



Conformity assessment (reassessment) of the Sustainable Green Ecosystem Council (森林認証) against the PEFC Council Requirements

Final Report | January 2022

article three

ABOUT ARTICLE THREE

Article Three is a consultancy that specialises in trade and sustainability policy in the Asia Pacific region. Its expertise encompasses international trade and economics, direct foreign investment, environment and sustainability, international aid and economic development.

Article Three (formerly ITS Global)
Level 7, 575 Bourke Street,
Melbourne VIC 3000
AUSTRALIA

Tel: (61) 3 9620 3400

Fax: (61) 3 9614 8022

Articlethree.com.au

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1. INTRODUCTION

Article Three was invited by the Program for the Endorsement of Forest Certification (PEFC) Council to tender for the conformity assessment of the Sustainable Green Ecosystem Council Certification Scheme (SGEC -- hereafter referred to as the Applicant Scheme), against the requirements of the PEFC Council.

Forest certification in Japan has a long and significant history. The SGEC was first proposed in 2002 before being established in 2003. The system was developed in order to have a forest certification system that was specifically tailored for Japan's unique forest environments, as well as the specific nature of Japan's forestry industry and practices. SGEC became a PEFC member in 2014. SGEC was endorsed by the PEFC Council in 2016.

METHODOLOGY

This report assesses the Applicant Scheme's rules governing the maintenance and encouragement of productive functions of forests; and whether the applicant scheme complies with these requirements in practice.

Article Three has reviewed the content of the Applicant Scheme for technical competence and completeness. Article Three has assessed the Applicant Scheme's conformity with the requirements of the PEFC Council, as stipulated in PEFC GD *Endorsement and Mutual Recognition of National Systems and their Revision*.

SCOPE OF ASSESSMENT

The following aspects of the Applicant Scheme have been assessed against the PEFC international standards and technical documents where relevant:

- A general analysis of the structure of the Applicant System's technical documentation.
- An assessment of the standard setting procedures and process against PEFC ST 1001:2017, Standard Setting – Requirements (for the sustainable forest management standard(s) and the chain of custody standard).
- An assessment of standard(s) applicable for forest management certification against PEFC ST 1003:2018, Sustainable Forest Management – Requirements.
- An assessment of the group certification requirements against PEFC ST 1002:2018, Group Forest Management Certification - Requirements.
- An assessment of certification and accreditation procedures, for forest management certification as defined in the PEFC Council Technical Document, Annex 6, and for chain of custody certification as defined by PEFC ST 2003:2020, Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard.
- 2.7. A stakeholder survey to check the basic contents of the development report on the standard setting process.
- 2.8. Any other aspects that can affect functions, credibility and efficiency of the submitted system.

The following normative references have been used for this assessment:

- PEFC ST 1001, Standard Setting - Requirements
 - PEFC ST 1003, Sustainable Forest Management – Requirements.
 - PEFC ST 1002, Group Forest Management Certification - Requirements
 - PEFC ST 2002, Chain of Custody of Forest Based Products – Requirements
 - PEFC ST 2003, Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard
 - PEFC GD 1004, Administration of PEFC scheme, chapter 8
 - TD Annex 6 (Certification and Accreditation Procedures)
 - PEFC ST 2001, PEFC Logo usage rules - Requirements (hereinafter PEFC Logo usage rules)
 - PEFC GL7/2007, PEFC Council procedures for the investigation and resolution of complaints and Appeals
 - ISO/IEC 17021, Conformity assessment -- Requirements for bodies providing audit and certification of management systems
 - ISO/IEC 17065, Conformity assessment -- Requirements for bodies certifying products, processes and services
 - ISO 19011, Guidelines for auditing management systems
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2. RECOMMENDATION

The consultant recommends that the SGEC maintains its endorsed status on the condition that the following corrective action requests are met in the next six months:

- Future review dates are included in all system documentation accordingly;
- A summary of feedback received is made available on the SGEC website.

3. SUMMARY OF THE FINDINGS

The following is a summary of findings of the report:

SGEC submitted its standards to the PEFC Council for approval in July 2021. Scheme documentation includes standards and procedural documents governing standard setting and standard review procedures, investigation and resolution of complaints and appeals, notification of certification bodies, sustainable forest management requirements, requirements for bodies providing audit and certification services, logo usage rules, and chain of custody requirements. The Applicant Scheme includes provisions for individual and group certification. The structure of the scheme and the documentation is clear and for the most part unambiguous.

STANDARD SETTING PROCEDURES

The System conforms to the PEFC requirements.

STANDARD SETTING PROCESS

The System conforms to the PEFC requirements, with two exceptions.

The future review dates do not appear on system documentation (requirement 6.5.1)

In addition, a synopsis of feedback does not appear to have been made publicly available (requirement 7.2.2).

This is considered a minor non-conformity as it does not affect the robustness of the system.

FOREST MANAGEMENT STANDARD

The System conforms to the PEFC requirements.

GROUP CERTIFICATION MODEL

The System conforms to the PEFC requirements.

CHAIN OF CUSTODY STANDARD

The System conforms to the PEFC requirements.

PROCEDURES FOR LOGO LICENSING

The System conforms to the PEFC requirements.

CERTIFICATION AND ACCREDITATION ARRANGEMENTS

The System conforms to the PEFC requirements.

COMPLAINTS AND DISPUTE RESOLUTION PROCEDURES

The System conforms to the PEFC requirements.

4. STRUCTURE OF THE SYSTEM OF THE PROPOSED APPLICANT SCHEME

FORESTS AND THE FOREST SECTOR IN JAPAN

Background

Forest certification in Japan has a long and significant history. The SGEC was first proposed in 2002 before being established in 2003. The system was developed in order to have a forest certification system that was specifically tailored for Japan’s unique forest environments, as well as the specific nature of Japan’s forestry industry and practices. SGEC became a PEFC member in 2014. SGEC was endorsed by the PEFC Council in 2016.

Around two-thirds of Japan’s terrestrial area is forested, covering 25.1 million ha. More than half of Japan’s forest area (14.5 million ha) is privately owned with the remainder owned at the local government (prefecture, municipal, city) level and at national level in the form of national forests.

Certification in Japan has a relatively unique set of circumstances. Privately owned forest areas are generally small. A significant majority of forest holdings are less than 10ha. Communal forests – which may include community and/or local government forest areas – are sometimes certified.

Although forestry has a relatively small overall contribution to Japan’s GDP, related industries such as furniture manufacturing, paper-making and construction contribute significantly to cultural, social and economic development. Similarly, forests occupy a singular place in Japanese culture, from religious significance (*kodama* spirit worship) to historical/familial significance (shrine trees) and the physical practice of *shinrin-yoku*.

THE SCHEME

The SGEC has developed a number of procedural documents for the Applicant Scheme. They are listed as follows:

Standards and Guidelines

Document	Title / Description
SGEC Standard Document 1:2021	Operation Rules of Forest Management Certification and Forest Products Chain of Custody Certification by Sustainable Green Ecosystem Council (SGEC)”
SGEC Standard Document 2:2021	SGEC Standard Setting – Requirements”
SGEC Standard Document 3:2021	SGEC Sustainable Forest Management Requirements”
SGEC Standard Document 3-1:2021	SGEC Group Forest Management Requirements”
SGEC Guide Document 3	SGEC Guide to Implement FPIC for Ainu People
SGEC Standard Document 4: 2021	SGEC Chain of Custody of Forest and Forest Based Products Requirements
SGEC Standard Document 5-1:2021	SGEC Requirements for Certification Bodies operating Certification against the SGEC Forest Management Standard
SGEC Standard Document 5-2:2021	SGEC Requirements for Certification Bodies operating Certification against the SGEC Chain of Custody Standard

SGEC Standard Document 6:2021	SGEC Trademark Rules – – Requirements
SGEC Standard Document 6-1:2021	Issuance of the SGEC/PEFC Trademarks License by SGEC/PEFC Japan
SGEC Standard Document 7:2021	SGEC Information and Registration System – – Data Requirements"
SGEC Guide Document 8:2021	SGEC Procedures for Dealing with Complaints and Disputes against SGEC Scheme"

Scheme documentation includes standards and procedural documents governing standard setting and standard review procedures, investigation and resolution of complaints and appeals, notification of certification bodies, sustainable forest management requirements, requirements for bodies providing audit and certification services, logo usage rules, and chain of custody requirements. The Applicant Scheme includes provisions for individual and group certification.

SGEC Standard Document 3:2021 essentially comprises two parts. The first part of the Standard is based heavily on the requirements and structure of PEFC ST 1003:2018, Sustainable Forest Management – Requirements, as well as its Appendix, which comprises guidelines for implementation. In the application process, references to the primary document were included, without reference to the additional guidelines.

SGEC Standard Document 4: 2021 SGEC Chain of Custody of Forest and Forest Based Products Requirements has been adopted by SGEC. Its structure and wording is almost identical to PEFC ST 2002, Chain of Custody of Forest Based Products – Requirements, but has been assessed in full accordingly.



5. STANDARD SETTING PROCEDURES

This chapter presents a detailed assessment of the standard setting procedures against PEFC ST 1001:2017, Standard Setting, for the development of the forest management standard. It contains a detailed assessment of the standard setting procedures compliance or non-compliance with the PEFC Council requirements as set out in PEFC ST 1001:2017.

SGEC has adopted standard setting procedures that – with some exceptions -- virtually mirror the structure and requirements of PEFC ST 1001:2017.

Requirement 5.1 The standardising body has written procedures for standard-setting activities describing:

(a) its legal status and organizational 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)

The Standardising Body (SGEC) has its legal status and organisational structure described in SGEC Document 1 Appendix 1, which comprises the statutes of the organization.

The Document describes its legal status (Article 1) and organisational structure (Board of Directors, Article 5; Appointment of a President, Article 24 and 25; Councillors Committee, Article 52; Secretariat, Article 53).

The statutes provide for the Councillors Committee, which is the body responsible for consensus building: “Article 52, Section 1: The Councilors Committee shall be established to deliberate matters relating to operation of forest management certification and forest products chain of custody certification.” The Councillors Committee appoints the Standard Management Committee as the body for consensus building.

Procedures for the formal adoption of the standard are described. The adoption of the standard is taken by the Board of Directors, based on consensus of the Standard Management Committee (SMC).

(b) procedures for keeping documented information,

Procedures for keeping documented information are described at SGEC Document 2 5.2.

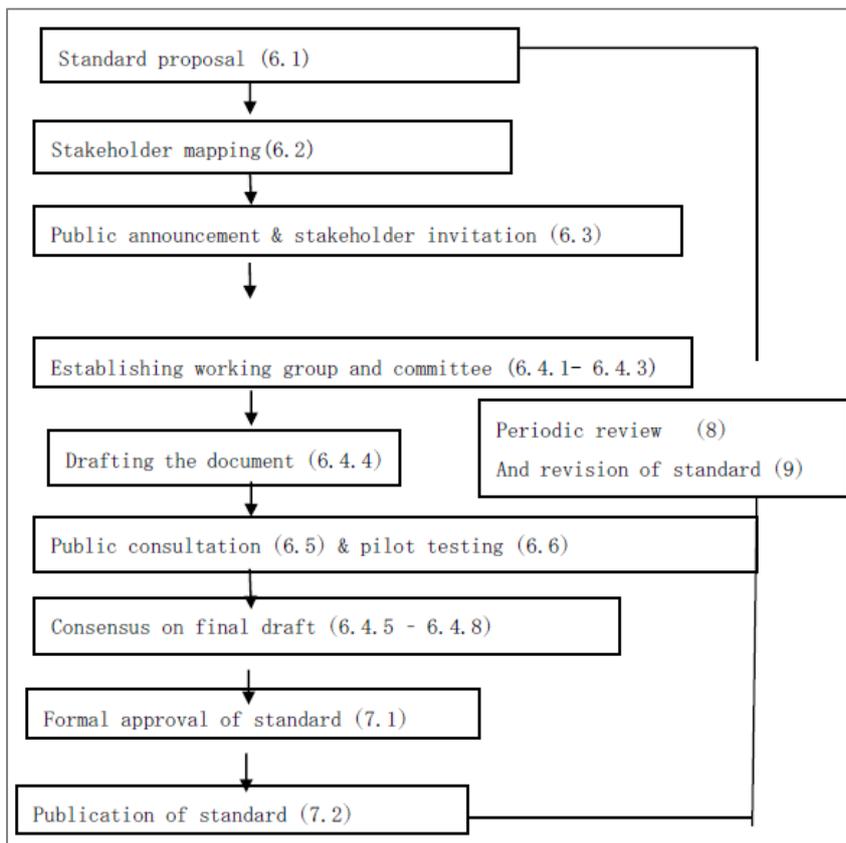
(c) procedures for balanced representation of stakeholders,

Procedures for the balanced representation of stakeholders are described at Document 2 6.4.

(d) the standard-setting process,

Procedures for the balanced representation of stakeholders are described at Document 2 Figure 1, and Document 1 2.3.4. The standard setting process is clearly defined. It contains clear procedures on

- Proposal
- Mapping
- The formation of a standardizing committee
- Draft stage
- Consensus building,
- Enquiry stage
- Consultation
- Public consultation
- Pilot testing
- Consensus
- Formal approval.



(e) the mechanism for reaching consensus, and

Procedures for the mechanism for reaching consensus among the SMC is described at Document 1 2.3.4 (7). Reaching consensus requires:

- If opinions against approval of the final draft are presented as a result of the deliberation by the councilors committee, the Board of Directors shall return the final draft back to the

certification administration committee. The standard management committee shall further examine and deliberate the final draft in order to acquire consensus by organizing a joint meeting with councilors committee or by other ways; formulate the final draft again; and acquire approval by the Board of Directors;”

(f) review and revision of standard(s)/normative document(s).

The review and revision process is described at Document 2 Figure 1, and at Document 1 2.3.4 (see above).

ASSESSMENT DECISION: CONFORMS

Requirement 5.1.2 The standardizing body shall make its standard-setting procedures publicly available and shall review its standard-setting procedures regularly. The review shall consider feedback from stakeholders.

The document is publicly available. The procedures have a clear requirement for public availability of documentation and requirements for the consideration of feedback from stakeholders: SGEC Document 1 5.1.2 “The standardizing body shall make its standard-setting procedures publicly available and shall review its standard-setting procedures regularly. The review shall consider feedback from stakeholders.”

ASSESSMENT DECISION: CONFORMS

Requirement 5.2.1 The standardizing body shall keep documented information relevant to the standard-setting and review process. Evidence of compliance with the requirements of this standard and the standardizing body’s own procedures includes: a) Standard-setting procedures, b) Stakeholder identification mapping, c) Contacted and/or invited stakeholders, d) Stakeholders involved in standard-setting activities including participants in each working group meeting, e) Feedback received and a synopsis of how feedback was addressed, f) All drafts and final versions of the standard, g) Outcomes from working group considerations, h) Evidence of consensus on the final version of the standard(s), i) Evidence relating to the review process, and j) Final approval by the standardizing body.

This is stipulated at SGEC Document 1 5.2.1. The requirements mirror those in the PEFC requirements.

ASSESSMENT DECISION: CONFORMS

Requirement 5.2.2 Documented information shall be kept until completion of the next review or revision of the standard to which they refer. Otherwise the documented information must be kept for a minimum of five years after publication of the standard.

Requirement 5.2.3 Documented information shall be available to interested parties upon request

These are both stipulated at SGEC ST Document 1 5.2.1 and 5.2.3: The requirements mirror those in the PEFC requirements.

ASSESSMENT DECISION: CONFORMS

Requirement 5.3.1 The standardizing 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 standardizing body shall: a) acknowledge receipt of the complaint or appeal to the complainant, 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, and c) formally communicate the decision on the complaint or appeal to the complainant and describe the handling process

The complaints procedures relating to the standard-setting are established in SGEC Document 2 5.3.1. The requirements mirror those in the PEFC requirements.

ASSESSMENT DECISION: CONFORMS

Requirement 5.3.2 The standardizing 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

This is stipulated at SGEC Document 2 5.3.2. The requirements mirror those in the PEFC requirements.

ASSESSMENT DECISION: CONFORMS



6. STANDARD SETTING PROCESS

BACKGROUND

The standard setting process has been documented in part in the “Development Report of SGEC Revised Standard Documents.” The Standard Development Report is mostly comprehensive, but contains some information gaps that require addressing from the Applicant Scheme. Process Documentation, where available, is referred to throughout the assessment.

6.1.1 For the creation of a new standard, the standardizing body shall develop a proposal including: a) the scope of the standard, b) justification of the need for the standard, c) a clear description of the intended outcomes, 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.

6.1.2 For the revision of a standard the proposal shall cover at least (a) and (e) of clause 6.1.1.

Proposal development is stipulated at SGEC Standard Document 2 6.1.1; Revision proposal requirements are stipulated at SGEC Standard Document 2 6.1.2; the requirements mirror those of the PEFC requirements.

The proposal document has been provided.

ASSESSMENT DECISION: CONFORMS

Requirement 6.2.1 The standardizing 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 standardizing body shall identify the likely key issues, key stakeholders, and which means of communication would be best to reach them.

The requirements are stipulated at SGEC Document 2 6.2.1; they mirror the PEFC requirements.

The Standard Development Report contains a comprehensive stakeholder mapping document that includes key issues, preferred contact details, location, and stakeholder group.

ASSESSMENT DECISION: CONFORMS

6.2.2 Identification of stakeholder groups shall be based on nine major stakeholder groups as defined by Agenda 21 of the United Nations Conference on Environment and Development (UNCED) in Rio de Janeiro in 1992. At least the following groups shall be included in the stakeholder mapping: • forest owners, • business and industry, •

indigenous people, • non-government organizations, • scientific and technological community, • workers and trade unions

The requirements are stipulated at SGEC Document 2 6.2.2; they mirror the PEFC requirements.

The Development Report stakeholder mapping document contains identified groups as follows:

forest owners, business and industry, indigenous people, non-government organizations, scientific and technological community, workers and trade unions, administration, accreditation and certification bodies, individual organisations and companies.

ASSESSMENT DECISION: CONFORMS

Requirement 6.2.3 The standardizing body shall identify disadvantaged stakeholders and key stakeholders and address any constraints to their participation in standard-setting activities.

The requirements are stipulated at SGEC Document 2 6.2.3; they mirror the PEFC requirements.

The Stakeholder mapping document contains identification of disadvantaged stakeholders ('vulnerable') and key stakeholders.

ASSESSMENT DECISION: CONFORMS

Requirement 6.3.1 The standardizing 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. The announcement and invitation shall include: a) overview of the standard-setting process, b) access to the proposal for the standard (refer to 6.1), c) information about opportunities for stakeholders to participate in the 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, e) explicit invitation and clear instruction on how to submit feedback on the scope and standardsetting process, and f) access to the standard-setting procedures

The requirements are stipulated at SGEC Document 2 6.3.1; they mirror the PEFC requirements.

An announcement of the start of the revision process was made on the SGEC website on June 26, 2020. The announcement was made via the PEFC website and is documented accordingly. This was more than four weeks before the first activity that took place in August of that year.

The announcement contained an overview of the process, ability to participate in the process, accessibility of the working draft, and an invitation to participated in the standard management committee, as well as a schedule for the revision process.

An email of the invitation and announcement has been provided along with the mailing list of recipients.

ASSESSMENT DECISION: CONFORMS (PROCEDURES)

ASSESSMENT DECISION: CONFORMS (PROCESS)

Requirement 6.4.1 The standardizing 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 organization, an individual's competence, an individual's relevant experience and resources available for standard-setting.

The requirements are stipulated at SGEC Document 2 6.4.1; they mirror the PEFC requirements.

ASSESSMENT DECISION: CONFORMS (PROCEDURES)

ASSESSMENT DECISION: CONFORMS (PROCESS)

Requirement 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 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.

The requirements are stipulated at SGEC Document 2 6.4.2; they mirror the PEFC requirements.

The membership list has been provided and sighted; the list can be considered balanced, not single group can dominate; there is appropriate expertise; there is suitable representation of affected stakeholders; there is appropriate representation of members that an influence implementation.

ASSESSMENT DECISION: CONFORMS (PROCEDURES)

ASSESSMENT DECISION: CONFORMS (PROCESS)

Requirement 6.4.3 In order to achieve balanced representation, the standardizing body shall strive to have all identified stakeholder groups (refer to 6.2) represented. The standardizing 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 standardizing body may consider alternative options.

The requirements are stipulated at SGEC Document 2 6.4.3; they mirror the PEFC requirements.

All stakeholder groups are represented (Reference 6.2) as follows:

Forest owners (3); business and industry (9); environmental NGOs (6); conservation NGOs (2); indigenous groups (2); science and technical (9); technical (1); administrative (5); accreditation (6); journalists (2); companies (8).

ASSESSMENT DECISION: CONFORMS (PROCEDURES)

ASSESSMENT DECISION: CONFORMS (PROCESS)

Requirement 6.4.4 Activities of the working group shall be organized in an open and transparent manner where: a) working drafts shall be available to all members of the working group, 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 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.

The requirements are stipulated at SGEC Document 2 6.4.4; they mirror the PEFC requirements.

Working drafts were provided, as indicated in the development report and a comprehensive feedback mechanism was incorporated; suggestions and feedback has been compiled and taken seriously in the different draft versions.

ASSESSMENT DECISION: CONFORMS

Requirement 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 utilize 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., b) telephone conference meeting(s) where there is a verbal yes/no vote, c) e-mail request to the working group for agreement or objection where the members provide a formal (written) response (vote), or d) combinations of these methods.

The requirements are stipulated at SGEC Document 2 6.4.5; they mirror the PEFC requirements.

It has been recorded in meeting minutes that there was consensus on the final draft on the SMC meeting on March 2, 2021.

ASSESSMENT DECISION: CONFORMS (PROCEDURES)

ASSESSMENT DECISION: CONFORMS (PROCESS)

Requirement 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 majority vote cannot override sustained opposition in order to achieve consensus.

The requirements are stipulated at SGEC Document 2 6.4.6; they mirror the PEFC requirements.

There were no dissenting votes.

ASSESSMENT DECISION: CONFORMS (PROCEDURES)

ASSESSMENT DECISION: CONFORMS (PROCESS)

Requirement 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, b) finding a compromise through direct negotiation between the stakeholder(s) making the objection and other stakeholders with different views on the disputed issue, c) additional round(s) of public consultation (if necessary) where further stakeholder input can help to achieve consensus on unresolved issues. The standardizing body determines the scope and duration of any additional public consultation.

The requirements are stipulated at SGEC Document 2 6.4.7; they mirror the PEFC requirements.

There were no dissenting votes.

ASSESSMENT DECISION: CONFORMS (PROCEDURES)

ASSESSMENT DECISION: CONFORMS (PROCESS)

Requirement 6.4.8 When a substantial issue cannot be resolved and sustained opposition persists, the standardizing body shall initiate dispute resolution in accordance with its procedures for impartial and objective action. PEFC ST 1001:2017 — Standard Setting – Requirements 14 6.5 Public consultation

The requirements are stipulated at SGEC Document 2 6.4.8; they mirror the PEFC requirements.

There were no dissenting votes.

ASSESSMENT DECISION: CONFORMS (PROCEDURES)

ASSESSMENT DECISION: CONFORMS (PROCESS)

Requirement 6.5.1 The standardizing body shall organize 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: In a timely manner means (at the latest) the day before the start of public consultation. 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, c) invitations are sent to disadvantaged and key stakeholders by methods that ensure they reach recipients and are easy to understand, d) the enquiry draft is made publicly available, e) public consultation is for at least 60 days, f) all feedback is considered by the working group in an objective manner, and 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.

The requirements are stipulated at SGEC Document 2 6.5.1; they mirror the PEFC requirements.

The public consultation was announced on the SGEC website on 19 October 2020, announcing the commencement on 20 October 2020, with an email sent on the 21 October 2020 announcing the commencement of the consultation. The invitation included a direct invitation to comment on the draft, and included a copy of the draft standard that was made available via the SGEC website; and was sent to all stakeholders identified by the stakeholder mapping. The feedback period lasted 60 days. The feedback was compiled and incorporated into the draft accordingly.

A feedback synopsis has not been made publicly available. This is a non-conformity. However, the consultant does not believe that the non-conformities compromise the standard setting process.

ASSESSMENT DECISION: CONFORMS (PROCEDURES)

ASSESSMENT DECISION: MINOR NON-CONFORMITY (PROCESS)

Requirement 6.5.2 For new standards the standardizing body shall organize a second round of public consultation lasting at least 30 days. 6.6 Pilot testing The standardizing body shall organize 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.

ASSESSMENT DECISION: NOT APPLICABLE (REVISION)

Requirement 7.1 Formal approval of standards The standardizing body shall approve the standard(s)/normative document(s) formally when there is evidence of consensus among the working group.

The requirements are stipulated at SGEC Document 2 7.1; they mirror the PEFC requirements.

The Board of Directors approved the standards after a recommendation from the SMC. This took place on March 30, 2021. The Board instructed the secretariat to publish the documents after editorial corrections.

ASSESSMENT DECISION: CONFORMS

Requirement 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 standardizing body.

The requirements are stipulated at SGEC Document 2 7.2.1; they mirror the PEFC requirements. The standards were approved March 30 and made available on the SGEC website on the same day. An announcement was made on April 15 regarding the published standards.

ASSESSMENT DECISION: CONFORMS

Requirement 7.2.2 Standard(s) shall include: a) identification and contact information for the standardizing body, b) official language of the 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. 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.

The requirements are stipulated at SGEC Document 2 7.2.3; they mirror the PEFC requirements.

Contact information is include on the first or last page of all Japanese versions of the documentation, as are notes of the official language and statements relating to language versions. Approval dates are noted on all documentation. However, the next review date does not appear on the documentation.

This is a minor non-conformity. It does not impact the robustness of the system.

ASSESSMENT DECISION: CONFORMS (PROCEDURES)

ASSESSMENT DECISION: MINOR NON-CONFORMITY (PROCESS)

Requirement 7.2.3 Printed copies shall be made available upon request at a price that covers no more than administrative costs (if any).

The requirements are stipulated at SGEC Document 2 7.2.3; they mirror the PEFC requirements.

This is confirmed via the SGEC website.

ASSESSMENT DECISION: CONFORMS

Requirement 7.2.4 The standardizing body shall make the development report (refer to PEFC GD 1007) publicly available.

The requirements are stipulated at SGEC Document 2 7.2.4; they mirror the PEFC requirements.

The standard development report was published on the SGEC website.

ASSESSMENT DECISION: CONFORMS

Requirement 8.1 General 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 organized to obtain further feedback and input.

The requirements are stipulated at SGEC Document 2 8.1; they mirror the PEFC requirements.

The requirements are stipulated at SGEC Document 2 7.2.4; they mirror the PEFC requirements.

ASSESSMENT DECISION: CONFORMS

Requirement 8.2.1 The standardizing 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 standardizing 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.

The requirements are stipulated at SGEC Document 2 8.1; they mirror the PEFC requirements.

A feedback mechanism on the website is provided at <https://sgec-pefcj.jp/%E3%81%8A%E5%95%8F%E3%81%84%E5%90%88%E3%82%8F%E3%81%9B/>

ASSESSMENT DECISION: CONFORMS

Requirement 8.2.2 All feedback received through all channels, including meetings, training courses, etc. shall be recorded and considered.

The requirements are stipulated at SGEC Document 2 8.22 they mirror the PEFC requirements.

SGEC has provided a summary of feedback provided through all channels since the last revision.

ASSESSMENT DECISION: CONFORMS

Requirement 8.3.1 At the start of a review, the standardizing 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.

Requirement 8.3.2 The standardizing body shall consider the latest scientific knowledge, research and relevant emerging issues.

The requirements are stipulated at SGEC Document 2 8.3.1 and 8.3.2; they mirror the PEFC requirements.

Approximately three evaluations have taken place in the lead up to the revision. They took place in 2018, 2019 and 2020. In all cases they assessed new knowledge, research and emerging issues.

ASSESSMENT DECISION: CONFORMS (PROCEDURES AND PROCESS)

Requirement 8.4.1 Where the feedback and the gap analysis do not identify a need to revise the standard, the standardizing body shall organize stakeholder consultation to determine whether stakeholders see a need for revising the standard. The standardizing body shall include the gap analysis in the stakeholder consultation.

The requirements are stipulated at SGEC Document 2 8.4.1; they mirror the PEFC requirements.

Gap analysis identified a need to revise the standard; this has been documented on the SGEC website. The gap analysis was included in the stakeholder consultation documentation.

ASSESSMENT DECISION: CONFORMS

Requirement 8.4.2 At the start of a review, the standardizing body shall update the stakeholder identification mapping (refer to clause 6.2).

The requirements are stipulated at SGEC Document 2 8.4.2; they mirror the PEFC requirements.

The updated stakeholder mapping was included in the Standard Development Report.

ASSESSMENT DECISION: CONFORMS

Requirement 8.4.3 The standardizing body shall organize: a) a public consultation period of at least 30 days (following the requirements of clause 6.5.1) and/or, b) stakeholder meetings.

The requirements are stipulated at SGEC Document 2 8.4.3; they mirror the PEFC requirements.

SGEC announced the commencement of the review process on 26 June 2020. Stakeholder meetings took place on 25 August 2020 and 28 September 2020 regarding the review.

ASSESSMENT DECISION: CONFORMS

Requirement 8.4.4 The standardizing body shall announce the review in a timely manner (refer to 6.3).

The requirements are stipulated at SGEC Document 2 8.4.4; they mirror the PEFC requirements.

The review was announced in a timely manner, as noted above.

ASSESSMENT DECISION: CONFORMS

Requirement 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 standardizing body shall decide whether to reaffirm the standard or whether a revision of the standard is necessary.

Requirement 8.5.2 The decision shall be made at the highest decision-making level of the standardizing body

Requirement 8.5.3 Where the decision is to reaffirm a standard, the standardizing body shall provide a justification for the decision and make the justification publicly available.

The requirements are stipulated at SGEC Document 2 8.5.1-3; they mirror the PEFC requirements.

The standardising body determined that a revision was necessary; that decision was affirmed at a meeting of the Board of Directors on 25 June 2020.

The announcement of the revision stated: “This revision process will be carried out aiming at re-endorsement by PEFC based on SGEC Attachment 2-12 “SGEC Standard Setting” and PEFC ST 1001 2017, taking into account the revision of PEFC standards after the last endorsement by PEFC in 2016 as well as change in domestic and international circumstances.

ASSESSMENT DECISION: CONFORMS

Requirement 8.5.4 Where the decision is to revise the standard, the standardizing body shall specify the type of revision (normal or editorial revision).

The requirements are stipulated at SGEC Document 2 8.5.4; they mirror the PEFC requirements.

The decision did not indicate the type of revision undertaken, as it was part of the review and revision process.

ASSESSMENT DECISION: CONFORMS

Requirement 9.1 Normal revision 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.

The requirements are stipulated at SGEC Document 2 9.1; they mirror the PEFC requirements.

The revision does not include time-critical or editorial revisions.

ASSESSMENT DECISION: CONFORMS

Requirement 9.2 Editorial revision Editorial revisions can be made without triggering the normal revision process. The standardizing body shall approve the editorial changes formally and publish an amendment or a new edition of the standard.

Requirement 9.3.1 A time-critical revision is a revision between two periodic reviews using a fast-track process.

Requirement 9.3.2 A time-critical revision can be conducted only in the following situations: a) Change in national laws and regulations affecting compliance with PEFC International requirements b) Instruction by PEFC International to comply with specific or new PEFC requirements within a timescale that is too short for a normal revision.

Requirement 9.3.3 The time-critical revision shall follow these steps: a) The standardizing body shall draft the revised standard, b) The standardizing body may consult stakeholders, but it is not mandatory, c) The revised standard shall be approved formally at the highest appropriate decision-making level of the standardizing body, d) The standardizing body shall explain the justification for the urgent change(s) and make the justification publicly available.

The requirements are stipulated at SGEC Document 2 9.2 and 9.3; they mirror the PEFC requirements.

ASSESSMENT DECISION: CONFORMS

Requirement 9.4.1 A revision shall define the application date and transition period of the revised standard(s)/ normative document(s).

The requirements are stipulated at SGEC Document 2 9.4.1; they mirror the PEFC requirements.

Issue dates and review dates have been stated clearly on all documents and defined accordingly.

ASSESSMENT DECISION: CONFORMS

Requirement 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.

The requirements are stipulated at SGEC Document 2 9.4.2; they mirror the PEFC requirements.

No application dates issues dates on any standards and normative documents exceed one year.

ASSESSMENT DECISION: CONFORMS

Requirement 9.4.3 The transition period shall not exceed one year. The standardizing body may determine a longer period when justified by exceptional circumstances

The transition period is greater than one year; the exceptional circumstances are because of the COVID-19 pandemic.

ASSESSMENT DECISION: CONFORMS

7. FOREST MANAGEMENT STANDARD

This section assesses of the forest certification standard(s) against PEFC ST 1003, Sustainable Forest Management – Requirements. The main forest management standard document is SGEC Document 3.

The standard has been structured to meet the requirements of PEFC ST 1003. The structure comprises requirements in the main section of the standard that effectively replicate PEFC ST 1003. Appendix 1 of the Standard comprises Operational Guidelines that elaborate the first section of the document in practice.

This has the effect of being quite prescriptive under some requirements of the standard (particularly related to forest management planning and implementation), but less prescriptive in other areas.

The standard places additional requirements on forest managers regarding the Ainu People via Appendix 3. These requirements considerably exceed requirements under the PEFC Standard. As such they generally do not fall within the scope of this assessment.

REQUIREMENT 4.1 GENERAL:

The requirements for sustainable forest management defined by regional, national or sub-national forest management standards shall:

a) include management and performance requirements that are applicable at the forest management unit level, or at another level as appropriate, to ensure that the intent of all requirements is achieved at the forest management unit level;

SGEC Standard Document 3 4.1 a) replicates the requirement. Management and performance requirements are elaborated in SGEC Document 3 Appendix 1, Operational Guidelines. These include the requirements of a comprehensive management system, e.g. planning, monitoring, evaluation, training, etc. that are applicable at a level consistent with the requirements.

ASSESSMENT DECISION: CONFORMS

b) be clear, performance based and auditable;

The documentation (SGEC Document 3) is clear, performance-based and auditable.

ASSESSMENT DECISION: CONFORMS

c) apply to activities of all forest operators in the defined forest area who have an impact on achieving compliance with the requirements;

SGEC Document 3 4.1 (c) and 1. Scope: “This standard is comprised of requirements for SGEC sustainable forest management (SGEC forest management certification standard) covering forests, their products and services in Japan. The requirements of this standard apply to forest owners or

managers, as well as contractors and other operators operating in SGEC certified areas. They cover all necessary processes of a management system that aims at sustainable forest management”

The standard meets the requirement for application to forest operators in the defined forest area.

ASSESSMENT DECISION: CONFORMS

d) require record-keeping that provides evidence of compliance with the requirements of the forest management standards;

SGEC 3 Appendix 1 0.4.1 (d): “0.4.1 Documents of the forest management plan shall be available any time and the implementation of forest management practices according to the plan shall be verified on site. Especially, basic policies on forest management shall be confirmed as long-term policies on forest management practices and verified on site. The records of implementation of forest management practices shall be confirmed on site and kept as the records verifying the conformity with this standard.”

Records are required for harvesting (Appendix 1 2.3.1), tending (2.5.2), thinning (2.6.3), pests and disease (2.7.2), biodiversity (4.2.1 and 4.3.1), legal compliance (6.1.2), site and fiscal operations (7.2.2), consultations with indigenous groups (Appendix 3).

ASSESSMENT DECISION: CONFORMS

e) specify “100% PEFC certified”, or another system 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; 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 system specific claim; 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; h) specify requirements concerning the information which need to be provided to a PEFC chain of custody certified customer;

SGEC Standard Document 3 4.1 (e-g) replicates the PEFC requirements.

This is elaborated at

Foreword: “Forest products which originate from forests which are certified based on this standard are recognized as SGEC/PEFC certified products and a SGEC/PEFC claim and/or label are allowed on the products. A product with PEFC claim originating from countries or regions where the SGEC certification scheme does not cover (countries or regions outside Japan) shall be in accordance with PEFC ST 1003:2018 “Sustainable Forest Management – Requirements” or the PEFC certification scheme covering the countries or regions.”

“0.5 Only if practices and operations continually meet the requirements of the SGEC forest management certification standard do certified entities earn the right to make “SGEC/PEFC certified” claims and use the SGEC/PEFC label.”

In practice this is defined in:

SGEC Document 1 Operational Rules: “**6.3.3** The license number of the organization using the SGEC trademarks shall accompany the SGEC trademarks whenever they are used, except for certified organizations when passing on claims for the implementation of the SGEC COC.”

SGEC Document 6: “**7.1.2.1.5** Where the product includes only material from SGEC certified forests, i.e. material delivered with the claim “100% SGEC Origin”, the label message may be used with the wording: “[This product] is from sustainably managed forests”.

ASSESSMENT DECISION: CONFORMS

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.

An overview is included at SGEC SD 3 “2. International conventions, domestic laws and other documents related to SGEC/PEFC.” The benchmark requirements are also reflected at 6.1.1.

ASSESSMENT DECISION: CONFORMS

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;

Definitions for affected stakeholders are determined at SGEC SD 3 3.1.

b) the relevant needs and expectations of these stakeholders.

Application is elaborated at SGEC SD 6.2.5 in terms of management requiring procedures to “identify the stakeholders by using appropriate information, provide explanation to those stakeholders who are potentially affected by the forest management, hear their views on the matters related to forest management and make consultation when necessary.”

ASSESSMENT DECISION: CONFORMS

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

In application, see SGEC SD 3 Appendix 1.

“0. Identification of the forest areas which are subject to the certification, the responsible entity of the forest management and management policies

“0.3 The location of the forest concerned shall be clearly identified on-site and in the documents.”

“0.3.1 More specifically, map of 1:5,000 or similar scale, in which location of forest concerned is identified by a lot number, is provided at any time and the sites randomly selected from the map shall be identified on-site.”

This is also incorporated into management planning at 6.2.7 “Forest management plans shall be appropriate to the scope and scale of forest management.”

ASSESSMENT DECISION: CONFORMS

4.3.2 The standard requires that forest management shall comprise the cycle of inventory and planning, implementation, monitoring and evaluation, and shall include an appropriate assessment of the social, environmental and economic impacts of forest management practices. This shall form a basis for a cycle of continuous improvement

In application, inventory and mapping requirements are stipulated at 6.1.2, within 6. (Planning).

See also requirements at Appendix 2.1: “Forest manager shall assess the economic, social and ecological impact, taking account of the development process of forest management planning, forest inventory data, the implementation of the plan and the result of monitoring, build up a cycle of sustainable improvement of forest management and establish an appropriate operational structure for implementation.”

ASSESSMENT DECISION: CONFORMS

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; b) to continuously improve the sustainable forest management system.

SGEC SD3 5.1 replicates the PEFC requirement.

In application, see Appendix 0.4 “A forest management plan shall be formulated according to this standard as 5 year plan (including 10 year plan which is established in every 5 years) which clearly describes target and policies on “green ecosystem”, and commitment to long-term compliance with the forest management stipulated in the plan concerned shall be guaranteed by the top management.”

The commitment to improvement is implied in the reference above, as it forms part of the forest management plan.

ASSESSMENT DECISION: CONFORMS

5.2 The standard requires that this commitment shall be publicly available.

SGEC SD3 5.2 replicates the PEFC requirement.

In application, the availability of the management plan therefore indicates this to be the case. See “6.2.7 Forest management plans shall be appropriate to the scope and scale of forest management. Summaries of the plans shall be publicly available and shall include information on the general objectives and forest management principles.”

ASSESSMENT DECISION: CONFORMS

5.3 The standard requires that responsibilities for sustainable forest management shall be clearly defined and assigned.

SGEC SD3 5.3 replicates the PEFC requirement.

This is underlined in principle at SGEC SD 3 Appendix 1

“0.5.1 Management system and its operational organization required for implementation of the forest management plan shall be well arranged, and responsibility and authority of respective person in charge shall be clear.

“1. Scope: The requirements of this standard apply to forest owners or managers, as well as contractors and other operators operating in SGEC certified areas. They cover all necessary processes of a management system that aims at sustainable forest management.

“When a forest owner or an entity practicing forest management based on the commission from a forest owner (hereinafter referred as “forest manager”) formulate the forest management plan in order to apply for individual forest management certification, the plan, in principle, should cover the area of all the owned or managed forests.”

ASSESSMENT DECISION: CONFORMS

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.

SGEC SD3 6.1.1 replicates the PEFC requirement.

In application, planning requirements further include the following at SGEC SD Appendix 1:

“6.2.5 Forest management plans shall specify ways and means to minimize the risk of degradation and damage to forest ecosystems.

6.2.7 Forest management plans shall be appropriate to the scope and scale of forest management.”

Within the internal audit processes:

“9.3.1 An annual management review shall at least include ... d) opportunities for continual improvement.

9.3.2 The outputs of the management review shall include decisions related to continual improvement opportunities and any need for changes to the management system.”

ASSESSMENT DECISION: CONFORMS

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.

SGEC SD3 6.1.2 replicates the PEFC requirement.

In application this is elaborated at SGEC SD 3 Appendix 1:

“0.2 Forest inventory registry documents, in which location wise area of forest concerned, distinction of man-made forest and natural forest, species composition or forest types, age and growing stock according to species composition or forest types are available, shall be provided at any time.

0.2.1 More specifically, forest registry or forest inventory registry or other equivalent registry documents on the forest concerned are provided at any time, and these documents shall be updated by implementing five year cycled forest inventory.”

ASSESSMENT DECISION: CONFORMS

6.2 Management plan

6.2.1 The standard requires that management plans shall be: a) elaborated and periodically updated or continually adjusted; b) appropriate to the size and use of the forest area; c) based on applicable local, national and international legislation as well as existing land-use or other official plans; and d) adequately covering forest resources.

SGEC SD3 6.2.1 replicates the PEFC requirement.

In application, this is clarified in SGEC SD 3 Appendix 1

“0.4 A forest management plan shall be formulated according to this standard as 5 year plan (including 10 year plan which is established in every 5 years) which clearly describes target and policies on “green ecosystem”, and commitment to long-term compliance with the forest management stipulated in the plan concerned shall be guaranteed by the top management.

“Appendix 1 0.4.2 The basic policies of forest management mentioned above shall identify management purpose of each forest in compliance with this standard and explicitly show targeted

forest structure depending on characteristics of the forest concerned for fulfilling the purpose in a consistent manner.

”0.4.1. Note: With respect to relationship between the forest management plan and the forest planning system, the forest management plan needs to be in conformity with SGEC Standard “Sustainable Forest Management – Requirements” with the precondition of compliance with the regional forest plan defined in Article 5 of Forest act (the regional national forest plan defined in Article 7-2 in case of national forest) and the municipal forest development plan defined in Article 10-5 of Forest act.

“0.3 The location of the forest concerned shall be clearly identified on-site and in the documents.

0.3.1 More specifically, map of 1:5,000 or similar scale, in which location of forest concerned is identified by a lot number, is provided at any time and the sites randomly selected from the map shall be identified on-site.”

The standards meet the requirements for forest management plans.

ASSESSMENT DECISION: CONFORMS

6.2.2 The standard requires that management plans shall take into account the different uses or functions of the managed forest area.

SGEC SD3 6.2.2 replicates the PEFC requirement.

This is accounted for in practice at Appendix 1: “**2.1.1** Forest management plan shall be elaborated and implemented in a way that recognizes, maintains and promotes the importance of multiple values of the forest concerned.”

Different functions and uses are accounted for in the management plan at different points throughout the SGEC SD 3 Appendix 1. These include: biological diversity (4.1.1); recreational use, landscape conservation or disaster risk reduction (1.3.1); cultural properties (1.4.1).

ASSESSMENT DECISION: CONFORMS

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.

SGEC SD3 6.2.3 replicates the PEFC requirement.

This is elaborated at Appendix 1 3.2.1 “Level of harvest of wood and non-wood forest products shall not exceed the log-term sustainable level. Forest products harvested shall be effectively utilized as they are precious resources. “

ASSESSMENT DECISION: CONFORMS

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

SGEC SD3 6.2.4 replicates the PEFC requirement.

This is elaborated at Appendix 1 3.2.1 “Level of harvest of wood and non-wood forest products shall not exceed the long-term sustainable level. Forest products harvested shall be effectively utilized as they are precious resources. “

ASSESSMENT DECISION: CONFORMS

6.2.5 The standard requires that management plans specify ways and means to minimise the risk of degradation and damage to forest ecosystems.

SGEC SD3 6.2.5 replicates the PEFC requirement.

This is further elaborated at Appendix 1 4.1.1: “The following items for biological diversity shall be stated in forest management plan:

a) Fundamental management principles on maintenance and improvement of diversity of ecosystem, species and gene based upon character of forest; b) Appropriate management plan on maintenance and improvement of biological diversity at landscape level; c) Technical guidelines on some representative forest types in terms of maintenance and improvement of biological diversity.”

ASSESSMENT DECISION: CONFORMS

6.2.6 The standard requires that management plans shall take into account the results of scientific research.

SGEC SD3 6.2.6 replicates the PEFC requirement.

ASSESSMENT DECISION: CONFORMS

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.

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.

SGEC SD3 6.2.7 and 6.2.8 replicate the PEFC requirement.

They are elaborated at Appendix 1 7.2 and 7.2.1

“7.2 Forest management plan and its monitoring results shall be confidential in general; however, the summary information shall be open to the public in principle. Various kinds of information related to the managed forests shall be kept as much as possible, and various data related to the forest concerned shall be recorded and kept as much as possible. In case of forest operations conducted, category-wise, fiscal year-wise and site-wise operational record shall be kept.

Collaborative monitoring system shall be established with the local governments, if they conduct the indicator species monitoring for estimating holistic biological diversity in the region.

7.2.1 Documents defining the method of publicizing the forest management plan, its operation record and check list for biological diversity (including the venue, the perusal method and procedures) shall exist or be planned to be formulated. However, such documents shall not be open to be public as personal information, secret documents stipulated in relevant acts and regulation, and secret information linked with natural environmental conservation.”

ASSESSMENT DECISION: CONFORMS

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. Note: For a country which has signed a FLEGT Voluntary Partnership Agreement (VPA) between the European Union and the producing country, the “legislation applicable to forest management” is defined by the VPA agreement.

The requirement is replicated at SGEC SD 3 6.3.1.1.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 6.3.1.2.

This is further stipulated in Appendix 1: 6.1 All domestic acts and international conventions (including UN declarations and international customary laws) ratified by Japanese government shall be complied with. International conventions, etc. which are not ratified or agreed by Japanese government shall be respected and Japanese domestic laws including customary laws with respect to the related fields of these conventions shall be applied and followed.

6.1.1 Laws and regulations related forest management including those with respect to implementation of forest management; protection and conservation of forest ecosystem; tenure rights on land and forest; issues of health, labor and safety; and tax system.

6.1.2 All acts relevant to forest management shall be ready to refer and the documents and records justifying law compliance shall be available

ASSESSMENT DECISION: CONFORMS

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.

Anti-corruption laws exist in Japan. In Japan, both domestic and foreign bribery are regulated. The Criminal Code (CC) regulates domestic bribery of public officials and the Unfair Competition Prevention Law (UCPL) regulates bribery of foreign public officials.

The requirement is replicated at SGEN SD 3 6.3.1.3: “6.3.1.3 The organization shall take measures to protect the forest from unauthorized activities such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities.”

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEN SD 3 6.3.1.3: “6.3.1.3 The organization shall take measures to protect the forest from unauthorized activities such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities.”

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEN SD 3 6.3.2.1

This is further elaborated at Appendix 1 6.2.1 6.2.1 Existence of common rights and fishing rights or other customary rights in the forest (“forests for community use” in national forests) applied for certification shall be clarified and its status in the forest management plan shall be available.

6.2.2 When the common rights recognized, users' right and benefits shall be properly secured in the forest management plan based upon the status of use

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 6.3.2.2.

This is further elaborated in practice in SGEC SD 3 Appendix 3, specifically relating to the Ainu People. The Appendix provides operational guidelines for conducting operations in recognition of ILO 69, UNDRIP, and providing means of dispute resolution as well as compensation mechanisms.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 6.3.2.3.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 6.3.3.1.

This is further elaborated at SGEC SD 6.4.1 Entities implementing practices relating to certified forests shall comply with the fundamental ILO conventions ratified by the Japanese government, Article 3 and Article 5 of Labor Standards Act related to ILO No. 105 and No. 111, both of which are

not ratified by Japan, as well as other relevant domestic acts and shall enroll social security system such as employee’s unemployment insurance, health insurance, pension insurance and retirement allowance mutual fund. The entities shall try to let the employees, who do not legally satisfy the requirements, enroll such systems. Status of social security enrollment in contractor’s employee shall be reported.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 6.3.4.1.

This is further elaborated at 6.5.1 “Work safety manuals and guidance, its check sheet, its daily report, risk assessment report and record of accident while at work shall be provided to employees and contractors. Work safety training, self-daily work safety check, risk assessment, work safety inspection and work safety and health training shall be conducted.”

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 6.3.4.2.

This is further elaborated at:

6.5 Necessary training and guidance of employees and contractors on work safety shall be conducted in order to establish safe working environment.

6.5.2 Employer shall have institutional safety and health management structure based upon Labor Safe and Health Act and associated rules and regulations

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 6.3.4.3.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 6.3.4.4.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 7.1.1.

This is elaborated at Appendix 1:

0.5 Management and administration system which enables forest management in line with forest management plan shall be maintained.

0.5.1 Management system and its operational organization required for implementation of the forest management plan shall be well arranged, and responsibility and authority of respective person in charge shall be clear.

0.5.2 Forest owners and managers shall try to improve the content of management of the forest concerned continuously.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 7.1.1.

This is further elaborated at Appendix 1

6.3 Employees and contractors shall be properly trained and guided on biological diversity in the course of management plan implementation.

6.3.1 Training and guiding texts on work safety and biological diversity shall be available and employees and contractors training shall be conducted.

6.4.2 Employees' skill up training and guidance policy for log processing, forest management, forest inventory, field supervising, management planning and sales shall be available and such training shall be conducted

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 7.3.1.

This is elaborated at Appendix 1

6.2.5 Forest manager shall procedures to identify the stakeholders by using appropriate information, provide explanation to those stakeholders who are potentially affected by the forest management, hear their views on the matters related to forest management and make consultation when necessary. If necessary, forest manager shall also hear from the municipal office concerned the process of discussions by experts who review the municipal forest management plan.

In the course of developing forest management plan, forest manager shall make the best use of local forest-related experience and knowledge, such as those of local communities, forest owners, NGOs and local people.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 7.3.1.

This is Also noted at Appendix 1

6.1.4 Forest manager shall set up opportunities for hearing the opinions of local people or regarding gender equalities, etc. and define the procedure for resolving complaints and disputes from them in relation to forest management

ASSESSMENT DECISION: CONFORMS

7.5 Documented Information

7.5.1 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.

7.5.2 The standard requires that the documented information is relevant, and updated as appropriate, to the activities of the organisation.

The requirement is replicated at SGEC SD 3 7.5.1 and 7.5.2.

This is also noted at Appendix 1 0.4.1

Documents of the forest management plan shall be available any time and the implementation of forest management practices according to the plan shall be verified on site. Especially, basic policies on forest management shall be confirmed as long-term policies on forest management practices and verified on site. T records of implementation of forest management practices shall be confirmed on site and kept as the records verifying the conformity with this standard

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 8.1.1.

This is elaborated at Appendix 1

1.3 Forests which require forest management to enhance ecosystem services such as regulating services, cultural services and supporting services as well as provisioning services (Terms and definitions 3.6) shall be treated adequately for such purposes.

3.1 The production function of forests to produce wood and non-wood forest products as well as ecosystem services shall be maintained in the sustainable level, and cycling utilization of forest resources shall be promoted.

3.1.1 Benefits obtained from ecosystems such as regulating services, cultural services, supporting services as well as provisioning services shall be capitalized on in accordance with local conditions of forest and surrounding area in a way contributing to cycling utilization of forest resources and vitalizing local societies.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 8.1.2.

This is elaborated at Appendix 1:

1.2 Management, tending and use of forest shall be contributed to mitigation of climate change as a sink of carbon against the global warming.

1.2.1 Improvement of carbon sequestration capacity shall be aimed through appropriate forest treatment for increase carbon sequestration capacity or at least avoid decreasing the capacity and effective use of forest residues and thinned logs

ASSESSMENT DECISION: CONFORMS

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

The requirement is replicated at SGEC SD 3 8.1.3.

This elaborated at Appendix 1

1.2.2 Use of fossil fuels shall be minimized as possible in forest management and tending operations.

ASSESSMENT DECISION: CONFORMS

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 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.

The requirement is replicated at SGEC SD 3 8.1.4.

This is elaborated at Appendix 1

1.1.3 Conversion of forest to other land use related to forest infrastructures shall be properly conducted in accordance with relevant acts and regulations within minimum impact associated with sustainable management of the forest related

Detailed further at

4.1.3 Conversion of primary forest to man-made forest shall not occur unless, in principle, in a small area within the limit of 1% of the primary forest and in justifiable conditions such as follows:

a) The impact of conversion deems to be negligible in light of fundamental management principles on maintenance, improvement and other aspects of diversity of ecosystem, species and gene, as defined in this standard.

b) Conversion does not violate the regional forest plan, municipal forest development plan and relevant acts and legislations related to the conservation of ecosystem such as Nature Conservation Act and Natural Parks Act.

4.1.4 With regard to conversion of forest to other types of land use, the conversion shall be undertaken within, in principle, the limit of 1% of the certified forest area (or the limit of 5ha in case that the certified forest area is less than 500ha) in an appropriate manner based upon, in addition to the previous clause: section 8.4 Criterion 4 of this standard “Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems”; and section 8.6 Criterion 6 of this standard “Maintenance or appropriate enhancement of socio-economic functions and conditions”; and clauses on protection forests, forest planning system, forest land conversion permission system in Forest Act, other related laws and regulations such as Nature Conservation Act and Natural Parks Act. Forest conversion also shall make a contribution to long-term conservation, economic, and social benefits.

4.1.5 Those man-made forests which does not have justifiable reasons for conversion after 31 December 2010 shall be treated as disqualified forests which failed to meet the requirements stipulated in this document.

4.1.6 Conversion of abandoned agriculture lands back to forests shall be taken into consideration if such conversion may lead to increase in economic, environmental or cultural values

ASSESSMENT DECISION: CONFORMS

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 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) nonforest ecosystems, culturally and socially significant areas,

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.

The requirement is replicated at SGEC SD 3 8.1.5.

