access to frequently asked questions on standard setting and in case of the need for specific information they were guided to contact AFS Ltd.

### 5.3 Process Implementation

The standard setting processes for the revision of forest management and chain of custody standards (AS4708 and AS4707 respectively) are described in the official process approval documents (Table 4.1). Their purpose is to provide the process information for formal registration of the revised standard as a national Australian Standards. The approval also demonstrates that the standard setting/revision process is in accordance with ABSDO and AFS Ltd standard development procedures.

**Table 5.2 Documentation Describing AFCS Standard Revision**

Document	Purpose
Process Approval for AS4708. Forest management. 2013	Describe the standard setting process and give a recommendation to the board of AFS Ltd for formal registration of the standard as a national Australian Standard.
Process Approval for AS4707. Chain of custody. 2014	
ASBDO AFSL-14-11s Surveillance Assessment report ( October 2014)	Audit results on the compliance of AFS standard development with the Australian national regulations on standardization
SRC Code of Conduct	Outlines, e.g. the measures to assure fair participation of different interest groups in standard setting

#### 5.3.1 Revision of Forest Management Standard

The standard setting was launched by publishing it on AFS Ltd website in September 2010. The invitations to join the Standard Reference Committee (SRC) were sent to 50 stakeholders from all interested sectors on 17 October 2010 along with an open call for nomination. The call was posted on AFS Ltd website in October 2010 to March 2012 when the first public consultation started. In addition, two public meetings were held to inform of the process in Melbourne in November 2010. AFS Ltd also contacted directly a number of organisations, including environmental and aboriginal organisations, to encourage them to nominate representatives for standard setting.



**Table 5.3 Stakeholder Working Group for Forest Management Standard**

Stakeholder organisation (representatives)	Category	AFS Ltd Rule <sup>1)</sup>
Australian Forest Products Association (7)	Forest Owners and Managers and related academic organisations 5 representatives	Up to 20 members representing with a balanced representation of the listed interest categories.
1. Langston Environmental Pty Ltd		
2. University of Melbourne		
3. Australian Forest Products Association (4 representative by different employers )	Forest Based Industry 5 representatives	
7. Forest Works		
8. Australian Forest Growers		
9. Australian Forest Products Association (3 representative by different employers )		
12. Institute of Foresters Australia		
13. Association of Accredited Certification Bodies		
14. Greening Australia Limited		
15. Planet Ark	Environment 5 representatives	
16. Macquarie University; Ecological Society of Australia		
17. University of Melbourne; Australian Forest Products Association		
18. CSIRO		
19. Construction, Forestry, Mining and Energy Union (trade union)	Community social 5 representatives	
20. Timber Communities Australia		
21. Balkanu Cape York Development Corporation		
22. Mangarr Resource Centre		
23. Aboriginal Carbon Fund		
24. Australasian Pulp and Paper Industry Technical Association	Consumer, retailer 1 representative	

<sup>1)</sup> SCR Procedures for Representation. AFS Standards Development Procedure 02

The standard setting procedures (AFS Proc 02 on Representation) outline the size and balance of different interest groups in the process. The composition of the stakeholder working group, SCR, was approved by AFS board in June 2011 and the first meeting was held on 26 September 2011. The AFS board nominates the chair for the SRC. There were minor changes in the SRC composition during the 18 month revision process but at the time of the ballot the SCR consisted of 24 participants representing the different interest groups in a balanced way (Table 5.3). The minimum requirement for SCR participants is 19.

In New Zealand a stakeholder working group of 11 organisations decided on the amendments and adoption of the NZ4708 standard (Table 5.4). The NZ forest management standard is an adaptation of AS4708 standard into NZ legislative and organisational framework. Representatives e.g. from indigenous people's groups were invited and consulted during the process.



**Table 5.4 NZ Stakeholder Working Group for Forest Management Standard**

Stakeholder organisation (representatives)	Category
1. First Union	Community, social
2. Fish and Game NZ	
3. Lincoln University	Academia
4. Local Government of NZ	Administration
5. Ministry of Primary Industries	
6. NZ Forest Owners' Association	Forest Owners and Managers
7. NZ Institute of Forestry	
8. NZ Timber Industry Federation	Forest Based Industry
9. Douglas fir association	
10. Wood Processors Association of NZ	
11. Certification bodies	Other

The draft versions of AS4708 standard were made available for public consultations on two occasions in March – May 2012 (67 days) and in August – October 2012 (42 Days). The consultation was informed on AFS Ltd website and personal invitations to comment were sent to 97 stakeholders.

The final standards of AS4708 (forest management) and AS4707 (chain of custody) are freely available at the AFS Ltd website [www.forestrystandard.org.au](http://www.forestrystandard.org.au). The New Zealand version is at sale at New Zealand standards web shop <http://shop.standards.co.nz>.

Transition periods for draft standards are described in the JAS-NZ accreditation requirements<sup>4</sup>. All clients shall comply with the revised standard within 12 months from its publication.

**The implemented standard revision process conforms to PEFC Council requirements on:**

- ✓ Documentation, publishing and record keeping (PEFC Checklist Part I 4.1 – 4.3, 5.10, 5.12)
 

Standards are publicly available from Australian Forestry Standards or New Zealand Standards. AFS Ltd gives access to the standard free of charge, but it is not disclosed if New Zealand has a fee on the standard
- ✓ Information on the objectives, scope and the steps of the standard-setting process and its timetable was given as appropriate in the invitation letter and meeting minutes (PEFC Checklist Part I 5.3 a-b, d-e)
- ✓ Invitation and accessibility to a stakeholder working group (PEFC Checklist Part I 4.4)
- ✓ Complaints were not raised during standard revision but the appropriate procedures to address them would have been in place (PEFC Checklist Part I 4.5)
- ✓ Standard setting process and public consultation (PEFC Checklist Part I 5.1 – 5.2, 5.6 and only partial compliance with 5.3)
- ✓ Pilot testing is not an applicable requirement in this standard revision (PEFC Checklist Part I 5.7)
- ✓ Consensus building procedures (PEFC Checklist Part I 5.8-5.9, 5.11)
- ✓ Public access to standards (PEFC Checklist Part I 5.12).

<sup>4</sup> JAS-NZ FMS Scheme. Requirements for bodies providing audit and certification of Forest Management Systems. 14 February 2014.



Regarding specific PEFC standard revision procedures the AFCS complies with the following PEFC requirements:

- ✓ Requirement for a periodic review and revision of a standard at intervals that do not exceed a five-year period (PEFC Checklist Part I 6.1)

**The following minor nonconformity was identified in implemented standard revision process:**

- ✓ Detailed information on the results of public consultation was shared only with SRC members. However, the public had access through Internet to a general synopsis of frequently asked question (FAQ) and on request further information could be asked from National Secretary (AFS Ltd) (see Appendix 1 5.6. f p. 21 for details).

### 5.3.2 Chain of Custody Standard Development

The AFS standard for chain of custody management (AS4707-2014) is practically identical to PEFC standard *Chain of Custody of Forest Based Products – Requirements* (PEFC ST 2002:2013) with a replacement of PEFC with AFS in the standard requirements.

However, the AS 4707 standard development followed the AFS standard setting procedures (AFS Ltd Procedure 02 on representation) and the process implementation is reported in AFS *Final Process Approval document* (Version 4.3-Issue 3/2014). The Process report demonstrates that the composition of the SRC has a strong representation of forest based industry and processing industry, but practically no representation of community and environmental interests (Table 5.5). The AFS Ltd had invited organisations representing these interests but the replying organisations were not willing to participate in the chain of custody standard development.

**Table 5.5 Stakeholder Working Group for Chain of Custody Standard**

Stakeholder organisation	Category	AFS Ltd Rule
Engineered Wood Products Association of Australia	Forest Based Industry	Recommendation of up to 12 members with balanced distribution
Australian Forest Growers		
Australian Paper		
Briggs Veneers		
Australian Forest Products Association		
Construction, Forestry, Mining and Energy Union	Community and environment	
Australian Timber Importers Federation	Consumer/customer	
Timber and Building Materials Association		
Printing Industry Association of Australia		
Jardan Australia (Australian furniture)		
SAI Global (accreditation services)		
Australian Forest Contractors Association		

Taking into consideration the fact that AFS chain of custody working group practically approved the international PEFC standard that has been developed according to the PEFC standard setting procedures, the unbalance in the SRC composition is not deemed as a non-conformity in this assessment.



## 6. GROUP CERTIFICATION ARRANGEMENTS

The AFCS scheme recognizes group certification of small scale forest owners. The scheme has a guidance note of *Sustainable Forest Management – Guidance for the certification of group forest management* (GN 02 to AS4708) that guide forest owners to organize a group certification and describe the responsibilities of group managers and members. In certification the guidance note is taken as a normative document.

The group organisation guide is detailed and consistent establishing an auditable standard for group management.

**The AFCS guidance on group certification complies with the following PEFC requirements:**

- ✓ Definitions for the concepts of group organisation, group entity, participants, certified area, group forest certification, documentation confirming participation in group certification (PEFC Checklist Part II 4.1 a-f)
- ✓ Communication of nonconformities identified in other PEFC certifications the forest holding is part of (PEFC Checklist Part II 4.1.2)
- ✓ Defined requirements for group certification and internal monitoring (PEFC Checklist Part II 4.1.3-4.1.4)
- ✓ Functions and responsibilities of group managers (PEFC Checklist Part II 4.2.1 a-i)
- ✓ Functions and responsibilities of group participants (PEFC Checklist Part II 4.3.1 a-d).

No nonconformities were identified in the AFCS group certification requirements. The AFS Ltd *Directive to certification bodies notified to provide forest management certification under the AFCS – certification of group forest management*, issued in May 2014, specify that for AFS Ltd notified certification bodies the Guidance for group certification (GN02-2013) is a normative document. By spring 2014 there were no AFCS group certifications implemented or under planning.



## 7. FOREST MANAGEMENT STANDARD

### 7.1 General Remarks

The AFCS forest management standard on *Sustainable Forest Management* (AS4708-2013) is comprehensive and consistent. It is built on principles of environmental, economic, social and cultural sustainability and includes a definition of each of the principles. The standard is an independent and impartial document that defines requirements that comply with legislation and partly exceed legal requirements. The standard covers well the different principles of sustainable forest management and requires implementation of each requirement throughout planning, implementation and monitoring processes. The standard is applicable in natural forests and forest plantations managed by different types of entities ranging from large scale forest industry to small private forest holdings.

The New Zealand adoption of the AS4708-2013 standard is NZS AS4708:2014. Changes and amendments made to it focus on references to appropriate national organisations in standard adoption and legislation/treaties enforce in New Zealand as well as amendments to vocabulary. In New Zealand the rights of indigenous people are described in *Treaty Waitangi* that is referred to e.g. in the criteria on cultural values. Substantially both standards are similar and the conformity assessment is made only against the Australian AS4708 standard.

The detailed description of AS4708 conformity with specific PEFC requirement is presented in Appendix 1. Section 7.2 presents a summary on the compliance of AS4708 and NZ4708 forest management standards with the PEFC requirements.

### 7.2 Analysis Results

Below is a general description of the standard **AS4708 requirements that conform to the PEFC requirements**. NZ4708 is a national adaptation of AS4708, where the references to legislation and national policies are revised but the requirements for forest management are the same. Thus the summary below refers only to the AS4708 standard.

#### *General requirements:*

The forest management standard AS4708 conforms to the general PEFC requirements on structure of management and performance requirements applicable to different types of forest types (PEFC Checklist Part III 4.1 a-d)

#### *Criteria:*

#### *PEFC C1 Maintenance and appropriate enhancement of forest resources and their contribution to the global carbon cycle*

The AS4708 standard requires forest resources to be maintained through systematic planning that integrate economic, ecological and social forest values. Forest manager shall have information and maps on forest resources (inventory). The plan shall have clear management objectives and it shall be implemented and periodically reviewed. Forest managers shall also monitor planning and forest use. Summary to the plan and audit reports shall be made public.

The standard prohibits conversion of native forests to plantations or to non-forest use except on specific conditions (see AS 4708 3.9).

**AS 4708 conforms to PEFC Checklist Part III requirements 5.1.1- 5.1.12.**



*PEFC C2 Maintenance of forest ecosystem health and vitality*

In Australian forest ecosystems disturbance regimes e.g. with frequent forest fires are essential elements in maintaining ecosystem health and vitality. The standard requires that forest management planning supports preventive measures enhance health in forests, and in case of damage defines actions for restoration. At the same time consideration shall be given to the contribution of natural disturbance regime to the forest health. In this context forest fires may be supported in some cases whereas measures shall be taken to manage the extent and impact of unplanned fires.

Forest managers shall also monitor forest health and take corrective actions in case of damage.

Selection of suitable species and proveniences and implementation of silvicultural regimes that minimize health risks essential requirements to maintain health and production capacity in forests. The standard also requires measures to prevent genetic contamination from forest plantations.

The standard requires minimization of chemical use and any adverse impacts on their use. It sets restrictions on the allowed pesticides and herbicides. The AS4708 standard allows the use of toxic WHO 1A classified *Sodium monofluoroacetate (1080)* to control possum populations. The application of the chemical is strictly controlled and allowed only in the conditions where no other viable alternative is available as required by PEFC (Checklist Part III 5.2.9 p. 40).

Fertilizers are considered as chemicals and the requirement to minimize their use and to prevent any leakage e.g. to waterbodies apply.

**Conforms to PEFC Checklist Part III requirements 5.2.1- 5.2.12.**

*PEFC C3 Maintenance of productive functions of forests*

The standard requires systematic assessment of the production potential of wood and non-timber forest products and implementation of silvicultural regimes that safeguard long term production. The assessment is based on detailed data on forest resources that form the basis together with environmental and social values for the calculation of sustainable harvesting rates. Infrastructure shall be developed to ensure efficient delivery of forest products but minimizing any adverse environmental impacts.

**Conforms to PEFC Checklist Part III requirements 5.3.1- 5.3.8.**

*PEFC C4 Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems*

The standard requires that forest manager identifies environmental values and biodiversity priorities, e.g. habitats or species, in forests. Management shall maintain or enhance these values in a forest holding. More specifically, the standard requires maintenance of a distribution of forest cover and a stand structure that is beneficial for the biodiversity priorities. An action shall be taken to mitigate any threatening process on the biodiversity values.

Regeneration of native vegetation with species and provenances native to the area contributes to maintenance of genetic biodiversity. In addition, genetic pollution from pollen flow from plantations to native forests shall be minimized and the standard bans the use of genetically modified trees.

Regarding safeguarding the biodiversity values resulting from the use of traditional management systems, the standard requires recognition and protection of indigenous peoples' values and heritage along with other heritage values.



Excessive grazing of domestic or wild animal populations can be a biodiversity risk in the country. The standard addresses this risk by requiring identification of any damage agent and implementation of actions to minimize damage to growing stock.

**Conforms to PEFC Checklist Part III requirements 5.4.1- 5.4.13.**

*PEFC C5 Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)*

Frequent draughts or excessive rainfalls and resulting soil erosion are common environmental problems in many parts of Australia. The standard addresses these problems by requiring identification of soil and water values and take action to minimize any adverse impact on soil and water. In soil protection forest managers shall control the soil exposure and disturbances and apply appropriate soil conservation techniques. In water protection forest managers shall e.g., maintain streamside zones, protect hydrological flows, and avoid soil contamination in infrastructure development.

**Conforms to PEFC Checklist Part III requirements 5.5.1 - 5.5.5.**

*PEFC C6 Maintenance of other socio-economic functions and conditions*

In Australia forestry in native and plantation forests have significant social, economic and cultural impacts on local communities. The standard requires that forest manager shall identify opportunities that allow forests to play an environmental, economic, social and cultural role in regional development. Forestry should support employment and skills development. Regarding customary rights, forest manager shall allow existing legal and traditional uses and pursue negotiated outcomes with affected parties especially in the cases where customary use threatens the achievement of forest management performance requirements. Forest manager shall facilitate and encourage meaningful engagement of stakeholders and have a stakeholder engagement plan.

**Conforms to PEFC Checklist Part III requirements 5.6.1 - 5.6.13.**

Australian and New Zealand governments have ratified most of the core ILO Conventions listed in the Table 7.1 and Table 7.2. However, the Conventions on Indigenous and Tribal People (C169) and Minimum Age for Admission to Employment (C 138) are not ratified by either of the country. New Zealand has not either ratified the Convention (C 87) on Freedom for Association.

In Australia Native Title Act 1993 (NLA), “established framework” for legal Indigenous land tenure rights. It together with other provisions recognizes native title where:

- the rights and interests are possessed under traditional laws and customs that continue to be acknowledged and observed by the relevant Indigenous Australians
- by virtue of those laws and customs, the relevant Indigenous Australians have a connection with the land or waters
- the native title rights and interests are recognized by the common law of Australia.

Where the extent of rights is not yet resolved, the Act provides a just and fair process for Indigenous people to claim native title rights, have their rights recognised, disputes resolved and establishes arrangements for the protection of potential rights where claims are still being determined.

New Zealand has formally supported the UN Declaration on the Rights of Indigenous People although it has not ratified ILO Convention 169. New Zealand’s recognition of the rights of indigenous people was enshrined in the Treaty of Waitangi which was signed between UK and the Maori people of New Zealand on 6th February 1840. Aspects of that Treaty are incorporated into a number of Acts of Parliament. The Treaty of Waitangi Act 1975 provides:



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- for the observance, and confirmation, of the principles of the Treaty of Waitangi by establishing a Tribunal to make recommendations on claims relating to the practical application of the Treaty and to determine whether certain matters are inconsistent with the principles of the Treaty.

The Resource Management Act 1991 (RMA) promotes the sustainable management of natural and physical resources to the benefit of indigenous communities.

National legislation in Australia and New Zealand assure the compliance with the core requirements of ILO C 138 and ILO C 87 in certified forest management.

*PEFC C7 Legal compliance*

The standard requires legal compliance and prevention of unauthorized activities to take place in certified forests.

**Conforms to PEFC Checklist Part III requirements 5.7.1-5.7.2.**



**Table 7.1 Ratification Status of Selected ILO Conventions in Australia**

<b>Fundamental ILO Conventions Number</b>	<b>Name and Year</b>	<b>Status in Australia</b>
ILO No 29	Forced Labor, 1930	02 Jan 1932
ILO No 87	Freedom of Association and Protection of the Right to Organize, 1948	28 Feb 1973
ILO No 98	Right to Organize and Collective Bargaining, 1949	28 Feb 1973
ILO No 100	Equal Remuneration, 1951	10 Dec 1974
ILO No 105	Abolition of Forced Labor, 1957	07 Jun 1960
ILO No 111	Discrimination (Employment and Occupation) 1958	15 Jun 1973
ILO No 138	Minimum Age for Admission to Employment, 1973	Not ratified
ILO No 182	Worst Forms of Child Labour Convention, 1999	19 Dec 2006
<b>Other ILO Conventions referred by PEFC Council</b>		
ILO No 155	Occupational Safety and Health Convention, 1981	26 Mar 2004
ILO No 169	Indigenous and Tribal People's Convention, 1989	Not ratified

Source: [http://www.ilo.org/dyn/normlex/en/f?p=1000:11200:0::NO:11200:P11200\\_COUNTRY\\_ID:102544](http://www.ilo.org/dyn/normlex/en/f?p=1000:11200:0::NO:11200:P11200_COUNTRY_ID:102544)

**Table 7.2 Ratification Status of Selected ILO Conventions in New Zealand**

<b>Fundamental ILO Conventions Number</b>	<b>Name and Year</b>	<b>Status in Australia</b>
ILO No 29	Forced Labor, 1930	29 Mar 1938
ILO No 87	Freedom of Association and Protection of the Right to Organize, 1948	Not ratified
ILO No 98	Right to Organize and Collective Bargaining, 1949	09 Jun 2003
ILO No 100	Equal Remuneration, 1951	03 Jun 1983
ILO No 105	Abolition of Forced Labor, 1957	14 Jun 1968
ILO No 111	Discrimination (Employment and Occupation) 1958	03 Jun 1983
ILO No 138	Minimum Age for Admission to Employment, 1973	Not ratified
ILO No 182	Worst Forms of Child Labour Convention, 1999	14 Jun 2001
<b>Other ILO Conventions referred by PEFC Council</b>		
ILO No 155	Occupational Safety and Health Convention, 1981	12 Jun 2007
ILO No 169	Indigenous and Tribal People's Convention, 1989	Not ratified

Source: [http://www.ilo.org/dyn/normlex/en/f?p=1000:11200:0::NO:11200:P11200\\_COUNTRY\\_ID:102775](http://www.ilo.org/dyn/normlex/en/f?p=1000:11200:0::NO:11200:P11200_COUNTRY_ID:102775)



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## 8. CHAIN OF CUSTODY STANDARD

### 8.1 Analysis

AFS chain of custody standard (AS4707-2014) is practically a copy of PEFC ST 2002:2013, where PEFC is replaced with AFS. Thus the AFCS standard is compatible with the PEFC requirements for chain of custody certification – but clarification on the AFS claims and AFS logo use rules should be given. The AS4707 standard does not make any reference to the use of PEFC logo.

The AFS standard setting procedures apply to the AS4707 standard development and their compliance with PEFC requirements is assessed in Chapter 5 of this report.

The standard setting process is described in *AFS Final Process Approval, Review 4704* (Version 4.3 Issue 3/2014).

The scheme also recognises the PEFC chain of custody standard (PEFC ST 2002:2013).

