

PEFC COUNCIL MINIMUM REQUIREMENTS CHECKLIST FOR STANDARD SETTING

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Part I: Standard and System Requirements Checklist for Standard Setting Procedures and Process (PEFC ST 1001:2017)

1 Scope

This checklist covers the requirements for standard setting procedures and process as defined in the revised 2017 issue of PEFC ST 1001, *Standard Setting – Requirements*.

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

2 Checklist

PEFC benchmark requirement	Assess. basis*	YES / NO	Reference to system documentation (including quotation of relevant text)
Standardising Body			
5.1.1 The standardising body shall have written procedures for standard-setting activities describing:			
(a) its legal status and organisational structure, including a body responsible for consensus-building (working group, refer to 6.4) and procedures for formal adoption of the standard (refer to 7.1)	Procedures	YES	SSP 4/2020: 5.1, 6.4, 7.1
(b) procedures for keeping documented information	Procedures	YES	SSP 4/2020: 5.2
(c) procedures for balanced representation of stakeholders	Procedures	YES	SSP 4/2020: 6.2, 6.4
(d) the standard-setting process	Procedures	YES	SSP 4/2020: 4.1, 5.1
(e) the mechanism for reaching consensus, and	Procedures	YES	SSP 4/2020: 6.4.5 – 6.4.8
(f) review and revision of standard(s)/normative document(s).	Procedures	YES	SSP 4/2020: 8 & 9
5.1.2 The standardising body shall make its standard-setting procedures publicly available and shall review its standard-setting procedures regularly. The review shall consider feedback from stakeholders.	Procedures	YES	SSP 4/2020: 5.1.3 • SSP 4/2020 is available for download from MTCC website.
	Process		

PEFC Checklist - Standard Setting Procedures and Process (PEFC ST 1001:2017)

PEFC benchmark requirement	Assess. basis*	YES / NO	Reference to system documentation (including quotation of relevant text)
			<ul style="list-style-type: none"> the current SSP is the 4th revision. revision of the SSP was based on feedbacks received from stakeholders and in accordance with latest PEFC requirements.
5.2.1 The standardising body shall keep documented information relevant to the standard-setting and review process. Evidence of compliance with the requirements of this standard and the standardising body's own procedures includes:			
(a) Standard-setting procedures	Procedures	YES	SSP 4/2020: 5.1 <ul style="list-style-type: none"> It is to be noted that the standard review process commenced in 2015 and was conducted in accordance with SSP3/2014. A synopsis of the Standard Setting procedures is contained in the MC&I SFM development report.
	Process		
(b) Stakeholder identification mapping	Procedures	YES	SSP 4/2020: 6.2 <ul style="list-style-type: none"> 2015 Stakeholder mapping/ updating of stakeholder listing
	Process		
(c) Contacted and/or invited stakeholders	Procedures	YES	SSP 4/2020: 6.3.1 <ul style="list-style-type: none"> Email/letter sent to the stakeholders. Stakeholder were also invited to suggest additional organisations to be included, if any.
	Process		

PEFC Checklist - Standard Setting Procedures and Process (PEFC ST 1001:2017)

PEFC benchmark requirement	Assess. basis*	YES / NO	Reference to system documentation (including quotation of relevant text)
(d) Stakeholders involved in standard-setting activities including participants in each working group meeting	Procedures	YES	SSP 4/2020: 6.3.1 (d) and 6.4 <ul style="list-style-type: none"> Standard Review Committee (SRC) nominations and membership. Attendance of Stakeholder at Regional Consultations
	Process		
(e) Feedback received and a synopsis of how feedback was addressed	Procedures	YES	SSP 4/2020: 5.3.2, 6.3.2, 6.5.1 (f), (g) <ul style="list-style-type: none"> Compilation of comments/feedbacks, Minutes of SRC Meeting, Announcement on MTCC website
	Process		
(f) All drafts and final versions of the standard	Procedures	YES	SSP 4/2020: 5.2.1 (f) <ul style="list-style-type: none"> MC&I Drafts
	Process		
(g) Outcomes from working group considerations	Procedures	YES	SSP 4/2020: 6.4.5 <ul style="list-style-type: none"> Minutes of SRC Meetings
	Process		
(h) Evidence of consensus on the final version of the standard(s)	Procedures	YES	SSP 4/2020: 6.4.5 <ul style="list-style-type: none"> Minutes of SRC Meetings
	Process		
(i) Evidence relating to the review process, and	Procedures	YES	SSP 4/2020: 5.2.1 <ul style="list-style-type: none"> Development report, Minutes of SRC Meetings
	Process		
(j) Final approval by the standardising body.	Procedures	YES	SSP 4/2020: 5.2.1 (j) <ul style="list-style-type: none"> Board of Trustee Minutes of Meeting
	Process		
5.2.2 Documented information shall be kept until completion of the next review or revision of the standard to which they refer. Otherwise	Procedures	YES	SSP 4/2020: 5.2.2
	Process		

PEFC Checklist - Standard Setting Procedures and Process (PEFC ST 1001:2017)

PEFC benchmark requirement	Assess. basis*	YES / NO	Reference to system documentation (including quotation of relevant text)
the documented information must be kept for a minimum of five years after publication of the standard.			<ul style="list-style-type: none">All relevant documented information is kept in both digital and physical form at MTCC
5.2.3 Documented information shall be available to interested parties upon request.	Procedures	YES	SSP 4/2020: 5.2.2, 7.2.3 and 7.2.4
	Process		
5.3.1 The standardising body shall establish procedure(s) for dealing with any substantial and process complaints and appeals relating to its standard-setting activities. It must make procedure(s) accessible to stakeholders. Upon receipt of a complaint or appeal, the standardising body shall:			
(a) acknowledge receipt of the complaint or appeal to the complainant,	Procedures	YES	SSP 4/2020: 5.3.1 (a) DRP 4/2019: 4.1.2, 5.1.2
	Process		
(b) gather and verify all necessary information to validate the complaint or appeal, evaluate the subject matter of the complaint or appeal impartially and objectively, and make a decision regarding the complaint or appeal,	Procedures	YES	SSP 4/2020: 5.3.1 (b) DRP 4/2019: 4.1 – 4.5, 5.1 – 5.5
	Process		
(c) formally communicate the decision on the complaint or appeal to the complainant and describe the handling process.	Procedures	YES	SSP 4/2020: 5.3.1 (c) DRP 4/2020: 4.5.6, 5.5.6
	Process		
5.3.2 The standardising body shall establish at least one contact point for enquiries, complaints and appeals relating to its standard-setting activities. The contact point shall be easy to access and readily available.	Procedures	YES	SSP 4/2020: 5.3.2 <ul style="list-style-type: none">Contact point indicated on MTCC Website, specifically in the standard review segment - http://mtcc.com.my/review-of-mci-natural-forest/
	Process		
Standard-setting process			

PEFC Checklist - Standard Setting Procedures and Process (PEFC ST 1001:2017)

PEFC benchmark requirement	Assess. basis*	YES / NO	Reference to system documentation (including quotation of relevant text)
6.1.1 For the creation of a new standard, the standardising body shall develop a proposal including:			
(a) the scope of the standard,	Procedures	YES	SSP 4/2020: 6.1.1 (a) • No formulation of new standard under the MTCS
	Process		
(b) a justification of the need for the standard,	Procedures	YES	SSP 4/2020: 6.1.1 (b)
	Process		
(c) a clear description of the intended outcomes	Procedures	YES	SSP 4/2020: 6.1.1 (c)
	Process		
(d) a risk assessment of potential negative impacts arising from implementing the standard, such as • factors that could affect the achievement of the outcomes negatively, • unintended consequences of implementation, • actions to address the identified risks, and (e) a description of the stages of standard development and their expected timetable. NOTE Guidance for development of a proposal and justification is given in ISO Directives, Part 1, Annex C and Annex SL (Appendix 1).	Procedures	YES	SSP 4/2020: 6.1.1 (d)-(e)
	Process		
6.1.2 For the revision of a standard the proposal shall cover at least (a) and (e) of clause 6.1.1.	Procedures	YES	SSP 4/2020: 6.1.2 • (a) – covered, MC&I SFM Scope of the standard • (e) – covered, Review process timeline, MC&I SFM Development report
	Process		

PEFC Checklist - Standard Setting Procedures and Process (PEFC ST 1001:2017)

PEFC benchmark requirement	Assess. basis*	YES / NO	Reference to system documentation (including quotation of relevant text)
6.2.1 The standardising body shall identify stakeholders relevant to the objectives and scope of the standard-setting activities by means of a stakeholder identification mapping exercise. It shall define which stakeholder groups are relevant to the subject matter and why. For each stakeholder group the standardising body shall identify the likely key issues, key stakeholders, and which means of communication would be best to reach them.	Procedures	YES	SSP 4/2020: 6.2.1 • Stakeholder Mapping 2015
	Process		
6.2.2 Identification of stakeholder groups shall be based on nine major stakeholder groups as defined by Agenda 21 of the <i>United Nations Conference on Environment and Development</i> (UNCED) in Rio de Janeiro in 1992. At least the following groups shall be included in the stakeholder mapping: <ul style="list-style-type: none"> • forest owners, • business and industry, • indigenous people, • non-government organisations, • scientific and technological community, • workers and trade unions. <p>Other groups shall be added if relevant to the scope of standard-setting activities.</p> <p>NOTE The full list of nine major stakeholder groups defined by Agenda 21 of the <i>United Nations Conference on Environment and Development</i> consists of: (i) business and industry, (ii) children and youth, (iii) forest owners, (iv) indigenous peoples, (v) local authorities, (vi) non-government organisations, (vii) scientific and technological community, (viii) women, and (ix) workers and trade unions.</p>	Procedures	YES	SSP 4/2020: 6.2.2 <ul style="list-style-type: none"> • Stakeholder Mapping 2015 included the major groups as defined by Agenda 21 of UNCED. • The listing is continuously updated and includes all relevant stakeholders identified by MTCC. • To ensure a comprehensive list, MTCC also requested stakeholders to submit information regarding other organisations that should also be included in the list.
	Process		
	Procedures	YES	SSP 4/2020:

PEFC Checklist - Standard Setting Procedures and Process (PEFC ST 1001:2017)

PEFC benchmark requirement	Assess. basis*	YES / NO	Reference to system documentation (including quotation of relevant text)
6.2.3 The standardising body shall identify disadvantaged stakeholders and key stakeholders and address any constraints to their participation in standard-setting activities. NOTE A stakeholder can be both a disadvantaged and a key stakeholder at the same time.	Process		6.2.3 <ul style="list-style-type: none">Stakeholder Mapping 2015MTCC provides financial assistance for disadvantaged stakeholders to participate in the standard review process. Attached letter of invitation with such provision included.
6.3.1 The standardising body shall make a public announcement of the start of the standard-setting process and include an invitation to stakeholders to participate in the process. The announcement shall be made in a timely manner through suitable media, as appropriate, to give stakeholders an opportunity for meaningful contributions. NOTE 1 <i>In a timely manner</i> means (at the latest) four weeks before the first standard-setting activity is scheduled to occur. NOTE 2 <i>Through suitable media</i> means at least through the standardising body's website and by email and/or letter to identified stakeholders. Other media includes press releases, news articles, features in trade-press, information sent to branch organisations, social media, digital media, etc.	Procedures	YES	SSP 4/2020: 6.3.1 <ul style="list-style-type: none">MTCC Website announcement, email and letters to stakeholders
	Process		
6.3.1 The announcement and invitation shall include:			
(a) overview of the standard-setting process,	Procedures	YES	SSP 4/2020: 6.3.1 (a)
	Process		
	Procedures	YES	SSP 4/2020:

PEFC Checklist - Standard Setting Procedures and Process (PEFC ST 1001:2017)