ASSESSMENT DECISION: CONFORMS

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 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 h) is based on credible evidence demonstrating that the area is neither recovered nor in the process of recovery.

The requirement is not applicable, as the standard does not apply to plantations or manmade forests.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.2.1.

It is elaborated at Appendix 1 Criterion 2 “Maintenance of health and vitality of forest ecosystem” which covers implementation of this requirement. The most specific are as follows:

2.1.2 As to planning and implementation of forest management plan, biological precaution measures associated with natural site conditions shall be fully utilized from the context of maintenance and

enhancement of forest soundness and vitality. As to implementation of forest management, in particular, logging method, regeneration method and regeneration species (including resistant bred seedlings against biotic and abiotic damages) associated with soils, climate and other conditions of the site shall be selected in a way harmonizing natural environment and enhancing resilience of the forest of the site.

2.4.3 If natural ecosystem targeted to maintain and conserve is destroyed or degraded in primary forest and similar natural forest, restoration measures based upon the use of natural recovery power shall be taken.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.2.2.

It is elaborated at Appendix 1:

2.1.2 As to planning and implementation of forest management plan, biological precaution measures associated with natural site conditions shall be fully utilized from the context of maintenance and enhancement of forest soundness and vitality. As to implementation of forest management, in particular, logging method, regeneration method and regeneration species (including resistant bred seedlings against biotic and abiotic damages) associated with soils, climate and other conditions of the site shall be selected in a way harmonizing natural environment and enhancing resilience of the forest of the site.

2.2.1 Technical manuals for harvesting methods, age and ratio shall be developed with due consideration of conservation of soil and water, biological diversity as well as landscape conservation. Non-clear cut operation shall be conducted wherever possible and hard wood species shall be retained in soft wood species dominant forests in erosion-prone areas. Depending on the site condition, introduction of multi-storied forest or operational method with due consideration of ecosystem shall also be considered.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.2.3.

It is elaborated at Appendix 1:

2.8 Prevention and remedial measures against forest fire and severe weather disaster shall be prepared. In case of use of fire, lighting of fires in forest shall only be conducted with permission and conditions by the head of the municipal government related.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.2.4.

It is elaborated at Appendix 1:

2.3 Regeneration after harvesting shall be carried out in compliance with related laws and regulations. Site specific suitable species shall be planted in artificial regeneration based upon the record of silvicultural operations in the past.

Note: Regeneration periods of planting of man-made forests are determined in the designated conditions of protection forest management stipulated in the Cabinet Order of Forest Act so that “planting shall be implemented within 2 years starting from the first day of the subsequent fiscal year of the last day of the harvesting operation”. Regarding forests outside protection forests, regeneration periods are determined by “Notice No.851 of Ministry of Agriculture and Forestry in July 1, 1962” so that planting of man-made forest shall be implemented within 2 years starting from the first day of the subsequent fiscal year of the last day of the harvesting operation, and natural regeneration shall be implemented within 5 years starting from the first day of the subsequent fiscal year of the last day of the harvesting operation”.

5.3.2 As to method and season of logging, skidding and log transporting, measures for protection of forest floor surface and prevention of water pollution shall be carefully taken in accordance with technical manuals appropriately made by the environmentally friendly methods reflecting the site conditions such as geographical features, soil and vegetation.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.2.5.

It is elaborated at Appendix 1:

5.4 Measures shall be taken to avoid spillage of chemical materials such as fuel and oil for machinery or other contaminant as well as agricultural chemical into basin system. Conservation of inland freshwater ecosystems, marine ecosystems and their services as well as human health and terrestrial ecosystems shall be pursued.

5.4.1 Measures shall be taken to avoid soil or water pollution based upon the manuals in which storage place, storage method and usage rules of fuel, oil and other chemicals are regulated. Leakage and unregulated dumping of oil during forest management operation shall be strictly avoided in accordance with the manuals. Non-organic waste shall be collected and stored in designated area with environmentally sound method.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.2.6.

It is elaborated at Appendix 1:

2.7 Appropriate prevention measures against pests, disease and animal damage shall be taken. The use of chemicals such as pesticides shall comply with the laws and regulations and shall limit minimum level.

ASSESSMENT DECISION: CONFORMS

8.2.7 The standard requires that any use of pesticides is documented.

The requirement is replicated at SGEC SD 3 8.2.7.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.2.8.

It is elaborated at Appendix 1:

2.7.3 The use of forestry chemicals (including herbicide) shall be minimized. When used, a control manual shall be established in compliance with the Agricultural Chemicals Regulation Act and other relevant regulations, and the chemicals shall be used in accordance with the manual. Notwithstanding the above, the “WHO Type 1A and 1B” pesticides shall be prohibited, except where

no other viable alternative is available. In this respect, the chemicals to which alternatives do not exist are defined and listed in Appendix 4 of this document as the chemicals exceptionally allowed.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.2.8.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.2.10.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.2.10.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.3.1.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.3.2.

It is elaborated at Appendix 1:

3.1 The production function of forests to produce wood and non-wood forest products as well as ecosystem services shall be maintained in the sustainable level, and cycling utilization of forest resources shall be promoted.

3.2.1 Level of harvest of wood and non-wood forest products shall not exceed the log-term sustainable level. Forest products harvested shall be effectively utilized as they are precious resources

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.3.3.

It is elaborated at Appendix 1:

2.2.1 Technical manuals for harvesting methods, age and ratio shall be developed with due consideration of conservation of soil and water, biological diversity as well as landscape conservation. Non-clear cut operation shall be conducted wherever possible and hard wood species shall be retained in soft wood species dominant forests in erosion-prone areas. Depending on the site condition, introduction of multi-storied forest or operational method with due consideration of ecosystem shall also be considered.

3.3 Forest management and practices of harvest or regeneration shall be carried out in the season or in a way that does not cause damages to soil and remaining standing trees; and also does not reduce production capacity of the forest ecosystem at the site.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.3.4.

It is elaborated at Appendix 1:

3.4 In formulating forest management plan, the municipal forest development plan or other plans with respect to forest management for exerting timber production function and other functions of forest to serve public interest shall be taken into account; relevant government policies and subsidy measures shall be tried to be applied; harvested forest products shall be utilized optimally; contribution to revitalization of local societies shall be endeavored.

3.4.1 Forest owners/managers shall endeavor to promote utilization of domestic and local timber and optimal utilization of the harvested forest products in collaboration with other SGEC/PEFC certified entities and administrative organizations, considering cycling of production, processing, distribution, consumption and disposal of forest products.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.3.5.

It is elaborated at Appendix 1:

3.5 In managing forests, infrastructures such as roads, skid tracks, bridges shall be appropriately designed, constructed and maintained in order to ensure efficient supply of products and services with keeping adverse impact to the environment minimum. 85

3.5.1 In construction or maintenance of forest roads, skid tracks or check dams as well as facilities for education and recreation, certified forest products shall be effectively used.

Note: Land used for construction of infrastructures in SGEC certified forests are recognized as part of forest land subject to the forest management, and timber originated from felled trees on the land used for construction of the infrastructures is recognized as timber originated from sustainably managed forests. Forest facilities such as forest roads or skid tracks are categorized as activities of forest management and are not considered harmful to the achievement of sustainable forest management, as long as their construction is carried out with a design and method harmonizing with natural conditions of the forest (refer Appendix 3).

3.5.2 Infrastructures such as forest roads and skid tracks shall be designed, constructed and maintained for effective supply of forest products and services while minimizing negative impact on the environment.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.4.1.

It is elaborated at Appendix 1:

4.1 Since long-term conservation of biological diversity of forest will contribute to provide economic and social benefits, management principles for conservation of biological diversity at landscape level as well as for major forest types at stand level shall be stated.

4.1.1. The following items for biological diversity shall be stated in forest management plan:

- a) Fundamental management principles on maintenance and improvement of diversity of ecosystem, species and gene based upon character of forest,
- b) Appropriate management plan on maintenance and improvement of biological diversity at landscape level,
- c) Technical guidelines on some representative forest types in terms of maintenance and improvement of biological diversity.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.4.1.

It is elaborated at Appendix 1:

4.2 Primary elements (natural forest including primary forest, Satoyama forest, grass land, wetland, pond, farm land and so on) for securing biological diversity in the area shall be clearly identified in the map and management principles shall be stated.

4.2.1 Constituting elements in the area shall be clearly identified in the map. As to primary elements for maintaining biological diversity among them, flora and fauna in the area shall be recorded and primary species of them shall be under the technical guidelines for conservation and management.

4.2.2 Appropriate conservation plan as well as management plan for riparian forest, wetland or biotope shall be available

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.4.3.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.4.4.

It is elaborated at Appendix 1:

3.3 Forest management and practices of harvest or regeneration shall be carried out in the season or in a way that does not cause damages to soil and remaining standing trees; and also does not reduce production capacity of the forest ecosystem at the site.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.4.5.

It is elaborated at Appendix 1:

2.3 Regeneration after harvesting shall be carried out in compliance with related laws and regulations. Site specific suitable species shall be planted in artificial regeneration based upon the record of silvicultural operations in the past.

Note: Regeneration periods of planting of man-made forests are determined in the designated conditions of protection forest management stipulated in the Cabinet Order of Forest Act so that “planting shall be implemented within 2 years starting from the first day of the subsequent fiscal year of the last day of the harvesting operation”. Regarding forests outside protection forests, regeneration periods are determined by “Notice No.851 of Ministry of Agriculture and Forestry in July 1, 1962” so that planting of man-made forest shall be implemented within 2 years starting from the first day of the subsequent fiscal year of the last day of the harvesting operation, and natural regeneration shall be implemented within 5 years starting from the first day of the subsequent fiscal year of the last day of the harvesting operation”.

2.3.3 Selection of species in artificial regeneration shall be based upon the technical reasonableness such as the principle of site specific suitable species including the aspects of water resources conservation, protection from soil erosion and environmental conservation. Seeds or seedlings shall be from local provenances. Introduction of alien species shall be avoided if negative effect on the ecosystem is assumed. Genetically modified trees shall not be used for the time being.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.4.6.

ASSESSMENT DECISION: CONFORMS

8.4.7 The standard requires that genetically-modified trees shall not be used.

The requirement is replicated at SGEC SD 3 8.4.7.

It is elaborated at Appendix 1:

2.3.3 Selection of species in artificial regeneration shall be based upon the technical reasonableness such as the principle of site specific suitable species including the aspects of water resources conservation, protection from soil erosion and environmental conservation. Seeds or seedlings shall be from local provenances. Introduction of alien species shall be avoided if negative effect on the ecosystem is assumed. Genetically modified trees shall not be used for the time being.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.4.8.

It is elaborated at Appendix 1:

4.1 Since long-term conservation of biological diversity of forest will contribute to provide economic and social benefits, management principles for conservation of biological diversity at landscape level as well as for major forest types at stand level shall be stated.

4.1.1. The following items for biological diversity shall be stated in forest management plan:

- a) Fundamental management principles on maintenance and improvement of diversity of ecosystem, species and gene based upon character of forest,
- b) Appropriate management plan on maintenance and improvement of biological diversity at landscape level,
- c) Technical guidelines on some representative forest types in terms of maintenance and improvement of biological diversity.

ASSESSMENT DECISION: CONFORMS

8.4.9 The standard requires that traditional management practices that create valuable ecosystems on appropriate sites shall be supported, where appropriate.

The requirement is replicated at SGEC SD 3 8.4.9.

It is elaborated at Appendix 3:

6.2.4 Forest manager shall respect traditional forest management practices in Satoyama and other area as far as economically feasible, and redress inequality in opportunity and results.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.4.10.

It is elaborated at Appendix 1:

2.2.1 Technical manuals for harvesting methods, age and ratio shall be developed with due consideration of conservation of soil and water, biological diversity as well as landscape conservation. Non-clear cut operation shall be conducted wherever possible and hard wood species shall be retained in soft wood species dominant forests in erosion-prone areas. Depending on the site condition, introduction of multi-storied forest or operational method with due consideration of ecosystem shall also be considered.

2.5 Tending plan shall be clearly developed with appropriate implementation based upon the site condition.

2.5.1 Technical guidelines for tending methods and its timing shall be developed. In order to enhance species diversity and multi-layered root system, hardwood species or non-targeted species shall be retained in the pre-commercial thinning as appropriate.

2.5.2 Tending operation record in the last five or ten years shall be verified and upcoming sites for tending and site specific methods, volume and timing shall be available in documents.

2.5.3 If the number of wild animals inhabited is significant and causing damage to forest, precautionary measures to reduce the animal pressures on the growth and biodiversity of forest shall be taken. Moreover, where forest is used for grazing, appropriate precautionary measures shall be taken,

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.4.11.

It is elaborated at Appendix 1:

3.5.2 Infrastructures such as forest roads and skid tracks shall be designed, constructed and maintained for effective supply of forest products and services while minimizing negative impact on the environment.

4.4.4 On the construction of infrastructures such as forest roads or check dams, precaution measures (side ditch and crossing ditch of forest road and fish ladder) not hampering growth and propagation of small animals shall be conducted. The constructional materials for such infrastructures shall be from bio-materials as appropriate and those infrastructures shall be designed with environmental integrity and minimizing the damage to the ecosystem.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.4.12.

It is elaborated at Appendix 1:

2.5.3 If the number of wild animals inhabited is significant and causing damage to forest, precautionary measures to reduce the animal pressures on the growth and biodiversity of forest shall be taken. Moreover, where forest is used for grazing, appropriate precautionary measures shall be taken,

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.4.13.

It is elaborated at Appendix 1:

4.3.2 As a part of rare flora and fauna protection, measures shall be taken through protection of the standing trees worthy for nest tree, protection of standing dead wood, hollow trees and fallen dead wood worthy for bait of insects and birds and improvement of their habitat environment..

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.5.1

It is elaborated at Appendix 1:

5.1 Impact of activities on soil and water resources conservation shall be conducted in advance for minimizing the negative impact in forest management plan and its operational process.

ASSESSMENT DECISION: CONFORMS

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 shall ensure the maintenance or enhancement of these functions.

The requirement is replicated at SGEC SD 3 8.5.2

It is elaborated at Appendix 1:

5.1.2 The area requested for special consideration in soil and basin system conservation shall be identified in the map and the appropriate measures for enhancing soil conservation functions shall be taken.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.5.3

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.5.4

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.5.5

It is elaborated at Appendix 1:

5.1.3 In the case of forest road and bridge construction design, exposure of bare soils shall be minimized, soil flow into water course shall be avoided and water course and its bed shall be maintained. Also appropriate surface water drainage of forest road shall be allocated and maintained..

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.6.1

It is elaborated at Appendix 1:

2.1 Forest manager shall assess the economic, social and ecological impact, taking account of the development process of forest management planning, forest inventory data, the implementation of the plan and the result of monitoring, build up a cycle of sustainable improvement of forest management and establish an appropriate operational structure for implementation.

2.1.1 Forest management plan shall be elaborated and implemented in a way that recognizes, maintains and promotes the importance of multiple values of the forest concerned.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.6.2

It is elaborated at Appendix 1:

1.3.4 Public access to forests for recreational use shall be properly arranged with due consideration of forest owner' rights and use rights, impact on forest resources and its ecosystem and balance with other functions.

1.5 The space and opportunity shall be provided for the citizen to come in touch with the nature seeking for, for example, forest recreation, and the environmental education or safety guidance to the visitors shall be provided. Where a “plan for promotion of Ainu policies” is formulated, promotion of tourism targeting Ainu culture and traditions related to forests shall be endeavored.

1.5.1 The space and opportunity shall be provided for the citizen to come in touch with the nature seeking for, for example, forest recreation. Large size employers (forest managers, etc.) shall have their own the environmental education programs and explanation board for the visitors. Forest roads, skid tracks and foot-paths for the visitors’ use shall provide safety facilities, sign board and explanation board.

1.5.2 Awareness raising activities for the visitors to take their garbage home with them shall be conducted and the waste shall be processed outside the forest as appropriate.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.6.3

It is elaborated at Appendix 1:

1.4 Cultural and historic site and highly valued forest in terms of resources or society shall be protected. In the northern part of Japanese archipelago, especially in Hokkaido, sites with cultural or traditional importance, or with value for tourism for Ainu people such as sites used for rituals, shall be protected.

1.4.1 Forest management plan shall identify the designated cultural properties under the act on protection of cultural properties, the sites locally recognized as cultural or historical importance, the local symbolic forests popular among local community, giant trees popular among local community and high valued forests in terms of science. The guideline of treatment shall also be stated.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.6.4

It is elaborated with the additional text:

8.6.4 Forest 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. *Forest management planning where Ainu people are identified as stakeholders shall aim at realization of the society in which the pride of Ainu people is respected by recognizing “regional plans for promotion of policies on Ainu people” formulated by municipal governments in consideration of the basic policy of the national government and the prefectural policies based on Ainu Policy Promotion Act in consideration of the current situation of Ainu culture and traditions, which are the origin of the pride of Ainu people.*

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.6.5

It is elaborated at Appendix 1:

6.2.5 Forest manager shall procedures to identify the stakeholders by using appropriate information, provide explanation to those stakeholders who are potentially affected by the forest management, hear their views on the matters related to forest management and make consultation when necessary. If necessary, forest manager shall also hear from the municipal office concerned the process of discussions by experts who review the municipal forest management plan.

In the course of developing forest management plan, forest manager shall make the best use of local forest-related experience and knowledge, such as those of local communities, forest owners, NGOs and local people.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.6.6

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 8.6.7

It is elaborated at Appendix 1:

7.2.3 Forest managers shall actively and properly contribute to data collection related to research activities in sustainable forest management, in consideration of the principle that forest management shall be conducted based upon scientific research results.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 9.1.1

It is elaborated at Appendix 1, with further elaboration on the periodical monitoring, which is required every fiscal year:

7.1.1 Periodical monitoring of implementation of the forest management plan and performance of the management organization shall be carried out. The result of the monitoring shall be reviewed by the top management of the organization, and resulted in necessary improvement by reflecting the monitoring to implementation and revision of the management plan as well as to management of the organization.

7.2 Forest management plan and its monitoring results shall be confidential in general; however, the summary information shall be open to the public in principle. Various kinds of information related to the managed forests shall be kept as much as possible, and various data related to the forest concerned shall be recorded and kept as much as possible. In case of forest operations conducted, category-wise, fiscal year-wise and site-wise operational record shall be kept.

7.2.2 Site-wise and fiscal year-wise operational record shall be kept. Site-wise and fiscal year-wise damage status of pests and disease, animals, forest fire, severe weather shall be recorded. Status of enrollment in and compensation from forest insurance shall be recorded. The contents of collaboration and status of operations with the third parties who conduct biological diversity monitoring shall be verified.

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 9.1.2

It is elaborated at Appendix 1:

7.1.2 The Check list of monitoring shall include the items which verify the performance of forest management plan's achievement such as pest/disease/animal damage; frost/snow damage; forest fire including natural fire; operations' impact on ecosystem soundness and vitality (including non-wood forest products); labor safety; and collaboration with stakeholders.

7.2.2 Site-wise and fiscal year-wise operational record shall be kept. Site-wise and fiscal year-wise damage status of pests and disease, animals, forest fire, severe weather shall be recorded. Status of enrollment in and compensation from forest insurance shall be recorded. The contents of collaboration and status of operations with the third parties who conduct biological diversity monitoring shall be verified

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 9.1.3

ASSESSMENT DECISION: CONFORMS

9.1.4 The standard requires that working conditions shall be regularly monitored and adapted as necessary.

The requirement is replicated at SGEC SD 3 9.1.4

It is elaborated at Appendix 1:

ASSESSMENT DECISION: CONFORMS

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 b) is effectively implemented and maintained.

The requirement is replicated at SGEC SD 3 9.2.1. The standard does not specify the planned intervals required for the internal audit, this is in line with international guidelines for auditing management systems (e.g. ISO 19011:2018), which do not specify intervals for internal (or first party) audits. The internal audit interval is nonetheless implied within both the standard (which requires annual third-party surveillance audits and annual management reviews).

ASSESSMENT DECISION: CONFORMS

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; b) define the audit criteria and scope for each audit; c) select the auditors and conduct audits to ensure objectivity and the impartiality of the audit process; d) ensure that the results of the audits are reported to relevant management; e) retain documented information as evidence of the implementation of the audit programme and the audit results.

The requirement is replicated at SGEC SD 3 9.3.1

ASSESSMENT DECISION: CONFORMS

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; b) changes in external and internal issues that are relevant to the management system; c) information on the organisation's performance, including trends in: • nonconformities and corrective actions; • monitoring and measurement results; • audit results; d) opportunities for continual improvement.

The requirement is replicated at SGEC SD 3 9.3.3

ASSESSMENT DECISION: CONFORMS

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.

The requirement is replicated at SGEC SD 3 9.3.2

ASSESSMENT DECISION: CONFORMS

9.3.3 The standard requires that documented information as evidence of the results of management reviews shall be retained

The requirement is replicated at SGEC SD 3 9.3.3

It is elaborated at Appendix 1:

ASSESSMENT DECISION: CONFORMS

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: i. take action to control and correct it; 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; c) implement any action needed; d) review the effectiveness of any corrective action taken; e) make changes to the management system, if necessary.

The requirement is replicated at SGEC SD 3 10.1.1

ASSESSMENT DECISION: CONFORMS

10.1.2 The standard requires that corrective actions shall be appropriate to the effects of the nonconformities encountered.

The requirement is replicated at SGEC SD 3 10.1.2

ASSESSMENT DECISION: CONFORMS

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; b) the results of any corrective action.

The requirement is replicated at SGEC SD 3 10.1.3

ASSESSMENT DECISION: CONFORMS

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

The requirement is replicated at SGEC SD 3 10.2

ASSESSMENT DECISION: CONFORMS

8. GROUP CERTIFICATION MODEL

GENERAL

The following is a summary of the assessment against the requirements.

4.1 Understanding the group organisation and its context

The standard provides the appropriate context as follows:

The standard provides a framework for group organisations at SGEC SD 3-1 4.1 as follows: “4.1 Composition of group organization: The group organization is composed of forest owners/managers or other entities included in the scope of group forest management certification, aiming at implementation of sustainable forest management and its certification. The group organization shall hold the legal rights to manage the forest concerned and shall be capable to implement the requirements of sustainable forest management in the area.

This is further elaborated at 4.3.1 (ii): “regional council type: a council organizing forest owners/managers of the region with forest owners cooperatives, public forests (municipal forest, etc.) and other forest owners as participants: Group entity: regional council; participants: forest owners cooperatives of the region, municipal governments, forest owners, etc.”

ASSESSMENT DECISION: CONFORMS

4.2 Understanding the needs and expectations of affected stakeholders

The standard clearly requires that groups organisations identify a) the affected stakeholders that are relevant for the group management system and b) the relevant expectations of these affected stakeholders at SGEC SD 3-1 4.2.1.

ASSESSMENT DECISION: CONFORMS

4.3 Determining the scope of the group management system

The definitions used by the group model are in conformity with the terms presented in PEFC 1002:2018 Chapter 3. The definitions are contained in SGEC SD 3-1 4.3.1.

The scope of the group management system is determined at SGEC SD 3-1 4.3.1. The procedure requires that group management “The scope of the group management system covers and is applied to the forest area where participants who have capability to manage the forests which they own or manage according to the SGEC standards and related laws and regulations.”

This effectively uses the existing scope of SGEC SFM standards as the basis for the group model.

ASSESSMENT DECISION: CONFORMS

4.4 Group Management System

Group entities are required to be subjected to internal monitoring and internal audits (4.4.1) and 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 (4.4.2).

ASSESSMENT DECISION: CONFORMS

5.1 Organisational roles, responsibilities and authorities

The standard adopts the language of PEFC ST 1003 5.1.1 with no exceptions.

ASSESSMENT DECISION: CONFORMS

5.2 Commitment and policy

Commitment and policy commitments have been adopted entirely.

ASSESSMENT DECISION: CONFORMS

6. Planning

The standard adopts the language of PEFC ST 1003 5.1.1 with no exceptions.

ASSESSMENT DECISION: CONFORMS

7. Support

Requirements for 7.1, 7.2, 7.3 have been adopted identically; definitions for 7.2 'necessary competence' is defined accordingly in SGEC SD 3.

ASSESSMENT DECISION: CONFORMS

8. Operations

Requirements for Requirement 8 have been adopted identically.

ASSESSMENT DECISION: CONFORMS

9.1 Monitoring, measurement, analysis and evaluation

The requirements for internal monitoring (9.1.1) should be clarified further to bring the standard into conformity. Although the determinations are implied, they are not clear enough.

9.2 Internal Audit

The internal audit requirements have been adopted with identical language.

ASSESSMENT DECISION: CONFORMS

9.3 Selection of participants

The requirements have been adopted with identical language, with the exception of 9.3.1.3, as the standard is not applicable to pre-existing organisations.

ASSESSMENT DECISION: CONFORMS

9.4 Management Review

The requirements have been adopted with identical language.

ASSESSMENT DECISION: CONFORMS

10. Improvement

The requirements have been adopted with identical language

ASSESSMENT DECISION: CONFORMS



9. CHAIN OF CUSTODY STANDARD

GENERAL

SGEC has mirrored the requirements PEFC ST 2002:2020 Chain of Custody of Forest Based Products – Requirements, in the SGEC SD 4.

ASSESSMENT DECISION: CONFORMS

10. PROCEDURES FOR LOGO LICENSING

The Logo and Licensing procedures are described below, and assessed against the chapter 6 of PEFC GD 1004:2009, *Administration of PEFC scheme*. Procedures for logo use and licensing are described in SGEC SD 1 6.3.

6.1 Coverage of the PEFC Logo usage licence 6.1.1 The PEFC Logo usage licence shall be issued to an individual legal entity based on the requirements of PEFC ST 2001:2008. Note: Where the PEFC certification covers several legal entities, for example where group and regional forest certification covers a number of forest owners / managers (independent legal entities) or where multi-site certification covers several sites which are legally independent entities, each legal entity shall apply for its own PEFC Logo usage licence.

6.3.1 The SGEC trademarks shall be used under the authority of a SGEC trademarks usage license issued by SGEC/PEFC Japan. The SGEC trademarks usage license includes the issuance of a unique license number.

6.1.2 The PEFC Council and authorised bodies may issue a PEFC Logo usage multi-licence to a holder of a multi-site chain of custody certificate, which covers the whole or a part of the multisite organisation provided that: a) the central office and the sites are a part of a single legal entity or b) the central office and the sites are a part of a single company with a single management and organisational structure. Note: The multi-licence cannot be issued to a multi-site chain of custody certificate holder where the sites are independent legal entities without a single management and organisational structure and where the multi-site organisation has only been created for the purpose of the PEFC certification.

6.3.1 Note: In case multiple legal entities are covered by a certificate such as group forest management certification or multi-site COC certification, an individual legal entity shall apply for SGEC logo usage and/or SGEC trademark license

6.2.1 The licensing body shall have written procedures for the PEFC Logo licensing which ensure that:
a) the PEFC Logo usage licence is based on a written contract between the licensing body and the PEFC Logo user,
b) the PEFC logo user complies with the PEFC Logo usage rules (PEFC ST 2001:2008),
c) the scope of the PEFC Logo usage (logo usage groups) is clearly defined,
d) the PEFC Logo usage licence can be terminated by the licensing body in the case of the PEFC Logo user's non adherence to the conditions of the PEFC logo usage rules (PEFC ST 2001:2008) or in the case of cancellation of the contract between the PEFC Council and the authorised body,
e) where unauthorised use has taken place, the PEFC Logo usage licence provides for contractual penalty of one fifth of the market value of the products to which the unauthorised logo use relates, unless the PEFC Logo user proves that such unauthorised use was unintentional. In the latter case, the penalty will be limited to 15,000 CHF.

6.3.2 SGEC/PEFC Japan shall define the procedures of licensing in a document, which ensures the following items:

- (1) The license shall be obtained through the signature of a licensing agreement (trademarks usage contract) between the organization applying for trademarks usage and SGEC/PEFC Japan.
- (2) Trademarks users shall observe SGEC Standard Document 6 "SGEC Trademarks Usage Rules" and SGEC Standard Document 6-1 "Issuance of SGEC Trademarks Usage Licenses by SGEC/PEFC Japan"/
- (3) The scope of trademarks usage shall be clearly determined.

6.3.3 The license number of the organization using the SGEC trademarks shall accompany the SGEC trademarks whenever they are used, except for certified organizations when passing on claims for the implementation of the SGEC COC.

6.3.4 SGEC/PEFC Japan may cancel the licensing agreement, when violation of SGEC Standard Document 6 “SGEC Trademarks Usage Rules” occurs.

6.2.2 The licensing body shall have a mechanism for the investigation and enforcement of the compliance with PEFC Logo usage rules (PEFC ST 2001:2008) and shall take actions, including legal if necessary, to protect the PEFC Logo trademark.

The mechanisms for investigation and enforcement of compliance with the PEFC logo usage rules are described in the scheme documentation.

SGEC SD 6 4.1

4.1.1 The SGEC logo and the SGEC initials are copyrighted material and are internationally registered trademarks owned by SGEC/PEFC Japan. Unauthorised use of this copyrighted material is prohibited and may lead to legal action. “

SGEC SD 6-1

Attachment 1 Format of SGEC Trademarks Use Contract

Article 2: Copyrights to the SGEC trademarks

1. For the avoidance of any doubt, the SGEC trademarks is copyright material and is a registered trademarks owned by SGEC/PEFC Japan. The initials “SGEC” are covered by copyright and are registered. Unauthorized use of this copyright material is prohibited. The use of the SGEC trademarks is regulated and governed by SGEC/PEFC Japan.

Article 9: Other terms of the contract

1. SGEC/PEFC Japan reserves the right to carry out (by itself or to commission a third party to act on its behalf) an on-site inspection of the Trademarks User's operations if it has received a complaint by third party or if SGEC/PEFC Japan has reasons to believe that the contract is being contravened. The Trademarks User shall bear responsibility for the costs of said inspection and any other detrimental effects. “

SGEC SD 6-2

Attachment 1 Format of PEFC Trademarks Use Contract

Article 2: Copyrights to the PEFC Trademarks

For the avoidance of any doubt, the PEFC Trademarks is copyright material and is a registered trademark owned by the PEFC Council. The initials “PEFC” are covered by copyright and are registered. Unauthorized use of this copyright material is prohibited and may lead to legal action.

The use of the PEFC Trademarks is regulated and governed by SGEC/PEFC Japan under authorization by the PEFC Council.

Article 9: Other terms of the contract

1. SGEC/PEFC Japan reserves the right to carry out (by itself or to commission a third party to act on its behalf) an on-site inspection of the Trademarks User's operations if it has received a complaint by third party or if SGEC/PEFC Japan has reasons to believe that the contract is being contravened. The Trademarks User shall bear responsibility for the costs of said inspection and any other detrimental effects."

ASSESSMENT DECISION: CONFORMS



11. CERTIFICATION AND ACCREDITATION ARRANGEMENTS

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?

SGEC ST Doc.5-3 2.1.1: 2.1.1 Certifications shall be carried out by impartial, independent third parties that cannot be involved in the standard setting process as governing or decision making bodies, or in the forest management and are independent of certified entity.

ASSESSMENT DECISION: CONFORMS

2. Does the scheme documentation require that certification body for forest management certification shall fulfil requirements defined in ISO 17021?

SGEC ST Doc.5-3 2.1.2 Certification bodies shall fulfill the following qualifications: a) requirements defined in ISO/IEC 17065 Conformity assessment – Requirements for bodies certifying products, processes and services within the scope of SGEC scheme.

ASSESSMENT DECISION: CONFORMS

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?

SGEC ST Doc.5-3 2.1.2 e) a good understanding of forest management, on its economic, social and environmental impacts, of forest based product procurement and processing, material flows and wood used constructions as well as of relevant acts and regulations (in case of Hokkaido region, Ainu groups are included).

ASSESSMENT DECISION: CONFORMS

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?

SGEC ST Doc.5-3 2.1.2. “b) requirements defined in Chapter 5 of SGEC Standard Document 1 “Operation Rules of Forest Management Certification and Forest Products Chain of Custody Certification by Sustainable Green Ecosystem Council (SGEC)”; SGEC Standard Document 5-1:2021 “Requirements for Certification Bodies operating Certification under SGEC Forest Management Certification Standard” and SGEC Standard Document 5-2:2021 “Requirements for Certification Bodies operating Certification under SGEC COC Certification Standard”.

The scheme documentation requires that certification bodies shall have a good understanding of the national PEFC system against which they carry out forest management certification.

ASSESSMENT DECISION: CONFORMS

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?

SGEC ST Doc.5-3 2.2.1. 2.2.1 Certification bodies have the responsibility to use competent auditors that have adequate technical know-how on the certification process and issues related to FM or COC certification. The auditors shall fulfill the requirement stipulated in “Requirements for Certification Bodies operating Certification under SGEC Certification Standard

The scheme documentation requires 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.

ASSESSMENT DECISION: CONFORMS

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?

7. Does the scheme documentation include additional qualification requirements for auditors carrying out forest management audits?

2.2.2 In addition to fulfill general criteria for quality and environmental management system auditors as defined in ISO 19011 and criteria defined in the “Requirements for Certification Bodies operating Certification under SGEC Certification Standard”, the auditors shall fulfill the following additional requirements:

a) participation to educational programs related to certification standards The certification bodies shall ensure that auditors engaged in FM certification have participated FM certification educational programs acknowledged by SGEC within last two years and that auditors engaged in COC certification have participated COC certification educational programs acknowledged by SGEC within last two years. b) auditing training and experiences The certification bodies shall ensure that auditors engaged in FM certification have participated FM certification training courses or actual FM certification process acknowledged by SGEC and that auditors engaged in COC certification have participated COC certification training courses or actual COC certification process acknowledged by SGEC.

ASSESSMENT DECISION: CONFORMS

8. Does the scheme documentation require that certification bodies shall have established internal procedures for forest management certification?

3.1 Certification procedures The certification body, stipulated in Chapter 5 of SEC Standard Document 1 “Operational Rules,” shall have established internal procedures for FM certification

against Chapter 3 of the Operational Rules and “Requirements for Certification Bodies operating Certification under SGEC Certification Standard”.

ASSESSMENT DECISION: CONFORMS

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?

SGEC requests ISO Guide 65 for the procedure SGEC ST Doc.5-3

2.1.2 Certification bodies shall fulfill the following qualifications:

a) requirements defined in ISO/IEC 17065 Conformity assessment – Requirements for bodies certifying products, processes and services within the scope of SGEC scheme.

b) requirements defined in Chapter 5 of SGEC Standard Document 1 “Operation Rules of Forest Management Certification and Forest Products Chain of Custody Certification by Sustainable Green Ecosystem Council (SGEC)”; SGEC

Standard Document 5-

1:2021 “Requirements for Certification Bodies operating Certification under SGEC Forest Management

Certification Standard” and SGEC Standard Document 5-2:2021 “Requirements for Certification Bodies operating Certification under SGEC COC Certification Standard”.

c) a good understanding of the SGEC scheme against which it carries out FM or COC certification.

d) a good understanding of the PEFC scheme such as PEFC requirements which are necessary for operating SGEC certification scheme under endorsement and mutual recognition by PEFC.

e) a good understanding of forest management, on its economic, social and environmental impacts, of forest based product procurement and processing, material flows and wood used constructions as well as of relevant acts and regulations (in case of Hokkaido region, Ainu groups are included).

ASSESSMENT DECISION: CONFORMS

10. Does the scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011?

2.2.2 Audit experience for maintain the qualification of the auditor For maintain the qualification of the auditor of FM and COC certification, the certification bodies shall ensure that the auditor has performed a minimum of five external audits in principle per year against certification standards stipulated above. The sum of these audits should cover at least seven man-day of audit work in principle. The number of FM audits in training can be reduced to three audits for auditors that are qualified for ISO 9001 or 14001 auditing in the forestry sector.

The scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011

ASSESSMENT DECISION: CONFORMS

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?

3.2 Notice of the status of certification The certification body shall inform SGEC/PEFC Japan about all issued FM and COC certificates and changes concerning validity and scope of these certificates. 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

ASSESSMENT DECISION: CONFORMS

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?

2.1.1 Usage of trademarks 2.1.1.1 Trademark usage license Usage of SGEC trademarks by certification bodies shall be in compliance with the Section 6 “SGEC trademarks” of SGEC Standard Document 3:2021 “SGEC Trademarks Rules — Requirements”, and SGEC Standard Document 6-1 “Issuance of SGEC/PEFC Trademarks Usage Licenses by SGEC/PEFC Japan”. In case where PEFC trademark is used, PEFC ST 2001:2020 “PEFC Trademarks Rules – Requirements” and PEFC GD 1005 “Issuance of PEFC Logo Use Licenses 176 by the PEFC Council” apply.

ASSESSMENT DECISION: CONFORMS

13. Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?

SGEC ST Doc.1 3.4.2 The forest owners/managers shall take surveillance audits once a year with respect to the management of the certified forest by the certification body which issued the certificate concerned. When the SGEC certification standard is revised, the surveillance audits shall be implemented based on the revised standard which is effective.

ASSESSMENT DECISION: CONFORMS

14. Does a maximum period for assessment audit not exceed five years for forest management certifications? Annex

SGEC ST Doc.1 3.4.1 The term of validity of forest management certification shall be 5 years, and the certificate loses its validity after this period. When forest owners/managers intend to acquire the certification continuously, the forest owners/managers shall receive re- certification audit based on the SGEC certification standard which is effective at that time.

Maximum period for assessment audit does not exceed five years for forest management certifications.

ASSESSMENT DECISION: CONFORMS

15. Does the scheme documentation include requirements for public availability of certification report summaries?

SGEC ST Doc.5-3 3.4 3.4 Publication of summary of certification reports Summary of certification reports, as stipulated in Appendix 1 “Formant of report of certification audits” of SGEC/PEFC FM, COC or Project Certification” of Standard Document 1 “SGEC Operational Rules”, written by the certification body, shall be made available to the public. However, the personal information shall be excluded from the summary above

ASSESSMENT DECISION: CONFORMS

16. Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?

SGEC ST Doc.5-3 3.3 3.3 Certification audit Audits related to the conformity with the FM standard and COC standard shall include relevant information from external parties (e.g. government agencies, community groups, conservations organizations, etc.) as appropriate

ASSESSMENT DECISION: CONFORMS

17. Does the scheme documentation include additional requirements for certification procedures?

SGEC ST Doc.5-3 3.1 3.1 Certification procedures The certification body, stipulated in Chapter 5 of SEC Standard Document 1 “Operational Rules,” shall have established internal procedures for FM certification against Chapter 3 of the Operational Rules and “Requirements for Certification Bodies operating Certification under SGEC Certification Standard”.

ASSESSMENT DECISION: CONFORMS

18. Does the scheme documentation require that certification bodies carrying out forest management certification shall be accredited by a national accreditation body?

SGEC ST Doc 1 5.1.2 Document 5-1 Appendix 1

(1) The certification bodies shall be accredited by accreditation bodies that are signatories of the Multilateral Recognition Arrangement (MLA) for product certification of International Accreditation Forum (IAF) as being in conformity with the international standard for the product certification body (ISO/IEC 17065) “The scope of the accreditation shall also explicitly state ISO/IEC 17021, this document, and other requirements against which the certification body has been assessed. “

The scheme documentation require that certification bodies carrying out forest management certification shall be accredited by a national accreditation body

ASSESSMENT DECISION: CONFORMS

19. Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?

SGEC ST Doc.5-3 4.1 4.1 Accreditation bodies The certification bodies, carrying out FM or COC certification, shall be accredited by meeting requirements stipulated in Section 5 of SGEC Standard Document 1 “SGEC Operational Rules” and other related documents so as to ensure the credibility of the certification work. A certificate issued by the accredited certification body shall bear an accreditation symbol of the relevant accreditation body

The scheme documentation requires that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body.

ASSESSMENT DECISION: CONFORMS

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?

SGEC ST Doc 1 5.1.2 5.1.2 The certification bodies shall be accredited by an accreditation body that is a signatory of the Multilateral Recognition Arrangement (MLA) of International Accreditation Forum (IAF) as being in conformity with the international standard for the product certification body (ISO/IEC 17065) within in the scope accreditation stipulated in SGEC Standard Document 3 and related standard document for ‘certification bodies operating forest management certification’, and stipulated in SGEC Standard Document 4 and PEFC ST 2003 “Chain of Custody of Forest and Tree Based Products – Requirements” for ‘certification bodies operating COC certification covering certified forest products’.

See also: Document 5-1 Appendix 1

(1) The certification bodies shall be accredited by accreditation bodies that are signatories of the Multilateral Recognition Arrangement (MLA) for product certification of International Accreditation Forum (IAF) as being in conformity with the international standard for the product certification body (ISO/IEC 17065).”

The documentation requires IAF membership accordingly.

ASSESSMENT DECISION: CONFORMS

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?

SGEC requests certification body undertake forest management certification as accreditation certification based on ISO 17065 Document 5-1 Appendix 1

(2) The scope of the accreditation shall explicitly cover SGEC Standard Document 3:2021, and SGEC Standard Document 3-1:2021 and related documents, in their valid version and/or with reference to any future changes and amendments adopted by SGEC/PEFC Japan and presented at SGEC/PEFC Japan website. The scope of accreditation shall also explicitly state ISO/IEC 17065 and other requirements against which the certification body has been assessed..

ASSESSMENT DECISION: CONFORMS

22. Does the scheme documentation include a mechanism for PEFC notification of certification bodies?

SGEC ST Doc 1 5.2 5.2 Notification of certification bodies 5.2.1 Those applying for the notification for certification body shall submit the application with the following items to the SGEC/PEFC Japan: (1) Name and address of organization and representative 14 (2) Outline of the structure and activities of the organization (3) The following documents shall be attached with the application. a) Statutes of the organization b) Certificate by accreditation body c) Recent accounting documents and business plans d) Others 5.2.2 Certification bodies notified against SGEC shall fulfill the requirements for certification bodies by SGEC/PEFC Japan defined in 6.1.1. above. 5.2.3 Certification bodies notified against SGEC shall make clear about the scope of certification, types of certification (forest management certification and/or COC certification) and standards which certification is based upon. 5.2.4 Certification bodies shall have valid accreditation by the accreditation body admitted by SGEC/PEFC Japan for notification of the certification bodies against SGEC. 5.2.5 Notification of a certification body against SGEC shall be based on a contract agreed between the certification body and SGEC/PEFC Japan. 5.2.6 Certification bodies shall provide SGEC/PEFC Japan with information on audits with respect to certifications they issued to the client organizations and information stipulated in the section 7 “SGEC information and registration system - data management” below according to the Appendix 1 “Format of certification audits report”. 5.2.7 Discriminative treatment against certification bodies shall not be included in the requirements for notification of certification bodies against SGEC. 5.2.8 Validity period of the notification of a certification body shall be in principle that of its accreditation. 5.2.9 Notification of certification bodies shall be terminated or suspended in case the requirements stipulated in the sections above are not fulfilled.

The scheme documentation include a mechanism for PEFC notification of certification bodies.

ASSESSMENT DECISION: CONFORMS

23. Are the procedures for PEFC notification of certification bodies non-discriminatory?

SGEC ST Doc 1 5.2.7 5.2.7 Discriminative treatment against certification bodies shall not be included in the requirements for notification of certification bodies against SGEC.

ASSESSMENT DECISION: CONFORMS



12. ASSESSMENT OF THE COMPLAINTS AND DISPUTE RESOLUTION PROCEDURES

Written procedures for complaints and dispute resolution are contained in SGEC Guide Document 8.

Upon receipt of the complaint, this provides for:

a) acknowledgement of the complaint to the complainant,

4.4 The Secretary General of SGEC/PEFC Japan shall without delay: a) acknowledge to the complainant (in writing) the receipt, or rejection of acceptance with justification that it is not in accordance with clause 3.1 b)) provide the complainant / appellant with details of the SGEC complaints and disputes procedures to ensure that they are clearly understood and refer the complainant / appellant to other parties responsible for resolving the matter as indicated in 3.3 – 3.5.

b) gathering and verification of all necessary information, validation and impartial evaluation of the complaint, and decision making on the complaint,

5.3 Auditors of SGEC/PEFC Japan are responsible persons in dealing with complaints and disputes. A working group to dealing with complaints consist of more than one experts shall be established under the direction of the auditors, and the working group shall investigate the complaints or disputes. The work of the working group is supported by the secretariat.

5.3.1 The working group defined above conducts investigation and deliberation with respect complaints and disputes related to SGEC/PEFC Japan. There shall be no conflict of interest of members of the working group with respect to the complaint or dispute.

5.3.2 The working group shall propose corrective measures based on the thorough investigation. Auditors of SGEC/PEFC Japan shall formulate the report on deliberation by the working group within appropriate period. This report shall include verification and corrective/preventive measures on the complaint or dispute

c) formal communication of the decision on the complaint and the complaint handling process to the complainant and concerned parties,

6.1 Auditors of SGEC/PEFC Japan shall request approval of the report including corrective and preventive measures stipulated above by the Board of Directors.

6.2 The Secretary General shall inform the process to deal with the complaint or dispute including its corrective measures to the complainant and other relevant stakeholders.

6.3 The Secretary General shall record the process of the conflict or dispute resolution and report it to the Board of Directors, Auditors and the General Assembly of SGEC/PEFC Japan.

13. ASSESSMENT OF REQUIREMENTS FOR CERTIFICATION BODIES AGAINST PEFC ST 2003:2020

The SGEC Standard Document 5-2 (SGEC SD 5-2) mirrors the structure and requirements for PEFC ST 2003:2020. There are additional requirements for the education of certifiers. It should also be noted that the Standard states “This standard stipulate “requirements of certification bodies operating certification under SGEC certification standard”, and certification bodies covered by this standard shall also fulfill PEFC ST 2003: 2020 “Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard” when operating PEC COC certification.”

ASSESSMENT DECISION: CONFORMS

13. ANNEXES

ANNEX A: PEFC STANDARD AND SYSTEM REQUIREMENTS CHECKLIST

PART I: STANDARD AND SYSTEM REQUIREMENT CHECKLIST FOR STANDARD SETTING (PEFC ST 1001:2017)

PEFC benchmark requirement	Assess. basis*	Application checklist reference	Quotation of relevant text	Additional references	Decision
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	SGEC ST Doc 2 5.1.1. a)	<p>5.1.1 The standardizing body shall have written procedures for standard-setting activities describing:</p> <p>a) its organizational structure, including the standard management committee (refer to 6.4) and other permanent committees etc. responsible for establishment of the standards (refer 7.1) by consensus-building,</p>	<p>The reference provided does not contain the required procedures. The relevant procedures are included in the statutes of the organisation, which are published on the SGEC website as an Appendix to SGEC Document 1. The Document describes its legal status (Article 1) and organisational structure (Board of Directors, Article 5; Appointment of a President, Article 24 and 25; Councillors Committee, Article 52; Secretariat, Article 53).</p> <p>The statutes provide for the Councillors Committee, which is the body responsible for consensus building: "Article 52, Section 1: The Councilors Committee shall be established to deliberate matters relating to</p>	Conforms

				operation of forest management certification and forest products chain of custody certification.”	
(b) procedures for keeping documented information,	Procedures	5.1.1.b)	b) procedures for keeping documented information	Procedures for keeping documented information are described at Document 2 5.2	Conforms
(c) procedures for balanced representation of stakeholders,	Procedures	5.1.1.c)	c) procedures for balanced representation of stakeholders,	Procedures for the balanced representation of stakeholders are described at Document 2 6.4	Conforms
(d) the standard-setting process,	Procedures	5.1.1.d)	d) the standard-setting process,	<p>The standard setting process is described at Document 2 Figure 1, and Document 1 2.3.4 The formulation and revision of the standards shall follow the deliberation process as stipulated as follows:</p> <p>(1) Formulation of the working draft by the secretariat</p> <p>The secretariat shall formulate a working draft taking account of revision of the PEFC international certification standards, revision of international and domestic laws and regulations, opinions of a wide range of stakeholders expressed in the occasion of SGEC forums and seminars, etc. and situation related to implementation of certification operation.</p> <p>(2) Formulation of the enquiry draft</p> <p>The standard management committee shall deliberate the working draft presented by the secretariat and formulate the enquiry draft.</p>	Conforms

				<p>(3) Public consultation of the enquiry draft Opinions of stakeholders shall be widely invited by implementing public consultation of the enquiry draft.</p> <p>(4) Formulation of the final draft by the standard management committee The final draft shall be formulated by the standard management committee based on the opinions delivered through the public consultation</p> <p>(5) Deliberation of the final draft by the councilors committee The councilors committee shall deliberate the final draft and present its opinion to the Board of Directors.</p> <p>(6) Approval of the final draft by the Board of Directors The Board of Directors approves the final draft based upon the opinions of the councilors committee.</p> <p>(7) Return to the standard management committee for deliberation in case the councilors committee or the Board of Directors disagrees or disapproves the final draft If opinions against approval of the final draft are presented as a result of the deliberation by the councilors committee, the Board of Directors shall return the final draft back to the certification administration committee. The standard management committee shall further examine and deliberate the final draft in order to acquire</p>	
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				consensus by organizing a joint meeting with councilors committee or by other ways; formulate the final draft again; and acquire approval by the Board of Directors	
(e) the mechanism for reaching consensus, and	Procedures	5.1.1.e)	e) the mechanism for reaching consensus, and	Document 1 2.3.4 (7) Return to the standard management committee for deliberation in case the councilors committee or the Board of Directors disagrees or disapproves the final draft If opinions against approval of the final draft are presented as a result of the deliberation by the councilors committee, the Board of Directors shall return the final draft back to the certification administration committee. The standard management committee shall further examine and deliberate the final draft in order to acquire consensus by organizing a joint meeting with councilors committee or by other ways; formulate the final draft again; and acquire approval by the Board of Directors	Conforms
(f) review and revision of standard(s)/normative document(s).	Procedures	5.1.1.f)	f) review and revision of standard(s)/ normative document(s).	The review and revision process is described at Document 2 Figure 1, and at Document 1 2.3.4	Conforms
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	Procedures	SGEC ST Doc 1 5.1.2	The standardizing body shall make its standard-setting procedures publicly available and shall review its standard-setting procedures regularly. The review shall consider feedback from stakeholders.		Conforms

feedback from stakeholders.					
	Process			The standard setting procedures are publicly available on the SGEC website at https://sgec-pefcj.jp/joining-the-pefc-council/	Conforms
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	SGEC SGEC ST Doc 1 5.2.1 a)	The standardizing body shall keep documented information relevant to the standard-setting and review process (hereinafter referred as "documented information"). Evidence of compliance with the requirements of this standard and the standardizing body's own procedures includes: a) Standard-setting procedures,		
	Process			Standard setting procedure process documentation has been indexed and described in the Standard Development Report. Original documentation has been collated at https://sgec-pefcj.jp/%E8%AA%8D%E8%A8%BC%E8	Conforms

				%A6%8F%E6%A0%BC%E6%96%87%E6%9B%B8/sgecdoc/ (SGEC STANDARDS – FOREST CERTIFICATION SGEC/PEFC JAPAN (sgec-pefcj.jp))	
(b) Stakeholder identification mapping,	Procedures	5.2.1 b)	b) Stakeholder identification mapping,		Conforms
	Process			Development report section 2: A stakeholder mapping document has been provided covering approximately 169 stakeholders.	Conforms
(c) Contacted and/or invited stakeholders,	Procedures	5.2.1 c)	c) Contacted and/or invited stakeholders,		Conforms
	Process			Development report section 3. Information describing the announcement of the process has been provided. Original documentation for the announcement of the process has been provided. This includes copies of invited stakeholder lists as well as a copy of the email provided.	Conforms
(d) Stakeholders involved in standard-setting activities including participants in each working group meeting,	Procedures	5.2.1 d)	d) Stakeholders involved in standard-setting activities including participants in each standard management committee meeting,		Conforms
	Process			The development report includes details of the various working group meetings. Minutes of the meetings have been provided accordingly. Attendance records for the meetings have been provided, including records of names and contact details.	Conforms

(e) Feedback received and a synopsis of how feedback was addressed,	Procedures	5.2.1 e)	e) Feedback received and a synopsis of how feedback was addressed,		Conforms
	Process			Development report Section 4. A synopsis of the comments from the public consultation has been provided.	Conforms
(f) All drafts and final versions of the standard,	Procedures	5.2.1 f)	f) All drafts and final versions of the standard,		Conforms
	Process			Development Report Section 3 documents the different stages of the working, inquiry and final drafts. Different versions of the working, inquiry and final drafts have been provided.	Conforms
(g) Outcomes from working group considerations,	Procedures	5.2.1 g)	g) Outcomes from standard management committee considerations,		Conforms
	Process			Development Report Section 5 documents the different stages of the committee meetings and drafts, including collation of feedback and responses.	Conforms
(h) Evidence of consensus on the final version of the standard(s),	Procedures	5.2.1 h)	h) Evidence of consensus on the final version of the standard(s),		Conforms
	Process			The Development Report contains a description of the Report of the second Standard Management Committee meeting (March 2, 2021), in which it was indicated there was consensus on the final version of the draft.	Conforms
(i) Evidence relating to the review process, and	Procedures	5.2.1 i)	i) Evidence relating to the review process, and		Conforms

	Process			The development report contains detailed feedback from stakeholders on the review process.	Conforms
(j) Final approval by the standardising body.	Procedures	5.2.1 j)	j) Final approval by the Board of Directors.		Conforms
	Process				The development report provides records of the Board of Directors meeting where final approval was provided on March 30 2021.
5.2.2 Documented information shall be kept until completion of the next review or revision of the standard to which they refer. Otherwise the documented information must be kept for a minimum of five years after publication of the standard.	Procedures	5.2.2	Documented information shall be kept until completion of the next review or revision of the standard to which they refer. Otherwise the documented information must be kept for a minimum of five years after publication of the standard.		Conforms
	Process				Documentation has been provided accordingly indicating that the procedure has been followed. .
5.2.3 Documented information shall be available to interested parties upon request.	Procedures	5.2.3	Documented information shall be available to interested parties upon request.		Conforms
	Process				Stakeholders have indicated that access to information and documentation has not been problematic.