### 8.2 Results

- ✓ The AFS chain of custody standard development procedures and applied process comply with all requirements of PEFC Checklist Part I (4.1-4.6, 5.1-5.12, 6.1-6.4)
- ✓ AFCS requirements for chain of custody certification comply with PEFC requirements

**A minor nonconformity in chain of custody certification is that current AS4707 standard does not recognize the New Zealand forest certification.**

- AFS Ltd shall demonstrate that AS4707 standard recognize certification against New Zealand forest certification standard (NZ4708) valid.



## **9. IMPLEMENTATION OF THE PEFC LOGO USAGE**

### **9.1 Analysis**

The issuance terms of PEFC logo use license are stated in the Logo Use Contract (Appendix 1 to *Issuance of PEFC&AFS Logo use licences by Australian Forestry Standard Limited* (June 2014). The contract stipulates licence holder to conform to the requirements of the PEFC Logo Usage Rules – Requirements (PEFC ST 2001:2008).

The AFS general requirements for parties eligible to apply for PEFC logo use licence include a valid certificate to AS4708 forest management standard or to AS4707 or PEFC ST 2002:2013 chain of custody standards.

The scheme specific chain of custody standard does not make any reference to PEFC logo and if literally interpreted certification against it should only entitle to the use of AFS logo. However, the logo use rules do not support this interpretation.

AFS national secretary decides on the issuance of a logo license and in case of any concern the decision is made by AFS Board.

### **9.2 Results**

AFCS has the following minor nonconformities in its current documentation on provisions for logo use:

1. In chain of custody certification the AS4707:2014 standard does not recognize the PEFC logo.

On the other hand the accreditation to chain of custody certification is based on PEFC standard 2003:2012 Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard that oblige certification bodies to control the use of PEFC logo, if a client has the logo use license.

2. If logo use is based on forest management certification the certification is not obliged to control the use of PEFC logo, because the AS4708 standard or logo licence agreement does not require it.

AFS Ltd has already taken the following actions to address these nonconformities:

- AFS Ltd proposed that this be addressed by issuing a Directive to all relevant accredited CBs certifying to AS4707: 2014 that where Clause 7.2 refers to the AFS logo this shall be interpreted to mean the AFS and/or the PEFC logo
- The current logo licence agreements shall be updated to include the appropriate provisions for control of PEFC logo usage.



**10. CERTIFICATION AND ACCREDITATION PROCEDURES**

**10.1 AFCS Requirements for Certification and Accreditation**

The scheme requirements for certification bodies for forest management are issued by Joint Accreditation System of Australia and New Zealand (JAS-NZ) and certification bodies doing chain of custody certification against the PEFC standard shall follow the PEFC requirements (Table 10.1). JAS-NZ is a signatory to Multi-Lateral Agreement of International Accreditation Forum and thus complies with PEFC requirements for accreditation bodies for chain of custody certification (PEFC ST 2003:2012) and forest management certification (PEFC Council Technical Document, Annex 6).

**Table 10.1 AFCS Accreditation Requirements for Certification Bodies**

Document	Date
JAS-ANZ. Forest Management Systems Scheme (FMS Scheme): Requirements for bodies providing audit and certification of Forest Management Systems	Issue 4. 14 February 2014
Certification Body Requirements – Chain of Custody PEFC ST 2003:2012.	16 June 2012
ISO 17065:2012. Conformity assessment - Requirements for bodies certifying products, processes and services; or ISO Guide 65	
AFS/PEFC Notification of certification bodies operating forest management system and/or chain of custody certification	February 2014

AFCS requires certification bodies doing forest management comply with ISO standards for bodies providing audit and certification of management systems<sup>5</sup>. In addition the general requirements the JAS-ANZ document gives additional requirements and specifies their application in forest certification. Additional requirements are given on

- Competence of certification team and auditors
- Evaluation process and certification body’s internal quality monitoring
- Information exchange between parties and on a certificate
- Selection of audit team and assignment of responsibilities
- Rules for sampling on single and multi-site certification
- Identification and recording of audit findings
- Reporting
- Conduct of certification, surveillance and special audits.

Chain of custody certification is categorized as product certification and the applicable PEFC standard requires compliance with ISO requirements for product certification<sup>6</sup>

AFS Ltd notification requirements state clearly that certification bodies doing forest certification against AS4708 or NZ-4708 standards shall have an accreditation for the certification from JAS-NZ. In chain of custody certification a recognized accreditation body shall be a member of International Accreditation Forum (IAF). The latter requirement is in accordance with the PEFC

<sup>5</sup> SFS-EN ISO/IEC 17021:2011 Conformity assessment -- Requirements for bodies providing audit and certification of management systems

<sup>6</sup> ISO/IEC 17065: 2012 Conformity assessment -- Requirements for bodies certifying products, processes and services



standard on accreditation (PEFC ST 2003:2012). In general the accreditation bodies shall comply with the ISO 17011<sup>7</sup> standard.

The accreditation requirements outline acceptable certification procedures. In addition to the compliance with relevant ISO standards for conformity assessment of management systems or products, JAS-ANZ and PEFC accreditation standards require that

- Certification bodies inform AFS Ltd on issued certificates and on any changes in their scope and validity
- Certification bodies carry out annual surveillance audits and do recertification every five years
- In forest certification auditors shall use information of external parties, which is not required in PEFC chain of custody certification
- Forest certification standard AS4708 requires that summaries to certification reports are made public. This is not required in PEFC chain of custody certification.

## **10.2 Notification of Certification Bodies**

According to PEFC rules AFS Ltd recognizes only the certificates that are issued by the certification bodies that have applied and given a notification. AFS Ltd issues notification to the applying certification bodies that comply with the above described accreditation requirements and other requirements listed in the AFS Ltd notification rules. The notification is valid over certification body's accreditation period and it may continue with renewal of accreditation.

Notification contract specifies the responsibilities of both parties e.g. in information exchange.

The recently approved NZ4708 forest management standard should be referred to in the AFS notification document.

The contract does not require that certification bodies control the PEFC logo use of license holder.

## **10.3 Results**

### **10.3.1 Certification Bodies and Procedures**

#### **AFCS conforms to the following PEFC requirements for certification bodies**

- ✓ Certification bodies are independent third parties (PEFC Checklist Part IV, 1)
- ✓ Forest and chain of custody certification fulfils the requirements of defined in the relevant ISO standards (PEFC Checklist Part IV, 2-3, 8)
- ✓ Certification bodies and auditors shall have the specified technical competence (PEFC Checklist Part IV, 4-7)
- ✓ All auditors shall participate in forest management education programmes recognised by AFS Ltd and thus gain adequate competence on AFCS specific requirements (PEFC Checklist Part IV, 5-6)
- ✓ Auditing procedures and auditors shall fulfil general criteria<sup>8</sup>. This requirement is not specifically implied in JAS-ANZ accreditation requirements.

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<sup>7</sup> ISO/IEC 17011:2004 Conformity assessment -- General requirements for accreditation bodies accrediting conformity assessment bodies

<sup>8</sup> ISO 19011:2011 Guidelines for auditing management systems



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**The AFCS conforms to the following PEFC requirements for certification procedures:**

- ✓ Certification body shall establish internal procedures (PEFC Checklist Part IV, 10)
- ✓ Certification procedures shall
  - conform to the relevant ISO standards (PEFC Checklist Part IV, 11-12) and
  - have accreditation in accordance to JAS-NZ requirements. PEFC accreditation standard is used together with ISO 17065 in accreditation to chain of custody certification against PEFC and Australian chain of custody standards
  - have annual surveillance audits
  - Re-certification of forest management every third year (ISO 17021) and chain of custody every five years (PEFC 2003:2012).
- ✓ PEFC Governing body shall be informed on the issued certificates (PEFC Checklist Part IV, 14)
- ✓ Certification bodies shall monitor logo use (PEFC Checklist Part IV, 15)
- ✓ Time lines for surveillance and re-certification audits (PEFC Checklist Part IV, 16)
- ✓ Public availability of summaries to audit reports (only in forest certification) (PEFC Checklist Part IV, 17-18). Only in forest management certification.

**AFCS does not conform to the following PEFC requirements for certification procedures**

1. (PEFC Checklist Part IV, 15) on control of PEFC logo use. The minor nonconformities on the control of logo usage are described in Section 9.2 p. 29 of this report.

### **10.3.2 Accreditation Bodies and Procedures**

**The AFCS conforms to the following PEFC requirements for accreditation of certification bodies**

- ✓ Forest and chain of custody certification shall be accredited by a national accreditation body that is part of IAF (PEFC Checklist Part IV, 21, 23)
- ✓ Certification bodies shall use accreditation symbol on every attestation given on accredited certification (PEFC Checklist Part IV, 22)
- ✓ Forest and chain of custody certification shall comply with specific ISO standards (PEFC Checklist Part IV, 24-25)
- ✓ AFS Ltd has PEFC notification procedures that are non-discriminatory (PEFC Checklist Part IV, 26-27).



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## **11. COMPLAINTS AND DISPUTE PROCEDURES**

### **11.1 Analysis**

AFS Procedures for Complaints and Grievances (AFS Proc 08, Version 4.4-10/2011) describe the procedures for effective and timely complaints management. The procedures are applicable for i) complaints and grievances against AFS Ltd, ii) AFS standard or iii) AFS certification scheme. The document describes in detail the management, communication and decision making processes for the three types of complaints. The documents also provide templates for registration of complaints and of communication with the complainant.

AFS national secretary categorise the complaints and the AFS Board plays an important role in arranging impartial procedures to resolve a complaint. AFS Board may decide to convene an independent Complaints Panel on ad hoc basis. AFS Board also draws a final decision on the formal response to complainant.

The decision should be made within 20 days and communicated to the complainant (Sec 8.2). It shall contain necessary corrective/preventive actions.

### **11.2 Results**

- ✓ AFS complaints procedures conform to the PEFC requirements (PEFC Checklist Part VI, 3).



## 12. STAKEHOLDER SURVEYS

### 12.1 International PEFC Consultation

**Table 12.1 Summary of Comments of International Consultation**

Commented issues	Consideration in the assessment
<p>1. AFCS is implemented in New Zealand although New Zealand entities are governed under different models compared to Australia. Is AFS Ltd recognized in New Zealand as a PEFC governing body – if not what is the body that manages scheme implementation in New Zealand?</p> <p>2. Despite the fact that the scheme is implemented in two countries and contains two independent national forest management standards, the Australia dominates in all scheme documentation. Only few references are made to the presence of two national contexts for governance and implementation.</p>	<p>The assessment was based on the submitted documentation and relies on the assumption that the AFS Ltd has the mandate to be a PEFC governing body also in NZ, until other arrangements are documented in the scheme.</p> <p>The two forest management standards were compared and it was concluded that most amendments made to the NZ standard were due to cultural and legal as well as terminological differences between the two countries and did not substantially change the standard requirement.</p> <p>The detailed compliance assessment was made only against AS4708</p>
<p>3. Information on the plans to establish a PEFC Governing body in NZ and to apply PEFC endorsement separately for a national system based on AFS standards.</p> <p>4. A description of approval procedure of NZ forest management standard (NZ4708 – 2014)</p>	<p>The AFCS scheme implementation and certification is operational also in NZ. The administrative organisation may need clarification (role of AFS Ltd in NZ) but it is not a crucial element in the endorsement, especially if the issue will be reviewed in the near future.</p> <p>The AS and NZ standards are fully compatible and the adoption process resulted only minor changes to NZ standard in view of performance requirements.</p>
<p>5. Suggestions for amendments to the AS4708 standard</p> <ul style="list-style-type: none"> <li>• Enhance and maintain biodiversity of forest ecosystems (cf. PEFC ST 1003:5.4.1)</li> <li>• maps shall identify Significant biodiversity values areas, protection or conservation measures are implemented and clearly defined in management plan (cf. PEFC ST 1003:5.4.2)</li> <li>• protected and endangered species are not exploited for commercial purpose (cf. PEFC ST 1003:5.4.3)</li> <li>• The WHO Type 1A and 1B pesticides and other highly toxic pesticides shall be prohibited, except where no other viable alternative is available</li> <li>• impact studies shall be implemented and measures to mitigate or avoid negative impact of forest management and exploitation shall be clearly defined in forest management plan (cf. PEFC ST 1003:5.1.2)</li> <li>• clarify the requirement about the ban of forest conversions especially regarding identification of exceptional circumstances that allow the conversion of forest to plantation (cf. PEFC ST 1003:5.1.11)</li> <li>• add a reference to the respect of ILO convention <b>169</b>, United Nation Declaration on the Rights of Indigenous Peoples and the Free Prior and Informed Consent</li> </ul>	<p>It was concluded that AS4708 requirement - 3.2 address this issue</p> <ul style="list-style-type: none"> <li>- 3.3, 3.4 address identification and documentation of BD values</li> <li>- Protected species are addressed by 3.1-3.2 (included in significant BD values). Concluded the requirement for their protection is adequate.</li> <li>- The standard already prohibits the use of toxic chemicals but it allows in line with legislation the use of WHO 1A classified chemical under strict conditions where no other option exist</li> <li>- Standard requires systematic planning, implementation, monitoring, review, that produce the information relevant in impacts assessment (1.4, 1.5)</li> <li>- In exceptional circumstances conversion allow max 5% or 5 ha conversion. It is concluded that the terms for these circumstances are well defined and the allowed conversion area is very limited.</li> <li>- Based on additional information received Indufor concluded that the requirements of the ILO Conventions not ratified by Australia or New Zealand are satisfactory addressed with national legislation.</li> </ul>



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PEFC Council launched the international consultation on the Australian Forest Certification Scheme. A total of four comments were submitted suggesting changes to forest management standard and commenting on standards adoption process in New Zealand (Table 12.1).

## **12.2 National Stakeholder Questionnaire**

National questionnaire on standard revision process launched in 2010 was sent to the 50 interest groups invited to participate in the process. Only three replies were received in 2014. The reason for the low rate of replies is apparently the time gap between the revision work and this assessment and the subsequent changes in staffing in the listed organisations.

The three replies confirmed that the process was participatory, well-structured and did not result in implementation of complaints procedures.

The questionnaire is presented in Appendix 3.



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## Appendix 1

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### **Indufor Assessment on AFCS Conformity with PEFC Checklist (PEFC IGD 1007-01:2012)**

**PEFC Informative Guide**

**PEFC IGD 1007-01:2012**

**2012-11-16**

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**PEFC Standard and System Requirement Checklist**

**Indufor Conformity Assessment of the Australian Forest Certification Scheme (AFCS)**

**Final Report.**

**2 February 2015**

**PEFC Council**



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**Document name:** PEFC Standard and System Requirement Checklist

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**Indufor assessment tools:**

- Column YES/NO presents the conclusion on conformity to PEFC requirements.
- The conclusions on the conformity of AFCS Scheme with the PEFC requirements are based on Indufor evaluation of the referred evidence.
- Numbers before referred application documents providing evidence on compliance refer to the order of the specific document in the list of documents provided by the AFS Ltd.
- Indufor conclusions are explained in detail only a) in case of non-conformity and b) if referred documents do not clearly present an evidence on conformity

**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	<p>3. <i>Requirements for Accreditation of Standards Development organisations</i>; Accreditation Board for Standards Development (ABSDO), 4 April 2013 Ch 3 outlines general terms for standard development</p> <p>4. <i>Criteria for Designation as an Australian standard</i>, Accreditation Board for Standards Development (ABSDO), 4 April 2013</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>5. <i>AFS Pol3 Setting the Standard for Sustainable Forest Management V1.5-02/2012</i> :</p> <p>AFS has through ABSDO accreditation the status of a standard developer (p. 4), it has a structured organization (p. 6):</p> <p>6. <i>AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014. Sec 7.3.1</i> SRC members are appointed for 3 years</p> <p>Describes the tasks and responsibilities of different Standard Reference Committee, AFSL Board and other parties Chapters 5- 7.</p>
b) the record-keeping procedures,	Procedures	YES	<p><i>Management System Procedures. Records Control. SM PROC-01 records Control V1.2-08/2010 8p.</i></p> <p>Describe the terms of record keeping for all AFS ltd processes.</p>
c) the procedures for balanced representation of stakeholders,	Procedures	YES	<p>7. <i>AFS SD PROC 02 – SRC Representation-V2.0. 2010</i></p> <p>Defines the stakeholder groups to be consulted in the standard setting. Balanced representation is aimed at.</p>
d) the standard-setting process,	Procedures	YES	<p>6. <i>AFS SDO Procedures Manual (SD PROC 01 V2.6).2014</i> outlines in detail the standard setting process.</p>
e) the mechanism for reaching consensus, and	Procedures	YES	<p>6. <i>AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014.</i> Consensus is aimed at between participating interest groups (Sec 8.3-8.5) (see also <i>AFS SD PROC 02 – SRC Representation-V2.0. 2010</i>)</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
f) revision of standards/normative documents.	Procedures	YES	<p>5. AFS POL 3 <i>Setting the Standard for Sustainable Forest Management V1.5-02/2012</i>) Sec 8.7 implies the conditions to revise a standard.</p> <p>6. AFS SDO <i>Procedures Manual (SD PROC 01 V2.6). 2014.</i> Sec. 4.1.1 sets dates for standard revision; in principle every 4 to 5 years.</p>
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	<p><i>ABSDO standard documents for standard setting (numbers 3-4 in AFS Documentation list)</i></p> <p><i>AFS Ltd policies and procedures (numbers 5-9 in AFS Documentation list)</i></p> <p>5. AFS POL 3 <i>Setting the Standard for Sustainable Forest Management V1.5-02/2012</i>) Sec 8.9 states that ABSDO regularly audits AFS Ltd standard setting procedures; Sec</p> <p><i>SM PROC-01 records Control V1.2-08/2010</i> for recording.</p>
	Process	YES	<p>The AFS Ltd key policies and procedures for standard setting (Doc 5-7) are available at the AFS website and provided in response to any inquiry. ABSDO does annual audits on the compliance with the standard setting rules.</p>
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	<p><i>SM PROC-01 records Control V1.2-08/2010</i> for recording</p> <p>5. AFS POL 3 <i>Setting the Standard for Sustainable Forest Management.</i> Sec 9 requires record maintenance for 10 years.</p> <p>6. AFS SDO <i>Procedures Manual (SD PROC 01 V2.6). 2014.</i> Sec 18 requires regular internal audit for standardization procedures; Sec 19 demand a communication plan to enhance stakeholder communication.</p>
	Process	YES	<p>ABSDO does annual audits on the compliance with the standard setting rules</p> <p>19. ASBDO AFSL-14-11s Surveillance Assessment report (October 2014)</p>

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	5. AFS POL 3 Setting the Standard for Sustainable Forest Management. Sec 8.3 states that AFS Ltd will appoint a Standard Reference Committee (SRC) for each standard development. SRC shall have a balance representation.
	Process	YES	<p>9. AFS Final Process Approval for AS4708-2013. Sec 1.1 AFS Ltd appointed a temporary independent SRC</p> <p>8. AFS Final Process Approval for AS4707-2014. Sec 5.1. for either of the standards) ;</p> <p>20. Standard revision meeting report 4<sup>th</sup> November 2010</p> <p>AS 4708:2013 – the initial SRC4708 membership was agreed in June 2011 with members advised in early September 2011 in time for the first meeting of the SRC on 26-27 Sept 2011. There were several changes to membership during the revision process due to resignations etc. A register of membership was maintained throughout the process and reviewed by the SRC at each meeting.</p> <p>AS4707:2014 – the initial SRC4707 membership was endorsed by the AFS Ltd Board On 25 Oct 2012 but the commencement of the review process was delayed until August 2013 while the revision of the PEFC chain of custody standard was in progress.</p>
4.4 The working group/committee shall:			
a) be accessible to materially and directly affected stakeholders,	Procedures	YES	7. AFS SD PROC 02 – SRC Representation-V2.0. 2010; Sec 3.1 AFS Ltd will ensure that representatives of Committees cover scientific, environmental, social, economic and cultural aspects of SFM.

Question	Assess. basis*	YES /NO*	Reference to application documents
	Process	YES	9. AFS Final Process Approval for AS4708-2013 Attachment 1: List of invited organisations demonstrates that a total of 50 organisations and persons were invited to participate in SFM standard revision.
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	7. AFS SD PROC 02 – SRC Representation-V2.0. 2010 Ch 3 defines the target representation. National organisations are the priority members of SRC. Committee for SFM shall include representatives of forest owners and managers, forest-based industry, environment, community and social organisations, consumers and retailers.  21. AFS Ltd. Standards Development Procedures 03. SRC Charter and Code of Conduct <u>Balance</u> —careful attention to ensuring all relevant interests are represented on the committee; <u>Transparency</u> —all members of the public have an opportunity to have an input into the Standards Development Process;
	Process	YES	9. AFS Final Process Approval for AS4708-2013. Sec 2.1 SRC was represented by 19 persons from different interest groups. The list of persons and organisations is presented.
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	7. AFS SD PROC 02 – SRC Representation-V2.0. 2010; Sec 3.1 AFS Ltd will ensure that representatives of Committees cover scientific, environmental, social, economic and cultural aspects of SFM.
	Process	YES	9. AFS Final Process Approval for AS4708-2013. Sec 2.1 SRC was represented by 19 persons from different interest groups and included forest manager organisations that are affected and can influence standard implementation in practice.
4.5 The standardising body shall establish procedures for dealing with any substantive and procedural complaints	Procedures	YES	16. AFS CM PROC 08- Procedures for Complaints and Grievances V4.4/2011. Ch 7 Stream 2 Complaints against AFS standards, Annex 2: A

Question	Assess. basis*	YES /NO*	Reference to application documents
relating to the standardising activities which are accessible to stakeholders.			temporary Complaints Committee established comprised by the members of the Standard Reference Committee (SRC).  In case complaint is on SRC member or its operation, AFS Board will convene a temporary Complaints Committee among its members.
	Process	N.A	<i>No information if appeals procedures were applied in standard revision</i>
4.5 Upon receipt of the complaint, the standard-setting body shall:			
a) acknowledge receipt of the complaint to the complainant,	Procedures	YES	16. AFS CM PROC 08- Procedures for Complaints and Grievances. Ch 5 Recording Complaints: a register on complaints is maintained. Complaints are classified into three categories (streams) (Ch 7) and processed accordingly.  Ch 9 Milestones: within 10 days a standard email response is sent.  Sec 8.2 if Complaint Committee cannot resolve the appeal within 20 days, it will notify the complainant with a standard email on delay of a formal answer.
	Process	N. A	<i>No information if appeals procedures were applied in standard revision</i>
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	16. AFS CM PROC 08- Procedures for Complaints and Grievances V4.4/2011
	Process	N.A	<i>No information if appeals procedures were applied in standard revision</i>
c) formally communicate the decision on the complaint and of the complaint handling process to the complainant.	Procedures	YES	16. AFS CM PROC 08- Procedures for Complaints and Grievances : Annex 2: AFS Ltd Board comments the Complaints Committee's decision  Ch 9 Formal response shall be communicated within 20 days, if not possible a 7 day extension is informed to the complainant.

