



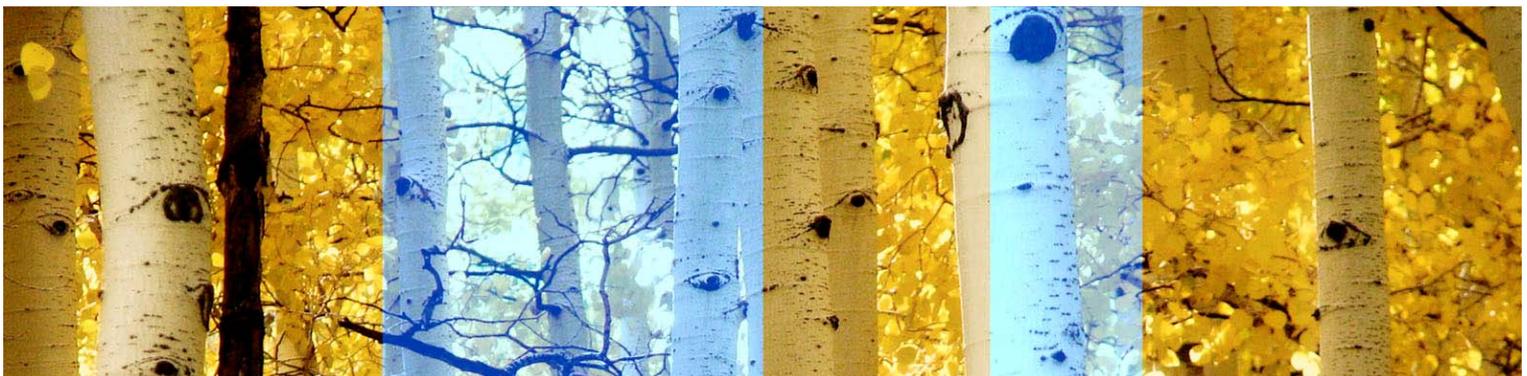
**Indufor** ...forest intelligence

PEFC Council

## **Evaluation and Assessment of the PEFC Certification System Netherlands against the Requirements of the PEFC Council**

Final Report

Helsinki  
August 07, 2012





**Indufor**

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## **ABBREVIATIONS**

AVIH	The Dutch Association of Forest Contractors and Roundwood Processing Industries
CoC	Chain of custody
EA	European cooperation for Accreditation
ENGOS	Environmental organizations
FPG	The Federation of Private Forest Owners
IAF	International Accreditation Forum
ILO	International Labor Organization
ISO	International Organization for Standardization
NA	Not Applicable
NGO	Non-governmental Organization
PEFC	Programme for the Endorsement of Forest Certification schemes
PEFCC	PEFC Council
PEOLG	Pan-European Operational Level Guidelines
SFM	Sustainable Forest Management
ST	Standard
TD	Technical Document
VNP	The Royal Association of Dutch Paper and Board Industries

## EXECUTIVE SUMMARY

### ***1. Independence of standard setting process conforms to PEFC requirements***

The Standard setting process has been independent, and it has been carried out at national level. The standard setting process conforms to PEFC requirements.

The Board of Directors of PEFC Netherlands established the National Forum for standard development and revision. The Forum for standard setting was composed of five interest groups: 1) forest owners and managers, 2) supply chain from harvest to end-users, 3) non-wood users of the forest, 4) ENGOs (environmental organizations) and, 5) employers and trade unions.

All stakeholders of NGO and non-wood forest user interest groups either declined the invitation (ENGOs) or withdrew from the process in its early stages due to time constraints.

The first Forum meeting established an informal working group or “core group” of the Forum to take the responsibility of the standard drafting. The draft standard, developed by the core group, was sent for comments to all Forum members.

After the public consultation and pilot testing the Standard was sent for final approval of the Forum in September 2011. The PEFC Netherlands General Assembly gave its final, formal approval for the PEFC Certification System Netherlands in November 2011.

### ***2. Participatory process conforms to PEFC requirements***

The Standard setting has been transparent and participatory and it conforms to PEFC requirements.

The standard drafting process has been communicated within the Forum and also to the public by publishing the minutes of Forum meeting on PEFC Netherlands website. The public consultation has been arranged following the PEFC requirements. Comments received from public consultation were objectively analysed and discussed in a Forum and the analysis and changes made as a result of the consultation have been made public through PEFC Netherlands website.

The invited interest groups represent main key stakeholder groups but the scientific community was not invited to the standard setting process. However, according to the interviewed Forum members, Forum members represented sufficient environmental knowledge and awareness.

The Standard setting procedures have been revised in July 2012 and Science (research institutions and universities) were included among the interest groups. New revised procedures will be applied in the standard revision.

Decision making has been based on consensus building as required by the PEFC guidelines.

### **3. Levels of implementation conforms to PEFC requirements**

The level of implementation under the PEFC Netherlands standards conforms to PEFC requirements. Criteria are relevant to the forests and management systems they have been elaborated for and they are applicable at individual and group levels.

Requirements for group managers and group members are clear and comply with the PEFC requirements.

However, monitoring and review requirements for group manager are not described in such a detailed level as the current PEFC Standard requires (PEFC ST 1002:2010). The PEFC Standard development in the Netherlands was a lengthy process and the revised PEFC Standards came into effect in the middle of PEFC Netherlands Standard development. The documents should have been carefully checked against revised PEFC requirements before their final approval. The general requirement of monitoring and review is now in place but it does not describe specific requirements for coverage.

### **4. Performance requirements conform to PEFC requirements**

Particularly private forest estates are generally very small in the Netherlands. Requirements set for a forest owner have to be reasonable and take into consideration the scale of forest operations.

Criteria for forest management conform to PEFC requirements. Minor partial conformities were found in compliance with Criterion 5 of the PEFC ST 1003:2010.

The Standard does not specify means how the quality of watercourses, wells, brooks and fens shall be maintained and legislation only requires that watercourses are kept free from branches during operations. Guidance and requirements on e.g. buffer zones would make it clearer to implement and audit.

The Standard requires that relevant knowledge from third parties, including scientific community and latest research, shall be used for monitoring and evaluation of forest management. However, the Standard does not require contributions to research activities and their data collection. Considering the size of an average (private) forest estate the requirement is not critical in Netherlands' context.

*The Consultant recommends that in the Standard revision concrete means to protect natural waters and requirement to provide information for research activities would be included in the Standard.*

*Most of the standard requirements are given at rather general level and the standard review process should carefully assess experiences gathered during the first five years of implementation and consider if additional guidelines or more detailed requirements are needed.*

## **B Recommendations to the PEFC Council:**

Indufor recommends that the Board of Directors recommends the PEFC Council to endorse the PEFC Certification System Netherlands Scheme.

## **1. INTRODUCTION**

The PEFC National Governing Body in the Netherlands, PEFC Netherlands, has applied to the PEFC Council for the assessment of its “PEFC Certification System Netherlands” against the PEFC Minimum Requirements by an independent assessor. The objective of the conformity assessment is to evaluate the compliance of the standard setting procedures and the applicant scheme “PEFC Certification System Netherlands” with the relevant PEFC requirements. The assessment covers all elements of conformity evaluation including standard setting procedures, procedures for scheme implementation, certification and chain of custody verification etc.

Indufor was assigned to carry out the independent conformity assessment and this assessment report shall form an objective basis for the decision making process of the PEFC Council (Annex 7 of the PEFC Council Technical Document).

### **1.1 Development process**

Association of PEFC Netherlands was established in 8 May 2008. The initiative for PEFC certification came from several forest organisations, the Dutch Association of Forest Contractors and Roundwood Processing Industries (AVIH), the Royal Association of Dutch Paper and Board Industries (VNP) and the Federation of Private Forest Owners (FPG) which saw PEFC forest certification necessary to increase supply of certified wood in Dutch markets. PEFC Chain of Custody certification had been implemented in the Netherlands already with the support of PEFC Luxemburg. In 8 August 2008 PEFC Netherlands was approved as a member of the PEFC Council.

The Standard setting procedures of PEFC Netherlands were drafted by PEFC Netherlands on the basis of experiences from several other PEFC certification systems. PEFC Netherlands Board of Directors identified the interest groups and stakeholders to be invited in the standard setting and sent the invitation in January 2009. The National Forum for standard setting had its first meeting in March 2009.

The PEFC Certification System Netherlands consists of a set of nationally applicable documents. The standard includes the following normative documents: Guidelines for PEFC Notification of Certification Bodies, PEFC Standard Netherlands (forest management), Implementation of Forest Management Certification, Chain of Custody of Forest Based Products Requirements, Certification Procedures, Standard Setting Procedures, PEFC Logo Usage Rules and, College of Appeal Procedures.

The documents were developed by an open Forum, representing key organisations involved in sustainable management of forests in the Netherlands. The documents prepared were subsequently submitted to public consultation and the results were validated by the Forum in August 2011.

The Board of Directors submitted the complete certification system documentation to the General Assembly of PEFC Netherlands on 24 November 2011 for validation.

The certification system, developed in a transparent and participatory dialogue, was submitted to the PEFC Council for assessment and approval on 11 January 2012.

## **1.2 Reporting**

This Final draft report analyses the conformity of the PEFC Certification System Netherlands and its development and implementation procedures. The Standard is analysed against PEFC GL 2/2011 (minimum requirements checklist) and revised PEFC Standards (PEFC ST 1001:2010, 1002:2010 and 1003:2010).

The Interim assessment report was sent to PEFC Netherlands in June 28<sup>th</sup> 2012. This Final draft report is formulated after considering PEFC Netherlands comments and any relevant additional evidence. This report will be submitted to PEFC Netherlands and PEFC Council who will send it to the PEFC Panel of Experts. The Panel of Experts provides comments on the scope and consistency of the report. The comments received and Consultant's responses will be taken into consideration and presented in Annex 5 to the Final report.

Chapters 4 and 5 of this report present the conformity of standard setting process with the PEFC requirements, Chapter 6 evaluates the standard implementation rules and Chapter 7 reviews the compliance of the standard performance requirements. Chapter 10 discusses the process used to find stakeholder views on the standard and its development and the feedback received. Recommendations to the PEFC Council for the endorsement decision are given in Chapter 2.

## **2. RECOMMENDATIONS TO PEFC COUNCIL**

Even though some partial non-conformities were found during the assessment process they are considered minor. Absence of the scientific community in the standard setting Forum has not endangered transparency and expertise of the standard setting. New revised Standard Setting Procedures to be applied in the standard revision include "Science" as one interest group of the Forum. Remaining partial conformities should be considered in the standard revision.

Indufor recommends that the Board of Directors recommends the PEFC Council to endorse the PEFC Certification System Netherlands Scheme.

### **3. MATERIAL AND METHODS**

#### **3.1 Material**

The conformity assessment of the PEFC Certification System Netherlands is based on the following scheme documentation:

##### **Normative documents:**

- PCSN I - PEFC Standard Netherlands
- PCSN II - Implementation of Forest Management Certification
- PCSN III - Chain of Custody of Forest Based Products – Requirements (PEFC ST 2002:2010)
- PCSN IV - Certification Procedures
- PCSN V - Standard Setting Procedures
- PCSN VI - PEFC Logo Usage Rules – Requirements (PEFC ST 2001:2008)
- PCSN VII - College of Appeal Procedures
- PCSN VIII - Scheme Description
- PCSN IX – Complaints Procedure

##### **Additional documents:**

Guideline - PEFC Notification of Certification Bodies operating certification in the Netherlands

##### **Descriptive documents:**

- PEFC Council Minimum Requirements Checklist 2010-02-04
- Summary of the Standard Setting Process

In addition, supportive documentation (e.g. minutes of meetings) particularly on the standard development process have been used as reference material.

The conformity of the standard setting process and performance requirements of the PEFC Certification System Netherlands were assessed against the following PEFC Council requirements:

- PEFC ST 1001:2010, Standard Setting – Requirements
- PEFC ST 1002:2010, Group Forest Management Certification - Requirements
- PEFC ST 1003:2010, Sustainable Forest Management – Requirements
- PEFC GD1004:2009, Administration of PEFC scheme, chapter 8
- PEFC Council Technical Document, chapter 8 and Annex 6 (Certification and Accreditation Procedures)
- PEFC ST 2002:2010, Chain of Custody of Forest Based Products – Requirements
- PEFC Council minimum requirements checklist (GL 2/2011). Part I on standard setting, Part II on group forest management certification, Part III Sustainable Forest Management, and Part IV Certification and Accreditation Procedures.

#### **3.2 Methods**

The main part of the assessment was done as a desk study based on the documentation listed above and on the feedback received from the stakeholders and on the addi-

tional clarification provided by PEFC Netherlands. In addition the Consultant carried out a field visit to the Netherlands from 19 to 21 June 2012 to meet selected key stakeholders and collect further verification on compliance with the PEFC requirements. In addition Indufor sent questionnaires to 44 stakeholders to inquire their views on the standard setting process and on its performance. Altogether only 3 answers were received. The questionnaire is presented in Annex 3.

The results of the conformity analysis are presented in detail in Annex 1. For standard setting the assessment includes a separate conformity evaluation to PEFC requirements for (i) scheme documentation and (ii) the activities and procedures implemented in the practical standard development. The conclusions on the conformance are presented in this report.

The following grading of conformity levels is used in the assessment (Box 3.1).

**Box 3.1 Assessment scales used in conformity evaluation**

**Yes**

Scheme document / implemented practice conforms to PEFC requirement

**Partly**

Scheme document / implemented practice conforms to some elements of the requirement or to all elements but not in a fully satisfactory level

**No**

Scheme document / implemented practice does not conform to the requirement.

**Na** Not applicable

**Only the positive conclusion on the conformity, “yes” is considered to meet the PEFC requirements.** The Scheme elements not conforming or partially conforming to the requirements are classified as not meeting the level set for the endorsed Schemes.

## **4. STANDARD SETTING FOR CERTIFICATION**

### **4.1 Organization of standard setting**

#### **4.1.1 Stakeholder process**

According to the procedures described in the Statutes of the PEFC Netherlands and in the standard setting procedures of PEFC Certification System Netherlands, the Board of Directors of PEFC Netherlands established the National Forum for standard development and revision.

The Forum is composed of five (5) interest groups each having one vote. The Board of Directors identified interest groups and determined the group where Forum participants belong to. The Board also invited the stakeholders to participate in the Forum. The following interest groups were identified for the standard setting: 1) forest owners and managers, 2) supply chain from harvest to end-users, 3) non-wood users of the forest, 4) ENGOs and, 5) employers and trade unions.

PEFC Netherlands had a launching meeting in November 2008 where the standard setting procedures and process were introduced. After the meeting PEFC Netherlands published the presentation also on their website. The first Forum meeting was in March 2009.

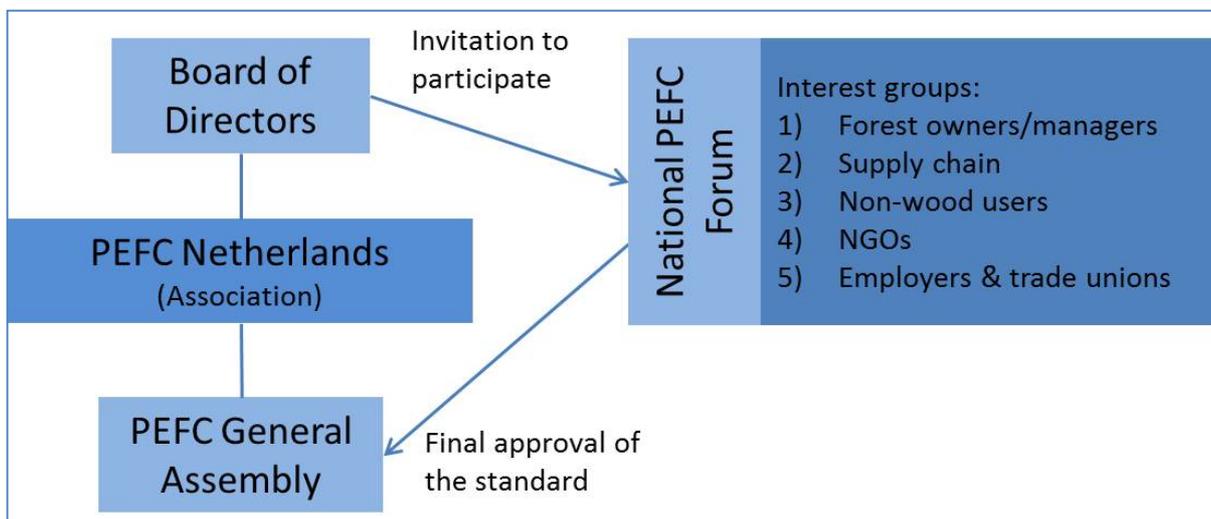
All stakeholders of NGO and non-wood forest user interest groups either declined the invitation (NGOs) or withdrew from the process in its early stages due to time constraints.