PEFC benchmark requirement	Assess. basis*	YES / NO	Reference to system documentation (including quotation of relevant text)
(b) access to the proposal for the standard (refer to 6.1),	Process		6.3.1 (b)
(c) information about opportunities for stakeholders to participate in the process,	Procedures	YES	SSP 4/2020: 6.3.1 (c)
	Process		
(d) requests to stakeholders to nominate their representative(s) or themselves to the working group (refer to 6.4). The request to disadvantaged stakeholders and key stakeholders shall be made in a manner that ensures that the information reaches intended recipients and in a format that is easy to understand,	Procedures	YES	SSP 4/2020: 6.3.1 (d)
	Process		
(e) explicit invitation and clear instruction on how to submit feedback on the scope and standard-setting process, and	Procedures	YES	SSP 4/2020: 6.3.1 (e)
	Process		
(f) access to the standard-setting procedures.	Procedures	YES	SSP 4/2020: 6.3.1 (f)
	Process		
6.3.2 The standardising body shall review the standard-setting process based on feedback received in response to the public announcement.	Procedures	YES	SSP 4/2020: 6.3.2 <ul style="list-style-type: none"> Minutes of SRC Meeting, Feedback compilations.
	Process		
6.4.1 The standardising body shall establish a permanent or temporary working group or adjust the composition of an already existing working group based on nominations it received. Acceptance and refusal of nominations shall be justified in relation to the requirements for balanced representation of the working group, considerations of an appropriate gender balance, relevance of the organisation, an individual's competence, an individual's relevant experience and resources available for standard-setting.	Procedures	YES	SSP 4/2020: 6.4.1 <ul style="list-style-type: none"> Stakeholders are categorised into five groups in accordance with specific interests i.e. environmental, economy/industry, social (indigenous), social (workers) and relevant government agencies. Nominations were invited from stakeholder groups and selection of
	Process		

PEFC Checklist - Standard Setting Procedures and Process (PEFC ST 1001:2017)

PEFC benchmark requirement	Assess. basis*	YES / NO	Reference to system documentation (including quotation of relevant text)
			representatives to the SRC was made by the respective groups.
6.4.2 The working group shall:			
(a) have balanced representation and decision-making by stakeholder categories, relevant to the subject matter and geographical scope of the standard, where no single concerned stakeholder group can dominate, nor be dominated in the process, and	Procedures	YES	SSP 4/2020: 6.4.2 (a) <ul style="list-style-type: none"> SRC nomination, SRC representatives
	Process		
(b) include stakeholders with expertise relevant to the subject matter of the standard, those that affected by the standard, and those that can influence implementation of the standard. The affected stakeholders shall be represented in an appropriate proportion among participants.	Procedures	YES	SSP 4/2020: 6.4.2 (b) <ul style="list-style-type: none"> SRC nomination, SRC representatives
	Process		
6.4.3 In order to achieve balanced representation, the standardising body shall strive to have all identified stakeholder groups (refer to 6.2) represented. The standardising body shall set targets for the participation of key stakeholders and proactively seek their participation by using outreach such as (but not limited to) personal emails, phone calls, meeting invitations etc. NOTE When a stakeholder group is not represented and key stakeholders cannot be encouraged to participate, the standardising body may consider alternative options.	Procedures	YES	SSP 4/2020: 6.4.3 <ul style="list-style-type: none"> SRC nomination, SRC representatives
	Process		
6.4.4 Activities of the working group shall be organised in an open and transparent manner where:			
(a) working drafts shall be available to all members of the working group,	Procedures	YES	SSP 4/2020: 6.4.4 (a) <ul style="list-style-type: none"> Email and letters to SRC Members
	Process		

PEFC Checklist - Standard Setting Procedures and Process (PEFC ST 1001:2017)

PEFC benchmark requirement	Assess. basis*	YES / NO	Reference to system documentation (including quotation of relevant text)
(b) all members of the working group shall be given meaningful opportunities to contribute to the development or revision of the standard and to provide feedback on working drafts, and	Procedures	YES	SSP 4/2020: 6.4.4 (b) • Email and letters to SRC Members, SRC Meeting Minutes
	Process		
(c) feedback and views given by any member of the working group shall be considered in an open and transparent way where the outcome of these considerations is recorded.	Procedures	YES	SSP 4/2020: 6.4.4 (c) • Minutes of SRC Meeting.
	Process		
6.4.5 The decision of the working group to recommend the final draft for formal approval shall be taken on the basis of consensus. In order to determine whether there is any sustained opposition, the working group can utilise the following methods:			
(a) face-to face meeting(s) where there is a verbal yes/no vote, a show of hands for a yes/no vote; a statement on consensus from the Chair when there are no dissenting voices or hands (votes); a formal ballot, etc.,	Procedures	YES	SSP 4/2020: 6.4.5 (a) • Minutes of SRC Meeting (Note: MTCC has been fortunate that the SRC has adopted the final draft of MC&I SFM at the Fifth Meeting of the SRC by consensus.)
	Process		
(b) telephone conference meeting(s) where there is a verbal yes/no vote,	Procedures	YES	SSP 4/2020: 6.4.5 (b)
	Process		
(c) e-mail request to the working group for agreement or objection where the members provide a formal (written) response (vote),	Procedures	YES	SSP 4/2020: 6.4.5 (c)
	Process		
(d) combinations of these methods.	Procedures	YES	SSP 4/2020: 6.4.5 (d)
	Process		
6.4.6 Where a vote is used in decision-making, the standard-setting procedures shall determine and include decision-making thresholds that quantifies consensus. The threshold must be consistent with the consensus definition (refer to 3.1). However, a	Procedures	YES	SSP 4/2020: 6.4.6
	Process		

PEFC Checklist - Standard Setting Procedures and Process (PEFC ST 1001:2017)

PEFC benchmark requirement	Assess. basis*	YES / NO	Reference to system documentation (including quotation of relevant text)
majority vote cannot override sustained opposition in order to achieve consensus.			
6.4.7 When there is sustained opposition to a substantial issue, the issue shall be resolved using the following methods:			
(a) finding a compromise through discussion and negotiation on the disputed issue within the working group,	Procedures	YES	SSP 4/2020: 6.4.7 (a) • SRC Meeting Minutes
	Process		
(b) finding a compromise through direct negotiation between the stakeholder(s) making the objection and other stakeholders with different views on the disputed issue,	Procedures	YES	SSP 4/2020: 6.4.7 (b) • SRC Meeting Minutes
	Process		
(c) additional round(s) of public consultation (if necessary) where further stakeholder input can help to achieve consensus on unresolved issues. The standardising body determines the scope and duration of any additional public consultation.	Procedures	YES	SSP 4/2020: 6.4.7 (c) • SRC Meeting Minutes, Public consultation comments compilation
	Process		
6.4.8 When a substantial issue cannot be resolved and sustained opposition persists, the standardising body shall initiate dispute resolution in accordance with its procedures for impartial and objective action.	Procedures	YES	SSP 4/2020: 6.4.8 DRP 4/2019: 4.1 • There is no substantial issue requires the convening of the Dispute Resolution Committee during the review of the MC&I.
	Process		
6.5.1 The standardising body shall organise public consultation on the enquiry draft and shall ensure that:			
(a) the start and the end dates of public consultation are announced in a timely manner through suitable media, NOTE <i>In a timely manner</i> means (at the latest) the day before the start of public consultation.	Procedures	YES	SSP 4/2020: 6.5.1 (a) • Website announcement and email circulation on public consultation
	Process		

PEFC Checklist - Standard Setting Procedures and Process (PEFC ST 1001:2017)

PEFC benchmark requirement	Assess. basis*	YES / NO	Reference to system documentation (including quotation of relevant text)
(b) a direct invitation to comment on the enquiry draft is sent to each stakeholder identified by stakeholder identification mapping (refer to 6.2) aiming for a balanced participation of stakeholder groups,	Procedures	YES	SSP 4/2020: 6.5.1 (b) <ul style="list-style-type: none"> Identified stakeholder mapping, Email and letter to stakeholders.
	Process		
(c) invitations are sent to disadvantaged and key stakeholders by methods that ensure they reach recipients and are easy to understand,	Procedures	YES	SSP 4/2020: 6.5.1 (c) <ul style="list-style-type: none"> Identified stakeholder mapping, Email and letter to stakeholders.
	Process		
(d) the enquiry draft is made publicly available,	Procedures	YES	SSP 4/2020: 6.5.1 (d) <ul style="list-style-type: none"> Website announcement and link for download
	Process		
(e) public consultation is for at least 60 days,	Procedures	YES	SSP 4/2020: 6.5.1 (e) <ul style="list-style-type: none"> Website announcement Email and letter to stakeholders
	Process		
(f) all feedback is considered by the working group in an objective manner, and	Procedures	YES	SSP 4/2020: 6.5.1 (f) <ul style="list-style-type: none"> Compilation of comments Minutes of SRC Meeting
	Process		
(g) a synopsis of feedback is compiled for each material issue, including the outcome of considering the issue. The synopsis is made publicly available (e.g. on a website) and is sent to each stakeholder/party that gave feedback. NOTE For clarity the standardising body's synopsis may aggregate responses on material issues where there was similar feedback from different stakeholders. However, best practice would be to publish each piece of original	Procedures	YES	SSP 4/2020: 6.5.1 (g) <ul style="list-style-type: none"> Website announcement, responses on the comments by the SRC
	Process		

PEFC Checklist - Standard Setting Procedures and Process (PEFC ST 1001:2017)

PEFC benchmark requirement	Assess. basis*	YES / NO	Reference to system documentation (including quotation of relevant text)
feedback and the response, to allow each stakeholder to identify its own feedback.			
6.5.2 For new standards the standardising body shall organise a second round of public consultation lasting at least 30 days.	Procedures	YES	SSP 4/2020: 6.5.2 • MC&I SFM is a revised standard
	Process		
6.6 The standardising body shall organise pilot testing of new standard(s) to assess the clarity, auditability and feasibility of the requirements. The working group shall consider the outcome of pilot testing. NOTE Pilot testing is not required for revision of an existing standard when experience from its usage can substitute for pilot testing.	Procedures	YES	SSP 4/2020: 6.6
	Process		
Approval and Publication			
7.1 The standardising body shall approve the standard(s)/normative document(s) formally when there is evidence of consensus among the working group.	Procedures	YES	SSP 4/2020: 7.1 • SRC Meeting Minutes, BoT Meeting Minutes
	Process		
7.2.1 The formally approved standard(s)/normative document(s) shall be published and made publicly available at no cost within 14 days of approval, or as otherwise defined by the standardising body.	Procedures	YES	SSP 4/2020: 7.2.1 • Website announcement
	Process		
7.2.2 Standard(s) shall include:			
(a) identification and contact information for the standardising body,	Procedures	YES	SSP 4/2020: 7.2.2 (a) • MC&I SFM (Front Page)
	Process		
(b) official language of the standard,	Procedures	YES	SSP 4/2020: 7.2.2 (b) • the official language of MC&I SFM is English
	Process		

PEFC Checklist - Standard Setting Procedures and Process (PEFC ST 1001:2017)

PEFC benchmark requirement	Assess. basis*	YES / NO	Reference to system documentation (including quotation of relevant text)
			(indicated on the inside cover of standard)
(c) a note that when there is inconsistency between versions, the English version of the standard as endorsed by the PEFC Council is the reference.	Procedures	YES	SSP 4/2020: 7.2.2 (c) <ul style="list-style-type: none">indicated on the inside cover of MC&I SFM that when there is inconsistency, the English version of the document is the reference.
	Process		
(d) The approval date and the date of next periodic review NOTE The date of next periodic review may be within a shorter period than five years based on (for example) stakeholder expectations or other foreseen developments.	Procedures	YES	SSP 4/2020: 7.2.2 (d) <ul style="list-style-type: none">MC&I SFM – approval date 5 March 2020. The next periodic review is to commence on5 March 2025.
	Process		
7.2.3 Printed copies shall be made available upon request at a price that covers no more than administrative costs (if any)	Procedures	YES	SSP 4/2020: 7.2.3 <ul style="list-style-type: none">Printed copies are available upon request.
	Process		
7.2.4 The standardising body shall make the development report (refer to PEFC GD 1007) publicly available	Procedures	YES	SSP 4/2020: 7.2.4 <ul style="list-style-type: none">Development report accessible on MTCC website
	Process		
Periodic review of standards			
8.1 The standard(s)/normative document(s) shall be reviewed at intervals that do not exceed a five-year period. The review shall be based on consideration of feedback received during the standard’s implementation and a gap analysis. If necessary, a stakeholder consultation shall be organised to obtain further feedback and input.	Procedures	YES	SSP 4/2020: 8.1 <ul style="list-style-type: none">Review of the forest management standards follow the five-year period, while other documents are updated in accordance with PEFC revisions of technical
	Process		