<p>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:</p>					
<p>(a) acknowledge receipt of the complaint or appeal to the complainant,</p>	<p>Procedures</p>	<p>SGEC ST Doc 2 5.3.1. a)</p>	<p>The standardizing body shall handle any substantial and process complaints and appeals based on SGEC Standard Document 8 “SGEC Rules of Handling Complaints”. It must make the procedure(s) accessible to stakeholders. Upon receipt of a complaint or appeal, the standardizing body shall: a) acknowledge receipt of the complaint or appeal to the complainant,</p>		<p>Conforms</p>
	<p>Process</p>			<p>There do not appear to have been any complaints during the process according to stakeholder consultations.</p>	<p>Conforms</p>
<p>(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,</p>	<p>Procedures</p>	<p>5.3.1. b)</p>	<p>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, and</p>		<p>Conforms</p>

and make a decision regarding the complaint or appeal,					
	Process			There were no complaints during the standard setting process according to stakeholder consultation.	Conforms
(c) formally communicate the decision on the complaint or appeal to the complainant and describe the handling process.	Procedures	5.3.1.c)	formally communicate the decision on the complaint or appeal to the complainant and describe the handling process.		Conforms
	Process			There were no complaints during the standard setting process according to stakeholder consultation.	Conforms
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	5.3.2	The contact point for enquiries complaints and appeals relating to the standard-setting activities is the secretariat of SGEC/PEFC Japan as stipulated in SGEC Standard Document 8 “SGEC Rules of Handling Complaints. The contact point shall be easy to access and readily available.		Conforms
	Process			The single SGEC contact point is included on all SGEC communications.	Conforms
Standard-setting process					
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	SGEC ST Doc 2 6.1.1.a)	For the creation of a new standard, the standardizing body shall develop a proposal including: a) the scope of the standard,	Conforms
	Process			N/A
(b) a justification of the need for the standard,	Procedures	6.1.1 b)	b) justification of the need for the standard, d) a risk	Conforms
	Process			N/A
(c) a clear description of the intended outcomes	Procedures	6.1.1 c)	c) a clear description of the intended outcomes,	Conforms
	Process			N/A
(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	Procedures	6.1.1 d)	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	Conforms
	Process			N/A
(e) a description of the stages of standard development and their expected timetable.		SGEC ST Doc 2 6.1.1 e)	e) a description of the stages of standard development and their expected timetable.	Conforms

<p>NOTE Guidance for development of a proposal and justification is given in ISO Directives, Part 1, Annex C and Annex SL (Appendix 1).</p>					
<p>6.1.2 For the revision of a standard the proposal shall cover at least (a) and (e) of clause 6.1.1.</p>	<p>Procedures</p>	<p>6.1.2</p>	<p>For the revision of a standard the proposal shall cover at least (a) and (e) of clause 6.1.1.</p>		<p>Conforms</p>
	<p>Process</p>			<p>The proposal was tabled at the General Assembly on June 25, 2020, and contained covered both the scope and the description of the process.</p>	<p>Conforms</p>
<p>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.</p>	<p>Procedures</p>	<p>6.2.1</p>	<p>The standardizing 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 standardizing body shall identify the likely key issues, key stakeholders, and which means of communication would be best to reach them.</p>		

	Process			The Standard Development Report contains a comprehensive stakeholder mapping document that includes key issues, preferred contact details, location, and stakeholder group.	Conforms
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 (UNCED)</i> 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. Other groups shall be added if relevant to the scope of standard-setting activities. NOTE The full list of nine major stakeholder groups defined by Agenda 21 of the <i>United Nations</i>	Procedures	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 (UNCED)</i> in Rio de Janeiro in 1992. At least the following groups shall be included in the stakeholder mapping: >forest owners, >business and industry, >indigenous people, >non-government organizations, >scientific and technological community, >workers and trade unions. Other groups shall be added if relevant to the scope of standard-setting activities. Note: The full list of nine major stakeholder groups defined by Agenda 21 of the United Nations Conference on Environment and Development consists of: (i) business and industry, (ii) children and youth, (iii) forest owners, (iv) indigenous peoples, (v) local authorities, (vi) non-government organizations, (vii) scientific and technological community, (viii) women, and (ix) workers and trade unions.		Conforms

<p><i>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>					
	<p>Process</p>			<p>The Development Report stakeholder mapping document contains identified groups as follows: forest owners, business and industry, indigenous people, non-government organizations, scientific and technological community, workers and trade unions, administration, accreditation and certification bodies, individual organisations and companies.</p>	<p>Conforms</p>
<p>6.2.3 The standardising body shall identify disadvantaged stakeholders and key stakeholders and address any constraints to their</p>	<p>Procedures</p>	<p>6.2.3</p>	<p>The standardizing body shall identify disadvantaged stakeholders and key stakeholders and address any constraints to their participation in standard-setting activities.</p>		<p>Conforms</p>

<p>participation in standard-setting activities. NOTE A stakeholder can be both a disadvantaged and a key stakeholder at the same time.</p>			<p><i>Note:</i> A stakeholder can be both a disadvantaged and a key stakeholder at the same time.</p>		
	<p>Process</p>			<p>The Stakeholder mapping document contains identification of disadvantaged stakeholders ('vulnerable') and key stakeholders.</p>	<p>Conforms</p>
<p>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</p>	<p>Procedures</p>	<p>SGEC ST Doc 2 6.3.1.</p>	<p>The standardizing 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. procedures. <i>Note 1:</i> In a timely manner means (at the latest) four weeks before the first standard-setting activity is scheduled to occur. <i>Note 2:</i> Through suitable media means at least through the standardizing 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 organizations, social media, digital media, etc.</p>		<p>Conforms</p>

<p>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.</p>					
	<p>Process</p>			<p>An announcement of the start of the revision process was made on the SGEC website on June 26, 2020. The announcement was made via the PEFC website and is documented here: https://sgec-pefc.jp/d/20200626_SGEC_Disclosed_Statement_ST_rev_process_attached.pdf Evidence of email invitations has been provided</p>	<p>Conforms</p>
<p>6.3.1 The announcement and invitation shall include:</p>					
<p>(a) overview of the standard-setting process,</p>	<p>Procedures</p>	<p>6.3.1 a)</p>	<p>The announcement and invitation shall include: a) overview of the standard-setting process, b) access to the proposal for the standard, c) information about opportunities for stakeholders to participate in the process, d) requests to stakeholders or stakeholder organizations to nominate their</p>		<p>Conforms</p>

			representative(s) or themselves to the standard management committee (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, e) explicit invitation and clear instruction on how to submit feedback on the scope and standard-setting process, and f) access to the standard-setting		
	Process			The announcement contained an overview of the process, ability to participate in the process, accessibility of the working draft, and an invitation to participated in the standard management committee, as well as a schedule for the revision process.	Conforms
(b) access to the proposal for the standard (refer to 6.1),	Procedures	6.3.1 b)	See above		Conforms
	Process			See above	Conforms
(c) information about opportunities for stakeholders to participate in the process,	Procedures	6.3.1 c)	See above		Conforms
	Process			See above	Conforms
(d) requests to stakeholders to nominate their representative(s) or themselves to the working group (refer to 6.4). The request to disadvantaged	Procedures	6.3.1 d)	See above		Conforms

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,					
	Process			See above	Conforms
(e) explicit invitation and clear instruction on how to submit feedback on the scope and standard-setting process, and	Procedures	6.3.1 e)	See above		Conforms
	Process				Conforms
(f) access to the standard-setting procedures.	Procedures	6.3.1 f)	See above		Conforms
	Process				Conforms
6.3.2 The standardising body shall review the standard- setting process based on feedback received in response to the public announcement.	Procedures	6.3.2	The standardizing body shall review the standard-setting process based on feedback received in response to the public announcement.		Conforms
	Process			The Development Report contains a synopsis of feedback from the public consultation, and includes a summary of how SGEC responded to each piece of feedback.	Conforms
6.4.1 The standardising body shall establish a	Procedures	SGEC ST Doc 2 6.4.1.	President shall organize the permanent standard management committee by		

<p>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.</p>			<p>appoint members of the committee who are responsible for standard-setting activities. Upon holding meetings of the committee, the standardizing body shall publicly announce the proposal of standard setting, publicly invite participants to the meeting and appoint additional committee members based upon the consideration of the requests of participation and adjustment of composition of the committee members. Appointment of additional committee members shall be justified based upon considerations in relation to the requirements for balanced representation of the committee, considerations of an appropriate gender balance, relevance of the organization, an individual's competence, an individual's relevant experience and resources available for standard-setting.</p>		
	<p>Process</p>			<p>SGEC has explained that the Standardizing Committee was continued over from the previous assessment and that no adjustment was required. .</p>	<p>Conforms</p>
<p>6.4.2 The working group shall:</p>					<p>Conforms</p>
<p>(a) have balanced representation and decision-making by stakeholder categories, relevant to the subject matter and geographical scope of the standard,</p>	<p>Procedures</p>	<p>6.4.2 a)</p>	<p>The standard management committee 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</p>		

where no single concerned stakeholder group can dominate, nor be dominated in the process, and			dominate, nor be dominated in the process, and		
	Process			A list of the standard management committee membership has been provided, with no single group dominating (see main report for details on composition)	Conforms
(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	6.4.2 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 of the standard management committee meetings.		Conforms
	Process			A list of the standard management committee membership has been provided and meets the requirements, including for appropriate proportion of affected stakeholders.	Conforms
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	Procedures	6.4.3	In order to achieve balanced representation, the standardizing body shall strive to have all identified stakeholder groups (refer to 6.2) represented. The standardizing body shall set targets for the participation of key stakeholders and proactively seek their participation by using		Conforms

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.			outreach such as (but not limited to) personal emails, phone calls, meeting invitations etc. <i>Note:</i> When a stakeholder group is not represented and key stakeholders cannot be encouraged to participate, the standardizing body may consider alternative options.		
	Process			The standardizing committee has reached appropriate levels of representation to meet the standard, and has set targets, i.e. the inclusion of stakeholder groups. There do not appear to be any groups missing.	Conforms
6.4.4 Activities of the working group shall be organised in an open and transparent manner where:					Conforms
(a) working drafts shall be available to all members of the working group,	Procedures	6.4.4 a) a) working drafts shall be available to all members of the standard management committee,	Activities of the standard management committee shall be organized in an impartial, fair and transparent manner where: a) working drafts shall be available to all members of the standard management committee,		Conforms
	Process			Working drafts were made available via the SGEC website following the announcement of the revision.	Conforms

(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	6.4.4. b)	All members of the standard management committee shall be given meaningful opportunities to contribute to the development or revision of the standard and to provide feedback on working drafts, and		Conforms
	Process			To be confirmed via consultation; feedback mechanisms were provided by the Secretariat and have been documented here: https://sgec-pefcj.jp/2020/08/06/hpnews20200806/	Conforms
(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	SGEC ST Doc 2 6.4.4. c) c) feedback and views given by any member of the standard management committee shall be considered in an impartial, fair and transparent way where the solutions and proposed amendments are recorded.	feedback and views given by any member of the standard management committee shall be considered in an impartial, fair and transparent way where the solutions and proposed amendments are recorded.		Conforms
	Process			Feedback has been compiled in the development report and has been reflected in the different versions of the drafts, held on the SGEC website.	Conforms
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	6.4.5 a)	The decision of the standard management committee 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 utilize the following methods: a) face-to face meeting(s) where there is a verbal yes/no vote, a show of hands for 32 a yes/no vote; a statement on consensus from the Chair when there are no dissenting voices or hands (votes); a formal ballot, etc.,		Conforms
	Process				It has been recorded in meeting minutes that there was consensus on the final draft on the SMC meeting on March 2, 2021..
(b) telephone conference meeting(s) where there is a verbal yes/no vote,	Procedures	6.4.5 b)	b) telephone conference meeting(s) where there is a verbal yes/no vote,		Conforms
	Process				N/A
(c) e-mail request to the working group for agreement or objection where the members provide a formal (written) response (vote),	Procedures	6.4.5 c)	e-mail request to the meeting members for agreement or objection where the members provide a formal (written) response (vote), or		Conforms
	Process				N/A
	Procedures	6.4.5 d)	d) combinations of these methods.		

(d) combinations of these methods.	Process			N/A	
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 majority vote cannot override sustained opposition in order to achieve consensus.	Procedures	6.4.6.	Where a vote is used in decision-making, the standard-setting procedures decision-making thresholds that quantifies consensus must be based on the majority principle (approval by equal to or more than half of the attendants) and also must be consistent with the consensus definition (refer to 3.1). However, a majority vote cannot override sustained opposition in order to achieve consensus.		Conforms
	Process			There does not appear to have been a point in decision making where votes were otherwise required.	Conforms
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	6.4.7. a) a) finding a compromise through discussion and negotiation on the disputed issue within the standard management committee,	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 standard management committee,		Conforms
	Process			There does not appear to have been sustained opposition to any issue.	Conforms

(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	6.4.7. b)	finding a compromise through direct negotiation between the stakeholder(s) making the objection and other stakeholders with different views on the disputed issue,		Conforms
	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	6.4.7. c)	additional round(s) of public consultation (if necessary) where further stakeholder input can help to achieve consensus on unresolved issues. The standardizing body determines the scope and duration of any additional public consultation.		Conforms
	Process			See above	Conforms
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	SGEC ST Doc 2 6.4.8	When a substantial issue cannot be resolved and sustained opposition persists, the standardizing body shall initiate dispute resolution in accordance with its procedures for impartial and objective action.		Conforms
	Process			See above	Conforms
6.5.1 The standardising body shall organise public consultation on the enquiry draft and shall ensure that:					

<p>(a) the start and the end dates of public consultation are announced in a timely manner through suitable media, <i>NOTE In a timely manner means (at the latest) the day before the start of public consultation.</i></p>	Procedures	6.5.1 a)	<p>The standardizing body shall organize public consultation on the enquiry draft and shall ensure that:</p> <p>a) the start and the end dates of public consultation are announced in a timely manner through suitable media, <i>Note: In a timely manner means (at the latest) the day before the start of public consultation.</i></p>		Conforms
	Process			<p>References for the start and end date of the public consultation have been provided. The public consultation opinion submission period is 60 days from October 20th to December 19th. The consultation was announced on the SGEC website on the day prior to the commencement of the consultation.</p>	Conforms
<p>(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,</p>	Procedures	6.5.1 b)	<p>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,</p>		Conforms
	Process			<p>Copies of both the email lists and the email that was sent have been provided.</p>	Conforms
<p>(c) invitations are sent to disadvantaged and key stakeholders by methods that ensure they reach</p>	Procedures	6.5.1 c)	<p>invitations are sent to disadvantaged and key stakeholders by methods that ensure they reach recipients and are easy to understand,</p>		Conforms

recipients and are easy to understand,	Process			A list of stakeholders was provided that contained preferred contact methods for all stakeholders.	Conforms
(d) the enquiry draft is made publicly available,	Procedures	6.5.1 d)	d) the enquiry draft is made publicly available,		Conforms
	Process			The enquiry draft was made public via the invitation,	Conforms
(e) public consultation is for at least 60 days,	Procedures	6.5.1 e)	e) public consultation is for at least 60 days,		Conforms
	Process			The public consultation opinion submission period is 60 days from October 20th to December 19th.	Conforms
(f) all feedback is considered by the working group in an objective manner, and	Procedures	6.5.1 f)	all feedback is considered by the standard management committee in an objective manner, and		Conforms
	Process			Feedback has been considered by the working group in an objective manner, with responses made accordingly, as per the Development Report.	Conforms
(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	Procedures	6.5.1 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.		Conforms
	Process			Feedback has been compiled; it has been compiled according to the relevant document in the standard, which serves as an organising principle for 'issues'. This document does not appear to have been	Minor NC

<p>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 feedback and the response, to allow each stakeholder to identify its own feedback.</p>				<p>made publicly available. This is a minor non-conformity</p>	
<p>6.5.2 For new standards the standardising body shall organise a second round of public consultation lasting at least 30 days.</p>	<p>Procedures</p>	<p>SGEC ST Doc 2 6.5.2. For new standards the standardizing body shall organize a second round of public consultation lasting at least 30 days for the final draft of the new standard decided.</p>	<p>For new standards the standardizing body shall organize a second round of public consultation lasting at least 30 days for the final draft of the new standard decided.</p>		<p>Conforms</p>
	<p>Process</p>			<p>N/A</p>	
<p>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.</p>	<p>Procedures</p>	<p>6.6. The standardizing body shall organize pilot testing of new standard(s) to assess the clarity, auditability and feasibility of the requirements.</p>	<p>6.6 Pilot testing The standardizing body shall organize pilot testing of new standard(s) to assess the clarity, auditability and feasibility of the requirements. <i>Note:</i> Pilot testing is not required for revision of an existing standard when experience from its usage can substitute for pilot testing.</p>	<p>N/A</p>	

<p>NOTE Pilot testing is not required for revision of an existing standard when experience from its usage can substitute for pilot testing.</p>	<p>Process</p>				
<p>Approval and Publication</p>					
<p>7.1 The standardising body shall approve the standard(s)/normative document(s) formally when there is evidence of consensus among the working group.</p>	<p>Procedures</p>	<p>7.1</p>	<p>Formal approval of standards Once consensus is reached among stakeholders in the standard management committee, the standard(s)/normative document(s) shall be formally approved through the resolution of the Board of Directors after hearing opinions of the councilors committee.</p>		<p>Conforms</p>
	<p>Process</p>			<p>The Board of Directors approved the standards after a recommendation from the SMC. This took place on March 30, 2021. The Board instructed the secretariat to publish the documents after editorial corrections.</p>	<p>Conforms</p>
<p>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 standardizing body.</p>	<p>Procedures</p>	<p>7.2.1</p>	<p>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 standardizing body.</p>		<p>Conforms</p>
	<p>Process</p>			<p>The board approved the standards on March 30, 2021. The documents were made publicly available from April 10 onwards, and were published immediately</p>	<p>Conforms</p>

				within the 14-day limit. An announcement was made on April 15.	
7.2.2 Standard(s) shall include:					
(a) identification and contact information for the standardising body,	Procedures	7.2.2. a)	Standard(s) shall include: a) identification and contact information for SGEC/PEFC Japan as the standardizing body,		Conforms
	Process			SGEC standards are compiled into a single document. Contact information is included as follows: 〒100-0014 東京都千代田区永田町 2-4-3 永田町ビル 4F E-mail : info@sgec-e.co. org TEL : 03-6273-3358 FAX : 03-6273-336	Conforms
(b) official language of the standard,	Procedures	7.2.2. b) an explicit statement that the official language of the standard is Japanese,	b) an explicit statement that the official language of the standard is Japanese,		Conforms
	Process			The standards make several references to the official and primary language of the standard being Japanese at SGEC SD 1, Scope, SGEC SD 4 1. Scope, SGEC SD 6 Scope	Conforms

<p>(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.</p>	<p>Procedures</p>	<p>7.2.2. c) Not applicable in SGEC SGEC ST Doc 3 SGEC Standard Document 3 (FM) 1. Scope (last paragraph) If there is ambiguity in SGEC/PEFC documents, the Japanese version of the SGEC documents is the reference with respect to the SGEC certification scheme and the English version of the PEFC documents is the reference with respect to the PEFC certification scheme. SGEC ST Doc 4 SGEC Standard Document 4(CoC)</p>			<p>Conforms</p>
	<p>Process</p>	<p>1. Scope (last paragraph) If there are any unclear points of the standards,</p>		<p>The following statement is provided in the Japanese version of the standard: なお、不明な点がある場合は、SGECに関する事項については SGEC の関連文書の日本語 版により決定する。PEFCに関する</p>	<p>Conforms</p>

		<p>Japanese version of SGEC documents are reference for SGEC certification scheme, while English version of PEFC documents are reference for PEFC certification scheme.</p> <p>SGEC ST Doc 6 SGEC Standard Document 6(Trademark) 1 Scope (last paragraph) In order to clarify the ambiguous points if any, the Japanese version of related SGEC documents are reference with respect to SGEC scheme, and the English version of related PEFC documents are reference with respect to PEFC scheme.</p>		<p>事項については、PEFC の関連文書の英語版により決定 する。</p> <p>[If there are any unclear points, matters related to SGEC will be decided based on the Japanese version of the relevant documents of SGEC. Matters concerning PEFC will be determined by the English version of the PEFC related documents.]</p>	
(d) The approval date and the date of next periodic review	Procedures	SGEC ST Doc 2 7.2.2 c)	c) The approval date by the SGEC Board of Directors and the date of next periodic review		Conforms

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.	Process			The next periodic review dates do not appear to be incorporated into the documents. This is a minor non-conformity as it does not impact the robustness of the system.	Minor NC
7.2.3 Printed copies shall be made available upon request at a price that covers no more than administrative costs (if any)	Procedures	7.2.3.	Printed copies shall be made available upon request at a price that covers no more than administrative costs (if any).		Conforms
	Process				There do not appear to have been any formal requests made for printed copies.
7.2.4 The standardising body shall make the development report (refer to PEFC GD 1007) publicly available	Procedures	7.2.4	The standardizing body shall make the development report (refer to PEFC GD 1007) sent to the PEFC Council publicly available.		Conforms
	Process				The development report has been published on the SGEC website.
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	Procedures	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 organized to obtain further feedback and input.		Conforms
	Process				The previous version of the standard was approved on June 3 2016, and was

consultation shall be organised to obtain further feedback and input.				required to be reviewed by June 3, 2021; this date was met accordingly.	
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	8.2.1	The standardizing 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 SGEC/PEFC Japan with clear directions for providing feedback. <i>Note:</i> Feedback can be sent in various formats: comments, requests for clarification and/or interpretation, complaints, etc.		Conforms
	Process				Access to a feedback mechanism is provided at https://sgec-pefcj.jp/%E3%81%8A%E5%95%8F%E3%81%84%E5%90%88%E3%82%8F%E3%81%9B
8.2.2 All feedback received through all channels, including meetings, training courses, etc. shall be recorded and considered.	Procedures	8.2.2	All feedback received through all channels, including meetings, training courses, etc. shall be recorded and considered.		Conforms
	Process				SGEC has provided a compilation of all feedback received since the last revision.
8.3.1 At the start of a review, the standardising body shall evaluate the standard against appropriate PEFC	Procedures	8.3.1	At the start of a review, the standardizing body shall evaluate the standard against appropriate PEFC International standards, international conventions, national laws and regulations, and other relevant		Conforms

International standards, national laws and regulations, and other relevant standards to identify potential gaps in the standard.			standards to identify potential gaps in the standard.		
	Process			Evaluations of SGEC took place at the commencement of the review. These have been published on the SGEC website at https://sgec-pefcj.jp/d/SGEC-Meeting-201803-material-attached2.pdf https://sgec-pefcj.jp/d/20200508HP-2019SGEC-WG-Shiga-Rep.pdf https://sgec-pefcj.jp/d/20210323HP_2020_SGEC_WG_Hayafune_Shiga_Rrep.pdf	Conforms
8.3.2 The standardising body shall consider the latest scientific knowledge, research and relevant emerging issues.	Procedures	8.3.2	The standardizing body shall consider the latest scientific knowledge, research and relevant emerging issues.		Conforms
	Process			The reports noted above incorporate recent scientific research and relevant emerging issues.	Conforms
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	Procedures	8.4.1	Where the feedback and the gap analysis do not identify a need to revise the standard, the standardizing body shall organize stakeholder consultation to determine whether stakeholders see a need for revising the standard. The standardizing body shall include the gap analysis in the stakeholder consultation.		Conforms
	Process			A need to revise the standard was identified; this has been documented at	Conforms

include the gap analysis in the stakeholder consultation.				https://sgec-pefcj.jp/d/20200928_SGEC_1STC_Brief.pdf	
8.4.2 At the start of a review, the standardising body shall update the stakeholder identification mapping (refer to clause 6.2).	Procedures	8.4.2	At the start of a review, the standardizing body shall update the stakeholder identification mapping (refer to clause 6.2).		Conforms
	Process				The stakeholder mapping was updated and has been included in the Development Report accordingly.
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, (b) stakeholder meetings.	Procedures	8.4.3. a)	The standardizing body shall organize: a) a public consultation period of at least 30 days (following the requirements of clause 6.5.1) and/or, stakeholder meetings or standard management committee meetings		Conforms
	Process				Stakeholder and SMC meetings were held on September 28 2020 (Stakeholder) October 20, 2020 (SMC) March 2, 2020 (SMC) March 30 2020 (SMC)
8.4.4 The standardising body shall announce the review in a timely manner (refer to 6.3).	Procedures	8.4.4	The standardizing body shall announce the review in a timely manner (refer to 6.3).17		Conforms
	Process				The review was announced in a timely manner; the review was announced on the SGEC website on the day prior (October

				19) to the commencement of the consultation (October 20)	
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	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 standardizing body shall decide whether a revision of the standard is necessary.		
	Process			See above; the standardising body determined that a revision was necessary; that decision was affirmed at a meeting of the Board of Directors on June 25 2020	Conforms
8.5.2 The decision shall be made at the highest decision- making level of the standardising body	Procedures	8.5.2	The decision shall be made at the Board of Directors meeting of the standardizing body		Conforms
	Process			See above	Conforms
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	8.5.3	Where the decision is to reaffirm a standard, the standardizing body shall provide a justification for the decision and make the justification publicly available.		Conforms
	Process			The announcement of the revision stated: "This revision process will be carried out aiming at re-endorsement by PEFC based on SGEC Attachment 2-12 "SGEC Standard Setting" and PEFC ST 1001 2017, taking into account the revision of PEFC standards after the last endorsement by PEFC in 2016 as well as change in domestic and international circumstances.	Conforms

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	8.5.4.	Where the decision is to revise the standard, the standardizing body shall specify the type of revision (normal or editorial revision).		Conforms
	Process			It is understood that the decision was not specified in the process as this was a required review and revision.	
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	9.1.	Procedures for revision of standard(s)/normative document(s) shall conform to those stated in section 6. 36 A normal revision can occur at the periodic review, or between periodic reviews, but does not include editorial revisions and time-critical revisions.		Conforms
	Process			This has been a normal revision that has taken place at the point of periodic review.	Conforms
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	9.2.	Editorial revisions can be made without triggering the normal revision process. The standardizing body shall approve the editorial changes formally and publish an amendment or a new edition of the standard.		Conforms
	Process			N/A	

9.3.1 A time-critical revision is a revision between two periodic reviews using a fast-track process.	Procedures	9.3.2	A time-critical revision is a revision between two periodic reviews using a fast-track process.		Conforms
	Process				
9.3.2 A time-critical revision can be conducted only in the following situations:					Conforms
(a) Change in national laws and regulations affecting compliance with PEFC International requirements	Procedures	9.3.2 a)	A time-critical revision can be conducted only in the following situations: a) Change in national laws and regulations affecting compliance with PEFC International requirements and SGEC requirements		
	Process			N/A	
(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	9.3.2 b)	b) Instruction by PEFC International to comply with specific or new PEFC requirements within a timescale that is too short for a normal revision.		Conforms
	Process			N/A	
9.3.3 The time-critical revision shall follow these steps:					Conforms
(a) The standardising body shall draft the revised standard,	Procedures	9.3.3.	The time-critical revision shall follow these steps: a) The standardizing body shall draft the revised standard,		Conforms

	Process			N/A	
(b) The standardising body may consult stakeholders, but it is not mandatory,	Procedures	9.3.3.	b) The standardizing body may consult stakeholders, but it is not mandatory,		Conforms
	Process				
(c) The revised standard shall be approved formally at the highest appropriate decision-making level of the standardising body,	Procedures	9.3.3.	The revised standard shall be approved formally at the highest appropriate decision-making level of the standardizing body,		Conforms
	Process				N/A
(d) The standardising body shall explain the justification for the urgent change(s) and make the justification publicly available.	Procedures	9.3.3.	The standardizing body shall explain the justification for the urgent change(s) and make the justification publicly available.		Conforms
	Process				N/A
9.4.1 A revision shall define the application date and transition period of the revised standard(s)/normative document(s).	Procedures	9.4.1	A revision shall define the application date and transition period of the revised standard(s)/ normative document(s).		Conforms
	Process				Transition dates have been included in the normative documents accordingly.
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	Procedures	9.4.2	An application date shall not be more than one year after the publication of the standard. This allows time for introduction of change(s) in the revised standards, information dissemination and training.		Conforms
	Process				Approval date was March 20 2021; application date was June 1, 2021.

dissemination and training.					
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	9.4.3	The transition period shall not exceed one year. The standardizing body may determine a longer period when justified by exceptional circumstances.		Conforms
	Process			The transition period exceeds one year. The exceptional circumstances were because of COVID.	Conforms

PART II: STANDARD AND SYSTEM REQUIREMENT CHECKLIST FOR GROUP FOREST MANAGEMENT CERTIFICATION (PEFC ST 1002:2018)

PEFC benchmark requirement	Y/N	Reference to system documentation	Quotation	Additional information	Decision
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	SGEC Standard Document 3-1 4.1 Composition of group organization	4.1 Composition of group organization The group organization is composed of forest owners/managers or other entities included in the scope of group forest management certification, aiming at implementation of sustainable forest management and its certification. The group organization shall hold the legal rights to manage the forest concerned and shall be capable to implement the requirements of sustainable forest management in the area.	This is further elaborated at 4.3.1 (ii): "regional council type: a council organizing forest owners/managers of the region with forest owners cooperatives, public forests (municipal forest, etc.) and other forest owners as participants - Group entity: regional council - Participants: forest owners cooperatives of the region, municipal governments, forest owners, etc.	Conforms
b) other groups and/or	YES	As mentioned above		This is elaborated at 4.3.1 (iii)	Conforms

				<p>regional council type: a council organizing forest owners/managers of the region with forest owners cooperatives, public forests (municipal forest, etc.) and other forest owners as participants</p> <p><input type="checkbox"/> Group entity: regional council</p> <p><input type="checkbox"/> Participants: forest owners cooperatives of the region, municipal governments, forest owners, etc.</p>	
c) whether there are any other specific circumstances which influence the implementation of the group management system.	YES	As mentioned above			Conforms
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	4.2.1 a)	<p>4.2.1 The group organization shall identify:</p> <p>a) the affected stakeholders that are relevant for the group management system and</p>	The standards reproduce the PEFC requirements.	Conforms

b) the relevant expectations of these affected stakeholders.	YES	4.2.1 b)	b) the relevant expectations of these affected stakeholders.	The standards reproduce the PEFC requirements.	Conforms
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	4.3.1 a)	<p>4.3.1 The group management system is defined as follows.</p> <p>a) the group organization and the elements of the group organization (group entity and participant)</p> <p>i) forest owners cooperative type: an organization having forest owners cooperatives as core participants</p> <ul style="list-style-type: none"> <input type="checkbox"/> Group entity: a leading forest owners cooperative in the region <input type="checkbox"/> Participants: forest owners cooperatives of the region <p>ii) regional council type: a council organizing forest owners/managers of the region with forest owners cooperatives, public forests (municipal forest, etc.) and other forest owners as participants</p> <ul style="list-style-type: none"> <input type="checkbox"/> Group entity: regional council 	The standard provides definitions for group organisations that are consistent with the PEFC requirements, for three types of organisations: forest owners, regional council and other. Entity and participant are defined for all three.	Conforms

			<p><input type="checkbox"/> Participants: forest owners cooperatives of the region, municipal governments, forest owners, etc.</p> <p>iii) other type: an organization having legal rights to manage the forest and meeting the conditions required by this standard</p> <p><input type="checkbox"/> Group entity: an entity conducting management of the group forests</p> <p><input type="checkbox"/> Participants: an entity conducting management of individual forest management units</p> <p><input type="checkbox"/> Note: An organization having legal rights to manage the forest of iii) "other type" includes legal entities (companies, national forest, public forest, etc.) which meet the equivalent conditions of the group organization (refer to 3.12 group organization) .</p>		
b) the certified area,	YES	4.3.1 b)	<p>b) the certified area</p> <p>The forest area managed by participants of the group organization</p>	The standards reproduce the PEFC requirements.	Conforms
c) the group certificate and	YES	4.3.1 c)	<p>c) the group certificate</p> <p>The group certificate is issued to the group entity of the group organization</p>	The standards reproduce the PEFC requirements with additional stipulations.	Conforms

<p>d) the document confirming participation in group certification.</p>	<p>YES</p>	<p>4.3.1 d)</p>	<p>d) the document confirming participation in group certification</p> <p>The list of the participants of the group certification is attached to the group certificate given to the group entity as the document confirming participation in the group certification.</p>	<p>The standards reproduce the PEFC requirements with additional stipulations.</p>	<p>Conforms</p>
<p>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.</p>	<p>YES</p>	<p>4.3.2</p>	<p>4.3.2 The scope of the group management system covers and is applied to the forest area where participants who have capability to manage the forests which they own or manage according to the SGEC standards and related laws and regulations.</p>	<p>The standards reproduce the PEFC requirements with additional stipulations.</p>	<p>Conforms</p>
<p>4.3.3 The standard shall define which requirements of the sustainable forest management standard may be fulfilled on group level.</p>	<p>YES</p>	<p>4.3.3 and 8. Operation and SD3 Appendix 1: Operational Guidelines 0</p>	<p>4.3.3 Forest management of the group shall be appropriately conducted by identifying applied “requirements of sustainable forest management certification standard” according to the actual situation of the forest management by the group organization.</p> <p>8. Operation 8.1 The group organization shall plan, implement and control processes needed: a) to meet the requirements of the group certification standard (this standard) and the sustainable forest management standard (SGEC</p>	<p>The standards reproduce the PEFC requirements with additional stipulations.</p>	<p>Conforms</p>

			<p>Standard Document 3 “SGEC Sustainable Forest Management —Requirements”) and b) to implement the actions determined in “6. Planning”. 8.2 This planning, implementing and controlling shall be done by: a) defining the necessary processes and establishing criteria for those; b) implementing control of the processes in accordance with the criteria; c) keeping documented information to the extent necessary to have confidence that the processes have been carried out as planned.</p> <p>0. “Note: In case of group forest management certification, requirements for planned and proper management of group forest concerned shall be clearly identified, through plan, organization and responsibility and others by which all forests owned by members of a group shall be uniformly managed, and requirements for group forest management certification stipulated in SGEC Standard Document 3-1 shall be met.”</p>		
<p>4.3.4 The standard requires that the scope shall be made available as documented information.</p>	<p>YES</p>	<p>4.3.4</p>	<p>4.3.4 The scope of the group management system shall be made available as documented information.</p>	<p>The standards reproduce the PEFC requirements.</p>	<p>Conforms</p>

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	4.4.1.	4.4.1 All participants shall be subject to the internal monitoring and the internal audit programme.	The standards reproduce the PEFC requirements.	Conforms
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	4.4.2.	4.4.2 If a group entity acts as a producer, manufacturer or trader of forest products not covered by the group certificate, the group entity shall acquire SGEC COC certification.	The standards reproduce the PEFC requirements with different wording. .	Conforms
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	5.1.1.a)	The group entity bears the following functions and responsibilities: a) to implement and maintain an effective management system covering all participants of the group;	The standards reproduce the PEFC requirements.	Conforms
b) to represent the group organisation in the certification process, including in communications and relationships with the certification body, submission of an application for certification, and	YES	5.1.1.b)	b) to represent the group organization in the certification process, including in communications and relationships with the certification body, submission of an application for certification, and	The standards reproduce the PEFC requirements.	Conforms

contractual relationship with the certification body;			contractual relationship with the certification body;		
c) to establish written procedures for the management of the group organisation;	YES	5.1.1.c)	c) to establish written procedures for the management of the group organization;	The standards reproduce the PEFC requirements.	Conforms
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	5.1.1.d)	d) to establish written procedures for the acceptance of new participants of the group organization. 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);	The standards reproduce the PEFC requirements.	Conforms
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	5.1.1.e)	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	The standards reproduce the PEFC requirements.	Conforms
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	YES	5.1.1.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 scheme, ii. all participants, including their contact details, identification of their	The standards reproduce the PEFC requirements.	Conforms

<p>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;</p>			<p>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;</p>		
<p>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 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</p>	<p>YES</p>	<p>5.1.1 g)</p>	<p>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; <i>Note:</i> The requirements for "binding documents including participants' commitment" and "written contract or agreement in other forms with all participants" may also be satisfied by the commitment of and contract of a pre-existing organization or group or the members participation, such as a forest owners'/managers' association,</p>	<p>The standards reproduce the PEFC requirements.</p>	<p>Conforms</p>

mandate to represent the participants and where its commitment and the terms and conditions of the contract are enforceable.			SFM programme and submission to tax programming, where the organization can demonstrate that it has a legal mandate to represent the participants and where its commitment and the contract document are enforceable.		
h) to provide all participants with a document confirming participation in the group forest certification;	YES	5.1.1 h)	h) to provide all participants with a document confirming participation in the group forest certification;	The standards reproduce the PEFC requirements.	Conforms
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	5.1.1 i)	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 scheme;	The standards reproduce the PEFC requirements.	Conforms
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	5.1.1 j)	j) to address nonconformities reported from group members which were identified under other SGEC certifications than the particular group certification and to ensure implementation with all group members;	The standards reproduce the PEFC requirements.	Conforms
k) to operate an internal monitoring programme that provides for the evaluation of the participants' conformity with the certification requirements;	YES	5.1.1 k)	k) to operate an internal monitoring programme that provides for the evaluation of the participants' conformity with the certification requirements;	The standards reproduce the PEFC requirements.	Conforms

l) to operate an annual internal audit programme covering both group members and group entity;	YES	5.1.1 l)	l) to operate an annual internal audit programme covering both group members and group entity;	The standards reproduce the PEFC requirements.	Conforms
m) to operate a management review of the group forest certification and acting on the results from the review;	YES	5.1.1 m)	m) to operate a management review of the group forest certification and acting on the results from the review;	The standards reproduce the PEFC requirements.	Conforms Conforms
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	5.1.1 n)	n) to provide full co-operation and assistance in responding effectively to all requests from the certification body, accreditation body, SGEC/PEFC Japan for relevant data, documentation or other information; allowing access to the forest area covered by the group organization and other facilities, whether in connection with formal audits or reviews or otherwise related or with implications for the management system.	The standards reproduce the PEFC requirements.	
<p>5.1.2 Function and responsibilities of participants</p> <p>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	YES	5.1.2 a)	The participants bear the following functions and responsibilities: 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 scheme; group participants excluded	The standards reproduce the PEFC requirements.	Conforms

<p>group membership within 12 months after exclusion. 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>			<p>from any certification group cannot apply for group membership within 12 months after exclusion; Note: The requirement for “written agreement including participants’ commitment” is also satisfied by the commitment of and written agreement of a pre-existing organization or group or the members participation, such as a forest owners’/managers’ association, SFM programme and submission to tax programming, where the organization 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>		
<p>b) To provide the group entity with information about previous group participation.</p>	YES	5.1.2 b)	<p>b) to provide the group entity with information about previous group participation;</p>	<p>The standards reproduce the PEFC requirements.</p>	<p>Conforms</p>
<p>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;</p>	YES	5.1.2 c)	<p>c) to comply with the sustainable forest management standard and other applicable requirements of the certification scheme as well as with the requirements of the management system;</p>	<p>The standards reproduce the PEFC requirements.</p>	<p>Conforms</p>
<p>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</p>	YES	5.1.2 d)	<p>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</p>	<p>The standards reproduce the PEFC requirements.</p>	<p>Conforms</p>

facilities, whether in connection with formal audits or reviews or otherwise related or with implications for the management system;			facilities, whether in connection with formal audits or reviews or otherwise related or with implications for the management system;		
e) to inform the group entity about nonconformities identified under other PEFC certifications than the particular group certification.	YES	5.1.2 e)	e) to inform the group entity about nonconformities identified under other SGEC certifications than the particular group certification;	The standards reproduce the PEFC requirements.	Conforms
f) to implement relevant corrective and preventive actions established by the group entity.	YES	5.1.2 f)	f) to implement relevant corrective and preventive actions established by the group entity.	The standards reproduce the PEFC requirements.	Conforms
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	5.2.1 a)	5.2.1 The group entity shall provide a commitment: a) to comply with the sustainable forest management standard and other applicable requirements of the certification scheme;	The standards reproduce the PEFC requirements.	Conforms
b) to integrate the group certification requirements in the group management system;	YES	5.2.1 b)	b) to integrate the group certification requirements in the group management system;	The standards reproduce the PEFC requirements.	Conforms

c) to continuously improve the group management system;	YES	5.2.1 c)	c) to continuously improve the group management system;	The standards reproduce the PEFC requirements.	Conforms
d) to continuously support the improvement of the sustainable management of the land/forests by the participants.	YES	5.2.1 d)	d) to continuously support the improvement of the sustainable management of the land/forests by the participants	The standards reproduce the PEFC requirements.	Conforms
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	5.2.2	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.	The standards reproduce the PEFC requirements.	Conforms
5.2.3 The standard requires that the participants shall provide a commitment					
a) to follow the rules of the management system;	YES	5.2.3 a)	5.2.3 The participants shall provide a commitment: a) to follow the rules of the management system;	The standards reproduce the PEFC requirements.	Conforms
b) to implement the requirements of the sustainability standard in their operations in their area.	YES	5.2.3 a)	b) to implement the requirements of the sustainability standard in their operations in their area.	The standards reproduce the PEFC requirements.	Conforms
6. Planning					
6.1 The standard requires that if a group organisation plans any changes in the group management system,	YES	6.1	6.1 If a group organization plans any changes in the group management	The standards reproduce the PEFC requirements.	Conforms

these changes shall be included in a group management plan.			system, these changes shall be included in a group management plan.		
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	6.2	6.2 If a group organization decides to fulfil requirements of the sustainable forest management standard on the group level, these requirements shall be considered in a group management plan.	The standards reproduce the PEFC requirements.	Conforms
7. Support					
7.1 The standard requires that resources needed for the establishment, implementation, maintenance and continual improvement of the group management system shall be determined and provided.	YES	7.1	7.1 Resources needed for the establishment, implementation, maintenance and continual improvement of the group management system shall be determined and provided.	The standards reproduce the PEFC requirements.	Conforms
7.2 The standard shall define the necessary competence of persons doing work in the group management system.	YES	7.2. "Persons doing work in the group management system shall have knowledge, skill and capability defined in "7. Support" of SGEC Standard Document"	7.2 Persons doing work in the group management system shall have knowledge, skill and capability defined in "7. Support" of SGEC Standard Document 3.	The standard defines the necessary competence of those doing the work accordingly.	Conforms
7.3 The standard requires that communication processes shall be in place to raise the awareness of participants concerning:	YES	7.3	Communication processes shall be in place to raise the awareness of participants concerning:	The standards reproduce the PEFC requirements.	Conforms

a) the group management policy;	YES	7.3 a)	a) the group management policy;	The standards reproduce the PEFC requirements.	Conforms
b) the requirements of the sustainable forest management standard;	YES	7.3 b)	b) the requirements of the sustainable forest management standard;	The standards reproduce the PEFC requirements.	Conforms
c) their contribution to the effectiveness of the group management system and the sustainable forest management, including the benefits of improved group performance;	YES	7.3 c)	c) their contribution to the effectiveness of the group management system and the sustainable forest management, including the benefits of improved group performance;	The standards reproduce the PEFC requirements.	Conforms
d) the implications of not conforming with the group management system requirements.	YES	7.3 d)	d) the implications of not conforming with the group management system requirements.	The standards reproduce the PEFC requirements.	Conforms
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	7.4 a)	7.4 The internal and external communications relevant to the group management system shall be determined. This includes: a) on what to communicate;	The standards reproduce the PEFC requirements.	Conforms
b) when to communicate;	YES	7.4. b)	b) when to communicate;	The standards reproduce the PEFC requirements.	Conforms

c) with whom to communicate;	YES	7.4.c)	c) with whom to communicate;	The standards reproduce the PEFC requirements.	Conforms
d) how to communicate.	YES	7.4.d)	d) how to communicate	The standards reproduce the PEFC requirements.	Conforms
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	7.5.	7.5 Appropriate mechanisms shall be in place for resolving complaints and disputes relating to group management and sustainable forest management operations.	The standards reproduce the PEFC requirements.	Conforms
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:					
a) up to date;	YES	7.6 a)	7.6 The documented information relevant to the group management system and the conformance with the requirements of the sustainable forest management standard is: a) up to date	The standards reproduce the PEFC requirements.	Conforms
b) available and suitable for use, where and when it is needed;	YES	7.6 b)	b) available and suitable for use, where and when it is needed;	The standards reproduce the PEFC requirements.	Conforms
c) adequately protected against loss of confidentiality, improper use, or loss of integrity.	YES	7.6 c)	c) adequately protected against loss of confidentiality, improper use, or loss of integrity	The standards reproduce the PEFC requirements.	Conforms
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	8.1 a)	8.1 The group organization shall plan, implement and control processes needed: a) to meet the requirements of the group certification standard (this standard) and the sustainable forest management standard (SGEC Standard Document 3 “SGEC Sustainable Forest Management —Requirements”) and	The standards reproduce the PEFC requirements.	Conforms
b) to implement the actions determined in 6.	YES	8.1 b)	b) to implement the actions determined in “6. Planning”.	The standards reproduce the PEFC requirements.	Conforms
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	8.2 a)	8.2 This planning, implementing and controlling shall be done by: a) defining the necessary processes and establishing criteria for those;	The standards reproduce the PEFC requirements.	Conforms
b) implementing control of the processes in accordance with the criteria;	YES	8.2 b)	b) implementing control of the processes in accordance with the criteria;	The standards reproduce the PEFC requirements.	Conforms

c) keeping documented information to the extent necessary to have confidence that the processes have been carried out as planned.	YES	8.2 c)	c) keeping documented information to the extent necessary to have confidence that the processes have been carried out as planned.	The standards reproduce the PEFC requirements.	Conforms
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	9.1.1 a)	9.1.1 An ongoing internal monitoring programme provides confidence in the conformity of the group organization with the sustainable forest management standard. In particular, it shall be determined: a) what shall be monitored and measured;	The standards reproduce the PEFC requirements.	Conforms
b) the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results;	YES	9.1.1 b)	b) the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results;	The standards reproduce the PEFC requirements.	
c) when the monitoring and measuring shall be performed;	YES	9.1.1 c)	c) when the monitoring and measuring shall be performed;	The standards reproduce the PEFC requirements.	Conforms

d) when the results from monitoring and measurement shall be analysed and evaluated;	YES	9.1.1 d)	d) when the results from monitoring and measurement shall be analyzed and evaluated;	The standards reproduce the PEFC requirements.	Conforms
e) what documented information shall be available as evidence of the results.	YES	9.1.1 e)	e) what documented information shall be available as evidence of the results.	The standards reproduce the PEFC requirements.	Conforms
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	9.1.2	9.1.2 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.	The standards reproduce the PEFC requirements.	Conforms
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	9.2.1.1a)	9.2.1.1 An annual internal audit programme shall provide information on whether the group management system: a) conforms to i. the group organization's own requirements for its group management system;	The standards reproduce the PEFC requirements.	Conforms

			ii. the requirements of this group forest management standard;		
b) ensures the implementation of the sustainable forest management standard on the participant level;	YES	9.2.1.1b)	b) ensures the implementation of the sustainable forest management standard on the participant level;	The standards reproduce the PEFC requirements.	Conforms
c) is effectively implemented and maintained.	YES	9.2.1.1c)	c) is effectively implemented and maintained.	The standards reproduce the PEFC requirements.	Conforms
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	9.2.1.2	9.2.1.2 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.	This is further elaborated at 9.2.1.3 "Additional requirements for the internal audit programs are defined separately in Appendix." The additional requirements contained in SGEC 3 Appendix 2 relate to audit requirements for the Ainu people.	Conforms
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, responsibilities, planning requirements and reporting, which shall take into consideration the importance of the processes	YES	9.2.2 a)	The organization shall establish an internal audit programme covering at least: a) planning, establishing, implementing and maintaining an audit programme(s) including the frequency, methods, responsibilities, planning requirements and reporting, which	The standards reproduce the PEFC requirements.	Conforms

concerned and the results of previous audits;			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	9.2.2 b)	b) definition of the audit criteria and scope for each audit;	The standards reproduce the PEFC requirements.	Conforms
c) competence of internal auditor (forest knowledge, standard knowledge);	YES	9.2.2 c)	c) competence of internal auditor (forest knowledge, standard knowledge);	The standards reproduce the PEFC requirements.	Conforms
d) selection of auditors and conducting of audits to ensure objectivity and the impartiality of the audit process;	YES	9.2.2 d)	d) selection of auditors and conducting of audits to ensure objectivity and the impartiality of the audit process;	The standards reproduce the PEFC requirements.	Conforms
e) ensuring that the results of the audits are reported to relevant group management;	YES	9.2.2 e)	e) ensuring that the results of the audits are reported to relevant group management;	The standards reproduce the PEFC requirements.	Conforms
f) retaining of the documented information as evidence of the implementation of the audit programme and the audit results.	YES	9.2.2 f)	f) retaining of the documented information as evidence of the implementation of the audit programme and the audit results.	The standards reproduce the PEFC requirements.	Conforms
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	YES	9.3.1.1	9.3.1.1 Requirements for the selection of participants in the internal audit programme shall be determined.		

audit programme. These requirements shall include the			These requirements shall include the following procedures for:		
a) determination of the sample size (9.3.2);	YES	9.3.1.1 a)	a) determination of the sample size (9.3.2);	The standards reproduce the PEFC requirements.	Conforms
b) determination of sample categories(9.3.3);	YES	9.3.1.1 b)	b) determination of sample categories(9.3.3);	The standards reproduce the PEFC requirements.	Conforms
c) distribution of the sample to the categories (9.3.4);	YES	9.3.1.1 c)	c) distribution of the sample to the categories (9.3.4);	The standards reproduce the PEFC requirements.	Conforms
d) selection of the participants (9.3.5).	YES	9.3.1.1 d)	d) selection of the participants (9.3.5).	The standards reproduce the PEFC requirements.	Conforms
9.3.1.2 The standard may define additional requirements on the regional, national or sub-national level.	YES	9.3.1.2 “If participants belong to pre-existing organizations or associations such as forest owners or managers cooperatives, sustainable forest management groups, requirements shall be determined in consideration of the types and characteristics of management and implementation system of the pre-existing organization or associations in addition to requirements stipulated in 9.3.1.1. above.”	9.3.1.2 If participants belong to pre-existing organizations or associations such as forest owners or managers cooperatives, sustainable forest management groups, requirements shall be determined in consideration of the types and characteristics of management and implementation system of the pre-existing organization or associations in addition to requirements stipulated in 9.3.1.1. above. <i>Note:</i> Participants who belong to forest owners cooperatives have common management and implementation institution based on laws and regulations such as Forest Owners	The standards reproduce the PEFC requirements.	Conforms

			Cooperative Act. Participants who belong to sustainable forest management groups comply with common forest management policies shared within the group. On the other hand, if participants do not belong to a specific organization, the participants comply with general laws and regulations concerning forests, not having common management policies.		
9.3.1.3 The standard shall define additional sampling requirements in case of participation of pre-existing 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.	NO	Not Applicable in Japan		There appear to be no other pre-existing groups that can be covered by the group management standard; therefore the additional sampling requirements are definitions do not apply.	Conforms
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	9.3.2.1	9.3.2.1 The sample size shall be calculated for the participants of the group organization.	The standards reproduce the PEFC requirements.	Conforms
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	9.3.2.2	9.3.2.2 The size of the sample, in principle, should be the square root of the number of participants: $(y=\sqrt{x})$ rounded to the upper whole number.	The standards reproduce the PEFC requirements.	Conforms
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:					

<p>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;</p>	<p>YES</p>	<p>9.3.2.3 a) "results of a risk assessment. In the case where the risk level is medium, sample size should be the square root of the number of participants ($y=\sqrt{x}$) as stipulated in 9.3.2.2, while in the case where the risk is significantly high, sample size should be increased depending on the situation."</p>	<p>9.3.2.3 The size of the sample may be determined taking into account the following indicators: a) results of a risk assessment. In the case where the risk level is medium, sample size should be the square root of the number of participants ($y=\sqrt{x}$) as stipulated in 9.3.2.2, while in the case where the risk is significantly high, sample size should be increased depending on the situation.;</p>	<p>The standards reproduce the PEFC requirements.</p>	<p>Conforms</p>
<p>b) results of internal audits or previous certification audits;</p>	<p>YES</p>	<p>9.3.2.3 b)</p>	<p>b) results of internal audits or previous certification audits (including complaint settlement);</p>	<p>The standards reproduce the PEFC requirements.</p>	<p>Conforms</p>
<p>c) quality / level of confidence of the internal monitoring programme;</p>	<p>YES</p>	<p>9.3.2.3 c)</p>	<p>c) quality / level of confidence of the internal monitoring programme;</p>	<p>The standards reproduce the PEFC requirements.</p>	<p>Conforms</p>
<p>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.</p>	<p>YES</p>	<p>9.3.2.3 d)</p>	<p>d) use of technologies allowing the gathering of information concerning specified requirements; <i>Note:</i> 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.</p>	<p>The standards reproduce the PEFC requirements.</p>	<p>Conforms</p>

<p>e) based on other means of gathering information about activities on the ground. <i>Note:</i> One way could be a survey with participants who provide some information about their activities on the ground.</p>	<p>YES</p>	<p>9.3.2.3 e) "other means of gathering information about activities on the ground. <i>Note:</i> One way could be a survey with participants who provide some information about their activities on the ground."</p>	<p>e) other means of gathering information about activities on the ground. <i>Note:</i> One way could be a survey with participants who provide some information about their activities on the ground.</p>	<p>The standards reproduce the PEFC requirements.</p>	<p>Conforms</p>
<p>9.3.3 Determination of sample categories</p>					
<p>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:</p>					
<p>a) ownership type (e.g. state forest, communal forest, private forest);</p>	<p>YES</p>	<p>9.3.3.1 a)</p>	<p>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. national forest, public forest, private forest);</p>	<p>The standards reproduce the PEFC requirements.</p>	<p>Conforms</p>
<p>b) size of management units (different size classes);</p>	<p>YES</p>	<p>9.3.3.1 b)</p>	<p>b) size of management entities (different size classes);</p>	<p>The standards reproduce the PEFC requirements.</p>	<p>Conforms</p>

c) biogeographic region (e.g. lowlands, low mountain range, high mountain range);	YES	9.3.3.1 c)	c) biogeographic region (e.g. lowlands, low mountain range, high mountain range);	The standards reproduce the PEFC requirements.	Conforms
d) operations, processes and products of potential group participants;	YES	9.3.3.1 d) "operations, processes and products of group participants (including potential participants)"	d) operations, processes and products of group participants (including potential participants);	The standards reproduce the PEFC requirements.	Conforms
e) deforestation and forest conversion;	YES	9.3.3.1 e) "timber harvesting and planting of harvested land (man-made forest and natural forest), conversion of forest land"	e) timber harvesting and planting of harvested land (man-made forest and natural forest), conversion of forest land;	The standards reproduce the PEFC requirements.	Conforms
f) rotation period(s);	YES	9.3.3.1 f) "cutting period of manmade forest and rotation period of natural forest"	f) cutting period of manmade forest and rotation period of natural forest;	The standards reproduce the PEFC requirements.	Conforms
g) richness of biological diversity;	YES	9.3.3.1 g)	g) richness of biological diversity;	The standards reproduce the PEFC requirements.	Conforms
h) recreation and other socio-economic functions of the forest;	YES	9.3.3.1 h)	h) recreation and other socio-economic functions of the forest;	The standards reproduce the PEFC requirements.	Conforms
i) dependence of and interaction with local communities and indigenous people;	YES	9.3.3.1 i) "interaction with local communities, Ainu people or organizations of Ainu people"	i) interaction with local communities, Ainu people or organizations of Ainu people;	The standards reproduce the PEFC requirements.	Conforms

j) available resources for administration, operations, training and research;	YES	9.3.3.1 j)	j) available resources for administration, operations, training and research;	The standards reproduce the PEFC requirements.	Conforms
k) governance and law enforcement.	YES	9.3.3.1 k)	<p>k) governance and law enforcement.</p> <p><i>Note:</i> Determination of sample in case of surveillance audits and recertification audits, following points shall be considered.</p> <p>(a) Critical change in production process at sites</p> <p>(b) Change in certified area</p> <p>(c) Geographical distribution</p>	The standards reproduce the PEFC requirements.	Conforms
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	9.3.3.2 "Risks levels in risk assessment are divided into three levels of low, medium and high and the indicators shall be defined by classifying natural and social conditions of location of forest, and management and implementation system of group organizations."	9.3.3.2 Risks levels in risk assessment are divided into three levels of low, medium and high and the indicators shall be defined by classifying natural and social conditions of location of forest, and management and implementation system of group organizations.	The standards reproduce the PEFC requirements.	Conforms
9.3.4 Distribution of the sample The sample shall be distributed to the categories according to the result of the risk assessment.	YES	9.3.4	9.3.4 Distribution of the sample The sample shall be distributed to the categories according to the result of the risk assessment.	The standards reproduce the PEFC requirements.	Conforms
9.3.5 Selection of the participants					