The first Forum meeting established an informal working group or “core group” of the Forum to take the responsibility of the standard drafting. The core group was formed by the stakeholders who volunteered to this task. The draft standard, developed by the core group, was sent for comments to all Forum members usually by email because only a limited number of Forum members attended formal meetings.

After the public consultation, revision of the standard based on the comments received from the public consultation, and pilot testing the Standard was sent for final approval of the Forum in September 2011. The PEFC Netherlands General Assembly gave its final, formal approval for the PEFC Certification System Netherlands in November 2011.

The Standard setting responsibilities are described in the Figure 4.1.

**Figure 4.1 Organization of the PEFC Standard setting in the Netherlands**



#### 4.1.2 Transparency and Consultation

The Forum responsible for the PEFC Netherlands development work was formed on the basis of invitation. January 2009 invitation letters were sent to the identified stakeholders according to a stakeholder list collected by the Board of Directors. Invited stakeholders were asked to confirm their participation by sending a confirmation to PEFC Netherlands. All organizations who returned the confirmation were accepted as Forum members.

In addition, PEFC Netherlands had information on the PEFC Netherlands launching and standard setting procedures and process available on their website.

The standard drafting was communicated and discussed openly with the Forum members and the draft standard was open for public consultation for 61 days in April-June 2011. The start of the public consultation was communicated to the public through PEFC Netherlands website and newsletter. The draft Standard was also directly sent to key stakeholders for comments. Received comments, Forum response to the comments and revisions made to the standard as a result of consultation were communicated to the public through PEFC Netherlands website.

The final Standard approved first by the Forum and then formally by PEFC Netherlands General Assembly, is available at the PEFC Netherlands website.

#### 4.1.3 Pilot Testing

Pilot testing of the PEFC Standard was organised after the public consultation and subsequent revisions of the draft standard, in April-May 2011. The piloting was carried out in forests of one micro forest owner and one large forest owner (municipality). The pilot testing found the Standard to be auditable and practical and the auditors gave only a few recommendations for the standard revision. These recommendations were discussed among the core group of the National Forum. Final revisions were made on



the basis of recommendations and then the Standard was sent for the final Forum approval.

## 5. CONFORMITY TO PEFC COUNCIL CHECKLIST (PART I)

### 5.1.1 Standard setting (PEFC ST 1001:2010)

The conformity of the PEFC Certification System Netherlands is assessed against the current PEFC requirements in force (PEFC ST 1001:2010).

4.1 The standardising body shall have written procedures for standard-setting activities describing:

- (1) 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)

#### Conclusion 1

##### Procedures conform to the PEFC requirements

Articles of Association describe the PEFC Netherlands **structure, membership, board structure and decision-making** by the board which is based on absolute majority (majority of all directors, not just those who voted).

The Board of Directors of PEFC Netherlands establishes the National Forum for standard development and revision (PCSN V; 3).

**The consensus building** is based on five (5) interest groups each having one vote. The Board of Directors determines the group where Forum participants belong to (PCSN V; 4).

**The National Forum's decision making is based on consensus as specified in PEFC Guideline 5/2006.** If consensus is not achieved the voting rules are applied (PCSN V; 5.3). 4 votes out of 5 are needed, or 3 out of 5 in case at least one interest group withholds its vote.

The formal approval of the standard by the National Forum is based on consensus and written proof is required to proof the consensus. Formal approval of the standard is given by the general assembly of PEFC Netherlands. (PCSN V; 6.2 & 6.7)

- (2) b) the record-keeping procedures

#### Conclusion 2

##### Procedures conform to the PEFC requirements

Articles of association require that in each PEFC Netherlands board meeting minutes are written and approved (AA 10.4).

The standard documents do not directly require that records are kept of the National Forum meetings but they have been kept in practise as a standard meeting procedure. Written proof is required of the National Forum's consensus for the formal approval of the standard.

Comments received from the public consultation, Forum's response and any changes made as a consequence will be made public, as well as all

other information (including minutes) will be made public on PEFC Netherlands website or by request.

(3) c) *the procedures for balanced representation of stakeholders*

### **Conclusion 3**

#### **Procedures conform to the PEFC requirement**

The composition of the National Forum shall be balanced and none of the interest groups can dominate the process. There were 5 interest groups and each Forum participant is directed to an interest group by the Board of Directors already for the invitation phase.

During the standard setting the interest groups were 1) Forest owners and managers, 2) supply chain from harvest to end-user, 3) non-wood users of the forest, 4) NGOs, and 5) employers and trade unions.

The Standard Setting Procedures have been revised in July 2012 and one additional interest group, Science (research institutions and universities) was included among the interest groups.

#### **Practice partly conforms to the PEFC requirement**

A wide range of relevant representative organisations from all identified interest groups was invited to participate in the Standard setting. Six (6) NGOs were identified and invited to participate in the National Forum but they all declined the invitation, similarly all non-timber forest users declined the invitation.

*Consultants comment: Research organizations were not represented in the standard setting. Participation in the Forum was based on a formal, individual invitation by organisation. Stakeholders could not apply for participation. However, taking into consideration the general level of interest to participate in the standard setting in the Netherlands, representativeness and commitment in the standard setting are more easily achieved by inviting organizations individually.*

(4) d) *the standard-setting process*

### **Conclusion 4**

#### **Procedures conform to the PEFC requirement**

PCSN V describes the Standard setting process at general level (Forum) including decision making and public consultation procedures but does not describe the role and working procedures of the Working Group.

*Consultant's comment: In principle the National Forum may organise its means to work as seen practical but if e.g. working groups are formed, they should have also balanced representation of interest groups. In practise the most active Forum members formed a "working group" which then*

*called for comments and approval of drafts from the Forum as a whole – often by email communication.*

(5) e) *the mechanism for reaching consensus*

#### **Conclusion 5**

##### **Procedures conform to the PEFC requirement**

During the National Forum's decision making was based on consensus as specified in PEFC Guideline 5/2006. If consensus was not achieved the voting rules were applied (PCSN V; 5.3). 4 votes out of 5 were needed, or 3 out of 5 in case at least one interest group withholds its vote. In the revised Standard Setting Procedures (July 2012) consensus building is based on PEFC ST 1001:2010.

The formal approval of the Standard by the general assembly of PEFC Netherlands is based on absolute majority.

(6) f) *revision of standards/normative documents*

#### **Conclusion 6**

##### **Procedures conform to the PEFC requirement**

PEFC Netherlands Standard Setting Procedures require a periodical revision of the PEFC Netherlands standard and normative document every 5 years. The Board of Directors is responsible for assembling the National Forum for Standard revision. PEFC Council shall be informed of any changes in the PEFC Netherlands standard setting and implementation done on the basis of changes in PEFC Council procedures/requirements.

(7) 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.*

#### **Conclusion 7**

##### **Procedures conform to the PEFC requirements**

All information related to the standard setting or revision shall be published either on PEFC Netherlands website or upon request. Feedback received from the public consultation as well as changes made to the standard draft shall also be made public.

##### **Process conforms to the PEFC requirements**

The Standards Setting Procedures (PCSN V) are available at the PEFC Netherlands website as well as the Minutes of the Forum meetings.

PEFC Netherlands newsletter has reported developments of the Standard setting process, including the initiation of the public consultation.

- (8) 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.*

#### **Conclusion 8**

##### **Procedures conform to the PEFC requirement**

The Standard (revised PCSN V – July 2012) requires that all relevant records are kept for at least five years. The Standard also requires that all information related to the standard setting or revision shall be published either on PEFC Netherlands website or upon request.

##### **Process conforms to the PEFC requirements**

Invitation letters and responses from stakeholders are recorded. Minutes are available of all Forum meetings. Communication (discussions and approvals) between Forum members over email are also recorded.

Comments received from the public consultation are recorded and made available.

- (9) 4.4. *The standardising body shall establish a permanent or temporary working group/committee responsible for standard-setting activities.*

#### **Conclusion 9**

##### **Procedures conform to the PEFC requirements**

The Standard Setting Procedures describe the responsibilities of the Board of Directors in establishing the Forum for Standard setting/revision.

##### **Process conforms to the PEFC requirements**

PEFC Netherlands, together with the independent Chairman of the National PEFC Forum, identified the relevant stakeholders to be invited in the Forum in 12/2008 and the Board sent invitations to the first meeting in January 2009.

In the first Forum meeting those stakeholders who expressed their willingness and commitment to actively participate in the standard development formed a core group responsible for the standard setting. Other non-active members were informed of the process development and they were asked for comments and approval for drafts and the final standard.

In addition to the core group, a separate working group was nominated in the first forum meeting to analyse the legislative basis in the Netherlands against PEOLG requirements and identify gaps.

*(10)4.4 a) The working group/committee shall be accessible to materially and directly affected stakeholders*

#### **Conclusion 10**

##### **Procedures partly conform to the PEFC requirements**

The Standard Setting Procedures require balanced representation of all interest groups. The Standard Setting/Revision Forum is established on the basis of invitation of relevant stakeholders, identified by PEFC Netherlands. During the standard setting interest groups included: 1) forest owners and managers, 2) supply chain from harvest to end-users, 3) non-wood users of the forest, 4) NGOs (environmental organizations) and, 5) employers and trade unions.

*Research organizations and universities were not included in the identified stakeholders. Only invited stakeholders could participate in the standard setting Forum.*

The Standard Setting Procedures have been revised in July 2012 and Science (research institutions and universities) included as one interest group. According to the revised procedures stakeholders may also apply for Forum membership if not directly invited.

##### **Process partly conforms to the PEFC requirements**

43 stakeholders were identified and invited to the Standard Setting Forum and 23 positive replies were received. All ENGOs rejected the invitation. Scientific community was not included among the interest groups.

During the process some of the Forum members withdrew from the work due to time constraints or lack of interest and finally there were 17 Forum members.

*(11) 4.4 b) The working group/committee shall 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*

#### **Conclusion 11**

##### **Documentation conforms to the PEFC requirements**

The Standard Setting Procedures require balanced representation of all interest groups. The Standard Setting/Revision Forum is established on the basis of invitation of relevant stakeholders, identified by PEFC Netherlands. During the standard setting interest groups included: 1) forest owners and managers, 2) supply chain from harvest to end-users, 3) non-wood users of the forest, 4) NGOs (environmental organizations and, 5) employers and trade unions.

Research organizations and universities were not included in the identified stakeholders.

The Standard Setting Procedures have been revised in July 2012 and Science (research institutions and universities) included as one interest group. According to the revised procedures stakeholders may also apply for Forum membership if not directly invited.

#### **Process conforms to the PEFC requirements**

43 stakeholders from the 5 groups listed in the process description were identified and invited to the Standard Setting Forum. 23 positive replies were received but all environmental NGOs rejected the invitation.

During the process some of the Forum members withdrew from the work due time constraints or lack of interest and finally there were 17 Forum members.

*(12) 4.4 c) The working group/committee shall 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.*

#### **Conclusion 12**

##### **Procedures partly conform to the PEFC requirements**

The Standard Setting Procedures require balanced representation of all interest groups The Standard Setting/Revision Forum is established on the basis of invitation of relevant stakeholders, identified by PEFC Netherlands. During the standard setting interest groups included: 1) forest owners and managers, 2) supply chain from harvest to end-users, 3) non-wood users of the forest, 4) NGOs (environmental organizations and, 5) employers and trade unions. *Research organizations and universities were not included in the identified stakeholders.*

The Standard Setting Procedures have been revised in July 2012 and Science (research institutions and universities) are now included as one interest group.

##### **Process conforms to the PEFC requirements**

43 stakeholders from the 5 groups listed in the process description were identified and invited to the Standard Setting Forum. 23 positive replies

were received but all environmental NGOs rejected the invitation. Those materially affected represent a justifiable segment of participants. During the process some of the Forum members withdrew from the work due to time constraints or lack of interest and finally there were 17 Forum members. Scientific community was not represented in the Forum. However, **the Forum members saw that there were experts among the active member of the Forum who provided the standard development with sufficient environmental awareness and knowledge.**

The Standard Setting Procedures have been revised in July 2012 and Science (research institutions and universities) are now included as one interest group.

*(13) 4.5 The standardising body shall establish procedures for dealing with any substantive and procedural complaints relating to the standardising activities which are accessible to stakeholders.*

#### **Conclusion 13**

##### **Procedures conform to the PEFC requirements**

The PEFC Certification System Netherlands includes “College of Appeal Procedures” and “Complaints Procedure”. Complaints Procedure describes procedures for complaints on standard setting and “College of Appeals” procedure is applied to complaints on any PEFC Netherlands Board of Directors decisions.

The College of Appeal is completely independent from PEFC Netherlands and includes three members appointed by the Board for four years at a time. College of Appeal handles appeals on certification and also complaints on standard setting which are not solved through the “Complaints Procedure” (PCSN XI).

##### **Process conforms to the PEFC requirements**

The College of Appeal has been established and four independent expert members have been nominated as members.

*(14) 4.5 a) Upon receipt of the complaint, the standard-setting body shall acknowledge receipt of the complaint to the complainant*

#### **Conclusion 14**

##### **Procedures conform to the PEFC requirements**

The College of Appeal shall inform the appellant on the receipt of the letter in writing without delay. If the appeal letter does not fulfil the requirements, appellant is requested to adapt the letter within two weeks.

##### **Process conforms to the PEFC requirements**

No complaints have been received on standard setting.

*(15)4.5 b) Upon receipt of the complaint, the standard-setting body shall 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*

#### **Conclusion 15**

##### **Procedures conform to the PEFC requirements**

The PEFC Netherlands bureau will investigate the complaint and seek resolution. The process may include also direct discussions with the complainant. The finding and proposed resolution are sent to the Board of Directors and the complainant. Board of Directors will make a decision based on the recommendations and will inform the complainant in writing of the decision. Complainant may file an appeal on the decision in case he/she disagrees on the Board of Directors decision.

According to the Appeals Procedure PEFC Netherlands has four weeks to defence.

All parties are heard and all related material is documented and material is given to the parties.

Parties have a right to hear any informants in a hearing and the College of Appeal has a right to hear informants, consult experts and arrange hearings as seen necessary for a good judgment.

##### **Process conforms to the PEFC requirements**

No complaints have been received.

*(16)4.5 c) Upon receipt of the complaint, the standard-setting body shall formally communicate the decision on the complaint and of the complaint handling process to the complainant*

#### **Conclusion 16**

##### **Procedures conform to the PEFC requirements**

The standard-setting body shall formally communicate the decision and the complaint handling process to the complainant.

When the appeals procedure is applied, the Parties shall be informed of the handling of an appeal in writing. The judgment shall be sent to all parties.

##### **Process conforms to the PEFC requirements**

No complaints have been received.

*(17) 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.*

**Conclusion 17**

**Procedures conform to the PEFC requirements**

This was not a requirement in PEFC Council Technical Documentation in force when the standard setting started (PEFC Council Technical Document, chapter 5; Annex 2 – Rules for Standard Setting). In the revised Standard Setting Procedures bureau of PEFC Netherlands is given as the central point of contact.

**5.1.2 Standard setting process**

*(18) 5.1 The standardising body shall identify stakeholders relevant to the objectives and scope of the standard-setting work.*

**Conclusion 18**

**Procedures partly conform to the PEFC requirements**

The Standard Setting Procedures require balanced representation of all interest groups. The Standard Setting/Revision Forum is established on the basis of invitation of relevant stakeholders, identified by PEFC Netherlands. During the standard setting process interest groups included: 1) forest owners and managers, 2) supply chain from harvest to end-users, 3) non-wood users of the forest, 4) NGOs (environmental organizations) and, 5) employers and trade unions. Research organizations and universities were not included in the identified stakeholders.

The Standard Setting Procedures have been revised in July 2012 and Science (research institutions and universities) are now included as one interest group

**Process conforms to the PEFC requirements**

43 stakeholders from the 5 groups listed in the process description were identified and invited to the Standard Setting Forum. 23 positive replies were received but all environmental NGOs rejected the invitation. The scientific community was not represented in the standard setting. However, the interviewed Forum members saw that there were experts among the active member of the Forum who provided the standard development with sufficient environmental awareness and knowledge. The legislative basis for environmental protection and conservation is also strong in the Netherlands.

*(19) 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.*

**Conclusion 19**

### **Procedures conform to the PEFC requirements**

The Standard Setting Procedures do not specifically address disadvantaged stakeholders but in the country context this does not have true significance. Main key stakeholder groups have been identified even though the scientific community was not included in the identified stakeholders/interest groups. The stakeholders include 1) Forest owners and managers, 2) supply chain from harvest to end-user, 3) non-wood users of the forest, 4) NGOs (environmental organisations), and 5) employers and trade unions.