PEFC Checklist - Standard Setting Procedures and Process (PEFC ST 1001:2017)

PEFC benchmark requirement	Assess. basis*	YES / NO	Reference to system documentation (including quotation of relevant text)
			documentation or as and when necessary (i.e. where there are gaps or requirement for additional clarification) and approved by MTCC Board of Trustees.
8.2.1 The standardising body shall establish and maintain a permanent mechanism for collecting and recording feedback on a standard. This mechanism shall be accessible on the website of the standardising body and/or PEFC National Governing Body with clear directions for providing feedback. NOTE Feedback can be sent in various formats: comments, requests for clarification and/or interpretation, complaints, etc.	Procedures	YES	SSP 4/2020: 8.2.1 <ul style="list-style-type: none"> contact point has been established in MTCC Website (Contact Us). Mechanism established for collecting and recording feedback from stakeholders on MTCC website.
	Process		
8.2.2 All feedback received through all channels, including meetings, training courses, etc. shall be recorded and considered.	Procedures	YES	SSP 4/2020: 8.2.2 <ul style="list-style-type: none"> Mechanism for collecting and recording feedback established and a Master list to compile these feedbacks and action taken to address them.
	Process		
8.3.1 At the start of a review, the standardising body shall evaluate the standard against appropriate PEFC International standards, national laws and regulations, and other relevant standards to identify potential gaps in the standard.	Procedures	YES	SSP 4/2020: 8.3.1 <ul style="list-style-type: none"> Evaluation of the standard was not conducted prior to the review in 2015 as this requirement came later in 2017. Nonetheless, a stakeholder dialogue was conducted prior to the start of the review to obtain feedback on the
	Process		

PEFC Checklist - Standard Setting Procedures and Process (PEFC ST 1001:2017)

PEFC benchmark requirement	Assess. basis*	YES / NO	Reference to system documentation (including quotation of relevant text)
			proposed scope of review. Following announcement on the review process, a public consultation was conducted. Comments and feedback received on the review process and the standard being reviewed were considered by the SRC. Gap analysis was conducted by the standardising body against the appropriate PEFC International Standards during the review process.
8.3.2 The standardising body shall consider the latest scientific knowledge, research and relevant emerging issues.	Procedures	YES	SSP 4/2020: 8.3.2 <ul style="list-style-type: none"> Consideration on any latest scientific knowledge, research and relevant emerging issues were undertaken during the SRC meetings.
	Process		
8.4.1 Where the feedback and the gap analysis do not identify a need to revise the standard, the standardising body shall organise stakeholder consultation to determine whether stakeholders see a need for revising the standard. The standardising body shall include the gap analysis in the stakeholder consultation.	Procedures	YES	SSP 4/2020: 8.4.1 <ul style="list-style-type: none"> Stakeholder dialogue was conducted prior to the announcement on the review process.
	Process		
8.4.2 At the start of a review, the standardising body shall update the stakeholder identification mapping (refer to clause 6.2).	Procedures	YES	SSP 4/2020: 8.4.2 <ul style="list-style-type: none"> Stakeholder Mapping 2015.
	Process		

PEFC Checklist - Standard Setting Procedures and Process (PEFC ST 1001:2017)

PEFC benchmark requirement	Assess. basis*	YES / NO	Reference to system documentation (including quotation of relevant text)
8.4.3 The standardising body shall organise:			
(a) a public consultation period of at least 30 days (following the requirements of clause 6.5.1) and/or,	Procedures	YES	SSP 4/2020: 8.4.3 (a) <ul style="list-style-type: none"> 1st Public consultation was conducted for 60 days, from 16 Nov 2015 to 15 Jan 2016.
	Process		
(b) stakeholder meetings.	Procedures	YES	SSP 4/2020: 8.4.3 (b) <ul style="list-style-type: none"> Stakeholder dialogue was conducted on 28 July 2015. Regional consultations was conducted in: <ul style="list-style-type: none"> - Kota Kinabalu on 2 July 2019 - Kuching on 4 July 2019 - Kuala Lumpur on 9 July 2019
	Process		
8.4.4 The standardising body shall announce the review in a timely manner (refer to 6.3).	Procedures	YES	SSP 4/2020: 8.4.4 <ul style="list-style-type: none"> The start of the review process was announced on 9 Oct 2015 on MTCC Website and through e-mail circulation.
	Process		
8.5.1 Based on the feedback received during the period of a standard's implementation, the outcome of the gap analysis and the consultations, the standardising body shall decide whether to reaffirm the standard or whether a revision of the standard is necessary.	Procedures	YES	SSP 4/2020: 8.5.1 <ul style="list-style-type: none"> Decision to revise the standard was made following the Stakeholder dialogue 2015.
	Process		
8.5.2 The decision shall be made at the highest decision-making level of the standardising body	Procedures	YES	SSP 4/2020: 8.5.2
	Process		

PEFC Checklist - Standard Setting Procedures and Process (PEFC ST 1001:2017)

PEFC benchmark requirement	Assess. basis*	YES / NO	Reference to system documentation (including quotation of relevant text)
			<ul style="list-style-type: none">Decision to review the standard was made by the 63rd BOT Meeting held on 11 June 2015.
8.5.3 Where the decision is to reaffirm a standard, the standardising body shall provide a justification for the decision and make the justification publicly available.	Procedures	YES	SSP 4/2020: 8.5.3 <ul style="list-style-type: none">Decision was made to revise the standard
	Process		
8.5.4 Where the decision is to revise the standard, the standardising body shall specify the type of revision (normal or editorial revision).	Procedures	YES	SSP 4/2020: 8.5.4 <ul style="list-style-type: none">Decision was made for a normal revision of the standard. At the time the decision was made, the option for normal or editorial revision was not yet in place.
	Process		
Revision of standards			
9.1 Procedures for revision of standard(s)/normative document(s) shall conform to those stated in section 6. A normal revision can occur at the periodic review, or between periodic reviews, but does not include editorial revisions and time-critical revisions.	Procedures	YES	SSP 4/2020: 9.1 <ul style="list-style-type: none">A normal revision was conducted.
	Process		
9.2 Editorial revisions can be made without triggering the normal revision process. The standardising body shall approve the editorial changes formally and publish an amendment or a new edition of the standard.	Procedures	YES	SSP 4/2020: 9.2 <ul style="list-style-type: none">A normal revision was conducted.
	Process		
9.3.1 A time-critical revision is a revision between two periodic reviews using a fast-track process.	Procedures	YES	SSP 4/2020: 9.3.1 <ul style="list-style-type: none">No time-critical revision was conducted
	Process		
9.3.2 A time-critical revision can be conducted only in the following situations:			

PEFC Checklist - Standard Setting Procedures and Process (PEFC ST 1001:2017)

PEFC benchmark requirement	Assess. basis*	YES / NO	Reference to system documentation (including quotation of relevant text)
(a) Change in national laws and regulations affecting compliance with PEFC International requirements	Procedures	YES	SSP 4/2020: 9.3.2 (a), (b) • No time-critical revision was conducted
	Process		
(b) Instruction by PEFC International to comply with specific or new PEFC requirements within a timescale that is too short for a normal revision.	Procedures	YES	
	Process		
9.3.3 The time-critical revision shall follow these steps:			
(a) The standardising body shall draft the revised standard,	Procedures	YES	SSP 4/2020: 9.3.3 (a) – (d) • No time-critical revision was conducted
	Process		
(b) The standardising body may consult stakeholders, but it is not mandatory,	Procedures	YES	
	Process		
(c) The revised standard shall be approved formally at the highest appropriate decision-making level of the standardising body,	Procedures	YES	
	Process		
(d) The standardising body shall explain the justification for the urgent change(s) and make the justification publicly available.	Procedures	YES	
	Process		
9.4.1 A revision shall define the application date and transition period of the revised standard(s)/normative document(s).	Procedures	YES	SSP 4/2020: 9.4.1, 9.4.2, 9.4.3 • The approval date (5 Mar 2020), publication date (19 Mar 2020) and application date (1 Jan 2021) are stated on the inside cover of the standard. • The transition period between the publication and application date is 9 months to allow conduct of training on the revised standard and PEFC endorsement process.
	Process		
9.4.2 An application date shall not be more than one year after the publication of the standard. This allows time for endorsement of the revised standard(s)/normative document(s), introduction of change(s), information dissemination and training.	Procedures	YES	
	Process		
9.4.3 The transition period shall not exceed one year. The standardising body may determine a longer period when justified by exceptional circumstances.	Procedures	YES	
	Process		

PEFC Checklist - Standard Setting Procedures and Process (PEFC ST 1001:2017)

PEFC benchmark requirement	Assess. basis*	YES / NO	Reference to system documentation (including quotation of relevant text)
			<ul style="list-style-type: none">• Nonetheless, due to the current situation with regard to the Covid-19 pandemic which has disrupted planned activities, the transition period will need to be reviewed.

3 Application documentation

The application for the endorsement and mutual recognition as defined in PEFC GD 1007 shall include information which enables the assessment of the applicant system's compliance with the PEFC Council requirements.

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

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

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

Part II: Standard and System Requirements Checklist for Group Forest Management Certification (PEFC ST 1002:2018)

1 Scope

This checklist covers requirements for sustainable forest management as defined in PEFC ST 1002:2018, Group Forest Management Certification – Requirements.

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

2 Checklist

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
4. Context of the group organisation		
4.1 Understanding the group organisation and its context The standard shall define how relevant external and internal issues of the group organisation shall be determined. A general framework for the group organisation shall be determined:		
a) regional groups: group of forest owners/managers defined by regional borders and	YES	GFMC 3/2020: 4.1 (a)
b) other groups and/or	YES	GFMC 3/2020: 4.1 (b)
c) whether there are any other specific circumstances which influence the implementation of the group management system.	YES	GFMC 3/2020: 4.1 (c)
4.2 Understanding the needs and expectations of affected stakeholders		
4.2.1 The standard requires that the group organisation shall identify:		
a) the affected stakeholders that are relevant for the group management system and	YES	GFMC 3/2020: 4.2 (a)
b) the relevant expectations of these affected stakeholders.	YES	GFMC 3/2020: 4.2 (b)
4.3 Determining the scope of the group management system		
4.3.1 The standard shall provide definitions relating to the following terms, which are in conformity with the definitions of those terms presented in chapter 3:		
a) the group organisation and the elements of the group organisation (group entity and participant),	YES	GFMC 3/2020: 4.3.1 (a)

PEFC Checklist - Group Forest Management Certification (PEFC ST 1002:2018)