9.3.5.1 At least 25% of the sample should be selected at random.	YES	9.3.5.1	9.3.5 Selection of the participants 9.3.5.1 At least 25% of the sample should be selected at random.	The standards reproduce the PEFC requirements.	Conforms
9.3.5.2 A risk-based procedure for the selection of the participants shall be specified.	YES	9.3.5.2	9.3.5.2 A risk-based procedure for the selection of the participants shall be specified.	The standards reproduce the PEFC requirements.	Conforms
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	9.4.1 a)	9.4.1 An annual management review shall at least include: a) the status of actions from previous management reviews;	The standards reproduce the PEFC requirements.	Conforms
b) changes in external and internal issues that are relevant to the group management system;	YES	9.4.1 b)	b) changes in external and internal issues that are relevant to the group management system;	The standards reproduce the PEFC requirements.	Conforms
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	9.4.1 c)	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;	The standards reproduce the PEFC requirements.	Conforms

d) information on the group performance, including trends in: i. nonconformities and corrective actions; ii. monitoring and measurement results; iii. audit results;	YES	9.4.1 d)	d) information on the group performance, including trends in: i. nonconformities and corrective actions; ii. monitoring and measurement results; iii. audit results;	The standards reproduce the PEFC requirements.	Conforms
e) opportunities for continual improvement.	YES	9.4.1 e)	e) opportunities for continual improvement.	The standards reproduce the PEFC requirements.	Conforms
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	9.4.2	9.4.2 The outputs of the management review shall include decisions related to continual improvement opportunities and any need for changes to the group management system.	The standards reproduce the PEFC requirements.	Conforms
9.4.3 The standard requires that the group organisation shall retain documented information as evidence of the results of management reviews.	YES	9.4.3	9.4.3 The standard requires that the group organization shall retain documented information as evidence of the results of management reviews.	The standards reproduce the PEFC requirements.	Conforms
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; ii. deal with the consequences;	YES	10.1.1 a)	10.1.1 When a nonconformity occurs, the group organization shall: a) react to the nonconformity and, as applicable: i. take action to control and	The standards reproduce the PEFC requirements.	Conforms

			correct it; 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	10.1.1 b)	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;	The standards reproduce the PEFC requirements.	Conforms
c) implement any action needed;	YES	10.1.1 c)	c) implement any action needed;	The standards reproduce the PEFC requirements.	Conforms
d) review the effectiveness of any corrective action taken;	YES	10.1.1 d)	d) review the effectiveness of any corrective action taken according to a) and b) above;	The standards reproduce the PEFC requirements.	Conforms
e) make changes to the group management system, if necessary.	YES	10.1.1 e)	e) make changes to the group management system, if necessary.	The standards reproduce the PEFC requirements.	Conforms
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	10.1.2 a)	10.1.2 The group organization shall retain documented information as evidence of: a) the nature of the nonconformities and any subsequent actions taken;	The standards reproduce the PEFC requirements.	Conforms

b) the results of any corrective action.	YES	10.1.2	b) the results of any corrective action.	The standards reproduce the PEFC requirements.	Conforms
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	10.1.3	10.1.3 A participant who was excluded from a group certification by a corrective action 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.	The standards reproduce the PEFC requirements.	Conforms
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	10.2	10.2 Continual improvement The suitability, adequacy and effectiveness of the group management system and the sustainable management of the forest shall be continuously improved.	The standards reproduce the PEFC requirements.	Conforms

PART III: STANDARD AND SYSTEM REQUIREMENT CHECKLIST FOR SUSTAINABLE FOREST MANAGEMENT (PEFC ST 1003:2018)

PEFC benchmark requirement	Y/N*	Reference to system documentation	Quotation of relevant text	Additional Appendix 3 text (unless otherwise specified)	Decision
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:					
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; Note: An example of a situation where a requirement can be defined as being at another level (e.g. group/regional) is monitoring of forest health. Through monitoring of forest health at regional level, and communicating of results at the FMU level, the objective of the requirement is met without the necessity to carry out the individual monitoring of each forest management unit.	YES	SGEC Standard Document 3 4.1 a)		Management and performance requirements are elaborated in SGEC Document 3 Appendix 1, Operational Guidelines. The identification of applicable area and associated requirements is stipulated at 0.3 and 0.3.1. Management and performance requirements are stipulated in Appendix 1 under the following Criteria 1. Maintenance or appropriate enhancement of forest resources and their contribution to the prevention of global warming (global carbon cycle) 2. Maintenance of health and vitality of forest ecosystem 3. Maintenance and Enhancement of Production Function of Forests (Wood and non-wood forest products)	Conforms

				<p>4. Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems</p> <p>5. Maintenance or appropriate enhancement of protective functions in forest management (notably soil and water)</p> <p>6. Maintenance or appropriate enhancement of socio-economic functions and conditions</p> <p>7. Performance evaluation and improvement by monitoring</p>	
b) be clear, performance based and auditable;	YES	4.1 b)		The management and performance requirements are auditable; they do not differ significantly from the requirements of the previous version of the standard.	Conforms
c) apply to activities of all forest operators in the defined forest area who have an impact on achieving compliance with the requirements;	YES	4.1 c) and 1.Scope	This standard is comprised of requirements for SGEC sustainable forest management (SGEC forest management certification standard) covering forests, their products and services in Japan. The requirements of this standard apply to forest owners or managers, as well as contractors and other operators operating in SGEC certified areas. They cover all necessary processes of a management system that aims at sustainable forest management.	The standard applies to activities of all forest operators in a defined area.	Conforms

<p>d) require record-keeping that provides evidence of compliance with the requirements of the forest management standards;</p>	<p>YES</p>	<p>4.1 d) and 0.4.1</p>	<p>records of implementation of forest management practices shall be confirmed on site and kept as the records verifying the conformity with this standard.</p>	<p>The standard meets the requirements.</p>	<p>Conforms</p>
<p>e) specify “100% PEFC certified”, or another system 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; 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.</p>	<p>YES</p>	<p>4.1 e)</p>	<p>specify “100% SGEC origin” as claim to be used to communicate the origin of products in an area covered by the SGEC forest management certification standard to customers with a SGEC or PEFC chain of custody;</p>	<p>The standard meets the requirements.</p>	<p>Conforms</p>
<p>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 system specific claim;</p>	<p>YES</p>	<p>4.1 f)</p>	<p>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% SGEC certified”;</p>	<p>The standard meets the requirements.</p>	<p>Conforms</p>
<p>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</p>	<p>YES</p>	<p>4.1 g)</p>	<p>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</p>	<p>The standard meets the requirements.</p>	<p>Conforms</p>

a PEFC recognised certificate issued against the standard;			SGEC certificate issued against the standard;		
h) specify requirements concerning the information which need to be provided to a PEFC chain of custody certified customer;	YES	4.1 h)	specify requirements concerning the information which need to be provided to a SGEC chain of custody certified customer;	The standard meets the requirements.	Conforms
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	4.1 i)	clearly show the outline of Japanese laws applicable instead of international conventions, etc. in case the content of such international conventions is not reflected in the SGEC requirements because they are not-ratified or by other reasons.	An overview is included at “2. International conventions, domestic laws and other documents related to SGEC/PEFC.” The benchmark requirements are also reflected at 6.1.1.	Conforms
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	4.2 a)	4.2 Understanding the needs and expectations of affected stakeholders The organization shall determine: a) the affected stakeholders that are relevant to the sustainable forest management;	Definitions for affected stakeholders are determined at 3.1.	Conforms
b) the relevant needs and expectations of these stakeholders.	YES	4.2 b)	b) the relevant needs and expectations of these stakeholders	Application is also elaborated at 6.2.5 in terms of management requiring procedures to “identify the stakeholders by using appropriate information, provide explanation to those stakeholders who are potentially affected by the forest management, hear their views on the	Conforms

				matters related to forest management and make consultation when necessary.”	
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	4.3.1	4.3 Determining the scope of the sustainable management system 4.3.1 The organization shall determine the boundaries and applicability of the management system to establish its scope.	In application, see Appendix 1. 0. Identification of the forest areas which are subject to the certification, the responsible entity of the forest management and management policies 0.3 “The location of the forest concerned shall be clearly identified on-site and in the documents.” 0.3.1 “More specifically, map of 1:5,000 or similar scale, in which location of forest concerned is identified by a lot number, is provided at any time and the sites randomly selected from the map shall be identified on-site.” This is also incorporated into management planning at 6.2.7 “Forest management plans shall be appropriate to the scope and scale of forest management.”	Conforms
4.3.2 The standard requires that forest management shall comprise the cycle of inventory and planning, implementation, monitoring and evaluation, and shall include an appropriate assessment of the social, environmental and economic impacts of forest management	YES	4.3.2	4.3.2 Forest management shall comprise the cycle of inventory and planning, implementation, monitoring and evaluation, and shall include an appropriate assessment of the social, environmental and economic impacts of forest management	In application, inventory and mapping requirements are stipulated at 6.1.2, within 6. (Planning). See also requirements at Appendix 2.1 : Forest manager shall assess the economic, social and ecological impact, taking account of the development process of forest	Conforms

practices. This shall form a basis for a cycle of continuous improvement.			practices. This shall form a basis for a cycle of continuous improvement.	management planning, forest inventory data, the implementation of the plan and the result of monitoring, build up a cycle of sustainable improvement of forest management and establish an appropriate operational structure for implementation.	
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	5.1. 1)	5.1 The organization shall provide a commitment: 1) to comply with and implement the SGEC sustainable forest management standard and other applicable requirements of the certification scheme;	In application, see Appendix 0.4 “A forest management plan shall be formulated according to this standard as 5 year plan (including 10 year plan which is established in every 5 years) which clearly describes target and policies on “green ecosystem” , and commitment to long-term compliance with the forest management stipulated in the plan concerned shall be guaranteed by the top management.”	Conforms
b) to continuously improve the sustainable forest management system.	YES	5.1. 2)	2) to continuously improve the sustainable forest management system.	The commitment to improvement is implied in the reference above, as it forms part of the forest management plan.	Conforms
5.2 The standard requires that this commitment shall be publicly available.	YES	5.2.	5.2 This commitment shall be publicly available.	In application, the availability of the management plan therefore indicates this to be the case. See “6.2.7 Forest management plans shall be appropriate to the scope and scale of forest management. Summaries of the plans shall be publicly available	Conforms

				and shall include information on the general objectives and forest management principles.”	
5.3 The standard requires that responsibilities for sustainable forest management shall be clearly defined and assigned.	YES	5.3	5.3 Responsibilities for sustainable forest management shall be clearly defined and assigned.	<p>This is underlined in principle at Appendix 1</p> <p>0.5.1 Management system and its operational organization required for implementation of the forest management plan shall be well arranged, and responsibility and authority of respective person in charge shall be clear.</p> <p>1. Scope: “The requirements of this standard apply to forest owners or managers, as well as contractors and other operators operating in SGEC certified areas. They cover all necessary processes of a management system that aims at sustainable forest management.</p> <p>When a forest owner or an entity practicing forest management based on the commission from a forest owner (hereinafter referred as “forest manager”) formulate the forest management plan in order to apply for individual forest management certification, the plan, in principle, should cover the area of all the owned or managed forests.”</p>	Conforms
6. Planning					
6.1 Actions to address risks and opportunities					

<p>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.</p>	<p>YES</p>	<p>6.1.1.</p>	<p>The organization shall consider risks and opportunities concerning compliance with the requirements for sustainable forest management. Size and scale of the forestry operations of the organization shall be considered.</p>	<p>In application, planning requirements include the following: 6.2.5 Forest management plans shall specify ways and means to minimize the risk of degradation and damage to forest ecosystems. 6.2.7 Forest management plans shall be appropriate to the scope and scale of forest management. Within the internal audit processes: 9.3.1 An annual management review shall at least include d) opportunities for continual improvement. 9.3.2 The outputs of the management review shall include decisions related to continual improvement opportunities and any need for changes to the maagement system.</p>	<p>Conforms</p>
<p>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.</p>	<p>YES</p>	<p>6.1.2</p>	<p>Inventory and mapping of forest resources shall be established and maintained, adequate to local conditions and in correspondence with the requirements described in the standard.</p>	<p>0.2 Forest inventory registry documents, in which location wise area of forest concerned, distinction of man-made forest and natural forest, species composition or forest types, age and growing stock according to species composition or forest types are available, shall be provided at any time. 0.2.1 More specifically, forest registry or forest inventory registry or other equivalent registry documents on the forest concerned are provided at any time, and these documents shall be</p>	<p>Conforms</p>

				updated by implementing five year cycled forest inventory.	
6.2 Management plan					
6.2.1 The standard requires that management plans shall be:					
a) elaborated and periodically updated or continually adjusted;	YES	6.2.1 1)	6.2.1 Forest management plans shall be: 1) elaborated and periodically updated or continually adjusted;	In application, this is clarified in Appendix 1 0.4 A forest management plan shall be formulated according to this standard as 5 year plan (including 10 year plan which is established in every 5 years) which clearly describes target and policies on “green ecosystem” , and commitment to long-term compliance with the forest management stipulated in the plan concerned shall be guaranteed by the top management.	Conforms
b) appropriate to the size and use of the forest area;	YES	6.2.1 2)	2) appropriate to the size and use of the forest area;	In application, see Appendix 1 0.4.2 The basic policies of forest management mentioned above shall identify management purpose of each forest in compliance with this standard and explicitly show targeted forest structure depending on characteristics of the forest concerned for fulfilling the purpose in a consistent manner.	Conforms
c) based on applicable local, national and international legislation as well as existing land-use or other official plans; and	YES	6.2.1 3)	3) based on applicable local, national and international legislation as well as existing forest-use or other official plans;	In application, see Appendix 1 0.4.1. <i>Note:</i> With respect to relationship between the forest management plan and the forest planning system, the forest management plan needs to be in conformity with SGEC Standard	Conforms

				<p>“Sustainable Forest Management – Requirements” with the precondition of compliance with the regional forest plan defined in Article 5 of Forest act (the regional national forest plan defined in Article 7-2 in case of national forest) and the municipal forest development plan defined in Article 10-5 of Forest act.</p>	
d) adequately covering forest resources.	YES	6.2.1 4)	4) adequately covering forest resources.	<p>In application, see Appendix 1 0.3 The location of the forest concerned shall be clearly identified on-site and in the documents.</p> <p>0.3.1 More specifically, map of 1:5,000 or similar scale, in which location of forest concerned is identified by a lot number, is provided at any time and the sites randomly selected from the map shall be identified on-site.</p>	Conforms
6.2.2 The standard requires that management plans shall take into account the different uses or functions of the managed forest area.	YES	6.2.2	6.2.2 Forest management plans shall take into account the different uses or functions of the managed forest area.	<p>In application see Appendix 1 2.1.1. “2.1.1 Forest management plan shall be elaborated and implemented in a way that recognizes, maintains and promotes the importance of multiple values of the forest concerned.”</p>	
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	6.2.3	Forest management plans shall include at least a description of the forest management unit, long-term objectives, and the average annual allowable cut, including its justification.	<p>Management plans are further defined at 3.14: 3.14 Management plan with respect forest (hereinafter referred as “forest management plan”) Documented information specifying objectives, actions and control</p>	Conforms

				arrangements concerning the management of ecosystem resources and services for a set period of time.	
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	6.2.4.	6.2.4 The annually allowable use of non-wood forest products shall be included in the forest 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.	The standard reproduces the PEFC requirement.	Conforms
6.2.5 The standard requires that management plans specify ways and means to minimise the risk of degradation and damage to forest ecosystems.	YES	6.2.5.	6.2.5 Forest management plans shall specify ways and means to minimize the risk of degradation and damage to forest ecosystems.	The standard reproduces the PEFC requirement.	Conforms
6.2.6 The standard requires that management plans shall take into account the results of scientific research.	YES	6.2.6.	6.2.6 Forest management plans shall take into account the results of scientific research.	The standard reproduces the PEFC requirement.	Conforms
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	6.2.7.	6.2.7 Forest management plans shall be appropriate to the scope and scale of forest management. Summaries of the plans shall be publicly available and shall include information on the general objectives and forest management principles.	In application, see: 7.2 Forest management plan and its monitoring results shall be confidential in general; however, the summary information shall be open to the public in principle. Various kinds of information related to the managed forests shall be kept as much as possible, and various data related to the forest concerned shall be recorded and kept as much as possible. In case of forest operations conducted, category-wise, fiscal year-	Conforms

				<p>wise and site-wise operational record shall be kept.</p> <p>Collaborative monitoring system shall be established with the local governments, if they conduct the indicator species monitoring for estimating holistic biological diversity in the region.</p>	
<p>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.</p>	YES	6.2.8.	<p>6.2.8 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.</p>	<p>This is further elaborated at: 7.2.1 Documents defining the method of publicizing the forest management plan, its operation record and check list for biological diversity (including the venue, the perusal method and procedures) shall exist or be planned to be formulated. However, such documents shall not be open to be public as personal information, secret documents stipulated in relevant acts and regulation, and secret information linked with natural environmental conservation.</p>	Conforms
6.3 Compliance requirements					
6.3.1 Legal compliance					
<p>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. Note: For a country which has signed a FLEGT Voluntary</p>	YES	6.3.1.1	<p>6.3.1.1 The organization shall identify and have access to the legislation applicable to its forest management and determine how these compliance obligations apply to the organization.</p>	<p>The standard reproduces the PEFC requirements.</p>	Conforms

<p>Partnership Agreement (VPA) between the European Union and the producing country, the "legislation applicable to forest management" is defined by the VPA agreement.</p>					
<p>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.</p>	<p>YES</p>	<p>6.3.1.2</p>	<p>6.3.1.2 The organization shall comply with applicable laws and regulations as well as 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.</p>	<p>This is further stipulated in Appendix 1: 6.1 All domestic acts and international conventions (including UN declarations and international customary laws) ratified by Japanese government shall be complied with. International conventions, etc. which are not ratified or agreed by Japanese government shall be respected and Japanese domestic laws including customary laws with respect to the related fields of these conventions shall be applied and followed.</p> <p>6.1.1 Laws and regulations related forest management including those with respect to implementation of forest management; protection and conservation of forest ecosystem; tenure rights on land and forest; issues of health, labor and safety; and tax system.</p> <p>6.1.2 All acts relevant to forest management shall be ready to refer and the documents and records justifying law compliance shall be available</p>	<p>Conforms</p>

<p>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.</p>	<p>YES</p>	<p>PEFC 6.3.1.3 and 6.3.1.4 integrated into one following paragraph SGE C 6.3.1.3</p>	<p>“6.3.1.3 The organization shall take measures to protect the forest from unauthorized activities such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities.”</p>		<p>Conforms</p>
<p>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.</p>	<p>YES</p>	<p>As mentioned above</p>	<p>6.3.1.3 The organization shall take measures to protect the forest from unauthorized activities such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities.”</p>	<p>The standard reproduces the PEFC requirement.</p>	<p>Conforms</p>
<p>6.3.2 Legal, customary and traditional rights related to the forest land</p>					
<p>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.</p>	<p>YES</p>	<p>6.3.2.1</p>	<p>6.3.2.1 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, recognized 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.</p>	<p>This is further elaborated at Appendix 1 6.2.1 6.2.1 Existence of common rights and fishing rights or other customary rights in the forest (“forests for community use” in national forests) applied for certification shall be clarified and its status in the forest management plan shall be available. 6.2.2 When the common rights recognized, users’ right and benefits shall be properly secured in the forest management plan based upon the status of use.</p>	<p>Conforms</p>
<p>6.3.2.2 The standard requires that forest practices and operations</p>	<p>YES</p>	<p>6.3.2.2.</p>	<p>6.3.2.2 Forest practices and operations shall be conducted in</p>	<p>The standard reproduces the PEFC requirement.</p>	<p>Conforms</p>

<p>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.</p>			<p>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.</p> <p>With respect to the recognition of the established framework of the above, international laws such as International Convention on the Elimination of All Forms of Racial Discrimination and International Covenants on Human Rights – International Covenant of Civil and Political Rights; domestic laws and regulations such as Ainu Policy Promotion Act”, as well as FPIC for Ainu people, shall be observed.</p>		
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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	6.3.2.3	6.3.2.3 Forest practices and operations implemented by the organization shall respect human rights as defined by the Universal Declaration on Human Rights.	The standard reproduces the PEFC requirement.	Conforms
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	6.3.3.1	6.3.3.1 Forest practices and operations shall comply with fundamental ILO conventions. <i>Note:</i> This section 6.3.3.1 is applied to ILO conventions ratified by Japan. ILO fundamental conventions not ratified by Japan shall be respected and the relating domestic laws and regulations shall be observed.	This is elaborated at 6.4.1 Entities implementing practices relating to certified forests shall comply with the fundamental ILO conventions ratified by the Japanese government, Article 3 and Article 5 of Labor Standards Act related to ILO No. 105 and No. 111, both of which are not ratified by Japan, as well as other relevant domestic acts and shall enroll social security system such as employee’s unemployment insurance, health insurance, pension insurance and retirement allowance mutual fund. The entities shall try to let the employees, who do not legally satisfy the requirements, enroll such systems. Status of social security enrollment in contractor’s employee shall be reported.	Conforms
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	YES	6.3.4.1	6.3.4.1 Forest operations shall be planned, organized 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	This is further elaborated at 6.5 Necessary training and guidance of employees and contractors on work safety shall be conducted in order to establish safe working environment.	Conforms

<p>applied to protect workers from work-related risks. Workers shall be informed about the risks involved with their work and about preventive measures.</p>			<p>work-related risks. Workers shall be informed about the risks involved with their work and about preventive measures.</p>	<p>6.5.1 Work safety manuals and guidance, its check sheet, its daily report, risk assessment report and record of accident while at work shall be provided to employees and contractors. Work safety training, self-daily work safety check, risk assessment, work safety inspection and work safety and health training shall be conducted.</p>	
<p>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.</p>	<p>YES</p>	<p>6.3.4.2.</p>	<p>6.3.4.2 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.</p>	<p>See 6.5 above and 6.5.2 Employer shall have institutional safety and health management structure based upon Labor Safe and Health Act and associated rules and regulations.</p>	<p>Conforms</p>

<p>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.</p> <p>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.</p>	<p>YES</p>	<p>6.3.4.3.</p>	<p>6.3.4.3 Wages of local and migrant forest workers as well as of contractors and other operators operating in SGEC-certified areas shall meet or exceed at least legal, local minimum standards or, where applicable, collective bargaining agreements.</p>	<p>The standard reproduces the PEFC requirement.</p>	<p>Conforms</p>
<p>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.</p>	<p>YES</p>	<p>6.3.4.4.</p>	<p>6.3.4.4 The organization is committed to equal opportunities, non-discrimination and freedom from workplace harassment. Gender equality shall be promoted.</p>	<p>The standard reproduces the PEFC requirement.</p>	<p>Conforms</p>
<p>7. Support</p>					
<p>7.1 Resources</p>					
<p>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.</p>	<p>YES</p>	<p>7.1.1.</p>	<p>7.1.1 The organization shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the sustainable forest management system.</p>	<p>Elaborated at Appendix 1: 0.5 Management and administration system which enables forest management in line with forest management plan shall be maintained. 0.5.1 Management system and its operational organization required for implementation of the forest</p>	<p>Conforms</p>

				<p>management plan shall be well arranged, and responsibility and authority of respective person in charge shall be clear.</p> <p>0.5.2 Forest owners and managers shall try to improve the content of management of the forest concerned continuously.</p>	
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	7.2.1	<p>7.2.1 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 the management planning and practices.</p>	<p>Elaborated at Appendix 1 6.3 Employees and contractors shall be properly trained and guided on biological diversity in the course of management plan implementation.</p> <p>6.3.1 Training and guiding texts on work safety and biological diversity shall be available and employees and contractors training shall be conducted.</p> <p>6.4.2 Employees' skill up training and guidance policy for log processing, forest management, forest inventory, field supervising, management planning and sales shall be available and such training shall be conducted.</p>	Conforms
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	YES	7.3.1.	<p>7.3.1 Effective communication and consultation with local communities, indigenous peoples and other stakeholders relating to sustainable forest management shall be provided.</p>	<p>Elaborated at 6.2.5 Forest manager shall procedures to identify the stakeholders by using appropriate information, provide explanation to those stakeholders who are potentially affected by the forest management, hear their views on the</p>	Conforms

<p>forest management shall be provided.</p>				<p>matters related to forest management and make consultation when necessary. If necessary, forest manager shall also hear from the municipal office concerned the process of discussions by experts who review the municipal forest management plan.</p> <p>In the course of developing forest management plan, forest manager shall make the best use of local forest-related experience and knowledge, such as those of local communities, forest owners, NGOs and local people.</p>	
<p>7.4 Complaints</p>					
<p>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.</p>	<p>YES</p>	<p>7.4.1.</p>	<p>7.4.1 The organization shall have appropriate mechanisms for resolving complaints and disputes relating to forest management operations, land use rights and work conditions.</p>	<p>Also noted at Appendix 1 6.1.4 Forest manager shall set up opportunities for hearing the opinions of local people or regarding gender equalities, etc. and define the procedure for resolving complaints and disputes from them in relation to forest management.</p>	<p>Conforms</p>
<p>7.5 Documented Information</p>					
<p>7.5.1 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.</p>	<p>YES</p>	<p>7.5.1</p>	<p>7.5.1 The organization's management system shall include documented information required by the standard and determined by the organization as being necessary for the effectiveness of the sustainable forest management system.</p>	<p>Also noted at Appendix 1 0.4.1 Documents of the forest management plan shall be available any time and the implementation of forest management practices according to the plan shall be verified on site. Especially, basic policies on forest management shall be confirmed as</p>	<p>Conforms</p>

				long-term policies on forest management practices and verified on site. T records of implementation of forest management practices shall be confirmed on site and kept as the records verifying the conformity with this standard.	
7.5.2 The standard requires that the documented information is relevant, and updated as appropriate, to the activities of the organisation.	YES	7.5.2	7.5.2 The documented information is relevant, and updated as appropriate, to the activities of the organization.	See above	Conforms
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	8.1.1.	8.1.1 Forest 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.	This is elaborated at Appendix 1 1.3 Forests which require forest management to enhance ecosystem services such as regulating services, cultural services and supporting services as well as provisioning services (Terms and definitions 3.6) shall be treated adequately for such purposes. 3.1 The production function of forests to produce wood and non-wood forest products as well as ecosystem services shall be maintained in the sustainable level, and cycling utilization of forest resources shall be promoted. 3.1.1 Benefits obtained from ecosystems such as regulating services, cultural services,	Conforms

				supporting services as well as provisioning services shall be capitalized on in accordance with local conditions of forest and surrounding area in a way contributing to cycling utilization of forest resources and vitalizing local societies.	
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	8.1.2	8.1.2 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 minimize adverse impacts on forest resources.	Elaborated at Appendix 1 1.2 Management, tending and use of forest shall be contributed to mitigation of climate change as a sink of carbon against the global warming. 1.2.1 Improvement of carbon sequestration capacity shall be aimed through appropriate forest treatment for increase carbon sequestration capacity or at least avoid decreasing the capacity and effective use of forest residues and thinned logs.	Conforms
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	8.1.3.	8.1.3 Climate positive practices in management operations, such as greenhouse gas emission reductions and efficient use of resources shall be encouraged.	Further elaborated at Appendix 1 1.2.2 Use of fossil fuels shall be minimized as possible in forest management and tending operations.	Conforms
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	YES	8.1.4 a)	8.1.4 Conversion of forest land use shall not occur unless in justified circumstances where the conversion:	Elaborated at Appendix 1 1.1.3 Conversion of forest to other land use related to forest infrastructures shall be properly conducted in accordance with relevant acts and regulations	Conforms

<p>planning governed by a governmental or other official authority including consultation with affected stakeholders; and</p>			<p>a) is in compliance with national and other policy and legislation applicable for land use and forest management and is a result of land-use planning governed by the national government or other official authority including consultation with affected stakeholders; and</p>	<p>within minimum impact associated with sustainable management of the forest related.</p>	
<p>b) entails a small proportion (no greater than 5 %) of forest type within the certified area; and</p>	<p>YES</p>	<p>8.1.4 b)</p>	<p>b) entails a small proportion (details are stipulated in Attachment 1 4.1.3, 4.1.4, 4.1.5) of forest within the certified area; and</p>	<p>Detailed further at 4.1.3 Conversion of primary forest to man-made forest shall not occur unless, in 86 principle, in a small area within the limit of 1% of the primary forest and in justifiable conditions such as follows: a) The impact of conversion deems to be negligible in light of fundamental management principles on maintenance, improvement and other aspects of diversity of ecosystem, species and gene, as defined in this standard. b) Conversion does not violate the regional forest plan, municipal forest development plan and relevant acts and legislations related to the conservation of ecosystem such as Nature Conservation Act and Natural Parks Act. 4.1.4 With regard to conversion of forest to other types of land use, the conversion shall be undertaken within, in principle, the limit of 1% of the certified forest area (or the limit of</p>	<p>Conforms</p>

				<p>5ha in case that the certified forest area is less than 500ha) in an appropriate manner based upon, in addition to the previous clause: section 8.4 Criterion 4 of this standard "Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems"; and section 8.6 Criterion 6 of this standard "Maintenance or appropriate enhancement of socio-economic functions and conditions"; and clauses on protection forests, forest planning system, forest land conversion permission system in Forest Act, other related laws and regulations such as Nature Conservation Act and Natural Parks Act. Forest conversion also shall make a contribution to long-term conservation, economic, and social benefits.</p> <p>4.1.5 Those man-made forests which does not have justifiable reasons for conversion after 31 December 2010 shall be treated as disqualified forests which failed to meet the requirements stipulated in this document.</p>	
<p>c) does not have negative impacts on ecologically important forest areas, culturally and socially significant areas, or other protected areas; and</p>	<p>YES</p>	<p>8.1.4 c)</p>	<p>c) does not have negative impacts on ecologically important forest areas, culturally and socially significant areas, or other protected areas; and</p>	<p>See above</p>	<p>Conforms</p>

d) does not destroy areas of significantly high carbon stock; and	YES	8.1.4 d)	d) does not destroy areas of significantly high carbon stock; and	See above	Conforms
e) makes a contribution to long-term conservation, economic, and social benefits.	YES	8.1.4 e)	e) makes a contribution to long-term conservation, economic, and social benefits.	4.1.6 Conversion of abandoned agriculture lands back to forests shall be taken into consideration if such conversion may lead to increase in economic, environmental or cultural values.	Conforms
8.1.5 The standard requires that afforestation of ecologically important non-forest ecosystems shall not occur unless in justified circumstances where the conversion:					Conforms
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	8.1.5 a)	8.1.5 Afforestation of ecologically important non-forest ecosystems shall not occur unless in justified circumstances where the conversion: a) is in compliance with national and other policy and legislation applicable for land use and forest management as well as international conventions, etc. and is a result of land-use planning governed by the national government or other official authority; and	The standard reproduces the PEFC requirement.	Conforms
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	YES	8.1.5 b)	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	The standard reproduces the PEFC requirement.	Conforms

c) does not have negative impacts on threatened (including vulnerable, rare or endangered) nonforest ecosystems, culturally and socially significant areas, important habitats of threatened species or other protected areas; and	YES	8.1.5 c)	c) does not have negative impacts on threatened (including vulnerable, rare or endangered) non-forest ecosystems, culturally and socially significant areas, important habitats of threatened species or other protected areas; and	The standard reproduces the PEFC requirement.	Conforms
d) entails a small proportion of the ecologically important non- forest ecosystem managed by an organisation; and	YES	8.1.5 d)	d) entails a small proportion of the ecologically important non-forest ecosystem managed by an organization; and	The standard reproduces the PEFC requirement.	Conforms
e) does not destroy areas of significantly high carbon stock; and	YES	8.1.5 e)	e) does not destroy areas of significantly high carbon stock; and	The standard reproduces the PEFC requirement.	Conforms
f) makes a contribution to long-term conservation, economic, and social benefits.	YES	8.1.5 f)	f) makes a contribution to long-term conservation, economic, and social benefits	The standard reproduces the PEFC requirement.	Conforms
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:	NO	8.1.6 of PEFC ST 1003 :2018 is not applied 8.1.6 of SGEC ST 3 : Criterion with respect to forest plantation described in PEFC ST 1003:2018 is not applied to “man-made forests mainly composed of domestic species” in Japan in this standard.“		The requirement here is not applicable, as the standard cannot be applied to any “man made” forest areas.	
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	NO			The requirement here is not applicable, as the standard cannot be applied to any “man made” forest areas.	

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	NO			The requirement here is not applicable, as the standard cannot be applied to any “man made” forest areas.	
c) has a positive impact on long-term carbon sequestration capacity of forest vegetation; and	NO			The requirement here is not applicable, as the standard cannot be applied to any “man made” forest areas.	
d) does not have negative impacts on ecologically important forest areas, culturally and socially significant areas, or other protected areas; and	NO			The requirement here is not applicable, as the standard cannot be applied to any “man made” forest areas.	
e) safeguards protective functions of forests for society and other regulating or supporting ecosystem services; and	NO			The requirement here is not applicable, as the standard cannot be applied to any “man made” forest areas.	
f) safeguards socio-economic functions of forests, including the recreational function and aesthetic values of forests and other cultural services; and	NO			The requirement here is not applicable, as the standard cannot be applied to any “man made” forest areas.	
g) has a land history providing evidence that the degradation is not the consequence of deliberate poor forest management practices; and	NO			The requirement here is not applicable, as the standard cannot be applied to any “man made” forest areas.	
h) is based on credible evidence demonstrating that the area is	NO			The requirement here is not applicable, as the standard cannot be	

neither recovered nor in the process of recovery.				applied to any “man made” forest areas.	
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	8.2.1	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.	<p>This is further elaborated at Criterion 2 “Maintenance of health and vitality of forest ecosystem” covers implementation of this requirement. The most specific are as follows:</p> <p>2.1.2 As to planning and implementation of forest management plan, biological precaution measures associated with natural site conditions shall be fully utilized from the context of maintenance and enhancement of forest soundness and vitality. As to implementation of forest management, in particular, logging method, regeneration method and regeneration species (including resistant bred seedlings against biotic and abiotic damages) associated with soils, climate and other conditions of the site shall be selected in a way harmonizing natural environment and enhancing resilience of the forest of the site.</p> <p>2.4.3 If natural ecosystem targeted to maintain and conserve is destroyed or degraded in primary forest and similar natural forest, restoration measures based upon the use of natural recovery power shall be taken.</p>	Conforms

<p>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.</p>	<p>YES</p>	<p>8.2.2</p>		<p>2.1.2 As to planning and implementation of forest management plan, biological precaution measures associated with natural site conditions shall be fully utilized from the context of maintenance and enhancement of forest soundness and vitality. As to implementation of forest management, in particular, logging method, regeneration method and regeneration species (including resistant bred seedlings against biotic and abiotic damages) associated with soils, climate and other conditions of the site shall be selected in a way harmonizing natural environment and enhancing resilience of the forest of the site.</p> <p>2.2.1 Technical manuals for harvesting methods, age and ratio shall be developed with due consideration of conservation of soil and water, biological diversity as well as landscape conservation. Non-clear cut operation shall be conducted wherever possible and hard wood species shall be retained in soft wood species dominant forests in erosion-prone areas. Depending on the site condition, introduction of multi-storied forest or operational method with due consideration of ecosystem shall also be considered.</p>	
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<p>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.</p>	<p>YES</p>	<p>8.2.3</p>	<p>8.2.3 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.</p>	<p>In application, see: 2.8 Prevention and remedial measures against forest fire and severe weather disaster shall be prepared. In case of use of fire, lighting of fires in forest shall only be conducted with permission and conditions by the head of the municipal government related.</p>	<p>Conforms</p>
<p>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.</p>	<p>YES</p>	<p>8.2.4</p>	<p>8.2.4 Appropriate forest management practices such as reforestation and afforestation (artificial regeneration, natural regeneration) with tree species and provenances that are indigenous or suited to the site conditions, or the use of tending, harvesting and transport techniques that minimize tree and/or soil damages shall be applied.</p>	<p>In application, see: 2.3 Regeneration after harvesting shall be carried out in compliance with related laws and regulations. Site specific suitable species shall be planted in artificial regeneration based upon the record of silvicultural operations in the past. <i>Note:</i> Regeneration periods of planting of man-made forests are determined in the designated conditions of protection forest management stipulated in the Cabinet Order of Forest Act so that “planting shall be implemented within 2 years starting from the first day of the subsequent fiscal year of the last day of the harvesting operation”. Regarding forests outside protection forests, regeneration periods are determined by “Notice No.851 of Ministry of Agriculture and Forestry in July 1, 1962” so that planting of man-made forest shall be implemented within 2 years starting from the first</p>	<p>Conforms</p>

				<p>day of the subsequent fiscal year of the last day of the harvesting operation, and natural regeneration shall be implemented within 5 years starting from the first day of the subsequent fiscal year of the last day of the harvesting operation”.</p> <p>5.3.2 As to method and season of logging, skidding and log transporting, measures for protection of forest floor surface and prevention of water pollution shall be carefully taken in accordance with technical manuals appropriately made by the environmentally friendly methods reflecting the site conditions such as geographical features, soil and vegetation.</p>	
<p>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.</p>	<p>YES</p>	<p>8.2.5.</p>	<p>8.2.5 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 minimization of risk of environmental harm arising from the accidental spillage shall be in place.</p>	<p>In application, see: 5.4 Measures shall be taken to avoid spillage of chemical materials such as fuel and oil for machinery or other contaminant as well as agricultural chemical into basin system. Conservation of inland freshwater ecosystems, marine ecosystems and their services as well as human health and terrestrial ecosystems shall be pursued.</p> <p>5.4.1 Measures shall be taken to avoid soil or water pollution based upon the manuals in which storage place, storage method and usage rules of fuel, oil and other chemicals are regulated. Leakage and</p>	<p>Conforms</p>

				unregulated dumping of oil during forest management operation shall be strictly avoided in accordance with the manuals. Non-organic waste shall be collected and stored in designated area with environmentally sound method.	
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	8.2.6.	8.2.6 Integrated pest management, appropriate silviculture alternatives and other biological measures shall be preferred to minimize the use of pesticides.	In application, see: 2.7 Appropriate prevention measures against pests, disease and animal damage shall be taken. The use of chemicals such as pesticides shall comply with the laws and regulations and shall limit minimum level.	Conforms
8.2.7 The standard requires that any use of pesticides is documented.	YES	8.2.7	8.2.7 Manuals of any use of pesticides shall be documented.		Conforms
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	8.2.8.	8.2.8 The WHO Class 1A and 1B pesticides and other highly toxic pesticides shall be prohibited, except where no other viable alternative is available. Exception to the usage of WHO Class 1A and 1B pesticides is defined in Appendix 4 of this standard.	In application, see: 2.7.3 The use of forestry chemicals (including herbicide) shall be minimized. When used, a control manual shall be established in compliance with the Agricultural Chemicals Regulation Act and other relevant regulations, and the chemicals shall be used in accordance with the manual. Notwithstanding the above, the “WHO Type 1A and 1B” pesticides shall be prohibited, except where no other viable alternative is available. In this respect, the chemicals to which alternatives do not exist are defined and listed in Appendix 4 of this	Conforms

				document as the chemicals exceptionally allowed.	
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	8.2.9	8.2.9 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. <i>Note:</i> "Pesticides banned by international agreements" are defined in the Stockholm Convention on Persistent Organic Pollutants.	The standard reproduces the PEFC requirements.	Conforms
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	8.2.10	8.2.10 The use of pesticides shall follow the instructions given by the pesticide producer and be implemented with proper equipment by trained personnel.	The standard reproduces the PEFC requirements.	Conforms
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	8.2.11	8.2.11 Where fertilizers 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.	In application see: 5.4.2 In case of fertilizer use, it shall be applied in controlled manner and with ample consideration of the environment.	Conforms
8.3 Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood)					

<p>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.</p>	<p>YES</p>	<p>8.3.1</p>	<p>8.3.1 The capability of forests to produce a range of wood and non-wood forest products and services on a sustainable basis shall be maintained.</p>	<p>In application see also: 3.1 The production function of forests to produce wood and non-wood forest products as well as ecosystem services shall be maintained in the sustainable level, and cycling utilization of forest resources shall be promoted. 3.2.1 Level of harvest of wood and non-wood forest products shall not exceed the log-term sustainable level. Forest products harvested shall be effectively utilized as they are precious resources.</p>	<p>Conforms</p>
<p>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.</p>	<p>YES</p>	<p>8.3.2</p>	<p>8.3.2 Sound economic performance shall be pursued, taking into account possibilities for markets and economic activities in connection with all relevant goods and services of forests.</p>	<p>In application see also: 3.1.2 Certified forest products including forest ecosystems and non-wood forest products shall be efficiently utilized for diverse purposes as “green ecosystem resources”. 3.2 Sound economic outcomes shall be pursued in economic activities including those related to new markets for forest products and servicing functions.</p>	<p>Conforms</p>
<p>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.</p>	<p>YES</p>	<p>8.3.3</p>	<p>8.3.3 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.</p>	<p>In application see also: 2.2.1 Technical manuals for harvesting methods, age and ratio shall be developed with due consideration of conservation of soil and water, biological diversity as well as landscape conservation. Non-clear cut operation shall be conducted wherever possible and hard wood</p>	<p>Conforms</p>

				<p>species shall be retained in soft wood species dominant forests in erosion-prone areas. Depending on the site condition, introduction of multi-storied forest or operational method with due consideration of ecosystem shall also be considered.</p> <p>3.3 Forest management and practices of harvest or regeneration shall be carried out in the season or in a way that does not cause damages to soil and remaining standing trees; and also does not reduce production capacity of the forest ecosystem at the site.</p>	
<p>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.</p>	<p>YES</p>	<p>8.3.4</p>		<p>In application see also: 3.4 In formulating forest management plan, the municipal forest development plan or other plans with respect to forest management for exerting timber production function and other functions of forest to serve public interest shall be taken into account; relevant government policies and subsidy measures shall be tried to be applied; harvested forest products shall be utilized optimally; contribution to revitalization of local societies shall be endeavored.</p> <p>3.4.1 Forest owners/managers shall endeavor to promote utilization of domestic and local timber and optimal utilization of the harvested forest products in collaboration with other</p>	<p>Conforms</p>

				SGEC/PEFC certified entities and administrative organizations, considering cycling of production, processing, distribution, consumption and disposal of forest products.	
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	8.3.5		<p>In application see also: 3.5 In managing forests, infrastructures such as roads, skid tracks, bridges shall be appropriately designed, constructed and maintained in order to ensure efficient supply of products and services with keeping adverse impact to the environment minimum. 85</p> <p>3.5.1 In construction or maintenance of forest roads, skid tracks or check dams as well as facilities for education and recreation, certified forest products shall be effectively used.</p> <p><i>Note:</i> Land used for construction of infrastructures in SGEC certified forests are recognized as part of forest land subject to the forest management, and timber originated from felled trees on the land used for construction of the infrastructures is recognized as timber originated from sustainably managed forests. Forest facilities such as forest roads or skid tracks are categorized as activities of forest management and are not considered harmful to the achievement of sustainable forest</p>	Conforms

				<p>management, as long as their construction is carried out with a design and method harmonizing with natural conditions of the forest (refer Appendix 3).</p> <p>3.5.2 Infrastructures such as forest roads and skid tracks shall be designed, constructed and maintained for effective supply of forest products and services while minimizing negative impact on the environment.</p>	
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	8.4.1	8.4.1 Forest management planning shall aim to maintain, conserve or enhance biodiversity on landscape, ecosystem, species and genetic levels.	<p>In application see also: 4.1 Since long-term conservation of biological diversity of forest will contribute to provide economic and social benefits, management principles for conservation of biological diversity at landscape level as well as for major forest types at stand level shall be stated.</p> <p>4.1.1. The following items for biological diversity shall be stated in forest management plan:</p> <p>a) Fundamental management principles on maintenance and improvement of diversity of ecosystem, species and gene based upon character of forest,</p>	Conforms

				<p>b) Appropriate management plan on maintenance and improvement of biological diversity at landscape level,</p> <p>c) Technical guidelines on some representative forest types in terms of maintenance and improvement of biological diversity.</p>	
<p>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.</p>	YES	8.4.2	<p>8.4.2 Inventory, mapping and planning of forest resources shall identify, protect, conserve or set aside ecologically important forest areas.</p> <p><i>Note:</i> This does not prohibit forest management activities that do not damage the important ecologic values of those biotopes, allowing appropriate activities suitable for the conditions of the sites.</p>	<p>4.2 Primary elements (natural forest including primary forest, Satoyama forest, grass land, wetland, pond, farm land and so on) for securing biological diversity in the area shall be clearly identified in the map and management principles shall be stated.</p> <p>4.2.1 Constituting elements in the area shall be clearly identified in the map. As to primary elements for maintaining biological diversity among them, flora and fauna in the area shall be recorded and primary species of them shall be under the technical guidelines for conservation and management.</p> <p>4.2.2 Appropriate conservation plan as well as management plan for riparian forest, wetland or biotope shall be available.</p>	Conforms
<p>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</p>	YES	8.4.3	<p>8.4.3 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,</p>	<p>The standard reproduces the PEFC requirements.</p>	

<p>taken for their protection and, where relevant, to increase their population. Note: The requirement does not preclude trade according to CITES requirements.</p>			<p>where relevant, to increase their population. <i>Note: The requirement does not preclude trade according to CITES requirements.</i></p>		
<p>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.</p>	<p>YES</p>	<p>8.4.4</p>	<p>8.4.4 Successful regeneration shall be ensured through natural regeneration or planting that is adequate to ensure the quantity and quality of the forest resources.</p>	<p>In application see also: 3.3 Forest management and practices of harvest or regeneration shall be carried out in the season or in a way that does not cause damages to soil and remaining standing trees; and also does not reduce production capacity of the forest ecosystem at the site.</p>	<p>Conforms</p>
<p>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</p>	<p>YES</p>	<p>8.4.5</p>	<p>8.4.5 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 minimized.</p>	<p>In application see also: 2.3 Regeneration after harvesting shall be carried out in compliance with related laws and regulations. Site specific suitable species shall be planted in artificial regeneration based upon the record of silvicultural operations in the past. <i>Note: Regeneration periods of planting of man-made forests are determined in the designated conditions of protection forest management stipulated in the Cabinet Order of Forest Act so that “planting shall be implemented within 2 years starting from the first day of the subsequent fiscal year of the last day of the harvesting operation”. Regarding forests outside protection forests, regeneration periods are</i></p>	<p>Conforms</p>

<p>guidance for avoidance of invasive species.</p>				<p>determined by “Notice No.851 of Ministry of Agriculture and Forestry in July 1, 1962” so that planting of man-made forest shall be implemented within 2 years starting from the first day of the subsequent fiscal year of the last day of the harvesting operation, and natural regeneration shall be implemented within 5 years starting from the first day of the subsequent fiscal year of the last day of the harvesting operation”.</p> <p>2.3.3 Selection of species in artificial regeneration shall be based upon the technical reasonableness such as the principle of site specific suitable species including the aspects of water resources conservation, protection from soil erosion and environmental conservation. Seeds or seedlings shall be from local provenances. Introduction of alien species shall be avoided if negative effect on the ecosystem is assumed. Genetically modified trees shall not be used for the time being.</p>	
<p>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.</p>	<p>YES</p>	<p>8.4.6</p>	<p>8.4.6 Afforestation, reforestation and other tree planting activities that contribute to the improvement and restoration of ecological connectivity shall be promoted.</p>	<p>The standard reproduces the PEFC requirements.</p>	<p>Conforms</p>
<p>8.4.7 The standard requires that genetically-modified trees shall not</p>	<p>YES</p>	<p>8.4.7</p>	<p>8.4.7 Genetically-modified trees shall not be used.</p>	<p>In application see also: 2.3.3 Selection of species in artificial</p>	<p>Conforms</p>

<p>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.</p>			<p><i>Note:</i> 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.</p>	<p>regeneration shall be based upon the technical reasonableness such as the principle of site specific suitable species including the aspects of water resources conservation, protection from soil erosion and environmental conservation. Seeds or seedlings shall be from local provenances. Introduction of alien species shall be avoided if negative effect on the ecosystem is assumed. Genetically modified trees shall not be used for the time being.</p>	
<p>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.</p>	<p>YES</p>	<p>8.4.8</p>	<p>8.4.8 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.</p>	<p>In application see also: 4.1 Since long-term conservation of biological diversity of forest will contribute to provide economic and social benefits, management principles for conservation of biological diversity at landscape level as well as for major forest types at stand level shall be stated. 4.1.1. The following items for biological diversity shall be stated in forest management plan: a) Fundamental management principles on maintenance and improvement of diversity of ecosystem, species and gene based upon character of forest,</p>	<p>Conforms</p>

				<p>b) Appropriate management plan on maintenance and improvement of biological diversity at landscape level,</p> <p>c) Technical guidelines on some representative forest types in terms of maintenance and improvement of biological diversity.</p>	
<p>8.4.9 The standard requires that traditional management practices that create valuable ecosystems on appropriate sites shall be supported, where appropriate.</p>	YES	8.4.9	<p>8.4.9 Traditional management practices that create valuable ecosystems on appropriate sites shall be supported, where appropriate.</p>	<p>In application see also: Appendix 3</p> <p>6.2.4 Forest manager shall respect traditional forest management practices in Satoyama and other area as far as economically feasible, and redress inequality in opportunity and results.</p>	Conforms
<p>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.</p>	YES	8.4.10	<p>8.4.10 Tending and harvesting operations shall be conducted in a way that does not cause lasting damage to ecosystems. Wherever possible, practical measures shall be taken to maintain or improve biological diversity.</p>	<p>In application see also: 2.2.1 Technical manuals for harvesting methods, age and ratio shall be developed with due consideration of conservation of soil and water, biological diversity as well as landscape conservation. Non-clear cut operation shall be conducted wherever possible and hard wood species shall be retained in soft wood species dominant forests in erosion-prone areas. Depending on the site condition, introduction of multi-storied forest or operational method with due consideration of ecosystem shall also be considered.</p> <p>2.5 Tending plan shall be clearly developed with appropriate implementation based upon the site condition.</p>	Conforms

				<p>2.5.1 Technical guidelines for tending methods and its timing shall be developed. In order to enhance species diversity and multi-layered root system, hardwood species or non-targeted species shall be retained in the pre-commercial thinning as appropriate.</p> <p>2.5.2 Tending operation record in the last five or ten years shall be verified and upcoming sites for tending and site specific methods, volume and timing shall be available in documents.</p> <p>2.5.3 If the number of wild animals inhabited is significant and causing damage to forest, precautionary measures to reduce the animal pressures on the growth and biodiversity of forest shall be taken. Moreover, where forest is used for grazing, appropriate precautionary measures shall be taken,</p>	
<p>8.4.11 The standard requires that infrastructure shall be planned and constructed in a way that minimizes 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.</p>	<p>YES</p>	<p>8.4.11</p>	<p>8.4.11 Infrastructure shall be planned and constructed in a way that minimizes 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.</p>	<p>In application see also: 3.5.2 Infrastructures such as forest roads and skid tracks shall be designed, constructed and maintained for effective supply of forest products and services while minimizing negative impact on the environment.</p> <p>4.4.4 On the construction of infrastructures such as forest roads or check dams, precautionary measures (side ditch and crossing ditch of forest</p>	<p>Conforms</p>

				road and fish ladder) not hampering growth and propagation of small animals shall be conducted. The constructional materials for such infrastructures shall be from bio-materials as appropriate and those infrastructures shall be designed with environmental integrity and minimizing the damage to the ecosystem.	
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	8.4.12	8.4.12 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.	In application see also: 2.5.3 If the number of wild animals inhabited is significant and causing damage to forest, precautionary measures to reduce the animal pressures on the growth and biodiversity of forest shall be taken. Moreover, where forest is used for grazing, appropriate precautionary measures shall be taken,	Conforms
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	8.4.13	8.4.13 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.	In application see also: 4.3.2 As a part of rare flora and fauna protection, measures shall be taken through protection of the standing trees worthy for nest tree, protection of standing dead wood, hollow trees and fallen dead wood worthy for bait of insects and birds and improvement of their habitat environment.	Conforms
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	YES	8.5.1	8.5.1 Protective functions of forests for society, such as their potential role in erosion control, flood	In application see also: 5.1 Impact of activities on soil and water resources conservation shall be conducted in	Conforms