Question	Assess. basis*	YES /NO*	Reference to application documents
	Process	N.A	<i>No information if appeals procedures were applied in standard revision</i>
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	<i>16. AFS CM PROC 08- Procedures for Complaints and Grievances: Sec 8.1 lists the contact points for complaints</i>
<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	<i>7. AFS SD PROC 02 – SRC Representation-V2.0. 2010. Sec 3.2 SRC for SFM standard development shall include representatives of forest owners/managers, forest-based industry, environment, community &amp; social organisations and consumer/customer organisations. 6. AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014 Sec 7.2 Composition of SRC shall comply with ABSDO requirements for balanced interest to the subject matter. Sec 7.3.2 AFS Ltd will identify key stakeholders and call expressions of interest to participate in SRC work.</i>
	Process	YES	<i>9. AFS Final Process Approval for AS4708-2013 Attachment 1: List of invited organisations demonstrates that a total of 50 organisations and persons were invited to participate in SFM standard revision.</i>
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	<i>6. AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014 Sec 7.4.2 SRC Membership expenses: in special cases SRC member may obtain funding to attend SRC meetings. Indufor note: The focus is on national organisations.</i>

Question	Assess. basis*	YES /NO*	Reference to application documents
	Process	YES	9. AFS Final Process Approval for AS4708-2013 Attachment 1: List of invited organisations.
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	6. AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014. Sec 11.8. AFS Ltd will announce standard development activity through emails to board and SCR members or listed stakeholders, Newsletters and in AFS Ltd website.
	Process	YES	9. AFS Final Process Approval for AS4708-2013 Attachment 1: List of 50 invited organisations Sec 3.2 invitation was sent on 17 Oct 2010; call for nomination documentation was posted on website in Oct 2010-March 2012, 19. ABSDO Audit report demonstrate compliance to AFS Ltd procedures and their compatibility with ABSDO requirements 22. Example of 17 Oct 2010 invitation letter; 20. Minutes of the information session: The SRC held four 2 day meetings (26-27/09/11, 06-07/12/11, 26-27/06/12, 1-2/11/12).
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	6. AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014. Sec 11.8 : information about standard development process, objectives, scope and the steps of the standard development activity and anticipated time table, opportunities for stakeholders to participate and comment the process and draft standard.
	Process	YES	9. AFS Final Process Approval for AS4708-2013 Sec 3.2 invitation was sent on 17 Oct 2010; 22. example of a personal invitation letter from AFS Ltd

Question	Assess. basis*	YES /NO*	Reference to application documents
b) information about opportunities for stakeholders to participate in the process,	Procedures	YES	<p>5. AFS POL 3 Setting the Standard for Sustainable Forest Management V1.5-02/2012). Ch 8 Standard development process, 8.3 SRCs, 8.5 Public review, 8.9 Audit by interested parties.</p> <p>6. AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014. Sec 11.8 information about opportunities of stakeholders to participate</p>
	Process	YES	22. Example of a personal invitation letter from AFS Ltd
(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	<p>6. AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014. 11.8 Invitations will be sent to key stakeholders</p> <p>7. AFS SD PROC 02 – SRC Representation-V2.0. 2010. Annexure 1 list of types of interest groups</p> <p>19. ABSDO AFSL-14-11s Surveillance Assessment report (October 2014. 16 SRC-openness. Conclusion that participation is open (16.2) and there is no undue financial barriers to participation (16.5)</p>
	Process	YES	<p>9. AFS Final Process Approval for AS4708-2013</p> <p>Annex 1 list of 50 invited stakeholders included key stakeholders that also include those that may be disadvantaged. Special effort was taken to engage different organisations representing aboriginal groups and environmental NGOs.</p> <p>In addition indigenous peoples' organisations were invited in person.</p>
d) an invitation to comment on the scope and the standard-setting process, and	Procedures	YES	<p>6. AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014. Sec 12.2</p> <p>The standards outlined the standard development process, but in the commencement meeting the details of the development process were agreed on.</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
	Process	YES	20. Standard revision meeting report 4 <sup>th</sup> November 2010 – confidential document
e) reference to publicly available standard-setting procedures.	Procedures	YES	6. AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014. 11.8. Information on standard development process was sent.  The policies and procedures are publicly available at AFS Ltd webpage.
	Process	YES	22. Example of a personal invitation letter from AFS Ltd of 17 October 2010
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	National ABSDO and AFS Ltd standard setting policies and procedures were not negotiable in this standard revision. However, ASBDO procedures are largely in line with PEFC procedures for standard setting (see documents 5, 6, 19 in the document list.)  7. AFS SD PROC 02 – SRC Representation-V2.0. 2010. Ch 3 requires balanced representation and gives detailed guidelines for it.  21. AFS Ltd. Standards Development Procedures 03. SRC Charter and Code of Conduct V3. October 2010
	Process	YES	9. AFS Final Process Approval for AS4708-2013. Sec 3.2 on Participation demonstrates that a total of seven nominations of forest grower representatives were not accepted in order to receive a balanced representation in the 20 member SCR.  Forest growers was the only interest group for which there were too many nominations. In order to maintain a balanced representation in SCR, AFS Ltd requested that the major forest grower representative organisations (Australian Forest Growers & Australian Forest Products Association) nominate appropriate representatives of forest growers. This is also consistent with Standards Australia practice where every effort is made to ensure that Committee members are chosen based on their expertise and/or

Question	Assess. basis*	YES /NO*	Reference to application documents
			as representatives of an interest group and not of an individual company/organisation.
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	6. AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014. Sec 12.2.3 SRC have the opportunity to contribute to the development or revision of the standard and submit comments to the working drafts.
	Process	YES	9. AFS Final Process Approval for AS4708-2013. Ch 5 Transparency. Sec 5.1 Summary of the meeting minutes were made available on request, 5.2 AFS Ltd maintains a documentation control system and all records are available. The documents listed in the notable drafts were accessible to SRC members.  Sec 3.2 on Participation state that SRC meetings were open to observers (two attended).
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	6. AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014. Sec 12.2.3 <i>See above</i>
	Process	YES	9. AFS Final Process Approval for AS4708-2013. Sec 3.2 SCR meetings were open, 2.2 rules for consensus development, 3.2 Participation  21 interest groups participated in SCR work. SCR commented and contributed to prepared draft documents in a few face-to-face meetings and in telephone conferences and through emails.  The SRC held four 2 day meetings (26-27/09/11, 06-07/12/11, 26-27/06/12, 1-2/11/12). At the start of the process SRC members identified those areas of the Standard where changes needed to be considered and these were the focus of initial discussions. In some cases working groups of SRC members were formed to consider specific issues. SRC members were invited to

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>provide input during the meetings as comments or as specific wording and on draft material distributed between meetings. The SRC frequently worked in “drafting mode” with the Standard text projected on to a screen and the Project Manager editing text during the meeting so it could be considered, discussed and agreed by the SRC during the meeting.</p> <p>Following the two public consultation periods the Project Manager compiled every comment received into a spreadsheet and made recommendations to the SRC as to how each comment should be dealt with (e.g. accept, reject, consider). The Committee generally accepted most of the Project Manager’s comments but in some cases they did not. The SRC could then focus its efforts on considering those items which the Project Manager had identified for further consideration.</p>
<p>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.</p>	<p>Procedures</p>	<p>YES</p>	<p><i>6. AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014. Sec 12.2.3 SRC have the opportunity to contribute to the development or revision of the standard and submit comments to the working drafts. PM will consider the comment and prepare a new draft for SRC. All comments shall be considered in a transparent manner and their resolution shall be recorded.</i></p>
	<p>Process</p>	<p>YES</p>	<p>A large number of comments and suggestions from SRC members and public submissions were considered and resolved during this process as evidenced by the changes that occurred between the original Standard, each of the public comment drafts and the final approved version.</p> <p>There were several items (including forest conversion on indigenous lands) where the SRC did not reach agreement during discussions in meetings. In these cases questions were put to SRC members in a ballot process out of session (by email). The SRC was specifically asked whether or not they supported the inclusion of an additional clause (3.10) which would have permitted forest conversion on indigenous lands under specific circumstances. The SRC did not agree to the addition of this clause via the ballot and therefore it was not included in the final Standard.</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
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>5. AFS POL 3 <i>Setting the Standard for Sustainable Forest Management</i> V1.5-02/2012). The availability of draft standard (for comments) is publicly announced.</p> <p>6. AFS SDO <i>Procedures Manual (SD PROC 01 V2.6). 2014.Ch 13 Public consultation Procedure: 13.2</i> The standard version called Public Comment draft is released and informed to stakeholders in order to collect consolidated public comments on the draft.</p> <p>13.3 <i>Mechanisms used for Public Comment.</i> Publications, emails to AFS Ltd Board and SRC, industry email list and AFS Ltd websites are used for publishing the Public Comment draft of the standard.</p>
	Process	YES	<p>9. AFS <i>Final Process Approval for AS4708-2013. Sec 4.2 Draft standards were made available for public comment on two occasions:</i></p> <p>i) 19 March 2012 to 18 May 2012 (67 days)</p> <p>ii) 20 August 2012 to 1 October 2012 (42 days) in total 109 days.</p> <p><i>Invitations to comment sent by emails (97 stakeholders), AFS Ltd web page</i></p>
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>6. AFS SDO <i>Procedures Manual (SD PROC 01 V2.6). 2014.Ch 13 Public consultation Procedure: 13.2</i></p> <p>All documents relating to the public consultation phase are distributed electronically in the first instance. Where a specific stakeholder group has been identified and does not have access to electronic media, public consultation drafts, information, etc. is distributed by postal service.</p> <p>The procedures do not specifically refer to disadvantaged stakeholders but a clear requirement on AFS Ltd to seek to reach all key stakeholders.</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
	Process	YES	9. AFS Final Process Approval for AS4708-2013. Sec 4.2. The standard was sent to 97 stakeholders. The second consultation was informed in media outlets and in forest and timber journals.
c) the enquiry draft is publicly available and accessible,	Procedures	YES	5. AFS POL 3 Setting the Standard for Sustainable Forest Management V1.5-02/2012). The availability of draft standard (for comments) is publicly announced. 6. AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014. Ch 13 Public consultation Procedure: a copy of the new standard shall be available for uploading in the invitation for comments.
	Process	YES	9. AFS Final Process Approval for AS4708-2013. Sec 4.2. Invitation included a link to the draft standard and it was also available at the AFS Ltd webpage
d) the public consultation is for at least 60 days,	Procedures	YES	6. AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014. Sec 13.2. The public consultation period of at least 60 days is required
	Process	YES	9. AFS Final Process Approval for AS4708-2013. Sec 4.2. Consultation lasted 67 + 42 days, 109 days in total
e) all comments received are considered by the working group/committee in an objective manner,	Procedures	YES	6. AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014. Sec 13.2.2. All comments received must be recorded, referenced and given due consideration (even if no action is taken)
	Process	YES	9. AFS Final Process Approval for AS4708-2013. Sec 4.2.

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p>i) consultation: A total of 540 comments from 28 sources were received, compiled in a database and made available to SRC</p> <p>ii) consultation 503 comments from 31 sources were received</p> <p>The comments were informed to SRC for consideration</p>
<p>(f) a synopsis of received comments compiled from material issues, including the results of their consideration, is publicly available, for example on a website.</p>	Procedures	NO	<p>6. AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014. Sec 13.2.2 Feedback and comments received along with actions taken will be recorded on a summary sheet and distributed to SRC members</p> <p>3.ASBDO Requirements for the accreditation of a Standards Development Organisation 1 October 2014 Clause 7.5: The SDO (standard development organization) shall have a policy on making the records relating to a standards development project available to industry, government and the community where requested. This policy shall take into account the principles of openness and transparency but recognise the needs of privacy and SRB confidentiality.</p> <p>In addition the summary sheets on the consideration of comments is made public only to SRC members and for ASBDO audit. SRC meetings are also open to observers.</p> <p>Indufor conclusion: Comments received are discussed in the SRC and minutes of the meetings record discussion and conclusions. The results of their consideration are reflected in the final standard version, but a description on the actions per specific comments are informed only to the SRC members that is in accordance to the ASBDO option to respect the privacy and confidentiality of standard setting working group. Apart from the non-compliance with this specific PEFC requirement, the standard setting procedures shall be transparent and informative to relevant parties.</p>
	Process	NO	<p>9. AFS Final Process Approval for AS4708-2013. Sec 4.2.</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
			<p><i>In the two consultations the comments were compiled and informed to SRC members for consideration. The consolidation of the treatment of all comments is available in a report that is available to auditors (ABSDO)</i></p> <p>The AFS website provides summary information and on both the Standards revision processes see:</p> <p><a href="http://www.forestrystandard.org.au/standards/standards-revision-processes/review-of-as4708">http://www.forestrystandard.org.au/standards/standards-revision-processes/review-of-as4708</a>; As the review of AS 4708 involved two public comment periods and subsequently the consideration of a large number of specific comments on the wording of individual requirements by the Standards Reference Committee (SRC) it is not practical to provide a summary of how each comment was dealt with. The FAQ document above provides a synopsis of the main changes resulting from the review process. <b>If stakeholders would like more detailed advice on how specific issues were dealt with by the SRC they should contact the National Secretary,</b></p> <p>and</p> <p><a href="http://www.forestrystandard.org.au/standards/standards-revision-processes/review-of-as4707">http://www.forestrystandard.org.au/standards/standards-revision-processes/review-of-as4707</a></p> <p>Indufor conclusion: a very general synopsis of received questions and comments and their consideration is available in web under frequently asked questions. Any specific information is available on request from the AFS Ltd. The information on consideration of specific comments is accessible, although as freely available as intended by the PEFC requirement.</p>
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	N. A.	AFS forest management standard (AS4708) has been applied for years. Changes made in the revision do not require pilot testing.
	Process	N.A.	
	Procedures	YES	6. AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014. Sec 7.3.5 SRC shall word towards consensus..., 8.3-8.4 consensus and transparency are

Question	Assess. basis*	YES /NO*	Reference to application documents
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.			<i>embodied in ...standards, 8.5 SRC member shall work towards and contribute to reaching consensus. In case of negative vote SRC shall undertake further consideration with the aim to ... achieve consensus.</i>
	Process	YES	<p><i>9. AFS Final Process Approval for AS4708-2013. Sec 2.2. SRC voted on two requirements (1)BD (wording) and 2) conversion on indigenous land (removal)).</i></p> <p>Through three voting rounds on requirement 1) the SRC reached a consensus decision. In the second requirement a consensus was not reached on the proposed change.</p> <p>Standard setting followed the guidelines for consensus as defined in AFS procedures (see above) and ISO/IEC Guide 2 – Standardization and related activities – General vocabulary.</p>
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	<p>Covered by response to PEFC Checklist question 5.8</p> <p><i>6. AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014.Sec 8.5</i></p> <p>Balloting is used as a step to reach a consensus decision if opposing views are present in SRC.</p>
	Process	YES	<i>9. AFS Final Process Approval for AS4708-2013. Sec 2.2. SRC voted on two requirements</i>
b) a telephone conference meeting where there is a verbal yes/no vote,	Procedures	YES	<p>The AFS list postal ballot as a form of voting, along with meetings.</p> <p>In any case the procedures are well defined and allow voting in meetings and through different media (email, etc.) thus complying with PEFC requirements.</p>

Question	Assess. basis*	YES /NO*	Reference to application documents
	Process	YES	9. AFS Final Process Approval for AS4708-2013. Sec 2.2. Postal ballot was used that provided a voting opportunity to all SRC members
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	See above
	Process	YES	See above
d) combinations thereof.	Procedures	YES	See above
	Process	YES	See above
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	6. AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014.Sec 8.5 Where there is a negative vote(s) ... and there is a likelihood of successful resolution of the issue, the SRC shall undertake further consideration with the aim to resolve the negative vote so as to achieve consensus...
	Process	YES	9. AFS Final Process Approval for AS4708-2013. Sec 2.2. Three ballot rounds were done and SRC modified the draft after each ballot. The consensus was reached based on a formal ballot. <i>Process was audited by ABSDO</i>
	Procedures	YES	6. AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014.Sec 8.5 SRC shall work within committee to overcome areas of disagreement

Question	Assess. basis*	YES /NO*	Reference to application documents
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,	Process	YES	9. AFS Final Process Approval for AS4708-2013. Sec 2.2. Final ballot was unanimously agreed
c) dispute resolution process.	Procedures	YES	16. AFS CM PROC 08- Procedures for Complaints and Grievances V4.4/2011  Annex 2 Resolving technical complaint about a standard, it's content and/or the standards development process; stream 2  Provides a pathway for dispute resolution
	Process	N.A.	No formal disputes were raised.
5.10 Documentation on the implementation of the standard-setting process shall be made publicly available.	Procedures	YES	3. Requirements for Accreditation of Standards Development organisations; Accreditation Board for Standards Development (ABSDO), 4 April 2013  4. Criteria for Designation as an Australian standard, Accreditation Board for Standards Development (ABSDO), 4 April 2013  5. AFS POL 3 Setting the Standard for Sustainable Forest Management V1.5-02/2012)  6. AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014  The documentation above outline the standard setting requirements and is publicly available
	Process	YES	The standards are available at:  <a href="http://www.forestrystandard.org.au/standards/standards-procedures">www.forestrystandard.org.au/standards/standards-procedures</a>
	Procedures	YES	6. AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014. Sec 8.5, 9.5 Consensus within SRC

Question	Assess. basis*	YES /NO*	Reference to application documents
5.11 The standardising body shall formally approve the standards/normative documents based on evidence of consensus reached by the working group/committee.			<p><i>Sec 9.5 Final process approval and publishing of a standard, further described in Ch 10</i></p> <p>The SRC makes a consensus decision on the standard and Standards Australia approves and publish the standard together with AFS Ltd.</p>
	Process	YES	<p>The AS4708:2013 has been approved as an Australian Standard; New Zealand adaptation of AS 4708:2013 was approved in May 2014</p>
5.12 The formally approved standards/normative documents shall be published in a timely manner and made publicly available.	Procedures	YES	<p><i>5. AFS POL 3 Setting the Standard for Sustainable Forest Management V1.5-02/2012) Sec 15.6 Availability of standards. Any standard bearing the name Australian or New Zealand or Australian/New Zealand Standard is available through SAI Global and Standards New Zealand.</i></p> <p><i>6. AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014 Sec 15.2.1. Once process approval is given by the AFSL Board, AFSL will advise the ABSDO Secretary who will provide on request the required ISBN Number(s) for the standard; 15.2.2 Documents to SAI Global: Once process approval has been given and ISBN's assigned, AFSL will need to provide certain documents to SAI Publishing.</i></p> <p><i>SAI Publishing will then upon request provide details of requirements for the printing of the new Australian Standard.</i></p>
	Process	YES	<p>The AS4708:2013 is available at <a href="http://www.forestrystandard.org.au">www.forestrystandard.org.au</a></p> <p>The New Zealand adaptation of AS 4708:2013 is on sale at Standards New Zealand</p> <p><a href="http://shop.standards.co.nz/catalog/4708%3A2014%28NZS+AS%29/view">http://shop.standards.co.nz/catalog/4708%3A2014%28NZS+AS%29/view</a></p>
<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	Process	YES	<p><i>6. AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014. Ch 4 Regular review of standards. The AFS Ltd has reviewed forest management and</i></p>

Question	Assess. basis*	YES /NO*	Reference to application documents
period. The procedures for the revision of the standards/normative documents shall follow those set out in chapter 5.			chain of custody standards (AS-4708 and AS-4707 respectively) every 4 to 5 years. Next revision for both standard is within five years (2018 and 2019 respectively)
6.2 The revision shall define the application date and transition date of the revised standards/normative documents.	Process	YES	<p>6. AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014. Ch 15 outlines the layout requirements of a standard</p> <p>17. Requirements for bodies providing audit and certification of Forest Management System (JAS-ANZ Issue 4. Feb 2014)</p> <p>AS4708 transition is set out in Clause 0.3.2 of the Forest Management Systems Scheme and was advised in the public announcement of the publication of the Standard: All clients should comply with AS 4708:2013 within 12 months from the date of publication of the standard. Certificates to AS 4708:2007 shall be withdrawn by no later than 23 August 2015, i.e., 24 months from the date of publication of the standard.</p> <p>Certification bodies can continue to issue certificates against AS 4707:2006 (chain of custody) until 31 December 2014. From 1 January 2015 all new chain of custody certificates must be issued against AS 4707:2014.</p> <p><a href="http://www.forestrystandard.org.au/standards/australian-standards/chain-of-custody">http://www.forestrystandard.org.au/standards/australian-standards/chain-of-custody</a></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	See above 6.2
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	See above 6.2

### 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.

Indufor views on AFCS compliance with PEFC requirements.