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
b) the certified area,	YES	GFMC 3/2020: 4.3.1 (b)
c) the group certificate and	YES	GFMC 3/2020: 4.3.1 (c)
d) the document confirming participation in group certification.	YES	GFMC 3/2020: 4.3.1 (d)
4.3.2 The standard requires that for the establishment of the scope for the group management system the boundaries and applicability of the group management system shall be determined.	YES	GFMC 3/2020: 4.3.2
4.3.3 The standard shall define which requirements of the sustainable forest management standard may be fulfilled on group level.	YES	GFMC 3/2020: 4.3.2
4.3.4 The standard requires that the scope shall be made available as documented information.	YES	GFMC 3/2020: 4.3.3
4.4 Group management system		
4.4.1 The standard requires that all participants shall be subject to the internal monitoring and the internal audit programme.	YES	GFMC 3/2020: 4.4.1
4.4.2 The standard requires that a certified PEFC chain of custody system shall be in place if a group entity acts as a trader of forest-based material not covered by group certificate.	YES	GFMC 3/2020: 4.4.2
5. Leadership		
5.1 Organisational roles, responsibilities and authorities		
5.1.1 Functions and responsibilities of the group entity The standard requires that the following functions and responsibilities of the group entity shall be specified:		
a) to implement and maintain an effective management system covering all participants of the group;	YES	GFMC 3/2020: 5.1.1 (a)
b) to represent the group organisation in the certification process, including in communications and relationships with	YES	GFMC 3/2020: 5.1.1 (b)

PEFC Checklist - Group Forest Management Certification (PEFC ST 1002:2018)

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
the certification body, submission of an application for certification, and contractual relationship with the certification body;		
c) to establish written procedures for the management of the group organisation;	YES	GFMC 3/2020: 5.1.1 (c)
d) to establish written procedures for the acceptance of new participants of the group organisation. These acceptance procedures shall cover at least the verification of the applicant's information about contact details, clear identification of their forest property and its/their size(s)	YES	GFMC 3/2020: 5.1.1 (d)
e) to establish written procedures for the suspension and exclusion of participants who do not correct/close nonconformities. Group participants excluded from any certification group based on nonconformities cannot be accepted within 12 months after exclusion	YES	GFMC 3/2020: 5.1.1 (e)
f) to keep documented information of: i. the group entity and participants' conformity with the requirements of the sustainable forest management standard, and other applicable requirements of the forest certification system, ii. all participants, including their contact details, identification of their forest property and its/their size(s), iii. the certified area, iv. the implementation of an internal monitoring programme, its review and any preventive and/or corrective actions taken;	YES	GFMC 3/2020: 5.1.1 (f)
g) to establish connections with all participants based on a binding 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 nonconformity with the sustainable forest management standard; Note: The requirements for "participant' commitment" and "written contract or other written agreement with all	YES	GFMC 3/2020: 5.1.1 (g)

PEFC Checklist - Group Forest Management Certification (PEFC ST 1002:2018)

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
participants" may also be satisfied by the commitment of and written agreement of a pre-existing organisation or group or the members participation, such as a forest owners'/managers' association, SFM programme and submission to tax programming, where the organisation can demonstrate that it has a legal mandate to represent the participants and where its commitment and the terms and conditions of the contract are enforceable.		
h) to provide all participants with a document confirming participation in the group forest certification;	YES	GFMC 3/2020: 5.1.1 (h)
i) to provide all participants with information and guidance required for the effective implementation and maintenance of the sustainable forest management standard and other applicable requirements of the forest certification system;	YES	GFMC 3/2020: 5.1.1 (i)
j) to address nonconformities reported from group members which were identified under other PEFC certifications than the particular group certification and to ensure implementation with all group members;	YES	GFMC 3/2020: 5.1.1 (j)
k) to operate an internal monitoring programme that provides for the evaluation of the participants' conformity with the certification requirements;	YES	GFMC 3/2020: 5.1.1 (k)
l) to operate an annual internal audit programme covering both group members and group entity;	YES	GFMC 3/2020: 5.1.1 (l)
m) to operate a management review of the group forest certification and acting on the results from the review;	YES	GFMC 3/2020: 5.1.1 (m)
n) to provide full co-operation and assistance in responding effectively to all requests from the certification body, accreditation body, PEFC International or the National Governing Body for relevant data, documentation or other information; allowing access to the forest area covered by the group organisation and other facilities, whether in connection with formal audits or reviews or otherwise related or with implications for the management system.	YES	GFMC 3/2020: 5.1.1 (n)
5.1.2 Function and responsibilities of participants		

PEFC Checklist - Group Forest Management Certification (PEFC ST 1002:2018)

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
The standard requires that the following functions and responsibilities of the participants shall be specified:		
<p>a) To provide the group entity with a binding written agreement, including a commitment on conformity with the sustainable forest management standard and other applicable requirements of the forest certification system; group participants excluded from any certification group cannot apply for group membership within 12 months after exclusion.</p> <p>Note: The requirement for "written agreement" and participants' "commitment" is also satisfied by the commitment of and written agreement of a pre-existing organisation or group or the members participation, such as a forest owners'/managers' association, SFM programme and submission to tax programming, where the organisation can demonstrate that it has a legal mandate to represent the participants and where its commitment and the terms and conditions of the contract are enforceable.</p>	YES	GFMC 3/2020: 5.1.2 (a)
b) To provide the group entity with information about previous group participation.	YES	GFMC 3/2020: 5.1.2 (b)
c) to comply with the sustainable forest management standard and other applicable requirements of the certification system as well as with the requirements of the management system;	YES	GFMC 3/2020: 5.1.2 (c)
d) 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 related or with implications for the management system;	YES	GFMC 3/2020: 5.1.2 (d)
e) to inform the group entity about nonconformities identified under other PEFC certifications than the particular group certification.	YES	GFMC 3/2020: 5.1.2 (e)
f) to implement relevant corrective and preventive actions established by the group entity.	YES	GFMC 3/2020: 5.1.2 (f)

PEFC Checklist - Group Forest Management Certification (PEFC ST 1002:2018)

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
5.2 Commitment and policy		
5.2.1 The standard requires that the group entity shall provide a commitment:		
a) to comply with the sustainable forest management standard and other applicable requirements of the certification system;	YES	GFMC 3/2020: 5.2.1 (a)
b) to integrate the group certification requirements in the group management system;	YES	GFMC 3/2020: 5.2.1 (b)
c) to continuously improve the group management system;	YES	GFMC 3/2020: 5.2.1 (c)
d) to continuously support the improvement of the sustainable management of the land/forests by the participants.	YES	GFMC 3/2020: 5.2.1 (d)
5.2.2 The commitment of the group entity may be part of a group management policy and shall be publicly available as documented information upon request.	YES	GFMC 3/2020: 5.2.2
5.2.3 The standard requires that the participants shall provide a commitment		
a) to follow the rules of the management system;	YES	GFMC 3/2020: 5.2.3 (a)
b) to implement the requirements of the sustainability standard in their operations in their area.	YES	GFMC 3/2020: 5.2.3 (b)
6. Planning		
6.1 The standard requires that if a group organisation plans any changes in the group management system, these changes shall be included in a group management plan.	YES	GFMC 3/2020: 6.1
6.2 The standard requires that if a group organisation decides to fulfil requirements of the sustainable forest management standard on the group level, these requirements shall be considered in a group management plan.	YES	GFMC 3/2020: 6.2
7. Support		
7.1 The standard requires that resources needed for the establishment, implementation, maintenance and continual	YES	GFMC 3/2020: 7.1

PEFC Checklist - Group Forest Management Certification (PEFC ST 1002:2018)

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
improvement of the group management system shall be determined and provided.		
7.2 The standard shall define the necessary competence of persons doing work in the group management system.	YES	GFMC 3/2020: 7.2
7.3 The standard requires that communication processes shall be in place to raise the awareness of participants concerning:	YES	GFMC 3/2020: 7.3
a) the group management policy;	YES	GFMC 3/2020: 7.3 (a)
b) the requirements of the sustainable forest management standard;	YES	GFMC 3/2020: 7.3 (b)
c) their contribution to the effectiveness of the group management system and the sustainable forest management, including the benefits of improved group performance;	YES	GFMC 3/2020: 7.3 (c)
d) the implications of not conforming with the group management system requirements.	YES	GFMC 3/2020: 7.3 (d)
7.4 The standard requires that the internal and external communications relevant to the group management system shall be determined. This includes:		
a) on what to communicate;	YES	GFMC 3/2020: 7.4 (a)
b) when to communicate;	YES	GFMC 3/2020: 7.4 (b)
c) with whom to communicate;	YES	GFMC 3/2020: 7.4 (c)
d) how to communicate.	YES	GFMC 3/2020: 7.4 (d)
7.5 The standard requires that appropriate mechanisms shall be in place for resolving complaints and disputes relating to group management and sustainable forest management operations.	YES	GFMC 3/2020: 7.5
7.6 The standard requires that the documented information relevant to the group management system and the conformance with the requirements of the sustainable forest management standard is:		

PEFC Checklist - Group Forest Management Certification (PEFC ST 1002:2018)

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
a) up to date;	YES	GFMC 3/2020: 7.6 (a)
b) available and suitable for use, where and when it is needed;	YES	GFMC 3/2020: 7.6 (b)
c) adequately protected against loss of confidentiality, improper use, or loss of integrity.	YES	GFMC 3/2020: 7.6 (c)
8. Operation		
8.1 The standard requires that the group organisation shall plan, implement and control processes needed:		
a) to meet the requirements of the group certification standard and the sustainable forest management standard and	YES	GFMC 3/2020: 8.1 (a)
b) to implement the actions determined in 6.	YES	GFMC 3/2020: 8.1 (a)
8.2 The standard requires that this planning, implementing and controlling shall be done by:		
a) defining the necessary processes and establishing criteria for those;	YES	GFMC 3/2020: 8.2 (a)
b) implementing control of the processes in accordance with the criteria;	YES	GFMC 3/2020: 8.2 (b)
c) keeping documented information to the extent necessary to have confidence that the processes have been carried out as planned.	YES	GFMC 3/2020: 8.2 (c)
9. Performance evaluation		
9.1 Monitoring, measurement, analysis and evaluation		
9.1.1 The standard requires that an ongoing internal monitoring programme provides confidence in the conformity of the group organisation with the sustainable forest management standard. In particular, it shall be determined:		
a) what shall be monitored and measured;	YES	GFMC 3/2020: 9.1.1 (a)
b) the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results;	YES	GFMC 3/2020: 9.1.1 (b)

PEFC Checklist - Group Forest Management Certification (PEFC ST 1002:2018)

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
c) when the monitoring and measuring shall be performed;	YES	GFMC 3/2020: 9.1.1 (c)
d) when the results from monitoring and measurement shall be analysed and evaluated;	YES	GFMC 3/2020: 9.1.1 (d)
e) what documented information shall be available as evidence of the results.	YES	GFMC 3/2020: 9.1.1 (e)
9.1.2 The standard requires that the group entity shall evaluate the group management performance and the effectiveness of the group management system concerning the implementation of the sustainable forest management requirements.	YES	GFMC 3/2020: 9.1.2
9.2 Internal audit		
9.2.1 Objectives		
9.2.1.1 The standard requires that an annual internal audit programme shall provide information on whether the group management system:		
a) conforms to i. the group organisation's own requirements for its group management system; ii. the requirements of the national group certification standard;	YES	GFMC 3/2020: 9.2.1.1 (a)
b) ensures the implementation of the sustainable forest management standard on the participant level;	YES	GFMC 3/2020: 9.2.1.1 (b)
c) is effectively implemented and maintained.	YES	GFMC 3/2020: 9.2.1.1 (c)
9.2.1.2 The standard requires that the internal audit programme shall cover the group entity and all group participants. The group entity shall be audited annually. The participants may be selected on a sample basis.	YES	GFMC 3/2020: 9.2.1.2
9.2.2 Organisation		
The standard requires an internal audit programme which shall cover at least:		
a) planning, establishing, implementing and maintaining an audit programme(s) including the frequency, methods,	YES	GFMC 3/2020: 9.2.2 (a)

PEFC Checklist - Group Forest Management Certification (PEFC ST 1002:2018)