<p>in erosion control, flood prevention, water purification, climate regulation, carbon sequestration and other regulating or supporting ecosystem services shall be maintained or enhanced.</p>			<p>prevention, water purification, climate regulation, carbon sequestration and other regulating or supporting ecosystem services shall be maintained or enhanced.</p>	<p>advance for minimizing the negative impact in forest management plan and its operational process.</p>	
<p>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 shall ensure the maintenance or enhancement of these functions.</p>	<p>YES</p>	<p>8.5.2</p>	<p>8.5.2 Areas that fulfil specific and recognised protective functions for society shall be mapped, and forest management plans and operations shall ensure the maintenance or enhancement of these functions.</p>	<p>In application see also: 5.1.2 The area requested for special consideration in soil and basin system conservation shall be identified in the map and the appropriate measures for enhancing soil conservation functions shall be taken.</p>	<p>Conforms</p>
<p>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.</p>	<p>YES</p>	<p>8.5.3</p>	<p>8.5.3 Special care shall be given to forestry operations on sensitive soils and erosion-prone areas. Techniques applied and the machinery used shall be suitable for such areas. Special measures shall be taken to minimize the pressure of animal populations on these areas.</p>	<p>The standard reproduces the PEFC requirements.</p>	<p>Conforms</p>
<p>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</p>	<p>YES</p>	<p>8.5.4</p>	<p>8.5.4 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</p>	<p>In application see also: 5.4 Measures shall be taken to avoid spillage of chemical materials such as fuel and oil for machinery or other contaminant as well as agricultural chemical into basin system. Conservation of inland freshwater ecosystems, marine ecosystems and their services as well</p>	<p>Conforms</p>

<p>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.</p>			<p>influencing water quality in a harmful way shall be avoided. Downstream water balance and water quality shall not be significantly affected by the operations.</p>	<p>as human health and terrestrial ecosystems shall be pursued.</p>	
<p>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.</p>	<p>YES</p>	<p>8.5.5</p>	<p>8.5.5 Construction of roads, bridges and other infrastructure shall be carried out in a manner that minimizes bare soil exposure, avoids the introduction of soil into watercourses and preserves the natural level and function of water courses and river beds. Proper road drainage facilities shall be installed and maintained.</p>	<p>In application see also: 5.1.3 In the case of forest road and bridge construction design, exposure of bare soils shall be minimized, soil flow into water course shall be avoided and water course and its bed shall be maintained. Also appropriate surface water drainage of forest road shall be allocated and maintained.</p>	<p>Conforms</p>
<p>8.6 Criterion 6: Maintenance or appropriate enhancement of socio-economic functions and conditions</p>					
<p>8.6.1 The standard requires that forest management planning shall aim to respect all socio-economic functions of forests.</p>	<p>YES</p>	<p>8.6.1</p>	<p>8.6.1 Forest management planning shall aim to respect all socio-economic functions of forests.</p>	<p>In application see also: 2.1 Forest manager shall assess the economic, social and ecological impact, taking account of the development process of forest management planning, forest inventory data, the implementation of the plan and the result of monitoring, build up a cycle of sustainable improvement of forest management and establish an appropriate operational structure for implementation. 2.1.1 Forest management plan shall be elaborated and implemented in a way that recognizes, maintains and</p>	<p>Conforms</p>

				promotes the importance of multiple values of the forest concerned.	
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	8.6.2	8.6.2 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.	<p>In application see also: 1.3.4 Public access to forests for recreational use shall be properly arranged with due consideration of forest owner' rights and use rights, impact on forest resources and its ecosystem and balance with other functions.</p> <p>1.5 The space and opportunity shall be provided for the citizen to come in touch with the nature seeking for, for example, forest recreation, and the environmental education or safety guidance to the visitors shall be provided. Where a "plan for promotion of Ainu policies" is formulated, promotion of tourism targeting Ainu culture and traditions related to forests shall be endeavored.</p> <p>1.5.1 The space and opportunity shall be provided for the citizen to come in touch with the nature seeking for, for example, forest recreation. Large size employers (forest managers, etc.) shall have their own the environmental education programs and explanation board for the visitors. Forest roads, skid tracks and foot-paths for the visitors' use shall provide safety facilities, sign board and explanation board.</p>	Conforms

				<p>1.5.2 Awareness raising activities for the visitors to take their garbage home with them shall be conducted and the waste shall be processed outside the forest as appropriate.</p>	
<p>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.</p>	YES	<p>8.6.3 PEFC 8.6.3 plus “ In particular, promotion of Ainu culture shall be endeavored so that Ainu people live with the pride as indigenous people in the northern part of Japanese Archipelago, especially in Hokkaido.”</p>	<p>8.6.3 Sites with recognized specific historical, cultural or spiritual significance and areas fundamental to meeting the needs of indigenous peoples and local communities such as health and subsistence shall be protected or managed in a way that takes due regard of the significance of the site. In particular, promotion of Ainu culture shall be endeavored so that Ainu people live with the pride as indigenous people in the northern part of Japanese Archipelago, especially in Hokkaido.</p>	<p>In application see also: 1.4 Cultural and historic site and highly valued forest in terms of resources or society shall be protected.</p> <p>In the northern part of Japanese archipelago, especially in Hokkaido, sites with cultural or traditional importance, or with value for tourism for Ainu people such as sites used for rituals, shall be protected.</p> <p>1.4.1 Forest management plan shall identify the designated cultural properties under the act on protection of cultural properties, the sites locally recognized as cultural or historical importance, the local symbolic forests popular among local community, giant trees popular among local community and high valued forests in terms of science. The guideline of treatment shall also be stated.</p>	Conforms
<p>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.</p>	YES	<p>8.6.4 PEFC 8.6.4 plus “ Forest management planning where Ainu people are identified as stakeholders shall aim at realization of the society in which the pride of Ainu people is respected by recognizing “regional plans for promotion of</p>	<p>8.6.4 Forest 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. Forest management</p>	<p>In application see also: 6.2.3 Forest management shall be associated with promotion of long-term health and welfare of the communities within and adjacent the said forest.</p>	Conforms

		<p>policies on Ainu people” formulated by municipal governments in consideration of the basic policy of the national government and the prefectural policies based on Ainu Policy Promotion Act in consideration of the current situation of Ainu culture and traditions, which are the origin of the pride of Ainu people.”</p>	<p>planning where Ainu people are identified as stakeholders shall aim at realization of the society in which the pride of Ainu people is respected by recognizing “regional plans for promotion of policies on Ainu people” formulated by municipal governments in consideration of the basic policy of the national government and the prefectural policies based on Ainu Policy Promotion Act in consideration of the current situation of Ainu culture and traditions, which are the origin of the pride of Ainu people.</p>		
<p>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.</p>	<p>YES</p>	<p>8.6.5 “Forest management practices shall be conducted with the sufficient understanding of forest- related experience, traditional knowledge and innovations of forest owners, local societies, indigenous peoples, etc., and with efforts toward equitable sharing of the benefits arising from the utilization of such experiences, knowledge, etc.”</p>	<p>8.6.5 Forest management practices shall be conducted with the sufficient understanding of forest-related experience, traditional knowledge and innovations of forest owners, local societies, indigenous peoples, etc., and with efforts toward equitable sharing of the benefits arising from the utilization of such experiences, knowledge, etc.</p>	<p>In application see also: 6.2.5 Forest manager shall procedures to identify the stakeholders by using appropriate information, provide explanation to those stakeholders who are potentially affected by the forest management, hear their views on the matters related to forest management and make consultation when necessary. If necessary, forest manager shall also hear from the municipal office concerned the process of discussions by experts who review the municipal forest management plan.</p> <p>In the course of developing forest management plan, forest manager shall make the best use of local forest-related experience and</p>	<p>Conforms</p>

				knowledge, such as those of local communities, forest owners, NGOs and local people.	
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	8.6.6	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.		Conforms
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	8.6.7	8.6.7 Forest management shall contribute to research activities and data collection needed for sustainable forest management or support relevant research activities carried out by other organizations, as appropriate.	7.2.3 Forest managers shall actively and properly contribute to data collection related to research activities in sustainable forest management, in consideration of the principle that forest management shall be conducted based upon scientific research results.	Conforms
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	9.1.1	9.1.1 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 forest management planning process.	Appendix 7.1.1 Periodical monitoring of implementation of the forest management plan and performance of the management organization shall be carried out. The result of the monitoring shall be reviewed by the top management of the organization, and resulted in necessary improvement by reflecting the monitoring to implementation and revision of the management plan as	Conforms

				<p>well as to management of the organization.</p> <p>7.2 Forest management plan and its monitoring results shall be confidential in general; however, the summary information shall be open to the public in principle. Various kinds of information related to the managed forests shall be kept as much as possible, and various data related to the forest concerned shall be recorded and kept as much as possible. In case of forest operations conducted, category-wise, fiscal year-wise and site-wise operational record shall be kept.</p> <p>7.2.2 Site-wise and fiscal year-wise operational record shall be kept. Site-wise and fiscal year-wise damage status of pests and disease, animals, forest fire, severe weather shall be recorded. Status of enrollment in and compensation from forest insurance shall be recorded. The contents of collaboration and status of operations with the third parties who conduct biological diversity monitoring shall be verified.</p>	
<p>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</p>	<p>YES</p>	<p>9.1.2</p>	<p>9.1.2 Health and vitality of forests shall be periodically monitored, especially key biotic and abiotic factors that potentially affect health and vitality of forest ecosystems, such as pests, diseases, animal</p>	<p>7.1.2 The Check list of monitoring shall include the items which verify the performance of forest management plan's achievement such as pest/disease/animal damage; frost/snow damage; forest fire</p>	<p>Conforms</p>

<p>pests, diseases, overgrazing and overstocking, fire, and damage caused by climatic factors, air pollutants or by forest management operations.</p>			<p>damage, overgrazing and overstocking, fire, and damage caused by climatic factors, air pollutants or by forest management operations.</p>	<p>including natural fire; operations' impact on ecosystem soundness and vitality (including non-wood forest products); labor safety; and collaboration with stakeholders. 7.2.2 Site-wise and fiscal year-wise operational record shall be kept. Site-wise and fiscal year-wise damage status of pests and disease, animals, forest fire, severe weather shall be recorded. Status of enrollment in and compensation from forest insurance shall be recorded. The contents of collaboration and status of operations with the third parties who conduct biological diversity monitoring shall be verified.</p>	
<p>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.</p>	<p>YES</p>	<p>9.1.3</p>	<p>9.1.3 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.</p>		<p>Conforms</p>
<p>9.1.4 The standard requires that working conditions shall be regularly monitored and adapted as necessary.</p>	<p>YES</p>	<p>9.1.4 "Working conditions and safety shall be regularly monitored and adapted as necessary so that compliance with related laws and regulations is attained."</p>	<p>9.1.4 Working conditions and safety shall be regularly monitored and adapted as necessary so that compliance with related laws and regulations is attained.</p>		<p>Conforms</p>
<p>9.2 Internal audit</p>					

<p>9.2.1 Objectives</p> <p>The standard requires that an internal audit programme at planned intervals shall provide information on whether the management system</p>					
<p>a) conforms to</p> <ul style="list-style-type: none"> • the organisation’s requirements for its management system; • the requirements of the national sustainable forest management standard 	<p>YES</p>	<p>9.2.1 a)</p>	<p>An internal audit programme at planned intervals shall provide information on whether the management system</p> <p>a) conforms to</p> <ul style="list-style-type: none"> • the organization’s requirements for its management system; • the requirements of the sustainable forest management standard 		<p>Conforms</p>
<p>b) is effectively implemented and maintained.</p>	<p>YES</p>	<p>9.2.1 b)</p>	<p>b) is effectively implemented and maintained.</p>		
<p>9.2.2 Organisation</p> <p>The standard requires that the organisation shall:</p>					
<p>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;</p>	<p>YES</p>	<p>9.2.2 a)</p>	<p>The organization shall:</p> <p>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;</p>		<p>Conforms</p>
<p>b) define the audit criteria and scope for each audit;</p>	<p>YES</p>	<p>9.2.2 b)</p>	<p>b) define the audit criteria and scope for each audit;</p>		<p>Conforms</p>

c) select the auditors and conduct audits to ensure objectivity and the impartiality of the audit process;	YES	9.2.2 c)	c) select the auditors and conduct audits to ensure objectivity and the impartiality of the audit process;		Conforms
d) ensure that the results of the audits are reported to relevant management;	YES	9.2.2 d)	d) ensure that the results of the audits are reported to relevant management;		Conforms
e) retain documented information as evidence of the implementation of the audit programme and the audit results.	YES	9.2.2 e)	e) retain documented information as evidence of the implementation of the audit programme and the audit results		
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	9.3.1. a)	9.3.1 An annual management review shall at least include a) the status of actions from previous management reviews;		Conforms
b) changes in external and internal issues that are relevant to the management system;	YES	9.3.1. b)	b) changes in external and internal issues that are relevant to the management system;		Conforms
c) information on the organisation's performance, including trends in: • nonconformities and corrective actions; • monitoring and measurement results; • audit results;	YES	9.3.1. c)	c) information on the organization's performance, including trends in: • nonconformities and corrective actions; • monitoring and measurement results; • audit results;		Conforms

d) opportunities for continual improvement	YES	9.3.1. d)	d) opportunities for continual improvement		Conforms
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.	YES	9.3.2	9.3.2 The outputs of the management review shall include decisions related to continual improvement opportunities and any need for changes to the management system.		Conforms
9.3.3 The standard requires that documented information as evidence of the results of management reviews shall be retained.	YES	9.3.3	9.3.3 Documented information as evidence of the results of management reviews shall be retained.		Conforms
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: i. take action to control and correct it; ii. deal with the consequences;	YES	10.1.1 a)	10.1.1 When a nonconformity occurs, the organization shall: a) react to the nonconformity and, as applicable: i. take action to control and correct it; ii. deal with the consequences of the nonconformity;		Conforms
b) evaluate the need for action to eliminate the causes of the nonconformity, in order that it does not recur or occur elsewhere, by:	YES	10.1.1 b)	b) evaluate the need for action to eliminate the causes of the nonconformity, in order that it does not recur or occur elsewhere, by:		Conforms

i. reviewing the nonconformity; ii. determining the causes of the nonconformity; iii. determining if similar nonconformities exist, or could potentially occur;			i. reviewing the nonconformity; ii. determining the causes of the nonconformity; iii. determining if similar nonconformities exist, or could potentially occur;		
c) implement any action needed;	YES	10.1.1 c)	c) implement any action needed;		Conforms
d) review the effectiveness of any corrective action taken;	YES	10.1.1 d)	d) review the effectiveness of any corrective action taken;		Conforms
e) make changes to the management system, if necessary.	YES	10.1.1 e)	e) make changes to the management system, if necessary.		Conforms
10.1.2 The standard requires that corrective actions shall be appropriate to the effects of the nonconformities encountered.	YES	10.1.2	10.1.2 Corrective actions shall be appropriate to the effects of the nonconformities encountered.		Conforms
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	10.1.3 a)	10.1.3 The organization shall retain documented information as evidence of: a) the nature of the nonconformities and any subsequent actions taken;		Conforms
b) the results of any corrective action.	YES	10.1.3 b)	b) the results of any corrective action.		
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	YES	10.2	10.2 Continual improvement The suitability, adequacy and effectiveness of the sustainable forest management system and the sustainable management of the		Conforms

forest shall be continuously improved.				
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forest shall be continuously improved.				
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PART IV: STANDARD AND SYSTEM REQUIREMENT CHECKLIST FOR CERTIFICATION AND ACCREDITATION PROCEDURES (ANNEX 6)

No.	PEFC benchmark requirement		YES / NO	Reference to system documentation	Quotation of relevant text)	Decision
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	SGEC ST Doc.5-3 2.1.1	2.1.1 Certifications shall be carried out by impartial, independent third parties that cannot be involved in the standard setting process as governing or decision making bodies, or in the forest management and are independent of certified entity.	Conforms
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	SGEC requirement requests ISO Guide 65 for the bodies based on PEFC Annex 6, 3.1, 1) b) SGEC ST Document.5-3 2.1.2 a) "requirements defined in ISO/IEC 17065 Conformity assessment- Requirements for bodies certifying products, processes and services within the scope of SGEC scheme."	2.1.2 Certification bodies shall fulfill the following qualifications: a) requirements defined in ISO/IEC 17065 Conformity assessment – Requirements for bodies certifying products, processes and services within the scope of SGEC scheme.	Conforms
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	Annex 6, 3.1	YES	2.1.2 e)	e) a good understanding of forest management, on its economic, social and environmental impacts, of forest based product procurement and processing, material flows and wood used constructions	Conforms

	and environmental impacts, and on the forest certification criteria?				as well as of relevant acts and regulations (in case of Hokkaido region, Ainu groups are included)	
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	2.1.2 b)	b) requirements defined in Chapter 5 of SGEC Standard Document 1 “Operation Rules of Forest Management Certification and Forest Products Chain of Custody Certification by Sustainable Green Ecosystem Council (SGEC)”; SGEC Standard Document 5-1:2021 “Requirements for Certification Bodies operating Certification under SGEC Forest Management Certification Standard” and SGEC Standard Document 5-2:2021 “Requirements for Certification Bodies operating Certification under SGEC COC Certification Standard”.	Conforms
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	2.2.1	2.2.1 Certification bodies have the responsibility to use competent auditors that have adequate technical know-how on the certification process and issues related to FM or COC certification. The auditors shall fulfill the requirement stipulated in “Requirements for Certification Bodies operating Certification under SGEC Certification Standard	Conforms
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	2.2.2	2.2.2 In addition to fulfill general criteria for quality and environmental management system auditors as defined in ISO 19011 and criteria defined in the “Requirements for Certification Bodies operating Certification under SGEC Certification Standard”, the	Conforms

					auditors shall fulfill the following additional requirements:	
7.	Does the scheme documentation include additional qualification requirements for auditors carrying out forest management audits? [1]	Annex 6, 3.2	YES	2.2	a) participation to educational programs related to certification standards The certification bodies shall ensure that auditors engaged in FM certification have participated FM certification educational programs acknowledged by SGEC within last two years and that auditors engaged in COC certification have participated COC certification educational programs acknowledged by SGEC within last two years. b) auditing training and experiences The certification bodies shall ensure that auditors engaged in FM certification have participated FM certification training courses or actual FM certification process acknowledged by SGEC and that auditors engaged in COC certification have participated COC certification training courses or actual COC certification process acknowledged by SGEC.	Conforms
Certification procedures						
8.	Does the scheme documentation require that certification bodies shall have established internal procedures for forest management certification?	Annex 6, 4	YES	3.1	3.1 Certification procedures The certification body, stipulated in Chapter 5 of SEC Standard Document 1 “Operational Rules,” shall have established internal procedures for FM certification against Chapter 3 of the Operational Rules and “Requirements for Certification Bodies operating Certification under SGEC Certification Standard”.	Conforms

<p>9.</p>	<p>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?</p>	<p>Annex 6, 4</p>	<p>YES</p>	<p>SGEC requests ISO Guide 65 for the procedure SGEC ST Doc.5-3</p> <p>2.1.2 Certification bodies shall fulfill the following qualifications:</p> <p>a) requirements defined in ISO/IEC 17065 Conformity assessment – Requirements for bodies certifying products, processes and services within the scope of SGEC scheme.</p> <p>b) requirements defined in Chapter 5 of SGEC Standard Document 1 “Operation Rules of Forest Management Certification and Forest Products Chain of Custody Certification by Sustainable Green Ecosystem Council (SGEC)”; SGEC Standard Document 5-1:2021 “Requirements for Certification Bodies operating Certification under SGEC Forest Management Certification Standard” and SGEC Standard Document 5-2:2021 “Requirements for Certification Bodies operating Certification under SGEC COC Certification Standard”.</p> <p>c) a good understanding of the SGEC scheme against which it carries out FM or COC certification.</p> <p>d) a good understanding of the PEFC scheme such as PEFC requirements which are necessary for operating SGEC certification scheme under endorsement and mutual recognition by PEFC.</p> <p>e) a good understanding of forest management, on its economic, social and environmental impacts, of forest based product procurement and processing, material flows and wood used constructions</p>		<p>Conforms</p>
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				as well as of relevant acts and regulations (in case of Hokkaido region, Ainu groups are included).		
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	2.2.2	2.2.2 Audit experience for maintain the qualification of the auditor For maintain the qualification of the auditor of FM and COC certification, the certification bodies shall ensure that the auditor has performed a minimum of five external audits in principle per year against certification standards stipulated above. The sum of these audits should cover at least seven man-day of audit work in principle. The number of FM audits in training can be reduced to three audits for auditors that are qualified for ISO 9001 or 14001 auditing in the forestry sector.	Conforms
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	3.2	3.2 Notice of the status of certification The certification body shall inform SGEC/PEFC Japan about all issued FM and COC certificates and changes concerning validity and scope of these certificates.	Conforms
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	SGEC ST Doc. 5-1 2.1.1.1. In case where PEFC trademark is used, PEFC ST 2001:2020 “PEFC Trademarks Rules – Requirements” and PEFC GD 1005 “ Issuance of PEFC Logo Use Licenses by the PEFC Council” apply.	2.1.1 Usage of trademarks 2.1.1.1 Trademark usage license Usage of SGEC trademarks by certification bodies shall be in compliance with the Section 6 “SGEC trademarks” of SGEC Standard Document 3:2021 “SGEC Trademarks Rules –Requirements”, and SGEC Standard Document 6-1 “Issuance of SGEC/PEFC Trademarks Usage Licenses by SGEC/PEFC Japan”. In case where PEFC	

					trademark is used, PEFC ST 2001:2020 “PEFC Trademarks Rules – Requirements” and PEFC GD 1005 “ Issuance of PEFC Logo Use Licenses 176 by the PEFC Council” apply.	
13.	Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?	Annex 6, 4	YES	SGEC ST Doc.1 3.4.2	The forest owners/managers shall take surveillance audits once a year with respect to the management of the certified forest by the certification body which issued the certificate concerned. When the SGEC certification standard is revised, the surveillance audits shall be implemented based on the revised standard which is effective.	Conforms
14.	Does a maximum period for assessment audit not exceed five years for forest management certifications?	Annex 6, 4	YES	SGEC ST Doc.1 3.4.1	The term of validity of forest management certification shall be 5 years, and the certificate loses its validity after this period. When forest owners/managers intend to acquire the certification continuously, the forest owners/managers shall receive re-certification audit based on the SGEC certification standard which is effective at that time.	Conforms
15.	Does the scheme documentation include requirements for public availability of certification report summaries?	Annex 6, 4	YES	SGEC ST Doc.5-3 3.4	3.4 Publication of summary of certification reports Summary of certification reports, as stipulated in Appendix 1 “Formant of report of certification audits” of SGEC/PEFC FM, COC or Project Certification” of Standard Document 1 “SGEC Operational Rules”, written by the certification body, shall be made available to the public. However, the	Conforms

					personal information shall be excluded from the summary above	
16.	Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?	Annex 6, 4	YES	SGEC ST Doc.5-3 3.3	3.3 Certification audit Audits related to the conformity with the FM standard and COC standard shall include relevant information from external parties (e.g. government agencies, community groups, conservations organizations, etc.) as appropriate	Conforms
17.	Does the scheme documentation include additional requirements for certification procedures? ¹	Annex 6, 4	YES	SGEC ST Doc.5-3 3.1	3.1 Certification procedures The certification body, stipulated in Chapter 5 of SEC Standard Document 1 “Operational Rules,” shall have established internal procedures for FM certification against Chapter 3 of the Operational Rules and “Requirements for Certification Bodies operating Certification under SGEC Certification Standard”.	Conforms
Accreditation procedures						
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	SGEC ST Doc 1 5.1.2	Document 5-1 Appendix 1 (1) The certification bodies shall be accredited by accreditation bodies that are signatories of the Multilateral Recognition Arrangement (MLA) for product certification of International Accreditation Forum (IAF) as being in conformity with the international standard for the product certification body (ISO/IEC 17065)	Conforms
19.	Does the scheme documentation require that an accredited certificate shall bear	Annex 6, 5	YES	SGEC ST Doc.5-3 4.1	4.1 Accreditation bodies The certification bodies, carrying out FM or COC certification, shall be accredited by meeting requirements	Conforms

	an accreditation symbol of the relevant accreditation body?				stipulated in Section 5 of SGEC Standard Document 1 “SGEC Operational Rules” and other related documents so as to ensure the credibility of the certification work. A certificate issued by the accredited certification body shall bear an accreditation symbol of the relevant accreditation body	
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	SGEC ST Doc 1 5.1.2	<p>5.1.2 The certification bodies shall be accredited by an accreditation body that is a signatory of the Multilateral Recognition Arrangement (MLA) of International Accreditation Forum (IAF) as being in conformity with the international standard for the product certification body (ISO/IEC 17065) within in the scope accreditation stipulated in SGEC Standard Document 3 and related standard document for ‘certification bodies operating forest management certification’, and stipulated in SGEC Standard Document 4 and PEFC ST 2003 “Chain of Custody of Forest and Tree Based Products – Requirements” for ‘certification bodies operating COC certification covering certified forest products’.</p> <p>See also: Document 5-1 Appendix 1</p> <p>(1) The certification bodies shall be accredited by accreditation bodies that are signatories of the Multilateral Recognition Arrangement (MLA) for product certification of International Accreditation Forum (IAF) as being in conformity with the international</p>	Conforms

					standard for the product certification body (ISO/IEC 17065)	
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	SGEC requests certification body undertake forest management certification as accreditation certification based on ISO 17065	Document 5-1 Appendix 1 (2) The scope of the accreditation shall explicitly cover SGEC Standard Document 3:2021, and SGEC Standard Document 3-1:2021 and related documents, in their valid version and/or with reference to any future changes and amendments adopted by SGEC/PEFC Japan and presented at SGEC/PEFC Japan website. The scope of accreditation shall also explicitly state ISO/IEC 17065 and other requirements against which the certification body has been assessed.	Conforms
				SGEC ST Doc.1 5.1.2 The certification bodies shall be accredited by an accreditation body that is a signatory of the Multilateral Recognition Arrangement (MLA) of International Accreditation Forum (IAF) as being in conformity with the international standard for the product certification body (ISO/IEC 17065) within in the scope accreditation stipulated in SGEC Standard Document 3 and related standard document for ‘certification bodies operating forest management certification’, and stipulated in SGEC Standard Document 4 and PEFC ST 2003 “Chain of Custody of Forest and Tree Based Products – Requirements” for ‘certification bodies operating COC		Conforms

				certification covering certified forest products’.		
22.	Does the scheme documentation include a mechanism for PEFC notification of certification bodies?	Annex 6, 6	YES	SGEC ST Doc 1 5.2	<p>5.2 Notification of certification bodies 5.2.1 Those applying for the notification for certification body shall submit the application with the following items to the SGEC/PEFC Japan: (1) Name and address of organization and representative 14 (2) Outline of the structure and activities of the organization (3) The following documents shall be attached with the application. a) Statutes of the organization b) Certificate by accreditation body c) Recent accounting documents and business plans d) Others 5.2.2 Certification bodies notified against SGEC shall fulfill the requirements for certification bodies by SGEC/PEFC Japan defined in 6.1.1. above. 5.2.3 Certification bodies notified against SGEC shall make clear about the scope of certification, types of certification (forest management certification and/or COC certification) and standards which certification is based upon. 5.2.4 Certification bodies shall have valid accreditation by the accreditation body admitted by SGEC/PEFC Japan for notification of the certification bodies against SGEC. 5.2.5 Notification of a certification body against SGEC shall be based on a contract agreed between the certification body and SGEC/PEFC Japan. 5.2.6 Certification bodies shall provide SGEC/PEFC Japan with information on audits with respect to certifications they issued to the client organizations and</p>	Conforms

					information stipulated in the section 7 “SGEC information and registration system - data management” below according to the Appendix 1 “Format of certification audits report”. 5.2.7 Discriminative treatment against certification bodies shall not be included in the requirements for notification of certification bodies against SGEC. 5.2.8 Validity period of the notification of a certification body shall be in principle that of its accreditation. 5.2.9 Notification of certification bodies shall be terminated or suspended in case the requirements stipulated in the sections above are not fulfilled.	
23.	Are the procedures for PEFC notification of certification bodies non-discriminatory?	Annex 6, 6	YES	SGEC ST Doc 1 5.2.7	5.2.7 Discriminative treatment against certification bodies shall not be included in the requirements for notification of certification bodies against SGEC.	Conforms

PART V: STANDARD AND SYSTEM REQUIREMENT CHECKLIST FOR SYSTEM SPECIFIC CHAIN OF CUSTODY STANDARDS – COMPLIANCE WITH PEFC ST PEFC 2002:2020

3. Controversial sources definition

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p>3.7 Controversial sources Forest and tree based material sourced from:</p> <p>a) Activities not complying with applicable local, national or 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; anticorruption and the payment of applicable royalties and taxes.</p>	<p>3.7 Controversial sources Forest and tree based material sourced from:</p> <p>a) Activities not complying with applicable local (prefectural, etc. in Japan), national or 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; anticorruption and the payment of applicable royalties and taxes.</p> <p>h) Conflict timber.</p> <p>i) Genetically modified trees.</p> <p><i>Note 1</i> (on 3.7 b, d and e): Not considered “controversial sources” are such activities in short rotation forest plantations with harvesting cycles under 35 years, that are on agricultural land.</p> <p><i>Note 2</i> (on 3.7 i): 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 such as selective breeding and cross breeding, no genetically modified trees will be used.</p>	<p>Conforms</p>

<p>b) Activities where the capability of forests to produce a range of wood and non-wood forest products and services on a sustainable basis is not maintained or harvesting levels exceed a rate that can be sustained in the long term.</p>	<p>b) Activities where the capability of forests to produce a range of wood and non-wood forest products and services on a sustainable basis is not maintained or harvesting levels exceed a rate that can be sustained in the long term.</p>	<p>Conforms</p>
<p>c) Activities where forest management does not contribute to the maintenance, conservation or enhancement of biodiversity on landscape, ecosystem, species or genetic levels.</p>	<p>c) Activities where forest management does not contribute to the maintenance, conservation or enhancement of biodiversity on landscape, ecosystem, species or genetic levels. iv. makes a contribution to long-term conservation, local economic, and/or social benefits.</p>	<p>Conforms</p>
<p>d) Activities where ecologically important forest areas are not identified, protected, conserved or set aside.</p>	<p>d) Activities where ecologically important forest areas are not identified, protected, conserved or set aside.</p>	<p>Conforms</p>
<p>e) Activities where forest conversions occur, in other than justified circumstances where the conversion:</p> <ul style="list-style-type: none"> i. is in compliance with national and regional policy and legislation applicable for land use and forest management, and ii. does not have negative impacts on ecologically important forest areas, culturally and socially significant areas, or other protected areas, and iii. does not destroy areas of significantly high carbon stock, and iv. makes a contribution to long-term conservation, economic, and/or social benefits. 	<p>e) Activities where forest conversions occur, in other than justified circumstances where the conversion:</p> <ul style="list-style-type: none"> i. is in compliance with national and regional policy and legislation applicable for land use and forest management, and ii. does not have negative impacts on ecologically important forest areas, culturally and socially significant areas, or other protected areas, and iii. does not destroy areas of significantly high carbon stock, and 	<p>Conforms</p>
<p>f) Activities where the spirit of the ILO Declaration on Fundamental Principles and Rights at Work (1998) is not met.</p>	<p>f) Activities where the spirit of the ILO Declaration on Fundamental Principles and Rights at Work (1998) is not met. 135</p>	<p>Conforms</p>

g) Activities where the spirit of the United Nations Declaration on the Rights of Indigenous Peoples (2007) is not met.	g) Activities where the spirit of the United Nations Declaration on the Rights of Indigenous Peoples (2007) is not met.	Conforms
h) Conflict timber.	h) Conflict timber.	Conforms
i) Genetically modified trees.	i) Genetically modified trees.	Conforms

4. Management system requirements

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p>4.1 General requirements</p> <p>4.1.1 The organisation shall operate a management system in accordance with the requirements of this standard, to ensure correct implementation and maintenance of the PEFC chain of custody process(es). The management system shall be appropriate to the type, range and volume of work performed, and cover outsourced activities relevant for the organisation’s chain of custody and all sites in case of multi-site organisations (see Appendix 2).</p>	<p>4.1.1 The organization shall operate a management system in accordance with the requirements of this standard, to ensure correct implementation and maintenance of the SGEC chain of custody process(es). The management system shall be appropriate to the type, range and volume of work performed, and cover outsourced activities relevant for the organization’s chain of custody and all sites in case of multi-site organizations (see Appendix 2).</p>	Conforms
<p>4.1.2 The organisation shall define the scope of its PEFC chain of custody by specifying the PEFC product groups for which the requirements of the PEFC chain of custody are implemented.</p>	<p>4.1.2 The organization shall define the scope of its SGEC chain of custody by specifying the SGEC product groups for which the requirements of the SGEC chain of custody are implemented.</p>	Conforms
<p>4.1.3 The organisation shall only make PEFC claims and PEFC related statements that are correct to the best of its knowledge and covered by its PEFC chain of custody.</p>	<p>4.1.3 The organization shall only make SGEC claims and SGEC related statements that are correct to the best of its knowledge and covered by its SGEC chain of custody.</p>	Conforms
<p>4.2 Documented procedures</p>		

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p>4.2.1 The organisation shall establish written documented procedures for its PEFC chain of custody.</p> <p>The documented procedures shall include at least the following elements:</p>		
<p>a) responsibilities and authorities relating to the PEFC chain of custody</p>	<p>4.2.1 The organization shall establish written documented procedures for its SGEC chain of custody. The documented procedures shall include at least the following elements:</p> <p>a) responsibilities and authorities of the organization relating to the SGEC chain of custody</p>	<p>Conforms</p>
<p>b) description of the raw material flow within the production/trading process(es), including definition of product groups</p>	<p>b) description of the raw material flow within the production/trading process(es), including definition of product groups</p>	<p>Conforms</p>
<p>c) procedures for PEFC chain of custody process(es) covering all requirements of this standard, including:</p> <ul style="list-style-type: none"> i. identification of material categories ii. physical separation of PEFC certified material, PEFC controlled sources material and other material iii. definition of product groups, calculation of certified content, management of credit accounts, transfer to outputs (for organisations applying percentage or credit method) iv. sale/transfer of products and PEFC claims, including documentation in which PEFC claims are made, and other on- and off-product trademark use 	<p>c) procedures for SGEC chain of custody process(es) covering all requirements of this standard, including:</p> <ul style="list-style-type: none"> i. identification of material categories ii. physical separation of SGEC certified material, SGEC controlled sources material and other material iii. definition of product groups, calculation of certified content, management of credit accounts, transfer to outputs (for organizations applying percentage or credit method) iv. sale/transfer of products and SGEC claims, including documentation in which SGEC claims are made, and other on- and off-product trademark use 	<p>Conforms</p>

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<ul style="list-style-type: none"> v. record keeping vi. internal audits and non-conformity control vii. the Due Diligence System viii. complaints resolution ix. outsourcing 	<ul style="list-style-type: none"> v. record keeping vi. internal audits and non-conformity control vii. the Due Diligence System viii. complaints resolution ix. outsourcing 	
<p>4.3 Responsibilities and authorities</p> <p>4.3.1 General responsibilities</p> <p>4.3.1.1 The organisation's management shall define and document its commitment to implement and maintain the chain of custody requirements in accordance with this standard. The organisation's commitment shall be made available to the organisation's personnel, suppliers, customers, and other interested parties</p>	<p>4.3.1.1 The organization's management shall define and document its commitment to implement and maintain the chain of custody requirements in accordance with this standard. The organization's commitment shall be made available to the organization's personnel, suppliers, customers, and other interested parties.</p>	Conforms
<p>4.3.1.2 The organisation's management shall appoint a member of the management who, irrespective of other responsibilities, shall have overall responsibility and authority for the organisation's PEFC chain of custody.</p>	<p>4.3.1.2 The organization's management shall appoint a member of the management who, irrespective of other responsibilities, shall have overall responsibility and authority for the organization's SGEC chain of custody.</p>	Conforms
<p>4.3.2 Responsibilities and authorities for chain of custody</p> <p>The organisation shall identify the personnel performing activities for the implementation and maintenance of its PEFC chain of custody and shall establish personnel responsibilities and authorities for the implementation of the procedures 4.2.1 c) i-viii.</p>	<p>4.3.2 Responsibilities and authorities for chain of custody</p> <p>The organization shall identify the personnel performing activities for the implementation and maintenance of its SGEC chain of custody and shall establish personnel responsibilities and authorities for the implementation of the procedures 4.2.1 c) i-viii.</p>	Conforms

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p>Note: The responsibilities and authorities for the PEFC chain of custody given above can be cumulative.</p>		
<p>4.4 Record keeping</p> <p>4.4.1 To provide evidence of conformity with the requirements of this standard, the organisation shall establish and maintain at least the following records relating to the product groups covered by its PEFC chain of custody</p>		
<p>a) Records of all suppliers of input material delivered with a PEFC claim, including evidence of the suppliers' PEFC certified status.</p> <p><i>Note:</i> Evidence can be a print-out from the PEFC website.</p>	<p>4.4.1 To provide evidence of conformity with the requirements of this standard, the organization shall establish and maintain at least the following records relating to the product groups covered by its SGEC chain of custody:</p> <p>a) Records of all suppliers of input material delivered with a SGEC claim, including evidence of the suppliers' SGEC certified status.</p> <p><i>Note:</i> Evidence of SGEC certified status can be a print-out from the SGEC website.</p>	<p>Conforms</p>
<p>b) Records of all input material, including PEFC claims and documents associated to the delivery of the input material, and for recycled input material, information demonstrating that the definition of recycled material is met.</p>	<p>b) Records of all input material, including SGEC claims and documents associated to the delivery of the input material, and for recycled input material, information demonstrating that the definition of recycled material is met.</p>	<p>Conforms</p>
<p>c) Records of calculation of the certified content, transfer of the percentage to output products and management of the credit account, as applicable.</p>	<p>c) Records of calculation of the certified content, transfer of the percentage to output products and management of the credit account, as applicable.</p>	<p>Conforms</p>

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
d) Records of all products sold/transferred, including PEFC claims and documents associated to the delivery of the output products.	d) Records of all products sold/transferred, including SGEC claims and documents associated to the delivery of the output products.	Conforms
e) Records of the Due Diligence System, including records of risk assessments and significant risk supplies management, as applicable.	e) Records of the Due Diligence System, including records of risk assessments and significant risk supplies management, as applicable.	Conforms
f) Records of internal audits, periodic chain of custody review, non-conformities and corrective actions.	f) Records of internal audits, periodic chain of custody review, non-conformities and corrective actions.	Conforms
g) Records on complaints and their resolution.	g) Records on complaints and their resolution.	Conforms
<p>4.4.2 The organisation shall maintain the records for a minimum period of five years.</p>		
<p>4.5 Resource management</p> <p>4.5.1 Human resources/personnel</p> <p>The organisation shall ensure and demonstrate that all personnel performing activities affecting the implementation and maintenance of its PEFC chain of custody are competent on the basis of appropriate training, education, skills and experience.</p>	<p>4.5.1 Human resources/personnel</p> <p>The organization shall ensure and demonstrate that all personnel performing activities affecting the implementation and maintenance of its SGEC chain of custody are competent on the basis of appropriate training, education, skills and experience.</p>	Conforms
<p>4.5.2 Technical facilities</p> <p>The organisation shall identify, provide and maintain the infrastructure and technical facilities needed for effective implementation and maintenance of its PEFC chain of custody with the requirements of this standard.</p>	<p>4.5.2 Technical facilities</p> <p>The organization shall identify, provide and maintain the infrastructure and technical facilities needed for effective implementation and maintenance of its SGEC chain of custody with the requirements of this standard.</p>	Conforms

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p>4.6 Inspection and control</p> <p>4.6.1 The organisation shall conduct internal audits at least annually, and prior to the initial certification audit, covering its compliance with all requirements of this standard applicable to the organisation, including activities covered by outsourcing, and establish corrective and preventive measures if required.</p> <p><i>Note:</i> Informative guidance for performing internal audits is given in ISO 19011.</p>	<p>4.6.1 The organization shall conduct internal audits at least annually, and prior to the initial certification audit, covering its compliance with all requirements of this standard applicable to the organization, including activities covered by outsourcing, and establish corrective and preventive measures if required.</p> <p><i>Note:</i> Informative guidance for performing internal audits is given in ISO 19011.</p>	<p>Conforms</p>
<p>4.6.2 The organisation’s management shall review the result of the internal audit and the organisation’s PEFC chain of custody at least annually.</p>	<p>4.6.2 The organization’s management shall conduct the internal audit and review the result of implementation of the organization’s SGEC chain of custody at least annually.</p>	<p>Conforms</p>
<p>4.7 Complaints</p> <p>4.7.1 The organisation shall establish procedures for dealing with complaints from suppliers, customers and other parties relating to its chain of custody, reflecting the requirements of 4.7.2.</p>	<p>4.7.1 The organization shall establish procedures for dealing with complaints from suppliers, customers and other parties relating to its chain of custody, reflecting the requirements of 4.7.2.</p>	<p>Conforms</p>
<p>4.7.2 Upon receipt of a complaint in writing, the organisation shall:</p>		
<p>a) formally acknowledge the complaint to the complainant within ten workdays</p>	<p>4.7.2 Upon receipt of a complaint in writing, the organization shall:</p> <p>a) formally acknowledge the complaint to the complainant within ten workdays</p>	<p>Conforms</p>

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
b) gather and verify all necessary information to evaluate and validate the complaint and make a decision on the complaint	b) gather and verify all necessary information to evaluate and validate the complaint and make a decision on the complaint	Conforms
c) formally communicate the decision on the complaint and of the complaint handling process to the complainant	c) formally communicate the decision on the complaint and of the complaint handling process to the complainant	Conforms
d) ensure that appropriate corrective and preventive actions are taken, if necessary	d) ensure that appropriate corrective and preventive actions are taken, if necessary	Conforms
<p>4.8 Nonconformity and corrective action</p> <p>4.8.1 When a nonconformity with the requirements of this standard is identified through internal or external auditing, the organisation shall:</p>		
<p>a) react to the nonconformity and, as applicable:</p> <ul style="list-style-type: none"> i. take action to control and correct it ii. address the consequences 	<p>4.8.1 When a nonconformity with the requirements of this standard is identified through internal or external auditing, the organization shall:</p> <p>a) react to the nonconformity and:</p> <ul style="list-style-type: none"> i. take action to control and correct it ii. address the consequences by, for example, notify information on the consequences to related parties 	Conforms
<p>b) evaluate the need for action to eliminate the causes of the nonconformity, in order that it does not recur or occur elsewhere, by:</p> <ul style="list-style-type: none"> i reviewing the nonconformity 	<p>b) evaluate the need for action to eliminate the causes of the nonconformity, in order that it does not recur or occur elsewhere, by:</p> <ul style="list-style-type: none"> i. reviewing the nonconformity 	Conforms

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
ii determining the causes of the nonconformity	ii. determining the causes of the nonconformity	
iii determining if similar nonconformities exist, or could potentially occur	iii. determining if similar nonconformities exist, or could potentially occur	
c) implement any action needed	c) implement any action needed	Conforms
d) review the effectiveness of any corrective action taken	d) review the effectiveness of any corrective action taken	Conforms
e) make changes to the management system, if necessary	e) make changes to the management system, if necessary	Conforms
4.8.2 Corrective action shall be appropriate to the effects of the nonconformities encountered.	4.8.2 Corrective action shall be appropriate to the effects of the nonconformities encountered.	Conforms
4.8.3 The organisation shall retain documented information as evidence of:		
a) the nature of the nonconformities and any subsequent actions taken	4.8.3 The organization shall retain documented information as evidence of: a) the nature of the nonconformities and any subsequent actions taken	Conforms
b) the results of any corrective action	b) assessment of the results of any corrective action	Conforms
4.9 Outsourcing 4.9.1 The organisation may outsource activities covered by its PEFC chain of custody to another entity.	4.9.1 The organization may outsource activities covered by its SGEC chain of custody to another entity.	Conforms

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p>4.9.2 Through all stages of outsourcing the organisation shall be responsible for ensuring that all outsourced activities meet the requirements of this standard, including management system requirements. The organisation shall have a written agreement with all entities to whom activities have been outsourced, ensuring that:</p>		
<p>a) The material/products covered by the organisation’s PEFC chain of custody are physically separated from other material or products.</p>	<p>4.9.2 Through all stages of outsourcing the organization shall be responsible for ensuring that all outsourced activities meet the requirements of this standard, including management system requirements. The organization shall have a written agreement with all entities to whom activities have been outsourced, ensuring that:</p> <p>a) The material/products covered by the organization’s SGEC chain of custody are physically separated from other material or products. and</p>	Conforms
<p>b) The organisation has access to the entity’s site(s) for internal and external auditing of outsourced activities for conformity with the requirements of this standard.</p> <p><i>Note 1:</i> A template for an outsourcing agreement can be obtained from the PEFC Council and PEFC authorised bodies.</p> <p><i>Note 2:</i> Internal audits of outsourced activities should be conducted at least annually and before the outsourced activity starts.</p>	<p>b) The organization has access to the entity’s site(s) for internal and external auditing of outsourced activities for conformity with the requirements of this standard.</p> <p><i>Note 1:</i> A template for an outsourcing agreement can be obtained from the SGEC/PEFC Japan.</p> <p><i>Note 2:</i> Internal audits of outsourced activities should be conducted at least annually and before the outsourced activity starts</p>	Conforms
<p>4.10 Social, health and safety requirements in chain of custody</p> <p>This clause includes requirements relating to health, safety and labour issues that are based on ILO Declaration on Fundamental Principles and Rights at Work (1998).</p>		Conforms

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
4.10.1 The organisation shall demonstrate its commitment to comply with the social, health and safety requirements defined in this standard.	4.10.1 The organization shall demonstrate its commitment to comply with the social, health and safety requirements defined in this standard.	Conforms
4.10.2 The organisation shall demonstrate that:		
a) workers are not prevented from associating freely, choosing their representatives and bargaining collectively with their employer	4.10.2 The organization shall demonstrate that: a) workers are not prevented from associating freely, choosing their representatives and bargaining collectively with their employer	Conforms
b) forced labour is not used	b) forced labour is not used	Conforms
c) workers, who are under the minimum legal age, the age of 15, or the compulsory school attendance age, whichever is higher, are not used	c) workers, who are under the minimum legal age, the age of 15, or the compulsory school attendance age, whichever is higher, are not used	Conforms
d) workers are not denied equal employment opportunities and treatment	d) workers are not denied equal employment opportunities and treatment	Conforms
e) working conditions do not endanger safety or health	e) working conditions do not endanger safety or health	Conforms

5. Identification of inputs and declaration of outputs

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p>5.1 Identification of input material</p> <p>5.1.1 For each delivery of material used as input for a PEFC product group the organisation shall obtain documentation with the following information from the supplier:</p>		
<p>a) supplier identification</p>	<p>5.1.1 For each delivery of material used as input for a SGEC product group the organization shall obtain documentation with the following information from the supplier:</p> <p>a) supplier identification</p>	<p>Conforms</p>
<p>b) product identification</p>	<p>b) material/product identification</p>	<p>Conforms</p>
<p>c) quantity of products</p>	<p>c) quantity of material/products</p>	<p>Conforms</p>
<p>d) delivery identification based on date of delivery, delivery period, or accounting period</p>	<p>d) delivery identification based on date of delivery, delivery period, or accounting period.</p>	<p>Conforms</p>
<p>e) the organisation's name as the PEFC customer of the delivery</p>	<p>For inputs/products with a SGEC claim the document shall also include:</p> <p>e) the organization's name as the SGEC customer of the delivery</p>	<p>Conforms</p>
<p>f) the applicable PEFC claim specifically for each claimed product covered by the documentation</p>	<p>f) the applicable SGEC claim specifically for each claimed product covered by the documentation</p>	<p>Conforms</p>
<p>g) the certificate number of the supplier's PEFC recognised certificate</p>	<p>g) the certificate number of the supplier's SGEC certificate</p>	<p>Conforms</p>

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p><i>Note 1:</i> The certificate number is a numerical or alpha-numerical combination, which is a unique identifier of the certificate.</p> <p><i>Note 2:</i> An example of delivery documentation is an invoice or delivery note providing the information required.</p>	<p><i>Note 1:</i> The certificate number is a numerical or alpha-numerical combination, which is a unique identifier of the certificate.</p> <p><i>Note 2:</i> An example of delivery documentation is an invoice or delivery note providing the information required.</p>	
<p>5.1.2 Identification at supplier level</p> <p>5.1.2.1 For all inputs delivered with a PEFC claim the organisation shall verify that the supplier is covered by a PEFC recognised certificate on the PEFC website.</p>	<p>5.1.2.1 For all inputs delivered with a SGEC claim the organization shall verify that the supplier is covered by a SGEC certificate on the SGEC/PEFC Japan website, .Note: As evidence that a supplier is covered by a SGEC certificate, the website of SGEC/PEFC Japan, SGEC information and registration system and a copy of the organization’s SGEC certificate can be reference.</p>	Conforms
<p>5.1.2.2 For each delivery of material used as input for a PEFC product group the organisation shall classify the material category of the procured material.</p>	<p>5.1.2.2 For each delivery of material used as input for a SGEC product group the organization shall classify the material category of the procured material.</p>	Conforms
<p>5.2 Declaration of outputs</p> <p>5.2.1 For outputs from a PEFC product group for which the organisation makes a PEFC claim to a PEFC customer, it shall provide the customer with documentation providing the following information for each delivery:</p>		
<p>a) PEFC customer identification</p>	<p>5.2.1 For outputs from a SGEC product group for which the organization makes a SGEC claim to a SGEC customer, it shall provide the customer with documentation providing the following information for each delivery:</p> <p>a) SGEC customer identification</p>	Conforms

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
b) the organisation’s name as the supplier of the material	b) the organization’s name as the supplier of the material	Conforms
c) product identification	c) product identification	Conforms
d) quantity of product(s)	d) quantity of product(s)	Conforms
e) date of delivery / delivery period / accounting period	e) date of delivery / delivery period / accounting period	Conforms
f) the applicable PEFC claim specifically for each claimed product covered by the documentation	f) the applicable SGEC claim specifically for each claimed product covered by the documentation	Conforms
g) the certificate number of the organisation’s PEFC recognised certificate <i>Note:</i> The certificate number is a numerical or alpha-numerical combination which is a unique identifier of the certificate.	g) the certificate number of the organization’s SGEC recognized certificate <i>Note:</i> The certificate number is a numerical or alpha-numerical combination which is a unique identifier of the certificate.	Conforms
5.2.2 The organisation shall specify the type of documentation in which PEFC claims on outputs are made	5.2.2 The organization shall specify the type of documentation in which SGEC claims on outputs are made.	Conforms
5.3 Trademark use 5.3.1 The use of the PEFC trademarks i.e. PEFC logo and labels, chain of custody claims on-product and PEFC initials, shall be in compliance with PEFC ST 2001, PEFC Trademarks Rules – Requirements.	5.3 Trademark use 5.3.1 The use of the SGEC trademarks i.e. SGEC logo and labels, chain of custody claims on-product and SGEC initials, shall be in compliance with SGEC Standard Document 6 “SGEC Trademark Rules – Requirements”.	Conforms

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p>5.3.2 In order to enable the organisation to use the PEFC trademarks in accordance with the PEFC Trademarks Rules, the organisation shall obtain a valid trademark license from the PEFC Council or another PEFC authorised body.</p>	<p>5.3.2 In order to enable the organization to use the SGEC trademarks in accordance with the SGEC Trademarks Rules, the organization shall obtain a valid trademark license from SGEC/PEFC Japan.</p>	<p>Conforms</p>
<p>5.4 Content of recycled material</p> <p>5.4.1 For products covered by the organisation’s PEFC chain of custody that include recycled material, the organisation shall calculate the content of recycled material based on ISO 14021 and inform about it upon request.</p>	<p>5.4 Content of recycled material</p> <p>5.4.1 For products covered by the organization’s SGEC chain of custody that include recycled material, the organization shall calculate the content of recycled material (in ratio or volume) based on ISO 14021 and inform about it upon request.</p>	<p>Conforms</p>

6. Chain of custody methods

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p>6.1 General</p> <p>6.1.1 There are three methods to implement the PEFC chain of custody, namely the physical separation method, the percentage method and the credit method. Depending on the nature of material flows and processes, the organisation shall choose the appropriate method.</p>	<p>6.1.1 There are three methods to implement the SGEC chain of custody, namely the physical separation method, the percentage method and the credit method. Depending on the nature of material flows and processes, the organization shall choose the appropriate method.</p>	<p>Conforms</p>
<p>6.1.2 The organisation shall implement the chosen chain of custody method(s) of this standard for specific PEFC product groups.</p>	<p>6.1.2 The organization shall implement the chosen chain of custody method(s) of this standard for specific SGEC product groups.</p>	<p>Conforms</p>

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p>6.1.3 PEFC product groups shall be established for products with equivalent input material, with the same measurement unit or units that can be converted into a single measurement unit.</p>	<p>6.1.3 SGEC product groups shall be established for products with equivalent input material, with the same measurement unit or units that can be converted into a single measurement unit.</p>	<p>Conforms</p>
<p>6.1.4 The organisation shall only use PEFC certified material and PEFC controlled sources material as input for PEFC product groups.</p>	<p>6.1.4 The organization shall only use SGEC certified material and SGEC controlled sources material as input for PEFC product groups.</p>	<p>Conforms</p>
<p>6.2 Physical separation method</p> <p>6.2.1 The organisation applying the physical separation method shall ensure that material with different material categories and different certified content are kept separate or clearly identifiable at all stages of the production or trading process.</p> <p><i>Note:</i> Physical separation can be achieved by any means ensuring that material category and certified content can be identified, for example, through separate storage, marking, distinguishing product characteristics or production time.</p>	<p>6.2.1 The organization applying the physical separation method shall ensure that material with different material categories and different certified content are kept separate or clearly identifiable at all stages of the production or trading process.</p> <p><i>Note:</i> Physical separation can be achieved by any means ensuring that material category and certified content can be identified, for example, through separate storage, marking, distinguishing product characteristics or production time.</p>	<p>Conforms</p>
<p>6.2.2 Where material with different certified content is used as input in the same PEFC product group, the organisation shall use the lowest certified content of the input as certified content of the output.</p> <p><i>Example:</i> An organisation using material with 100%, 75% and 70% certified content as input in the same PEFC product group under the physical separation method can claim the output as 70% PEFC certified.</p>	<p>6.2.2 Where material with different certified content is used as input in the same SGEC product group, the organization shall use the lowest certified content of the input as certified content of the output.</p> <p><i>Example:</i> An organization using material with 100%, 75% and 70% certified content as input in the same SGEC product group under the physical separation method can claim the output as 70% PEFC certified.</p>	<p>Conforms</p>
<p>6.2.2.1 Where PEFC certified material and PEFC controlled sources material is used as input in the same PEFC product group under the physical separation method, the organisation shall claim the output as PEFC controlled sources.</p>	<p>6.2.2.1 Where SGEC certified material and SGEC controlled sources material is used as input in the same SGEC product group under the physical separation method, the organization shall claim the output as SGEC controlled sources.</p>	<p>Conforms</p>