**2 Checklist**

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	12. <i>Guidance Note Sustainable forest management AS-4708 GN02– 2013) Section B</i> defines acceptable certification groups  <i>- Defines the parties and their roles and responsibilities in group entity: group manager and group members</i>
b) the group entity,	YES	<i>- An entity that represents the Group Members, with and overall responsibility for ensuring the conformity of forest management ...to AFS and other applicable requirements...</i>
c) the participant,	YES	Group member  <i>- A forest owner/manager or other entity who is covered by the forest management certificate; has legal right to manage forest in a clearly defined area; has the ability to enter a legal agreement with group entity; can make arrangements to ensure that the requirements of AFS are implemented in that area.</i>

Question	YES / NO*	Reference to system documentation
		Group manager <i>- A person with delegated responsibility for administering the rules of the group....</i>
d) the certified area,	YES	<i>- Forest area covered by a FM certificate representing the sum of forest areas of the group</i>
e) the group forest certificate, and	YES	Forest management certificate <i>- A document confirming that the group entity complies with the requirements of AFS and other applicable requirements of the forest certification scheme</i>
f) the document confirming participation in group forest certification.	YES	A document is issued to a group member that refers to FM certificate and confirms that the group member is part by the scope of the FM certificate
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 scheme that covers the forest owner.	YES	12. <i>Guidance Note Sustainable forest management AS-4708 – 2013) Section B, Clause 3.3.k)</i>  <i>- In cases where group certification scheme allows a group member to be covered by an additional forest certification scheme, the scheme shall ensure that non-conformity by the group member under one scheme is addressed by the other scheme</i>
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	<i>Clause 3.2 The group forest certification scheme should define requirements which ensure that the group entity and group members collectively conform to the AFS</i>  <i>Clause 3.3 ... responsibility of group entity is b) to provide commitment to comply with the AFS and other applicable requirements, c) establish and maintain written procedures for management of the group forest certification scheme, included recommended forest management,</i>  <i>f) written agreement with all group members that includes group member's commitment to comply with the AFS...and covering the right to implement and enforce corrective and preventive measures.</i>
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	YES	<i>Clause 3.3</i>

Question	YES / NO*	Reference to system documentation
whole group organisation with the sustainable forest management standard.		<p><i>j) annually review the ... conformity with the AFS that includes reviewing the results of the internal monitoring programme ...</i></p> <p><i>e) keep records of internal monitoring programme and any preventive and/or corrective actions taken</i></p>
<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	<p><b>12. Guidance Note Sustainable forest management (AS-4708 GN 02– 2013) Section B</b></p> <p><i>Clause 3.3 a) Group entity shall represent Group forest certification scheme in the certification including communication and relationships with the certification body, submission of application and contractual relationships with the certification body</i></p>
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	<p><i>Clause 3.3 b) Provide a commitment to comply with the AFS and other applicable requirements</i></p>
c) To establish written procedures for the management of the group organisation;	YES	<p><i>Clause 3.3 c) To establish and maintain written procedures for the management of the group ...including recommended practices for forest management</i></p>
<p>d) To keep records of:</p> <ul style="list-style-type: none"> <li>- the group entity and participants' conformity with the requirements of the sustainable forest management standard, and other applicable requirements of the forest certification scheme,</li> <li>- all participants, including their contact details, identification of their forest property and its/their size(s),</li> <li>- the certified area,</li> </ul>	YES	<p><i>Clause 3.3 e)</i></p> <ul style="list-style-type: none"> <li>- <i>group entity and group members' conformity ...</i></li> <li>- <i>all group members, including their names, legal status, contact details, maps ... and other supporting information describing certified area</i></li> <li>- <i>internal monitoring programme and any preventive/ corrective actions taken</i></li> </ul>

Question	YES / NO*	Reference to system documentation
- the implementation of an internal monitoring programme, its review and any preventive and/or corrective actions taken;		
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><i>Clause 3.3 f) To establish written agreement with all group members that includes</i></p> <ul style="list-style-type: none"> <li>- <i>group member's commitment to comply with AFS</i></li> <li>- <i>written contract or other written agreement ...covering the right of the group manager to implement and enforce any corrective or preventive measures</i></li> <li>- <i>and to initiate the exclusion of any group member from the scope of certification in the event of non-conformity with the AFS</i></li> </ul>
f) To provide participants with a document confirming participation in the group forest certification;	YES	<p><i>Clause 3.3 g) To provide group members with a document confirming participation upon acceptance into group certification scheme</i></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><i>Clause 3.3 h) To provide group members with information and guidance on effective implementation of the AFS and other applicable requirements</i></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><i>Clause 3.3 i) To operate annual internal monitoring programme ...</i></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><i>Clause 3.3 i) ... that provides for the evaluation of group member's conformity with the AFS and other applicable requirements</i></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	<b>12. Guidance Note Sustainable forest management (AS-4708 GN 02– 2013) Section B</b> <i>Clause 3.4 Group certification scheme should define the following requirements for a group member</i> <i>a) To enter a written agreement with the group entity, that includes a commitment to comply with the AFS and other applicable requirements of the group forest certification scheme</i>
b) To comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme;	YES	<i>Clause 3.4 b) To comply with the AFS other applicable requirements of the forest certification scheme</i>
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	<i>Clause 3.4 c) To provide full co-operation and assistance in responding effectively to all requests from the group entity, the group manager or certification body to the certified area, whether in connection with formal audits or reviews or otherwise.</i>
d) To implement relevant corrective and preventive actions established by the group entity.	YES	<i>Clause 3.4 e) To implement relevant corrective and preventive actions established by the group manager</i>

**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.

Indufor assessment on the compliance of AS 4708-2013 Sustainable Forest Management standard and the New Zealand adoption of the standard (NZS AS 4708:2014)

- The requirements for forest management are described in Australia Standard® Sustainable Forest Management AS4708-2013 and New Zealand Standards Sustainable forest management NZS AS 4708:2014, documents 10 and 11, respectively, in the AFCS documentation list (see Table 4.2 in the main report)

## 2 Checklist

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.	YES	10. Australia Standard® Sustainable Forest Management AS4708-2013 11. New Zealand Standards Sustainable forest management NZS AS 4708:2014 set requirements for forest management. They are applicable at a FMU level.
b) be clear, objective-based and auditable.	YES	Australia Standard® Sustainable Forest Management AS4708 p. 7 The standard - accommodates all forest types, scales, and ownership structures The criteria are applicable to the different types of forest holdings.
c) apply to activities of all operators in the defined forest area who have a measurable impact on achieving compliance with the requirements.	YES	AS4708 Preface: standard is intended for voluntary application to any forests being managed for the production of forest products and forest services, whether native or planted. NZS AS 4708:2014 Preface: The standard is intended for voluntary any forests being managed for the production of forest products and forest services, whether native or planted forests.
d) require record-keeping that provides evidence of compliance with the requirements of the forest management standards.	YES4.1 a-d)	AS4708-2013 C 1 Systematic management – sets requirements for policy, planning implementation, monitoring and corrective actions, review and research

Question	YES / NO*	Reference to scheme documentation
		1.3. Implementation: Forest manager shall ensure that f) procedures for communication, document management and record keeping are established and maintained.
<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 <b>maintain or increase forests and other wooded areas</b> and <b>enhance</b> the quality of the economic, ecological, cultural and social <b>values of forest resources</b> , 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	AS4708-2013 <i>Principle (P) 1 Systematic management</i> C 1.2 Forest management plan, 2g) describe the forest values to be managed. Including those important for the protection of environment, economic, social and cultural benefits. P3 Biodiversity 3.9.1 Forest manager shall not convert native vegetation to plantation or to non-forest except in the limited circumstances (as defined)
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 <b>social, environmental and economic impacts</b> of forest management operations. This shall form a basis for a cycle of continuous improvement to minimise or avoid negative impacts.	YES	AS4708-2013 C1.2 Forest management plan, 2b) identify and assess the significance of specific aspects and impacts of activities relevant to the standard, 2g) ...values. Including those important for the protection of environment, economic, social and cultural benefits 1.3.1 Forest manager shall implement a management system to deliver the forest management plan that is based on , inventory, planning, implementation, monitoring, evaluation and review processes. 1.4.1 (Forest manager, hereafter ...) shall monitor activities, 1.4.2 ... implement measures to correct identified deficiencies and prevent repeat occurrence , to support continual improvement in performance outcome, 1.4.3 ... ensure procedures are in place for a) checking operational plans, b) monitoring auditing,

Question	YES / NO*	Reference to scheme documentation
5.1.3 Inventory and mapping of forest resources shall be established and maintained, adequate to local and national conditions <b>and in correspondence with the topics described in this document.</b>	YES	AS4708-2013 <i>General requirements. 0.1 Defined forest area. 1 .... Shall describe, record and map the defined forest area and maintain &amp; update a register of all separately described titles.... And other land components</i>
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	AS4708-2013 1 <i>Systematic management</i> C1.2 Forest management plan 1.5.1... shall periodically review and modify management system..., 1.5.2 ... the review shall include... forest management plan, stakeholder engagement plan....
5.1.5 Management plans or their equivalents shall include at least a description of the <b>current condition</b> of the forest management unit, long-term <b>objectives</b> ; and the average annual allowable <b>cut</b> , including its justification and, where relevant, the annually allowable <b>exploitation of non-timber</b> forest products.	YES	AS4708-2013 1 <i>P1Systematic management</i> C1.2 Forest management plan shall 1.2.2 e) ... state the scope and objectives of forest management 1.2.2 f) ... include a description of the forest including current condition and inventory results and forecasts 1.2.2 c) state management objectives... P4 Forest productive capacity C4.2 Identify harvest rates 4.2.1 ... shall identify harvesting rates for forest products commensurate with the long term productive capacity of the forest and shall consider: a) structure and condition, b) estimates for sustainable yield, e) optimal use of forest area
5.1.6 A <b>summary of the forest management plan</b> or its equivalent appropriate to the scope and scale of forest management, which contains information about the forest management measures to be applied, is <b>publicly available</b> . The summary may exclude confidential business and personal information and other information made confidential	YES	AS4708-2013 1 P2 Stakeholders, C2.6 Public disclosure, 2.6.1 ... shall make publicly available summaries of: forest management plan and audit reports provided by certification body

Question	YES / NO*	Reference to scheme documentation
by national legislation or for the protection of cultural sites or sensitive natural resource features.		
5.1.7 Monitoring of forest resources and evaluation of their management shall be periodically performed, and results fed back into the planning process.	YES	<i>AS4708-2013 1 P1 Systematic management</i> 1.4.1... shall monitor activities 1.5.1... shall periodically review and modify management system...
5.1.8 Responsibilities for sustainable forest management shall be clearly defined and assigned.	YES	<i>AS4708-2013 1 P1 Systematic management</i> 1.3.2 c) <i>roles and responsibilities are defined and assigned and there are sufficient resources and other capacity to implement the management system</i>
5.1.9 Forest management practices shall safeguard the <b>quantity and quality of the forest resources</b> in the medium and long term by <b>balancing harvesting and growth rates</b> , and by preferring techniques that <b>minimise direct or indirect damage</b> to forest, soil or water resources.	YES	<i>AS4708-2013 1 P1 Systematic management</i> 1.2.2 h) <i>forest management plan shall describe and provide a rationale for silvicultural management regime</i> <i>P 4 Forest Productive Capacity. 4.2.1 ... shall identify harvesting rates for forest products commensurate with the long term productive capacity of the forest and shall consider: e) optimal use of forest area</i> 6.1 -6.2 ... <i>shall identify and assess the soil and water values that can be adversely affected by forest management; ... shall manage forest operations to minimize adverse changes to water quality</i>
5.1.10 Appropriate <b>silvicultural measures</b> shall be taken to <b>maintain</b> or reach a level of the growing stock that is <b>economically, ecologically and socially desirable</b> .	YES	<i>AS4708-2013 1 P 4 Forest Productive Capacity</i> 4.5.1 ... <i>shall demonstrate the silvicultural systems are appropriate for a) forest type, b) stand and site conditions, c) forest management requirements, d) biodiversity priorities</i>
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	YES	<i>AS4708-2013 1 P3 Biodiversity.</i> 3.9.1 ... <i>shall not convert native vegetation to plantation or to non-forest except</i> a) <i>infrastructure development required by forest management plan</i> b) <i>establishment of practical operational units of plantation (limited areas as defined)</i>

Question	YES / NO*	Reference to scheme documentation
<p>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</p> <p>b) entails a small proportion of forest type; and</p> <p>c) does not have negative impacts on threatened (including vulnerable, rare or endangered) forest ecosystems, culturally and socially significant areas, important habitats of threatened species or other protected areas; and</p> <p>d) makes a contribution to long-term conservation, economic, and social benefits.</p>		<p>3.9.2 ... shall in all circumstances above</p> <p>a) conversion only if it does not involve occurrences of Significant BD Values or offsets</p> <p>b) commit to and demonstrate an offset process to effectively balance the environmental outcomes of ... conversion</p> <p>Indufor:</p> <p>Areas with Significant BD Values and offset areas are those addressed in PEFC requirement c). Requirement for offsetting is considered to cover the long term contribution to conservation (PEFC requirement d).</p>
<p>5.1.12 <b>Conversion</b> 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.</p>	YES	<p>See above</p> <p>AS4708-2013 P5 Forest ecosystem health</p> <p>5.5. 1 ... shall identify sites within the DFA that are degraded and facilitate a prioritized program for the rehabilitation of degraded forests</p>
<p><i>Criterion 2: Maintenance of forest ecosystem health and vitality</i></p>		
<p>5.2.1 Forest management planning shall aim to maintain and increase the <b>health and vitality</b> of forest ecosystems and to rehabilitate degraded forest ecosystems, whenever this is possible by silvicultural means.</p>	YES	<p>AS4708-2013</p> <p>P1 Systematic management. 1.3.2 e) ... shall ensure that forest operations... use preventive biological measures to maintain and enhance the health and vitality whenever it is economically feasible.</p> <p>P 4 Forest productive capacity. 4.5.1 ... shall demonstrate the silvicultural systems are appropriate for a) forest type, b) stand and site conditions</p> <p>P5 Forest ecosystem health. 5.2 Maintain health</p> <p>5.5.1 ... shall identify sites within the DFA that are degraded and facilitate a prioritized program for the rehabilitation of degraded forests</p>

Question	YES / NO*	Reference to scheme documentation
<p>5.2.2 <b>Health and vitality of forests shall be periodically monitored</b>, especially key biotic and abiotic factors that potentially affect health and vitality of forest ecosystems, such as pests, diseases, overgrazing and overstocking, fire, and damage caused by climatic factors, air pollutants or by forest management operations.</p>	YES	<p>AS4708-2013 P1 Systematic management</p> <p>1.3.2 e) ... shall ensure that forest operations... use preventive biological measures to maintain and enhance the health and vitality</p> <p>1.4.1 ... shall monitor and evaluate activities and their outcomes ...</p> <p>1.4.2 ... shall take corrective actions</p> <p>P5 Forest ecosystem health. 5.2 Maintain health</p> <p>5.2.1 ... shall prioritize, plan and implement practices to support the maintenance of forest ecosystem health and vitality</p> <p>5.2.2 ... shall plan to ensure that damage resulting ... stays within tolerable levels and degradation is minimized</p> <p>5.2.3 ... shall monitor forest health and take action to control or eradicate damage agents</p>
<p>5.2.3 The monitoring and maintaining of health and vitality of forest ecosystems shall take into consideration the effects of naturally occurring fire, pests and other disturbances.</p>	YES	<p>AS4708-2013 P5 Forest ecosystem health</p> <p>5.1 .1 ... shall identify and assess potential damage agents that could impact forest health and vitality</p> <p>5.3 identify and control weeds and pests</p> <p>5.4.1 ... manage fire and other disturbance regimes within native forests to maintain or enhance ecosystem health</p> <p>5.4.2 ... shall periodically review the contribution of the disturbance regime to the maintenance of health in native forests</p> <p>5.4.3 ...shall use the results of the review to adjust the disturbance regime ....</p>
<p>5.2.4 Forest management plans or their equivalents shall specify ways and means to <b>minimise the risk of degradation of and damages to forest ecosystems</b>. Forest management planning shall make use of those policy instruments set up to support these activities.</p>	YES	<p>AS4708-2013 P1 Systematic management</p> <p>1.2.2 h) forest management plan shall describe and provide a rationale for silvicultural management regime</p>

Question	YES / NO*	Reference to scheme documentation
		1.3.2 g) ... contingency/emergency plans are in place to respond to and manage accidents and emergency situations and that these plans are periodically tested.
5.2.5 Forest management practices shall make <b>best use of natural structures and processes and use preventive biological measures</b> wherever and as far as economically feasible to maintain and enhance the health and vitality of forests. Adequate <b>genetic, species and structural diversity</b> shall be encouraged and/or maintained to enhance the stability, vitality and resistance capacity of the forests to adverse environmental factors and <b>strengthen natural regulation mechanisms</b> .	YES	AS4708-2013 P1 Systematic management 1.3.2 e) ... shall ensure that forest operations make best use of natural structures and processes, provide ... diversity and use preventive biological measures to maintain and enhance the health and vitality P3 Biodiversity 3.2.1 ... shall take action to address threatening processes affecting or likely to affect the DFA
5.2.6 <b>Lighting of fires shall be avoided</b> and is only permitted if it is necessary for the achievement of the management goals of the forest management unit.	YES	AS4708-2013 P4 Forest productive capacity 4.8. 1 Unplanned fire ... shall plan and implement measures to manage the extent and impact of unplanned fires P5 Forest ecosystem health, 5.4.1 ... manage fire and other disturbance regimes within native forests to maintain or enhance ecosystem health
5.2.7 Appropriate forest management practices such as <b>reforestation and afforestation with tree species and provenances that are suited to the site conditions</b> or the use of tending, harvesting and transport techniques that <b>minimise tree and/or soil damages shall be applied</b> . The <b>spillage of oil</b> during forest management operations or the indiscriminate disposal of waste on forest land shall be strictly avoided. <b>Non-organic waste and litter shall be avoided, collected</b> , stored in designated areas and removed in an environmentally-responsible manner.	YES	AS4708-2013 P3 Biodiversity 3.8.1 ... shall evaluate the impact of species, provenances and populations established in plantations, and constrain their spread in circumstances where a risk to the ecological integrity of adjacent native vegetation has been identified, 3.8.3 ... shall manage plantations to develop and implement strategies to minimize the risk and consequences of genetic pollution 3.8.4 ... shall implement measures to minimize and control the escape of plantation species.. P4 Forest productive capacity. 4.7.1 ... shall implement actions to minimize damage to forest growing stock ... P6 Soil and water resources. 6.4. soil properties 4. ... shall demonstrate the use of soil conservation techniques that aim to maintain soil properties...