### **Process conforms to the PEFC requirements**

There are no truly disadvantaged stakeholder groups in the Netherlands. Stakeholders from all five groups were identified and invited to the Standard Setting Process.

*(20) 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.*

## **Conclusion 20**

### **Procedures conform to the PEFC requirements**

The PEFC Netherlands Board (the standardising body) announces the start of the standard setting through the PEFC Netherlands website and newsletter. Participation is based on invitation from the PEFC Netherlands. The list of participating organizations is also published through the website.

### **Process conforms to the PEFC requirements**

A presentation on standard setting objectives and procedures was given in the PEFC Netherlands General Assembly meeting in December 2008 and at the same time a press release was given with similar contents.

PEFC Netherlands website announcement was not available due to changes made on the website a year and a half ago. According to PEFC Netherlands an announcement was also given on their website. Participation is based on invitation from the PEFC Netherlands and separate invitation letters were sent to identified stakeholders.

*Consultant's comment: Invitation based participation in the Forum has been justifiable to achieve wider representation and active participation in the Forum. The revised standard setting procedures (July 2012) allow any national interest group to apply for Forum membership.*

*(21) a) 5.3 The announcement and invitation shall include information about the objectives, scope and the steps of the standard-setting process and its timetable*

## **Conclusion 21**

**Procedures conform to the PEFC requirements**

The Standard Setting Procedures require that the Board shall announce the start of the standard setting/revision process through the website and newsletter of PEFC Netherlands. The procedures do not specifically require that the announcement must include information about the objective, scope and steps of the standard setting process.

The requirement was not included in PEFC requirements valid at the time of the start of the Standard setting process (Annex 2 – Rules for Standard Setting).

**Process conforms to the PEFC requirements**

The presentation on the standard setting objectives and procedures given in the PEFC Netherlands General Assembly meeting in December 2008 and the following press release described the objectives, scope and schedule of the standard setting.

The Standard setting procedures which describe in detail the scope and steps for standard setting process were also made available at PEFC Netherlands website.

The requirement was not included in PEFC requirements valid at the time of the start of the Standard setting process (Annex 2 – Rules for Standard Setting).

*(22) b) 5.3 The announcement and invitation shall include information about opportunities for stakeholders to participate in the process*

**Conclusion 22**

**Procedures conform to the PEFC requirements**

Standard setting procedures describe the stakeholder invitation and public consultation processes.

**Process conforms to the PEFC requirement**

Standard setting procedures which describe invitation and public consultation process have been available at PEFC Netherlands website.

*(23) c) 5.3 The announcement and invitation shall include 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*

**Conclusion 23**

**Procedures conform to the PEFC requirement**

Procedures stipulate that all relevant interest organizations are invited and the participation in the Forum should preferably be by representative organizations.

An interest group is allowed to be accompanied by expert(s).

**Process conforms to the PEFC requirement**

The invitation letter requested the stakeholder organizations to nominate their representative(s) to the standard setting forum.

Standard setting procedures which describe invitation and public consultation process are available at PEFC Netherlands website. The procedures are clear and easy to understand.

*(24) d) 5.3 The announcement and invitation shall include an invitation to comment on the scope and the standard-setting process*

**Conclusion 24**

**Procedures conform to the PEFC requirement**

The Standard Setting Procedures require that the Board shall announce the start of the standard setting/revision process through the website and newsletter of PEFC Netherlands.

The procedures do not specifically require that the announcement must include an invitation to comment on the scope and the standard- setting process.

The requirement was not included in PEFC requirements valid at the time of the start of the Standard setting process (Annex 2 – Rules for Standard Setting).

**Process conforms to the PEFC requirement**

The Invitation letter did not include an invitation to comment on the scope and the standard- setting process. Before the initiation of the standard setting work a preliminary seminar presented the standard setting scope and process and provided an opportunity for discussion. The first Forum meeting discussed the scope and procedures for standard setting and provided a commenting opportunity for Forum members.

Standard setting procedures which describe invitation and public consultation process are available at PEFC Netherlands website.

*(25)e) 5.3 the announcement and invitation shall include reference to publicly available standard-setting procedures.*

**Conclusion 25**

**Procedures conform to the PEFC requirements**

The Standard Setting Procedures do not specifically require that the announcement must include a reference to publicly available standard-setting procedures.

The requirement was not included in PEFC requirements valid at the time of the start of the Standard setting process (Annex 2 – Rules for Standard Setting).

**Process conforms to the PEFC requirements**

Standard setting procedures are available at PEFC Netherlands website.

*(26) 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.*

**Conclusion 26**

**Procedures conform to the PEFC requirement**

The requirement was not included in PEFC requirements valid at the time of the start of the Standard setting process (Annex 2 – Rules for Standard Setting).

**Process conforms to the PEFC requirement**

The announcement/invitation did not include instructions how to comment on the standard setting procedures. Procedures were introduced and discussed in the first Standard Setting Forum meeting.

The interest group setting remained the same despite of the absence of two identified interest groups.

The announcement/invitation did not include instructions how to comment on the standard setting procedures. Procedures were introduced and discussed in the first Standard Setting Forum meeting.

The requirement was not included in PEFC requirements valid at the time of the start of the Standard setting process (Annex 2 – Rules for Standard Setting).

*(27) a) 5.5 The work of the working group/committee shall be organised in an open and transparent manner where working drafts shall be available to all members of the working group/committee*

**Conclusion 27**

**Procedures conform to the PEFC requirement**

The Standard Setting Procedures do not require that drafts must be made available to all Forum members.

The requirement was not included in PEFC requirements valid at the time of the start of the Standard setting process (Annex 2 – Rules for Standard Setting).

**Process conforms to the PEFC requirement**

Standard drafts were included as an annex to Forum meeting invitations.

*(28) b) 5.5 The work of the working group/committee shall be organised in an open and transparent manner where 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*

**Conclusion 28**

**Procedures conform to the PEFC requirement/NA**

The Standard Setting Procedures do not describe how all Forum members are provided with opportunities to contribute to the Standard development.

The requirement was not included in PEFC requirements valid at the time of the start of the Standard setting process (Annex 2 – Rules for Standard Setting).

**Process conforms to the PEFC requirement**

According to the PEFC Netherlands standard drafts were included as an annex to Forum meeting invitations. All members were invited to Forum meeting where the drafts were discussed.

*(29) c) 5.5 The work of the working group/committee shall be organised in an open and transparent manner where 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*

**Conclusion 29**

**Procedures conform to the PEFC requirement**

The Standard Setting Procedures do not specifically describe how comments and views are handled and recorded in working group but includes a general requirement that all issued comments, the response by the Forum and subsequent changes to the standard will be made public by the Forum. The Standard also requires that any internal procedures for work shall be based on the principle of consensus.

**Process conforms to the PEFC requirement**

Comments and views of Forum participants have been discussed in Forum meetings and have been recorded in the minutes of the meetings. Some of the minutes are available at PEFC Netherlands website.

*(30) 5.6 a) The standardising body shall organise a public consultation on the enquiry draft and shall ensure that the start and the end of the public consultation is announced in a timely manner in suitable media*

### **Conclusion 30**

#### **Procedures conform to the PEFC requirement**

The Standard Setting Procedures require that the final version of the Standard is available for public consultation for at least 60 days but there are no specific instructions on the announcement procedures.

#### **Process conforms to the PEFC requirement**

A letter was sent to key stakeholders (dated 12 April 2012 – start of the public consultation period) and an announcement was given on PEFC Netherlands website and in PEFC Netherlands newsletter in a timely manner.

*(31)5.6 b) The standardising body shall organise a public consultation on the enquiry draft and shall ensure that the invitation of disadvantaged and key stakeholders shall be made by means that ensure that the information reaches its recipient and is understandable*

### **Conclusion 31**

#### **Procedures conform to the PEFC requirement**

The Standard Setting Procedures require that the final version of the Standard is available for public consultation for at least 60 days but there are no specific instructions for the announcement procedures.

The requirement was not included in PEFC requirements valid at the time of the start of the Standard setting process (Annex 2 – Rules for Standard Setting).

#### **Process conforms to the PEFC requirement**

There have been no specific procedures to invite disadvantaged stakeholder groups to public consultation but in the country context this is not a valid issue: stakeholder groups have access to information and capacities to understand it.

*(32)5.6 c) The standardising body shall organise a public consultation on the enquiry draft and shall ensure that the enquiry draft is publicly available and accessible*

### **Conclusion 32**

**Procedures conform to the PEFC requirement**

The Standard Setting Procedures require that the final version of the Standard is available for public consultation for at least 60 days.

**Process conforms to the PEFC requirement**

The final concept version has been available at PEFC Netherlands website during the consultation period. Newsletter April 2010 also included a link to the draft Standard and a form for comment.

*(33)5.6 d) The standardising body shall organise a public consultation on the enquiry draft and shall ensure that the public consultation is for at least 60 days*

**Conclusion 33**

**Procedures conform to the PEFC requirement**

The Standard Setting Procedures require that the final version of the Standard is available for public consultation for at least 60 days.

**Process conforms to the PEFC requirement**

The consultation period has been from 12 April to 11 June 2011 (61 days).

*(34)5.6 e) The standardising body shall organise a public consultation on the enquiry draft and shall ensure that all comments received are considered by the working group/committee in an objective manner*

**Conclusion 34**

**Procedures conform to the PEFC requirement**

The Standard requires that all comments issued and needs for changes are discussed and decided according to consensus procedures.

**Process conforms to the PEFC requirement**

The comments received and responses of the PEFC Forum on received comments and Forum's response to them have been collected in a table format included in the assessment documentation.

*(35)5.6 f) The standardising body shall organise a public consultation on the enquiry draft and shall ensure that a synopsis of received comments compiled from material issues, including the results of their consideration, is publicly available, for example on a website.*

**Conclusion 35**

**Procedures conform to the PEFC requirement**

The Standard Setting Procedures require that all received comments, Forum responses on them and any changes on the Standard as a result of comments are made public.

**Process conforms to the PEFC requirement**

The table including comments received and responses of the PEFC Forum on received comments has been published through the PEFC website.

*(36) 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.*

**Conclusion 36**

**Procedures conform to the PEFC requirement**

The Standard Setting Procedures require that pilot testing of the Standard is carried out before the final approval of the Standard. Results must be documented and improvement on the Standard shall be made if seen necessary on the basis of the pilot testing.

**Process conforms to the PEFC requirement**

The pilot testing was organized after the public consultation in April-May 2011. The results and recommendations of the pilot testing were discussed in a Forum meeting.

*(37)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.*

**Conclusion 37**

**Procedures conform to the PEFC requirement**

According to the Standard Setting Procedures the decision making “in the National PEFC Forum shall be based on consensus”.

**Process conforms to the PEFC requirement**

According to PEFC Netherlands the consensus was achieved and Forum members have given their written approval as a proof. The final approval was asked from all Forum members over email (due to time constraints and difficulties to arrange a meeting gathering all participants). All members who responded agreed on the final draft. Reminders were sent and Forum members were called to remind them to give their vote on the final draft.

(38) 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.

#### **Conclusion 38**

##### **Procedures conform to the PEFC requirement**

The Standard Setting Procedures refer to the PEFC ST 1001:2010 and its explanation on consensus building.

##### **Process conforms to the PEFC requirement**

Consensus building in the standard setting has followed the PEFC ST 1001:2010 description.

(39) 5.8 b) a telephone conference meeting where there is a verbal yes/no vote,

#### **Conclusion 39**

##### **Procedures conform to the PEFC requirement**

See conclusion 38 above.

##### **Process conforms to the PEFC requirement**

The practice was not applied in the Standard setting.

(40) 5.8 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

#### **Conclusion 40**

##### **Procedures conform to the PEFC requirement**

See conclusion 38.

##### **Process conforms to the PEFC requirement**

During the Standard setting several email consultations were organized to reach all Forum members and provide them with opportunities to participate in commenting and decision making.

(41) 5.8 d) combinations thereof.

#### **Conclusion 41**

##### **Procedures conform to the PEFC requirement**

See conclusion 38.

**Process conforms to the PEFC requirement**

In addition to traditional meetings only email consultations were organized during the Standard setting.

*(42) 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,*

**Conclusion 42**

**Procedures conform to the PEFC requirement**

The Standard Setting Procedures refer to the PEFC ST 1001:2010, clauses 5.8 and 5.9 and its explanation on consensus building.

During the standard setting process the GL 5/2006 was valid. The Standard Setting Procedures have been revised in July 2012 and refer to PEFC ST 1001:2010 for consensus building.

**Process conforms to the PEFC requirement**

Based on the Forum meeting minutes available the consensus building has followed the PEFC guideline (GL 5/2006) description.

*(43) 5.9 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,*

**Conclusion 43**

**Procedures conform to the PEFC requirement**

See Conclusion 42.

**Process conforms to the PEFC requirement**

Forum members commented the draft standard and disagreements were discussed with them over email and in the Forum meetings. Compromises and consensus have been achieved in all the discussions.

*(44) 5.9 c) dispute resolution process.*

**Conclusion 44**

**Procedures conform to the PEFC requirement**

See Conclusion 42.

**Process conforms to the PEFC requirement**

Dispute resolution process was not needed during the Standard setting.

*(45) 5.10 Documentation on the implementation of the standard- setting process shall be made publicly available*

**Conclusion 45**

**Procedures partly conform to the PEFC requirement**

The Standard Setting Procedures require that material on the progress of the Standard setting and revision must be published or made available on request.

**Process conforms to the PEFC requirement**

The material, including Standard Setting Procedures, list of Forum members, most recent version of the Standard and minutes of the Forum meetings, is available at the PEFC Netherlands website.

*(46) 5.11 The standardising body shall formally approve the standards/normative documents based on evidence of consensus reached by the working group/committee.*

**Conclusion 46**

**Procedures conform to the PEFC requirement**

The Standard Setting Procedures require that the formal approval of the Standard by the National Forum is accompanied by a written proof of consensus. PEFC General Assembly will give their final approval for the Standard.

**Process conforms to the PEFC requirement**

The Forum members gave their approval for the final draft over email. The General Assembly of PEFC Netherlands approved the Standard in their meeting on 24 November 2011.

*(47) 5.12 The formally approved standards/normative documents shall be published in a timely manner and made publicly available.*

**Conclusion 47**

**Procedures conform to the PEFC requirement**

The Standard Setting Procedures require that material on the progress of the Standard setting and revision must be published or made available on request.

**Process conforms to the PEFC requirement**



The Standard is available at the PEFC Netherlands website.

### **5.1.3 Revision of standards/normative documents (PEFC ST 1001:2010)**

PEFC Netherlands Standard has been approved for the first time and is waiting for the PEFCC endorsement; therefore the requirements for the process of standard revision are not assessed.

## 6. REQUIREMENTS FOR GROUP FOREST MANAGEMENT CERTIFICATION (PEFC ST 1002:2010)

Under the PEFC Certification System Netherlands the certification may be applied individual or as a group. The PCSN II – Implementation of Forest Management Certification describes the responsibilities of a group manager and group members in certification implementation.

### 6.1 Conformity to PEFC Council Checklist (Part II) – Group Forest Management Certification

*(48) 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,*

#### Conclusion 48

##### **Standard conforms to the PEFC requirements**

Certification applicant can also be a group of forest owners/managers. Standard includes a description of group (PCSN II 4.1) and procedures for group certification.

*(49) b) the group entity,*

#### Conclusion 49

##### **Standard conforms to the PEFC requirements**

According to the procedures for “Implementation of Forest Management Certification” the group manager must be a registered legal entity.

*(50) c) the participant,*

#### Conclusion 50

##### **Standard conforms to the PEFC requirements**

Participant in group certification can be a forest owner or manager who signs a written agreement with the group manager. Forest manager may also be a participant in group certification with an authorization of the forest owner.

*(51) d) the certified area,*

#### Conclusion 51

##### **Standard conforms to the PEFC requirements**

The certified area is the forest area having an issued forest certificate accredited by a certification body. According to the procedures for “Imple-

mentation of Forest Management Certification” a forest owner should submit the total forest area within his/her management for certification.

(52) *e) the group forest certificate, and,*

#### **Conclusion 52**

##### **Standard conforms to the PEFC requirements**

The Standard describes group certification as forest management or chain of custody certification of group enterprises that are awarded one common certificate. The group is managed by a group manager, a legally established entity.

(53) *f) the document confirming participation in group forest certification.*

#### **Conclusion 53**

##### **Standard conforms to the PEFC requirements**

Every individual group member shall sign a written agreement with the group manager to apply for participation in the group certificate. Content requirements of the agreement are described in detail in PCSN II 4.1.4 covering the rights and obligations of the forest owner/manager and group manager.

(54) *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 scheme is addressed in any other forest management certification scheme that covers the forest owner.*

#### **Conclusion 54**

##### **Standard conforms to the PEFC requirements**

The forest owners shall submit his total forest area for certification (within the Scope of the PEFC Certification System Netherlands). The Standard does not address a situation where a forest owner would be certified under an additional group of individual certification.