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p>6.3 Percentage method</p> <p>6.3.1 The percentage method may be implemented to calculate the certified content of PEFC product groups for which PEFC certified material and PEFC controlled sources material were used as input material.</p>	<p>6.3 Percentage method</p> <p>6.3.1 The percentage method may be implemented to calculate the certified content of SGEC product groups for which SGEC certified material and SGEC controlled sources material were used as input material.</p>	<p>Conforms</p>
<p>6.3.2 Calculation of certified content</p> <p>6.3.2.1 The organisation shall calculate the certified content separately for each PEFC product group and for a specific claim period according to the following formula:</p> $Cc [\%] = (Vc / (Vc + Vcm)) \times 100$ <p>(Cc: certified content; Vc: volume of PEFC certified material; Vcm: volume of PEFC controlled sources material)</p> <p>Note: Neutral material is not considered in the calculation of the certified content</p>	<p>6.3.2 Calculation of certified content</p> <p>6.3.2.1 The organization shall calculate the certified content separately for each SGEC product group and for a specific claim period according to the following formula:</p> $Cc [\%] = (Vc / (Vc + Vcm)) \times 100$ <p>(Cc: certified content; Vc: volume of SGEC certified material; Vcm: volume of SGEC controlled sources material)</p>	<p>Conforms</p>
<p>6.3.2.2 The organisation shall calculate the certified content based on a single measurement unit used for all material covered by the calculation. In case of conversion to a single measurement unit for calculation purposes, the organisation shall only use generally recognised conversion ratios and methods. If a suitable, generally recognised conversion ratio does not exist, the organisation shall define and use a reasonable and credible conversion ratio.</p>	<p>6.3.2.2 The organization shall calculate the certified content based on a single measurement unit used for all material covered by the calculation. In case of conversion to a single measurement unit for calculation purposes, the organization shall only use generally recognized conversion ratios and methods. If a suitable, generally recognized conversion ratio does not exist, the organization shall define and use a reasonable and credible conversion ratio.</p>	<p>Conforms</p>
<p>6.3.2.3 If input material/products include only a proportion of PEFC certified material, then only the quantity corresponding to the certified content shall enter the calculation formula as PEFC certified material. The rest of the material shall enter the calculation as PEFC controlled sources material.</p>	<p>6.3.2.3 If input material/products include only a proportion of SGEC certified material, then only the quantity corresponding to the certified content shall enter the calculation formula as SGEC certified material. The rest of the material shall enter the calculation as SGEC controlled sources material.</p>	<p>Conforms</p>

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p><i>Example:</i> 1t of material delivered with the PEFC claim “70% PEFC certified” and 1t of material delivered with the PEFC claim “100% PEFC certified” are used as input. Using the formula under 6.3.3.1 the certified content is $Cc[\%]=((700kg+1000kg)/((700+1000)+300))\times 100 = (1700/2000)\times 100 = 2t$ of 85% PEFC certified material.</p>	<p><i>Example:</i> 1t of material delivered with the SGEC claim “70% SGEC certified” and 1t of material delivered with the SGEC claim “100% SGEC certified” are used as input. Using the formula under 6.3.3.1 the certified content is $Cc[\%]=((700kg+1000kg)/((700+1000)+300))\times 100 = (1700/2000)\times 100 = 2t$ of 85% content.</p>	
<p>6.3.3 The certified content calculated for a PEFC product group shall be used as percentage in the PEFC claim “X% PEFC certified”.</p> <p><i>Example:</i> If the certified content of a PEFC product group has been calculated as being 54% for a specific claim period, all products covered by the product group can, during this claim period, be sold/ transferred as PEFC certified products with the PEFC claim “54 % PEFC certified”.</p> <p><i>Note:</i> This standard does not define a minimum threshold for the certified content that needs to be met in order to communicate the certified content of a PEFC certified product with the PEFC claim X% PEFC certified. However, minimum thresholds for the use of the PEFC trademarks on-product are defined in the PEFC Trademarks Rules, PEFC ST 2001.</p>	<p>6.3.3 The certified content calculated for a SGEC product group shall be used as percentage in the SGEC claim “X% SGEC certified”.</p> <p><i>Example:</i> If the certified content of a SGEC product group has been calculated as being 54% for a specific claim period, all products covered by the product group can, during this claim period, be sold/transferred as SGEC certified products with the SGEC claim “54 % SGEC certified”.</p> <p><i>Note:</i> This standard does not define a minimum threshold for the certified content that needs to be met in order to communicate the certified content of a SGEC certified product with the SGEC claim X% SGEC certified. However, minimum thresholds for the use of the SGEC trademarks on-product are defined in the SGEC Standard Document 6 “SGEC Trademarks Rules-Requirements”.</p>	Conforms
<p>6.3.4 The organisation may apply the percentage method as rolling percentage.</p>	<p>6.3.4 The organization may apply percentage calculated by the percentage method for calculation of rolling percentage.</p>	Conforms
<p>6.3.5 The organisation applying rolling percentage shall calculate the certified content of a PEFC product group and claim period based on material procured during an input period preceding the claim period. The claim period, in</p>	<p>6.3.5 The organization applying rolling percentage shall calculate the certified content of a SGEC product group and claim period based on material procured during an input period preceding the claim period. The claim period, in the case</p>	Conforms

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p>the case of rolling percentage, shall not exceed 3 months and the input period shall not exceed 12 months.</p> <p><i>Example:</i> An organisation that has chosen a 3-month claim period and a 12-month input period calculates the certified content for the coming three months based on the input material procured in the previous 12 months.</p>	<p>of rolling percentage, shall not exceed 3 months and the input period shall not exceed 12 months.</p> <p><i>Example:</i> An organization that has chosen a 3-month claim period and a 12-month input period calculates the certified content for the coming three months based on the input material procured in the previous 12 months.</p>	
<p>6.4 Credit method</p> <p>6.4.1 The credit method may be implemented to transfer credits gained from the input of PEFC certified material to PEFC controlled sources material within the same PEFC product group.</p>	<p>6.4.1 The credit method may be implemented to transfer credits gained from the input of SGEC certified material to SGEC controlled sources material within the same SGEC product group.</p>	Conforms
<p>6.4.2 The organisation shall create and manage a credit account for credits gained from input of PEFC certified material. The credits shall be calculated in a single measurement unit. It may be required to define conversion factor(s) for the conversion of the measurement unit(s) of the input components to the output products.</p>	<p>6.4.2 The organization shall create and manage a credit account for credits gained from input of SGEC certified material. The credits shall be calculated in a single measurement unit. It may be required to define conversion factor(s) for the conversion of the measurement unit(s) of the input components to the output products.</p>	Conforms
<p>6.4.3 The total quantity of credits accumulated in the credit account shall not exceed the sum of credits entered into the credit account during the last 24 months. The 24-month maximum period may be extended, where the organisation can demonstrate that the average production period of the product in question is longer than 24 months.</p> <p><i>Example:</i> If the average production period of a product (including maturing, for example) is 36 months, the organisation can extend the 24-month maximum period for the accumulation of credits to 36 months.</p>	<p>6.4.3 The total quantity of credits accumulated in the credit account shall not exceed the sum of credits entered into the credit account during the last 24 months. The 24-month maximum period may be extended, where the organization can demonstrate that the average production period of the product in question is longer than 24 months.</p> <p><i>Example:</i> If the average production period of a product (including maturing, for example) is 36 months, the organization can extend the 24-month maximum period for the accumulation of credits to 36 months.</p>	Conforms

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p>6.4.4 The organisation shall apply the credit method for a single claim. The organisation receiving a delivery of material with a PEFC claim and a claim against another certification system, shall either use it as a combined credit covering both claims or shall only use one of the received claims for calculating the volume credits.</p> <p><i>Example:</i> An organisation receiving a delivery of material with two claims relating to two certification systems either establishes a credit account for the multiple claim (e.g. PEFC certified/[other system claim]) or decides, which single claim (either PEFC certified or [other system claim]) will be entered into the respective volume credit account.</p>	<p>6.4.4 The organization shall apply the credit method for a single claim. The organization receiving a delivery of material with a SGEC claim and a claim against another certification scheme, shall either use it as a combined credit covering both claims or shall only use one of the received claims for calculating the volume credits.</p> <p><i>Example:</i> An organization receiving a delivery of material with two claims relating to two certification schemes either establishes a credit account for the multiple claim (e.g. “x% SGEC certified”/“x% of other scheme” and enter both credits to the account; or decides which single claim (either SGEC certified or certified by other scheme) will be entered into the respective volume credit account.</p>	<p>Conforms</p>
<p>6.4.5 The organisation shall calculate the credits using either:</p> <ul style="list-style-type: none"> a) certified content and volume of output products (clause 6.4.8) or b) input material and input-to-output ratio (clause 6.4.7) 	<p>6.4.5 The organization shall calculate the credits using either:</p> <ul style="list-style-type: none"> a) certified content and volume of output products (clause 6.4.7) or b) input material and input-to-output ratio (clause 6.4.8) 	<p>Conforms</p>
<p>6.4.6 The organisation applying the credit method shall calculate the credits by multiplying the volume of output products of the claim period with the certified content for the relevant claim period.</p> <p><i>Example:</i> If the certified content for the product group of the specific claim period, which consists of 100 tons of output products, is 54%, the organisation achieves volume credits equal to 54 tons (100 x 0.54) of the output products.</p>	<p>6.4.6 The organization applying the credit method shall calculate the credits by multiplying the volume of output products of the claim period with the certified content for the relevant claim period.</p> <p><i>Example:</i> If the certified content for the product group of the specific claim period, which consists of 100 tonnes of output products, is 54%, the organization achieves volume credits equal to 54 tonnes (100 x 0.54) of the output products.</p>	<p>Conforms</p>
<p>6.4.7 The organisation that can demonstrate a verifiable ratio between the input material and output products, may calculate the credits directly from input</p>	<p>6.4.7 The organization that can demonstrate a verifiable ratio between the input material and output products, may calculate the credits directly from input of</p>	<p>Conforms</p>

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p>of PEFC certified material by multiplying the volume of PEFC certified material input with the input-to-output ratio.</p> <p><i>Example:</i> If the volume of PEFC certified material input is 70 m³ (e.g. 100 m³ with the PEFC claim “70% PEFC certified”) and the input-to-output ratio is 0.60 (e.g. 1 m³ of roundwood results in 0.60 m³ of sawn wood), the organisation acquires volume credits equal to 42 m³ (i.e. 70 m³ x 0.60) of sawn wood.</p>	<p>SGEC certified material by multiplying the volume of SGEC certified material input with the input-to-output ratio.</p> <p><i>Example:</i> If the volume of SGEC certified material input is 70 m³ (e.g. 100 m³ with the SGEC claim “70% SGEC certified”) and the input-to-output ratio is 0.60 (e.g. 1 m³ of roundwood results in 0.60 m³ of sawnwood), the organization acquires volume credits equal to 42 m³ (i.e. 70 m³ x 0.60) of sawnwood.</p>	
<p>6.4.8 The organisation shall distribute the credits from the credit account to the output products covered by the credit account. The credits shall be distributed to the output products in a way that the certified products will be considered as either having 100% certified content or as having less than 100% certified content and meeting the organisation’s own threshold. The result of the volume of output products multiplied by the certified content of the output products shall be equal to the distributed credits withdrawn from the credit account.</p> <p><i>Example:</i> The organisation can use 7 units of credits to sell 7 units as 100% PEFC certified, or to sell 10 units as 70% PEFC certified.</p>	<p>6.4.8 The organization shall distribute the credits from the credit account to the output products covered by the credit account. The credits shall be distributed to the output products in a way that the certified products will be considered as either having 100% certified content or as having less than 100% certified content and meeting the organization’s own threshold. The result of the volume of output products multiplied by the certified content of the output products shall be equal to the distributed credits withdrawn from the credit account.</p> <p><i>Example:</i> The organization can use 7 units of credits to sell 7 units as 100% SGEC certified, or sell 10 units as 70% SGEC certified.</p>	Conforms

7. Due Diligence System (DDS) requirements

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	Decision
<p>7.1 General</p> <p>7.1.1 For all material used as input for a PEFC product group, except recycled material, the organisation shall exercise due diligence in line with the PEFC Due Diligence System (DDS) for the avoidance of material from controversial sources laid down in Appendix 1 of this standard. Thereby the</p>		<p>7.1 General</p> <p>7.1.1 For all material used as input for a SGEC product group, except recycled material, the organization shall exercise due diligence in line with the Due Diligence System (DDS) for the avoidance of material from controversial sources laid down in Appendix 1 of this standard. Thereby the</p>	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	Decision
organisation shall establish that for material used as input for PEFC product groups there is “negligible risk” that it originates from controversial sources and that it meets the definition of PEFC controlled sources material.		organization shall establish that for material used as input for SGEC product groups there is “negligible risk” that it originates from controversial sources and that it meets the definition of SGEC controlled sources material.	
<p>7.1.2 For PEFC product groups where only input material used was delivered with a PEFC claim by a supplier covered by a PEFC recognised certificate, an organisation may implement the PEFC DDS by meeting the following requirements:</p>			
<p>a) In order to enable PEFC certified and uncertified entities further down the supply chain to implement a DDS, the organisation shall, upon request, provide the information specified in Appendix 1, 2.1 for material passed on with a PEFC claim. If the organisation does not possess the requested information, the request shall be passed on to relevant supplier(s) of the organisation (Appendix 1, 2.2).</p>		<p>7.1.2 For SGEC product groups where only input material used was delivered with a SGEC claim by a supplier covered by a SGEC certificate, an organization may implement the SGEC DDS by meeting the following requirements:</p> <p>a) In order to enable SGEC certified and uncertified entities further down the supply chain to implement a DDS, the organization shall, upon request, provide the information specified in Appendix 1, 2.1 for material passed on with a SGEC claim. If the organization does not possess the requested information, the request shall be passed on to relevant supplier(s) of the organization (Appendix 1, 2.2).</p>	Conforms
<p>b) Where internal or external substantiated concerns on the origin of input material from controversial sources are raised, the organisation shall follow up on these concerns following Appendix 1, 4.</p>		<p>b) Where internal or external substantiated concerns on the origin of input material from controversial sources are raised, the organization shall follow up on these concerns following Appendix 1, 4.</p>	Conforms
<p>c) The organisation shall define, document and implement a commitment and a procedure, also covering forest and tree based material/products not covered by the organisation’s PEFC chain of custody, ensuring that where it is known to the organisation, or where it has received substantiated concerns, that forest and tree based material/products originates in illegal sources (controversial sources, 3.7a), it shall not be</p>		<p>c) The organization shall define, document and implement a commitment and a procedure, also covering forest and tree based material/products not covered by the organization’s SGEC chain of custody, ensuring that where it is known to the organization, or where it has received substantiated concerns, that forest and tree based material/products originates in illegal</p>	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	Decision
placed on the market until the concern has been resolved in accordance with Appendix 1, 4		sources (controversial sources, 3.7a), it shall not be placed on the market until the concern has been resolved in accordance with Appendix 1, 4	

Appendix 1: PEFC Due Diligence System (DDS) for the avoidance of material from controversial sources
Normative Appendix

1. General requirements

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p>1.1 In order to help ensure that activities conducted by the organisation under the scope of this standard conform to all applicable timber legality legislation, including trade and customs laws, and to minimise the risk that the procured material originates in controversial sources, the organisation shall operate a Due Diligence System (DDS), in accordance with the following elements of this standard.</p>	<p>1.1 In order to help ensure that activities conducted by the organization under the scope of this standard conform to all applicable timber legality legislation, including trade and customs laws, and to minimize the risk that the procured material originates in controversial sources, the organization shall operate a SGEC Due Diligence System (SGEC-DDS), in accordance with the following elements.</p>	Conforms
<p>1.2 The PEFC DDS shall be implemented for all input forest and tree based material covered by the organisation’s PEFC chain of custody and PEFC product groups, with the exception of recycled material. <i>Note:</i> The DDS can be implemented by an organisation for forest and tree based products from forests under its own management.</p>	<p>1.2 The SGEC DDS shall be implemented for all input forest and tree based material covered by the organization’s SGEC chain of custody and SGEC product groups, with the exception of recycled material. <i>Note:</i> The SGEC DDS can be implemented by an organization for forest and tree based products from forests under its own management.</p>	Conforms
<p>1.3 The organisation shall implement the PEFC DDS in three steps relating to:</p> <ul style="list-style-type: none"> a) gathering information b) risk assessment c) management of significant risk supplies 	<p>1.3 The organization shall implement the SGEC DDS in three steps relating to:</p> <ul style="list-style-type: none"> a) gathering information b) risk assessment c) management of significant risk supplies 	Conforms

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p>1.4 The organisation procuring raw material originating from species listed in Appendix I to III of CITES shall comply with applicable legislation relating to CITES.</p>	<p>1.4 The organization procuring raw material originating from species listed in Appendix I to III of CITES shall comply with applicable legislation relating to CITES.</p>	<p>Conforms</p>

2. Access to information

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p>2.1 In order to enable the organisation to implement the PEFC DDS, the organisation shall have access to the following information from its supplier(s):</p>		
<p>a) Identification of tree species included, or list of tree species potentially included, in the material/ product by their common name and/or their scientific name where applicable.</p>	<p>2.1 In order to enable the organization to implement the SGEC DDS, the organization shall have access to the following information from its supplier(s):</p> <p>a) list of tree species included, or list of tree species potentially included, in the material/product by their common name and/or their scientific name where applicable.</p>	<p>Conforms</p>
<p>b) Country of harvest of the material and where applicable sub-national region and/or concession of harvest.</p> <p><i>Note 1:</i> Access to the scientific name of species is required in cases where the usage of a common name could pose a risk of wrong identification of the species.</p> <p><i>Note 2:</i> Usage of a trade name of species is considered as equivalent to the common name in cases where all species covered by the trade name have an equivalent risk of originating in controversial sources.</p> <p><i>Note 3:</i> Access to the sub-national level of the material origin is required in cases where sub-national regions within one country do not represent an equivalent risk relating to the controversial sources.</p> <p><i>Note 4:</i> The term “concession of harvest” refers to a contract for harvest in a geographically defined forest area.</p>	<p>b) Country of harvest of the material and where applicable sub-national region and/or concession of harvest</p> <p><i>Note 1:</i> Access to the scientific name of species is required in cases where the usage of a common name could pose a risk of wrong identification of the species.</p> <p><i>Note 2:</i> Usage of a trade name of species is considered as equivalent to the common name in cases where all species covered by the trade name have an equivalent risk of originating in controversial sources.</p> <p><i>Note 3:</i> Access to the sub-national level of the material origin is required in cases where sub-national regions within one country do not represent an equivalent risk relating to the controversial sources.</p> <p><i>Note 4:</i> The term “concession of harvest” refers to a contract for harvest in a geographically defined forest area.</p>	<p>Conforms</p>

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<i>Note 5:</i> The term “country/region” is further used throughout this clause to identify a country, a sub-national region or a concession of harvest of the material/product origin.	<i>Note 5:</i> The term “country/region” is further used throughout this clause to identify a country, a sub-national region (prefecture or others in Japan) or a concession of harvest of the material/product origin.	
2.2 In order to enable PEFC certified and uncertified entities further down the supply chain to implement a DDS, the organisation shall, upon request, provide the information specified in 2.1 of this appendix for material passed on with a PEFC claim. If the organisation does not possess the requested information, the request shall be passed on to relevant supplier(s) of the organisation.	2.2 In order to enable SGEC certified and uncertified entities further down the supply chain to implement a DDS, the organization shall, upon request, provide the information specified in 2.1 of this appendix for material passed on with a SGEC claim. If the organization does not possess the requested information, the request shall be passed on to relevant supplier(s) of the organization.	Conforms

3. Risk assessment

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
3.1 The organisation shall carry out a risk assessment, assessing the risk of procuring raw material from controversial sources for all input forest and tree based material covered by the organisation’s PEFC chain of custody, with the exception of material/products delivered with a PEFC claim by a supplier with a PEFC recognised certificate, as this material can be considered as having “negligible risk” of originating in controversial sources.	3.1 The organization shall carry out a risk assessment, assessing the risk of procuring raw material from controversial sources for all input forest and tree based material covered by the organization’s SGEC chain of custody, with the exception of material/products delivered with a SGEC claim by a supplier with a SGEC certificate, as this material can be considered as having “negligible risk” of originating in controversial sources.	Conforms
3.2 The organisation’s risk assessment shall result in the classification of material into “negligible” or “significant” risk category.	3.2 The organization’s risk assessment shall result in the classification of material into “negligible” or “significant” risk category.	Conforms
3.3 The organisation’s risk assessment shall be based on the indicators for risk at origin and supply chain level listed in tables 1- 3 below.	3.3 The organization’s risk assessment shall be based on the indicators for risk at origin and supply chain level listed in tables 1- 3 below.	
3.4 Where the organisation’s risk assessment identifies indicators specified in table 1, the organisation may consider the material as having “negligible risk” to originate in controversial sources, and conclude the risk	3.4 Where the organization’s risk assessment identifies indicators specified in table 1, the organization may consider the material as having “negligible risk” to originate in controversial sources, and conclude the risk	Conforms

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
assessment without having to consider the indicators outlined in tables 2 and 3.	assessment without having to consider the indicators outlined in tables 2 and 3.	
<p>3.5 Where the organisation’s risk assessment does not identify indicators specified in table 1, the risk assessment shall be continued against indicators outlined in tables 2 and 3; and where any of these indicators apply, the organisation shall consider the material as having “significant risk” to originate in controversial sources.</p>	<p>3.5 Where the organization’s risk assessment does not identify indicators specified in table 1, the risk assessment shall be continued against indicators outlined in tables 2 and 3; and where any of these indicators apply, the organization shall consider the material as having “significant risk” to originate in controversial sources.</p>	Conforms
<p>3.6 Where none of the indicators outlined in tables 2 and 3 are identified, the organisation may consider the supplies as having “negligible risk” to originate in controversial sources, and conclude the risk assessment.</p>	<p>3.6 Where none of the indicators outlined in tables 2 and 3 are identified, the organization may consider the supplies as having “negligible risk” to originate in controversial sources, and conclude the risk assessment.</p>	Conforms

Table 1: List of indicators for negligible risk		Decision
Indicators		
<p>a) Supplies declared as certified against a forest certification system (other than PEFC endorsed), addressing the activities covered by the term controversial sources, supported by a forest management, chain of custody or fibre sourcing certificate issued by a third party certification body.</p>	<p>Table 1: List of indicators for negligible risk</p> <p>Indicators</p> <p>a) Supplies declared as certified against a forest certification scheme (other than PEFC endorsed), addressing the activities covered by the term controversial sources defined by SGEC, supported by a forest management, chain of custody or fibre sourcing certificate issued by a third party certification body.</p> <p>Note: “fibre” refers to material used not as solid wood, such as pulp, chip or papers.</p>	Conforms

b) Supplies verified by governmental or non-governmental verification or licensing mechanisms other than forest certification systems, addressing the activities covered by the term controversial sources.	b) Supplies verified by governmental or non-governmental verification or licensing mechanisms other than forest certification schemes, addressing the activities covered by the term controversial sources.	Conforms
c) Supplies supported by verifiable documentation that clearly identifies:	c) Supplies supported by verifiable documentation that clearly identifies:	Conforms
i. country of harvest and/or sub-national region where the timber was harvested, where the latest Transparency International (TI) Corruption Perception Index (CPI) score is higher than 50, or where the latest World Justice Project (WJP) Rule of Law Index is higher than 0,5, and	i. country of harvest and/or sub-national region where the timber was harvested, where the latest Transparency International (TI) Corruption Perception Index (CPI) score is higher than 50, or where the latest World Justice Project (WJP) Rule of Law Index is higher than 0,5, and	Conforms
ii. trade name and type of product as well as the common name of tree species and, where applicable, its full scientific name, and	ii. trade name and type of product as well as the common name of tree species and, where “Note” of 2.1 of this appendix is applicable, its full scientific name, and	Conforms
iii. all suppliers within the supply chain, and	iii. all suppliers within the supply chain, and	Conforms
iv. the forest area of the supply origin, and	iv. the forest area of the supply origin, and	Conforms
v. documents, including contractual agreements and self-declarations, or other reliable information indicating that products do not originate from controversial sources .	v. documents, including contractual agreements and self-declarations, or other reliable information indicating that products do not originate from controversial sources.	Conforms

Table 2: List of indicators for significant risk at origin level		
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<p>a) <i>Activities not complying with applicable local, national or 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; anticorruption and the payment of applicable royalties and taxes.</i></p>	<p>Table 2: List of indicators for significant risk at origin level2.3 Indicators a) Activities not complying with applicable local, national or 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; anticorruption and the payment of applicable royalties and taxes.</p>	<p>Conforms</p>
<p>i. The latest Transparency International (TI) Corruption Perception Index (CPI) score of the country is lower than 50 or the latest World Justice Project (WJP) Rule of Law Index of the country is lower than 0,5</p>	<p>i. The latest Transparency International (TI) Corruption Perception Index (CPI) score of the country is lower than 50 or the latest World Justice Project (WJP) Rule of Law Index of the country is lower than 0,5.4</p>	<p>Conforms</p>
<p>ii. The country/region is known as a country with low level of forest governance and law enforcement.</p>	<p>ii. The country/region is known as a country with low level of forest governance and law enforcement.</p>	<p>Conforms</p>
<p>iii. Tree species included in the material/product is known as species with prevalence of activities covered by the term controversial sources (a) or (b) in the country/region.</p>	<p>iii. Tree species included in the material/product is known as species with prevalence of activities covered by the term controversial sources (a) or (b) in the country/region.</p>	<p>Conforms</p>
<p>iv. The country is covered by UN, EU or national government sanctions restricting the export/import of such forest and tree based products</p>	<p>iv. The country is covered by UN, EU, other international organizations or national government sanctions restricting the export/import of such forest and tree based products.</p>	<p>Conforms</p>
<p>b) <i>Activities where the capability of forests to produce a range of wood and non-wood forest products and services on a sustainable basis is not maintained or harvesting levels exceed a rate that can be sustained in the long term.</i></p>	<p>b) Activities where the capability of forests to produce a range of wood and non-wood forest products and services on a sustainable basis is</p>	<p>Conforms</p>

	not maintained or harvesting levels exceed a rate that can be sustained in the long term.	
<p>i. According to publically available data, such as FAO Forest Resource Assessments, the amount of annual harvest of industrial roundwood exceeds the amount of annual increment of growing stock of the country/ region of origin.</p>	<p>i. According to publicly available data, such as FAO Forest Resource Assessments, the amount of annual harvest of industrial roundwood exceeds the amount of annual increment of growing stock of the country/region of origin.</p>	Conforms
<p>c) <i>Activities where forest management does not contribute to the maintenance, conservation or enhancement of biodiversity on landscape, ecosystem, species or genetic levels.</i></p>	<p>c) Activities where forest management does not contribute to the maintenance, conservation or enhancement of biodiversity on landscape, ecosystem, species or genetic levels.</p>	Conforms
<p>d) <i>Activities where ecologically important forest areas are not identified, protected, conserved or set aside.</i></p>	<p>d) Activities where environmentally important forest areas are not identified, protected, conserved or set aside by forest resources survey, mapping and forest management planning .</p>	Conforms
<p>i. The Environmental Performance Index (EPI) score for “Biodiversity & Habitat” of the country is lower than 50. Where no EPI index exists for a certain country, other indicators may be utilised, such as legislation addressing controversial sources elements c and d, combined with evidence of reliable enforcement of legislation (TI CPI score >50, or WJP Rule of Law score >0.5).</p>	<p>i. The Environmental Performance Index (EPI) 5 score for “Biodiversity & Habitat” of the country is lower than 50. Where no EPI index exists for a certain country, other indicators may be utilized, such as legislation addressing controversial sources elements c and d, combined with evidence of reliable enforcement of legislation (TI CPI score >50, or WJP Rule of Law score >0.5).</p>	Conforms
<p>e) <i>Activities where forest conversions occur, in other than justified circumstances where the conversion:</i></p> <p>i. <i>is in compliance with national and regional policy and legislation applicable for land use and forest management; and</i></p> <p>ii. <i>does not have negative impacts on ecologically important forest areas, culturally and socially significant areas, or other protected areas; and</i></p>	<p>e) Activities where forest conversions occur, in other than justified circumstances where the conversion:</p> <p>i. is in compliance with national and regional policy and legislation applicable for land use and forest management; and</p>	Conforms

<p><i>iii. does not destroy areas of significantly high carbon stock; and</i></p> <p><i>iv. makes a contribution to long-term conservation, economic, and/or social benefits.</i></p>	<p>ii. does not have negative impacts on ecologically important forest areas, culturally and socially significant areas, or other protected areas; and</p> <p>iii. does not destroy areas of significantly high carbon stock; and</p> <p>iv. makes a contribution to maintenance of forest functions, and/or economic and social benefits in long-term.</p>	
<p>i. The country/region has been identified as having had a net loss of forest area >1% over the most recent ten years of available data, according to publically available data or information, such as provided by the FAO.</p>	<p>i. The country/region has been identified as having had a net loss of forest area >1% over the most recent ten years of available data, according to publicly available data or information, such as provided by the FAO.</p>	<p>Conforms</p>
<p>ii. In the country/region the net area with conversions from forests to forest plantations exceeds the forest area increase of the country/region, according to publically available data or information, such as provided by the FAO.</p>	<p>ii. In the country/region the net area with conversions from forests to forest plantations exceeds the forest area increase of the country/region, according to publicly available data or information, such as provided by the FAO.</p>	<p>Conforms</p>
<p>f) <i>Activities where the spirit of the ILO Declaration on Fundamental Principles and Rights at Work (1998) is not met.</i></p>	<p>f) Activities where the spirit of the ILO Declaration on Fundamental Principles and Rights at Work (1998) is not met.</p>	<p>Conforms</p>
<p>i. Substantiated studies demonstrate that the ILO Declaration on Fundamental Principles and Rights at Work (1998) is not respected in the country.</p>	<p>i. Substantiated studies demonstrate that the ILO Declaration on Fundamental Principles and Rights at Work (1998) is not respected in the country.</p>	<p>Conforms</p>
<p>g) <i>Activities where the spirit of the United Nations Declaration on the Rights of Indigenous Peoples (2007) is not met.</i></p>	<p>g) Activities where the spirit of the United Nations Declaration on the Rights of Indigenous Peoples (2007) is not met.</p>	<p>Conforms</p>

<p>i. Substantiated studies demonstrate that the spirit of the United Nations Declaration on the Rights of Indigenous Peoples (2007) is not met in the country.</p>	<p>i. Substantiated studies demonstrate that the spirit of the United Nations Declaration on the Rights of Indigenous Peoples (2007) is not met or FPIC is not required in the country.</p>	<p>Conforms</p>
<p>h) <i>Conflict timber.</i></p>	<p>h) Conflict timber.</p>	
<p>i. The country / region has a prevalence of armed conflict according to publicly available data sources such as Fragile State List.</p>	<p>i. The country/region has a prevalence of armed conflict according to publicly available data sources such as Fragile State List.</p>	<p>Conforms</p>
<p>i) <i>Genetically modified trees.</i></p>	<p>i) Genetically modified trees.</p>	
<p>i. According to publicly available data genetically modified forest and tree based organisms are produced in the country/region and placed on the commercial market.</p>	<p>i. According to publicly available data genetically modified forest and tree based organisms are produced in the country/region and placed on the commercial market.</p>	<p>Conforms</p>

<p>Table 3: List of indicators for significant risk at supply chain level</p>		<p>Decision</p>
<p>Indicators</p>		
<p>a) Countries/regions where the products have been traded are unknown.</p>	<p>Table 3: List of indicators for significant risk at supply chain level Indicators a) Countries/regions where the products have been traded are unknown.</p>	<p>Conforms</p>
<p>b) Species in the product are unknown.</p>	<p>b) Species in the product are unknown.</p>	<p>Conforms</p>

c) Evidence of illegal practices concerning controversial sources by any company in the supply chain.	c) Evidence of illegal practices concerning controversial sources by any company in the supply chain.	Conforms
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PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p>3.7 The risk assessment shall be carried out for the first delivery of every individual supplier, or for several suppliers, with the same characteristics listed in 2.1 of this appendix, and the same applicability of indicators according to tables 1-3 above.</p> <p>Note: Where deliveries from suppliers from the same region share the same characteristics listed in 2.1, and the same applicability of indicators according to tables 1-3, the risk assessment can be implemented as an assessment for a whole region.</p>	<p>3.7 The risk assessment shall be carried out for the first delivery of every individual supplier, or for several suppliers, with the same characteristics listed in 2.1 of this appendix, and the same applicability of indicators according to tables 1-3 above.</p> <p>Note: Where deliveries from suppliers from the same region share the same characteristics listed in 2.1, and the same applicability of indicators according to tables 1-3, the risk assessment can be implemented as an assessment for a whole region.</p>	Conforms
<p>3.8 For all material that is subject to the organisation’s risk assessment, the organisation shall keep an updated list of characteristics listed in 2.1 of this appendix and indicators according to tables 1-3 for supplies of individual suppliers and suppliers that share the same characteristics.</p>	<p>3.8 For all material that is subject to the organization’s risk assessment, the organization shall keep an updated list of characteristics listed in 2.1 of this appendix and indicators according to tables 1-3 for supplies of individual suppliers and suppliers that share the same characteristics.</p>	Conforms
<p>3.9 The risk assessment shall be reviewed and if necessary revised at least annually, and when changes regarding the characteristics listed in 2.1 of this appendix occur.</p>	<p>3.9 The risk assessment shall be reviewed and if necessary revised at least annually, and when changes regarding the characteristics listed in 2.1 of this appendix occur.</p>	Conforms

4. Substantiated concerns

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p>4.1 The organisation shall ensure that substantiated concerns about the potential origin of material covered by the organisation’s DDS in controversial sources are promptly investigated, starting no later than ten workdays as of identification of the substantiated concern.</p>	<p>4.1 The organization shall ensure that substantiated concerns about the potential origin of material covered by the organization’s DDS in controversial sources are promptly investigated, starting no later than ten workdays as of identification of the substantiated concern.</p>	<p>Conforms</p>
<p>4.2 If the concern cannot be resolved by the organisation’s investigation, the risk of the relevant material being from controversial sources shall be determined as “significant” and managed in accordance with clause 5 of this appendix</p>	<p>4.2 If the concern cannot be resolved by the organization’s investigation, the risk of the relevant material being from controversial sources shall be determined as “significant” and managed in accordance with clause 5 of this appendix.</p>	<p>Conforms</p>

5. Management of significant risk supplies

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p>5.1 General</p>		
<p>5.1.1 For supplies identified as having “significant risk”, the organisation shall request the supplier to provide additional information and evidence that allows the organisation to classify the supply as having “negligible risk”. The organisation shall request the supplier to:</p>	<p>5.1.1 For supplies identified as having “significant risk”, the organization shall request the supplier to provide additional information and evidence that allows the organization to classify the supply as having “negligible risk”. The organization shall request the supplier to:</p>	<p>Conforms</p>
<p>a) Provide the organisation with necessary information to identify the forest area(s) of the raw material and the whole supply chain relating to the “significant risk” supply.</p>	<p>a) Provide the organization with necessary information to identify the forest area(s) of the raw material and the whole supply chain relating to the “significant risk” supply.</p>	<p>Conforms</p>

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p>b) Enable the organisation to carry out a second party or a third party inspection of the supplier’s operation as well as operations of the previous suppliers in the chain.</p> <p>Note: These procedures can be ensured e.g. by contractual agreements or a written self-declaration by the supplier.</p>	<p>b) Enable the organization to carry out a second party or a third party inspection of the supplier’s operation as well as operations of the previous suppliers in the chain.</p> <p>Note: These procedures can be ensured e.g. by contractual agreements or a written self-declaration by the supplier.</p>	Conforms
<p>5.1.2 The organisation shall establish a second or third party verification programme for supplies classified as “significant risk”. The verification programme shall cover:</p>	<p>5.1.2 The organization shall establish a second or third party verification programme for supplies classified as “significant risk”. The verification programme shall cover:</p>	Conforms Conforms
<p>a) identification of the whole supply chain and forest area(s) of the supply’s origin</p>	<p>a) identification of the whole supply chain and forest area(s) of the supply’s origin</p>	
<p>b) on-site inspection as appropriate</p>	<p>b) on-site inspection as appropriate</p>	Conforms
<p>c) corrective measures as required</p>	<p>c) corrective measures as required</p>	
<p>5.2 Identification of the supply chain</p> <p>5.2.1 The organisation shall require, from all suppliers of “significant risk” supplies, detailed information on the whole supply chain and forest area(s) of the supply’s origin.</p>	<p>5.2.1 The organization shall require, from all suppliers of “significant risk” supplies, detailed information on the whole supply chain and forest area(s) of the supply’s origin.</p>	Conforms
<p>5.2.2 In cases where the supplies can be verified as “negligible risk” according to the indicators in table 1 at one step in the supply chain the organisation is not required to track the whole supply chain to the forest area,</p>	<p>5.2.2 In cases where the supplies can be verified as “negligible risk” according to the indicators in table 1 at one step in the supply chain the organization is not required to track the whole supply chain to the forest area,</p>	Conforms

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
except in case of substantiated concerns, which shall be addressed as outlined in appendix 1, clause 4.	except in case of substantiated concerns, which shall be addressed as outlined in appendix 1, clause 4.	
<p>5.2.3 The information submitted shall allow the organisation to plan and execute on-site inspections.</p>	<p>5.2.3 The information submitted shall allow the organization to plan and execute on-site inspections.</p>	Conforms
<p>5.3 On-site inspections</p> <p>5.3.1 The organisation’s verification programme shall include on-site inspections of suppliers delivering “significant risk” supplies. The on-site inspections can be carried out by the organisation itself (second party inspection) or by a third party on behalf of the organisation. The organisation may substitute the on-site inspection with documentation review where the documentation provides sufficient confidence in the material origin in non-controversial sources.</p>	<p>5.3.1 The organization’s verification programme shall include on-site inspections of suppliers delivering “significant risk” supplies. The on-site inspections can be carried out by the organization itself (second party inspection) or by a third party on behalf of the organization. The organization may substitute the on-site inspection with documentation review where the documentation provides sufficient confidence in the material origin in non-controversial sources.</p>	Conforms
<p>5.3.2 The organisation shall demonstrate that personnel carrying out inspections has sufficient knowledge and competence in the local business, cultural and social customs, and applicable treaties, conventions legislation, governance and law enforcement, relevant to the origin of “significant risk” supplies and to the risk(s) identified.</p>	<p>5.3.2 The organization shall demonstrate that personnel carrying out inspections has sufficient knowledge and competence in the local business, cultural and social customs, and applicable treaties, conventions, legislation, governance and law enforcement, relevant to the origin of “significant risk” supplies and to the risk(s) identified.</p>	Conforms
<p>5.3.3 The organisation shall determine a sample of “significant risk” supplies from the supplier to be verified by the verification programme. Identical deliveries by the same supplier shall be considered as a single supply. The size of the annual sample shall be at least the square root of the number of “significant” risk supplies per one year: $(y=\sqrt{x})$, rounded up to the nearest whole number. Where the previous on-site inspections proved to be effective in fulfilling the objective of</p>	<p>5.3.3 The organization shall determine a sample of “significant risk” supplies from the supplier to be verified by the verification programme. Identical deliveries by the same supplier shall be considered as a single supply. The size of the annual sample shall be at least the square root of the number of “significant” risk supplies per one year: $(y=\sqrt{x})$, rounded up to the nearest whole number. Where the previous on-site inspections proved to be effective</p>	Conforms

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p>this document, the size of the sample may be reduced to $y=0.8 \sqrt{x}$, rounded up to the next whole number.</p>	<p>in fulfilling the objective of this document, the size of the sample may be reduced to $y=0.8 \sqrt{x}$, rounded up to the next whole number.</p>	
<p>5.3.4 The on-site inspections shall cover:</p>		
<p>a) The direct supplier and all previous suppliers in the supply chain in order to assess compliance with the supplier claims on the origin of the raw material.</p>	<p>5.3.4 The on-site inspections shall cover: a) The direct supplier and all previous suppliers in the supply chain in order to</p>	<p>Conforms</p>
<p>b) The forest owner / manager of the forest area of the supply origin, or any other party responsible for management activities on that forest area, in order to assess their compliance with legal requirements.</p>	<p>b) The forest owner/manager of the forest area of the supply origin, or any other party responsible for management activities on that forest area, in order to assess their compliance with legal requirements.</p>	<p>Conforms</p>
<p>5.4 Corrective measures 5.4.1 The organisation shall define written procedures for implementing corrective measures for non-compliance for suppliers identified by the organisation's verification programme.</p>	<p>5.4.1 The organization shall define written procedures for implementing corrective measures for noncompliance for suppliers identified by the organization's verification programme.</p>	<p>Conforms</p>
<p>5.4.2 The range of corrective measures shall be based on the scale and seriousness of the risk that forest and tree based product(s) may be from controversial sources and shall include at least one or more of the following :</p>	<p>5.4.2 The range of corrective measures shall be determined with emphasis on the scale and seriousness of the risk that forest and tree based product(s) may be from controversial sources and shall include at least one or more of the following:</p>	<p>Conforms</p>

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
a) Clear communication of the risk identified with a request for addressing the risk identified within a specific timeline so as to ensure that forest and tree based product(s) from controversial sources is not supplied to the organisation.	a) Clear communication of the risk identified with a request for addressing the risk identified within a specific timeline so as to ensure that forest and tree based product(s) from controversial sources is not supplied to the organization.	Conforms
b) Requiring suppliers to define risk mitigation measures relating to compliance with legal requirements in the forest area(s) or efficiency of the information flow in the supply chain.	b) Requiring suppliers to define risk mitigation measures relating to compliance with legal requirements in the forest area(s) or efficiency of the information flow in the supply chain.	Conforms
c) Cancellation or suspension of any contract or order for forest and tree based product(s) until the supplier can demonstrate that appropriate risk mitigation measures have been implemented.	c) Cancellation or suspension of any contract or order for forest and tree based product(s) until the supplier can demonstrate that appropriate risk mitigation measures have been implemented.	Conforms

6. No placement on the market

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	Decision
6.1 Forest and tree based material/products from unknown sources or from controversial sources shall not be included in a PEFC product group.		6.1 Forest and tree based material/products from unknown sources or from controversial sources shall not be included in a SGEC product group.	Conforms
6.2 Where it is known to the organisation that forest and tree based materials/products not covered by the organisation’s PEFC chain of custody originate in illegal sources (controversial sources, 3.7a), it shall not be placed on the market.		6.2 Where it is known to the organization that forest and tree based materials/products not covered by the organization’s SGEC chain of custody originate in illegal sources (3.7a of “controversial sources” defined in Standard	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	Decision
		Document 4), it shall not be included in a SGEC-COC and shall not be placed on the market.	
<p>6.3 Where the organisation has received substantiated concerns that forest and tree based materials/products not covered by the organisation's PEFC chain of custody originate in illegal sources (controversial sources, 3.7a), it shall not be placed on the market until the concern has been resolved in accordance with clause 4 of this appendix.</p>		<p>6.3 Where the organization has received substantiated concerns that forest and tree based materials/products not covered by the organization's SGEC chain of custody originate in illegal sources (3.7a of "controversial sources" of Standard Document 4), it shall not be placed on the market until the concern has been resolved in accordance with clause 4 of this appendix.</p>	Conforms

Appendix 2: Implementation of the chain of custody standard by multi-site organisations

Normative Appendix

2. Eligibility criteria for the multi-site organisation

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p>2.1 The multi-site organisation is defined as an organisation having an identified central function (normally, and hereafter referred to as a "central office") at which certain activities are planned, controlled and managed and a network of local offices or branches (sites) at which such activities are fully or partially carried out.</p>		Conforms
<p>2.2 The multi-site organisation does not need to be a unique entity, but all sites shall have a legal or contractual link with the central office and be subject to a common chain of custody that is subject to continuous surveillance by the</p>	<p>2.1 The multi-site organization does not need to be a unique entity, but all sites shall have a legal or contractual link with the central office and be subject to a common chain of custody that is subject to continuous</p>	Conforms

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p>central office. This means that the central office has the right to implement corrective actions when needed at any site. Where applicable, this should be laid down in the contract between the central office and the sites.</p>	<p>surveillance by the central office. This means that the central office has the right to implement corrective actions at any site. Where needed, this should be laid down in the contract between the central office and the sites.</p>	
<p>2.3 The multi-site organisation may cover:</p> <p>a) Organisations operating with franchises or companies where the sites are linked through a common ownership, management or other organisational link.</p> <p>b) Groups of independent legal enterprises established and functioning for the purposes of the chain of custody certification (producer group).</p> <p>Note: Membership in an association is not covered by the term “management or other organisational link”.</p>	<p>2.2 The multi-site organization may cover:</p> <p>a) Organizations operating with franchises or companies where the sites are linked through a common ownership, management or other organizational link.</p> <p>b) Groups of independent legal enterprises established and functioning for the purposes of the chain of custody certification (producer group).</p> <p><i>Note 1:</i> Membership in an association is not covered by the term “management or other organizational link”.</p> <p><i>Note 2:</i> “Franchise “is a type of continuous business relationship where an entity (franchiser) gives other entities (franchisees) rights to operate sales of goods and other businesses under the unified image using business symbols such as trademarks, service marks and trade names, as well as using certain business know-hows, based on contracts between the franchiser and franchisees, while franchisees pay fee to the franchiser and operate their businesses on their own investment under the guidance and support by the franchiser. (definition by Japan Franchise Chain Association)</p>	<p>Conforms</p>
<p>2.4 A producer group is a network of typically small independent enterprises that have associated together for the purpose of obtaining and maintaining chain of custody certification. The central office may be an appropriate trade association, or any other properly experienced legal entity that is either nominated for the purpose by a group of intending members or offers a group</p>	<p>2.3 A producer group is a network of typically small independent enterprises that have associated together for the purpose of obtaining and maintaining chain of custody certification.</p> <p>The central office may be an industry organization nominated by the members of the producer group, an appropriate trade association providing management service to the group according to the purpose of this standard,</p>	<p>Conforms</p>

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p>service managed for the purposes of and consistently with this standard. The central office can also be administered by one member of the group.</p> <p>Note: The central office in the case of the producer group can be called the “group entity” and sites can be called “group members”.</p>	<p>or any other properly experienced legal entity. The central office can also be administered by one member of the group.</p> <p>Note: The central office in the case of the producer group can be called the “group entity” and sites can be called “group members”.</p>	
<p>2.5 A site is a location at which activities relating to the organisation’s chain of custody are carried out.</p>	<p>2.4 A site is a location at which activities relating to the organization’s chain of custody are carried out.</p>	Conforms
<p>2.6 The producer group is limited to participation of sites that are domiciled in a single country and that:</p> <p>a) have no more than 50 employees (full-time employees equivalent),</p> <p>b) have a turnover of maximum of 10,000,000 EUR, or equivalent</p>	<p>2.5 The producer group is limited to participation of sites that are domiciled in Japan and that:</p> <p>a) have no more than 50 employees (full-time employees equivalent),</p> <p>b) have a turnover of maximum of 1 billion yen, or equivalent</p>	Conforms

3. Requirements for multi-site organisations

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	Decision
<p>3.1 General</p> <p>3.1.1 The organisation’s chain of custody shall be centrally administered and be subject to central review. All the relevant sites (including the central administration function) shall be subject to the organisation’s internal audit</p>	<p>3.1.1 The organization’s chain of custody shall be centrally administered and be subject to central review.</p> <p>All the relevant sites (including the central office with the central administration function) shall be subject to the organization’s internal audit programme and</p>	Conforms

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	
programme and shall have been audited in accordance with that programme prior to the certification body starting its assessment.	shall have been audited in accordance with that programme prior to the certification body starting its assessment.	
<p>3.1.2 It shall be demonstrated that the central office of the organisation has established a chain of custody in accordance with this standard and that the whole organisation (including all the sites) meets the requirements of this standard.</p>	<p>3.1.2 It shall be demonstrated that the central office of the organization has established a chain of custody in accordance with this standard and that the whole organization (including all the sites) meets the requirements of this standard.</p>	Conforms
<p>3.1.3 The organisation shall be able to demonstrate its ability to collect and analyse data from all sites, including the central office authority and its ability to initiate changes in the chain of custody operating in the sites if required.</p>	<p>3.1.3 The organization shall be able to demonstrate its ability to collect and analyze data from all sites, including the central office authority and its ability to initiate changes in the chain of custody operating in the sites if required.</p>	Conforms
<p>3.2 Function and responsibilities of the central office</p> <p>3.2.1 The central office shall:</p> <p>a) Represent the multi-site organisation in the certification process, including communication and relationship with the certification body.</p>	<p>3.2.1 The central office shall:</p> <p>a) Represent the multi-site organization in the certification process, including communication and relationship with the certification body.</p>	Conforms
<p>b) Submit an application for the certification and its scope, including a list of participating sites.</p>	<p>b) Submit an application for the certification and its scope, including a list of participating sites.</p>	Conforms
<p>c) Ensure contractual relationship with the certification body.</p>	<p>c) Ensure contractual relationship with the certification body.</p>	Conforms
<p>d) Submit to the certification body a request for extension or reduction of the certification scope, including coverage of participating sites.</p>	<p>d) Submit to the certification body a request for extension or reduction of the certification scope, including coverage of participating sites.</p>	Conforms

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	
<p>e) Provide a commitment on behalf of the whole organisation to establish and maintain a chain of custody in accordance with the requirements of this standard.</p>	<p>e) Provide a commitment on behalf of the whole organization to establish and maintain a chain of custody in accordance with the requirements of this standard</p>	<p>Conforms</p>
<p>f) Provide all the sites with information and guidance needed for effective implementation and maintenance of the chain of custody in accordance with this standard; The central office shall provide the sites with the following information or access to the following information:</p> <ul style="list-style-type: none"> – A copy of this standard and any guidance relating to the implementation of the requirements of this standard. – PEFC Trademarks Rules and any guidance relating to their implementation. – The central office’s procedures for the management of the multi-site organisation. – Conditions of the contract with the certification body relating to the rights of the certification body or accreditation body to access the sites’ documentation and installations for the purposes of evaluation and surveillance, and disclosure of information about the sites to a third party. – Explanation of the principle of the mutual responsibility of sites in the multi-site certification. – Results of the internal audit programme and the certification body’s evaluation and surveillance and relating corrective and preventive measures applicable to individual sites. – The multi-site certificate and any of its parts relating to the scope of the certification and coverage of sites. 	<p>f) Provide all the sites with information and guidance needed for effective implementation and maintenance of the chain of custody in accordance with this standard; The central office shall provide the sites with the following information or access to the following information:</p> <ul style="list-style-type: none"> – A copy of this standard and any guidance relating to the implementation of the requirements of this standard. – PEFC Trademarks Rules and any guidance relating to their implementation. – The central office’s procedures for the management of the multi-site organization. – Conditions of the contract with the certification body relating to the rights of the certification body or accreditation body to access the sites’ documentation and installations for the purposes of evaluation and surveillance, and disclosure of information about the sites to a third party. – Explanation of the principle of the mutual responsibility of sites in the multi-site certification. – Results of the internal audit programme and the certification body’s evaluation and surveillance and relating corrective and preventive measures applicable to individual sites. – The multi-site certificate and any of its parts relating to the scope of the certification and coverage of sites. 	<p>Conforms</p>

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	
<p>Note: The term “mutual responsibility” means that nonconformities found in one site or the central office may result in corrective actions to be performed at all sites; an increase in internal audits or withdrawal of the multi-site certificate.</p>	<p><i>Note:</i> The term “mutual responsibility” means that nonconformities found in one site or the central office may result in corrective actions to be performed at all sites; an increase in internal audits or withdrawal of the multi-site certificate.</p>	
<p>g) Provide organisational or contractual connection with all the sites, which shall include commitments by the sites to implement and maintain the chain of custody in accordance with this standard. The central office shall have a written contract or other written agreement with all the sites which covers</p>	<p>g) Provide organizational or contractual connection with all the sites, which shall include commitments by the sites to implement and maintain the chain of custody in accordance with this standard. The central office shall have a written contract or other written agreement with all the sites which covers the right of the central office to implement and enforce any corrective or preventive measures and to initiate the exclusion of any site from the scope of certification in case of nonconformities with this standard.</p>	Conforms
<p>h) Establish written procedures for the management of the multi-site organisation.</p>	<p>h) Establish written procedures for the management of the multi-site organization.</p>	Conforms
<p>i) Keep records relating to the central office and sites compliance with the requirements of this standard.</p>	<p>i) Keep records relating to the central office and sites compliance with the requirements of this standard.</p>	Conforms
<p>j) Operate an internal audit programme as outlined in 3.2.2.</p>	<p>j) Operate an internal audit programme as outlined in 3.2.2.</p>	Conforms
<p>k) Operate a review of the central office and sites conformity, including review of results of the internal audits programme and certification body's evaluations and surveillance; shall establish corrective and preventive measures if required; and shall evaluate the effectiveness of corrective actions taken.</p>	<p>k) Operate a review of the central office and sites conformity, including review of results of the internal audits programme and certification body's evaluations and surveillance; shall establish corrective and preventive measures if required; and shall evaluate the effectiveness of corrective actions taken.</p>	Conforms
<p>3.2.2 Internal audit programme</p>		

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	
<p>3.2.2.1 The internal audit programme shall provide for:</p>		
<p>a) Audit of all the sites (including its own central administration function), on site or remotely, where a remote verification of the implementation of chain of custody processes is feasible, prior to the certification body starting its evaluation.</p>	<p>3.2.2.1 The internal audit programme shall provide for: a) Audit of all the sites (including its own central administration function), on site or remotely, where a remote verification of the implementation of chain of custody processes is feasible, prior to the certification body starting its evaluation.</p>	<p>Conforms</p>
<p>b) Audit of any new site prior to the certification body starting the process of the certification scope extension.</p>	<p>b) Audit of any new site prior to the certification body starting the process of the certification scope extension.</p>	<p>Conforms</p>
<p>3.3 Function and responsibilities of sites Sites connected to the multi-site organisation shall be responsible for:</p>		
<p>a) Implementation and maintenance of the chain of custody requirements in accordance with this standard.</p>	<p>Sites connected to the multi-site organization shall be responsible for: a) Implementation and maintenance of the chain of custody requirements in accordance with this standard.</p>	<p>Conforms</p>
<p>b) Entering into a contractual relationship with the central office, including commitment on the compliance with the chain of custody requirements and other applicable certification requirements.</p>	<p>b) Entering into a contractual relationship with the central office, including commitment on the compliance with the chain of custody requirements and other applicable certification requirements.</p>	<p>Conforms</p>
<p>c) Responding effectively to all requests from the central office or certification body for relevant data, documentation or other information whether in connection with formal audits or reviews or otherwise.</p>	<p>c) Responding effectively to all requests from the central office or certification body for relevant data, documentation or other information whether in connection with formal audits or reviews or otherwise.</p>	<p>Conforms</p>