Question	YES / NO*	Reference to scheme documentation
		<p>6.5.1 ... shall ... prevent or constrain water pollution and soil contamination and ... ensure that</p> <p>a) unacceptably high levels of chemicals from applications are not transported to water ways</p> <p>b) disposal of waste and fuels, lubricants and chemicals is carried out to avoid water pollution and soil contamination</p> <p>c) any spills are promptly contained and affected areas appropriately remediated.</p>
<p>5.2.8 The use of <b>pesticides shall be minimised</b> and appropriate silvicultural alternatives and other biological measures preferred.</p>	<p>YES</p>	<p>AS4708-2013 P5 Forest ecosystem health. 5.6.1... shall minimize the use of chemicals and any adverse impacts arising from their use</p> <p>21. Guidance Note 01 to AS4708 (AS4708 GN01 2013)</p> <ul style="list-style-type: none"> <li>- integrated pest management;</li> <li>- safe biological control agents and mechanical methods</li> <li>- documenting the use of control agents and putting in place procedures to ensure their use is appropriate for the purpose intended; consult with State and Commonwealth agencies when possible new incursions of exotic pests or pathogens are detected;</li> </ul>
<p>5.2.9 The WHO Type 1A and 1B pesticides and other <b>highly toxic pesticides shall be prohibited</b>, except where no other viable alternative is available.</p> <p><i>Note: Any exception to the usage of WHO Type 1A and 1B p forest management standard.</i></p>	<p>YES</p>	<p>5.6.2 ... shall not use WHO Class IA and IB pesticides unless legally approved for use</p> <p>24. The Australian legislation and chemical register allows the use of WHO Classified Sodium monofluoroacetate (1080) (T90) that is used in forestry to control possum populations.</p> <p><i>AFS Ltd has asked a sub-committee of the AS4708 SRC to draft the interpretation of the specific cases where the mentioned toxic chemical may be used and specify the AS4708 standard accordingly . The decision is scheduled to the first quarter of 2015.</i></p> <p>25. AS4708–2013 Interpretation of Requirement 5.6 Chemical Use for certification of forest managers under AFCS: The Committee noted that there may be instances where particular chemicals are the appropriate or only means of dealing with a specific threat and a forest manager may have no option but to use a certain chemical to meet other legal obligations (i.e. to control a specific pest) or ensure sustainable forest management outcomes. Clause 5.2.9 of the PEFC Standard does allow for such situations with respect to the usage of WHO Type 1A and 1B pesticides.</p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>Committee has sought to define any and all limited circumstances under which any specified WHO IA, IB pesticides could be used under AS4708–2013 requirement 5.6 2. At this time, and unless a new interpretation is agreed by SRC4708 and issued by AFS Ltd, the only pesticide which is permitted (i.e. covered by this interpretation) is sodium monofluoroacetate.</i></p> <p><i>SCR Interpretation (for ballot 2014): Only the following listed chemical(s) may be used in the Defined Forest Area of a forest manager certified against AS4708–2013 and only in the circumstances and in accordance with the conditions listed:</i></p> <ul style="list-style-type: none"> <li>- <i>Sodium monofluoroacetate (1080), WHO IA; used only for a) Legislative control of ‘Declared Pests’ or b) Control of native pests where severely impacting sustainable forest management outcomes.</i></li> <li>- <i>Restrictions for application, e.g. Relevant State or local government chemical use authorities shall be in place and if no other viable commercial alternative is found, develop and implement management strategies that minimize the amount of 1080 applied with the aim of gradually reducing reliance on 1080 over time</i></li> </ul> <p><i>If any other listed chemical is to be used it will have to be added to the interpretation following a full SRC consultation process.</i></p> <p><i>Indufor conclusion: The AFCS regulations on the use of WHO 1A or 1B classified chemicals prevent unnecessary application of the chemicals and assure that they are used only when no other viable alternative is available.</i></p>
<p><b>5.2.10 Pesticides, such as chlorinated hydrocarbons whose derivates</b> remain biologically active and accumulate in the food chain beyond their intended use, and any pesticides banned by international agreement, shall be prohibited.</p>	<p>YES</p>	<p>See above</p> <p><i>5.6.3 ... shall not use pesticides banned by any international agreements defined in the Stockholm Convention on Persistent Organic Pollutants 2001</i></p> <p><i>24. No organochlorine (chlorinated hydrocarbon) pesticides are registered for use in Australia see: <a href="http://www.apvma.gov.au/products/review/completed/organochlorines_history.php">http://www.apvma.gov.au/products/review/completed/organochlorines_history.php</a>.</i></p>
<p>5.2.11 The use of pesticides shall follow the instructions given by the pesticide producer and be implemented with proper equipment and training.</p>	<p>YES</p>	<p><i>C 5.6 on chemical use does not insist normative training instructions and compliance with them</i></p> <p><i>26. AFSL Response to PEFC Technical Unit January 2014 final.pdf: The supply and use of 1080 is tightly controlled by a combination of Commonwealth and State regulations. The</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>APVMA regulates 1080 up to and at the point of retail sale. Once sold or supplied, to the end user, it comes under the regulation of individual States.</i></p> <p><i>Special regulations restricting the availability, storage and use of 1080 apply. Under State poisons legislation 1080 is a Schedule 7 poison. This means that 1080 is only available to specialised or authorised users who have the skills necessary to handle it safely.</i></p> <p><i>Under the Agricultural and Veterinary Chemicals Code Regulations 1995 products containing 1080 are also declared to be ‘Restricted Chemical Products’. As such, the products can only be supplied to or used by ‘authorised person(s)’. Individual States set the authorisation criteria taking the APVMA’s and State regulatory requirements into account.</i></p> <p>Indufor conclusion: Legislation requires that persons who apply toxic chemicals have the appropriate expertise and authorization.</p>
<p>5.2.12 Where fertilisers are used, they shall be applied in a controlled manner and with due consideration for the environment.</p>	<p>YES</p>	<p><i>AS4708-2013 P5 Forest ecosystem health. 5.6.1 ... shall minimize the use of chemicals and nay adverse impacts arising from their use</i></p> <p><i>Requirement 6.5 Pollution ... shall manage forest operations to prevent or constrain water pollution and soil contamination, and take reasonable actions to ensure that:</i></p> <p><i>a. unacceptably high levels of chemicals from applications are not transported into waterways;</i></p> <p><i>b. disposal of waste fuels, lubricants and chemicals is carried out to avoid water pollution and soil contamination;</i></p> <p>Indufor conclusion: Fertilizers are not specifically mentioned in the AS4708, but Guidance Note (AS4708 GN01 – 2013) (23.) does specifically state “Chemicals include any pesticides, herbicides and fertilizers used in forest management activities.” General requirement to minimize chemical use and to prevent pollution set adequate restrictions to the improper use of fertilizers.</p>
<p><b>Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood)</b></p>		
<p>5.3.1 Forest management <b>planning shall aim to maintain the capability of forests to produce a range of wood and non-wood forest products</b> and services on a sustainable basis.</p>	<p>YES</p>	<p><i>AS4708-2013 P4 Forest productive capacity</i></p> <p><i>4.1. 1 ...shall identify existing and potential productive uses of DFA to support the maintenance of the long term productive capacity of the forest</i></p> <p><i>4.1.2 ... shall identify harvesting rates</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>23. <i>Guidance Note 01 to AS4708 . Forest managers should treat the management of non-wood values according to the aspects and impacts identified in planning processes</i></p> <p>Indufor conclusion: Forest owners decide on the scope of targeted products and services forests may produce. The AS4708 standard requires assurance of long term production of forests but does not set requirements for any broader range of products/services. The potential range of products/services depends on the site and characteristics of forest. The forest manager must convince the certification body that the determination is appropriate to the particular forest and the circumstances.</p>
<p>5.3.2 Forest management planning shall aim to achieve <b>sound economic performance</b> 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.</p>	<p>YES</p>	<p><i>AS4708-2013 P9 Social and economic benefits</i></p> <p><i>9.2.1 ... shall pursue the efficient and optimal use of harvested forest products to encourage best use of forests within the DFA having due regard to the environmental, economic, social and cultural requirements</i></p> <p><i>P4 Forest productive capacity. 4.1. 1 ...shall identify existing and potential productive uses of DFA</i></p>
<p>5.3.3 Forest management plans or their equivalents shall take into account <b>the different uses or functions of the managed forest area</b>. 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.</p>	<p>YES</p>	<p><i>AS4708-2013 P1 Systematic planning. 1.1.1 ... shall define a management policy ...including a commitment to e) regular review of forest management system, 1.2.2 c) set management objectives ,</i></p> <p><i>P4 4.1... existing and potential productive uses, 4.9.1 ... regulate, monitor and control the use of non-wood forest products</i></p>
<p>5.3.4 Forest management practices shall <b>maintain and improve the forest resources and encourage a diversified output of goods and services</b> over the long term.</p>	<p>YES</p>	<p><i>AS4708-2013 P4 Forest Productive Capacity. 4.1 Identify productive capacity 1. ... identify existing and potential productive uses... support long term productive capacity, 4.2 Identify harvest rates. 1. The forest manager shall identify harvesting rates for forest products commensurate with the long term productive capacity of the forest and shall consider:</i></p> <p><i>a. structure and condition of the forest; b. estimates of sustainable yield; c. social impacts; d. markets; e. optimal use of the defined forest area; and f. ability to manage planting, regeneration or establishment programs.</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>4.2 Plan and monitor use. 1. The forest manager shall plan operations to ensure the productive capacity of the forest is not compromised.</p> <p>P 9 Social and Economic Benefits. 9.2 Optimal use.</p> <p>1. The forest manager shall pursue the efficient and optimal use of harvested forest products to encourage best use of forests within the defined forest area having due regard to the environmental, economic, social and cultural requirements of the Standard.</p> <p>2. The recovery and value adding of otherwise wasted forest products shall be encouraged wherever possible</p>
<p>5.3.5 Regeneration, tending and harvesting operations shall be carried out in time, and in a way that does not reduce the productive capacity of the site, for example by avoiding damage to retained stands and trees as well as to the forest soil, and by using appropriate systems.</p>	<p>YES</p>	<p>AS4708-2013 P4 Forest Productive Capacity, 4.5 Silviculture. 1. The forest manager shall demonstrate that silvicultural systems are appropriate for:</p> <p>a. the forest type; b. the specific stand and site conditions; c. forest management requirements; d. biodiversity priorities; e. market conditions; and f. product requirements.</p> <p>4.6 Establishment. 2. The forest manager shall assess the effectiveness of regeneration of native forests and take remedial action where necessary to ensure that the species composition, forest health and productive capacity are not diminished.</p> <p>3. The forest manager shall assess the stocking rate of plantations and take remedial action where necessary to ensure effective establishment and growth.</p>
<p>5.3.6 Harvesting levels of both wood and non-wood forest products shall not exceed a rate that can be sustained in the long term, and optimum use shall be made of the harvested forest products, with due regard to nutrient off-take.</p>	<p>YES</p>	<p>AS4708-2013 P4 Forest Productive Capacity 4.9 Non-wood products. 1. 1. The forest manager shall regulate, monitor and control the production of non-wood products from the defined forest area where the forest manager is responsible for regulation of such use</p> <p>4.2 Identify harvest rates. 1. The forest manager shall identify harvesting rates for forest products commensurate with the long term productive capacity of the forest</p> <p>P 9 Social and Economic Benefits. 9.2 Optimal use.</p> <p>1. The forest manager shall pursue the efficient and optimal use of harvested forest products to encourage best use of forests within the defined forest area having due regard to the environmental, economic, social and cultural requirements of the Standard.</p>
<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</p>	<p>YES</p>	<p>AS4708-2013 P4 Forest Productive Capacity 4.9 Non-wood products. 1. 1. The forest manager shall regulate, monitor and control the production of non-wood products from the defined forest area where the forest manager is responsible for regulation of such use</p>

Question	YES / NO*	Reference to scheme documentation
hunting and fishing, shall be regulated, monitored and controlled.		
5.3.8 Adequate <b>infrastructure</b> such as roads, skid tracks or bridges shall be <b>planned</b> , established and maintained to ensure <b>efficient delivery</b> of goods and services while <b>minimising negative impacts</b> on the environment.	YES	AS4708-2013 P4 Forest Productive Capacity. 4.4 Infrastructure. <i>1. The forest manager shall plan, establish and maintain adequate infrastructure such as roads and bridges to ensure efficient delivery of forest products while minimizing negative impacts on the environment</i>
<b>Criterion 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems</b>		
5.4.1 Forest management <b>planning</b> shall aim to maintain, conserve and enhance <b>biodiversity</b> on ecosystem, species and genetic levels and, where appropriate, diversity at landscape level.	YES	AS4708-2013 P1 Systematic Management. 1.2. <i>1. The forest manager shall have a Forest Management Plan that delivers the policy commitments. 2. The Forest Management Plan shall: c. set forest management objectives, targets and monitoring processes for identified significant impacts relevant to the requirements of the Standard, g. describe the forest values to be managed, including those important for the protection of environmental, economic, social and cultural benefits.</i>  <i>P3 Biodiversity. 3.1 Identify BD priorities, 3.2. Maintain or enhance biodiversity, 1. The forest manager shall manage forests to progressively establish and maintain a distribution of forest cover, stand structural elements and growth stages that is demonstrated to support the maintenance or enhancement of biodiversity priorities. 2. The forest manager shall take action to address threatening processes affecting or likely to affect the defined forest area  3.3 Identify significant BD values, 3.4 Maintain or enhance significant BD values. 1. The forest manager shall implement effective strategies, practices and other controls to support the maintenance or enhancement of Significant Biodiversity Values</i>
5.4.2 Forest management planning, inventory and mapping of forest resources shall identify, protect and/or conserve	YES	AS4708-2013 P3 Biodiversity. 3.1 Identify BD priorities, 3.2. Maintain or enhance biodiversity, 3.3 Identify significant BD values; 2. The assessment of the significance of biodiversity shall be

Question	YES / NO*	Reference to scheme documentation
<p>ecologically important forest areas containing significant concentrations of:</p> <p>a) protected, rare, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes;</p> <p>b) areas containing endemic species and habitats of threatened species, as defined in recognised reference lists;</p> <p>c) endangered or protected genetic <i>in situ</i> resources;</p> <p>and taking into account</p> <p>d) globally, regionally and nationally significant large landscape areas with natural distribution and abundance of naturally occurring species.</p>		<p><i>based on existing knowledge, research results, the biodiversity regulatory frameworks and relevant forest planning instruments and shall be assessed in a bioregion</i></p> <p><i>3.4 Maintain or enhance significant BD values; 3. The forest manager shall develop and implement a plan to enhance the capacity of the forest to support Significant Biodiversity Values, where they exist and have been diminished or degraded; BD values include, among other, regionally or nationally significant concentrations of biodiversity; Natural Heritage Places and habitats and occurrence of threatened species</i></p> <p><i>3.7 Regeneration; The forest manager shall regenerate native vegetation with species and provenances native to the area, or from an equivalent locality, as far as reasonably practicable, to maintain local gene pools and species mixes</i></p> <p>In addition, all regionally, nationally or globally significant areas of productive forest in Australia have been comprehensively assessed in intergovernmental processes and agreements between the Australian Governments and the relevant States of Australia. These are officially known as Comprehensive Regional Assessments (CRAs) and Regional Forest Agreements (RFAs) (for more information please see the Australian Government website <a href="http://www.agriculture.gov.au/forestry/policies/rfa">http://www.agriculture.gov.au/forestry/policies/rfa</a>). These processes resulted in forest land allocation (tenure) and management decisions covering all globally, regionally and nationally significant issues. All forest managers seeking certification under the Australian Standard (AS4708) do so in the context of these assessments, agreements and the resultant land allocation. No forest manager has the necessary tenure of authority to undertake forest management activities which do not take into account the landscape values of the significant areas.</p>
<p>5.4.3 Protected and endangered plant and animal species shall not be exploited for commercial purposes. Where necessary, measures shall be taken for their protection and, where relevant, to increase their population.</p>	<p>YES</p>	<p><i>AS4708-2013 P3 Biodiversity. 3.4 Maintain or enhance significant BD values; 1. The forest manager shall implement effective strategies, practices and other controls to support the maintenance or enhancement of Significant Biodiversity Values.</i></p> <p><i>2. The forest manager shall minimize any adverse impacts of forest operations on Significant Biodiversity Values by planning and implementing forest operations consistent with those actions specified in relevant recovery, action or threat abatement plans, codes of practice and prescriptions, recognized interim guidelines or other instruments and take account of known information and relevant specialist advice</i></p>

Question	YES / NO*	Reference to scheme documentation
<p>5.4.4 Forest management shall ensure successful <b>regeneration</b> through natural regeneration or, where not appropriate, planting that is adequate to ensure the quantity and quality of the forest resources.</p>	YES	<p>AS4708-2013 P3 Biodiversity. 3.7 Regeneration; <i>The forest manager shall regenerate native vegetation with species and provenances native to the area, or from an equivalent locality, as far as reasonably practicable, to maintain local gene pools and species mixes</i></p> <p>P4 Forest Productive Capacity. 4.6 Establishment. 1. <i>The forest manager shall ensure that natural or assisted regeneration of native forests and establishment of plantations is effective and timely.</i></p> <p>2. <i>The forest manager shall assess the effectiveness of regeneration of native forests and take remedial action where necessary to ensure that the species composition, forest health and productive capacity are not diminished.</i></p> <p>3. <i>The forest manager shall assess the stocking rate of plantations and take remedial action where necessary to ensure effective establishment and growth.</i></p>
<p>5.4.5 For reforestation and afforestation, <b>origins of native species and local provenances</b> that are well-adapted to site conditions shall be preferred, where appropriate. <b>Only those introduced species</b>, provenances or varieties shall be used whose impacts on the ecosystem and on the genetic integrity of native species and local provenances have been evaluated, and if negative impacts can be avoided or minimised.</p>	YES	<p>AS4708-2013 P3 Biodiversity. 3.7 Regeneration. (See the requirement above)</p> <p>3.8. Introduced genetics; 1. <i>The forest manager shall evaluate the impact of species, provenances or populations established in plantations, and constrain their spread in circumstances where a risk to the ecological integrity of adjacent native vegetation has been identified.</i></p> <p>3. <i>The forest manager shall manage plantations to develop and implement strategies to minimize the risk and consequences of genetic pollution from pollen flow between plantations and native forest species. The strategies will consider the conservation status of any adjacent forest ecosystem or gene pool, the probability that pollen-mediated gene flow will occur, and the impact that such gene flow is likely to have on any adjacent population or forest ecosystem.</i></p> <p>4. <i>The forest manager shall implement measures to minimize and control the escape of plantation species into areas outside the defined forest area</i></p>
<p>5.4.6 Afforestation and reforestation activities that contribute to the improvement and restoration of <b>ecological connectivity</b> shall be promoted.</p>	YES	<p>AS4708-2013 P3 Biodiversity. 3.2 Maintain or enhance BD; 1. <i>The forest manager shall manage forests to progressively establish and maintain a distribution of forest cover, stand structural elements and growth stages that is demonstrated to support the maintenance or enhancement of biodiversity priorities.</i></p>

Question	YES / NO*	Reference to scheme documentation
5.4.7 Genetically-modified trees shall not be used.	YES	<i>AS4708-2013 .8. Introduced genetics: 2. The forest manager shall not use genetically-modified trees.</i>
5.4.8 Forest management practices shall, where appropriate, promote a <b>diversity of both horizontal and vertical structures</b> such as uneven-aged stands and the diversity of species such as mixed stands. Where appropriate, the practices shall also aim to maintain and restore landscape diversity.	YES	<i>AS4708-2013 P3 Biodiversity. 3.2 Maintain or enhance BD 1. The forest manager shall manage forests to progressively establish and maintain a distribution of forest cover, stand structural elements and growth stages that is demonstrated to support the maintenance or enhancement of biodiversity priorities.</i>
5.4.9 Traditional management systems that have created valuable ecosystems, such as coppice, on appropriate sites shall be supported, when economically feasible.	YES	<i>AS4708-2013 P3 Biodiversity. 3.3 Identify significant BD values.</i>  <i>P 8 Cultural Values. 8.1 -8.3 recognition and protection of indigenous peoples' values and heritage and other heritage values</i>
5.4.10 <b>Tending and harvesting operations shall be conducted in a way that does not cause lasting damage</b> to ecosystems. Wherever possible, practical measures shall be taken to improve or maintain biological diversity.	YES	<i>AS4708-2013 P4. Forest Productive Capacity. 4.7 Damage to growing stock.</i>  <i>1. The forest manager shall implement actions to minimize damage to forest growing stock during forest operations</i>  <i>P3 Biodiversity. 3.4. Maintain or enhance significant BD values;</i>  <i>2. The forest manager shall minimize any adverse impacts of forest operations on Significant Biodiversity Values by planning and implementing forest operations consistent with those actions specified in relevant recovery, action or threat abatement plans, codes of practice and prescriptions, recognized interim guidelines or other instruments and take account of known information and relevant specialist advice</i>
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.	YES	<i>AS4708-2013 P4 Forest Productive Capacity. 4.4 Infrastructure.</i>  <i>1. The forest manager shall plan, establish and maintain adequate infrastructure such as roads and bridges to ensure efficient delivery of forest products while minimizing negative impacts on the environment</i>  <i>P3 Biodiversity. 3.4. Maintain or enhance significant BD values (see above the requirement)</i>
5.4.12 With due regard to management objectives, measures shall be taken to <b>balance the pressure of animal</b>	YES	<i>AS4708-2013 P5 Forest Ecosystem Health. 5.1. Identify damage agents:</i>  <i>1. The forest manager shall identify and assess potential damage agents that could impact forest ecosystem health and vitality</i>

Question	YES / NO*	Reference to scheme documentation
<p><b>populations and grazing</b> on forest regeneration and growth as well as on biodiversity.</p>		<p><i>P4. Forest Productive Capacity. 4.7 Damage to growing stock.</i></p> <p><i>1. The forest manager shall implement actions to minimize damage to forest growing stock during forest operations</i></p> <p><i>P3 Biodiversity. 3.2 Maintain or enhance BD; 2. The forest manager shall take action to address threatening processes affecting or likely to affect the defined forest area</i></p>
<p>5.4.13 Standing and fallen dead wood, hollow trees, old groves and special rare tree species shall be left in quantities and distribution necessary to safeguard biological diversity, taking into account the potential effect on the health and stability of forests and on surrounding ecosystems.</p>	<p>YES</p>	<p><i>AS4708-2013 P3 Biodiversity. 3.1 Identify BD priorities, 3.2 Maintain and enhance BD;</i></p> <p><i>1. The forest manager shall manage forests to progressively establish and maintain a distribution of forest cover, stand structural elements and growth stages that is demonstrated to support the maintenance or enhancement of biodiversity priorities</i></p> <p><i>3.3. Identify significant BD values</i></p> <p>Note: structural elements, by AFS definition, include dead wood</p>
<p><b>Criterion 5: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)</b></p>		
<p>5.5.1 Forest management <b>planning</b> shall aim to maintain and enhance <b>protective functions</b> of forests for society, such as protection of infrastructure, protection from soil erosion, protection of water resources and from adverse impacts of water such as floods or avalanches.</p>	<p>YES</p>	<p><i>AS4708-2013 P1 Systematic management. 1.2 Forest management plan 2. Forest management plan shall g. describe the forest values to be managed, including those important for the protection of environmental, economic, social and cultural benefits</i></p> <p><i>P6 Soil and water resources. 6.1 Identify soil and water values;</i></p> <p><i>1. The forest manager shall identify and assess the soil and water values that can be adversely affected by forest operations</i></p>
<p>5.5.2 Areas that fulfil specific and recognised <b>protective functions for society shall be registered and mapped</b>, and forest management plans or their equivalents shall take these areas into account.</p>	<p>YES</p>	<p>See above</p> <p><i>AS4708-2013 P1 Systematic management. 1.2 Forest management plan, P6 Soil and water resources. 6.1 Identify soil and water values</i></p>
<p>5.5.3 Special care shall be given to silvicultural operations on sensitive soils and erosion-prone areas as well as in areas where operations might lead to <b>excessive erosion</b> of soil into watercourses. Inappropriate techniques such as deep soil tillage and use of unsuitable machinery shall be avoided</p>	<p>YES</p>	<p><i>AS4708-2013 P6 Soil and water resources. 6.4 Soil properties;</i></p> <p><i>1. The forest manager shall manage forest operations to minimize nutrient losses.</i></p>