PCSN II – Implementation of Forest Management Certification which describes the requirements for group certification were formulated before PEFC ST 1002:2010 had been adopted ( 26 November 2010). The Standard conforms to the PEFC Council Technical Document (TD) Annex 3 on Basis for Certification Schemes and their Implementation - 13 November 2009.

- (55) 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.*

**Conclusion 55**

**Standard conforms to the PEFC requirements**

Under the PEFC Netherlands Scheme 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.

In the PEFC Certification System Netherlands a group manager is responsible for management and administration of the group certification including group record keeping, compliance checks, internal audits and communication with and informing PEFC Netherlands of any changes in group records.

- (56) 4.1.4 *The forest certification scheme shall define requirements for an annual internal monitoring programme that provides sufficient confidence in the conformity of the whole group organisation with the sustainable forest management standard.*

**Conclusion 56**

**Standard conforms to the PEFC requirements**

The group manager is responsible for an internal audit program. Internal audits are carried out before certification audits. Surveillance audits are carried out by a certification body at least annually and they include sample audits of group members.

- (57) 4.2.1 *The forest certification scheme shall define the following requirements for the function and responsibility of the group entity 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;*

**Conclusion 57**

**Standard conforms to the PEFC requirements**

A group manager is responsible for the application procedures under the PEFC Certification System Netherlands.

- (58) 4.2.1 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;*

**Conclusion 58**

**Standard conforms to the PEFC requirements**

A group manager shall sign a written agreement with each individual forest owner/manager who wants to join the group. With the agreement a forest owner/manager commits to comply with the PEFC Netherlands Standard.

- (59) 4.2.1 c) *To establish written procedures for the management of the group organisation;*

**Conclusion 59**

**Standard conforms to the PEFC requirements**

A group manager shall have a management system that covers and checks documented procedures: on the structure and responsibilities within the organization; for internal auditing; for the handling of non-conformities and corrective actions and; for keeping records on individual group members.

- (60) 4.2.1 d) *To keep records of:*
- *the group entity and participants' conformity with the requirements of the sustainable forest management standard, and other applicable requirements of the forest certification scheme,*
  - *all participants, including their contact details, identification of their forest property and its/their size(s),*
  - *the certified area,*
  - *the implementation of an internal monitoring programme, its review and any preventive and/or corrective actions taken;*

**Conclusion 60**

**Standard conforms to the PEFC requirements**

A group manager shall have a management system that covers and checks documented procedures: for internal auditing; for the handling of non-conformities and corrective actions and; for keeping records on individual group members. The group manager keeps accurate and reliable records with the details of all group members and total certified forest area. The group manager operates a program for internal auditing covering all relevant forest areas and the internal organization.

- (61) 4.2.1 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;*

**Conclusion 61**

**Standard conforms to the PEFC requirements**

A group manager shall sign a written agreement with each individual forest owner/manager who wants to join the group. With the agreement a forest owner/manager commits to comply with Dutch laws and the PEFC Netherlands Standard. In case of non-conformities found in internal or external audits, a forest owner/manager will implement corrective actions according to the instructions from the group manager. The group manager is entitled to exclude a member from the group in case of several non-conformities are found.

- (62) 4.2.1 f) *To provide participants with a document confirming participation in the group forest certification;*

**Conclusion 62**

**Standard conforms to the PEFC requirements**

The tasks of the group manager include provision of a document confirming a member's participation in a group certificate.

- (63) 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;*

**Conclusion 63**

**Standard conforms to the PEFC requirements**

The group manager is obliged to give group applicants sufficient information and advice needed to comply with the Standard requirements.

- (64) h) *To operate an annual internal monitoring programme that provides for the evaluation of the participants' conformity with the certification requirements, and;*

**Conclusion 64**

**Standard conforms to the PEFC requirements**

The group manager is responsible for an internal audit program. Internal audits are carried out before certification audits. Surveillance audits are carried out by a certification body at least annually.

- (65) *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.*

#### **Conclusion 65**

##### **Standard partly conforms to the PEFC requirements**

This is not specifically required. According to the PCSN II the group manager is responsible for an internal audit program but review of internal monitoring and certification body's evaluations and surveillance is not particularly mentioned. Implementation of corrective actions is required as requested by the group manager/certification body but the documentation does not instruct how they should be reviewed and evaluated.

*Consultants comment: The PEFC Standard development in the Netherlands was a lengthy process and the documents should have been checked against revised PEFC requirements before their final approval as new standards came into effect in the middle of the PEFC Netherlands standard setting. The general requirement of monitoring/review is now in place but it does not describe specific requirements for coverage.*

- (66) *4.3.1 The forest certification scheme shall define the following requirements for the participants:*

#### **Conclusion 66**

##### **Standard conforms to the PEFC requirements**

The group manager shall sign a written agreement with every individual group member applying for participation in the group certificate. The agreement obliges the forest owner/manager to comply with the Dutch PEFC Standard.

- (67) *4.3.1 b) To comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme;*

#### **Conclusion 67**

##### **Standard conforms to the PEFC requirements**

In the written agreement the forest owner/manager commits to comply with the Dutch law, specifically regarding forest management and the Dutch PEFC Standard.

- (68) 4.3.1 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;*

**Conclusion 68**

**Standard conforms to the PEFC requirements**

In the written agreement with the group manager, forest owner/manager grants the group manager and the certification body permission to conduct internal audits and surveillance audits on his/her property and is obliged to inform the group manager of any changes in information.

PCSN II 4.1.6 further states that the forest owner supplies to the group manager and the certification body all relevant information and documentation necessary for performing audits.

- (69) 4.3.1 d) *To implement relevant corrective and preventive actions established by the group entity.*

**Conclusion 69**

**Standard conforms to the PEFC requirements**

In his/her written agreement with the group manager the group member agrees that in case non-conformities are noticed during internal/external audit, the forest owner/manager shall implement any corrective and preventive actions and follow instructions from the group manager.

## **7. PERFORMANCE REQUIREMENTS**

### **7.1 Conformity to PEFC Council Checklist (Part III): Sustainable Forest Management (PEFC ST 1003:2010)**

#### **7.1.1 General requirements for SFM standards**

*(70) 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.*

#### **Conclusion 70**

##### **Standard conforms to the PEFC requirements**

The Standard management and performance requirements are applicable at forest management unit level.

*(71) 4.1 b) be clear, objective-based and auditable.*

#### **Conclusion 71**

##### **Standard conforms to the PEFC requirements**

Most of the requirements are given at criterion level, some criteria are completed with a norm or with a reference to a relevant guideline. There is no specific guideline for auditors. Leaving the criteria requirements at rather general level requires certification auditors' very detailed knowledge of the topics. Therefore technical knowledge is specifically required in the competence requirements for certification bodies. List of applicable laws is given as an appendix of the standard.

The pilot testing found the standard to be clear, objective-based and auditable.

*Consultants comment: Criterion 6.6 would be clearer if third parties would be specified in more detail or examples would be given of third parties.*

*(72) 4.1 c) apply to activities of all operators in the defined forest area who have a measurable impact on achieving compliance with the requirements.*

#### **Conclusion 72**

##### **Standard conforms to the PEFC requirements**

The Standard requires that all personnel of the forest owner/manager working in the forest are familiar with the contents of the standard and work accordingly.

(73) 4.1 d) require record-keeping that provides evidence of compliance with the requirements of the forest management standards.

**Conclusion 73**

**Standard conforms to the PEFC requirements**

The Standard requires a forest manager to have a forest management plan and to maintain the management plan with yearly reporting on management activities which will provide evidence of compliance with the standard requirements.

**7.1.2 Specific requirements for SFM standards**

Table 7.2 describes the level of conformity of the PEFC Certification System Netherlands with PEFC ST 1003:2010 requirements. The scale of the assessment is presented in the Table 7.1. A full conformity of one or several standard requirements with the PEFC Standard is required for a positive conclusion on compliance. The grade “partial conformity” is used to provide information that some standard elements are in line with the PEFC requirements but their scope or performance level is not adequate. The grade “non conformity” describes the situation where the standard does not address the required element at all or its performance level is far from the required one.

Detailed analysis and description on the conforming elements of the PEFC Certification System Netherlands standard are presented in Annex 2 to this report.

**Table 7.1 Scale of assessment**

Conforms	Standard requirement conforms to PEFC requirement
Partial conformity	Standard requirement conforms to some elements of the requirement or to all elements but not in a fully satisfactory level
Non conformity	Standard requirement practice does not conform to the requirement.

**Table 7.2 Compliance of the PEFC Certification System Netherlands standards with the PEFC ST 1003:2010**

PEFC ST 1003:2010	Conformance of PEFC Netherlands standard	
Criterion 1: Maintenance and appropriate enhancement of forest resources and their contribution to the global carbon cycle	5.1.1	Conforms to PEFC requirement
	5.1.2	Conforms to PEFC requirement
	5.1.3	Conforms to PEFC requirement
	5.1.4	Conforms to PEFC requirement
	5.1.5	Conforms to PEFC requirement
	5.1.6	Conforms to PEFC requirement
	5.1.7	Conforms to PEFC requirement

PEFC ST 1003:2010		Conformance of PEFC Netherlands standard
	5.1.8	Conforms to PEFC requirement
	5.1.9	Conforms to PEFC requirement
	5.1.10	Conforms to PEFC requirement
	5.1.11	Conforms to PEFC requirement
	5.1.12	Not applicable. The PEFC National Forum came to a conclusion that in Dutch context the requirement is not relevant. Currently there are no subsidies from the government for afforestation and therefore it is not economically feasible for forest owners.
Criterion 2: Maintenance of forest ecosystem health and vitality	5.2.1	Conforms to PEFC requirement
	5.2.2	Conforms to PEFC requirement
	5.2.3	Conforms to PEFC requirement
	5.2.4	Conforms to PEFC requirement
	5.2.5	Conforms to PEFC requirement
	5.2.6	Not applicable. The topic is not relevant in Dutch context.
	5.2.7	Conforms to PEFC requirement
	5.2.8	Conforms to PEFC requirement
	5.2.9	Conforms to PEFC requirement
	5.2.10	Conforms to PEFC requirement
	5.2.11	Conforms to PEFC requirement
	5.2.12	Conforms to PEFC requirement
Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood)	5.3.1	Conforms to PEFC requirement
	5.3.2	Conforms to PEFC requirement
	5.3.3	Conforms to PEFC requirement
	5.3.4	Conforms to PEFC requirement
	5.3.5	Conforms to PEFC requirement
	5.3.6	Conforms to PEFC requirement
	5.3.7	Not applicable. Hunting in the Netherlands is regulated by national legislation ("Fauna Beheer Eenheid").
	5.3.8	Conforms to PEFC requirement
Criterion 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems	5.4.1	Conforms to PEFC requirement
	5.4.2	Conforms to PEFC requirement
	5.4.3	Conforms to PEFC requirement
	5.4.4	Conforms to PEFC requirement
	5.4.5	Conforms to PEFC requirement
	5.4.6	Conforms to PEFC requirement
	5.4.7	Conforms to PEFC requirement
	5.4.8	Conforms to PEFC requirement
	5.4.9	Conforms to PEFC requirement
	5.4.10	Conforms to PEFC requirement
	5.4.11	Conforms to PEFC requirement
	5.4.12	Conforms to PEFC requirement
5.4.13	Conforms to PEFC requirement	
Criterion 5: Maintenance and appropriate enhancement of protective functions in forest man-	5.5.1	Partly conforms to PEFC requirement. The Standard does not include special means to protect natural waters (brooks etc.) in forest operations. Legislation partly covers PEFC

PEFC ST 1003:2010		Conformance of PEFC Netherlands standard
agement (notably soil and water)		requirements.
	5.5.2	Conforms to PEFC requirement
	5.5.3	Conforms to PEFC requirement
	5.5.4	Conforms to PEFC requirement
	5.5.5	Conforms to PEFC requirement
Criterion 6: Maintenance of other socio-economic functions and conditions	5.6.1	Conforms to PEFC requirement
	5.6.2	Conforms to PEFC requirements. In the Netherlands government provides health and wellbeing services available to everybody. The Standard supports wellbeing indirectly by supporting water management, environmental protection and conservation, and by providing recreation opportunities.
	5.6.3	Conforms to PEFC requirement
	5.6.4	Conforms to PEFC requirement
	5.6.5	Conforms to PEFC requirement
	5.6.6	Conforms to PEFC requirement
	5.6.7	Conforms to PEFC requirement
	5.6.8	Conforms to PEFC requirement
	5.6.9	Conforms to PEFC requirement
	5.6.10	Conforms to PEFC requirement
	5.6.11	Conforms to PEFC requirement
	5.6.12	Conforms to PEFC requirement
	5.6.13	Conforms to PEFC requirement (see table Table 7.3 for ratification status of ILO conventions in the Netherlands)
	5.6.14	Partly conforms to PEFC requirement. The Standard requires that relevant knowledge from third parties (third parties including also scientific community and research findings) shall be used for monitoring and evaluation but does not require specifically contributions to research activities (data collection). Considering the size of an average (private) forest estate the requirement is not critical in Netherland's context.
Criterion 7: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)	5.7.1	Conforms to PEFC requirement
	5.7.2	Not applicable. The Standard does not describe any protective means forest owner/manager should apply but in the Netherlands forest is protected by laws (Flora en Faunawet Art 8, 9, 10, 11, 12) which cover the PEFC requirements. Law enforcement is also effective in the Netherlands.

**Conclusion 73**

**PEFC Certification System Netherlands standard conforms to the PEFC requirement**

**Table 7.3 Ratification status of international conventions in the Netherlands**

<b>Code</b>	<b>Convention</b>	<b>Date of ratification</b>
ILO No 29	Forced Labor, 1930	31.3.1933
ILO No 87	Freedom of Association and Protection of the Right to Organize, 1948	7.3.1950
ILO No 98	Right to Organize and Collective Bargaining, 1949	22.12.1993
ILO No 100	Equal Remuneration, 1951	16.6.1971
ILO No 105	Abolition of Forced Labor, 1957	18.2.1959
ILO No 111	Discrimination (Employment and Occupation) 1958	15.3.1973
ILO No 138	Minimum Age for Admission to Employment, 1973	14.9.1976
ILO 182	Worst Forms of Child Labour Convention, 1999	14.2.2002

Source: [www.ilo.org](http://www.ilo.org) (www-pages) (access date 21 May 2012)

## **8. REQUIREMENTS FOR CERTIFICATION AND ACCREDITATION PROCEDURES**

Under the PEFC Certification System Netherlands the forest management certification is granted for a maximum five-year period by independent and relevant certifying bodies accredited by an accreditation body which is a member of European Cooperation for Accreditation (EA) and/or International Accreditation Forum (IAF). The accreditation shall follow the procedures in ISO/IEC 17011:2004 and other documents recognized by the EA/IAF. The PEFC Certification System Netherlands includes clear requirements for certification bodies for accredited certification under the PEFC certification system.

For chain of custody certification PEFC Netherlands has adopted the international technical document "Chain of custody of forest based products – Requirements" ratified by the general meeting of PEFC in November 2010.

### **8.1 Conformity to PEFC Council Checklist (Part III): Sustainable Forest Management (PEFC ST 1003:2010)**

#### **8.1.1 Certification Bodies**

- (1) *Does the scheme documentation require that certification shall be carried out by impartial, independent third parties that cannot be involved in the standard setting process as governing or decision making body, or in the forest management and are independent of the certified entity?*

#### **Conclusion 74**

##### **Standard conforms to the PEFC requirements**

The Standard requires that PEFC certification of forest management under the PEFC Certification System Netherlands shall be carried out by impartial, independent third parties that cannot be involved in the forest management, or in the standard setting process as standard setting body and are independent of the certified entity.

- (2) *Does the scheme documentation require that certification body for forest management certification or chain of custody certification against a scheme specific chain of custody standard shall fulfil requirements defined in ISO 17021 or ISO Guide 65?*

#### **Conclusion 75**

##### **Standard conforms to the PEFC requirements**

The Standard requires specifically that the certification body shall fulfil the requirements defined in ISO 17021. The Standard does not include a scheme specific CoC standard.

- (3) *Does the scheme documentation require that certification body chain of custody certification against Annex 4 (note: the PEFC checklist refers to expired Annex 4, the document in force is PEFC ST 2002:2010) shall fulfil requirements defined in ISO Guide 65?*

#### **Conclusion 76**

##### **Standard conforms to the PEFC requirements**

The Standard requires that the certification body for Chain of Custody certification (PEFC ST 2002:2010) shall fulfil the requirements defined in ISO Guide 65 (EN 45011).

- (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?*

#### **Conclusion 77**

##### **Standard conforms to the PEFC requirements**

The Standard clearly requires that the certification bodies carrying out forest certification has technical competence in the field of forest management and its economic, environmental and social impact.