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
responsibilities, planning requirements and reporting, which shall take into consideration the importance of the processes concerned and the results of previous audits;		
b) definition of the audit criteria and scope for each audit;	YES	GFMC 3/2020: 9.2.2 (b)
c) competence of internal auditor (forest knowledge, standard knowledge);	YES	GFMC 3/2020: 9.2.2 (c)
d) selection of auditors and conducting of audits to ensure objectivity and the impartiality of the audit process;	YES	GFMC 3/2020: 9.2.2 (d)
e) ensuring that the results of the audits are reported to relevant group management;	YES	GFMC 3/2020: 9.2.2 (e)
f) retaining of the documented information as evidence of the implementation of the audit programme and the audit results.	YES	GFMC 3/2020: 9.2.2 (f)
9.3 Selection of participants in the internal audit programme		
9.3.1 General		
9.3.1.1 The standard requires the establishment of requirements for the selection of participants in the internal audit programme. These requirements shall include the following procedures for:	YES	GFMC 3/2020: 9.3.1.1
a) determination of the sample size (9.3.2);	YES	GFMC 3/2020: 9.3.1.1 (a)
b) determination of sample categories (9.3.3);	YES	GFMC 3/2020: 9.3.1.1 (b)
c) distribution of the sample to the categories (9.3.4);	YES	GFMC 3/2020: 9.3.1.1 (c)
d) selection of the participants (9.3.5).	YES	GFMC 3/2020: 9.3.1.1 (d)
9.3.1.2 The standard may define additional requirements on the regional, national or sub-national level.	YES	GFMC 3/2020: 9.3.1.2
9.3.1.3 The standard shall define additional sampling requirements in case of participation of pre-existing	YES	GFMC 3/2020: 9.3.1.3

PEFC Checklist - Group Forest Management Certification (PEFC ST 1002:2018)

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
organisations or group or the members participation, such as a forest owners'/managers' association, SFM programme and submission to tax programming which have their own members.		
9.3.2 Determination of the sample size		
9.3.2.1 The sample size shall be calculated for the participants of the group organisation.	YES	GFMC 3/2020: 9.3.2.1
9.3.2.2 The size of the sample generally should be the square root of the number of participants: ($y=\sqrt{x}$), rounded to the upper whole number.	YES	GFMC 3/2020: 9.3.2.2
9.3.2.3 The size of the sample may be adapted by a standard taking into account one or more of the following indicators:		
a) results of a risk assessment. In this case deviations of sample sizes in case of low or high risk for individual categories shall be defined;	YES	GFMC 3/2020: 9.3.2.3 (a)
b) results of internal audits or previous certification audits;	YES	GFMC 3/2020: 9.3.2.3 (b)
c) quality / level of confidence of the internal monitoring programme;	YES	GFMC 3/2020: 9.3.2.3 (c)
d) use of technologies allowing the gathering of information concerning specified requirements; Note: Such technologies may be e.g. the use of satellite data or drones and allow compliance statements for specific requirements of a sustainability standard or support the risk-based sampling.	YES	GFMC 3/2020: 9.3.2.3 (d)
e) based on other means of gathering information about activities on the ground. Note: One way could be a survey with participants who provide some information about their activities on the ground.	YES	GFMC 3/2020: 9.3.2.3 (e)
9.3.3 Determination of sample categories		

PEFC Checklist - Group Forest Management Certification (PEFC ST 1002:2018)

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
9.3.3.1 The sample categories shall be established based on the results of a risk assessment. The indicators used in the risk assessment shall reflect the geographical scope of the standard. The following non exhaustive list of indicators may be used for the risk assessment:		
a) ownership type (e.g. state forest, communal forest, private forest);	YES	GFMC 3/2020: 9.3.3.1 (a)
b) size of management units (different size classes);	YES	GFMC 3/2020: 9.3.3.1 (b)
c) biogeographic region (e.g. lowlands, low mountain range, high mountain range);	YES	GFMC 3/2020: 9.3.3.1 (c)
d) operations, processes and products of potential group participants;	YES	GFMC 3/2020: 9.3.3.1 (d)
e) deforestation and forest conversion;	YES	GFMC 3/2020: 9.3.3.1 (e)
f) rotation period(s);	YES	GFMC 3/2020: 9.3.3.1 (f)
g) richness of biological diversity;	YES	GFMC 3/2020: 9.3.3.1 (g)
h) recreation and other socio-economic functions of the forest;	YES	GFMC 3/2020: 9.3.3.1 (h)
i) dependence of and interaction with local communities and indigenous people;	YES	GFMC 3/2020: 9.3.3.1 (i)
j) available resources for administration, operations, training and research;	YES	GFMC 3/2020: 9.3.3.1 (j)
k) governance and law enforcement.	YES	GFMC 3/2020: 9.3.3.1 (k)
9.3.3.2 Conditions which constitute risk for each indicator on low, medium and high level and the respective consequences for the sampling shall be defined.	YES	GFMC 3/2020: 9.3.3.2
9.3.4 Distribution of the sample The sample shall be distributed to the categories according to the result of the risk assessment.	YES	GFMC 3/2020: 9.3.4.1
9.3.5 Selection of the participants		

PEFC Checklist - Group Forest Management Certification (PEFC ST 1002:2018)

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
9.3.5.1 At least 25% of the sample should be selected at random.	YES	GFMC 3/2020: 9.3.5.1
9.3.5.2 A risk-based procedure for the selection of the participants shall be specified.	YES	GFMC 3/2020: 9.3.5.2
9.4 Management review		
9.4.1 The standard requires that an annual management review shall at least include:		
a) the status of actions from previous management reviews;	YES	GFMC 3/2020: 9.4.1 (a)
b) changes in external and internal issues that are relevant to the group management system;	YES	GFMC 3/2020: 9.4.1 (b)
c) the status of conformity with the sustainable forest management standard, that includes reviewing the results of the internal monitoring programme, the internal audit and the certification body's evaluations and surveillance;	YES	GFMC 3/2020: 9.4.1 (c)
d) information on the group performance, including trends in: i. nonconformities and corrective actions; ii. monitoring and measurement results; iii. audit results;	YES	GFMC 3/2020: 9.4.1 (d)
e) opportunities for continual improvement.	YES	GFMC 3/2020: 9.4.1 (e)
9.4.2 The standard requires that the outputs of the management review shall include decisions related to continual improvement opportunities and any need for changes to the group management system.	YES	GFMC 3/2020: 9.4.2
9.4.3 The standard requires that the group organisation shall retain documented information as evidence of the results of management reviews.	YES	GFMC 3/2020: 9.4.3
10. Improvement		
10.1 Nonconformity and corrective action		
10.1.1 The standard requires when a nonconformity occurs, the group organisation shall:		
a) react to the nonconformity and, as applicable: i. take action to control and correct it;	YES	GFMC 3/2020: 10.1.1 (a)

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PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)
ii. deal with the consequences;		
b) evaluate the need for action to eliminate the causes of the nonconformity, in order that it does not recur or occur elsewhere, by: i. reviewing the nonconformity; ii. determining the causes of the nonconformity; iii. determining if similar nonconformities exist, or could potentially occur;	YES	GFMC 3/2020: 10.1.1 (b)
c) implement any action needed;	YES	GFMC 3/2020: 10.1.1 (c)
d) review the effectiveness of any corrective action taken;	YES	GFMC 3/2020: 10.1.1 (d)
e) make changes to the group management system, if necessary.	YES	GFMC 3/2020: 10.1.1 (e)
10.1.2 The standard requires that the group organisation shall retain documented information as evidence of:		
a) the nature of the nonconformities and any subsequent actions taken;	YES	GFMC 3/2020: 10.1.2 (a)
b) the results of any corrective action.	YES	GFMC 3/2020: 10.1.2 (b)
10.1.3 The standard requires that a participant who was excluded from a group certification shall be internally audited by the group entity before it is allowed to re-enter the group certification. The internal audit shall not take place sooner than 12 months after the exclusion.	YES	GFMC 3/2020: 10.1.3
10.2 Continual improvement The standard requires that the suitability, adequacy and effectiveness of the group management system and the sustainable management of the forest shall be continuously improved.	YES	GFMC 3/2020: 10.2

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

Part III: Standard and System Requirements Checklist for Sustainable Forest Management (PEFC ST 1003:2018)

1 Scope

This checklist covers requirements for sustainable forest management as defined in PEFC ST 1003:2018, Sustainable Forest Management – Requirements.

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

2 Checklist

PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
Context of the national standard and the organisations applying a PEFC endorsed standard		
4.1 General The requirements for sustainable forest management defined by regional, national or sub-national forest management standards shall:	Yes	MC&I Sustainable Forest Management (MC&I SFM): - outcome of the review of MC&I(Natural Forest) and MC&I Forest Plantation.v2. - structured based on Principles and Criteria with associated Indicators and Verifiers being formulated for each Criterion to ensure a clear, objective-based and auditable standard. - in specific cases, different Verifiers have been adopted and listed for forest management unit (FMU) in Sabah, Sarawak and Peninsular Malaysia to take into account the regional differences. - applicable to activities of all operations at the FMU level.
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;		
b) be clear, objective-based and auditable;		
c) apply to activities of all operators in the defined forest area who have a measurable impact on achieving compliance with the requirements;		
d) require record-keeping that provides evidence of compliance with the requirements of the forest management standards.		
e) specify “100% PEFC certified” or another scheme specific claim as claim to be used to communicate the origin of products in an area covered by the standard to customers with a PEFC chain of custody;	Yes	MC&I SFM: C8.3, I8.3.1, APPENDIX B (a)

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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
Note: System specific claims of PEFC endorsed standards and PEFC Council approved abbreviations of such claims and the claim "100% PEFC certified", and their translations into languages other than English, are published online on the PEFC website www.pefc.org .		
f) require that where owners/managers of forests are selling products from areas other than covered by the standard, only products from areas covered by the standard are sold with the claim "100% PEFC certified" or a scheme specific claim;		MC&I SFM: C8.3, I8.3.1, APPENDIX B (b)
g) require that claims on the origin of products in an area covered by the standard are only made by forest owners/managers covered by a PEFC recognised certificate issued against the standard;		MC&I SFM: C8.3, I8.3.1, APPENDIX B (c)
h) specify requirements concerning the information which need to be provided to a PEFC chain of custody certified customer;		MC&I SFM: C8.3, I8.3.1, APPENDIX B (d)
i) include an overview of applicable legislation if requirements of this benchmark are not reflected in the regional, national or sub-national standard, because they are already addressed through the legislation.	Yes	MC&I SFM has included all the requirements of PEFC
4.2 Understanding the needs and expectations of affected stakeholders		
The standard requires that the organisation shall determine:		
a) the affected stakeholders that are relevant to the sustainable forest management;	Yes	MC&I SFM: C3.3, I3.3.1, C4.1, I4.1.1, I4.1.2, C4.4, I4.4.1, I4.4.2
b) the relevant needs and expectations of these stakeholders.		
4.3 Determining the scope of the management system		
4.3.1 The standard requires that the organisation shall determine the boundaries and applicability of the management system to establish its scope.	Yes	MC&I SFM: I1.5.1, I2.1.1, I2.2.1, C7.1
4.3.2 The standard requires that forest management shall comprise the cycle of inventory and planning, implementation, monitoring and evaluation, and shall	Yes	MC&I SFM: C5.6, I5.6.1, C5.2, I5.2.1, C7.1(b)(d)(e)(f), C8.1, I8.1.2,

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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
include an appropriate assessment of the social, environmental and economic impacts of forest management practices. This shall form a basis for a cycle of continuous improvement.		C4.4, I4.4.1, I4.4.2, C6.1, I6.1.1, I6.1.2, I6.1.3, C7.2, I7.2.1, C8.4, I8.4.1, C5.3, I5.3.1
5. Leadership		
5.1 The standard requires that the organisation shall provide a commitment:		
a) to comply with the sustainable forest management standard and other applicable requirements of the certification system;	Yes	MC&I SFM: C1.6
b) to continuously improve the sustainable forest management system.	Yes	MC&I SFM: C8.4, I8.4.1
5.2 The standard requires that this commitment shall be publicly available.	Yes	MC&I SFM: I1.6.2
5.3 The standard requires that responsibilities for sustainable forest management shall be clearly defined and assigned.	Yes	MC&I SFM: C7.3, I7.3.2
6. Planning		
6.1 Actions to address risks and opportunities		
6.1.1 The standard requires that the organisation shall consider risks and opportunities concerning compliance with the requirements for sustainable forest management. Size and scale of the operations of the organisation shall be considered.	Yes	MC&I SFM: I7.1.1
6.1.2 The standard requires that inventory and mapping of forest resources shall be established and maintained, adequate to local and national conditions and in correspondence with the requirements described in this international benchmark standard.	Yes	MC&I SFM: I5.1.2, C5.2, I5.2.1, I5.6.2, C7.1 (c)(h), I9.1.1
6.2 Management Plan		
6.2.1 The standard requires that management plans shall be:		
a) elaborated and periodically updated or continually adjusted;	Yes	MC&I SFM: P7, I7.1.1, C7.2
b) appropriate to the size and use of the forest area;	Yes	MC&I SFM:

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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		P7, I7.1.1, C7.2
c) based on applicable local, national and international legislation as well as existing land-use or other official plans; and	Yes	MC&I SFM: C1.1, I1.1.1, C1.3, I1.3.1, I2.1.1, I1.1.2
d) adequately covering forest resources.	Yes	MC&I SFM: P7, C7.1, I7.1.1, C7.2
6.2.2 The standard requires that management plans shall take into account the different uses or functions of the managed forest area.	Yes	MC&I SFM: C7.1(a-b), C5.4, I5.4.1, C5.5, I5.5.1, I5.5.2
6.2.3 The standard requires that management plans shall include at least a description of the current forest management unit, long-term objectives; and the average annual allowable cut, including its justification.	Yes	MC&I SFM: P7, C7.1(a-d), C5.2, I5.2.1, C5.6, I5.6.1, I5.6.2
6.2.4 The standard requires that the annually allowable use of non-wood forest products shall be included in the management plan where forest management covers commercial use of non-wood forest products at a level which can have an impact on their long-term sustainability.	Yes	MC&I SFM: C7.1 (d), I5.2.1, I5.2.2, I5.4.1, I5.6.2
6.2.5 The standard requires that management plans specify ways and means to minimise the risk of degradation of and damages to forest ecosystems.	Yes	MC&I SFM: I6.1.3, C6.2, I6.2.1, I6.2.2, C6.3, I6.3.2, C6.5, I6.5.1, I6.5.2, I6.5.3, I6.5.4, I6.5.5, C7.1 (f)(g)(i)
6.2.6 The standard requires that management plans shall take into account the results of scientific research.	Yes	MC&I SFM: C8.2, I8.2.1, C8.4, I8.4.1
6.2.7 The standard requires that a summary of the management plan, appropriate to the scope and scale of forest management, shall be publicly available and shall include information on the general objectives and forest management principles.	Yes	MC&I SFM: C7.4, I7.4.1
6.2.8 The standard requires that the publicly available summary of the management plan may exclude confidential business and personal information and other information made confidential by applicable legislation or for the protection of cultural sites or sensitive natural resource features.	Yes	MC&I SFM: C7.4, I7.4.1

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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
6.3 Compliance requirements		
6.3.1 Legal compliance		
6.3.1.1 The standard requires that the organisation shall identify and have access to the legislation applicable to its forest management and determine how these compliance obligations apply to the organisation.	Yes	MC&I SFM: C1.1, I1.1.1, I1.1.2, I1.1.3
6.3.1.2 The standard requires that the organisation shall comply with applicable local, national and international legislation on forest management, including but not limited to forest management practices; nature and environmental protection; protected and endangered species; property, tenure and land-use rights for indigenous peoples, local communities or other affected stakeholders; health, labour and safety issues; anti-corruption and the payment of applicable royalties and taxes.	Yes	MC&I SFM: C1.1, C1.3 and other related criteria and indicators throughout the standard
6.3.1.3 The standard requires that where no anti-corruption legislation exists, the organisation must take alternative anti-corruption measures appropriate to the risk of corruption.	Yes	MC&I SFM: I1.1.1, I4.3.3,
6.3.1.4 The standard requires that measures shall be implemented to address protection of the forest from unauthorised activities such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities.	Yes	MC&I SFM: C1.5, I1.5.2, C6.2, I6.2.4
6.3.2 Legal, customary and traditional rights related to the forest land		
6.3.2.1 The standard requires that property rights, tree ownership and land tenure arrangements shall be clearly defined, documented and established for the relevant management unit. Likewise, legal, customary and traditional rights related to the forest land shall be clarified, recognised and respected. Note: Guidance for the handling of tenure arrangements can be obtained from the FAO Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security.	Yes	MC&I SFM: C2.1, I2.1.1, C2.2, I2.2.1, I.2.2.2, C3.1, I3.1.1, I3.1.2, C3.2, I3.2.1, C3.3, I3.3.1

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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
6.3.2.2 The standard requires that forest practices and operations 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	MC&I SFM: C2.2, C3.1, I3.1.1, I3.1.2, I3.1.3, I3.3.2, C4.5, I4.5.2, C2.3
6.3.2.3 The standard requires that forest practices and operations shall respect human rights as defined by the Universal Declaration on Human Rights.	Yes	MC&I SFM: C1.3, I1.3.1
6.3.3 Fundamental ILO conventions		
6.3.3.1 The standard requires that forest practices and operations shall comply with fundamental ILO conventions. Note: In countries where the fundamental ILO conventions have been ratified, the requirements of 6.3.3.1 apply. In countries where a fundamental convention has not been ratified and its content is not covered by applicable legislation, specific requirements shall be included in the forest management standard.	Yes	MC&I SFM: C1.3, I1.3.1, V1.3.1
6.3.4 Health, safety and working conditions		
6.3.4.1 The standard requires that forest operations 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	MC&I SFM: C4.2, I4.2.1, I4.2.2, I4.2.3, I4.2.4, I4.2.5, I6.6.3

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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
6.3.4.2 The standard requires that 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. Working hours and leave shall comply with national laws or applicable collective agreements. Note: Guidance for specifying national standards can be obtained from the ILO Code of Good Practice: Safety and Health in Forestry Work.	Yes	MC&I SFM: I4.1.1, I4.2.3, C7.3, I7.3.2
6.3.4.3 The standard requires that wages of local and migrant forest workers as well as of contractors and other operators operating in PEFC-certified areas shall meet or exceed at least legal, industry minimum standards, or where applicable, collective bargaining agreements. Note: Where wages are below the living wage of a country, steps should be taken to attain increased wages towards a living wage level over time in addition to increases for inflation.	Yes	MC&I SFM: I4.3.2, I4.3.3 "Forest worker" is defined in the standard as an individual who is an employee of the FMU, a licensee, contractor or processor... which includes both local and migrant/foreign workers.
6.3.4.4 The standard requires that the organisation is committed to equal opportunities, non-discrimination and freedom from workplace harassment. Gender equality shall be promoted.	Yes	MC&I SFM: P4, I4.1.2
7. Support		
7.1 Resources		
7.1.1 The standard requires that the organisation shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the sustainable forest management system.	Yes	MC&I SFM: C5.1, I5.1.1
7.2 Competence		
7.2.1 The standard requires that forest managers, contractors, employees and forest owners shall be provided with sufficient information and kept up-to-date through continuous training in relation to sustainable forest management, as a precondition for all management planning and practices described in this benchmark.	Yes	MC&I SFM: C7.3, I7.3.2, I4.1.1

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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
7.3 Communication		
7.3.1 The standard requires that effective communication and consultation with local communities, indigenous peoples and other stakeholders relating to sustainable forest management shall be provided.	Yes	MC&I SFM: C7.4, I6.2.3, C9.2, I9.2.1, C4.4, I4.4.1
7.4 Complaints		
7.4.1 The standard requires that appropriate mechanisms are in place for resolving complaints and disputes relating to forest management operations, land use rights and work conditions.	Yes	MC&I SFM: I3.1.3, I3.3.2, I4.3.4, C4.4, I4.4.1
7.5 Documented information		
7.5.1 Documented Information The standard requires that the organisation's management system shall include documented information required by the standard and determined by the organisation as being necessary for the effectiveness of the sustainable forest management system.	Yes	MC&I SFM: C7.1, I7.1.1 and other relevant documents reflected in other criteria and indicators.
7.5.2 The standard requires that the documented information is relevant, and updated as appropriate, to the activities of the organisation.	Yes	MC&I SFM: C7.2, I7.2.1
8. Operation		
8.1 Criterion 1: Maintenance or appropriate enhancement of forest resources and their contribution to the global carbon cycle		
8.1.1 The standard requires that management shall aim to maintain or increase forests and their ecosystem services and maintain or enhance the economic, ecological, cultural and social values of forest resources.	Yes	MC&I SFM: C5.1, C5.5, I6.1.2, C6.2, C6.3, I6.3.1, I6.3.2, I6.3.3, C6.5, I6.5.4, C6.4, I6.4.1, I6.4.2, C3.3.
8.1.2 The standard requires that the quantity and quality of the forest resources and the capacity of the forest to store and sequester carbon shall be safeguarded in the medium and long term by balancing harvesting and growth rates, using appropriate silvicultural measures and preferring techniques that minimise adverse impacts on forest resources.	Yes	MC&I SFM: I5.1.2, C5.3, I5.3.1, C5.5, I5.5.1, C5.6, I5.6.2, C6.5 C7.1(c), C5.1, C5.6, C6.3, I6.3.1, I6.3.2

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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
8.1.3 The standard requires that climate positive practices in management operations, such as greenhouse gas emission reductions and efficient use of resources shall be encouraged.	Yes	MC&I SFM: C5.2, I5.2.1, C5.3, I5.3.1 I5.5.2
8.1.4 The standard requires that forest conversion shall not occur unless in justified circumstances where the conversion:		
a) is in compliance with national and regional policy and legislation applicable 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 affected stakeholders; and	Yes	MC&I SFM: C6.10, I6.10.1
b) entails a small proportion (no greater than 5 %) of forest type within the certified area; and		
c) does not have negative impacts on ecologically important forest areas, culturally and socially significant areas, or other protected areas; and		
d) does not destroy areas of significantly high carbon stock; and		
e) makes a contribution to long-term conservation, economic, and social benefits.		
8.1.5 The standard requires that afforestation of ecologically important non-forest ecosystems shall not occur unless in justified circumstances where the conversion:		
a) is in compliance with national and regional policy and legislation applicable 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; and	Yes	MC&I SFM: C6.12, I6.12.1
b) is established based on a decision-making basis where affected stakeholders have opportunities to contribute to the decision-making on conversion through transparent and participatory consultation processes; and		
c) does not have negative impacts on threatened (including vulnerable, rare or endangered) non-forest ecosystems, culturally and socially significant areas,		

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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
important habitats of threatened species or other protected areas; and		
d) entails a small proportion of the ecologically important non-forest ecosystem managed by an organisation; and		
e) does not destroy areas of significantly high carbon stock; and		
f) makes a contribution to long-term conservation, economic, and social benefits.		
8.1.6 The standard requires that if conversion of severely degraded forests to forest plantations is being considered, it must add economic, ecological, social and/or cultural value. Precondition of adding such value are circumstances where the conversion:		
a) is in compliance with national and regional policy and legislation applicable 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; and	Yes	MC&I SFM: C6.11, I6.11.1
b) is established based on a decision-making basis where affected stakeholders have opportunities to contribute to the decision-making on conversion through transparent and participatory consultation processes; and		
c) has a positive impact on long-term carbon sequestration capacity of forest vegetation; and		
d) does not have negative impacts on ecologically important forest areas, culturally and socially significant areas, or other protected areas; and		
e) safeguards protective functions of forests for society and other regulating or supporting ecosystem services; and		
f) safeguards socio-economic functions of forests, including the recreational function and aesthetic values of forests and other cultural services; and		
g) has a land history providing evidence that the degradation is not the consequence of deliberate poor forest management practices; and		