Question	YES / NO*	Reference to scheme documentation
<p>in such areas. Special measures shall be taken to minimise the <b>pressure of animal populations</b>.</p>		<p>2. The forest manager shall manage forest operations to protect and maintain the physical, chemical and biological properties of soil and improve those properties where appropriate and reasonably practicable.</p> <p>3. The forest manager shall:</p> <ul style="list-style-type: none"> <li>a. minimize the extent of land exposed to major soil disturbance during harvesting operations;</li> <li>b. ensure that soil disturbance does not exceed that specified in relevant codes and equivalent instruments or operational guidelines; and</li> <li>c. promptly rehabilitate extraction tracks, temporary roads and product storage areas with appropriate techniques including re-vegetation and drainage.</li> </ul> <p>4. The forest manager shall demonstrate the use of soil conservation techniques that aim to maintain soil properties in the long term</p> <p><i>P5 Forest Ecosystem Health. 5.1. Identify damage agents:</i> 1. The forest manager shall identify and assess potential damage agents that could impact forest ecosystem health and vitality</p> <p><i>P4. Forest Productive Capacity. 4.7 Damage to growing stock.</i></p> <ul style="list-style-type: none"> <li>1. <i>The forest manager shall implement actions to minimize damage to forest growing stock during forest operations</i></li> </ul>
<p>5.5.4 Special care shall be given to forest management practices in forest areas with <b>water protection functions</b> to avoid adverse effects on the quality and quantity of water resources. <b>Inappropriate use of chemicals</b> or other harmful substances or inappropriate silvicultural practices influencing water quality in a harmful way shall be avoided.</p>	<p>YES</p>	<p><i>AS4708-2013 P6 Soil and water resources. 6.2 Water quality; 1. The forest manager shall manage forest operations to minimize adverse changes to water quality (physical, chemical or biological) with the objectives of:</i></p> <ul style="list-style-type: none"> <li><i>a. minimizing transport of soil into waterways;</i></li> <li><i>b. maintaining streamside management zones; and</i></li> <li><i>c. designing, constructing and maintaining temporary and permanent roads and crossings of waterways to recognized standards intended to minimize degradation of water quality</i></li> </ul> <p><i>6.3 Water quantity;</i></p> <ul style="list-style-type: none"> <li><i>1. The forest manager shall manage forest operations to ensure hydrological flows are in accordance with regulated catchment goals where they exist.</i></li> <li><i>2. The forest manager shall minimize adverse impacts of changes in hydrological flows by ensuring that:</i></li> </ul>

Question	YES / NO*	Reference to scheme documentation
		<p><i>a. both long term and short term disturbances to hydrological flows relative to the existing situation are considered; and</i></p> <p><i>b. the environmental impacts of both increased and reduced hydrological flows are considered</i></p> <p><i>6.5 Pollution;</i></p> <p><i>1. The forest manager shall manage forest operations to prevent or constrain water pollution and soil contamination, and take reasonable actions to ensure that:</i></p> <p><i>a. unacceptably high levels of chemicals from applications are not transported into waterways;</i></p> <p><i>b. disposal of waste fuels, lubricants and chemicals is carried out to avoid water pollution and soil contamination; and</i></p> <p><i>c. any spills are promptly contained and affected areas appropriately remediated</i></p> <p><i>P5 Forest ecosystem health</i></p> <p><i>5.6 Chemical use; 1. The forest manager shall minimize the use of chemicals and any adverse impacts arising from their use</i></p>
<p>5.5.5 Construction of roads, bridges and other infrastructure shall be carried out in a manner that minimises bare soil exposure, avoids the introduction of soil into watercourses and preserves the natural level and function of water courses and river beds. Proper road drainage facilities shall be installed and maintained.</p>	<p>YES</p>	<p><i>AS4708-2013 P4 Forest Productive Capacity. 4.4 Infrastructure.</i></p> <p><i>1. The forest manager shall plan, establish and maintain adequate infrastructure such as roads and bridges to ensure efficient delivery of forest products while minimizing negative impacts on the environment</i></p> <p><i>See requirements for P6 Soil and water resources. 6.2 Water quality and 6.3 Water quantity above</i></p>
<p><b>Criterion 6: Maintenance of other socio-economic functions and conditions</b></p>		
<p>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.</p>	<p>YES</p>	<p><i>AS4708-2013 P9 Social and economic benefits. 9.1 Regional development.</i></p> <p><i>1. The forest manager shall:</i></p> <p><i>a. identify opportunities that allow the forests within the defined forest area to play an environmental, economic, social, and cultural role in rural and regional development;</i></p> <p><i>b. support regional industry and regional communities, including commitments to local procurement where possible and fair contracts with suppliers of goods and services</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p>9.4 Skills development;</p> <p>1. The forest manager shall:</p> <p>a. identify opportunities to support employment and skills development of forest workers including, but not limited to, nationally endorsed and or recognized competencies and qualifications where appropriate; and</p> <p>b. implement identified opportunities for forest workers through appropriate development actions</p>
<p>5.6.2 Forest management shall promote the long-term health and well-being of communities within or adjacent to the forest management area.</p>	YES	<p>AS4708-2013 P9 Social and economic benefits.9.1 Regional development, 9.2 Optimal use - ...best use of forests ... having due regard to the environmental, economic, social and cultural requirements, 9.4 Skills development, 9.5 Health and safety (for employers)</p>
<p>5.6.3 <b>Property rights and land tenure arrangements shall be clearly defined</b>, documented and established for the relevant forest area. Likewise, <b>legal, customary and traditional rights</b> related to the forest land shall be clarified, recognised and respected.</p>	YES	<p>AS4708-2013 General requirements. 0.1 Defined forest area; 1. The forest manager shall define the area of forest to which the Standard applies and demonstrate management control over forest operations through appropriate agreements or contracts, for the purpose of the requirements of the Standard.</p> <p>2. The forest manager shall:</p> <p>a. describe, record and map the defined forest area and maintain and regularly update a register of all separately described titles, schedules, blocks, compartments, coupes or other land components;</p> <p>b. monitor and document any changes to the defined forest area; and</p> <p>c. make the maps of the defined forest area (at a scale not smaller than 1:250,000) publicly available</p> <p>P 1 Systematic management. 1.1 Policy; 1. The forest manager shall define a forest management policy that includes commitments to</p> <p>1.2 Forest management plan; 2. The Forest Management Plan shall: a. identify applicable legal requirements and other requirements to which the forest manager subscribes</p> <p>1.3 Implementation. 2. The forest manager shall ensure that: a. evidence of a legal right to manage the forests within the defined forest area is maintained</p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>P8 Cultural values. 8.1 Indigenous peoples' values, 8.4 Legal and traditional uses; 1. The forest manager shall allow existing legal and traditional uses of the forests to continue within the defined forest area.</i></p> <p><i>2. The forest manager shall pursue negotiated outcomes with recognized and affected parties, where such uses threaten the condition of the forests or the achievement of the forest management performance requirements</i></p>
<p>5.6.4 Forest management activities shall be <b>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</b>, 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 <b>is in dispute there are processes for just and fair resolution</b>. In such cases forest managers shall, in the interim, provide meaningful opportunities for parties to be engaged in forest management decisions whilst respecting the processes and roles and responsibilities laid out in the policies and laws where the certification takes place.</p>	<p>YES</p>	<p><i>AS4708-2013 P8 Cultural values. 8.1 Indigenous peoples' values, 8.4 Legal and traditional uses. Note Australia or New Zealand has not ratified the ILO Convention 169, thus the reference to relevant legislation is required.</i></p> <p><i>27. AFS Response to PEFC EX Assessment Report. November 2013: Native Title Act 1993 (NLA), which is the "established framework" for legal Indigenous land tenure rights. The Australian legal system recognises native title where:</i></p> <ul style="list-style-type: none"> <li><i>- the rights and interests are possessed under traditional laws and customs that continue to be acknowledged and observed by the relevant Indigenous Australians</i></li> <li><i>- by virtue of those laws and customs, the relevant Indigenous Australians have a connection with the land or waters</i></li> <li><i>- the native title rights and interests are recognised by the common law of Australia</i></li> </ul> <p><i>Where the extent of rights is not yet resolved, the Act provides a just and fair process for Indigenous people to claim native title rights, have their rights recognised, disputes resolved and establishes arrangements for the protection of potential rights where claims are still being determined. Indigenous Australians have been able to negotiate benefits for their communities, including in relation to employment opportunities and heritage protection under these provisions.</i></p> <p><u>New Zealand</u></p> <p><i>Although New Zealand has not ratified ILO Convention 169, it has formally supported the UN Declaration on the Rights of Indigenous People.</i></p> <p><i>New Zealand's recognition of the rights of indigenous people was enshrined in the Treaty of Waitangi which was entered into a between Her late Majesty Queen Victoria and the Maori people of New Zealand on 6th February 1840.</i></p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>Aspects of that Treaty are incorporated into a number of Acts of Parliament. The Treaty of Waitangi Act 1975 provides:</i></p> <ul style="list-style-type: none"> <li>- <i>for the observance, and confirmation, of the principles of the Treaty of Waitangi by establishing a Tribunal to make recommendations on claims relating to the practical application of the Treaty and to determine whether certain matters are inconsistent with the principles of the Treaty</i></li> </ul> <p><i>The Resource Management Act 1991 (RMA) promotes the sustainable management of natural and physical resources as set out in Section 5:</i></p> <p><b>5 Purpose</b></p> <p>(1) The purpose of this Act is to promote the sustainable management of natural and physical resources.</p> <p>(2) In this Act, <b>sustainable management</b> means managing the use, development, and protection of natural and physical resources in a way, or at a rate, which enables people and communities to provide for their social, economic, and cultural well-being and for their health and safety while—</p> <ul style="list-style-type: none"> <li>(a) sustaining the potential of natural and physical resources (excluding minerals) to meet the reasonably foreseeable needs of future generations; and</li> <li>(b) safeguarding the life-supporting capacity of air, water, soil, and ecosystems; and</li> <li>(c) avoiding, remedying, or mitigating any adverse effects of activities on the environment.</li> </ul> <p><i>Section 8 of the RMA states:</i></p> <p><i>Treaty of Waitangi</i></p> <ul style="list-style-type: none"> <li>• <i>In achieving the purpose of this Act, all persons exercising functions and powers under it, in relation to managing the use, development, and protection of natural and physical resources, shall take into account the principles of the <u>Treaty of Waitangi</u> (Te Tiriti o Waitangi).</i></li> </ul> <p><i>The Standard (NZS AS 4708:2014) specifically refers to the rights of Māori in Criterion 9.</i></p> <p>Indufor conclusion:</p> <p>Despite of the fact the Australia and New Zealand have not ratified the ILO Convention 169 the relevant legislation is in place to protect the rights of indigenous people to land, culture and heritage values and decision making on issues that affect these rights.</p>

Question	YES / NO*	Reference to scheme documentation
<p>5.6.5 Adequate <b>public access</b> 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.</p>	YES	<p>AS4708-2013 P8 Cultural values. 8.4. Legal and traditional uses.</p> <p>1. The forest manager shall allow existing legal and traditional uses of the forests to continue within the defined forest area.</p> <p>2. The forest manager shall pursue negotiated outcomes with recognized and affected parties, where such uses threaten the condition of the forests or the achievement of the forest management performance requirements</p>
<p>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.</p>	YES	<p>AS4708-2013 P8 Cultural values. 8.4. Legal and traditional uses.</p> <p>8.2 Indigenous peoples' heritage values; 1. The forest manager shall protect and maintain Indigenous people's cultural, religious, spiritual and social heritage values through the identification of known values.</p> <p>2. The forest manager shall consult with the relevant Indigenous people to:</p> <p>a. identify and assess the significance of Indigenous peoples heritage values;</p> <p>b. consider their views in the preparation and review of the Forest Management Plan; and</p> <p>c. avoid damage to significant values during forest operations</p> <p>8.3 Other heritage values ; 2. The forest manager shall protect and maintain significant heritage values.</p> <p>3. The forest manager shall consider significant heritage values in the preparation and review of the Forest Management Plan.</p> <p>4. The forest manager shall implement actions in consultation with the appropriate bodies to avoid damage to significant heritage values during forest operations.</p>
<p>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</p>	YES	<p>AS4708-2013 P8 Cultural values. 8.3 Other heritage values (see above for the requirement)</p>

Question	YES / NO*	Reference to scheme documentation
to an extent that does not lead to serious negative effects on forest resources, and forest land.		
<p><b>5.6.8 Forest managers, contractors, employees and forest owners shall be provided with sufficient information</b> and encouraged to keep up-to-date through continuous training in relation to sustainable forest management as a precondition for all management planning and practices described in this standard.</p>	YES	<p>AS4708-2013 P8 9.4 Skills development;</p> <p>1. The forest manager shall:</p> <p>a. identify opportunities to support employment and skills development of forest workers including, but not limited to, nationally endorsed and or recognized competencies and qualifications where appropriate; and</p> <p>b. implement identified opportunities for forest workers through appropriate development</p>
<p>5.6.9 Forest management practices shall make the best use of <b>local forest-related experience</b> and knowledge, such as those of local communities, forest owners, NGOs and local people.</p>	YES	<p>AS4708-2013 P8 Cultural values, 8.1 Indigenous peoples' values; 2. On land within the defined forest area where these rights remain, this shall include:</p> <p>a. providing for Indigenous people's input into decision making;</p> <p>b. applying Indigenous people's knowledge of sustainable development and management of forests to the defined forest area;</p> <p>c. supporting education and promotion to the wider community of Indigenous people's rights and interests in and values of forests;</p> <p>d. supporting Indigenous people's economic and social aspirations in sharing benefits from the management of forests; and</p> <p>e. respecting Indigenous people's cultural and traditional customs</p> <p>P2 Stakeholders. 2.2 Stakeholder engagement plan; 1. The forest manager shall establish and maintain a Stakeholder Engagement Plan that:</p> <p>a. acknowledges the positive contribution that stakeholder perspectives and expertise make to forest management;</p> <p>b. includes an evaluation of the direct effects of forest management on stakeholders;</p> <p>c. includes an evaluation of stakeholder feedback on the impacts associated with forest management;</p> <p>d. describes how stakeholder feedback is sought, considered, and recorded;</p> <p>e. recognizes the different needs of affected and interested stakeholders;</p>

Question	YES / NO*	Reference to scheme documentation
		<p><i>f. identifies what information shall be made publicly available;</i></p> <p><i>g. describes processes for managing complaints and dispute resolution mechanisms; and</i></p> <p><i>h. ensures that stakeholder views are considered in the development and periodic review of the Forest Management Plan</i></p> <p><i>2.3. Stakeholder participation;</i></p> <p><i>1. The forest manager shall facilitate and encourage meaningful engagement of stakeholders by: a. providing appropriate opportunities for stakeholders to make their views known on forest management and to influence decision-making; b. providing ways for stakeholders' views to be considered and incorporated in Forest Management Plans; and c. addressing complaints, disputes and grievances in a timely manner</i></p> <p><i>, 2.4 stakeholders affected by forest operations; 1. The forest manager shall strive to build constructive relationships with affected stakeholders including:</i></p> <p><i>a. consideration of the impacts of planned forest operations on affected stakeholders;</i></p> <p><i>b. timely notification to affected stakeholders that may be directly affected by planned forest operations prior to their commencement;</i></p> <p><i>c. taking actions to mitigate adverse impacts on affected stakeholders; and</i></p> <p><i>d. communication of the long term environmental, economic, social and cultural benefits of sustainable forest management</i></p>
<p>5.6.10 Forest management shall provide for effective <b>communication and consultation with local people and other stakeholders</b> relating to sustainable forest management and shall provide appropriate mechanisms for <b>resolving complaints</b> and disputes relating to forest management between forest operators and local people.</p>	YES	<p><i>AS4708-2013 P2 2.2. Stakeholder Engagement Plan and 2.3 Stakeholder participation See above for requirements)</i></p>
<p>5.6.11 Forestry work shall <b>be planned, organised and performed in a manner that enables health and accident risks to be identified</b> and all reasonable measures to be applied to protect workers from work-related risks. Workers</p>	YES	<p><i>AS4708-2013 P9 Social and economic benefits. 9.5 Health and safety;</i></p> <p><i>1. The forest manager shall foster a safe working environment by:</i></p> <p><i>a. complying with relevant workplace health and safety legislation and regulations;</i></p> <p><i>b. facilitating improvements in workplace health and safety;</i></p>

Question	YES / NO*	Reference to scheme documentation
shall be informed about the risks involved with their work and about preventive measures.		<i>c. adopting working conditions that do not endanger health or safety; and d. co-operating and consulting with forest workers and their representative organizations where they exist, on workplace health and safety</i>
5.6.12 <b>Working conditions shall be safe, and guidance and training</b> in safe working practices shall be provided to all those assigned to a task in forest operations.	YES	AS4708-2013 P9 Social and economic benefits. 9.5 Health and safety 9.4 Skills development
5.6.13 Forest management shall comply with <b>fundamental ILO conventions</b> .  “Eight conventions (ILO 29, 87, 98, 100, 105, 111, 138 and 182) identified by the ILO’s Governing Body as "fundamental" in terms of principles and rights at work: freedom of association and the effective recognition of the right to collective bargaining; the elimination of all forms of forced or compulsory labour; the effective abolition of child labour; and the elimination of discrimination in respect of employment and occupation” (Section 3.5 PEFC ST 1003:2010)	YES	Among the fundamental ILO Conventions Australia and New Zealand have not ratified ILO Convention 138 (Minimum Age of Admission to Employment) and in addition New Zealand has not ratified the Convention 87(Freedom of Association) See Tables 7.1 and Tables 7.2 in the report.  <u>For Australia</u>  <i>ILO Convention 138 – Minimum Age of Admission to Employment, 1973</i>  The Standard (AS4708: 2013) provides at 9.6 (3) “ <i>the forest manager shall demonstrate that; .... d. all forest workers are greater in age than the completion of compulsory school age; and...</i> ”  The Australian Government has generally taken the view that law and practice in Australia are already in <i>substantial</i> compliance with the requirements of ILO Convention 138. This assessment is based on the fact that legislative provision in the Australian States and Territories requires compulsory school attendance up to the age of 15 (16 in Tasmania), and that child welfare and occupational health and safety legislation in all jurisdictions provides a measure of compliance with the substantive requirements of the Convention.  <u>For New Zealand</u>  <i>ILO Convention 87 – Freedom of Association and Protection of the Right to Organize, 1948</i>

Question	YES / NO*	Reference to scheme documentation
		<p>Criterion 9.6 of Standard NZS AS 4708:2014 and legislation covers aspects of the requirements in the convention.</p> <p>The Employment Relations Act 2000 (ERA) has an objective 'to promote observance in New Zealand of the principles underlying the International Labour Organisation Convention 87 on Freedom of Association, and Convention 98 on the Right to Organise and Bargain Collectively'. These principles include the development of productive employment relationships through the promotion of collective bargaining and employees having the freedom to choose whether or not to form a union to further their collective employment interests, as well as protection from discrimination in employment based on their membership or non-membership of a trade union. The objective of the Act is among other, to promote collective bargaining and mediation as the primary problem-solving mechanism.</p> <p><i>ILO Convention 138 – Minimum Age of Admission to Employment, 1973</i></p> <p>The NZ Standard (NZS AS 4708:2014) requires (Criterion 9.6:3:d) that all forest workers are greater in age that the completion of compulsory school attendance age (up till 16 years of age).</p> <p>Approved Code of Practice for Safety and Health in Forest Operations published by the Ministry for Business Innovation and Employment in 2012 (see <a href="http://www.business.govt.nz/worksafe/information-guidance/all-guidance-items/acop-forest-operations/forest-operations.pdf">http://www.business.govt.nz/worksafe/information-guidance/all-guidance-items/acop-forest-operations/forest-operations.pdf</a>) provides in section 2.3.6:</p> <ul style="list-style-type: none"> <li>• No person under the age of 15 shall operate a chainsaw or operate machinery in a forestry operation.</li> <li>• All persons under the age of 15 working in a forestry operation shall be under documented training and close supervision.</li> </ul> <p>Indufor conclusion:</p> <p>AFSC standard together with legislation assures compliance with the fundamental ILO Conventions</p>
5.6.14 Forest management shall be based inter-alia on the <b>results of scientific research</b> . Forest management shall contribute to research activities and data collection needed	YES	<i>AS4708-2013 P1 Systematic planning. 1.6 Research ; 1. The forest manager shall base forest management on the results of current and ongoing scientific research where available and</i>

Question	YES / NO*	Reference to scheme documentation
for sustainable forest management or support relevant research activities carried out by other organisations, as appropriate.		<p><i>other sources of information including but not limited to expert opinion, ecological theory and practical experience.</i></p> <p><i>2. The forest manager shall contribute to research activities and data collection needed for sustainable forest management or support relevant research activities carried out by other organizations</i></p>
<b>Criterion 7: Compliance with legal requirements</b>		
5.7.1 Forest management shall <b>comply with legislation</b> 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	<p><i>AS4708-2013 General requirements. 0.1 Defined forest area;</i></p> <p><i>P 1 Systematic management. 1.1 Policy; 1. The forest manager shall define a forest management policy that includes commitments to c. compliance with relevant legislation and other external requirements to which the forest manager subscribes including the requirements of the Standard</i></p> <p><i>1.2 Forest management plan; 2. The Forest Management Plan shall: a. identify applicable legal requirements and other requirements to which the forest manager subscribes</i></p> <p><i>P8 Cultural values, P9 Social and economic benefits</i></p>
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	<p><i>AS4708-2013 P9 Social and economic benefits. 9.3 Illegal activities; 1. The forest manager shall take action to prevent unauthorized or illegal activities within the defined forest area where practical</i></p>

\* 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.