- (5) *Does the scheme documentation require that certification bodies carrying out C-o-C certifications shall have technical competence in forest based products procurement and processing and material flows in different stages of processing and trading?*

#### **Conclusion 78**

##### **Standard conforms to the PEFC requirements**

The Standard clearly requires that the certification bodies carrying out chain of custody certification have technical competence in forest based procurement and processing, material flows in different stages of processing and trade.

- (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?*

#### **Conclusion 79**

##### **Standard conforms to the PEFC requirements**

The Standard follows the PEFC Guideline and clearly requires that certification bodies have a good understanding on PEFC ST 2002:2010 Chain of Custody of Forest Based Products - Requirements on which the forest certification is based.

- (7) *Does the scheme documentation require that certification bodies have the responsibility to use competent auditors and who have adequate technical know-how on the certification process and issues related to forest management or chain of custody certification?*

#### **Conclusion 80**

**Standard conforms to the PEFC requirements**

The Standard requires that the auditors fulfil ISO 19011<sup>1</sup> criteria, have sufficient professional experience, understanding of forest management practices/ procurement, material flows, processing and trade in the timber and paper processing industry, and have understanding of PEFC Standard Netherlands. The certification body can fulfil the technical competence defined for auditors by the presence of a technical expert(s) in a group of auditors carrying out forest management audits.

- (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?*

**Conclusion 81**

**Standard conforms to the PEFC requirements**

The Standard specifically requires that the auditors fulfil ISO 19011<sup>1</sup> criteria.

- (9) *Does the scheme documentation include additional qualification requirements for auditors carrying out forest management or chain of custody audits?*

**Conclusion 82**

**Standard conforms to the PEFC requirements**

In addition ISO 19011<sup>1</sup> and technical requirements the Standard has an additional language requirement for auditor(s).

**8.1.2 Certification Procedures**

- (10) *Does the scheme documentation require that certification bodies shall have established internal procedures for forest management and/or chain of custody certification?*

**Conclusion 83**

**Standard conforms to the PEFC requirements**

The Standard specifically requires that certification bodies have internal procedures for forest management certification according to ISO 19011 and ISO 17021<sup>1</sup>, and for chain of custody certification according to ISO 19011 and ISO Guide 65 (EN 45011)<sup>1</sup>.

- (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?*

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<sup>1</sup> The latest issue of ISO/IEC 17021:2011 includes compliance with ISO 19011 in its requirements. However, ISO 65: 1996 does not include any requirement for compliance with ISO 19011.

#### **Conclusion 84**

##### **Standard conforms to the PEFC requirements**

The Standard specifically requires that certification bodies have internal procedures for forest management certification according to ISO 19011 and ISO 17021, and for chain of custody certification according to ISO 19011 and ISO Guide 65 (EN 45011)<sup>2</sup>.

*(12) Does the scheme documentation require that applied certification procedures for chain of custody certification against Annex 4 (note: the PEFC checklist refers to expired Annex 4, the document in force is PEFC ST 2002:2010) shall fulfil or be compatible with the requirements defined in ISO Guide 65?*

#### **Conclusion 85**

##### **Standard conforms to the PEFC requirements**

PEFC Standard Netherlands applies PEFC ST 2002:2010 for C-o-C certification.

The Standard specifically requires that certification bodies have internal procedures for chain of custody certification according to ISO 19011 and ISO Guide 65 (EN 45011)<sup>2</sup>.

*(13) Does the scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011?*

#### **Conclusion 86**

##### **Standard conforms to the PEFC requirements**

The Standard specifically requires that certification bodies have internal procedures for forest management certification according to ISO 19011 and ISO 17021, and for chain of custody certification according to ISO 19011 and ISO Guide 65 (EN 45011)<sup>2</sup>.

*(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 custody certificates and changes concerning the validity and scope of these certificates?*

#### **Conclusion 87**

##### **Standard conforms to the PEFC requirements**

The Standard explicitly requires that the certification body supplies to PEFC Netherlands all details on all issued forest management and chain of custody certificates and any changes in the validity and scope of these certificates.

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<sup>2</sup> The latest issue of ISO/IEC 17021:2011 includes compliance with ISO 19011 in its requirements. However, ISO 65: 1996 does not include any requirement for compliance with ISO 19011.

*(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?*

**Conclusion 88**

**Standard conforms to the PEFC requirements**

The notification contract article 2.2 includes a requirement for a certification body to carry out logo usage controls.

*(16) Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?*

**Conclusion 89**

**Standard conforms to the PEFC requirements**

According to PEFC Standard Netherland the surveillance audits shall be carried out at least once a year during the validity of the certificate. The scope of a surveillance audit can be limited compared to the certification audit.

*(17) Does a maximum period for assessment audit not exceed five years for both forest management and chain of custody certifications?*

**Conclusion 90**

**Standard conforms to the PEFC requirements**

According to the Standard the certificate is valid for five years or less. To extend the validity of the certificate the certification body shall carry out a re-certification audit after five years. In practice the maximum validity of a certificate is 3 years as defined in ISO 17021 requirements applied to certification bodies.

*(18) Does the scheme documentation include requirements for public availability of certification report summaries?*

**Conclusion 91**

**Standard conforms to the PEFC requirements**

The Standard requires that summary reports shall be made public by PEFC Netherlands.

*(19) Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?*

**Conclusion 92**

**Standard conforms to the PEFC requirements**

The standard states that as a part of the data collection process audit team can use information issued by other parties (e.g. NGO's, surrounding community, government) if needed.

*(20) Does the scheme documentation include additional requirements for certification procedures?*

**Conclusion 93**

**Standard conforms to the PEFC requirements**

The Standard includes an additional requirement that the certification body shall appoint competent auditors for forest management and for C-o-C certification.

**8.1.3 Accreditation procedures**

*(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?*

**Conclusion 94**

**Standard conforms to the PEFC requirements**

The Standard requires that certification bodies carrying out forest management and/or chain of custody certification shall have a valid accreditation issued by a national accreditation body.

*(22) Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?*

**Conclusion 95**

**Standard conforms to the PEFC requirements**

The Standard specifically requires that any issued, accredited forest management or chain of custody certificate shall bear the relevant accreditation symbol.

*(23) Does the scheme documentation require that the accreditation shall be issued by an accreditation body which is a part of the International Accreditation Forum (IAF) umbrella or a member of IAF's special recognition regional groups and which implement procedures described in ISO 17011 and other documents recognised by the above mentioned organisations?*

**Conclusion 96**

**Standard conforms to the PEFC requirements**

The Standard clearly states that the accreditation shall be issued by an accreditation body that is a member of the European cooperation for Accreditation (EA) and/or the International Accreditation Forum (IAF) and that works according procedures in ISO/IEC 17011:2004 and other documents recognized by the above organizations.

(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?

**Conclusion 97**

**Standard conforms to the PEFC requirements**

The Standard requires that the scope of the accreditation of certification bodies carrying out forest management certification shall state “PEFC Standard Netherlands” and for C-o-C certification “PEFC ST 2002:2010 Chain of Custody of Forest Based Products – Requirements”. In addition the Standard requires certification bodies have internal procedures for forest management certification according to ISO 19011 and ISO 17021, and for chain of custody certification according to ISO 19011 and ISO Guide 65 (EN 45011).

(25) Does the scheme documentation require that certification body undertake chain of custody certification against Annex 4 (**note:** the PEFC checklist refers to expired Annex 4, the document in force is PEFC ST 2002:2010) as “accredited certification” based on ISO Guide 65?

**Conclusion 98**

**Standard conforms to the PEFC requirements**

PEFC Standard Netherlands has adopted PEFC ST 2002:2010. The Standard requires that the scope of the accreditation of certification bodies carrying out forest management certification shall state “PEFC ST 2002:2010 Chain of Custody of Forest Based Products – Requirements”. In addition the Standard requires certification bodies have internal procedures for chain of custody certification according to ISO 19011 and ISO Guide 65 (EN 45011).

(26) Does the scheme documentation include a mechanism for PEFC notification of certification bodies?

**Conclusion 99**

**Standard conforms to the PEFC requirements**

According to the Standard certification bodies shall be notified by PEFC Netherlands. The Certification Scheme includes a guideline for procedure for notification of Certification Bodies.

(27) Are the procedures for PEFC notification of certification bodies non-discriminatory?

**Conclusion 100**

**Standard conforms to the PEFC requirements**



The conditions given in the Guideline for notification procedure are non-discriminatory. They require that a certification body

- is a legal entity;
- agrees to be listed on the publicly available PEFC Nederland and PEFC Council Internet database
- has valid accreditation issued;
- signs a PEFC notification contract with PEFC Nederland

**9. REQUIREMENTS FOR SCHEME SPECIFIC CHAIN OF CUSTODY STANDARDS**

PEFC Certification System Netherlands has adopted PEFC ST 2002:2010.

## **10. STAKEHOLDER VIEWS**

During the assessment of the PEFC Certification System Netherlands the scheme documentation was submitted to the international consultation by the PEFC Council. During the consultation period no responses were received.

In addition the consultant sent out questionnaires on standard revision process to 44 stakeholders including parties that were involved in the standard development and those that did not take part in it. The contact list was provided by PEFC Netherlands and the questionnaire was sent in English language.

A total of 3 replies were given to the Indufor questionnaire. Statistical analysis or major general conclusions cannot be made due to the low response rate. The respondents (two from the Forum members, one from a non-Forum stakeholder) found the process transparent, participatory and well structured. One comment mentioned that a comment given in the public consultation did not result any major changes in the final standard. As a result, respondent commented that the Standard requirements are rather general and do not give sufficient guidance to auditors. Therefore there is a risk of disputes arising between auditors and the auditee and also a risk of unequal treatment of certificate holders. As a part of the assessment process the consultant discussed this topic with PEFC Netherlands and auditors who carried out the pilot testing. Pilot testing had found the Standard auditable but the Consultant suggested that drafting a guideline for auditors could be considered, especially if the Standard implementation reveals such problems.

<b>Guidelines</b> <b>PEFC Council Minimum Requirement Checklist</b>	<i>Revised on 26<sup>th</sup> of May 2011</i>	<b>GL 2/2011</b>
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## PEFC Council Minimum Requirements Checklist

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## **OBJECTIVE**

The objectives of this guideline are (i) to assist bodies, which develop or revise their forest certification schemes and preparation of an application for PEFC Council endorsement, and (ii) to facilitate the assessment of the compliance of a national or sub-national forest certification scheme against the PEFC Council requirements carried out by the PEFC Council as a part of its endorsement and mutual recognition process (*Annex 7 Endorsement and Mutual Recognition of National Schemes and their Revision*).

## **SCOPE**

These guidelines cover the PEFC Council minimum requirements, which shall be met by national and sub-national schemes and standards applying for PEFC Council endorsement and mutual recognition as per chapter 4, Annex 7 (*Endorsement and Mutual Recognition of National Schemes and their Revision*), and are a part of the application for the PEFC Council endorsement and mutual recognition as defined by chapter 5, Annex 7 (*Endorsement and Mutual Recognition of National Schemes and their Revision*).

These guidelines were adopted by the PEFC Council Board of Directors on 2 April 2003 and revised on 27 January 2005, 28 April 2005, 26 January 2006 26 January 2007, 31 January 2008 4 February 2010 and 26 May 2011.

## Annex 1

**PART I: MINIMUM REQUIREMENTS 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*.

**2 CHECKLIST**

Question	Assess. basis*	YES /NO*	Reference to application documents	Consultants comments
<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	Articles of Association of PEFC Netherlands  PCSN V; 3, 4  PCSN V; 5.3  PCSN V; 6.2 & 6.7	Conforms to PEFC requirements
b) the record-keeping procedures,	Procedures	YES	Articles of Association  PCSN V; 6.2, 6.5; 8.1	Conforms to PEFC requirements
c) the procedures for balanced representation of stakeholders,	Procedures	PARTLY	PCSN V; 4  Summary of Standard Setting Process; 4.1 & 4.2	The composition of the National Forum shall be balanced and none of the interest groups can dominate the process. There were 5 interest groups during the standard setting, in the revised Standard Setting Procedures (revised July 2012) 6 interest groups, and each Forum participant is directed to an interest group by the Board of Directors already for the invitation phase.  Six (6) NGOs were identified and invited to participate in the National Forum but they all declined the invitation.

## Annex 1

Question	Assess. basis*	YES /NO*	Reference to application documents	Consultants comments
				<p><i>Consultants comment: Research organizations were not represented in the standard setting. Participation in the Forum was based on a formal, individual invitation by organisation. The Standard Setting Procedures have been revised in July 2012 and Science (research institutions and universities) were included among the stakeholder groups. According to revised Standard Setting Procedures also stakeholders not receiving an invitation may apply for Forum membership.</i></p>
d) the standard-setting process,	Procedures	YES	PCSN V; 5 & 6	<p>PCSN V describes the Standard setting process at general level including decision making and public consultation procedures but does not describe the role and working procedures of the Working Group.</p> <p><i>Consultant's comment: In principle the National Forum may organise it means to work as seen practical but if e.g. working groups are formed, they should have also balanced representation of interest groups. In practise the most active Forum members present in the meetings formed a "working group" which then called for comments and approval of drafts from the Forum as a whole – often by email communication.</i></p>
e) the mechanism for reaching consensus, and	Procedures	YES	PCSN V; 5.2 & 5.3 AA: Section 16	Conforms to PEFC requirements
f) revision of standards/normative documents.	Procedures	YES	PCSN V; 3 & 7 PCSN VIII; 10.3	Conforms to PEFC requirements

## Annex 1

Question	Assess. basis*	YES /NO*	Reference to application documents	Consultants comments
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	PCSN V; 6.5 & 8	Conforms to PEFC requirements
	Process	YES	<a href="http://www.pefcnederland.nl/nieuwsbrief">http://www.pefcnederland.nl/nieuwsbrief</a> <a href="http://www.pefcnederland.nl/nederlandse-bos-standaard">http://www.pefcnederland.nl/nederlandse-bos-standaard</a>	Conforms to PEFC requirements
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	PCSN V; 8.1.	Conforms to PEFC requirements
	Process	YES		Conforms to PEFC requirements
4.4 The standardising body shall establish a permanent or temporary working group/committee responsible for standard-setting activities.	Procedures	YES	PCSN V; 3 AA 18.1, 18.2	Conforms to PEFC requirements
	Process	YES	Summary of Standard Setting Process  Minutes of the first Forum meeting (5.3.2009)	Conforms to PEFC requirements
4.4 The working group/committee shall:				
a) be accessible to materially and directly affected stakeholders,	Procedures	PARTLY	PCSN V; 4	The Standard Setting Procedures require balanced representation of all interest groups. The Standard Setting/Revision Forum is established on the basis of invitation of relevant stakeholders, identified by PEFC Netherlands. During the Standard setting interest groups included: 1) forest owners and managers, 2) supply chain from harvest to end-users, 3) non-wood users of the forest, 4) NGOs (environmental organizations and, 5) employers and trade unions.  Research organizations

## Annex 1

Question	Assess. basis*	YES /NO*	Reference to application documents	Consultants comments
				<p>and universities were not included in the identified stakeholders and Only invited stakeholders could participate in the standard setting Forum.</p> <p>The Standard Setting Procedures have been revised in July 2012 and Science (research institutions and universities) included as one interest group. According to the revised procedures stakeholders may also apply for Forum membership if not directly invited.</p>
	Process	PARTLY	Summary of Standard Setting Process	<p>43 stakeholders were identified and invited to the Standard Setting Forum and 23 positive replies were received. All environmental NGOs rejected the invitation. Scientific community was not included among the invited stakeholders.</p> <p>During the process some of the Forum members withdrew from the work due time constraints or lack of interest and finally there were 17 Forum members.</p>
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	PARTLY	PCSN V; 4	<p>The Standard Setting Procedures require balanced representation of all interest groups. The Standard Setting/Revision Forum is established on the basis of invitation of relevant stakeholders, identified by PEFC Netherlands. During the Standard setting interest</p>

## Annex 1

Question	Assess. basis*	YES /NO*	Reference to application documents	Consultants comments
				<p>groups included: 1) forest owners and managers, 2) supply chain from harvest to end-users, 3) non-wood users of the forest, 4) NGOs (environmental organizations and, 5) employers and trade unions.</p> <p>Research organizations and universities were not included in the identified stakeholders.</p> <p>The Standard Setting Procedures have been revised in July 2012 and Science (research institutions and universities) are now included as one interest group.</p>
	Process	YES		Conforms to PEFC requirements
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	PARTLY		<p>The Standard Setting Procedures require balanced representation of all interest groups The Standard Setting/Revision Forum is established on the basis of invitation of relevant stakeholders, identified by PEFC Netherlands. During the standard setting interest groups included: 1) forest owners and managers, 2) supply chain from harvest to end-users, 3) non-wood users of the forest, 4) NGOs (environmental organizations and, 5) employers and trade unions.</p> <p>Research organizations and universities were not</p>