PEFC benchmark requirement	Reference to system documentation (including quotation of relevant text)	
<p>d) Providing full co-operation and assistance in respect of the satisfactory completion of internal audits performed by the central office and audits performed by the certification body, including access to the sites installations.</p>	<p>d) Providing full co-operation and assistance in respect of the satisfactory completion of internal audits performed by the central office and audits performed by the certification body, including access to the sites installations.</p>	<p>Conforms</p>
<p>e) Implementation of relevant corrective and preventive actions established by the central office</p>	<p>e) Implementation of relevant corrective and preventive actions established by the central office.</p>	<p>Conforms</p>

PART VI: STANDARD AND SYSTEM REQUIREMENT CHECKLIST FOR SCHEME ADMINISTRATION REQUIREMENTS

No.	PEFC benchmark requirement	YES / NO	Reference to system documentation	Quotation of relevant text	Decision
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> ?		SGEC ST Doc 1 5.2.9 Notification of certification bodies shall be terminated or suspend in case the requirements stipulated in the sections above are not fulfilled.	<p><i>5.1 The notifying body shall have written procedures for the PEFC notification which ensure that:</i></p> <p><i>a) the PEFC notified certification body is meeting the PEFC Council's and PEFC endorsed scheme's requirements for certification bodies,</i></p> <p>5.1 Requirements of certification body</p> <p>5.1.1 The certification bodies are classified into “the organizations which conduct forest management certification” and “the organizations which conduct chain of custody certification”, and the requirements for the certification bodies are based on SGEC Standard Document 5-1:2021 “Requirements for Certification Bodies Operating Certification against SGEC Forest Management Certification Standard” with respect to “the organizations which conduct forest management certification”, and SGEC Standard Document 5-2:2021 “Requirements for Certification Bodies Operating Certification against SGEC/PEFC COC Standard” with respect to the organizations which conduct chain of custody certification”.</p> <p>5.1.2 The certification bodies shall be accredited by an accreditation body that is a signatory of the Multilateral Recognition Arrangement (MLA) of International Accreditation Forum (IAF) as being in conformity with the international standard for the product certification body (ISO/IEC 17065)</p>	Conforms

				<p>within in the scope accreditation stipulated in SGEC Standard Document 3 and related standard document for 'certification bodies operating forest management certification', and stipulated in SGEC Standard Document 4 and PEFC ST 2003 "Chain of Custody of Forest and Tree Based Products – Requirements" for 'certification bodies operating COC certification covering certified forest products'. Note 1: "ISO/IEC 17065" is the international standard defining requirements with respect to abilities of certification bodies to operate fair certification of products and services. Note 2: Since COC organizations (companies) have opportunities to deal with both SGEC and PEFC certified products under endorsement/mutual recognition by the PEFC international certification scheme, the scope of accreditation of 'certification bodies operating COC certification of forest products' shall include PEFC ST 2003 "Chain of Custody of Forest and Tree Based Products – Requirements" in addition to SGEC Standard Document 4 "SGEC COC Certification Standard" as stipulated above.</p> <p><i>b) the scope of the PEFC notification, i.e. type of certification (forest management or chain of custody certification), certification standards and the country covered by the notification, is clearly defined,</i></p> <p>5.2.3 Certification bodies notified against SGEC shall make clear about the scope of certification, types of certification (forest management certification and/or COC certification) and standards which certification is based upon.</p> <p><i>c) the PEFC notification may be terminated by the notifying body in the case of the certification body's non adherence to the conditions of the PEFC notification or in the case of the cancellation of the contract between the PEFC Council and the authorised body,</i></p>	
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				<p>5.2.9 Notification of certification bodies shall be terminated or suspend in case the requirements stipulated in the sections above are not fulfilled.</p> <p><i>d) the PEFC notification is based on a written contract between the notifying body and the PEFC notified certification body,</i></p> <p>5.2.5 Notification of a certification body against SGEC shall be based on a contract agreed between the certification body and SGEC/PEFC Japan</p> <p><i>e) the PEFC notified certification body provides the notifying body with information on certified entities as required by the PEFC Registration System,</i></p> <p>5.2.6 Certification bodies shall provide SGEC/PEFC Japan with information on audits with respect to certifications they issued to the client organizations and information stipulated in the section 7 “SGEC information and registration system - data management” below according to the Appendix 1 “Format of certification audits report”.</p> <p><i>f) the PEFC notification does not include any discriminatory measures, such as the certification body’s country of origin, affiliation to an association, etc.</i></p> <p>5.2.7 Discriminative treatment against certification bodies shall not be included in the requirements for notification of certification bodies against SGEC.</p> <p><i>5.2 The notifying body may charge a fee for the PEFC notification. The authorised body shall inform the PEFC Council about the level of its PEFC notification fees, when requested.</i></p> <p>3.7 Notification fee of forest management certification 3.7.1 Forest managers who acquired forest management certification shall pay the notification fee of the forest management certification as determined in the attachment 2 through</p>	
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				certification bodies. When certification is withdrawn as stipulated in 3.6 above, already paid notification fee will not be refunded.	
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> ?		<p>SGEC ST Doc 1 6.3</p> <p>6.3 SGEC trademarks usage license</p> <p>6.3.1</p> <p>The SGEC trademarks shall be used under the authority of a SGEC trademarks usage license that is issued by SGEC/PEFC Japan.</p> <p>The PEFC trademarks usage license includes the issuance of a unique license number.</p> <p>Note: In case multiple legal entities are the organization using the SGEC trademarks shall accompany the SGEC trademarks whenever they are used, except for certified organizations when passing on claims for the implementation of the SGEC COC.</p> <p>6.3.4</p> <p>SGEC/PEFC Japan may cancel the licensing agreement, when violation of SGEC Standard Document 6 "SGEC Trademarks Usage Rules" occurs.</p>	<p><i>6.1 Coverage of the PEFC Logo usage licence</i></p> <p><i>6.1.1 The PEFC Logo usage licence shall be issued to an individual legal entity based on the requirements of PEFC ST 2001:2008. Note: Where the PEFC certification covers several legal entities, for example where group and regional forest certification covers a number of forest owners / managers (independent legal entities) or where multi-site certification covers several sites which are legally independent entities, each legal entity shall apply for its own PEFC Logo usage licence.</i></p> <p>6.3.1 The SGEC trademarks shall be used under the authority of a SGEC trademarks usage license issued by SGEC/PEFC Japan. The SGEC trademarks usage license includes the issuance of a unique license number.</p> <p><i>6.1.2 The PEFC Council and authorised bodies may issue a PEFC Logo usage multi-licence to a holder of a multi-site chain of custody certificate, which covers the whole or a part of the multisite organisation provided that: a) the central office and the sites are a part of a single legal entity or b) the central office and the sites are a part of a single company with a single management and organisational structure. Note: The multi-licence cannot be issued to a multi-site chain of custody certificate holder where the sites are independent legal entities without a single management and organisational structure and where the multi-site organisation has only been created for the purpose of the PEFC certification.</i></p> <p>6.3.1 Note: In case multiple legal entities are covered by a certificate such as group forest management certification or</p>	Conforms

				<p>multi-site COC certification, an individual legal entity shall apply for SGEC logo usage and/or SGEC trademark license</p> <p><i>6.2.1 The licensing body shall have written procedures for the PEFC Logo licensing which ensure that:</i></p> <p><i>a) the PEFC Logo usage licence is based on a written contract between the licensing body and the PEFC Logo user,</i></p> <p><i>b) the PEFC logo user complies with the PEFC Logo usage rules (PEFC ST 2001:2008),</i></p> <p><i>c) the scope of the PEFC Logo usage (logo usage groups) is clearly defined,</i></p> <p><i>d) the PEFC Logo usage licence can be terminated by the licensing body in the case of the PEFC Logo user's non adherence to the conditions of the PEFC logo usage rules (PEFC ST 2001:2008) or in the case of cancellation of the contract between the PEFC Council and the authorised body,</i></p> <p><i>e) where unauthorised use has taken place, the PEFC Logo usage licence provides for contractual penalty of one fifth of the market value of the products to which the unauthorised logo use relates, unless the PEFC Logo user proves that such unauthorised use was unintentional. In the latter case, the penalty will be limited to 15,000 CHF.</i></p> <p>6.3.2 SGEC/PEFC Japan shall define the procedures of licensing in a document, which ensures the following items:</p> <p>(1) The license shall be obtained through the signature of a licensing agreement (trademarks usage contract) between the organization applying for trademarks usage and SGEC/PEFC Japan.</p>	
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				<p>(2) Trademarks users shall observe SGEC Standard Document 6 “SGEC Trademarks Usage Rules” and SGEC Standard Document 6-1 “Issuance of SGEC Trademarks Usage Licenses by SGEC/PEFC Japan”/</p> <p>(3) The scope of trademarks usage shall be clearly determined.</p> <p>6.3.3 The license number of the organization using the SGEC trademarks shall accompany the SGEC trademarks whenever they are used, except for certified organizations when passing on claims for the implementation of the SGEC COC.</p> <p>6.3.4 SGEC/PEFC Japan may cancel the licensing agreement, when violation of SGEC Standard Document 6 “SGEC Trademarks Usage Rules” occurs.</p> <p>6.2.2 The licensing body shall have a mechanism for the investigation and enforcement of the compliance with PEFC Logo usage rules (PEFC ST 2001:2008) and shall take actions, including legal if necessary, to protect the PEFC Logo trademark.</p>	
Complaints and dispute procedures					
3.	Are complaint and dispute procedures in place, which comply with chapter 8 of PEFC GD 1004:2009, <i>Administration of PEFC scheme</i> ?		SGEC ST	<p><i>8.1 The PEFC Council and the authorised bodies shall have written procedures for dealing with complaints relating to the governance and administration of the PEFC scheme.</i></p> <p><i>8.2 Upon receipt of the complaint, the procedures shall provide for: a) acknowledgement of the complaint to the complainant, b) gathering and verification of all necessary information, validation and impartial evaluation of the complaint, and decision making on the complaint, c) formal communication of the decision on the complaint and the complaint handling process to the complainant and concerned parties, d) appropriate corrective and preventive actions.</i></p>	Conforms

				<p>Document 1</p> <p>8.2 Procedures for complaints and appeals</p> <p>8.2.1 Complaints and appeals shall be appropriately processed based on SGEC Guide Document 8:2021 “SGEC Complaints Handling Rules”.</p> <p>8.3 Receipt of complaints and appeals</p> <p>8.3.1 Handling of complaints and appeals is managed by the secretariat of SGEC/PEFC Japan and a permanent contact point for complaints and appeals handling (with the secretary general as the responsible person) is established within the secretariat.</p> <p>8.3.2 The secretary general shall examine complaints and appeals based on SGEC Guide Document 8:2021 and decide receipt or rejection of the complaints and appeals concerned based on the consultation with the auditors of SGEC.</p> <p>8.3.2 Once receipt or rejection of complaints and appeals decided as stipulated in the previous section, the secretary general shall notify the complainants of the decision without delay.</p> <p>8.4 Processing of complaints</p> <p>8.4.1 When the receipt of complaints and appeals is decided, the auditors of SGEC shall collect all the necessary information, examine the information, assessing the complaints and appeals concerned in a impartial manner based upon the examination, stipulate correction and preventive measures against the complaints concerned and gain approval by the Board of Directors of SGEC</p> <p>8.4.2 The President of SGEC shall notify the complainants of the correction and preventive measures against the complaints and appeals concerned stipulated in the previous section.</p> <p>8.4.3 The President of SGEC shall report to the Board of Directors, auditors and the general meeting of members after the notification is made as stipulated in the previous section.</p>	
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PART VII: CERTIFICATION BODIES OPERATING CERTIFICATION AGAINST THE PEFC CHAIN OF CUSTODY STANDARD (PEFC ST 2003:2020)

General requirements

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text) - SGEC SD 5-2 unless stated	
<p>4.1 Legal and contractual matters</p> <p>All the requirements given in clause 4.1 of ISO/IEC 17065:2012(E) apply.</p>		<p>SGEC Standard Document 5: "The certification bodies operating SGEC COC certification are required to meet the requirements of ISO/IEC 17065, SGEC documentation and the relevant provisions of ISO 19011 specified in this standard."</p>	<p>Conforms</p>
<p>4.1.1 Where the certification body makes use of the PEFC logo on the certification document, or for any other purposes linked to the PEFC certification scheme, the use shall only be carried out based on a valid licence issued by the PEFC Council or another entity authorised by the PEFC Council, and in accordance with the PEFC Trademarks standard.</p>		<p>4.1.1 Where the certification body makes use of the SGEC trademarks on the certification document, or for any other purposes linked to the SGEC certification scheme, the use shall only be carried out based on a valid license issued by SGEC/PEFC Japan, and in accordance with the SGEC Trademarks rules. SGEC/PEFC Japan is also authorized by the PEFC Council in issuance of PEFC trademarks license to COC organizations located in Japan based on the "management contract of the PEFC certification scheme".</p>	<p>Conforms</p>
<p>4.1.2 The certification body shall make clear to the client organisation that the PEFC logo on the issued certificate only refers to the client organisation's compliance with the PEFC certification scheme and does not provide the client organisation with the right to use the PEFC trademarks.</p> <p>Note: The client organisation with a valid PEFC chain of custody certificate can only use the PEFC trademarks with a unique PEFC trademarks licence number for "on-product" as well as "off-product" purposes, based on a PEFC trademarks usage licence contract issued by the PEFC Council or another</p>		<p>4.1.2 The certification body shall make clear to the client organization that the SGEC trademarks on the issued certificate only refers to the client organization's compliance with the SGEC certification scheme and does not provide the client organization with the right to use the SGEC trademarks. In order for the client organization to earn rights to use the trademarks, is shall acquire trademarks usage license based on SGEC trademarks rules.</p>	<p>Conforms</p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text) - SGEC SD 5-2 unless stated	
entity authorised by the PEFC Council and in accordance with the PEFC Trademarks standard.			
<p>4.2 Management of impartiality</p> <p>All the requirements given in clause 4.2 of ISO/IEC 17065:2012(E) apply.</p>		<p>4.2 Management of impartiality All the requirements given in clause 4.2 of ISO/IEC 17065:2012(E) apply.</p>	Conforms
<p>4.3 Liability and financing</p> <p>All the requirements given in clause 4.3 of ISO/IEC 17065:2012(E) apply.</p>		<p>4.3 Liability and financing All the requirements given in clause 4.3 of ISO/IEC 17065:2012(E) apply.</p>	Conforms
<p>4.4 Non-discriminatory conditions</p> <p>All the requirements given in clause 4.4 of ISO/IEC 17065:2012(E) apply.</p>		<p>4.4 Non-discriminatory conditions All the requirements given in clause 4.4 of ISO/IEC 17065:2012(E) apply</p>	Conforms
<p>4.5 Confidentiality</p> <p>All the requirements given in clause 4.5 of ISO/IEC 17065:2012(E) apply.</p> <p>The certification body shall inform the client organisation that it is obliged to provide information to the PEFC Council and/or a PEFC National Governing Body, and the range and usage of information to be provided. The certification body shall have the written consent of the client organisation for the information disclosed to the PEFC Council and/or the PEFC National Governing Body. This written agreement shall be in compliance with any data protection legislation applicable in the countries in which the client organisation and the certification body are based.</p>		<p>4.5 Confidentiality All the requirements given in clause 4.5 of ISO/IEC 17065:2012(E) apply. The certification body shall inform the client organization that it is obliged to provide SGEC/PEFC Japan with information including a copy of the audit reports upon request from SGEC/PEFC Japan. The certification body shall have the written consent of the client organization for the information disclosed to SGEC/PEFC Japan in order to fulfill requirements with respect to confidentiality described in ISO/IEC 17065.</p>	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text) - SGEC SD 5-2 unless stated	
4.6 Publicly available information All the requirements given in clause 4.6 of ISO/IEC 17065:2012(E) apply.		4.6 Publicly available information All the requirements given in clause 4.6 of ISO/IEC 17065:2012(E) apply.	Conforms

5. Structural requirements

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
All the requirements given in clause 5 of ISO/IEC 17065:2012(E) apply.		5. Structural requirements All the requirements given in clause 5 of ISO/IEC 17065:2012(E) apply.	Conforms

6. Resource requirements

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
6.1 Certification body personnel			
6.1.1 General All the requirements given in clause 6.1.1 of ISO/IEC 17065:2012(E) apply.		6.1.1 General All the requirements given in clause 6.1.1 of ISO/IEC 17065:2012(E) apply	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
6.1.1.1 Personnel involved in the certification activities			
<p>6.1.1.1.1 The certification body shall ensure that all personnel carrying out the key activities, such as contract review, auditing, granting of certification, monitoring of auditors, etc. have the relevant and appropriate knowledge and competencies corresponding to these activities.</p>		<p>6.1.1.1.1 The certification body shall ensure that all personnel carrying out the key activities, such as contract review, auditing, granting of certification, monitoring of auditors, etc. have the relevant and appropriate knowledge and competencies corresponding to these activities.</p>	Conforms
<p>6.1.1.1.2 Gender equality should be promoted.</p>		<p>6.1.1.1.2 Gender equality should be promoted.</p>	Conforms
<p>6.1.1.2 Auditors</p> <p>The certification body shall have a documented process to ensure that auditors have personal attributes, knowledge and skills in accordance with clauses 7.1, 7.2.1, 7.2.2, 7.2.3.1, 7.2.3.2 and 7.2.3.4 of ISO 19011:2018.</p>		<p>6.1.1.2 Auditors The certification body shall have a documented process to ensure that auditors have personal attributes, knowledge and skills in accordance with clauses 7.1, 7.2.1, 7.2.2, 7.2.3.1, 7.2.3.2 and 7.2.3.4 of ISO 19011:2018.</p>	Conforms
6.1.1.2.1 Education			Conforms
<p>6.1.1.2.1.1 The certification body shall ensure that auditors have the knowledge corresponding to at least a secondary education that includes or is supplemented with courses related to forest and/or tree based and related industries where the auditor(s) conducts chain of custody audits.</p> <p>Note: Secondary education is the part of the national education system that comes after the primary or elementary stage, but that is completed prior to entrance to tertiary education, e.g. university or similar educational institution.</p>		<p>6.1.1.2.1.1 The certification body shall ensure that auditors have at least either of the following qualifications: a) Ph.D. in agriculture (including forest and forestry) b) Professional Engineer in forest management c) Forestry supervisor (forester) d) Forestry Engineer (general supervision) e) Persons who have experiences as Registered forester for extension services f) Persons who have experiences as Forestry Extension Agents (AG) g) Persons who have experiences as Forestry Technological Specialists (SP) h) JAS inspectors who have experiences in inspection of forest products i)</p>	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
		<p>Veterans in forest products business, inspection and research In addition to the above, certification organizations shall ensure that auditors to have knowledge corresponding to at least a secondary education that includes or is supplemented with courses related to forest and/or tree based and related industries where the auditor(s) conducts chain of custody audits. Note: Secondary education is the part of the national education system that comes after the primary or elementary stage, but that is completed prior to entrance to tertiary education, e.g. university or similar educational institution.</p>	
<p>6.1.1.2.1.2 The specific education relating to forest and/or tree based and related industries can be substituted by working experience in these sectors if the certification body can demonstrate it is equivalent to the required education.</p> <p>Note: Forest and/or tree based and related industries include, for example, activities relating to manufacturing, research, education, standards development, forest industry/product associations, forest law and regulation, transport, distribution and recycling or transport and storage of forest and/or tree based products.</p>		<p>6.1.1.2.1.2 The specific education relating to forest and/or tree based and related industries can be substituted by working experience in these sectors if the certification body can demonstrate it is equivalent to the required education. Note: Forest and/or tree based and related industries include, for example, activities relating to manufacturing, transport, storage, distribution and recycling of forest and/or tree based products.</p>	Conforms
<p>6.1.1.2.2.1 For a first qualification of an auditor, the certification body shall ensure that the auditor has a minimum of three years of full-time related working experience in the forest and/or tree based and related industries.</p> <p>Note: Forest and/or tree based and related industries include, for example, activities relating to manufacturing, research, education, standards development, forest industry/product associations, forest law and regulation,</p>		<p>6.1.1.2.4.1 For a first qualification of an auditor, the certification body shall ensure that the auditor has a minimum of three years of full-time related working experience as staff or researchers in the forest and/or tree based and related industries or research institutes. Note: Forest and/or tree based and related industries include, for example, activities relating to manufacturing, research, education, standards development, forest industry/product associations, forest law and regulation, transport,</p>	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
transport, distribution and recycling or transport and storage of forest and tree based products.		distribution and recycling or transport and storage of forest and tree based products.	
<p>6.1.1.2.2.2 The number of years of total work experience may be reduced by one year, if the auditor has completed a tertiary education appropriate and relevant to forest and/or tree based and related industries.</p> <p>Note: Tertiary education, also referred to as third stage, third level, and post-secondary education, is the educational level following the completion of a school providing a secondary education.</p>		<p>6.1.1.2.4.2 The number of years of total work experience may be reduced by one year, if the auditor has qualifications a) - h) mentioned in 6.1.1.2.1.1 above or completed a tertiary education appropriate and relevant to forest and/or tree based and related industries. 194 Note: Tertiary education, also referred to as third stage, third level, and postsecondary education, is the educational level following the completion of a school providing a secondary education (junior high schools in the early stage and high schools in the late stage), and referred to the university or equivalent level of education in in Japan.</p>	Conforms
<p>6.1.1.2.3 The number of years of total work experience may be reduced by one year if the auditor has performed, as auditor-in-training, four chain of custody audits under the leadership of a qualified auditor, in addition to the chain of custody audits required as audit experience under 6.1.1.2.5.1.</p>		<p>6.1.1.2.4.3 The number of years of total work experience may be reduced by one year if the auditor has performed four chain of custody audits under the leadership of a qualified auditor</p>	Conforms
<p>6.1.1.2.3 PEFC chain of custody training</p> <p>The certification body shall ensure that new auditors have received initial training on the PEFC system and the Chain of Custody standard, that is recognised by the PEFC Council.</p> <p>Note: The PEFC website www.pefc.org provides further information on training options.</p>		<p>6.1.1.4.1.2 SGEC chain of custody training The certification body shall ensure that the reviewer and certification decision maker have received initial training on the SGEC system and the SGEC Chain of Custody standard. Note: The website of SGEC/PEFC Japan provides further information on training options.</p>	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
<p>6.1.1.2.4 Audit training</p> <p>The certification body shall ensure that auditors have successfully completed training in audit techniques based on ISO 19011.</p>		<p>6.1.1.2.3 Audit training The certification body shall ensure that auditors have successfully completed training in audit techniques based on ISO 19011.</p>	Conforms
<p>6.1.1.2.5 Audit experience</p> <p>6.1.1.2.5.1 For a first qualification of an auditor, the certification body shall ensure that the auditor within the last three years has performed, as auditor-in-training, chain of custody audits for at least four organisations under the leadership of a qualified auditor, including at least two PEFC chain of custody audits. The number of chain of custody audits-in-training can be reduced to two PEFC chain of custody audits for auditors that are qualified for chain of custody standards, ISO 9001 or ISO 14001 in forest and/or tree related sectors.</p>		<p>6.1.1.2.5.1 For a first qualification of an auditor, the certification body shall ensure that the auditor within the last three years has performed four chain of custody audits (including audits of external organizations) under the leadership of a qualified auditor, including at least two SGEC/PEFC chain of custody audits. The number of chain of custody audits-in-training can be reduced to two SGEC chain of custody audits for auditors that are qualified for ISO 9001 or ISO 14001 from the required number of COC audits above.</p>	Conforms
<p>6.1.1.2.6 Competencies</p> <p>6.1.1.2.6.1 The certification body shall ensure that auditors demonstrate ability to apply knowledge and skills in the following areas:</p>			
<p>a) The objectives and core processes of the PEFC system including the requirements from the PEFC Sustainable Forest Management standard (PEFC ST 1003) covered in the PEFC chain of custody definition of controversial sources, (PEFC ST 2002, clause 3.6 paragraphs b, c, d and e).</p>		<p>6.1.1.2.6.1 The certification body shall ensure that auditors demonstrate ability to apply knowledge and skills in the following areas: a) The objectives and core processes of the SGEC certification scheme including the requirements from the SGEC Sustainable Forest Management standard (SGEC Standard Document 3) covered in the SGEC chain of custody definition of controversial sources, (SGEC Standard Document 4, clause 3.7 paragraphs b, c, d and e)</p>	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
<p>b) Audit principles, procedures and techniques (see 7.2.3.2.a of ISO 19011:2018): to enable the auditor to apply those appropriate to different audits and ensure that audits are conducted in a consistent and systematic manner.</p>		<p>b) Audit principles, procedures and techniques (see 7.2.3.2.a of ISO 19011:2018): to enable the auditor to apply those appropriate to different audits and ensure that audits are conducted in a consistent and systematic manner.</p>	Conforms
<p>c) Organisation situations (see 7.2.3.2.c of ISO 19011:2018), including organisational size, structure, functions and relationships, general business processes and related terminology, and cultural and social customs such as knowledge of the client organisation working language, or language that the certification body and client can agree on: to enable the auditor to comprehend the organisation’s operational context.</p>		<p>c) Organization situations (see 7.2.3.2.c of ISO 19011:2018), including organizational size, structure, functions and relationships, general business processes and related terminology, and cultural and social customs such as knowledge of the client organization working language, or language that the certification body and client can agree on: to enable the auditor to comprehend the organization’s operational context.</p>	Conforms
<p>d) Applicable international legislation and country specific forest governance and law enforcement system relevant to forest and tree based raw material procurement and avoidance of raw material from controversial sources: to enable the auditor to comprehend the client organisation’s contractual relationships with suppliers and evaluate the client organisation’s procedures for avoidance of raw material from controversial sources. Knowledge and understanding of this area shall cover:</p> <ul style="list-style-type: none"> i. contracts and agreements, including labour contracts and or collective bargaining agreements ii. forest governance and law enforcement system of countries of the uncertified raw material origin, including those covering social, health and safety issues of workers iii. international conventions relating to worker rights (ILO core conventions) 		<p>d) Applicable international legislation and country specific forest governance and law enforcement system relevant to forest and tree based raw material 195 procurement and avoidance of raw material from controversial sources: to enable the auditor to comprehend the client organization’s contractual relationships with suppliers and evaluate the client organization’s procedures for avoidance of raw material from controversial sources. Knowledge and understanding of this area shall cover: i. contracts and agreements, including labour contracts and or collective bargaining agreements ii. forest governance and law enforcement system of countries of the uncertified raw material origin, including those covering social, health and safety issues of workers iii. international conventions relating to worker rights (ILO core conventions) and relevant domestic laws and regulations, and iv. international treaties and conventions such as CITES relating to the trade of forest and tree based products Note: CITES is the Convention on International Trade in Endangered Species of Wild Fauna and Flora.</p>	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
iv. international treaties and conventions relating to the trade of forest and tree based products.			
6.1.1.2.6.2 The certification body shall ensure that auditors demonstrate ability to apply terminology, knowledge, understanding and skills in the following areas of the PEFC chain of custody:			Conforms
a) principles and requirements of the Chain of Custody standard (PEFC ST 2002)		6.1.1.2.6.2 The certification body shall ensure that auditors demonstrate ability to apply terminology, knowledge, understanding and skills in the following areas of the SGEC chain of custody: a) principles and requirements of the SGEC Chain of Custody standard (SGEC Standard Document 4)	Conforms
b) products (including non-wood forest products and products from recycled material), processes and practices in the specific sector, applied raw material flow, measurements and control measures		b) products (including non-wood forest products and products from recycled material), processes and practices in the specific sector, applied raw material flow, measurements and control measures	Conforms
c) the application of management systems to forest and tree based and related industries and interaction between their components		c) the application of management systems to forest and tree based and related industries and interaction between their components	Conforms
d) information systems and technology for authorisation, security, distribution and control of documents, data and records		d) information systems and technology for authorization, security, distribution and control of documents, data and records	Conforms
e) application of PEFC trademarks and other product labels and claims		e) application of SGEC/PEFC trademarks and other product labels and claims	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
f) application of the measures to avoid procurement of raw material from controversial sources, including the relevant risk assessment methodology and indicators		f) application of the measures to avoid procurement of raw material from controversial sources, including the relevant risk assessment methodology and indicators	Conforms
g) social, health and safety requirements		g) social, health and safety requirements	Conforms
<p>6.1.1.2.6.3 The certification body shall maintain evidence of annual monitoring of chain of custody auditors, applying methods such as reviewing audit reports or client organisations' feedback, etc. based on the frequency of their usage and the level of risk linked to their activities, and periodic witness audits. In particular, the certification body shall review the competence of its personnel in the light of their performance in order to identify training needs.</p>		6.1.1.2.6.3 The certification body shall maintain evidence of annual monitoring of chain of custody auditors, applying methods such as reviewing audit reports or client organizations' feedback, etc. based on the frequency of their usage and the level of risk linked to their activities, and periodic witness audits. In particular, the certification body shall review the competence of its personnel in the light of their performance in order to identify training needs.	Conforms
<p>6.1.1.3 Audit team</p> <p>The audit team shall comprise auditor(s) fulfilling the requirements defined in 6.1.1.2 and gender balance should be considered.</p>		6.1.1.3 Audit team The audit team shall comprise auditor(s) fulfilling the requirements defined in 6.1.1.2 and gender balance should be considered.	Conforms
<p>6.1.1.3.1 Technical experts</p> <p>In some cases, technical experts may be required to support the required auditor competency in a particular technical area by providing appropriate technical expertise. Technical experts shall be independent from the auditee, and their names and affiliations shall be included in the audit report.</p>		6.1.1.3.1 Technical experts In some cases, technical experts may be required to support the required auditor competency in a particular technical area by providing appropriate technical expertise. Technical experts shall be independent from the auditee, and their names and affiliations shall be included in the audit report.	Conforms
<p>6.1.1.4 Reviewer and certification decision maker</p>		6.1.1.4 Reviewer and certification decision maker 6.1.1.1.1 Requirements for reviewer and certification decision maker The certification body shall ensure that the reviewer and the certification decision maker meet the	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
<p>The certification body shall ensure that the reviewer and the certification decision maker meet the following requirements. If the reviewer and/or the certification decision maker are composed by a group of people, at least one of the members meets the following requirements.</p> <p>Note: The reviewer and the certification decision maker can be the same person. See note to clause 7.6.2 of ISO/IEC 17065:2012(E).</p>		<p>following requirements. If the reviewer and/or the certification decision maker are composed by a group of people, at least one of the members meets the following requirements. Note: The reviewer and the certification decision maker can be the same person. See note to clause 7.6.2 of ISO/IEC 17065:2012(E).</p>	
<p>6.1.1.4.1 Education</p> <p>6.1.1.4.1.1 The certification body shall ensure that the reviewer and certification decision maker have the knowledge corresponding to at least a secondary education that includes or is supplemented with courses related to forest and/or tree based and related industries.</p> <p>Note: Secondary education is the part of the national education system that comes after the primary or elementary stage, but that is completed prior to entrance to tertiary education, e.g. university or similar educational institution.</p>		<p>6.1.1.4.1.1 Education 6.1.1.4.1.1.1 The certification body shall ensure that the reviewer and certification decision maker have the following qualifications: a) Ph.D. in agriculture (including forest and forestry) b) Professional Engineer in forest management c) Forestry Engineer (general supervision) d) Forestry supervisor (forester) e) Persons who have experiences as Registered forester for extension services f) Persons who have experiences as Forestry Extension Agents (AG) g) Persons who have experiences as Forestry Technological Specialists (SP) 197 h) JAS inspectors who have experiences in inspection of forest products i) Veterans in forest products business, inspection and research In addition to the above, certification organizations shall ensure that reviewers and certification decision makers to have knowledge corresponding to at least a secondary education that includes or is supplemented with courses related to forest and/or tree based and related industries. Note: Secondary education is the part of the national education system that comes after the primary or elementary stage, but that is completed prior to entrance to tertiary education, e.g. university or similar educational institution.</p>	<p>Conforms</p>
<p>6.1.1.4.1.2 The specific education relating to forest and/or tree based and related industries can be substituted by working experience in these</p>		<p>6.1.1.4.1.1.2 The specific education relating to forest and/or tree based and related industries can be substituted by working experience in these sectors if the certification body can demonstrate it is equivalent to the required education. Note: Forest and/or tree based and related industries</p>	<p>Conforms</p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
<p>sectors if the certification body can demonstrate it is equivalent to the required education.</p> <p>Note: Forest and/or tree based and related industries include, for example, activities relating to manufacturing, research, education, standards development, forest industry/product associations, forest law and regulation, transport, distribution and recycling or transport and storage of forest and tree based products.</p>		<p>include, for example, activities relating to manufacturing, transport, storage, distribution and recycling of forest and tree based products</p>	
<p>6.1.1.4.2 Working experience</p> <p>6.1.1.4.2.1 To qualify as a reviewer or certification decision maker, the certification body shall ensure a minimum of three years full-time related working experience in conformity assessment.</p>		<p>6.1.1.4.1.4.1 To qualify as a reviewer or certification decision maker, the certification body shall ensure a minimum of three years full-time related working experience in conformity assessment.</p>	<p>Conforms</p>
<p>6.1.1.4.2.2 The number of years of total work experience may be reduced by one year, if the reviewer or certification decision maker has completed a tertiary education appropriate and relevant to forest and/or tree based and related industries.</p> <p>Note: Tertiary education, also referred to as third stage, third level, and post-secondary education, is the educational level following the completion of a school providing a secondary education.</p>		<p>6.1.1.4.1.4.2 The number of years of total work experience may be reduced by one 198 year, if the reviewer or certification decision maker has completed a appropriate tertiary education as mentioned in “a” to “h” of 6.1.1.3.1.1.1 above and relevant to forest and/or tree based and related industries. Note: Tertiary education, also referred to as third stage, third level, and postsecondary education, is the educational level following the completion of a school providing a secondary education</p> <p>6.1.1.4.1.4.3 The number of years of total work experience may be reduced by one year, if the reviewer or certification decision maker conduct COC audits as the qualified auditor.</p>	<p>Conforms</p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
<p>6.1.1.4.2.3 A qualified PEFC chain of custody auditor shall be considered as already meeting the minimum working experience required.</p>		<p>6.1.1.4.1.4.4 A qualified SGEC chain of custody auditor shall be considered as already meeting the minimum working experience required.</p>	Conforms
<p>6.1.1.4.3 PEFC chain of custody training</p> <p>The certification body shall ensure that the reviewer and certification decision maker have received initial training on the PEFC system and the Chain of Custody standard, that is recognised by the PEFC Council.</p> <p>Note: The PEFC website www.pefc.org provides further information on training options.</p>		<p>6.1.1.4.1.2 SGEC chain of custody training The certification body shall ensure that the reviewer and certification decision maker have received initial training on the SGEC system and the SGEC Chain of Custody standard. Note: The website of SGEC/PEFC Japan provides further information on training options.</p>	Conforms
<p>6.1.1.4.4 Audit training</p> <p>The certification body shall ensure that the reviewer and certification decision maker have successfully completed training in audit techniques based on ISO 19011.</p>		<p>6.1.1.4.1.3 Audit training The certification body shall ensure that the reviewer and certification decision maker have successfully completed training in audit techniques based on ISO 19011.</p>	Conforms
<p>6.1.1.4.5 Audit experience</p> <p>6.1.1.4.5.1 For a first qualification of a reviewer or a certification decision maker, the certification body shall ensure that the reviewer or certification decision maker, within the last three years, have observed at least one PEFC chain of custody audit.</p>		<p>6.1.1.4.1.4.1 To qualify as a reviewer or certification decision maker, the certification body shall ensure a minimum of three years full-time related working experience in conformity assessment.</p> <p>6.1.1.4.1.4.2 The number of years of total work experience may be reduced by one 198 year, if the reviewer or certification decision maker has completed a appropriate tertiary education as mentioned in “a” to “h” of 6.1.1.3.1.1.1 above and relevant to forest and/or tree based and related industries. Note: Tertiary education, also referred to as third stage, third</p>	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
		<p>level, and postsecondary education, is the educational level following the completion of a school providing a secondary education.</p> <p>6.1.1.4.1.4.3 The number of years of total work experience may be reduced by one year, if the reviewer or certification decision maker conduct COC audits as the qualified auditor.</p> <p>6.1.1.4.1.4.4 A qualified SGEC chain of custody auditor shall be considered as already meeting the minimum working experience required.</p>	
<p>6.1.1.4.6 Competencies</p> <p>6.1.1.4.6.1 The certification body shall ensure that the reviewer and certification decision maker demonstrate ability to apply knowledge and skills in the following areas:</p>			Conforms
<p>a) The objectives and core processes of the PEFC system including the requirements from the PEFC Sustainable Forest Management standard (PEFC ST 1003) covered in the PEFC chain of custody definition of controversial sources, (PEFC ST 2002, clause 3.6 paragraphs b, c, d and e).</p>		<p>The certification body shall ensure that the reviewer and certification decision maker demonstrate ability to apply knowledge and skills in the following areas: a) The objectives and core processes of the SGEC scheme including the requirements from the SGEC Sustainable Forest Management standard (SGEC Standard Document 3) covered in the SGEC chain of custody definition of controversial sources, (SGEC Standard Document 4, clause 3.7 paragraphs b, c, d and e)</p>	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
b) Audit principles, procedures and techniques (see 7.2.3.2.a of ISO 19011:2018).		b) Audit principles, procedures and techniques (see 7.2.3.2.a of ISO 19011:2018).	Conforms
c) Organisation situations (see 7.2.3.2.c of ISO 19011:2018), including organisational size, structure, functions and relationships, general business processes and related terminology, and cultural and social customs.		c) Organization situations (see 7.2.3.2.c of ISO 19011:2018), including organizational size, structure, functions and relationships, general business processes and related terminology, and cultural and social customs. and	Conforms
<p>d) Applicable international legislation and country specific forest governance and law enforcement system relevant to forest and tree based raw material procurement and avoidance of raw material from controversial sources. Knowledge and understanding of this area shall cover:</p> <p>i. contracts and agreements, including labour contracts and or collective bargaining agreements</p> <p>ii. forest governance and law enforcement system of countries of the uncertified raw material origin, including those covering social, health and safety issues of workers</p> <p>iii. international conventions relating to worker rights (ILO core conventions)</p> <p>iv. international treaties and conventions relating to the trade of forest and tree based products</p>		<p>d) Applicable international legislation and country specific forest governance and law enforcement system relevant to forest and tree based raw material procurement and avoidance of raw material from controversial sources. Knowledge and understanding of this area shall cover: i. contracts and agreements, including labour contracts and or collective bargaining agreements ii. forest governance and law enforcement system of countries of the uncertified raw material origin, including those covering social, health and safety issues of workers iii. international conventions relating to worker rights (ILO core conventions) and relevant domestic laws and regulations, and 199 iv. international treaties and conventions relating to the trade of forest and tree based products such as CITES</p>	Conforms
<p>6.1.2 Management of competence for personnel involved in the certification process.</p> <p>All the requirements given in clause 6.1.2 of ISO/IEC 17065:2012(E) apply.</p>		<p>6.1.2 Management of competence for personnel involved in the certification process All the requirements given in clause 6.1.2 of ISO/IEC 17065:2012(E) apply.</p>	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
<p>6.1.2.1 The certification body shall ensure that qualified reviewers, certification decision makers and auditors, every two calendar years, have participated in a refresher training in chain of custody of forest and tree based products that is recognised by the PEFC Council.</p> <p>Note: The PEFC website www.pefc.org provides further information on training options.</p>		<p>6.1.2.1 The certification body shall ensure that qualified reviewers, certification decision makers and auditors, every two calendar years, have participated in a refresher training in chain of custody of forest and tree based products that is recognized by SGEC/PEFC Japan</p> <p>6.1.2.1.1 The SGEC chain of custody training described in the previous clause is implemented by trainers assigned by the president among members of the Councilors Committee defined in Article 52 of the SGEC Statute, members of the Standard Management Committee defined in Article 52-1 of the statute and other experts based on the training program using ISO/IEC 17065 and related international standards, SGEC Standard Document 4 and related standards and the latest version of domestic laws and regulations. Note: The website of SGEC/PEFC Japan provides further information on training option</p>	Conforms
<p>6.1.2.2 When there is a new issuance of the Chain of Custody standard or/and the PEFC Trademarks standard, the certification body shall ensure that qualified reviewers, certification decision makers and auditors have participated in refresher training recognised by the PEFC Council that covers the new version of the standards, before starting operating against them.</p> <p>Note: The PEFC website www.pefc.org provides further information on training options.</p>		<p>6.1.2.2 When there is a new issuance of the SGEC Chain of Custody standard or/and the SGEC Trademarks standard, the certification body shall ensure that qualified reviewers, certification decision makers and auditors have participated in refresher training recognized by SGEC/PEFC Japan that covers the new version of the standards, before starting operating against them. Note: The website of SGEC/PEFC Japan provides further information on training options.</p>	Conforms
<p>6.1.2.3 For maintaining the qualification of the auditor, the certification body shall ensure that the auditor has performed a minimum of five external audits in chain of custody standards, ISO 9001 or ISO 14001 in forest and/or tree based and related sectors per year, where the sum of these audits should</p>		<p>6.1.2.3 For maintaining the qualification of the auditor, the certification body shall ensure that the auditor has performed a minimum of five external audits in chain of custody standards, ISO 9001 or ISO 14001 in forest and/or tree based and related sectors per year, where the sum of</p>	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
cover at least seven days of audit work, including at least two PEFC chain of custody audits. Note: The seven days of audit work may include reporting time.		these audits should cover at least seven days of audit work, including at least two SGEC chain of custody audits. Note: The seven days of audit work may include reporting time.	
6.1.2.4 In exceptional circumstances, such as statutory leave or long term illness, auditors unable to comply with 6.1.2.3 shall perform at least two PEFC chain of custody audits under the leadership of a qualified auditor.		6.1.2.4 In exceptional circumstances, such as statutory leave or long term illness, auditors unable to comply with 6.1.2.3 shall perform at least two SGEC chain of custody audits under the leadership of a qualified auditor.	Conforms
6.1.2.5 Reviewers and certification decision makers shall observe at least one PEFC chain of custody audit per calendar year.		6.1.2.5 Reviewers and certification decision makers shall observe at least one SGEC chain of custody audit per calendar year.	Conforms
6.1.3 Contract with the personnel All the requirements given in clause 6.1.2 of ISO/IEC 17065:2012(E) apply.		6.1.3 Contract with the personnel All the requirements given in clause 6.1.2 of ISO/IEC 17065:2012(E) apply.	Conforms
6.2 Resources for evaluation All the requirements given in clause 6.2 of ISO/IEC 17065:2012(E) apply.		6.2 Resources for evaluation All the requirements given in clause 6.2 of ISO/IEC 17065:2012(E) apply. In case of partial outsourcing of evaluation activities by the certification body, clause 6.2.2. of ISO/IEC 17065(E) applies. Note: Partial outsourcing of evaluation activities by the certification body The certification body shall fulfil requirements defined in clause 6.2.2. of ISO/IEC 17065 when it outsources part of its evaluation activities. In assessing the qualification of the outsourced organization, personnel engaging in audits shall fulfil requirements defined in Section 6.1 of this standard.	Conforms