General Note on AFCS – Accreditation body JAS-ANZ and AFS Ltd have agreed that PEFC ST 2003:2012 *Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard* will be used as the requirements for certification bodies operating certification against the scheme specific Australian Standard for *Chain of custody for forest products* (AS4707: 2014).

The accreditation requirements for certification bodies operating certification against forest management standard AS4708:2013 are described JAS-ANZ *Forest Management Systems Scheme – Requirements for bodies providing audit and certification of Forest Management Systems*

### 2 Checklist

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 <b>impartial, independent third parties</b> that cannot be involved in the standard setting process as governing or decision making body, or in the	Annex 6, 3.1	YES	<i>17. Joint Accreditation System of Australia and New Zealand. Forest Management Systems Scheme. Requirements for bodies providing audit and certification of Forest Management System (JAS-ANZ Issue 4. Feb 2014)</i>

No.	Question	Reference to PEFC Council procedures	YES / NO*	Reference to scheme documentation
	forest management and are independent of the certified entity?			<p><i>Sec 0.2 The scheme ... supplements.. the requirements of ISO 17021</i></p> <p><i>ISO 17021: 2011. Conformity assessment -- Requirements for bodies providing audit and certification of management systems</i></p> <p><i>In addition:</i></p> <p><i>Ch 2 requires compliance with listed reference documents that set rules for certification process.</i></p> <p><i>18. AFS/PEFC Notification of certification bodies operating forest management system and/or chain of custody certification</i></p> <p><i>Ch 2 Conditions for AFCS/PEFC notification: Certification body shall be accredited against ISO 17021 with special reference to AS 4708 sustainable forest management and/or to ISO 17065 with special reference to AS 4707 chain of custody for certified wood and forest products and/or PEFC ST 2002:2013 (chain of custody of forest based products – requirements)</i></p> <p><i>ISO 17065:2012 Conformity assessment -- Requirements for bodies certifying products, processes and services</i></p>
2.	Does the scheme documentation require that <b>certification body for forest management</b> certification or chain of custody certification against a scheme specific chain of custody standard shall fulfil requirements defined in <b>ISO 17021 or ISO Guide 65?</b>	Annex 6, 3.1	YES	<p><i>18. AFS/PEFC Notification of certification bodies operating forest management system and/or chain of custody certification</i></p> <p><i>Ch 2 Conditions for AFCS/PEFC notification: Certification body shall be accredited against ISO 17021 with special reference to AS 4708 sustainable forest management and/or to ISO 17065 with special reference to AS 4707 chain of custody for certified wood and forest</i></p>

No.	Question	Reference to PEFC Council procedures	YES / NO*	Reference to scheme documentation
				products and/or PEFC ST 2002:2013 (chain of custody of forest based products – requirements)  <i>ISO 17065:2012 Conformity assessment -- Requirements for bodies certifying products, processes and services</i>
3.	Does the scheme documentation require that certification body chain of custody certification against Annex 4 shall fulfil requirements defined in ISO Guide 65?	Annex 6, 3.1	YES	<i>See above</i> If chain of custody certification is done against PEFC ST 2002:2013 the certification body shall comply with the requirements of ISO 17065:2012, that has replaced ISO Guide 65 in September 2012.
4.	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	<i>17. JAS-ANZ Forest Management System Scheme (Issue 4. Feb 2014) Ch 9 Process requirements: J9.1.3.5 The audit team shall possess skills in planning, stakeholder engagement, ecology, forest management, silviculture, forest health, soil and water management, indigenous heritage, social and economic values, regulatory environment, safety, chain of custody...</i>
5.	Does the scheme documentation require that certification bodies carrying out C-o-C certifications shall have <b>technical competence</b> in forest based products procurement and processing and material flows in different stages of processing and trading?	Annex 6, 3.1	YES	PEFC ST 2003:2012 ISO 17065 2012Conformity assessment -- Requirements for bodies certifying products, processes and services
6.	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 or C-o-C certifications?	Annex 6, 3.1	YES	<i>17. JAS-ANZ Forest Management System Scheme (Issue 4. Feb 2014) Ch 7 J.7.2.5 The CB shall have procedures for evaluating FMS Scheme auditors and audit team leaders and determining their competence;</i>

No.	Question	Reference to PEFC Council procedures	YES / NO*	Reference to scheme documentation
				<p><b>J.7.2.8 All auditors shall participate in forest management education programs recognised by AFS Ltd at least every two years</b></p> <p><i>Ch 9 Process requirements:</i>  <i>J.9.1.3.2 The CB may appoint a competent FMS Scheme auditor as the audit team leader if that auditor is a QMS or EMS audit team leader.</i>  <i>J.9.1.3.3 Audit teams may include technical experts with specific knowledge regarding the process, forestry and environmental issues or legislation affecting the client</i></p>
7.	Does the scheme documentation require that certification bodies have the responsibility to <b>use competent auditors</b> and who have adequate technical know-how on the certification process and issues related to forest management or chain of custody certification?	Annex 6, 3.2	YES	<p><i>17. JAS-ANZ Forest Management System Scheme (Issue 4. Feb 2014) Ch 9 Process requirements:</i>  <i>J9.3.4 Audit team members ... shall satisfy competence requirements as specified in J9.1.3.5-J9.1.3.6.</i></p>
8.	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 auditors?	Annex 6, 3.2	YES	<p><i>17. JAS-ANZ Forest Management System Scheme (Issue 4 Feb 2014)</i> is based on the requirements of ISO/IEC 17021:2011 that include amendments to replace references to ISO 19011 with text adding specific requirements for third-party certification auditing and the management of competence of personnel involved in certification. Requirements for bodies providing audit and certification of management systems are now fully contained within ISO/IEC 17021:2011.</p>

No.	Question	Reference to PEFC Council procedures	YES / NO*	Reference to scheme documentation
				ISO 17021:2006 specified ISO 19011 as a normative reference ( <a href="http://www.ircanet.org/Documents/press/2011/Review%20of%20ISO%2017021%20V2.pdf">www.ircanet.org/Documents/press/2011/Review%20of%20ISO%2017021%20V2.pdf</a> ).  Indufor conclusion:  ISO 17021:2011 includes the relevant requirements of ISO 19011 for third party certification. Specific reference to ISO 19011 is not relevant in order to assure compliance to the ISO requirements for auditing procedures.
9.	Does the scheme documentation include additional qualification requirements for auditors carrying out forest management or chain of custody audits? [1]	Annex 6, 3.2	YES	<i>JAS-ANZ Forest Management System Scheme (Issue 4. Feb 2014) Includes specific requirements for forest management and chain of custody certification.</i>
<b>Certification procedures</b>				
10.	Does the scheme documentation require that certification bodies shall have established internal procedures for forest management and/or chain of custody certification?	Annex 6, 4	YES	ISO 17021:2011 Ch 9 Requires procedures for Development of an Audit Program for the Full Certification Cycle, JAS-ANZ Accreditation requirements for forest management certification set requirements for internal procedures certification bodies shall have in planning and implementing certification operation. For chain of custody certification the PEFC ST 2003:2012 (2 <sup>nd</sup> version of 2014) applies. JAS-ANZ issues accreditations to chain of custody certification against the ISO 17065/ ISO Guide 65 in combination with PEFC ST 2003:2012.  AFCs rules for notification of certification bodies require that they have an accreditation to the respective standards.  Indufor conclusion:

No.	Question	Reference to PEFC Council procedures	YES / NO*	Reference to scheme documentation
				The accreditation requirements based on PEFC and ISO standards require description of internal procedures for certification.
11.	Does the scheme documentation require that applied certification procedures for forest management certification or chain of custody certification against a scheme specific chain of custody standard shall fulfil or be compatible with the requirements defined in ISO 17021 or ISO Guide 65?	Annex 6, 4	YES	<i>18. AFS/PEFC Notification of certification bodies operating forest management system and/or chain of custody certification</i>  <i>Ch 2 Conditions for AFCS/PEFC notification: Certification body shall be accredited against ISO 17021 with special reference to AS 4708 sustainable forest management and/or to ISO 17065 with special reference to AS 4707 chain of custody for certified wood and forest products and/or PEFC ST 2002:2013 (chain of custody of forest based products – requirements)</i>
12.	Does the scheme documentation require that applied certification procedures for chain of custody certification against Annex 4 shall fulfil or be compatible with the requirements defined in ISO Guide 65?	Annex 6, 4	YES	<i>JAS-ANZ issues accreditations to chain of custody certification against the ISO 17065/ ISO Guide 65 in combination with PEFC ST 2003:2012 (2<sup>nd</sup> version of 2014 has appropriate reference to ISO 17065 instead of ISO Guide 65). .</i>  <i>See also comment to question 10.</i>
13.	Does the scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011?	Annex 6, 4	YES	<i>ISO 17021:2011 includes the relevant requirements of ISO 19011 for third party certification. Specific reference to ISO 19011 is not relevant in order to assure compliance to the ISO requirements for auditing procedures.</i>  <i>See also comment to question 8.</i>
14.	Does the scheme documentation require that certification body shall inform the relevant PEFC National Governing Body about all issued forest management and chain of	Annex 6, 4	YES	<i>18. AFS/PEFC Notification of certification bodies operating forest management system and/or chain of custody certification. Ch 4 obligations of AFCS/PEFC notified certification bodies</i>

No.	Question	Reference to PEFC Council procedures	YES / NO*	Reference to scheme documentation
	custody certificates and changes concerning the validity and scope of these certificates?			<p><i>Provide a completed form of each forest management and chain of custody certificate...</i></p> <p><i>AFCS/PEFC notification contract: Art 2, 3 and 4</i></p>
15.	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	NO	<p>PEFC ST 2003:2012 together with ISO 17065 / ISO Guide 65 is the basis for accreditation to chain of custody certification against AS4707. PEFC ST requires in ch 4 <i>The criteria against which the client organisation's chain of custody is evaluated are those outlined in latest version of the chain of custody standard and relevant mandatory appendices and PEFC logo usage rules.</i></p> <p><i>Sec 7.4 Scope of audit to determine the conformity of the client organisation with the PEFC logo usage rules and its effective implementation;</i></p> <p><i>14. AS 4707 (CoC) 7.2.1 The organisation which uses an AFS logo or label (note PEFC logo is not mentioned) , for on-product and/or off-product purposes, relating to the chain of custody certification, shall have an authorisation from Australian Forestry Standard Limited and the use shall be according to the terms and conditions of the authorisation.</i></p> <p>AS 4707: 2014 Clause 7.2 of that Standard only mentions the AFS logo not the PEFC logo. AFS Ltd therefore proposes that this be addressed by issuing a Directive to all relevant accredited CBs certifying to AS4707: 2014 that where Clause 7.2 refers to the AFS logo this shall be interpreted to mean the AFS and/or the PEFC logo.</p> <p>In forest management certification (AS4708): For logo users in Australia certified to AS4708: 2013 it is proposed that the two clauses previously used in the logo licence agreement be</p>

No.	Question	Reference to PEFC Council procedures	YES / NO*	Reference to scheme documentation
				<p>included in all new logo licence agreements. It should be noted that there are only 22 current certificates to AS4708 and, as virtually all of these are long-standing certifications, the certified entities have entered into the previous version of the logo licence agreement which contained the logo use clauses. In addition, few forest managers use the logo on-product and therefore their compliance with logo use rules is much simpler to monitor.</p> <p>Indufor conclusion:</p> <ol style="list-style-type: none"> <li>1) In chain of custody certification, when PEFC ST 2003:2012 (2nd edition) is used as a basis for accreditation – logo use control is required. The actual chain of custody standard operational between operator and certification body interphase refers only to control of AFS logo use.</li> </ol> <p>Note that 2<sup>nd</sup> edition of PEFC ST 2003:2012 refers to ISO 17065 as the accreditation standard and does not recognize ISO Guide 65. AFS shall assure that all documents make reference to the valid ISO standard.</p> <p>AFS Ltd shall issue the Directive to all relevant accredited CBs certifying to AS4707: 2014 that where Clause 7.2 refers to the AFS logo this shall be interpreted to mean the AFS and/or the PEFC logo in order to reach a full compliance.</p> <ol style="list-style-type: none"> <li>2) In forest management certification a provision for logo use control does not exist.</li> </ol> <p>The current logo licence agreements shall be updated to include the appropriate provisions for control as proposed by AFS Ltd in 2013: 7.1 <i>The Logo User, in the case of Group B (forest management) Logo User</i></p>

No.	Question	Reference to PEFC Council procedures	YES / NO*	Reference to scheme documentation
				<i>Group as defined in the Logo Use Manual, shall undertake to provide, immediately after each forest management verification audit, AFS Ltd with a notification, verified by the certification body, of the on-product use of the AFS Logo/PEFC Logo, eg, broken down by product or product category or similar, to the degree of accuracy that the system used by the Logo User permits. In the same conjunction, the Logo User shall supply AFS Limited with a detailed, free form account of any off-product use of the AFS Logo and the PEFC Logo.</i>
16.	Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?	Annex 6, 4	YES	<p><i>ISO 17021 9.3.2.2 Surveillance audits shall be conducted at least once a year.</i></p> <p><i>JAS-NZ J9.3.1.1 Surveillance audits occur annually (forest management)</i></p> <p><i>PEFC ST 2003:2012 (2<sup>nd</sup> version of 2014) 7.9.1 The surveillance audits shall be carried out at least annually.</i></p>
17	Does a maximum period for assessment audit not exceed five years for both forest management and chain of custody certifications?	Annex 6, 4	YES	<p>Forest management:</p> <p><i>ISO 17021 9.1.1.2 The audit programme shall include a two-stage initial audit, surveillance audits in the first and second years, and a recertification audit in the third year prior to expiration of certification. The three-year certification cycle begins with the certification or recertification decision.</i></p> <p>Chain of custody:</p> <p><i>PEFC ST 2003:2012 (2<sup>nd</sup> version of 2014) 7.7.6 The certification shall be granted for a maximum of 5 years.</i></p>

No.	Question	Reference to PEFC Council procedures	YES / NO*	Reference to scheme documentation
18	Does the scheme documentation include requirements for public availability of certification report summaries?	Annex 6, 4	YES	AS 4708-2013 Sustainable forest management. Criterion 2.6 The forest manager shall make publicly available summaries of b) audit reports provided by the certification body
19	Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?	Annex 6, 4	YES	17. JAS-ANZ Forest Management System Scheme (Issue 4. Feb 2014) Ch 9 Process requirements: J9.2.3.2.1c) ...audit shall also focus on the client's consultation with relevant stakeholders..., J9.2.3.2.2 CB shall plan consultations with , and consult a sample of relevant stakeholders on the management of the DFA throughout the certification cycle
20.	Does the scheme documentation include additional requirements for certification procedures? [*1]	Annex 6, 4	YES	17. JAS-ANZ Forest Management System Scheme (Issue 4. Feb 2014) Includes specific requirements for forest management and chain of custody certification.
<b>Accreditation procedures</b>				
21.	Does the scheme documentation require that certification bodies carrying out forest management and/or chain of custody certification shall be accredited by a national accreditation body?	Annex 6, 5	YES	18. AFS/PEFC Notification of certification bodies operating forest management system and/or chain of custody certification Ch 2 Certification body applying for notification shall have a valid accreditation by JAS-ANZ or other IAF member accreditation body.
22.	Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?	Annex 6, 5	YES	28. Extract from JAS-ANZ Accreditation Manual (1 January 2014) Accreditation symbol is to be used on all attestations issued within the scope of accreditation.
23.	Does the scheme documentation require that the accreditation shall be issued by an <b>accreditation body which is a part of the</b>	Annex 6, 5	YES	

No.	Question	Reference to PEFC Council procedures	YES / NO*	Reference to scheme documentation
	<b>International Accreditation Forum (IAF) umbrella or a member of IAF's</b> special recognition regional groups and which implement procedures described in ISO 17011 and other documents recognised by the above mentioned organisations?			<i>18. AFS/PEFC Notification of certification bodies operating forest management system and/or chain of custody certification Ch 2 Certification body applying for notification shall have a valid accreditation by JAS-ANZ or other IAF member accreditation body or PEFC ST 2003:2012 for chain of custody certification.</i>
24.	Does the scheme documentation require that certification body undertake forest management or/and chain of custody certification against a scheme specific chain of custody standard as "accredited certification" based on ISO 17021 or ISO Guide 65 and the relevant forest management or chain of custody standard(s) shall be covered by the accreditation scope?	Annex 6, 5	YES	<i>See above AFCS requires that FM and CoC certification is accredited against ISO 17021 (FM) and ISO 17065 (CoC). For chain of custody certification the scheme recognizes certification against scheme specific AS 4707-2014 standard or against PEFC ST 2002:2013.</i>
25.	Does the scheme documentation require that certification body undertake chain of custody certification against Annex 4 as "accredited certification" based on ISO Guide 65?	Annex 6, 5	YES	<i>18. AFS/PEFC Notification of certification bodies operating forest management system and/or chain of custody certification Ch 2 Chain of custody certification against PEFC ST 2002:2013 shall be accredited in line with ISO 17065</i>
26.	Does the scheme documentation include a mechanism for PEFC notification of certification bodies?	Annex 6, 6	YES	<i>18. AFS/PEFC Notification of certification bodies operating forest management system and/or chain of custody certification</i>
27.	Are the procedures for PEFC notification of certification bodies non-discriminatory?	Annex 6, 6	YES	<i>18. AFS/PEFC Notification of certification bodies operating forest management system and/or chain of custody certification - Any CB that meets the national or international requirements for accreditation can be notified.</i>

- \* 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.

AFS chain of custody standard (AS4707-2014) is practically a copy of PEFC ST 2002:2013, where PEFC is replaced with AFS. Thus the AFCS standard is compatible with the PEFC requirements for chain of custody certification apart from the use and control of PEFC logo use. The AS4707 standard does not make any reference to the use of PEFC logo.

**2 Checklist**

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	AS4707-2014 Chapter 3 terms and definitions AFS DDS is in its scope and content identical to PEFC DDS
<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	AS4707-2014 Chapter 4 Identification of material category ... practically identical to PEFC ST
<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	AS4707-2014 5.1 General requirements

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
4.	Does the DDS of the scheme specific CoC standard require gathering of information in compliance with 5.2?	5.2	YES	AS4707-2014 5.2
5.	Does the DDS of the scheme specific CoC standard include requirements for a risk assessment in compliance with 5.3?	5.3	YES	AS4707-2014 5.3
6.	Does the DDS of the scheme specific CoC standard require the consideration of substantiated concerns in compliance with 5.4?	5.4	YES	AS4707-2014 5.4
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	AS4707-2014 5.5
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	AS4707-2014 5.6
<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	AS4707-2014 6.1
10.	Are the general requirements for the physical separation method in compliance with 6.2.1?	6.2.1	YES	AS4707-2014 6.2.1
11.	Are the requirements for the separation of certified material/products in compliance with 6.2.2?	6.2.2	YES	AS4707-2014 6.2.2

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
12.	Are the requirements for the application of the percentage based method in compliance with 6.3.1?	6.3.1	YES	AS4707-2014 6.3.1
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	AS4707-2014 6.3.2
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	AS4707-2014 6.3.3
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	AS4707-2014 6.3.4
<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	AS4707-2014 7.1
17.	Does the scheme specific CoC standard include requirements for the use of logos and labels in compliance with 7.2?	7.2	YES	AS4707-2014 7.2
<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	AS4707-2014 8.1 General

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
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	AS4707-2014 8.2
20.	Does the scheme specific CoC standard include requirements for documented procedures in compliance with 8.3?	8.3	YES	AS4707-2014 8.3
21.	Does the scheme specific CoC standard include requirements for record keeping in compliance with 8.4?	8.4	YES	AS4707-2014 8.4 Record keeping
22.	Does the scheme specific CoC standard include requirements for resource management in compliance with 8.5?	8.5	YES	AS4707-2014 8.5 Resource management
23.	Does the scheme specific CoC standard include requirements for inspection and control in compliance with 8.6?	8.6	YES	AS4707-2014 8.6
24.	Does the scheme specific CoC standard include requirements for complaint resolution procedures in compliance with 8.7?	8.7	YES	AS4707-2014 8.7
25.	Does the scheme specific CoC standard include requirements for subcontracting in compliance with 8.8?	8.8	YES	AS4707-2014 8.8
<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	AS4707-2014 9
<b>Specification of PEFC claims</b>				

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
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	AS4707-2014 Appendix 1 AFS has own product label that apply AFS claims
28.	Does the national standard specify formal PEFC claims in compliance with 1.2 and 2.2?	Appendix 1, 1.2, 2.2	YES	AS4707-2014 Appendix 1
<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	AS4707-2014 Appendix 2
30.	Does the scheme specific CoC standard include requirements for multisite organisations in compliance with Appendix 3, 3.1?	Appendix 3, 3.1	YES	AS4707-2014 Appendix 2
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	AS4707-2014 Appendix 2
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	AS4707-2014 Appendix 2