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Question	Assess. basis*	YES /NO*	Reference to application documents	Consultants comments
				included in the identified stakeholders.  The Standard Setting Procedures have been revised in July 2012 and Science (research institutions and universities) are now included as one interest group.
	Process	YES		Conforms to PEFC requirements
4.5 The standardising body shall establish procedures for dealing with any substantive and procedural complaints relating to the standardising activities which are accessible to stakeholders.	Procedures	YES	PCSN VII, PCSN V; 9.1; PCSN IX	Conforms to PEFC requirements
	Process	YES	List of College of Appeal members	Conforms to PEFC requirements
4.5 Upon receipt of the complaint, the standard-setting body shall:				
a) acknowledge receipt of the complaint to the complainant,	Procedures	YES	PCSN VII; 4	Conforms to PEFC requirements
	Process	YES		Conforms to PEFC requirements
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	PCSN VII; 6	Conforms to PEFC requirements
	Process	YES		Conforms to PEFC requirements
c) formally communicate the decision on the complaint and of the complaint handling process to the complainant.	Procedures	YES	PCSN VII; 6.9	Conforms to PEFC requirements
	Process	YES		Conforms to PEFC requirements
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		Conforms to PEFC requirements
<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	PARTLY	PCSN V; 4	The Standard Setting Procedures require balanced representation of all interest groups. The Standard

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Question	Assess. basis*	YES /NO*	Reference to application documents	Consultants comments
				<p>Setting/Revision Forum is established on the basis of invitation of relevant stakeholders, identified by PEFC Netherlands. During the standard setting interest groups included: 1) forest owners and managers, 2) supply chain from harvest to end-users, 3) non-wood users of the forest, 4) NGOs (environmental organizations and, 5) employers and trade unions.</p> <p>Research organizations and universities were not included in the identified stakeholders.</p> <p>The Standard Setting Procedures have been revised in July 2012 and Science (research institutions and universities) are now included as one interest group.</p>
	Process	YES	Summary of the Standard Setting Process	Conforms to PEFC requirements
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	PCSN V; 3	Conforms to PEFC requirements
	Process	YES	Summary of the Standard Setting Process	Conforms to PEFC requirements
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	PCSN V; 3.3 (3.4)	Conforms to PEFC requirements
	Process	YES		Conforms to PEFC requirements.
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/NA	PCSN V; 3.3	Conforms to PEFC requirements

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Question	Assess. basis*	YES /NO*	Reference to application documents	Consultants comments
	Process	YES/NA	<a href="http://www.pefcnederland.nl/nederlandse-bos-standaard">http://www.pefcnederland.nl/nederlandse-bos-standaard</a>	Conforms to PEFC requirements
b) information about opportunities for stakeholders to participate in the process,	Procedures	YES		Conforms to PEFC requirements
	Process	YES		Conforms to PEFC requirements
(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	PCSN V; 3.2, 4.4	Conforms to PEFC requirements
	Process	YES		Conforms to PEFC requirements
d) an invitation to comment on the scope and the standard- setting process, and	Procedures	YES/NA	PCSN V	Conforms to PEFC requirements
	Process	YES/NA		Conforms to PEFC requirements
e) reference to publicly available standard-setting procedures.	Procedures	YES/NA	PCSN V	Conforms to PEFC requirements
	Process	YES	<a href="http://www.pefcnederland.nl/nederlandse-bos-standaard">http://www.pefcnederland.nl/nederlandse-bos-standaard</a>	Conforms to PEFC requirements
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/NA	PCSN V	Conforms to PEFC requirements
	Process	YES/NA		Conforms to PEFC requirements
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/NA	PCSN V	Conforms to PEFC requirements
	Process	YES	PEFC Netherlands, stakeholder consultations	Conforms to PEFC requirements
b) all members of the working group shall be provided with meaningful opportunities to contribute to the	Procedures	YES/NA	PCSN V	Conforms to PEFC requirements

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Question	Assess. basis*	YES /NO*	Reference to application documents	Consultants comments
development or revision of the standard and submit comments to the working drafts, and	Process	YES	PEFC Netherlands, stakeholder consultations	Conforms to PEFC requirements
c) comments and views submitted by any member of the working group/committee shall be considered in an open and transparent way and their resolution and proposed changes shall be recorded.	Procedures	YES/NA	PCSN V	The Standard Setting Procedures do not specifically describe how comments and views are handled and recorded in working group but includes a general requirement that all issued comments, the response by the Forum and subsequent changes to the standard will be made public by the Forum. The Standard also requires that any internal procedures for work shall be based on the principle of consensus.
	Process	YES	Minutes of the meetings, stakeholder consultations	Conforms to PEFC requirements
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	PCSN V 6.3	Conforms to PEFC requirements
	Process	YES	Invitation letters, PEFC Netherlands newsletter April 2010 <a href="http://www.pefcnederland.nl/output/nieuwsbriefApril10.html">http://www.pefcnederland.nl/output/nieuwsbriefApril10.html</a>	Conforms to PEFC requirements
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/NA	PCSN V 6.3	Conforms to PEFC requirements
	Process	YES/NA	NA	Conforms to PEFC requirements
c) the enquiry draft is publicly available and accessible,	Procedures	YES	PCSN V 6.3	Conforms to PEFC requirements
	Process	YES		Conforms to PEFC requirements
d) the public consultation is for at least 60 days,	Procedures	YES	PCSN V 6.3	Conforms to PEFC

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Question	Assess. basis*	YES /NO*	Reference to application documents	Consultants comments
				requirements
	Process	YES	PEFC Netherlands newsletter & invitation letters for public consultation	Conforms to PEFC requirements
e) all comments received are considered by the working group/committee in an objective manner,	Procedures	YES	PCSN V 6.4 & 6.5	Conforms to PEFC requirements
	Process	YES	<a href="http://www.pefcnederland.nl/pdf/Reacties_publieke_consultatie.pdf">http://www.pefcnederland.nl/pdf/Reacties_publieke_consultatie.pdf</a>	Conforms to PEFC requirements
(f) a synopsis of received comments compiled from material issues, including the results of their consideration, is publicly available, for example on a website.	Procedures	YES	PCSN V 6.5	Conforms to PEFC requirements
	Process	YES	<a href="http://www.pefcnederland.nl/pdf/Reacties_publieke_consultatie.pdf">http://www.pefcnederland.nl/pdf/Reacties_publieke_consultatie.pdf</a>	Conforms to PEFC requirements
5.7 The standardising body shall organise pilot testing of the new standards and the results of the pilot testing shall be considered by the working group/committee.	Procedures	YES	PCSN V 6.6	Conforms to PEFC requirements
	Process	YES	Interview with the consultant responsible for pilot testing, stakeholder consultations	Conforms to PEFC requirements
5.8 The decision of the working group to recommend the final draft for formal approval shall be taken on the basis of a consensus.	Procedures	YES	PCSN V 5.2	Conforms to PEFC requirements
	Process	YES		Conforms to PEFC requirements
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	PCSN V 5.2	Conforms to PEFC requirements
	Process	YES	Minutes of the Forum meetings, consultations with Forum members	Conforms to PEFC requirements
b) a telephone conference meeting where there is a verbal yes/no vote,	Procedures	YES	PCSN V 5.2	Conforms to PEFC requirements
	Process	YES	Minutes of the Forum meetings, consultations with Forum members	Conforms to PEFC requirements
c) an e-mail meeting where a request for agreement or objection is provided to members with the	Procedures	YES	PCSN V 5.2	Conforms to PEFC requirements

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Question	Assess. basis*	YES /NO*	Reference to application documents	Consultants comments
members providing a written response (a proxy for a vote), or	Process	YES	Minutes of the Forum meetings, consultations with Forum members	Conforms to PEFC requirements
d) combinations thereof.	Procedures	YES	PCSN V 5.2	see 5.8 a)
	Process	NA		In addition to traditional meetings only email consultations were organized during the Standard setting.
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	PCSN V 5.2	Conforms to PEFC requirements
	Process	YES	Meeting minutes available at <a href="http://www.pefcnederland.nl/nederlandse-bos-standaard">http://www.pefcnederland.nl/nederlandse-bos-standaard</a>	Conforms to PEFC requirements
b) direct negotiation between the stakeholder(s) submitting the objection and stakeholders with different views on the disputed issue in order to find a compromise,	Procedures	YES	PCSN V 5.2	Conforms to PEFC requirements
	Process	YES	PEFC Netherlands, Stakeholder consultations	Conforms to PEFC requirements
c) dispute resolution process.	Procedures	YES	PCSN V 5.2	Conforms to PEFC requirements
	Process	YES	PEFC Netherlands, Stakeholder consultations	Conforms to PEFC requirements
5.10 Documentation on the implementation of the standard- setting process shall be made publicly available.	Procedures	YES	PCSN V 8.1	Conforms to PEFC requirements
	Process	YES	<a href="http://www.pefcnederland.nl/landelijk-forum">http://www.pefcnederland.nl/landelijk-forum</a>	Conforms to PEFC requirements
5.11 The standardising body shall formally approve the standards/normative documents based on evidence of consensus reached by the working group/committee.	Procedures	YES	PCSN V 6.2 & 6.7	Conforms to PEFC requirements
	Process	YES	Emails from Forum members	Conforms to PEFC requirements
5.12 The formally approved standards/normative documents shall be published in a timely manner and made	Procedures	YES	PCSN V 8.1	Conforms to PEFC requirements

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Question	Assess. basis*	YES /NO*	Reference to application documents	Consultants comments
publicly available.	Process	YES	<a href="http://www.pefcnederland.nl/nederlandse-bos-standaard">http://www.pefcnederland.nl/nederlandse-bos-standaard</a>	Conforms to PEFC requirements
<b>Revisions of standards/normative documents</b>				
6.1 The standards/normative documents shall be reviewed and revised at intervals that do not exceed a five-year period. The procedures for the revision of the standards/normative documents shall follow those set out in chapter 5.	Process	YES	PCSN V 7.1	Conforms to PEFC requirements
6.2 The revision shall define the application date and transition date of the revised standards/normative documents.	Process	NA		The requirement is not relevant: PEFC Netherlands Standard has been approved for the first time and is waiting for the PEFC endorsement.
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	NA		The requirement is not relevant: PEFC Netherlands Standard has been approved for the first time and is waiting for the PEFC endorsement.
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	NA		The requirement is not relevant: PEFC Netherlands Standard has been approved for the first time and is waiting for the PEFC endorsement.

### 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 Schemes and their Revision*) shall include information which enables the assessment of the applicant scheme'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

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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.

## Annex 1

## PART II: MINIMUM REQUIREMENTS 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*.

### 2 CHECKLIST

Question	YES / NO*	Reference to scheme documentation	Consultants comments
<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	PCSN VIII 5.1 PCSN II 4.1	Conforms to PEFC requirements
b) the group entity,	YES	PCSN II 4.1, 4.1.1	Conforms to PEFC requirements
c) the participant,	YES	PCSN VIII 5.1 PCSN II 4.1.6	Conforms to PEFC requirements
d) the certified area,	YES	PCSN VIII 5.1 PCSN II 4.1.6	Conforms to PEFC requirements
e) the group forest certificate, and	YES	PCSN VIII 5.1 PSCN II 4.1.5	Conforms to PEFC requirements
f) the document confirming participation in group forest certification.	YES	PCSN II 4.1.4	Conforms to PEFC requirements
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 scheme is addressed in any other forest management certification scheme that covers the forest owner.	YES	PCSN II	Conforms to PEFC requirements
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	PCSN II 4.1.3	Conforms to PEFC requirements

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Question	YES / NO*	Reference to scheme documentation	Consultants comments
4.1.4 The forest certification scheme shall define requirements for an annual internal monitoring programme that provides sufficient confidence in the conformity of the whole group organisation with the sustainable forest management standard.	YES	PCSN II 4.1.3 f) & h) PCSN IV 5.3.3	Conforms to PEFC requirements
<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	PCSN II 4.1.3	Conforms to PEFC requirements
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	PCSN II 4.1.4	Conforms to PEFC requirements
c) To establish written procedures for the management of the group organisation;	YES	PCSN II 4.1.2	Conforms to PEFC requirements
d) To keep records of: - the group entity and participants' conformity with the requirements of the sustainable forest management standard, and other applicable requirements of the forest certification scheme, - all participants, including their contact details, identification of their forest property and its/their size(s), - the certified area, - the implementation of an internal monitoring programme, its review and any preventive and/or corrective actions taken;	YES	PCSN II 4.1.2 & 4.1.3 g), h)	Conforms to PEFC requirements
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	PCSN II 4.1.3 e) & 4.1.4	Conforms to PEFC requirements
f) To provide participants with a document confirming participation in the group forest certification;	YES	PCSN II 4.1.3 i)	Conforms to PEFC requirements
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	PCSN II 4.1.3 d)	Conforms to PEFC requirements
h) To operate an annual internal monitoring programme that provides for the evaluation of the	YES	PCSN II 4.1.3 h) PCSN IV 5.3.3	Conforms to PEFC requirements

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Question	YES / NO*	Reference to scheme documentation	Consultants comments
participants' conformity with the certification requirements, and;			requirements
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.	PARTLY	PCSN II 4.1.3 & 4.1.4	This is not specifically required. According to the PCSN II the group manager is responsible for an <b>internal audit program</b> but review of internal monitoring and certification body's evaluations and surveillance is not particularly mentioned. Implementation of corrective actions is required as requested by the group manager/certification body but the documentation does not instruct how they should be reviewed and evaluated. Consultants comment: The PEFC Standard development in Netherlands was a lengthy process and the documents should have been checked against revised PEFC requirements before their final approval. The general requirement of monitoring/review is now in place but it does not describe specific requirements for coverage.
<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	PCSN II 4.1.4 & 4.1.6	Conforms to PEFC requirements
b) To comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme;	YES	PCSN II 4.1.4 c)	Conforms to PEFC requirements
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	PCSN II 4.1.4 g) & 4.1.6	Conforms to PEFC requirements
d) To implement relevant corrective and preventive actions established by the group entity.	YES		Conforms to PEFC requirements

### PART III: MINIMUM REQUIREMENTS 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*.

#### 2 CHECKLIST

Question	YES / NO*	Reference to scheme documentation	Consultant's comments
<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	PCSN I	Conforms to PEFC requirements
b) be clear, objective-based and auditable.	YES	PCSN I Results of the pilot testing, interview of the auditors responsible for pilot testing	Most of the requirements are given at criterion level, and some criteria are completed with a norm or with a reference to a relevant guideline. There is no specific guideline for auditors. Leaving the criteria at rather general criterion level requires certification auditors' very detailed knowledge of the topics. Therefore technical knowledge is specifically required in the competence requirements for certification bodies. List of applicable laws is given as an appendix of the standard.  The pilot testing found the standard to be clear, objective-based and auditable.  <b>Consultants comment: Criterion 6.6 would be clearer if third parties would be specified in more detail or examples would be given of third parties.</b>
c) apply to activities of all operators in the defined forest area who have a measurable impact on achieving compliance with the requirements.	YES	PCSN I 6.1	Conforms to PEFC requirements
d) require record-keeping that provides evidence of compliance with the requirements of the forest management standards.	YES	PCSN I; P1 C1.2 & C1.3	Conforms to PEFC requirements

Question	YES / NO*	Reference to scheme documentation	Consultant's comments
<b>Specific requirements for SFM standards</b>			
<b>Criterion 1: Maintenance and appropriate enhancement of forest resources and their contribution to the global carbon cycle</b>			
5.1.1 Forest management planning shall aim to maintain or increase forests and other wooded areas and enhance the quality of the economic, ecological, cultural and social values of forest resources, including soil and water. This shall be done by making full use of related services and tools that support land-use planning and nature conservation.	YES	PCSN I; P1, P1 C1.4-1.5	Conforms to PEFC requirements
5.1.2 Forest management shall comprise the cycle of inventory and planning, implementation, monitoring and evaluation, and shall include an appropriate assessment of the social, environmental and economic impacts of forest management operations. This shall form a basis for a cycle of continuous improvement to minimise or avoid negative impacts.	YES	PCSN I, Guideline 1	Conforms to PEFC requirements
5.1.3 Inventory and mapping of forest resources shall be established and maintained, adequate to local and national conditions and in correspondence with the topics described in this document.	YES	PCSN I; Guideline 1	Conforms to PEFC requirements
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	PCSN I, Guideline I	Conforms to PEFC requirements
5.1.5 Management plans or their equivalents shall include at least a description of the current condition of the forest management unit, long-term objectives; and the average annual allowable cut, including its justification and, where relevant, the annually allowable exploitation of non-timber forest products.	YES	PCSN I, Guideline I	Conforms to PEFC requirements
5.1.6 A summary of the forest management plan or its equivalent appropriate to the scope and scale of forest management, which contains information about the forest management measures to be applied, is publicly available. The summary may exclude confidential business and personal information and other information made confidential by national legislation or for the protection	YES	PCSN I; C 6.5	Conforms to PEFC requirements.