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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
h) is based on credible evidence demonstrating that the area is neither recovered nor in the process of recovery.		
8.2 Criterion 2: Maintenance of forest ecosystem health and vitality		
8.2.1 The standard requires that health and vitality of forest ecosystems shall be maintained or enhanced and degraded forest ecosystems shall be rehabilitated wherever and as far as economically feasible, by making best use of natural structures and processes and using preventive biological measures.	Yes	MC&I SFM: C5.1, I5.2.1, C6.3, I6.3.1, C6.9 (FP), C8.2, C9.3
8.2.2 The standard requires that adequate genetic, species and structural diversity shall be encouraged or maintained to enhance the stability, vitality and resilience of the forests to adverse environmental factors and strengthen natural regulation mechanisms.	Yes	MC&I SFM: C6.3, I6.3.1, I6.3.2, C6.4, I6.4.1, I6.4.2
8.2.3 The standard requires that use of fire shall be limited to regions where fire is an essential tool in forest management for regeneration, wildfire protection and habitat management or a recognized practice of indigenous peoples. In these cases, adequate management and control measures shall be taken.	Yes	The use of fire to achieve forest management goals is not practiced in Malaysia. Fire prevention measure requirement is covered under I6.5.5.
8.2.4 The standard requires that appropriate forest management practices such as reforestation and afforestation with tree species and provenances that are suited to the site conditions or the use of tending, harvesting and transport techniques that minimise tree and/or soil damages shall be applied.	Yes	MC&I SFM: I6.3.1, C6.5 (NF) C6.9 (FP), I6.9.1, I6.9.2, I6.9.3, I6.9.4
8.2.5 The standard requires that the indiscriminate disposal of waste on forest land shall be strictly avoided. Non-organic waste and litter shall be collected, stored in designated areas and removed in an environmentally-responsible manner. The spillage of oil or fuel during forest management operations shall be prevented. Emergency procedures for the minimisation of risk of environmental harm arising from the accidental spillage shall be in place.	Yes	MC&I SFM: C6.7, I6.7.1

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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
8.2.6 The standard requires that integrated pest management, appropriate silviculture alternatives and other biological measures shall be preferred to minimise the use of pesticides.	Yes	MC&I SFM: C6.6, C6.8, C7.1(c), I6.6.4
8.2.7 The standard requires that any use of pesticides is documented.	Yes	MC&I SFM: C6.6, I6.6.1, I6.6.2
8.2.8 The standard requires that the WHO Class 1A and 1B pesticides and other highly toxic pesticides shall be prohibited, except where no other viable alternative is available. Any exception to the usage of WHO Class 1A and 1B pesticides shall be defined in the national/regional standard.	Yes	MC&I SFM: C6.6
8.2.9 The standard requires that 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. Note: "Pesticides banned by international agreements" are defined in the Stockholm Convention on Persistent Organic Pollutants.	Yes	MC&I SFM: I1.3.1, C6.6
8.2.10 The standard requires that the use of pesticides shall follow the instructions given by the pesticide producer and be implemented with proper equipment by trained personnel.	Yes	MC&I SFM: I4.2.3, I4.2.5, I6.6.2, I6.6.3
8.2.11 The standard requires that where fertilisers are used, they shall be applied in a controlled manner and with due consideration for the environment. Fertilizer use shall not be an alternative to appropriate soil nutrient management.	Yes	MC&I SFM: C6.6, I6.5.6 (FP)
8.3 Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood)		
8.3.1 The standard requires that the capability of forests to produce a range of wood and non-wood forest products and services on a sustainable basis shall be maintained.	Yes	MC&I SFM: I5.1.2, I5.2.1, I5.2.2, C5.4, I5.4.1, C5.3, C5.5

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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
8.3.2 The standard requires that sound economic performance shall be pursued, taking into account possibilities for new markets and economic activities in connection with all relevant goods and services of forests.	Yes	MC&I SFM: C5.1, I5.1.2, C5.2, I5.2.2, C5.3, C8.2
8.3.3 The standard requires that management, harvesting and regeneration operations shall be carried out at a time, and in a way, that does not reduce the productive capacity of the site, for example by avoiding damage to soil and retained stands and trees.	Yes	MC&I SFM: I5.1.2, I5.3.1, I6.3.3, C6.5, I6.5.1, I6.5.2
8.3.4 The standard requires that 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 products.	Yes	MC&I SFM: C5.6, C5.2
8.3.5 The standard requires that 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	MC&I SFM: I6.5.3
8.4 Criterion 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems		
8.4.1 The standard requires that management planning shall aim to maintain, conserve or enhance biodiversity on landscape, ecosystem, species and genetic levels.	Yes	MC&I SFM: C6.3(b), I6.3.2, C6.2, I6.2.1, C6.4
8.4.2 The standard requires that inventory, mapping and planning of forest resources shall identify, protect, conserve or set aside ecologically important forest areas. Note: This does not prohibit forest management activities that do not damage the important ecologic values of those biotopes.	Yes	MC&I SFM: C9.1, C6.4, I6.4.1, I6.2.1, I6.2.2, I6.2.5, I9.1.1
8.4.3 The standard requires that protected, threatened 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. Note: The requirement does not preclude trade according to CITES requirements.	Yes	MC&I SFM: C6.2, I6.2.1, I6.3.2, C7.1 (g)

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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
8.4.4 The standard requires that successful regeneration shall be ensured through natural regeneration or planting that is adequate to ensure the quantity and quality of the forest resources.	Yes	MC&I SFM: C6.3(a), I6.3.1
8.4.5 The standard requires that for reforestation and afforestation origins of native species that are well-adapted to site conditions shall be preferred. 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 scientifically evaluated, and if negative impacts can be avoided or minimised. Note: CBD (Convention on Biological Diversity) Guiding Principles for the Prevention, Introduction, and Mitigation of Impacts of Alien Species that Threaten Ecosystems, Habitats or Species are recognised as guidance for avoidance of invasive species.	Yes	MC&I SFM: I6.3.1, C6.9, I6.9.1 (NF) C6.9, I6.9.1, I6.9.2, I6.9.3, I6.9.4 (FP)
8.4.6 The standard requires that afforestation, reforestation and other tree planting activities that contribute to the improvement and restoration of ecological connectivity shall be promoted.	Yes	MC&I SFM: I6.2.2, I6.3.3, I6.4.3 (FP), I6.5.4
8.4.7 The standard requires that genetically-modified trees shall not be used. Note: The restriction on the usage of genetically-modified trees has been adopted by the PEFC General Assembly based on the Precautionary Principle. Until enough scientific data on genetically-modified trees indicates that impacts on human and animal health and the environment are equivalent to, or more positive than, those presented by trees genetically improved by traditional methods, no genetically-modified trees will be used.	Yes	MC&I SFM: C6.8
8.4.8 The standard requires that a diversity of both horizontal and vertical structures and the diversity of species such as mixed stands shall be promoted, where appropriate. The practices shall also aim to maintain or restore landscape diversity.	Yes	MC&I SFM: C5.1. – The natural tropical forest in Malaysia, is of uneven age and is a mixed stand of multiple species.

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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
8.4.9 The standard requires that traditional management practices that create valuable ecosystems on appropriate sites shall be supported, where appropriate.	Yes	MC&I SFM: I3.4.1, I3.4.2
8.4.10 The standard requires that 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 maintain or improve biological diversity.	Yes	MC&I SFM: C5.3, I5.3.1, I6.3.2, C6.5, I6.5.1, I6.5.2, I6.5.3, I6.5.4
8.4.11 The standard requires that 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	MC&I SFM: I4.1.1, I6.2.1, C6.5, I6.3.2
8.4.12 The standard requires that, with due regard to management objectives, measures shall be taken to control the pressure of animal populations on forest regeneration and growth as well as on biodiversity.	Yes	MC&I SFM: C8.2(b)
8.4.13 The standard requires that standing and fallen dead wood, hollow trees, old groves and 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	MC&I SFM: C6.2, I6.2.1, C6.4, I6.4.2 Though not explicitly mentioned, it is the normal practice of the forest management not to remove standing, hollow and fallen dead trees in Malaysia.
8.5 Criterion 5: Maintenance or appropriate enhancement of protective functions in forest management (notably soil and water)		
8.5.1 The standard requires that protective functions of forests for society, such as their potential role in erosion control, flood prevention, water purification, climate regulation, carbon sequestration and other regulating or supporting ecosystem services shall be maintained or enhanced.	Yes	MC&I SFM: C5.5, C6.5, C3.3
8.5.2 The standard requires that areas that fulfil specific and recognised protective functions for society shall be mapped, and forest management plans and operations	Yes	MC&I SFM: C3.3, C7.1(h), C9.1, I9.1.1,

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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
shall ensure the maintenance or enhancement of these functions.		
8.5.3 The standard requires that special care shall be given to forestry operations on sensitive soils and erosion-prone areas as well as in areas where operations might lead to excessive erosion of soil into watercourses. Techniques applied and the machinery used shall be suitable for such areas. Special measures shall be taken to minimise the pressure of animal populations on these areas.	Yes	MC&I SFM: I5.5.1, C6.5, I6.5.1, I6.5.2, I6.5.3, I6.5.4
8.5.4 The standard requires that special care shall be given to forestry operations 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. Downstream water balance and water quality shall not be significantly affected by the operations.	Yes	MC&I SFM: C5.5, I5.5.1, I5.5.2, C6.5, I6.5.1, I6.5.2, I6.5.3, I6.5.4, C6.6, I6.6.1, I6.6.2, I6.6.3, I6.6.4
8.5.5 The standard requires that 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	MC&I SFM: C5.5, C6.5, I6.5.1, I6.5.2, I6.5.3, I6.5.4
8.6 Criterion 6: Maintenance or appropriate enhancement of socio-economic functions and conditions		
8.6.1 The standard requires that forest management planning shall aim to respect all socio-economic functions of forests.	Yes	MC&I SFM: P4, C4.1, I4.1.1, I4.1.2, C5.2, C6.11 (f), C7.1(b)
8.6.2 The standard requires that adequate public access to forests for the purpose of recreation shall be provided, taking into account respect for ownership rights, safety and the rights of others, the effects on forest resources and ecosystems, as well as compatibility with other functions of the forest.	Yes	MC&I SFM: C3.3, I3.3.1, C5.5 Malaysia has established many recreational forests (https://www.forestry.gov.my/en/2016-06-07-02-31-39/2016-06-07-02-35-17/amenity-

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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
		forests-state-park-forests) which are publicly accessible.
8.6.3 The standard requires that sites with recognised specific historical, cultural or spiritual significance and areas fundamental to meeting the needs of indigenous peoples and 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	MC&I SFM: C3.3, I3.3.1
8.6.4 The standard requires that management shall promote the long-term health and well-being of communities within or adjacent to the forest management area, where appropriate supported by engagement with local communities and indigenous peoples.	Yes	MC&I SFM: C4.2, I4.2.2, I4.2.3, I4.2.4
8.6.5 The standard requires that the best use shall be made of forest-related experience and traditional knowledge, innovations and practices such as those of forest owners, NGOs, local communities, and indigenous peoples. Equitable sharing of the benefits arising from the utilization of such knowledge shall be encouraged.	Yes	MC&I SFM: C3.4, I3.4.1, I6.2.3, C9.2, I9.2.1
8.6.6 The standard requires that management shall give due regard to the role of forestry in local economies. Special consideration shall be given to new opportunities for training and employment of local people, including indigenous peoples.	Yes	MC&I SFM: C4.1, I4.1.1, I4.1.2
8.6.7 The standard requires that forest management shall contribute to research activities and data collection needed for sustainable forest management or support relevant research activities carried out by other organisations, as appropriate.	Yes	MC&I SFM: C7.2, C8.2, C8.4
9. Performance evaluation		
9.1 Monitoring, measurement, analysis and evaluation		
9.1.1 The standard requires that monitoring of forest resources and evaluation of their management, including ecological, social and economic effects, shall be periodically performed, and results fed back into the planning process.	Yes	MC&I SFM: C8.1, C8.2, C8.4