\* 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**

No.	Question	Reference to PEFC GD 1004:2009	YES / NO*	Reference to application documents
<b>PEFC Notification of certification bodies</b>				
1.	<p>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>?</p> <ul style="list-style-type: none"> <li>- Qualification of CB, accreditation</li> <li>- Scope and country of operation</li> <li>- Termination</li> <li>- Contract</li> <li>- Info to governing body</li> <li>- Non-discriminatory</li> <li>- Fee</li> </ul>	Chapter 5	YES	<p><i>18. AFS/PEFC Notification of certification bodies operating forest management system and/or chain of custody certification</i>                      AFS Ltd, the national PEFC governing body, is responsible for notification of certification bodies for forest management and chain of custody certification. AFS Ltd and notified certification body sign a written agreement specified in Appendix 1 to the Doc 18.). The contract assumes that the CB is accredited by JAS-ANZ, however the Doc 18. Recognizes an accreditation issued by other accreditation bodies that are IAF members.</p> <p>The notification covers certification against AS 4708 (FM) and AS 4707 (CoC) standards that are applicable in Australia and New Zealand. In CoC certification the AFCS also recognizes the PEFC ST 2002:2013, but the notification process does not define the countries of operation for the respective certification under the AFS notification.</p> <p>Art 4: Contract termination defines the rules for suspension or termination of the notification contract.</p>

No.	Question	Reference to PEFC GD 1004:2009	YES / NO*	Reference to application documents
				<p>AFS Ltd is the contracting party, thus informed on the notification status of each certification body.</p> <p>The conditions for notification are non-discriminatory.</p> <p>Ch 4 and Appendix 3: Certification bodies shall be paid to AFS Ltd. The fee is proportional to certified area and/or turn-over of companies with certified chain of custody system.</p>
<b>PEFC Logo usage licensing</b>				
2.	<p>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>?</p> <ul style="list-style-type: none"> <li>- Legal entity</li> <li>- Multi-site licenses</li> <li>- Written procedures for licensing</li> <li>- Contract based</li> <li>- Compliance with logo usage rules</li> <li>- Scope of license</li> <li>- Termination</li> <li>- Enforcement and measures in case of unauthorized use</li> </ul>	Chapter 6	YES	<p><i>Issuance of PEFC &amp; AFS Logo use licenses by Australian Forestry Standard Limited (PEFC Australia) (2014)</i> defines the written procedures for logo licensing.</p> <p><i>AFS Ltd is a legal entity</i></p> <p>Ch 1 <i>AFS Ltd issues logo use licenses in accordance to PEFC ST 2001:2008. AFS Ltd is authorized by PEFC Council to issue licenses to entities located in Australia and sites in other countries, participating in multi-site chain of custody certification with the central office being in Australia.</i></p> <p>Applicant and AFS Ltd sign a logo use contract (Appendix 1) that also defines the terms for contract termination</p> <p>Art 9: AFS Ltd has the right to do or commission a third party to do site inspections in case of complaints and issue defined penalties.</p> <p>Certifications to AS4707 and PEFC ST 2002:2013 will continue to be treated as essentially equivalent and companies certified to AS4707 will be licensed to use the AFS and/or PEFC logos if applied.</p>

No.	Question	Reference to PEFC GD 1004:2009	YES / NO*	Reference to application documents
				<p>Subject to the inclusion of New Zealand forest management standard (NZS AS4708) in the re-endorsement of AFCS by PEFC and agreement on the administration of the PEFC scheme in New Zealand, companies certified to NZS AS 4708 will be licensed to use the PEFC logo by AFS Ltd, until otherwise agreed.</p> <p>AFCS documentation requires minor revision in order to assure consistent control of logo use by third parties. See Part IV question 15 for details.</p>
<b>Complaints and dispute procedures</b>				
3.	<p>Are complaint and dispute procedures in place, which comply with chapter 8 of PEFC GD 1004:2009, <i>Administration of PEFC scheme</i>?</p> <ul style="list-style-type: none"> <li>- Acknowledgement</li> <li>- Verification of info</li> <li>- Communication of decision</li> <li>- Corrective and preventive actions</li> </ul>	Chapter 8	YES	<p><i>16. AFS CM PROC 08- Procedures for Complaints and Grievances V4.4/2011</i> define the written appeals procedures.</p> <p>Ch 5 and 6 AFS Ltd office files and registers complaints and classifies them into one of the three streams (Ch 2 and 7, Annexes 1-3): grievance against i) AFS Ltd organization, ii) AFS standard or iii) AFS certification scheme.</p> <p>AFS Ltd office verifies and asks for adequate information and sends an informative mail (Sec 8.1)</p> <p>The decision should be made within 20 days and communicated to the complainant (Sec 8.2)</p> <p>The decision will contain necessary corrective/preventive actions</p>



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## Appendix 2

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### **Documentation Provided for the Assessment by AFS Ltd**

## Documentation Provided by AFS Ltd for the Assessment

1. *Letter of request for the assessment*
2. *AFCS System Description*
3. *Requirements for Accreditation of Standards Development organisations; Accreditation Board for Standards Development (ABSDO), 4 April 2013, update 1 October 2014*
4. *Criteria for Designation as an Australian standard, Accreditation Board for Standards Development (ABSDO), 4 April 2013*
5. *AFS POL 3 Setting the Standard for Sustainable Forest Management V1.5-02/2012)*
6. *AFS SDO Procedures Manual (SD PROC 01 V2.6). 2014*
7. *AFS SD PROC 02 – SRC Representation-V2.0. 2010*
8. *AFS Final Process Approval for AS4707-2014*
9. *AFS Final Process Approval for AS4708-2013*
10. *Australia Standard® Sustainable Forest Management AS 4708-2013*
11. *New Zealand Standards Sustainable forest management NZS AS 4708:2014*
12. *AFS Sustainable Forest Management – Guidance for the certification of group forest management (Guidance note 02 to AS4708-2013)*
13. *Directive to certification bodies notified to provide forest management certification under AFCS group forest management. AFS Ltd*
14. *Australian Standard, Chain of Custody for Forest Products2) AFS Ltd.*
15. *Issuance of PEFC & AFS Logo use licences by Australian Forestry Standard Limited (PEFC Australia). June 2014.*
16. *AFS CM PROC 08- Procedures for Complaints and Grievances V4.4/2011*
17. *Joint Accreditation System of Australia and New Zealand. Forest Management Systems Scheme. Requirements for bodies providing audit and certification of Forest Management System (JAS-ANZ Issue 4. Feb 2014)*
18. *AFS/PEFC Notification of certification bodies operating forest management system and/or chain of custody certification*
19. *ASBDO AFSL-14-11s Surveillance Assessment report ( October 2014)*
20. *Standard revision meeting report 4<sup>th</sup> November 2010 – confidential document*
21. *AFS Ltd. Standards Development Procedures 03. SRC Charter and Code of Conduct V3. October 2010*
22. *Example of a personal invitation letter from AFS Ltd of 17 October 2010*
23. *Sustainable Forest Management. Guidance for the certification of forest management. Guidance Note 01 to AS4708 (AS4708 GN01 2013) <http://www.forestrystandard.org.au/resources/standards/AS4708-2013/AS4708-2013-GN01-Publish.pdf>*
24. *AFSL Response to PEFC Technical Unit May 2014 final.pdf.*
25. *AS4708–2013 Interpretation of Requirement 5.6 Chemical Use for certification of forest managers under the Australian Forest Certification Scheme (AFCS). draft for final ballot*
26. *AFSL Response to PEFC Technical Unit January 2014 final.pdf.*
27. *20131120 AFS Response to PEFC EX Ass Consult Draft report Final.pdf*

28. JAS-ANZ Management System. Accreditation Manual. Accreditation Symbol (extract) 1 January 2014.

Australian Forestry Standard: [www.forestrystandard.org.au](http://www.forestrystandard.org.au)

<http://www.forestrystandard.org.au/standards/standards-revision-processes/review-of-as4708>

<http://www.forestrystandard.org.au/standards/standards-revision-processes/review-of-as4707>

[www.forestrystandard.org.au/standards/standards-procedures](http://www.forestrystandard.org.au/standards/standards-procedures)

<http://www.forestrystandard.org.au/standards/australian-standards/chain-of-custody>

<http://shop.standards.co.nz/catalog/4708%3A2014%28NZS+AS%29/view>

Chemical use: [http://www.apvma.gov.au/products/review/completed/organochlorines\\_history.php](http://www.apvma.gov.au/products/review/completed/organochlorines_history.php)

Regional forest agreements: <http://www.agriculture.gov.au/forestry/policies/rfa>

Description of relation between ISO 17021:2011 and ISO 19011 standards:

[www.irca.org/Documents/press/2011/Review%20of%20ISO%2017021%20V2.pdf](http://www.irca.org/Documents/press/2011/Review%20of%20ISO%2017021%20V2.pdf)



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Appendix 3

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## **Stakeholder Questionnaire for National Consultation**



Helsinki 20 October, 2014

**Stakeholder questionnaire on Australian Forest Certification Standard Revision**

**Australian Forestry Standards Ltd revised in 2013 the Australian Standard AS4708 for Sustainable Forest Management. The Standards New Zealand Committee prepared a national adoption of the Standard.**

This questionnaire is prepared to collect stakeholders' views on the revision of the AS4708-2013 forest management and AS 4707 – 2014 chain of custody standards. The questionnaire focuses on stakeholder engagement in standard revision and on the information and decision-making processes.

- ❖ PEFC requires, among other, that standard development shall be transparent and open to all interested stakeholders; different views shall be discussed and documented and decisions on certification criteria shall be made in consensus.

The questionnaire will be sent to all invited and participating parties having an interest in standard revision and potentially to other key interest groups. All answers are treated as confidential and will not be referred by the replier in the report.

We hope you can share your views on the standard development process and thus improve the quality and value of impartial scheme assessment under the PEFC framework.

**Which of the following stakeholder categories best describes you or your organisation?**

<b>I represent:</b>	<b>Stakeholder categories</b>
	Administration
	Authority
	Forest and timber industry
	Forest owner / manager
	Research institute
	Environmental NGO
	Social NGO
	- Indigenous people
	Trade Union
	Retailer
Other	Specify:



**Questionnaire on the Revision of AS 47808 Standard on Sustainable Forest Management and AS 4707 on Chain of Custody of forest based products.**

**1. Did you participate to the standard revision?**

Standard	Yes	No	Comment, If no - why not?
FM AS4708			
CoC AS4707			
<b>Would you have been interested to participate?</b>			

**2. By whom and when were you invited to participate to the revision of standard for PEFC Forest certification?**

By whom:	Comments
When:	Comments

**3. What was your main interest to consider participation to standard revision?**

Comments

**4. In your view, have all interested parties relevant to standard revision been proactively identified and invited and given the possibility to participate and contribute to the standard revision? <sup>1)</sup>**

Yes	No	I don't know	Comments

<sup>1)</sup> Including also disadvantaged interest groups



**5. Did the organiser provide you with adequate material before the process?**

Yes	No	I don't know	Comments

**6. Did the stakeholders in the stakeholder groups (AFS Standard Reference Committees) represent the different interests in a balanced way?**

Standard	Yes	No	I don't know	Comment, if no - why not?
FM AS4708				
CoC AS4707				

**7. Did the revision process follow the procedures that were communicated with participants in advance?**

Yes	No	I don't know	Comments

**8. Were you aware of any substantive or procedural complaints by any stakeholder on standard revision?**

Yes	No	I don't know	Comments

**9. Are you aware of any dispute settlement procedures in case of conflicting views in standard revision?**

Yes	No	I don't know	Comments - if yes please specify

**10. Do you believe any aspects of the standard or its revision process deserve further consideration?**

Yes	No	I don't know	Comments - if yes please specify

**IF you participated in standard revision, please continue with question 11 to 14.**



**11. Have you been given a meaningful opportunity to contribute to standard formulation and to submit comments for further consideration?**

Yes	No	I don't know	Comments

**12. Were the views and comments submitted by any participant in the Standard Reference Committees been considered in an open and transparent way?**

Yes	No	I don't know	Comments

**13. Have all comments received in public consultations been discussed and addressed in an objective and transparent way?**

Yes	No	I don't know	Comments

**14. Were the criteria (requirements) in the standard agreed on in consensus?**

Yes	No	I don't know	Comments
<b>How the issues with differentiating views were solved?</b>			

**15. Other remarks:**

--

Thank you for your time and contribution!

Please send your replies preferably by November 17, 2014 to

[hanna.nikinmaa@indufor.fi](mailto:hanna.nikinmaa@indufor.fi) or [Indufor@indufor.fi](mailto:Indufor@indufor.fi)

Indufor Oy, [www.indufor.fi](http://www.indufor.fi)



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Appendix 4

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**Panel of Experts Comments**

### Assessment of the Australian Forest Certification Scheme - Panel of Experts review

General statement: Report clearly structured and to the point.

Report chapter / page	Consultant's report statement	PoE member comment	Consultant's response
		<b>Specific content related comments</b>	
	General comment	The report gives the understanding that the Australian scheme as such is well structured, consistent, and contains all necessary elements needed for an acceptable PEFC scheme. The report of the consultant is also clear, understandable as well as well structured ☺ Report clearly structured and to the point	
p. 1	EXECUTIVE SUMMARY	this summary does not exist	The title on executive summary is removed, because the report has a Preface that explains the purpos and chapters on recommendations and summary of findings give a synthesis on the content of the report. Separate executive summary would not increase the readability of the report.
p. 3	List of ABBREVIATIONS	There are many abbreviations used in the report, which are not listed on this page (PEFC, PEFC IGD, PEFC GD, PEFC ST, PEFC CoC, AFS CM PROC, AFS SD PROC, AFS SDO, SCR...)	Abbreviations completed
1.2 / p.5	A compilation of the comments received during the consultation are presented in Table 12.1	Table 12.1 stands at the end of the report, it took some time to find it. - Could be worthwhile to add "(on page 34)"	Reference page number added.
1.2 / p.5	<b>2.National consultation of interested parties</b> Indufor sent a questionnaire on standard	No explanation is given, why the process took such a long time, i.e. the process was started already in 2010 and ended as late as	Process follows the structure and procedures of Australian standard development. No specific reason was raised up why the

Report chapter / page	Consultant's report statement	PoE member comment	Consultant's response
		<b>Specific content related comments</b>	
	setting process to all 50 parties invited to standard revision in 2010. The original contact list was given by AFS Ltd. The objective of the consultation was to verify that the planned procedures were implemented and the principles of open access, fair decision making, consensus building and availability of grievance procedures were respected. The questionnaire was sent on 4 November, 2014 but only three replies were received. The time gap between the initiation of standard setting and the date of assessment was a reason for the low reply rate.	2014! With no explanation this might raise only unnecessary questions.	standard development took a long time nor if it was unexceptionally long.  Some organisational changes in AFS may have resulted in some delays.  No conflicts or concerns were raised due to the long revision process.  No amendments were made.
1.3 / p.6	Report Structure	The content of the chapter is very informative and gives clear picture of the report!	
2./ p.7	Based on the results of this conformity assessment, Indufor Oy recommends PEFC Board of Directors to endorse the Australian Forest Certification Scheme (AFCS).	or: Based on the results of this conformity assessment, - Indufor Oy recommends PEFC Board of Directors to endorse the Australian Forest Certification Scheme (AFCS).	Changed as requested – unnecessary reference to the conformity assessment is removed.
3.2 / p.8	Indufor concluded that the minor restrictions on public availability of results and implications of public consultation does not establish a non-compliance with PEFC's requirements on transparency in standard setting.	This conclusion is well justified.	
3.4 / p.9	AFS Ltd shall demonstrate that AS4707	The consultant should define how and in	Indufor is not in the position to guide AFS in

Report chapter / page	Consultant's report statement	PoE member comment	Consultant's response
		<b>Specific content related comments</b>	
and 8.2. / p.28	standard recognize certification against New Zealand forest certification standard (NZ4708) valid.	which time limit this non-compliance shall be cleared.	the schem development. The non-conformity points out a missing reference in the AFCS chain of custody standard that has not been updated to encompass <u>recently adopted</u> NZ forest certification standard. The issue does not risk the credibility of scheme implementation.
3.4 / 9	A minor non conformity in chain of custody certification is that current AS4707 standard does not recognize the New Zealand forest certification.	This non-conformity sounds strange – why is one single standard not recognized and in particular the familiar NZ-standard? I could not find an explanation why this is the case, even in chapter 8 or the checklist (Part V). But this is essential to (i) understand why this is the case and (ii) be clear why it is (only) a minor non-conformity.	Chain of custody standard is a formal Australian Standard (AS) and any change in the standard is done through formal procedures that take some time.  No changes were made
3.5 / p. 9	Content and structure of the chapter	There are minor non-conformities in this issue, like chapter 9.2 demonstrates. I propose that chapter 3.5 had similar statement like chapter 3.4: “Minor non-conformities...” then the statement: “AFS Ltd shall assure that the proposed improvements in control of logo usage are implemented.” and the “See Chapter 9 for detailed information.	The conclusion of the logo use control was further elaborated a reference to a minor-conformity was made.
3.7 / 10	Notification procedures partly conform to PEFC requirements.	Why is this not mentioned in chapter 2 (Recommendation)?	The summary conclusion on p. 10 was not correct and not supported by the analysis in section 10.2. The AFS document 18. on Notification cover SFM certificatin against AS4708 and CoC certification against PEFC ST or AS4707.
3.7 / p.10 and 10.2 / p.31	Notification procedures partly conform to PEFC requirements. The contract does not require that certification bodies control the PEFC logo use of license holder.	Does this “partly” conformance mean that there are certification bodies whose task is not to control the PEFC logo use of the license holder? If so, should the consultant make a proposal how to solve this?	Notification document shall be updated with a

Report chapter / page	Consultant's report statement	PoE member comment	Consultant's response
		<b>Specific content related comments</b>	
			reference to NZ4708 standard as well.
4.3 / p.15	Content of the Box 4.1	Also the term "partly conforms" is used (p. 10)	"Partly conforms" in the text is changed to "does not confirm" aligned with PEFC guidance
5.1 / p.16	One box in figure 5.1	Instead of "ASBO", shall be "ASBDO"	Corrected
5.2 / p.18	second paragraph, first line	"that" two times	Corrected
5.3.1 / p.20	Content of table 5.4	No environmental organizations took part in NZ? – Why is it so? - any comments of the consultant on this?	The NZ standard adaptation was focused on updating technical references and aligning of standard requirements with national legislation e.g. on indigenous people's rights. Different stakeholders were consulted during the process.  Explanatory note added to the report p. 18
5.3.1 / 20	Table 5.4	In line nr. 3 the "category" is missing (education / university / ...)	"Academia" added
7.2 / p.23	... it shall be implemented and reviewed and periodically.	misprint (remove the second "and")	"and" removed
7.2 /pp.25-26	<b>Conforms to PEFC Checklist Part III requirements 5.6.1 - 5.6.13.</b> New Zealand has not either ratified the Convention (C 87) on Freedom for Association. (on page 25)	On the pages 25-26 there are no explanations why the consultant has come to the conclusion "conforms", although the fact or NZ stands. (C 87 not ratified)	The text describe in general the standard requirements for "other socio-economic functions and conditions" and thus demonstrate compliance. Specific reference to Australian and NZ legislation justifies the compliance despite of the fact that the countries are not signatory to ILO C169. Added a sentence: National legislation in Australia and New Zealand assure the compliance with the core requirements of ILO C 138 and ILO C 87 in

Report chapter / page	Consultant's report statement	PoE member comment	Consultant's response
		<b>Specific content related comments</b>	
			certified forest management.
10.2 / 31	The contract does not require that certification bodies control the PEFC logo use of license holder.	Wouldn't such a requirement be useful to make clear that the logo usage has to be controlled by CBs? Especially regarding the fact that provisions for logo usage and control is not too clearly regulated in this system.	As described in Section 9.2 the AFCS requires in practice logo use control through accreditation against PEFC ST 2003:2012. In addition AFS has taken action through a Directive to strengthen the logo use control in the scheme. In section 9.2 gaps in the logo use control are listed as a non-conformity. No change is made to the report.
12.2 / p.35	National questionnaire on standard revision process launched in 2010 was sent to the 50 interest groups invited to participate in the process. Only three replies were received in 2014. The reason for the low rate of replies is apparently the time gap between the revision work and this assessment and the subsequent changes in staffing in the listed organisations.		
Checklist Part III / 33	4.1.c: Box with reference to scheme documentation is not completed.	No reference to scheme documentation is given.	Reference to AS4708 and NZ AS 4708 added

Report chapter / page	PoE member	Consultant's report statement	PoE member comment	Consultant's response
			<b>Editorial comments</b>	
5.1 / 17	Cz	First line: „... Australia is responsible the oversight, ...“	Must read: „... Australia is responsible <u>for</u> the oversight, ...“	Corrected
6 / 22	Cz	Second line: „... has an guidance note ...“	Must read: „... has <u>a</u> guidance note ...“	Corrected
7.2 / 23	Cz	“...it shall be implemented and reviewed periodically.“	Should read: “...it shall be implemented and <u>reviewed periodically.</u> “	Changed: The plan shall have clear management objectives and it shall be implemented and periodically reviewed
10.1 / 31	Cz	Bullet 3: In forest certification auditors shall use information external parties, which is not required in PEFC chain of custody certification	Should read: In forest certification auditors shall use information <u>of</u> external parties, which is not required in PEFC chain of custody certification	Corrected
Checklist Part III / 41	Cz	5.2.9, line 1	Not readable due to editing / printing error	Changed: AFS Ltd has asked a sub-committee of the AS4708 SRC to draft the interpretation of the specific cases where the mentioned toxic chemical may be used and specify the AS4708 standard <u>accordingly</u>
Checklist Part IV / 69	Cz	Question 15: In addition, few forest managers use the logo on-product and therefore there	Should read: In addition, few forest managers use the logo on-product and therefore <u>the</u> (or	Corrected with “their”

Report chapter / page	PoE member	Consultant's report statement	PoE member comment	Consultant's response
			<b>Editorial comments</b>	
		compliance with logo use rules is much simpler to monitor.	<u>their</u> ) compliance with logo use rules is much simpler to monitor.	



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