Question	YES / NO*	Reference to scheme documentation	Consultant's comments
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	PCSN I, Guideline I	Conforms to PEFC requirements
5.1.8 Responsibilities for sustainable forest management shall be clearly defined and assigned.	YES	PCSN II; 4.1.6	Conforms to PEFC requirements
5.1.9 Forest management practices shall safeguard the quantity and quality of the forest resources in the medium and long term by balancing harvesting and growth rates, and by preferring techniques that minimise direct or indirect damage to forest, soil or water resources.	YES	PCSN I; C1.4, C1.5, C4.10, P5 C5.2	Conforms to PEFC requirements
5.1.10 Appropriate silvicultural measures shall be taken to maintain or reach a level of the growing stock that is economically, ecologically and socially desirable.	YES	PCSN I, C1.5; Guideline I	Conforms to PEFC requirements
<p>5.1.11 Conversion of forests to other types of land use, including conversion of primary forests to forest plantations, shall not occur unless in justified circumstances where the conversion:</p> <p>a) is in compliance with national and regional policy and legislation relevant for land use and forest management and is a result of national or regional land-use planning governed by a governmental or other official authority including consultation with materially and directly interested persons and organisations; and</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>	YES	PCSN I; C1.4, C4.4, C4.6	Conforms to PEFC requirements
5.1.12 Conversion of abandoned agricultural and treeless land into	NO/NA		The PEFC National Forum decided that in Dutch context the requirement is not

Question	YES / NO*	Reference to scheme documentation	Consultant's comments
forest land shall be taken into consideration, whenever it can add economic, ecological, social and/or cultural value.			relevant. Currently there are no subsidies from the government for afforestation and therefore it is not economically feasible for forest owners.
<b>Criterion 2: Maintenance of forest ecosystem health and vitality</b>			
5.2.1 Forest management planning shall aim to maintain and increase the health and vitality of forest ecosystems and to rehabilitate degraded forest ecosystems, whenever this is possible by silvicultural means.	YES	PCSN I, P2 & C 3.4; C 4.1; C 4.2; C 4.11	Conforms to PEFC requirements
5.2.2 Health and vitality of forests shall be periodically monitored, especially key biotic and abiotic factors that potentially affect health and vitality of forest ecosystems, such as pests, diseases, overgrazing and overstocking, fire, and damage caused by climatic factors, air pollutants or by forest management operations.	YES	PCSN I Guideline 1 point 1 d)	Conforms to PEFC requirements
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.	YES	PCSN I Guideline I, point 1d)	Conforms to PEFC requirements
5.2.4 Forest management plans or their equivalents shall specify ways and means to minimise the risk of degradation of and damages to forest ecosystems. Forest management planning shall make use of those policy instruments set up to support these activities.	YES	PCSN I C4.10; C 6.1 & 6.2; Guideline 1	Conforms to PEFC requirements
5.2.5 Forest management practices shall make best use of natural structures and processes and use preventive biological measures wherever and as far as economically feasible to maintain and enhance the health and vitality of forests. Adequate genetic, species and structural diversity shall be encouraged and/or maintained to enhance the stability, vitality and resistance capacity of the forests to adverse environmental factors and strengthen natural regulation mechanisms.	YES	PCSN I C3.4, Principle 4, C 4.1, 4.2, 4.3, 4.4	Conforms to PEFC requirements
5.2.6 Lighting of fires shall be avoided and is only permitted if it is necessary for the achievement of the management goals of the forest management unit.	NA/NO		The topic is not relevant in Dutch context.
5.2.7 Appropriate forest management practices such as reforestation and	YES	PCSN I C 2.4, 3.4,	Conforms to PEFC requirements

Question	YES / NO*	Reference to scheme documentation	Consultant's comments
afforestation with tree species and provenances that are suited to the site conditions or the use of tending, harvesting and transport techniques that minimise tree and/or soil damages shall be applied. The spillage of oil during forest management operations or the indiscriminate disposal of waste on forest land shall be strictly avoided. Non-organic waste and litter shall be avoided, collected, stored in designated areas and removed in an environmentally-responsible manner.		4.10, 5.4, 5.5,  PCSN I criterion 2.4, 3.4, 4.10, 5.5, 6.2	
5.2.8 The use of pesticides shall be minimised and appropriate silvicultural alternatives and other biological measures preferred.	YES	PCSN I C 2.1	Conforms to PEFC requirements
5.2.9 The WHO Type 1A and 1B pesticides and other highly toxic pesticides shall be prohibited, except where no other viable alternative is available.	YES	PCSN C1.1, C2.1 e)	Conforms to PEFC requirements
5.2.10 Pesticides, such as chlorinated hydrocarbons whose derivatives remain biologically active and accumulate in the food chain beyond their intended use, and any pesticides banned by international agreement, shall be prohibited.	YES	PCSN C1.1, C2.1 e)	Conforms to PEFC requirements
5.2.11 The use of pesticides shall follow the instructions given by the pesticide producer and be implemented with proper equipment and training.	YES	PCSN I criterion 2.1 c), Law: Wet gewasbeschermingsmiddelen en biociden	Conforms to PEFC requirements
5.2.12 Where fertilisers are used, they shall be applied in a controlled manner and with due consideration for the environment.	YES	PCSN I C2.2	Conforms to PEFC requirements
<b>Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non- wood)</b>			
5.3.1 Forest management planning shall aim to maintain the capability of forests to produce a range of wood and non- wood forest products and services on a sustainable basis.	YES	PCSN I C3.1; Guideline 1 point 2 a), c)	Conforms to PEFC requirements
5.3.2 Forest management planning shall aim to achieve sound economic performance taking into account any available market studies and possibilities for new markets and economic activities in connection with all relevant goods and services of forests.	YES	PCSN I Guideline 1 point 2 a), c), Criterion 3.1.	Conforms to PEFC requirements
5.3.3 Forest management plans or their equivalents shall take into	YES	PCSN I C3.1; Guideline 1 point 2	Conforms to PEFC requirements

Question	YES / NO*	Reference to scheme documentation	Consultant's comments
account the different uses or functions of the managed forest area. Forest management planning shall make use of those policy instruments set up to support the production of commercial and non-commercial forest goods and services.			
5.3.4 Forest management practices shall maintain and improve the forest resources and encourage a diversified output of goods and services over the long term.	YES	PCSN I, C1.3, 1.4, 3.1, 4.5 Guideline 1 point 2	Conforms to PEFC requirements
5.3.5 Regeneration, tending and harvesting operations shall be carried out in time, and in a way that does not reduce the productive capacity of the site, for example by avoiding damage to retained stands and trees as well as to the forest soil, and by using appropriate systems.	YES	PCSN I C2.3, 2.4, 3.4, 4.10, P 5	Conforms to PEFC requirements
5.3.6 Harvesting levels of both wood and non-wood forest products shall not exceed a rate that can be sustained in the long term, and optimum use shall be made of the harvested forest products, with due regard to nutrient off-take.	YES	PCSN I criterion 1.4, 3.2, 3.3, 3.4 Guideline 1 point 2	Conforms to PEFC requirements
5.3.7 Where it is the responsibility of the forest owner/manager and included in forest management, the exploitation of non-timber forest products, including hunting and fishing, shall be regulated, monitored and controlled.	NA		Hunting in Netherlands is regulated by national legislation ("Fauna Beheer Eenheid").
5.3.8 Adequate infrastructure such as roads, skid tracks or bridges shall be planned, established and maintained to ensure efficient delivery of goods and services while minimising negative impacts on the environment.	YES	PCSN I C 2.4 Guideline 1	Conforms to PEFC requirements
<b>Criterion 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems</b>			
5.4.1 Forest management planning shall aim to maintain, conserve and enhance biodiversity on ecosystem, species and genetic levels and, where appropriate, diversity at landscape level.	YES	PCSN I Principle 4, Guideline 1 point 2 a), b), e)	Conforms to PEFC requirements
5.4.2 Forest management planning, inventory and mapping of forest resources shall identify, protect and/or conserve ecologically important forest areas containing significant concentrations of:  a) protected, rare, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes;	YES	PCSN I Guideline 1 point 1, point 5	Conforms to PEFC requirements

Question	YES / NO*	Reference to scheme documentation	Consultant's comments
<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>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>	YES	Dutch Law (Flora en Fauna Wet.) PCSN I C4.4, 4.6, 4.11	Conforms to PEFC requirements
<p>5.4.4 Forest management shall ensure successful regeneration through natural regeneration or, where not appropriate, planting that is adequate to ensure the quantity and quality of the forest resources.</p>	YES	PCSN I; C 3.4	Conforms to PEFC requirements
<p>5.4.5 For reforestation and afforestation, origins of native species and local provenances that are well-adapted to site conditions shall be preferred, where appropriate. Only those introduced species, provenances or varieties shall be used whose impacts on the ecosystem and on the genetic integrity of native species and local provenances have been evaluated, and if negative impacts can be avoided or minimised.</p>	YES	PCSN I; C 3.4, 4.1, 4.4	Conforms to PEFC requirements
<p>5.4.6 Afforestation and reforestation activities that contribute to the improvement and restoration of ecological connectivity shall be promoted.</p>	YES	PCSN I; C 4.11	Conforms to PEFC requirements
<p>5.4.7 Genetically-modified trees shall not be used.</p>	YES	PCSN I; C 3.4 c)	Conforms to PEFC requirements
<p>5.4.8 Forest management practices shall, where appropriate, promote a diversity of both horizontal and vertical structures such as uneven-aged stands and the diversity of species such as mixed stands. Where appropriate, the practices shall also aim to maintain and restore landscape diversity.</p>	YES	PCSN I; P4, C4.1, 4.2, C 3.4	Conforms to PEFC requirements
<p>5.4.9 Traditional management systems that have created valuable ecosystems, such as coppice, on appropriate sites shall be supported, when economically feasible.</p>	YES	PCSN I; Guideline 1, 2 b)	Conforms to PEFC requirements

Question	YES / NO*	Reference to scheme documentation	Consultant's comments
5.4.10 Tending and harvesting operations shall be conducted in a way that does not cause lasting damage to ecosystems. Wherever possible, practical measures shall be taken to improve or maintain biological diversity.	YES	PCSN I; C2.3, Guideline 1, 2 e)	Conforms to PEFC requirements
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	PCSN I; 2.4	Conforms to PEFC requirements
5.4.12 With due regard to management objectives, measures shall be taken to balance the pressure of animal populations and grazing on forest regeneration and growth as well as on biodiversity.	YES	PCSN I; C4.8, 4.9	Conforms to PEFC requirements
5.4.13 Standing and fallen dead wood, hollow trees, old groves and special rare tree species shall be left in quantities and distribution necessary to safeguard biological diversity, taking into account the potential effect on the health and stability of forests and on surrounding ecosystems.	YES	PCSN I; 4.3, 4.7	Conforms to PEFC requirements
<b>Criterion 5: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)</b>			
5.5.1 Forest management planning shall aim to maintain and enhance protective functions of forests for society, such as protection of infrastructure, protection from soil erosion, protection of water resources and from adverse impacts of water such as floods or avalanches.	PARTLY	PCSN I; P5 C3.3 C2.3, 2.4	<p>The Standard gives specific attention to protective functions of forest, particularly to water quality management. The criteria cover in detail erosion, restoration of waters and pollution and protection of ground waters.</p> <p>The Standard also forbids harvesting of below surface biomass.</p> <p>The Standard includes detailed requirements on road construction and operations on particularly on soils sensitive to compression.</p> <p>In general natural water resources (other than canals) are very few in Netherlands and forest owners are proud of any brooks in their lands. Therefore they apply protective management practices voluntarily without any obligations. <b>The Consultant recommends that these practices would be made a clear</b></p>

Question	YES / NO*	Reference to scheme documentation	Consultant's comments
			<i>obligation in the standard as well.</i>
5.5.2 Areas that fulfil specific and recognised protective functions for society shall be registered and mapped, and forest management plans or their equivalents shall take these areas into account.	YES	PCSN I; C1.1, 5.6 Appendix 2 PCSN I; Guideline 1	Conforms to PEFC requirements
5.5.3 Special care shall be given to silvicultural operations on sensitive soils and erosion-prone areas as well as in areas where operations might lead to excessive erosion of soil into watercourses. Inappropriate techniques such as deep soil tillage and use of unsuitable machinery shall be avoided in such areas. Special measures shall be taken to minimise the pressure of animal populations.	YES	PCSN I; C 2.4, 5.1, 5.2, 5.4, 4.9	Conforms to PEFC requirements
5.5.4 Special care shall be given to forest management practices in forest areas with water protection functions to avoid adverse effects on the quality and quantity of water resources. Inappropriate use of chemicals or other harmful substances or inappropriate silvicultural practices influencing water quality in a harmful way shall be avoided.	YES	PCSN I; C 5.2, 5.6, Appendix 2 (appropriate laws) Guideline I	Conforms to PEFC requirements
5.5.5 Construction of roads, bridges and other infrastructure shall be carried out in a manner that minimises bare soil exposure, avoids the introduction of soil into watercourses and preserves the natural level and function of water courses and river beds. Proper road drainage facilities shall be installed and maintained.	YES	PCSN I; C2.4	Conforms to PEFC requirements
<b>Criterion 6: Maintenance of other socio-economic functions and conditions</b>			
5.6.1 Forest management planning shall aim to respect the multiple functions of forests to society, give due regard to the role of forestry in rural development, and especially consider new opportunities for employment in connection with the socio-economic functions of forests.	YES	PCSN I Guideline 1 point 2 a)	Conforms to PEFC requirements
5.6.2 Forest management shall promote the long-term health and well-being of communities within or adjacent to the forest management area.	YES		Conforms to PEFC requirements
5.6.3 Property rights and land tenure arrangements shall be clearly defined, documented and established for the relevant forest area. Likewise, legal, customary and traditional rights related to the forest land shall be clarified, recognised and respected.	YES	PCSN I; C 1.1, 6.7 Guideline 1, 5 a)	Conforms to PEFC requirements

Question	YES / NO*	Reference to scheme documentation	Consultant's comments
5.6.4 Forest management activities shall be conducted in recognition of the established framework of legal, customary and traditional rights such as outlined in ILO 169 and the UN Declaration on the Rights of Indigenous Peoples, which shall not be infringed upon without the free, prior and informed consent of the holders of the rights, including the provision of compensation where applicable. Where the extent of rights is not yet resolved or is in dispute there are processes for just and fair resolution. In such cases forest managers shall, in the interim, provide meaningful opportunities for parties to be engaged in forest management decisions whilst respecting the processes and roles and responsibilities laid out in the policies and laws where the certification takes place.	YES	PCSN I; C6.5, 6.6, 6.7	Conforms to PEFC requirements
5.6.5 Adequate public access to forests for the purpose of recreation shall be provided taking into account respect for ownership rights and the rights of others, the effects on forest resources and ecosystems, as well as compatibility with other functions of the forest.	YES	PCSN I; C 6.8	Conforms to PEFC requirements
5.6.6 Sites with recognised specific historical, cultural or spiritual significance and areas fundamental to meeting the basic needs of local communities (e.g. health, subsistence) shall be protected or managed in a way that takes due regard of the significance of the site.	YES	PCSN I; C 6.9, Guideline 1	Conforms to PEFC requirements
5.6.7 Forest management operations shall take into account all socio-economic functions, especially the recreational function and aesthetic values of forests by maintaining for example varied forest structures, and by encouraging attractive trees, groves and other features such as colours, flowers and fruits. This shall be done, however in a way and to an extent that does not lead to serious negative effects on forest resources, and forest land.	YES	PCSN I; C 4.1, 4.2, 4.3, 4.4, 4.7 Guideline 1; 2 a), b)	Conforms to PEFC requirements
5.6.8 Forest managers, contractors, employees and forest owners shall be provided with sufficient information and encouraged to keep up-to-date through continuous training in relation to sustainable forest management as a precondition for all management	YES	PCSN I; C 6.1, 6.2	Conforms to PEFC requirements

Question	YES / NO*	Reference to scheme documentation	Consultant's comments
planning and practices described in this standard.			
5.6.9 Forest management practices shall make the best use of local forest-related experience and knowledge, such as those of local communities, forest owners, NGOs and local people.	YES	PCSN I; C 6.5, 6.6	Conforms to PEFC requirements
5.6.10 Forest management shall provide for effective communication and consultation with local people and other stakeholders relating to sustainable forest management and shall provide appropriate mechanisms for resolving complaints and disputes relating to forest management between forest operators and local people.	YES	PCSN I; C 6.5	Conforms to PEFC requirements
5.6.11 Forestry work shall be planned, organised and performed in a manner that enables health and accident risks to be identified and all reasonable measures to be applied to protect workers from work-related risks. Workers shall be informed about the risks involved with their work and about preventive measures.	YES	PCSN I; C 6.2, 6.3	Conforms to PEFC requirements
5.6.12 Working conditions shall be safe, and guidance and training in safe working practices shall be provided to all those assigned to a task in forest operations.	YES	PCSN I C 6.2, 6.3	Conforms to PEFC requirements
5.6.13 Forest management shall comply with fundamental ILO conventions.	YES	PCSN I C 6.4	Conforms to PEFC requirements
5.6.14 Forest management shall be based inter-alia on the results of scientific research. Forest management shall contribute to research activities and data collection needed for sustainable forest management or support relevant research activities carried out by other organisations, as appropriate.	PARTLY	PCSN I C 6.6	<p>The Standard requires that relevant knowledge from third parties shall be used for monitoring and evaluation but does not require specifically contributions to research activities.</p> <p>Considering the size of an average (private) forest owner the requirement is not critical in Netherland's context.</p>
<b>Criterion 7: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)</b>			
5.7.1 Forest management shall comply with legislation applicable to forest management issues including forest management practices; nature and environmental protection; protected and endangered species; property, tenure and land-use rights for indigenous people; health, labour and safety issues; and the payment of royalties and taxes.	YES	PCSN I C1.1, Appendix 2	Conforms to PEFC requirements
5.7.2 Forest management shall provide for adequate protection of the forest from unauthorised activities	NA/YES		Conforms to PEFC requirements

Question	YES / NO*	Reference to scheme documentation	Consultant's comments
such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities.			