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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
9.1.2 The standard requires that 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	MC&I SFM: C8.2, I8.2.1
9.1.3 The standard requires that where it is the responsibility of the forest owner/manager and included in forest management, the use of non-wood forest products, including hunting and fishing, shall be regulated, monitored and controlled.	Yes	MC&I SFM: C1.5, I6.2.4
9.1.4 The standard requires that working conditions shall be regularly monitored and adapted as necessary.	Yes	MC&I SFM: I4.2.3
9.2 Internal audit		
9.2.1 Objectives The standard requires that an internal audit programme at planned intervals shall provide information on whether the management system		
a) conforms to • the organisation’s requirements for its management system; • the requirements of the national sustainable forest management standard	Yes	MC&I SFM: I8.1.3, APPENDIX A (1.1 a)
b) is effectively implemented and maintained.		
9.2.2 Organisation The standard requires that the organisation shall:		
a) plan, establish, implement and maintain an audit programme(s) including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the importance of the processes concerned and the results of previous audits;	Yes	MC&I SFM: I8.1.3, APPENDIX A (1.2 a)
b) define the audit criteria and scope for each audit;		MC&I SFM: I8.1.3, APPENDIX A (1.2 b)
c) select the auditors and conduct audits to ensure objectivity and the impartiality of the audit process;		MC&I SFM: I8.1.3, APPENDIX A (1.2 c)

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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
d) ensure that the results of the audits are reported to relevant management;		MC&I SFM: I8.1.3, APPENDIX A (1.2 d)
e) retain documented information as evidence of the implementation of the audit programme and the audit results.		MC&I SFM: I8.1.3, APPENDIX A (1.2 e)
9.3 Management review		
9.3.1 The standard requires that an annual management review shall at least include		
a) the status of actions from previous management reviews;	Yes	MC&I SFM: I8.1.3, APPENDIX A (2.1 a)
b) changes in external and internal issues that are relevant to the management system;		MC&I SFM: I8.1.3, APPENDIX A (2.1 b)
c) information on the organisation’s performance, including trends in: <ul style="list-style-type: none"> • nonconformities and corrective actions; • monitoring and measurement results; • audit results; 		MC&I SFM: I8.1.3, APPENDIX A (2.1 c)
d) opportunities for continual improvement.		MC&I SFM: I8.1.3, APPENDIX A (2.1 d)
9.3.2 The standard requires that the outputs of the management review shall include decisions related to continual improvement opportunities and any need for changes to the management system.		MC&I SFM: I8.1.3, APPENDIX A (2.2)
9.3.3 The standard requires that documented information as evidence of the results of management reviews shall be retained.		MC&I SFM: I8.1.3, APPENDIX A (2.3)
10. Improvement		
10.1 Nonconformity and corrective action		
10.1.1 The standard requires that when a nonconformity occurs, the organisation shall:		
a) react to the nonconformity and, as applicable: <ul style="list-style-type: none"> i. take action to control and correct it; ii. deal with the consequences; 	Yes	MC&I SFM: I8.1.3, APPENDIX A (3.1 a)

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PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
b) evaluate the need for action to eliminate the causes of the nonconformity, in order that it does not recur or occur elsewhere, by: i. reviewing the nonconformity; ii. determining the causes of the nonconformity; iii. determining if similar nonconformities exist, or could potentially occur;		MC&I SFM: I8.1.3, APPENDIX A (3.1 b)
c) implement any action needed;		MC&I SFM: I8.1.3, APPENDIX A (3.1 c)
d) review the effectiveness of any corrective action taken;		MC&I SFM: I8.1.3, APPENDIX A (3.1 d)
e) make changes to the management system, if necessary.		MC&I SFM: I8.1.3, APPENDIX A (3.1 e)
10.1.2 The standard requires that corrective actions shall be appropriate to the effects of the nonconformities encountered.		MC&I SFM: I8.1.3, APPENDIX A (3.2)
10.1.3 The standard requires that the organisation shall retain documented information as evidence of:		
a) the nature of the nonconformities and any subsequent actions taken;	Yes	MC&I SFM: I8.1.3, APPENDIX A (3.3 a)
b) the results of any corrective action.		MC&I SFM: I8.1.3, APPENDIX A (3.3 b)
10.2 Continual improvement The standard requires that the suitability, adequacy and effectiveness of the sustainable forest management system and the sustainable management of the forest shall be continuously improved.	Yes	MC&I SFM: C7.2, I7.2.1, I7.2.2, I8.1.3, APPENDIX A (4.1)

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

Part IV: Standard and System Requirements Checklist for Certification and Accreditation (Annex 6)

1 Scope

This document covers requirements for certification and accreditation procedures for PEFC forest management certification outlined in Annex 6 of the PEFC Council Technical Document (Certification and accreditation procedures).

The requirements of Annex 6 stipulated for chain of custody certification are not reflected in this checklist, as these requirements have been replaced by PEFC ST 2003, Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard.

References to ISO Guide 65 in Annex 6 have been removed from this checklist, as PEFC forest management certification has been carried out as management certification under ISO 17021 since 2018.

2 Checklist

No.	PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
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?	Annex 6, 3.1 YES	MTCS 10/2020: 3.5 SSP 4/2020: 5.1.1
2.	Does the scheme documentation require that certification body for forest management certification shall fulfil requirements defined in ISO 17021?	Annex 6, 3.1 YES	MTCS 10/2020: 3.7 (i)
3.	Does the scheme documentation require that certification bodies carrying out forest certification shall have the technical competence in forest management on its economic, social and environmental impacts, and on the forest certification criteria?	Annex 6, 3.1 YES	MTCS 10/2020: 3.7 (iii)

PEFC Checklist – Certification and Accreditation (Annex 6)

No.	PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
4.	Does the scheme documentation require that certification bodies shall have a good understanding of the national PEFC system against which they carry out forest management certification?	Annex 6, 3.1 YES	MTCS 10/2020: 3.7 (iii)
5.	Does the scheme documentation require that certification bodies have the responsibility to use competent auditors and who have adequate technical know-how on the certification process and issues related to forest management certification?	Annex 6, 3.2 YES	MTCS 10/2020: 3.10
6.	Does the scheme documentation require that the auditors must fulfil the general criteria of ISO 19011 for Quality Management Systems auditors or for Environmental Management Systems auditors?	Annex 6, 3.2 YES	MTCS 10/2020: 3.11, 3.12
7.	Does the scheme documentation include additional qualification requirements for auditors carrying out forest management audits? [*1]	Annex 6, 3.2 YES	MTCS 10/2020: 3.13, 3.14
8.	Does the scheme documentation require that certification bodies shall have established internal procedures for forest management certification?	Annex 6, 4 YES	MTCS 10/2020: 6.3
9.	Does the scheme documentation require that applied certification procedures for forest management certification shall fulfil or be compatible with the requirements defined in ISO 17021?	Annex 6, 4 YES	MTCS 10/2020: 6.5

PEFC Checklist – Certification and Accreditation (Annex 6)

No.	PEFC benchmark requirement		YES / NO	Reference to system documentation (including quotation of relevant text)
10.	Does the scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011?	Annex 6, 4	Yes	<p>MTCS 10/2020: - 3.11, 3.12 - CoC auditors meet the requirements of ISO 19011 and FMC auditors ISO 17021</p> <p>NCB 7/2020: 2.2 (b) - CB applying for PEFC notification shall comply with Annex 6: Certification and Accreditation Procedures.</p>
11.	Does the scheme documentation require that certification body shall inform the relevant PEFC National Governing Body about all issued forest management certificates and changes concerning the validity and scope of these certificates?	Annex 6, 4	YES	NCB 7/2020: 5.1 (c)
12.	Does the scheme documentation require that certification body shall carry out controls of PEFC logo usage if the certified entity is a PEFC logo user?	Annex 6, 4	YES	MTCS 10/2020: 3.6 (iv)
13.	Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?	Annex 6, 4	YES	MTCS 10/2020: 6.12
14.	Does a maximum period for assessment audit not exceed five years for forest management certifications?	Annex 6, 4	YES	MTCS 10/2020: 6.12
15.	Does the scheme documentation include requirements for public availability of certification report summaries?	Annex 6, 4	YES	MTCS 10/2020: 6.9
16.	Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?	Annex 6, 4	YES	MTCS 10/2020: 6.7

PEFC Checklist – Certification and Accreditation (Annex 6)

No.	PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
17.	Does the scheme documentation include additional requirements for certification procedures? [*1]	Annex 6, 4 YES	MTCS 10/2020: 6.6
18.	Does the scheme documentation require that certification bodies carrying out forest management certification shall be accredited by a national accreditation body?	Annex 6, 5 YES	MTCS 10/2020: 3.8
19.	Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?	Annex 6, 5 YES	MTCS 10/2020: 7.1
20.	Does the scheme documentation require that the accreditation shall be issued by an accreditation body which is a part of the International Accreditation Forum (IAF) umbrella or a member of IAF's special recognition regional groups and which implement procedures described in ISO 17011 and other documents recognised by the above-mentioned organisations?	Annex 6, 5 YES	MTCS 10/2020: 7.1
21.	Does the scheme documentation require that certification body undertake forest management certification as "accredited certification" based on ISO 17021 and the relevant forest management standard(s) shall be covered by the accreditation scope?	Annex 6, 5 YES	MTCS 10/2020: 7.2
22.	Does the scheme documentation include a mechanism for PEFC notification of certification bodies?	Annex 6, 6 YES	MTCS 10/2020: 8.1, 8.2 NCB 7/2020 and its appendices I to V

PEFC Checklist – Certification and Accreditation (Annex 6)

No.	PEFC benchmark requirement		YES / NO	Reference to system documentation (including quotation of relevant text)
23.	Are the procedures for PEFC notification of certification bodies non-discriminatory?	Annex 6, 6	YES	MTCS 10/2020: 8.1 NCB 7/2020: 3.1, 3.2 All CBs are eligible to apply for PEFC notification if they have a valid accreditation certificate.

* 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 VI: Standard and System Requirements Checklist for Scheme Administration (PEFC GD 1004:2009)

1 Scope

This checklist is used for the assessment of requirements for the administration of PEFC systems outlined in PEFC 1004:2009, Administration of PEFC scheme.

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

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

2 Checklist

No.	PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
PEFC Notification of certification bodies			
1.	Are procedures for the notification of certification bodies in place, which comply with chapter 5 of PEFC GD 1004:2009, <i>Administration of PEFC scheme</i> ?	YES	NCB 7/2020 a) 3.1, 3.2 b) 5.1, 5.2 c) 6.3 d) 3.1 (e), 3.2 (f) e) 5.1 (c), 5.2 (c) f) No discriminatory measures in the document; all CBs with valid accreditation certificate are eligible to apply for PEFC notification
PEFC Logo usage licensing			
2.	Are procedures for the issuance of PEFC Logo usage licenses in place, which comply with chapter 6 of PEFC GD 1004:2009, <i>Administration of PEFC scheme</i> ?	YES 6.1.1 6.1.2 6.2.1 6.2.1 6.2.1 6.2.1 6.2.2	LG 8/2020 - 4.1 (a) - 1.2 (b), 4.2 a) 5.2.1 b) 3.2 c) 4.2 d) 6 e) 5.1.1 Appendix C, Chapter 5 and MTCS 10/2010 – 3.6(iv)
Complaints and dispute procedures			

PEFC Checklist - Scheme Administration (PEFC GD 1004:2009)

No.	PEFC benchmark requirement	YES / NO	Reference to system documentation (including quotation of relevant text)
3.	Are complaint and dispute procedures in place, which comply with chapter 8 of PEFC GD 1004:2009, <i>Administration of PEFC scheme</i> ?	YES 8.2 8.2 8.2 8.2	DRP 4/2019 a) 4.1.2, 5.1.2 b) 4.1-4.5, 5.1-5.5 c) 4.5.6, 5.5.6 d) 4.5, 5.5