7. Process requirements

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
<p>7.1 General</p> <p>All the requirements given in clause 7.1 of ISO/IEC 17065:2012(E) apply.</p>		<p>7.1 General All the requirements given in clause 7.1 of ISO/IEC 17065:2012(E) apply.</p>	Conforms
<p>7.1.1 Additionally to ISO/IEC 17065:2012(E) clause 7.1.3, the certification body may provide publicly available documents, such as guidance, clarifications, and interpretations published by the PEFC Council or a PEFC National Governing Body.</p>		<p>7.1.1 Additionally to ISO/IEC 17065:2012(E) clause 7.1.3, the certification body may provide publicly available documents, such as guidance, clarifications, and interpretations 203 published by SGEC/PEFC Japan.</p>	Conforms
<p>7.2 Application</p> <p>All the requirements given in clause 7.2 of ISO/IEC 17065:2012(E) apply.</p>		<p>7.2 Application All the requirements given in clause 7.2 of ISO/IEC 17065:2012(E) apply</p>	Conforms
<p>7.2.1 The certification body shall obtain from the client organisation, as a minimum, the following information and documentation as a part of the application for certification:</p>			Conforms
<p>a) corporate entity, name, address and legal status</p>		<p>7.2.1 The certification body shall obtain from the client organization, as a minimum, the following information as a part of the application for certification: a) corporate entity, name, address and legal status</p>	Conforms
<p>b) documented procedures of the client organisation as defined in the Chain of Custody standard</p>		<p>b) documented procedures of the client organization as defined in SGEC Chain of Custody standard</p>	Conforms
<p>c) descriptive identification of the products covered by the PEFC chain of custody sufficient to identify product groups</p>		<p>c) descriptive identification of the products covered by the SGEC chain of custody sufficient to identify product group, and</p>	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
<p>d) sites covered by the PEFC chain of custody in the case of multi-site certification (as defined in the Chain of Custody standard)</p> <p>Note: The information does not have to be obtained at the moment of first contact with the client organisation, but at least before activities under clauses 7.3 and 7.4 are carried out.</p>		<p>d) sites covered by the SGEC chain of custody in the case of multi-site certification (as defined in the SGEC Chain of Custody standard) Note: The information does not have to be obtained at the moment of first contact with the client organization, but at least before activities under clauses 7.3 and 7.4 are carried out.</p>	Conforms
<p>7.2.2 The certification body shall obtain from the client organisation, as a minimum, for products covered by the PEFC chain of custody, the following information relating to the application of the optional requirements of the Chain of Custody standard, for each site and/or product group as applicable:</p>		<p>7.2.2 The certification body shall obtain from the client organization, as a minimum, for products covered by the SGEC chain of custody, the following information relating to the application of the optional requirements of the Chain of Custody standard, for each site and/or product group as applicable:</p>	Conforms
<p>a) chain of custody method</p>		<p>a) chain of custody method</p>	Conforms
<p>b) intended application of the PEFC trademarks</p> <p>Note: The information does not have to be obtained at the moment of first contact with the client organisation, but at least before activities under clauses 7.3 and 7.4 are carried out.</p>		<p>b) intended application of the SGEC trademarks Note: The information does not have to be obtained at the moment of first contact with the client organization, but at least before activities under clauses 7.3 and 7.4 are carried out</p>	Conforms
<p>7.2.3 The certification body shall obtain from the client organisation sufficient information to assess if the application is to be treated as a transfer of certification instead of a new application. See also requirement 7.4.10.</p>		<p>7.2.3 The certification body shall obtain from the client organization sufficient information to assess if the application is to be treated as a transfer of certification instead of a new application. See also requirement 7.4.10</p>	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
<p>7.3 Application review</p> <p>All the requirements given in clause 7.3 of ISO/IEC 17065:2012(E) apply.</p>		<p>7.3 Application review All the requirements given in clause 7.3 of ISO/IEC 17065:2012(E) apply.</p>	Conforms
<p>7.3.1 The certification body shall carry out a review of the client organisation's documentation (see 7.2.1 b) prior to the audit, to determine the conformity of the documentation with the certification criteria.</p>		<p>7.3.1 The certification body shall carry out a review of the client organization's 204 documentation (see 7.2.1 b) prior to the audit, to determine the conformity of the documentation with the certification criteria.</p>	Conforms
<p>7.4 Audit</p> <p>All the requirements given in clause 7.4 of ISO/IEC 17065:2012(E) apply.</p>		<p>7.4 Audit All the requirements given in clause 7.4 of ISO/IEC 17065:2012(E) apply</p>	Conforms
<p>7.4.1 The certification body shall have documented procedures to ensure that an audit plan is established for each audit, to provide a basis for agreement regarding the conduct and scheduling of the audit activities. The audit plan shall be communicated and the dates of the audit shall be agreed upon in advance with the client organisation.</p> <p>Note: Guidance for preparing the audit plan is provided by ISO 19011:2018, clause 6.3.2.</p>		<p>7.4.1 The certification body shall have documented procedures to ensure that an audit plan is established for each audit, to provide a basis for agreement regarding the scheduling of the audit activities. The audit plan shall be communicated and the dates of the audit shall be agreed upon in advance with the client organization. Note: Guidance for preparing the audit plan is provided by ISO 19011:2018, clause 6.3.2.</p>	Conforms
<p>7.4.2 In the case of multi-site certification, the audit plan shall list the sites to be visited as part of the sample. The certification body shall refer to the normative Appendix 3.</p>		<p>7.4.2 In the case of multi-site certification, the audit plan shall list the sites to be visited as part of the sample. The certification body shall refer to the normative Appendix 3.</p>	Conforms
<p>7.4.3 The certification body shall have documented procedures for selecting and appointing the audit team, including the audit team leader.</p>		<p>7.4.3 The certification body shall have documented procedures for selecting and appointing the audit team, including the audit team leader.</p>	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
Note: Guidance for selecting the audit team and audit team leader is provided by ISO 19011:2018, clauses 5.5.4.		Note: Guidance for selecting the audit team and audit team leader is provided by ISO 19011:2018, clauses 5.5.4.	
7.4.4 The purpose of the audit is to:			
<p>a) Determine the conformity of the client organisation's:</p> <ul style="list-style-type: none"> i. chain of custody process with the requirements of the Chain of Custody standard and its effective implementation ii. management system with the requirements of the Chain of Custody standard and its effective implementation iii. chain of custody process with requirements for the avoidance of procuring raw material from controversial sources where applicable (PEFC DDS requirements) and its effective implementation iv. usage of the PEFC trademarks with the PEFC Trademarks standard and its effective implementation and that the trademarks licence contract, which shall be signed between the client organisation and the PEFC Council or a PEFC authorised body in order for the client organisation to be allowed to use the PEFC trademarks, is valid <p>Note: The usage of the PEFC trademarks and PEFC claims is to be evaluated at the time of the surveillance and recertification audits. At initial audits, any proposed or intended use of the PEFC trademarks and PEFC claims is to be evaluated.</p>		<p>7.4.4 The purpose of the audit is to: a) Determine the conformity of the client organization's: i. chain of custody process with the requirements of the SGEC Chain of Custody standard and its effective implementation ii. management system with the requirements of the SGEC Chain of Custody standard and its effective implementation iii. chain of custody process with requirements for the avoidance of procuring raw material from controversial sources where applicable (SGEC DDS requirements) and its effective implementation iv. usage of the SGEC trademarks with the SGEC Trademarks standard and its effective implementation and that the trademarks license contract, which shall be signed between the client organization and SGEC/PEFC Japan in order for the client organization to be allowed to use SGEC trademarks, is valid 205 Note: The usage of the SGEC trademarks and SGEC claims is to be evaluated at the time of the surveillance and recertification audits. At initial audits, any proposed or intended use of the SGEC trademarks and SGEC claims is to be evaluated</p>	Conforms
b) Collect data as required by the PEFC notification contract.		b) Collect data as required by the SGEC notification contract	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
<p>7.4.5 The certification body shall conduct the audit following the relevant guidance provided in ISO 19011:2018, clause 6.4. In general, audits (initial, surveillance and recertification) shall be conducted on-site, except in those cases where requirements 7.4.6 or 7.9.2 of this standard apply, where certification bodies may decide to conduct remote audits.</p>		<p>7.4.5 The certification body shall conduct the audit following the relevant guidance provided in ISO 19011:2018, clause 6.4. In general, audits (initial, surveillance and recertification) shall be conducted on-site</p>	Conforms
<p>7.4.6 For client organisations that operate without physical possession, audits may be conducted remotely with the use of ICT tools in accordance with IAF MD 4. The certification body shall demonstrate that the full scope of the audit can be covered using ICT tools.</p> <p>Note 1: Client organisations that operate with physical possession but have not sold any physical product with a PEFC claim since the previous audit, are not eligible to be audited remotely according to this requirement.</p> <p>Note 2: For cases where client organisations have not procured raw material and have not sold any product with a PEFC claim since the last audit, requirement 7.9.2 of this standard may apply.</p>		<p>7.4.6 For client organizations that operate without physical possession, audits may be conducted remotely with the use of ICT tools in accordance with IAF MD 4. The certification body shall demonstrate that the full scope of the audit can be covered using ICT tools. Note 1: Client organizations that operate with physical possession but have not sold any physical product with a PEFC claim since the previous audit, are not eligible to be audited remotely according to this requirement. Note 2: For cases where client organizations have not procured raw material and have not sold any product with a SGEC claim since the last audit, requirement 7.9.2 of this standard may apply. Note3: ICT tools include smartphones, mobile terminal, rap-top computers, desk-top computers, drones, video-cameras, wearable device technology, AI and other software and hardware.</p>	Conforms
<p>7.4.7 The certification body shall have documented procedures for determining audit time, and for each client organisation the certification body shall determine, with input from the audit team, the time needed to plan and accomplish a complete and effective audit of the client organisation's PEFC chain of custody. The audit time determined by the certification body, and the justification for the determination, shall be recorded. The minimum time for the on-site audit is four hours, this shall not include reporting activities, unless under specific conditions where it can be justified and documented.</p>		<p>7.4.7 The certification body shall have documented procedures for determining audit time, and for each client organization the certification body shall determine, with input from the audit team, the time needed to plan and accomplish a complete and effective audit of the client organization's SGEC chain of custody. The audit time determined by the certification body, and the justification for the determination, shall be recorded. The minimum time for the on-site audit is four hours (0.5 day). Note: The minimum time for the on-site audit shall not include reporting activities, unless under extraordinary conditions.</p>	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
<p>7.4.8 The certification body shall have documented procedures for sampling within the audit in accordance with the guidance provided in ISO 19011:2018, A.6.</p>		<p>7.4.8 The certification body shall have documented procedures for sampling within the 206 audit in accordance with the guidance provided in ISO 19011:2018, A.6.</p>	Conforms
<p>7.4.9 In determining the audit time and sampling within the audit, the certification body shall as a minimum, consider the following aspects:</p>			Conforms
<p>a) the requirements of the Chain of Custody standard</p>		<p>7.4.9 In determining the audit time and sampling within the audit, the certification body shall as a minimum, consider the following aspects: a) the requirements of the Chain of Custody standard</p>	Conforms
<p>b) size and complexity of the client organisation’s operations within the scope of the PEFC chain of custody</p>		<p>b) size and complexity of the client organization’s operations within the scope of the SGEC chain of custody</p>	Conforms
<p>c) extent of supplies that could create a significant risk of procuring raw material from controversial sources</p>		<p>c) extent of supplies that could create a significant risk of procuring raw material from controversial sources</p>	Conforms
<p>d) extent of PEFC trademarks usage activities</p>		<p>d) extent of SGEC trademarks usage activities</p>	Conforms
<p>e) any outsourcing of any activities included in the scope of the organisation’s chain of custody</p>		<p>e) any outsourcing of any activities included in the scope of the organization’s chain of custody</p>	Conforms
<p>f) the results of any prior audits, including those of client organisation’s management systems</p>		<p>f) the results of any prior audits, including those of client organization’s management systems</p>	Conforms
<p>g) number of sites and multi-site considerations</p>		<p>g) number of sites and multi-site considerations</p>	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
<p>7.4.10 In the case of transfer of certification, the certification body shall operate according to ISO/IEC 17065 clause 7.4.5 and IAF MD2:2017.</p>		<p>7.4.10 In the case of transfer of certification, the certification body shall operate according to ISO/IEC 17065 clause 7.4.5 and IAF MD2:2017. Note: IAF MD2:2017 “IAF Mandatory Document for the Transfer of Accredited Certification of Management Systems” provides the standard for transferring accredited certification of management system between certification bodies.</p>	Conforms
<p>7.4.11 The audit report shall include at least the information specified in Annex 4.</p>		<p>7.4.11 Audit reports 7.4.11.1 The audit report shall include at least the information specified in Appendix4.</p>	Conforms
<p>7.4.12 On request, the certification body shall send a copy of the audit report and other necessary audit records requested by PEFC, in English language, to the PEFC Council and/or a PEFC National Governing Body, in accordance with 4.5.</p>		<p>7.4.11.2 On request, the certification body shall send a copy of the audit report and other necessary audit records requested by SGEC/PEFC Japan</p>	Conforms
<p>7.5 Review All the requirements given in clause 7.5 of ISO/IEC 17065:2012(E) apply.</p>		<p>7.5 Review All the requirements given in clause 7.5 of ISO/IEC 17065:2012(E) apply</p>	Conforms
<p>7.6 Certification decision All the requirements given in clause 7.6 of ISO/IEC 17065:2012(E) apply.</p>		<p>7.6 Certification decision All the requirements given in clause 7.6 of ISO/IEC 17065:2012(E) apply</p>	Conforms
<p>7.6.1 Audit findings shall be classified as major nonconformities, minor nonconformities and observations.</p>		<p>7.6.1 Audit findings shall be classified as major nonconformities, minor nonconformities and observations.</p>	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
<p>7.6.2 Before granting initial certification, as a minimum, major and minor nonconformities shall be corrected and the corrective action(s) verified by the certification body.</p>		<p>7.6.2 Before granting initial certification, as a minimum, major and minor nonconformities shall be corrected and the corrective action(s) verified by the certification body.</p>	Conforms
<p>7.6.3 Before granting recertification, as a minimum, major nonconformities shall be corrected and the corrective action(s) verified by the certification body.</p>		<p>7.6.3 Before granting recertification, as a minimum, major nonconformities shall be corrected and the corrective action(s) verified by the certification body</p>	Conforms
<p>7.6.4 Major and minor nonconformities identified in the audits shall result in corrective action(s) by the client organisation resolving the nonconformities. The corrective action plan, including a timeframe, shall be reviewed and accepted by the certification body. The time period for completion of the corrective action(s) for major nonconformities identified in surveillance audits and their verification by the certification body shall follow the rules of the certification body but not exceed three months. Corrective action(s) for minor nonconformities identified during recertification and surveillance audits shall be verified no later than during the next audit.</p>		<p>7.6.4 Major and minor nonconformities identified in the audits shall result in corrective action(s) by the client organization resolving the nonconformities. The corrective action plan, including a timeframe, shall be reviewed and accepted by the certification body. The time period for completion of the corrective action(s) for major nonconformities identified in surveillance audits and their verification by the certification body shall follow the rules of the certification body but not exceed three months. Corrective action(s) for minor nonconformities identified during recertification and surveillance audits shall be verified no later than during the next audit.</p>	Conforms
<p>7.7 Certification documentation All the requirements given in clause 7.7 of ISO/IEC 17065:2012(E) apply.</p>		<p>7.7 Certification documentation All the requirements given in clause 7.7 of ISO/IEC 17065:2012(E) apply.</p>	Conforms
<p>7.7.1 The certification document shall include at least the following information:</p>			Conforms
<p>a) identification of the certification body</p>		<p>7.7.1 The certification document shall include at least the following information: a) identification of the certification body</p>	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
<p>b) name and address of the client organisation, and where applicable its sites/legal entities, whose chain of custody is subject to certification</p> <p>Note 1: The name and address of the client organisation may be the name and address of a legal entity where no PEFC chain of custody activities are taking place (e.g. a mailbox address). The name and address of the client organisation whose chain of custody is subject to certification shall be included on the certification document as well.</p> <p>Note 2: In the case of PEFC chain of custody certification for specified projects, or 'project certification' (refer to PEFC GD 2001, Annex 1), "name and address" refers to the name and address of the controlling entity. The name of the project can be included in the scope of the project certificate.</p>		<p>b) name and address of the client organization, and where applicable its sites/legal entities, whose chain of custody is subject to certification Note 1: The name and address of the client organization may be the name and address of a legal entity where no SGEC chain of custody activities are taking place (e.g. a mailbox address). The name and address of the client organization whose chain of custody is subject to certification shall be included on the certification document as well. Note 2: In the case of SGEC chain of custody certification for specified projects, or 'project certification' (refer to SGEC Standard Document 4, Appendix 3), "name and address" refers to the name and address of the controlling entity. The name of the project can be included in the scope of the project certificate.</p>	Conforms
<p>c) type of certificate (individual, multi-site or producer group)</p>		<p>c) type of certificate (individual, multi-site or producer group)</p>	Conforms
<p>d) scope of the certification granted (see 7.7.2)</p>		<p>d) scope of the certification granted (see 7.7.2)</p>	Conforms
<p>e) the SFI logo with the certification body's SFI trademarks licence number</p>		<p>e) the SGEC trademarks logo with the certification body's SGEC trademarks license number</p>	Conforms
<p>f) accreditation mark of the accreditation body (including accreditation number where applicable)</p>		<p>f) accreditation mark of the accreditation body (including accreditation number where applicable)</p>	Conforms
<p>g) the date of granting, extending or renewing certification and the expiry date or recertification due date (see 7.7.6). The effective date on a certification document shall not be before the date of the certification decision.</p>		<p>g) the date of granting, extending or renewing certification and the expiry date or recertification due date (see 7.7.6). The effective date on a certification document shall not be before the date of the certification decision</p>	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
<p>7.7.2 The scope of certification shall include the following information:</p>			
<p>a) reference to PEFC ST 2002, Chain of Custody of Forest and Tree Based Products – Requirements, and where relevant the national identification of this standard as adopted by a PEFC endorsed national forest certification system</p> <p>Note: The identification of the Chain of Custody standard shall refer to the version of the Chain of Custody standard against which the audit was carried out and that was valid at the time when the certification was granted.</p>		<p>7.7.2 The scope of certification shall include the following information: a) reference to SGEC Standard Document 4 “SGEC Chain of Custody of Forest and Tree Based Products – Requirements” and /or PEFC ST 2002:2020 “Chain of Custody of Forest and Tree Based Products – Requirements”</p>	<p>Conforms</p>
<p>b) reference to PEFC ST 2001, PEFC Trademarks Rules – Requirements, and where relevant the national identification of this standard as adopted by a PEFC endorsed national forest certification system</p> <p>Note: The identification of the PEFC Trademarks standard shall refer to the version of the PEFC Trademarks standard against which the audit was carried out and that was valid at the time when the certification was granted.</p>		<p>b) reference to SGEC Standard Document 6-1 “SGEC Trademarks Rules”</p>	<p>Conforms</p>
<p>c) applied chain of custody method</p>		<p>c) applied chain of custody method</p>	<p>Conforms</p>
<p>d) products covered by the chain of custody, according to the PEFC product categories</p> <p>Note: In the case of PEFC chain of custody certification for specified projects, or ‘project certification’ (refer to PEFC GD 2001, Annex 1), the name of the project can be included in the scope of the project certificate.</p>		<p>d) products covered by the chain of custody, according to the SGEC product categories Note: In the case of SGEC chain of custody certification for specified projects, or ‘project certification’ (refer to SGEC Standard Document 4, Appendix 3), the name of the project can be included in the scope of the project certificate.</p>	<p>Conforms</p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
<p>7.7.3 Where the scope of the certification is included in an appendix to the certificate, the certificate shall include a reference to the appendix, and the appendix shall be considered as part of the certificate and be provided whenever the certificate is requested.</p>		<p>7.7.3 Where the scope of the certification is included in an appendix to the certificate, the certificate shall include a reference to the appendix as an essential element.</p>	Conforms
<p>7.7.4 The number of the certificate shall be comprised, in this order, by: the abbreviation of the certification body name (the same abbreviation shall be used for any PEFC certificates issued), followed by a dash (-), the abbreviation of the Chain of Custody standard: PEFC-COC, followed by another dash (-), and the corresponding number given by the certification body to the certificate.</p> <p>Note: Two certification bodies cannot have the same abbreviation.</p>		<p>See Foreword: the document states that “This standard stipulate “requirements of certification bodies operating certification under SGEC certification standard”, and certification bodies covered by this standard shall also fulfill PEFC ST 2003: 2020 “Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard” when operating PEFC COC certification.”</p> <p>Comment: Although this is not a non-conformity, this requirement should be made clearer in future revisions of the standard.</p>	Conforms
<p>7.7.5 The certification body shall issue the certification document in English, any other language as appropriate and agreed upon working languages.</p>		<p>7.7.4 The certification body shall issue the certification document in Japanese and, when necessary, English.</p>	Conforms
<p>7.7.6 The certification shall be granted for a maximum of five years.</p>		<p>7.7.5 The certification shall be granted for a maximum of five years by certification bodies</p>	Conforms
<p>7.7.7 Certification bodies shall immediately inform the relevant PEFC National Governing Body, or the PEFC Council where the PEFC National Governing Body does not exist, when certification is granted, suspended, terminated, withdrawn, its scope is changed or any other changes affecting</p>		<p>7.7.6 Certification bodies shall immediately inform SGEC/PEFC Japan, when certification is granted, suspended, withdrawn, its scope is changed or any other changes affecting the certification.</p>	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
the certification or the information that certification bodies shall report to PEFC.			
<p>7.8 Directory of certified products</p> <p>All the requirements given in clause 7.8 of ISO/IEC 17065:2012(E) apply.</p>		7.8 Directory of certified products All the requirements given in clause 7.8 of ISO/IEC 17065:2012(E) apply	Conforms
<p>7.9 Surveillance</p> <p>All the requirements given in clause 7.9 of ISO/IEC 17065:2012(E) apply.</p>		7.9 Surveillance All the requirements given in clause 7.9 of ISO/IEC 17065:2012(E) apply	Conforms
<p>7.9.1 The surveillance audits shall be carried out annually. The certification body shall carry out at least four surveillance audits before the expiry date of the certificate.</p> <p>Note 1: Annually means once every twelve months, plus or minus three months.</p> <p>Note 2: If the certificate is valid for less than five years, the number of surveillance audits can be reduced accordingly.</p>		7.9.1 The surveillance audits shall be carried out annually. The certification body shall carry out at least four surveillance audits before the expiry date of the certificate. Note 1: Annually means once every twelve months, plus or minus three months. Note 2: If the certificate is valid for less than five years, the number of surveillance audits can be reduced accordingly	Conforms
<p>7.9.2 The on-site surveillance audit may be replaced by other audit techniques, such as documentation and records review, and the period between on-site surveillance audits shall not exceed two years (plus three months) where:</p>			
<p>a) the certification body can justify that the audit techniques used deliver sufficient confidence in the certified entity's compliance with the certification criteria; and</p>		7.9.2 The on-site surveillance audit may be replaced by other audit techniques, such as documentation and records review, and the period between on-site surveillance audits shall not exceed two years (plus three	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
		months) where: a) the certification body can justify that the audit techniques used deliver sufficient confidence in the certified entity's compliance with the certification criteria; and	
b) no nonconformity was raised during the previous initial, surveillance or recertification audit; and		b) no nonconformity was raised during the previous initial, surveillance or recertification audit; and	Conforms
c) the client organisation procurement does not include significant risk supplies; and		c) the client organization procurement does not include significant risk supplies; and	Conforms
d) the client organisation provides the certification body with all the records required to be kept by the Chain of Custody standard or a list of all the records that allow the certification body to establish an independent sampling; or		d) the client organization provides the certification body with all the records required to be kept by the Chain of Custody standard or a list of all the records that allow the certification body to establish an independent sampling; or	Conforms
e) the submitted records provide sufficient evidence that the client organisation or client organisation's site has not procured raw material and has not sold any product with a PEFC claim since the last audit.		e) the submitted records provide sufficient evidence that the client organization or client organization's site has not procured raw material and has not sold any product with a SGEC claim since the last audit. Note: "Not procured raw material with a SGEC claim" means that input material with a SGEC claim is not classified into certified material and/or other material.	Conforms
7.10 Changes affecting certification All the requirements given in clause 7.10 of ISO/IEC 17065:2012(E) apply.		7.10 Changes affecting certification All the requirements given in clause 7.10 of ISO/IEC 17065:2012(E) apply	Conforms
7.11 Termination, reduction, suspension or withdrawal of certification		7.11 Termination, reduction, suspension or withdrawal of certification All the requirements given in clause 7.11 of ISO/IEC 17065:2012(E) apply.	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
All the requirements given in clause 7.11 of ISO/IEC 17065:2012(E) apply.			
<p>7.11.1 If certification is terminated, suspended or withdrawn, the certification body shall inform the client organisation that any further use of PEFC trademarks and claims is not allowed. In case of suspension, the certification body shall monitor whether the client is in compliance.</p>		<p>7.11.1 If certification is terminated, suspended or withdrawn, the certification body shall inform the client organization that any further use of SGEC trademarks and claims is not allowed. In case of suspension, the certification body shall monitor whether the client is in compliance with related standards with respect to the operation of COC by the client in order to determine how to handle the certification concerned.</p>	Conforms
<p>7.12 Records</p> <p>All the requirements given in clause 7.12 of ISO/IEC 17065:2012(E) apply.</p>		<p>7.12 Records All the requirements given in clause 7.12 of ISO/IEC 17065:2012(E) apply.</p>	Conforms
<p>7.13 Complaints and appeals</p> <p>All the requirements given in clause 7.13 of ISO/IEC 17065:2012(E) apply.</p>		<p>7.13 Complaints and appeals 210 All the requirements given in clause 7.13 of ISO/IEC 17065:2012(E) apply</p>	Conforms
<p>7.13.1 The certification body shall notify the PEFC Council, within 30 days, of any substantiated claims of noncompliance with certification requirements by client organisations, or complaints against client organisations it receives or about which it becomes aware.</p>		<p>7.13.1 The certification body shall notify SGEC/PEFC Japan, within 30 days, of any substantiated claims of noncompliance with certification requirements by client organizations, or complaints against client organizations it receives or about which it becomes aware</p>	Conforms
<p>7.13.2 The certification body shall provide the PEFC Council and the corresponding PEFC National Governing Body with summary reports for resolved complaints and appeals against the PEFC certified client organisations received by the certification body, including at minimum:</p> <p>a) identification of the appellant/complainant (subject to disclosure)</p>		<p>7.13.2 The certification body shall provide SGEC/PEFC Japan with summary reports for resolved complaints and appeals, including at minimum: a) identification of the appellant/complainant (subject to disclosure) b) identification of the client organization c) subject of the complaint d) summary of the complaint handling process e) outcome/resolution of the complain</p>	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
b) identification of the client organisation c) subject of the complaint d) summary of the complaint handling process e) outcome/resolution of the complaint			

8. Management system requirements

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
All the requirements given in clause 8 of ISO/IEC 17065:2012(E) apply.		8. Management system requirements All the requirements given in clause 8 of ISO/IEC 17065:2012(E) apply.	Conforms
8.1 Internal audits of the certification body 8.1.1 On request, the results of annual internal audits, limited to the performance of PEFC chain of custody certification activities, shall be provided to the PEFC Council or PEFC National Governing Body.		8.1 Internal audits of the certification body 8.1.1 On request, the results of annual internal audits, limited to the performance of SGEC chain of custody certification activities, shall be provided to SGEC/PEFC Japan	Conforms

Appendix 1 (normative): PEFC notification of certification bodies

(Requirements are additional to the accreditation of the certification body)

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
The certification body operating the PEFC recognised chain of custody certification shall be notified by the PEFC Council or other PEFC authorised body for the specific country in which it operates.		Appendix 1 SGEC notification of certification bodies (Additional requirements for accreditation of the certification body) The certification body operating the SGEC chain of custody certification shall be notified by SGEC/PEFC Japan.	Conforms
<p>The PEFC notification requires that the certification body shall have a valid accreditation recognized by the PEFC Council (see Annex 2 of this document). The certification body shall provide the PEFC Council, or the relevant PEFC authorised body, with information on granted certifications as specified by the PEFC Council or the relevant PEFC authorised body.</p> <p>Note: The information on granted certifications includes (but it is not limited to) identification of the client organisation, scope of the granted certifications and the client organisation’s turnover where used for determination of the PEFC notification fee.</p>		The SGEC notification requires that the certification body shall have a valid accreditation recognized by SGEC/PEFC Japan (see Appendix 2 of this document). The certification body shall provide SGEC/PEFC Japan with information on granted certifications as specified by SGEC/PEFC Japan. Note: The information on granted certifications includes (but it is not limited to) identification of the client organization, scope of the granted certifications and the client organization’s turnover where used for determination of the SGEC notification fee.	Conforms
The PEFC notification may require the certification body to pay a PEFC notification fee as specified by the PEFC Council or the relevant PEFC authorised body.		The SGEC notification may require the certification body to pay a SGEC notification fee as specified by SGEC/PEFC Japan	Conforms

Appendix 2 (normative): Accreditations accepted by the PEFC Council for PEFC notification

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
The PEFC Council requires that chain of custody certification shall be carried out by certification bodies who are accredited by accreditation bodies that are signatories of the Multilateral Recognition Arrangement		Appendix 2 Accreditations accepted by SGEC/PEFC Japan for SGEC notification SGEC/PEFC Japan requires SGEC COC certification to be carried out by certification bodies accredited by accreditation bodies who are	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
<p>(MLA) for product certification of IAF or IAF’s Regional Accreditation Groups such as European co-operation for Accreditation (EA), Inter American Accreditation Cooperation (IAAC), Asia Pacific Accreditation Cooperation Incorporated (APAC), Southern African Development Community Cooperation in Accreditation (SADCA), African Accreditation Cooperation (AFRAC) and ARAB Accreditation Cooperation (ARAC).</p>		<p>signatories to the Multilateral Recognition Arrangement for products certification of IAF (MLA), or regional accreditation groups of IAF such as European Cooperation for Accreditation (EA), Interamerican Accreditation Cooperation (IAAC), Asia Pacific Accreditation Cooperation (APAC), Southern African Development Community Accreditation (SADCA), African Accreditation Cooperation (AFRAC) and Arab Accreditation Cooperation (ARAC)</p>	
<p>The scope of the accreditation shall explicitly cover PEFC ST 2002, <i>Chain of Custody of Forest and Tree Based Products – Requirements</i> and PEFC ST 2001, <i>PEFC Trademarks Rules – Requirements</i> in its valid version as presented at the PEFC website www.pefc.org</p>		<p>The certification body’s scope of accreditation shall explicitly cover SGEC Standard Document 4 “SGEC Chain of Custody of Forest and Tree Based Products – Requirements”, SGEC Standard Document 6 “SGEC Trademarks Rules – Requirements”, PEFC ST 2002:2020 “Chain of Custody of Forest and Tree Based Products – Requirements” and PEFC ST 2001:2020 “PEFC Trademarks Rules – Requirements” in their valid versions. Note: Since SGEC claims of products can be converted to PEFC claims based on endorsement of the SGEC certification scheme by the PEFC, relevant PEFC standards shall be included in the scope of accreditation of the certification body</p>	Conforms
<p>The scope of accreditation shall also explicitly state ISO/IEC 17065, PEFC ST 2003 and other requirements against which the certification body has been assessed.</p>		<p>The certification body’s scope of accreditation shall also explicitly state ISO/IEC 17065, this Appendix and Appendix 2 of PEFC ST 2003:2020 and other requirements against which the certification body has been assessed.</p>	Conforms
<p>The accreditation certificate shall be available in English and any other language, as necessary.</p>		<p>The accreditation certificate shall be available in Japan, as well as in English when needed</p>	Conforms

Appendix 3 (normative): Multi-site chain of custody certification

(Appendix 2 to the Chain of Custody standard)

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
<p>1. Introduction</p>			
<p>1.1 This appendix is for the audit and certification of PEFC chain of custody in client organisations with a network of sites, to ensure that the audit provides adequate confidence in the conformity of the client organisation’s chain of custody with the Chain of Custody standard across all sites listed in the scope of the certificate and that the audit is practical and feasible in both economic and operative terms.</p>		<p>Appendix 3 Multi-site chain of custody certification 1. Introduction 1.1 This appendix defines requirements for certification bodies who implement certification of multi-sites organizations having multiple sites fulfilling requirements stipulated in Appendix 2 “Implementation of the chain of custody standard by multisite organizations” of SGEC Standard Document 4. 1.2 This appendix is for the audit and certification of PEFC chain of custody in client organizations with a network of sites, to ensure that the audit provides adequate confidence in the conformity of the client organization’s chain of custody with the Chain of Custody standard across all sites listed in the scope of the certificate and that the audit is practical and feasible in both economic and operative terms.</p>	<p>Conforms</p>
<p>2. Eligibility criteria for the multi-site client organisation</p>			
<p>2.1 Eligibility criteria for the multi-site client organisation, including definitions, are included in Appendix 2 to the Chain of Custody standard.</p>		<p>2. Eligibility criteria for the multi-site client organization 2.1 Eligibility criteria for the multi-site client organization are defined in Appendix 2 of SGEC Standard Document 4</p>	<p>Conforms</p>
<p>2.2 In addition to requirements of Appendix 2 to the Chain of Custody standard, the multi-site client organisation shall demonstrate its ability to collect and analyse data (including but not limited to items below) from all sites including the central office and its authority over all sites and its authority to initiate change if required:</p>		<p>2.2 In addition to requirements of Appendix 2 to the SGEC Chain of Custody standard, the multi-site client organization shall demonstrate its ability to collect and analyze data (including but not limited to items below) from all sites including the central office and its authority over all sites and its authority to initiate change if required: a) chain of custody documentation and chain of custody changes b) management review c)</p>	<p>Conforms</p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
a) chain of custody documentation and chain of custody changes b) management review c) complaints d) evaluation of corrective actions e) internal audit planning and evaluation of the results f) different legal requirements in relation to the avoidance of raw material from controversial sources		complaints d) evaluation of corrective actions e) internal audit planning and evaluation of the results f) different legal requirements in relation to the avoidance of raw material from controversial sources	
2.3 With reference to Appendix 2 of the Chain of Custody standard, a multi-site client organisation, which is established as a group of independent legal entities only for the purpose of obtaining and maintaining chain of custody certification, shall only consist of typically small enterprises.		2.3 With reference to Appendix 2 of the Chain of Custody standard, a multi-site client organization, which is established as a group of independent legal entities only for the purpose of obtaining and maintaining chain of custody certification, shall only consist of typically small enterprises	Conforms
3. Eligibility criteria for the certification body			
3.1 General 3.1.1 The certification body shall provide information to the client organisation about the eligibility criteria laid down herein and in Appendix 2 to the Chain of Custody standard before starting the audit process, and should not proceed with the audit if any of the eligibility criteria for the multi-site organisation are not met. Before starting the audit process, the certification body should inform the client organisation that the certificate will not be issued		3. Eligibility criteria for the certification body 3.1 General 3.1.1 The certification body shall provide information to the client organization about the eligibility criteria laid down herein and in Appendix 2 to the Chain of Custody standard before starting the audit process, and should not proceed with the audit if any of the eligibility criteria for the multi-site organization are not met. Before starting the audit process, the certification body should inform the client organization that the certificate	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
if, during the audit, nonconformities in relation to these eligibility criteria are found.		will not be issued if, during the audit, nonconformities in relation to these eligibility criteria are found.	
<p>3.2 Contract review</p> <p>3.2.1 The certification body's procedures shall ensure that the initial contract review identifies the complexity and scale of the activities covered by the chain of custody subject to certification and any differences between sites as the basis for determining the level of sampling.</p>		3.2 Contract review 3.2.1 The certification body's procedures shall ensure that the initial contract review identifies the complexity of the activities covered by the chain of custody subject to certification and any differences between sites as the basis for determining the level of sampling.	Conforms
<p>3.2.2 The certification body shall identify the central function of the client organisation that is its contractual partner for the performance of the certification. The agreement shall allow the certification body to carry out the certification activities at all sites of the multi-site client organisation.</p>		3.2.2 The certification body shall identify the central function of the client organization that is its contractual partner for the performance of the certification. The agreement shall allow the certification body to carry out the certification activities at all sites of the multi-site client organization.	Conforms
<p>3.2.3 The certification body shall analyse, in each individual case, to what extent sites of an organisation have similar raw material flow that enables the chain of custody to be applied in a similar manner. The similarity of the sites included in the multi-site client organisation shall be taken into consideration when applying the sampling procedures.</p>		3.2.3 The certification body shall analyze, in each individual case, to what extent sites of an organization have similar raw material flow that enables the chain of custody to be applied in a similar manner. The similarity of the sites included in the multisite client organization shall be taken into consideration when applying the sampling procedures.	Conforms
<p>3.2.4 The certification body shall retain a record to demonstrate that the required activities in 3.2.1, 3.2.2 and 3.2.3 have been implemented.</p>		3.2.4 The certification body shall retain a record to demonstrate that the required activities in 3.2.1, 3.2.2 and 3.2.3 have been implemented	Conforms
<p>3.3 Audit</p> <p>3.3.1 The certification body shall have documented procedures to deal with audits under its multi-site procedure. Such audit procedures, including documentation and records review, on-site audits, etc., shall establish the way</p>		3.3 Audit 3.3.1 The certification body shall have documented procedures to deal with audits under its multi-site procedure. Such written audit procedures shall include 215 documentation and records review, on-site audits, etc., and establish the way the certification body satisfies itself, inter alia, that the chain of custody requirements are actually applied to	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
the certification body satisfies itself, inter alia, that the chain of custody requirements are actually applied to all the sites and that all the criteria in the Chain of Custody standard, including its Appendix 2, are met.		all the sites and that all the criteria in SGEC Standard Document 4, the Chain of Custody standard, including its Appendix 2, are met.	
3.3.2 If more than one audit team is involved in the audit of the network, the certification body shall designate a unique audit leader whose responsibility is to consolidate the findings from all the audit teams and to produce a synthesis report.		3.3.2 If more than one audit team is involved in the audit of the network, the certification body shall designate a unique audit leader whose responsibility is to consolidate the findings from all the audit teams and to produce a synthesis report.	Conforms
3.4 Nonconformities 3.4.1 When nonconformities are found at any individual site, either through the client organisation’s internal auditing or from auditing by the certification body, an investigation shall take place to determine whether the other sites may be affected. Therefore, the certification body shall require the client organisation to review the nonconformities to determine whether they indicate an overall chain of custody deficiency applicable to all sites or not. If they are found to do so, corrective action should be performed both at the central office and at the individual sites. If they are found not to do so, the client organisation shall be able to demonstrate to the certification body the justification for limiting its follow-up action to the individual sites.		3.4 Nonconformities 3.4.1 When nonconformities are found at any individual site, either through the client organization’s internal auditing or from auditing by the certification body, an investigation shall take place to determine whether the other sites may be affected. Therefore, the certification body shall require the client organization to review the nonconformities to determine whether they indicate an overall chain of custody deficiency applicable to all sites or not. If they are found to do so, corrective action should be performed both at the central office and at the individual sites. If they are found not to do so, the client organization shall be able to demonstrate to the certification body the justification for limiting its follow-up action to the individual	Conforms
3.4.2 The certification body shall require evidence of these actions and may increase its sampling frequency until it is satisfied that control is re-established.		3.4.2 The certification body shall require evidence of these corrective actions with respect to nonconformities found on sites by internal audits of the organization and audits by the certification body. The certification body may increase its sampling frequency until it is satisfied that control is re-established.	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
<p>3.4.3 For initial and recertification audits, at the time of the decision making process, if any site has a nonconformity, certification shall be denied to the whole multi-site client organisation pending satisfactory corrective action.</p>		<p>3.4.3 In the decision making process of the certification of the multi-site client organization, if any site has a nonconformity, certification shall be denied to the whole multi-site client organization pending satisfactory corrective action.</p>	Conforms
<p>3.4.4 It shall not be admissible that, in order to overcome the obstacle raised by the existence of a nonconformity raised by the certification body at a single site, the client organisation seeks to exclude from the scope the “problematic” site during the certification process.</p>		<p>3.4.4 It shall not be admissible that, in order to overcome the obstacle raised by the existence of a nonconformity raised by the certification body at a single site, the client organization seeks to exclude from the scope the “problematic” site during the certification process.</p>	Conforms
<p>3.5 Certificates</p> <p>3.5.1 One single certificate shall be issued with the name and address of the central office of the client organisation. A list of all the sites that the certificate relates to shall be issued, either on the certificate itself or in an appendix or as otherwise referred to in the certificate. The scope or other reference on the certificate shall make clear that the certified activities are performed by the network of sites in the list. The appendix or other reference is an integral part of the certificate and shall not be separated from the certificate.</p>		<p>3.5 Certificates 3.5.1 One single certificate shall be issued with the name and address of the central office of the client organization. A list of all the sites that the certificate relates to shall be issued, either on the certificate itself or in an appendix or as otherwise referred to in the certificate. The scope or other reference on the certificate shall make 216 clear that the certified activities are performed by the network of sites in the list. The appendix or other reference is an integral part of the certificate and shall not be separated from the certificate</p>	Conforms
<p>3.5.2 If the individual sites are applying different chain of custody methods, the application of the Chain of Custody standard shall be clearly stated in the certificate and any appendix for the individual sites.</p>		<p>3.5.2 If the individual sites are applying different chain of custody methods, the application of the Chain of Custody standard shall be clearly stated in the certificate and any appendix for the individual sites.</p>	Conforms
<p>3.5.3 A sub-certificate may be issued to the client organisation for each site covered by the certification, on condition that it contains the same scope, or a sub-scope of that scope, and includes a clear reference to the main certificate. The sub-certificate shall include a statement saying “the validity of this certificate depends on the validity of the main certificate”. In cases where the</p>		<p>3.5.3 A sub-certificate may be issued to the client organization for each site covered by the certification, on condition that it contains the same scope, or a sub-scope of that scope, and includes a clear reference to the main certificate. The sub-certificate shall include a statement saying</p>	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
sub-certificate includes also a sub-certificate number, it shall be linked to the certificate number and be included in the certificate as per 3.5.1.		"the validity of this certificate depends on the validity of the main certificate".	
3.5.4 The certificate will be withdrawn in its entirety, if the central office or any of the sites does not/do not fulfil the necessary criteria for the maintaining of the certificate (see 3.2 above).		3.5.4 The certificate will be withdrawn in its entirety, if the central office or any of the sites does not/do not fulfil the necessary criteria for the maintaining of the certificate (see 3.2 above)	Conforms
3.5.5 The list of sites shall be kept updated by the certification body. To this effect, the certification body shall request the client organisation to inform it about the closure, establishment, or change in activities of sites. Failure to provide such information will be considered by the certification body as a misuse of the certificate, and it will act consequently according to its procedures. Certification bodies shall inform the PEFC Council or the PEFC National Governing Body accordingly.		3.5.5 The list of sites shall be kept updated by the certification body. To this effect, the certification body shall request the client organization to inform it about the closure, establishment, or change in activities of sites. Failure to provide such information will be considered by the certification body as a misuse of the certificate, and it will act consequently according to its procedures.	Conforms
3.5.6 Additional sites may be added by the certification body to an existing certificate between audits provided it is within the scope of the certificate. The number of sites that may be added between audits is limited to 100% of the existing sites at the previous audit. The following requirements shall be met:		3.5.6 Additional sites may be added by the certification body to an existing certificate between audits provided it is within the scope of the certificate. The number of sites that may be added between audits is limited to 100% of the existing sites at the previous audit. The following requirements shall be met:	Conforms
a) The certification body shall be informed by the client organisation in advance of the client organisation's desire to add new sites between audits to be covered by the chain of custody certificate and shall be provided with the number of sites.		a) The certification body shall be informed by the client organization in advance of the client organization's desire to add new sites between audits to be covered by the chain of custody certificate and shall be provided with the number of sites.	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
<p>b) The certification body shall obtain from the client organisation the chain of custody procedures covering the additional sites, including the applied chain of custody method and the products covered by the chain of custody.</p>		<p>b) The certification body shall obtain from the client organization the chain of custody procedures covering the additional sites, including the applied chain of custody method and the products covered by the chain of custody.</p>	Conforms
<p>c) The certification body shall obtain the internal audit report for the site(s) being considered for inclusion in the certificate.</p>		<p>c) The certification body shall obtain the internal audit report for the site(s) being considered for inclusion in the certificate.</p>	Conforms
<p>d) The certification body shall review results of the internal audit and determine if additional information is needed while considering the request of the client organisation.</p>		<p>d) The certification body shall review results of the internal audit and determine if additional information is needed while considering the request of the client organization.</p>	Conforms
<p>e) Based on the result of the review in (d), the certification body shall determine if an on-site audit of the additional site(s) is required or if the review as per (b), (c) and (d) shows sufficient evidence that the sites can be added.</p>		<p>e) Based on the result of the review in (d), the certification body shall determine if an on-site audit of the additional site(s) is required or if the review as per (b), (c) 217 and (d) shows sufficient evidence that the sites can be added</p>	Conforms
<p>f) If an on-site audit is not required before adding the additional site(s) to the chain of custody certificate, these new site(s) shall be subject to on-site visit no later than the next scheduled audit. The certification body may determine whether a sample of the new sites is required based on chapter 4.</p> <p>Note: For those cases where the standard allows remote audits (see requirement 7.4.6), the on-site audit can be replaced by a remote audit.</p>		<p>f) If an on-site audit is not required before adding the additional site(s) to the chain of custody certificate, these new site(s) shall be subject to on-site visit no later than the next scheduled audit. The certification body may determine whether a sample of the new sites is required based on chapter 3 "Eligibility criteria for the certification body" of this appendix.</p> <p>Note: For those cases where the standard allows remote audits (see requirement 7.4.6), the on-site audit can be replaced by a remote audit</p>	Conforms
<p>4. Sampling for on-site audits</p>			

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
<p>4.1 Methodology</p> <p>4.1.1 The certification body can apply sampling of sites for on-site audits where the site sampling is appropriate to gain sufficient confidence in the compliance of the multi-site client organisation with the chain of custody requirements. The certification body shall be able to demonstrate its justification for the selection of sites for the on-site audits to ensure that all differences across the sites and implementation of chain of custody have been assessed.</p>		<p>4. Sampling for on-site audits 4.1 Methodology 4.1.1 The certification body can apply sampling of sites for on-site audits where the site sampling is appropriate to gain sufficient confidence in the compliance of the multisite client organization with the chain of custody requirements. The certification body shall be able to demonstrate its justification for the selection of sites for the onsite audits to ensure that all differences across the sites and implementation of chain of custody have been assessed.</p>	Conforms
<p>4.1.2 The sample shall be representative concerning differences in site processes and activities that are subject to the chain of custody certification. The sample shall be determined separately for sites using different chain of custody methods (physical separation, percentage or credit methods).</p> <p>Note: "Determined separately" means that the sample is determined after the sites are separated.</p>		<p>4.1.2 The sample shall be representative concerning differences in site processes and activities that are subject to the chain of custody certification. The sample shall be determined separately for sites using different chain of custody methods (physical separation, percentage or credit methods).</p>	Conforms
<p>4.1.3 The sample shall be determined separately if sites were added between audits and no on-site audit was required (as per Appendix 3, subclause 3.5.6, paragraph e).</p> <p>Note 1: "Determined separately" means that the sample is determined after the sites are separated.</p> <p>Note 2: Subclause 4.1.2 also applies to 4.1.3.</p>		<p>4.1.3 The different samples from those selected in the latest audit shall be determined, if sites were added between audits and no on-site audit was required (as per Appendix 2, subclause 3.5.5, paragraph e). Note 1: "Determined separately" means that the sample is determined after the sites are separated. Note 2: Subclause 4.1.2 also applies to 4.1.3. That means difference among samples and difference of COC shall be considered.</p>	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
<p>4.1.4 The sample should be partly selective based on the factors set out below and partly non selective, and should result in a range of different sites being selected, without excluding the random element of sampling.</p>		<p>4.1.4 The sample should be partly selective based on the factors set out below and partly non selective, and should result in a range of different sites being selected, without excluding the random element of sampling</p>	Conforms
<p>4.1.5 At least 25% of the sample should be selected at random.</p> <p>Note: In the context of risk based auditing, the selection of sites should avoid visiting sites from the previous sample, unless it is justified by the identified risk. This may lead to sampling where less than 25% of the sample could be selected at random.</p>		<p>4.1.5 At least 25% of the sample should be selected at random. 218</p> <p>Note: In the context of risk based auditing, the selection of sample sites should avoid visiting sites from the previous sample, unless it is justified by the identified risk, because this may lead to sampling where less than 25% of the sample could be selected at random</p>	Conforms
<p>4.1.6 Taking into account the criteria mentioned hereafter, the remainder of the sample should be selected so that the differences among the sites selected over the period of validity of the certificate is as large as possible.</p>		<p>4.1.6 Taking into account the criteria mentioned hereafter, the remainder of the sample should be selected so that the differences among the sites selected over the period of validity of the certificate is as large as possible.</p>	Conforms
<p>4.1.7 The site selection criteria shall include among others the following aspects:</p> <ul style="list-style-type: none"> a) results of internal audits or previous certification audits b) records of complaints and other relevant aspects of corrective and preventive action c) significant variations in the size of the sites and in production processes of the sites d) variations in the applied chain of custody methods e) modifications since the last certification audit 		<p>4.1.7 The site selection criteria shall include among others the following aspects: a) results of internal audits or previous certification audits b) records of complaints and other relevant aspects of corrective and preventive action c) significant variations in the size of the sites and in production processes of the sites d) variations in the applied chain of custody methods e) modifications since the last certification audit f) geographical dispersion g) sites added since the last external audi</p>	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
f) geographical dispersion g) sites added since the last external audit			
4.1.8 This selection does not have to be done at the start of the audit process. It can also be done once the audit at the central office has been completed. In any case, the central office shall be informed of the sites to be part of the sample. This can be on relatively short notice, but should allow adequate time for preparation for the audit.		4.1.8 This selection does not have to be done at the start of the audit process. It can also be done once the audit at the central office has been completed. In any case, the central office shall be informed of the sites to be part of the sample. This can be on relatively short notice, but should allow adequate time for preparation for the audit.	Conforms
4.1.9 The central office shall be audited during every initial, surveillance and recertification audit as a part of the sample.		4.1.9 The central office shall be audited during every initial, surveillance and recertification audit as a part of the sample	Conforms
4.2 Size of sample 4.2.1 The certification body shall have documented procedures for determining the sample to be taken when auditing sites as part of the audit and certification of a multi-site client organisation. This should take into account all the factors described in this appendix.		4.2 Size of sample 4.2.1 The certification body shall have documented procedures for determining the sample to be taken when auditing sites as part of the audit and certification of a multisite client organization. This should take into account all the factors described in this appendix.	Conforms
4.2.2 In the event that application of the certification body's procedure results in a smaller sample than would result from the application of the guidance set out below, the certification body shall record the reasons justifying this and demonstrate that it is operating in accordance with its approved procedure.		4.2.2 In the event that application of the certification body's procedure results in a smaller sample than would result from the application of the guidance set out below, the certification body shall record the reasons justifying this and demonstrate that it is operating in accordance with its approved procedure	Conforms
4.2.3 The minimum number of sites to be visited per audit shall be for:			Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
<p>a) Initial audits and sites added since the last audit where no on-site audit was required (as per subclause 3.4.5, paragraph e): the square root of the total number of sites, rounded up to the next whole number:</p> <p>$y = \sqrt{x}$</p> <p>y = number of sites to be visited</p> <p>x = total number of sites</p>		<p>4.2.3 The minimum number of sites to be visited per audit shall be for: a) Initial audits and sites added since the last audit where no on-site audit was required (as per subclause 3.4.5, paragraph e): the square root of the total number of sites, rounded up to the next whole number: $y = \sqrt{x}$ y = number of sites to be visited x = total number of sites</p>	Conforms
<p>b) Surveillance audits: the square root of the total number of current sites reduced by a factor 0.6, rounded up to the next whole number:</p> <p>$y = 0.6 \sqrt{x}$</p> <p>y = number of sites to be visited</p> <p>x = total number of sites</p>		<p>b) Surveillance audits: the square root of the total number of current sites reduced by a factor 0.6, rounded up to the next whole number: $y = 0.6 \sqrt{x}$ y = number of sites to be visited x = total number of sites</p>	Conforms
<p>c) Recertification audits: the square root of the number of current sites, rounded up to the next whole number:</p> <p>$y = \sqrt{x}$</p> <p>Where the central office did not receive any major nonconformities over the certification cycle, the size of the sample could be reduced by a factor 0.8, rounded to the upper whole number:</p> <p>$y = 0.8 \sqrt{x}$</p> <p>y = number of sites to be visited x = total number of sites</p>		<p>c) Recertification audits: the square root of the number of current sites, rounded up to the next whole number: $y = \sqrt{x}$ Where the central office did not receive any major nonconformities over the certification cycle, the size of the sample could be reduced by a factor 0.8, rounded to the upper whole number: $y = 0.8 \sqrt{x}$ y = number of sites to be visited x = total number of sites Note: For sites added since the last audit where no on-site audit was required (as per subclause 3.4.5, paragraph e), the reduction factors shall not be used.</p>	Conforms

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
<p>Note: For sites added since the last audit where no on-site audit was required (as per subclause 3.4.5, paragraph e), the reduction factors shall not be used.</p>			
<p>4.2.4 The size of sample shall be increased where the certification body's risk analysis of the activities covered by the multi-site client organisation subject to certification indicates increased risk due to factors like:</p> <ul style="list-style-type: none"> a) size of the sites and number of employees b) complexity and variations of raw material flow and chain of custody methods c) variations in the application of chain of custody methods and definitions of the raw material origin d) level of risk of procurement of raw material from controversial sources e) records of complaints and other relevant aspects of corrective and preventive action f) any multinational aspects g) results of internal and external audits h) the type of multi-site (multi-site or producer group) 		<p>4.2.4 The size of sample shall be increased where the certification body's risk analysis of the activities covered by the multi-site client organization subject to certification indicates increased risk due to factors like: a) size of the sites and number of employees b) variations of raw material flow and chain of custody methods c) variations in the application of chain of custody methods and definitions of the raw material origin d) level of risk of procurement of raw material from controversial sources e) records of complaints and other relevant aspects of corrective and preventive action f) any multinational aspects g) results of internal and external audits h) the type of multi-site (multi-site or producer group)</p>	<p>Conforms</p>
<p>4.3 Audit times</p> <p>4.3.1 The certification body shall be able to demonstrate its justification for the time spent on multi-site audits in terms of its overall policy for allocation of audit time.</p>		<p>4.3 Audit times 4.3.1 The certification body shall be able to demonstrate its justification for the time spent on multi-site audits in terms of its overall policy for allocation of audit time</p>	<p>Conforms</p>

PEFC benchmark requirement	YES / NO*	Reference to system documentation (including quotation of relevant text)	
<p>4.3.2 The minimum audit time to spend for each individual site as a part of the initial, surveillance and recertification audits is the same as for the audit defined in clause 7.4.7. Reductions can be applied to take into account the clauses of the Chain of Custody standard that are not relevant to sites and are only examined at the central office.</p>		<p>4.3.2 The minimum audit time to spend for each individual site as a part of the initial, surveillance and recertification audits is the same as for the audit defined in clause 7.4.7. of SGEC Standard 5-2. Reductions can be applied to take into account the clauses of the Chain of Custody standard that are not relevant to sites and are only examined at the central office</p>	Conforms
<p>4.3.3 No reduction is permitted for the central office</p>		<p>4.3.3 No reduction is permitted for the central office</p>	Conforms

Appendix 4 (normative): Minimum content of audit reports

<p>Audit reports shall include, as a minimum, the following content:</p> <p>1. Front page</p>	<p>Appendix 4 Minimum content of audit reports</p> <p>Audit reports shall include, as a minimum, the following content: 1. Front page</p>	Conforms
<p>2. Description of client organisation</p>	<p>2. Description of client organization</p>	Conforms
<p>3. Description of client organisation’s PEFC chain of custody, including:</p> <p>a) management system</p> <p>b) parts of the organisation and/or sites</p> <p>c) processes/activities including outsourcing</p>	<p>3. Description of client organization’s SGEC chain of custody, including: a) management system b) parts of the organization and/or sites c) processes/activities including outsourcing d) product groups and their products covered by the SGEC chain of custody, including for each site and/or product group as applicable: i. chain of custody method ii. intended application of the SGEC trademarks</p>	Conforms

<p>d) product groups and their products covered by the PEFC chain of custody, including for each site and/or product group as applicable:</p> <ul style="list-style-type: none"> i. chain of custody method ii. intended application of the PEFC trademarks 		
<p>4. Scope of the audit</p> <p>a) applied certification criteria from ST 2002 and ST 2001, including for each product group and/or site as applicable:</p> <ul style="list-style-type: none"> i. chain of custody method ii. the PEFC trademarks rules iii. PEFC Due Diligence System requirements <p>b) sites visited</p> <p>c) for remote audits:</p> <ul style="list-style-type: none"> i. justification for conducting audit remotely ii. applied techniques and their justification <p>d) for multi-site audits:</p> <ul style="list-style-type: none"> i. calculation of the sample size according to clause Appendix 3, 3.2.3 ii. justification of the sampling 	<p>4. Scope of the audit a) applied certification criteria from SGEC Standard Document 4 and SGEC Standard Document 6, including for each product group and/or site as applicable: i. chain of custody method ii. the SGEC trademarks rules iii. SGEC Due Diligence System requirements b) sites visited c) for remote audits: i. justification for conducting audit remotely ii. applied techniques and their justification d) for multi-site audits: i. calculation of the sample size according to clause Appendix 3, 3.2.3 ii. justification of the sampling iii. audited sites</p>	<p>Conforms</p>

<p>iii. audited sites</p>		
<p>5. Audit findings</p> <p>a) presentation of findings demonstrating conformity or nonconformity to all the applicable clauses of the certification requirements</p> <p>b) issued corrective actions and time frames for reporting of corrective actions and close-out</p> <p>c) evaluation of previously issued corrective actions</p> <p>d) recommended certification decision</p>	<p>5. Audit findings a) presentation of findings demonstrating conformity or nonconformity to all the applicable clauses of the certification requirements b) issued corrective actions and time frames for reporting of corrective actions and close-out c) evaluation of previously issued corrective actions d) recommended certification decision</p>	<p>Conforms</p>

ANNEX B. RESULTS OF STAKEHOLDER SURVEY

A stakeholder survey was sent to 90 SGEC stakeholders on October 8 via email. A total of six responses were received.

The questionnaire was sent in Japanese as follows:

親愛なる SGEC/PEFC ジャパンの利害関係者様、

2021 年、SGEC/PEFC ジャパンは改正された規格を PEFC（森林認証基準の承認プログラム）に提出し、承認を求めています。

PEFC は、SGEC 規格が PEFC 国際標準およびガイドラインに準拠していることを要求しています。

“Article 3” (弊社) 条」は、この評価の一環として、利害関係者への調査を求めています。

1.調査

以下のアンケートに対し回答をいただければ幸いです。

回答者は、必要に応じて匿名のままにすることができます。このメールを受け取ってから 30 日以内に、できるだけ早く回答を返送してください。

追加のコメントも、Khalil Manaf へ（メールアドレス k.hegarty@articlethree.com.au）に送信することができます。

- 1.あなたの名前、組織、およびタイプ（NGO、業界など）
- 2.SGEC との関係を説明してください。
- 3.SGEC 改正规格に関する会合に招請されたのはいつですか。
- 4.すべての利害関係者が SGEC 改訂に参加し、貢献することができたと思われませんか？
5. SGEC は、規格の改正に関連する情報を提供しましたか？
- 6.改正プロセスは適切に計画され、適切に実施されていきましたか？
- 7.改正プロセス中に、あなたの見解は適切に考慮されましたか？
- 8.規格管理委員会内でどのようにコンセンサスが得られましたか？（委員のみ対象）
- 9.参加している利害関係者は、あなたの国の森林管理に対するさまざまな関心を代表していましたか？そうでない場合、他にどの利害関係者グループが参加すべきだったと思いますか？
- 10.さらに検討が必要な部分はありますか？

An English translation reads as:

Dear SGEC/PEFC Japan Stakeholder,

In 2021 the SGEC/PEFC Japan submitted its revised standards to the PEFC (Program for the Endorsement of Forest Certification Standards) for endorsement.

PEFC requires that the SGEC standards conform with PEFC international standards and guidelines.

"Article Three P/L" (my company) is completing a survey of stakeholders as part of this assessment.

1. Survey

We would appreciate comments based on the following questionnaire.

Respondents may remain anonymous if preferred. Please return comments as soon as possible, within 30 days from receipt of this email.

Additional comments can also be submitted to Khalil Manaf at k.hegarty@articlethree.com.au.

1. Name, organisation and type of stakeholder (NGO, industry, etc.)
2. Describe your relationship with SGEC/PEFC Japan.
3. When were you invited to participate in the SGEC standard revision?
4. Were all stakeholders able to participate and contribute to the SGEC revision?
5. Did SGEC/PEFC Japan provide you with the information you needed to contribute to the scheme development and revision?
6. Was the revision process well planned and structured?
7. Were your views appropriately considered during the revision process?
8. How was consensus reached within the development committee? (Applicable for committee members only)
9. Did the participating stakeholders represent the range of interests in forest management in your country? If not, which other interests groups do you think should have participated?
10. Are there aspects of the scheme that require further consideration?

2. Consultation

Article Three will consult with standard development committee members on the SGEC standard revision.

We will communicate with committee members that participated in the revision process. We will do so on specific issues as needed.

We will conduct any consultations in English and Japanese via written consultation. Please inform us if you would prefer a Zoom meeting, and which language you prefer.

Thanks,

Khalil Manaf Hegarty

Although the number of responses was small, a summary of the majority of the answers is as follows:

- Stakeholders were able to participate in the revision of the scheme easily and were able to contribute to the revision accordingly.
- SGEC provided all the required information (e.g. draft documentation and procedure documentation required to participate in the revision);
- Stakeholders believed that the revision process was planned and structured;
- Views were appropriately considered and taken seriously, and there did not appear to be a broad rejection of views;
- Consensus was reached on matters within the standardising committee via dialogue and debate until consensus was reached;
- Stakeholders believed that a broad range, i.e. adequate, range of stakeholders was represented, although simultaneously holding the view that this range can always be expanded.

In addition, there was a dissenting view from Mr. Kawakami of Tropical Forest Action Network (JATAN). This comment was delivered to SGEC directly, and he asked that it be forwarded to the assessor. Mr Kawakami took issue with the SGEC GD 3-1 “SGEC Guide on FPIC Implementation for Ainu People” and the way that consensus was reached on the document with regards to Ainu communities in Japan. Mr Kawakami is of the opinion that the consent procedures for SGEC should instead be changed to meet principles and indicators of a different certification system in order to reach a suitable outcome for FPIC within the standard. In particular, Mr Kawakami objected to the participation and non-objection of the Ainu representative on the Standardising Committee as being considered as generating consensus.

Although Mr Kawakami’s concerns may have merit in their assessment of the SGEC standard against other certification systems, it is beyond the remit of this assessment to do so. However, it is nonetheless important that these concerns be noted in full, and that SGEC avoid any potential misunderstandings in future. Mr Kawakami’s objections have been communicated to the PEFC Secretariat in full.

ANNEX C: RESULTS OF INTERNATIONAL CONSULTATION

No submissions were received for the international consultation.

ANNEX D. INTERNAL REVIEW COMMENTS

Page	Review Comment	Response
3	Chapter on the assessment of 2003:2020 compliance is missing. The 2003:2020 checklist is missing from the Annex A	The chapter and checklist have been inserted.
5	If the report is completed as Article Three, please replace ITS Global accordingly or provide explanation of the relation of the two entities.	The name of the entity has been revised accordingly.
11	Please clarify this, because in the related chapter I couldn't locate the relevant information related to this observation.	The comment has been deleted; it was from a previous draft and was not amended.
59	Could you let me know, if "periodically" is defined somewhere in the standard?	The period is defined; additional references have been added in the text and in the Annex.
59	Same comment as above.	The period is defined; additional references have been added in the text and in the Annex.
60	However, I found reference to 5 years, which is related to the forest inventory (Annex 1, 0.2.1). Is this applicable here?	Responding on internal audits, the standard does not specify the planned intervals required for the internal audit, this is in line with international guidelines for auditing management systems (e.g. ISO 19011:2018), which do not specify intervals for internal (or first party) audits. The internal audit interval is nonetheless implied within both the standard (which requires annual third-party surveillance audits and annual management reviews).
66	Since SGEC did not adopt the PEFC ST 2002:2020 in the sense of taking the international standard as it is, please don't use "fully adopt" wording in the assessment report. If it's identical, you can write "mirrored the requirements" or similar wording, but please avoid "adopt".	The text has been amended accordingly.
66	Please check this, because the SGEC COC Standard has provisions for multi-site applications Appendix 2: Implementation of the chain of custody standard by multi-site organizations	The text was from a previous draft that had been left in by mistake and has been deleted.
74	Missing assessment decision	The decision has been inserted.
81	Please break down this annex according to the various checklist. It's difficult to navigate among the different checklists, without bookmarks	The Annex and table of contents has been labelled accordingly.

126	This wording does not give guidance on how the 3 types of groups should identify, which requirements are delivered at group level. Please revisit the assessment decision.	The decision has been elaborated with additional text from the standard that meets the requirement.
326	Please, provide English version as a well	An English text has been provided.