- \* 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: MINIMUM REQUIREMENTS 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*).

### 2 CHECKLIST

No.	Question	Reference to PEFC Council Procedures	YES / NO*	Reference to scheme documentation	Consultants comments
<b>Certification Bodies</b>					
1.	Does the scheme documentation require that certification shall be carried out by impartial, independent third parties that cannot be involved in the standard setting process as governing or decision making body, or in the forest management and are independent of the certified entity?	Annex 6, 3.1	YES	PCSN IV; C 3.2, 3.3	Conforms to PEFC requirements
2.	Does the scheme documentation require that certification body for forest management certification or chain of custody certification against a scheme specific chain of custody standard shall fulfil requirements defined in ISO 17021 or ISO Guide 65?	Annex 6, 3.1	YES	PCSN IV 3.2	Conforms to PEFC requirements
3.	Does the scheme documentation require that certification body chain of custody certification against Annex 4 ( <b>note:</b> the PEFC checklist refers to expired Annex 4, the document in force is PEFC ST 2002:2010) shall fulfil requirements defined in ISO Guide 65?	Annex 6, 3.1	YES	PCSN IV 3.3	Conforms to PEFC requirements
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	PCSN IV 3.2	Conforms to PEFC requirements
5.	Does the scheme documentation require that certification bodies carrying out C-o-C certifications shall have technical competence in forest based products procurement and processing and material flows in different stages of processing and trading?	Annex 6, 3.1	YES	PCSN IV 3.3 2)	Conforms to PEFC requirements
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	PCSN IV 3.2 3), 3.3 3)	Conforms to PEFC requirements
7.	Does the scheme documentation require that certification bodies have the responsibility to use competent auditors and who have adequate technical know-how on the certification process and issues related to	Annex 6, 3.2	YES	PCSN IV Chapter 4	Conforms to PEFC requirements

No.	Question	Reference to PEFC Council Procedures	YES / NO*	Reference to scheme documentation	Consultants comments
	forest management or chain of custody certification?				
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	PCSN IV 4.1 1), 4.2 1)	Conforms to PEFC requirements
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	PCSN IV 4.1, 4.2	Conforms to PEFC requirements
<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	PCSN IV 3.2 4), 3.3 4)	Conforms to PEFC requirements
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	PCSN IV 3.2 4)	Conforms to PEFC requirements
12.	Does the scheme documentation require that applied certification procedures for chain of custody certification against Annex 4 ( <b>note:</b> the PEFC checklist refers to expired Annex 4, the document in force is PEFC ST 2002:2010) shall fulfil or be compatible with the requirements defined in ISO Guide 65?	Annex 6, 4	YES	PCSN IV 3.3 4)	Conforms to PEFC requirements
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	PCSN IV 3.2 4), 3.3 4)	Conforms to PEFC requirements
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 custody certificates and changes concerning the validity and scope of these certificates?	Annex 6, 4	YES	PCSN IV 5.3.5	Conforms to PEFC requirements
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	YES	PCSN IV 5.2	Conforms to PEFC requirements
16.	Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?	Annex 6, 4	YES	PCSN IV 5.3.3	Conforms to PEFC requirements
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	PCSN IV 5.3.4	Conforms to PEFC requirements
18.	Does the scheme documentation include requirements for public availability of certification report summaries?	Annex 6, 4	YES	PCSN IV 5.2	Conforms to PEFC requirements
19.	Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?	Annex 6, 4	YES	PCSN IV 5.2	Conforms to PEFC requirements

No.	Question	Reference to PEFC Council Procedures	YES / NO*	Reference to scheme documentation	Consultants comments
20.	Does the scheme documentation include additional requirements for certification procedures? <sup>[*1]</sup>	Annex 6, 4	YES	PCSN IV 3.2 5), 3.3 5)	Conforms to PEFC requirements
<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	PCSN IV 3.1	Conforms to PEFC requirements
22.	Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?	Annex 6, 5	YES	PCSN IV 3.1	Conforms to PEFC requirements
23.	Does the scheme documentation require that the accreditation shall be issued by an accreditation body which is a part of the International Accreditation Forum (IAF) umbrella or a member of IAF's special recognition regional groups and which implement procedures described in ISO 17011 and other documents recognised by the above mentioned organisations?	Annex 6, 5	YES	PCSN IV 3.1	Conforms to PEFC requirements
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	PCSN IV 3.1, 3.2, 3.3	Conforms to PEFC requirements
25.	Does the scheme documentation require that certification body undertake chain of custody certification against Annex 4 ( <b>note:</b> the PEFC checklist refers to expired Annex 4, the document in force is PEFC ST 2002:2010) as "accredited certification" based on ISO Guide 65?	Annex 6, 5		PCSN IV 3.1, 3.3	Conforms to PEFC requirements
26.	Does the scheme documentation include a mechanism for PEFC notification of certification bodies?	Annex 6, 6	YES	PCSN IV 3.4	Conforms to PEFC requirements
27.	Are the procedures for PEFC notification of certification bodies non-discriminatory?	Annex 6, 6	YES	Guideline - Notification procedure PEFC Nederland	Conforms to PEFC requirements

\* 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: MINIMUM REQUIREMENTS CHECKLIST FOR SCHEME SPECIFIC CHAIN OF CUSTODY STANDARDS – COMPLIANCE WITH PEFC ST PEFC 2002:2010**

PEFC Certification System Netherlands has adopted ST PEFC 2002:2010.

**PART VI: MINIMUM REQUIREMENTS CHECKLIST FOR SCHEME SPECIFIC CHAIN OF CUSTODY STANDARDS – COMPLIANCE WITH ANNEX 4 OF PEFC TD**

PEFC Certification System Netherlands has adopted ST PEFC 2002:2010.



**Questionnaire on the Development Forest of Certification Schemes**

- 1. When were you invited to participate to the revision process of Forest Certification System of PEFC Netherlands?**

Your answer	Comments

- 2. In your view, were all interested parties given the possibility to participate and contribute to the scheme development and revision?**

Yes	No	Comments

- 3. Did the organisers provide you with relevant material to participate in the scheme development and revision?**

Yes	No	Comments



**4. Was the development and revision process well planned and structured?**

Yes	No	Comments

**5. Were your views considered as appropriate during the development and revision process?**

Yes	No	Comments

**6. Was a consensus reached in the development of the certification criteria?**

Yes	No	Comments



**Annex 2**

**7 Did the participating stakeholders represent the range of interests in forest management in your country? If not, which other interests groups should have participated?**

Yes	No	Comments and proposals

**8. Do you believe any aspects of the scheme deserve further consideration?**

Yes	No	Comments and proposals

**\*Which of the following parties best describes you or your organisation?**

Yes	Representing:
	Administration
	Authorities
	Environmental non-government organisation
	Forest Industry
	Forest owner / manager
	Research institute
	Social non-government organisation
	Trade



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Annex 3

### Assessment of the PEFC Netherlands Forest Certification Scheme - Panel of Experts review

Report chapter / page	Consultant's report statement	PoE member comment	Consultant's response
Abbr/ii	European Accreditation	Full name is European <b>co-operation for Accreditation</b>	Corrected.
2, Sect 4, para 4	"used for monitoring and evaluation but does not require specifically contributions to research activities". .	Meaning not clear, should it be based on research findings or stimulate new research? Rephrase	The Standard requires that forest management should consider information from third parties, including scientific community and the results of the latest research, in monitoring and evaluating the results of forest management. However, contributions to support research activities and data collection are not required.  Sentence clarified in the final report.
8/44	... and relevant certifying bodies accredited by a certification body which is a member ...	... and relevant certifying bodies accredited by <b>an accreditation</b> body which is a member ...	Corrected.
8/44	... includes clear requirements for certification bodies for PEFC accredited certification	<i>PEFC is not an accreditation body and do not accredit any certification bodies. According to Annex 6 PEFC recognise certifications.</i>	The original sentence refers to PEFC certification system, not organisation. Sentence is clarified in the final report.
11, Chpt 5, Conclusion 1, para 1	"based on absolute majority"	<i>Meaning of "absolute" in this context not clear. Does it mean unanimity or a simple majority. Be more specific. (N.B. the term absolute majority usually means that A received more votes than B+C+D.. combined, so cannot apply when the question is simply whether to accept or reject a proposal)</i>	Absolute majority is a term used in the Statutes and means that the number of votes constitutes more than half of the number cast = majority of all directors, not just those who voted.  Clarified in the final report.



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**Annex 3**

Report chapter / page	Consultant's report statement	PoE member comment	Consultant's response
Conclusion 80/46 Et al	The standard requires that the auditors fulfil ISO 19011 criteria, have ...	<i>In the latest issue of ISO/IEC 17021:2011 is ISO 19011 included in the requirements. But in ISO/IEC Guide 65:1996 is ISO 19011 not included. Probably a short note can be included in the report on this.</i>	The note is included as a footnote in the final report.
Conclusion 85/47	... have internal procedures f for chain ...	... have internal procedures for chain ... Delete f	Corrected.
Fig.4.1		...setting in <u>the</u> Netherlands (the article is essential throughout the assessment (see also: the United States)	Both are used "Netherlands and the Netherlands). In the final report the country name is unified throughout the report.
Fig.7.3		...in <u>the</u> Netherlands	See above.
p.1, 1. 3 <sup>rd</sup> chapter		...of NGOs <sub>s</sub> (plural)	Refers for NGO-group (see complete sentence).
p.1, last line		... making was based (or: has been...) rather than has	Sentence corrected.
p.2,3. 2 <sup>nd</sup> + 3 <sup>rd</sup> chapter		...group managers (plural) ...in <u>the</u> Netherlands ... effect in the middle of	Corrected.
p.3, 1.1, 1 <sup>st</sup> chapter		...of <u>the</u> PEFC Council	Corrected.
p.3, 1.1 4 <sup>th</sup> chapter		...in <u>the</u> Netherlands	Corrected.
p4.4, 1.2 last		line ...in Chapter 2 (delete the article)	Corrected.
p.7, 1 <sup>st</sup> line		... by PEFC Netherlands (delete the article)	Corrected.
p.7, 5 <sup>th</sup> line,		Altogether only 3 answers were...	Corrected.
p.7 6 <sup>th</sup> line		in Annex 3 (delete the article)	Corrected.
p.7 7 <sup>th</sup> line		in Annex 1 (delete the article)	Corrected.



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**Annex 3**

Report chapter / page	Consultant's report statement	PoE member comment	Consultant's response
p.8, 4.1.1, 2 <sup>nd</sup> chapter		chapter <u>The</u> Board of Directors (add article)	Corrected.
p.8, 4 <sup>th</sup> chapter		... of NGOs (plural)	Refers to NGO-group.
p.8, 4 <sup>th</sup> chapter 2 <sup>nd</sup> line		...or withdrew	Corrected.
p.8 4.1.1, last chapter		... <u>the</u> public consultation (add article)	Corrected.
p.9, 4.1.2, 2 <sup>nd</sup> line		... <u>letters</u> were (not was)	Corrected.
p.9, 4.1.2, 8 <sup>th</sup> line		... <u>on</u> their website	Corrected.
p.9 4.1.3, 3 <sup>rd</sup> line		I do prefer... small forest owner (rather than micro)	In this context micro describes the forest owner in question better (area of the forest was less than 2 ha).
p.11.Concl.1,		<u>The</u> Board of directors determines	Corrected.
p.12, Concl.3, 4 <sup>th</sup>		chapter <u>A</u> wide range... forest users (plural) in <u>the</u> Netherlands	Corrected.
p.12 Concl.4,		Procedures conform to... (delete the s)	Corrected.
p.13 Concl.7, 2 <sup>nd</sup> line		... or on (or: upon) request (rather than log) ...Standard Setting Procedures ...as well as <u>the</u> Minutes of...	Corrected.
p.14 Concl.8		Procedures conform to... (delete the s) ...website or <u>upon</u> request ( not by)	Corrected.
p.15 Concl.10		...due to time constrains...	Corrected.
p.16 Concl.12		Procedures partly conform to (delete s)	Corrected.
p.17 Concl.12 3 <sup>rd</sup> line		..due <u>to</u> time...	Corrected.
p.17 Concl.12 5 <sup>th</sup> line		The scientific community ... (add the article)	Corrected.



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**Annex 3**

Report chapter / page	Consultant's report statement	PoE member comment	Consultant's response
p.17 Concl.14		Procedures conform to (delete the s)	Corrected.
p.19 Concl.18 Last but one chapter, last line		...in the Netherlands	Corrected.
p.20 Concl.19		in the Netherlands	Corrected.
p.20 Concl.2		letters were sent (plural)	Corrected.
p.21 Concl.23 last line, last word		or: a letter was sent requirements (see also above) This should be corrected throughout the text either singular or plural (not a mixture) I prefer the S.	Error not found here but corrected elsewhere in the final report.
p.25 Concl. 31		... the country's context	Kept as in the draft version.
p.27 Concl.36		...after <u>the</u> public consultation	Corrected.
p.28 Concl.40		...to reach all Forum (rather than achieve) Them <u>with</u> opportunities	Corrected.
p.32 Concl.48		...also be <u>a</u> group of	Corrected.
p.33 Concl.54		..The forest owners should... (or: shall?)	Corrected.
p.37 Concl.65 2 <sup>nd</sup> chapter		...in <u>the</u> Netherlands	Corrected.
P37 Conclusion 65	"Standard partly conforms.."	It does seem that this requirement is met by implication even if not fully spelled out	This issue was a topic of detailed discussions during the field visits. The consultant sees that the basic requirements of PEFC Standard are met but the monitoring and review coverage and frequency should be described more clearly. The current formulation relies on the requirements given in certification procedures (PCSN IV - 5.3.3 Follow up and surveillance audits)



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**Annex 3**

Report chapter / page	Consultant's report statement	PoE member comment	Consultant's response
p.42 Crit.3		...in the Netherlands	Corrected.
p.42 Crit. 5.6.2		...in the Netherlands	Corrected.
p.42 Crit. 5.6.13		...in the Netherlands	Corrected.
p.42 Crit. 5.7.2		...in the Netherlands	Corrected.
42, 5.6.14	Partly conforms	Although not spelled out it seems inconceivable that if requested a forest owner would not permit research activities or data collection	The consultant does not believe this to happen either but from the auditors point of view this obligation needs to be clearly spelled out in the requirements.
p.43 Crit. 7.3		Ratification... in the Netherlands	Corrected.
p.44, 8, 5 <sup>th</sup> line		Other documents (plural)	Corrected.
p.46, Concl. 82		In addition to ISO (delete the)	Corrected.
48, Conclusion 60, line 3	"practise"	A minor point but it should be "practice".	Corrected.
<b>PEFC Council Checklist</b>			
p. 19, 4.1.b.		...some criteria <u>are</u> completed (not is)	Corrected.
p.29, 5.6.13		ILO conventions <u>and other relevant ones</u>	The GL 2/2011 (as available at <a href="http://www.pefc.org/standards/technical-documentation/pefc-guides-2010">http://www.pefc.org/standards/technical-documentation/pefc-guides-2010</a> ) refers only to ILO conventions.



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