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

**1 Scope**

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

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

**2 Checklist**

| **PEFC benchmark requirement** | **YES / NO\*** | **Reference to system documentation (including quotation of relevant text)** |
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| **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 | **SG 05.01 Requirements For Group Certification**  **6. Context of the group organization**  6.1. Group certification requires that stakeholders be grouped and shall be administered by a legal entity (company, association, or person). |
| b) other groups and/or | YES |
| c) whether there are any other specific circumstances which influence the implementation of the group management system. | YES |
| 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 | **6. Context of the group organization**  **6.2**. The group organization shall identify:  a) affected stakeholders that are relevant for the group management system and  b) the relevant expectations of these affected stakeholders. |
| b) the relevant expectations of these affected stakeholders. | YES |
| 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 | **5.7 Group entity**  A legal entity (for example: company, association, person) that represents the participants, with overall responsibility for ensuring the conformity of forest management in the certified area to the sustainable forest management standard and other applicable requirements of the forest certification system, as established by this document. The group entity uses a group management system.  Note: The structure of the group entity should follow the operations, number of participants, and other basic conditions for the group organization. It may be represented by one person.  **5.11 Group organization**  A group of participants represented by the group entity for the purposes of implementing the sustainable forest management standard and its certification. A written agreement shall be established between a participant and the group entity. The term "group organization" is equivalent to the term "regional organization" if the group is defined by regional boundaries or other terms chosen by the relevant forest certification scheme and complying with the content of this definition.  **5.14 Participant**  A forest owner/manager covered by the group forest certificate, who has the ability to implement the requirements of this sustainable forest management standard in a certified area.  Note: The term “ability to implement the requirements of the sustainable forest management standard” requires the entity to have a long-term legal right, tenure right, or traditional or customary tenure rights to manage the forest, and would disqualify one-off contractors from becoming participants in group forest management certification.  Where regional or national systems allow contractors without long-term management rights for a specific forest area to participate in group forest certification, the system shall ensure that these contractors can only make PEFC claims for material originating from certified areas of participants or individually certified forest owners/managers with long-term legal or tenure management rights. |
| b) the certified area, | YES | **5.1 Certified area**  The forest area covered by a sustainable forest management system according to the certification standard for sustainable forest management standard (ABNT NBR 14789 or ABNT NBR 15789).  Within the context of group certification, the certified area is the sum of the forest areas of the participants that are covered by the group forest certificate. |
| c) the group certificate and | | |
| d) the document confirming participation in group certification. | YES | **5.4 Group forest certification**  Certification of the group organization under one group forest certificate.  **5.5 Group forest certificate**  A document confirming that the group organization complies with the requirements of a sustainable forest management standard and other applicable requirements of the forest management system. |
| 4.3.2 The standard requires that for the establishment of the scope for the group management system the boundaries and applicability of the group management system shall be determined. | YES | **6. Context of the group organization**  **6.4** Compliance with this document and with the ABNT NBR 14789 or ABNT NBR 15789 standards by the group participants shall be centrally administered and subject to review by the group entity, which shall define the boundaries and applicability of the group management system. |
| 4.3.3 The standard shall define which requirements of the sustainable forest management standard may be fulfilled on group level. | YES | **6.3** All the requirements contained in this document and in the ABNT NBR 14789 or ABNT NBR 15789 standards shall be observed by the group's participants and by the entity that represents them. |
| 4.3.4 The standard requires that the scope shall be made available as documented information. | YES | **6.5** The scope shall be made available as documented information. |
| 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 | **7. Group management system**  **7.1** All participants shall be subject to the internal monitoring and internal audit programs established by the group. |
| 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 | **7.2** A certified PEFC chain of custody shall be in place if a group entity acts as a trader of forest-based material not covered by the group certificate. |
| 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 | **8. Functions and responsibilities of the group entity**  **8.1**. The group entity shall be responsible for:  …  b) implementing and maintaining an effective management system that covers all group members, and reports to the participants and stakeholders about the group certification, rights, and obligations. |
| 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 contractual relationship with the certification body; | YES | **8.1**. The group entity shall be responsible for:  a) representing the group organization in the certification process, including in communications and relationships with the certification body, submission of an application for certification, and contractual relationship with the certification body. |
| c) to establish written procedures for the management of the group organisation; | YES | **8.1**. The group entity shall be responsible for:  …  f) developing and implementing written procedures for managing the group organization and for the acceptance of new participants. 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)  …  h) developing and implementing a written procedure for monitoring group participants with relation to complying with their obligations. |
| 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 | **8.1** The group entity shall be responsible for:  …  f) developing and implementing written procedures for managing the group organization and for the acceptance of new participants. 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) |
| 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 | **8.1** The group entity shall be responsible for:  …  g) develop and implementing written procedures for suspension and exclusion of group participants who do not correct/close nonconformities. Participants excluded due to nonconformities cannot be accepted within 12 months after exclusion. |
| f) to keep documented information of:  i. the group entity and participants’ conformity with the requirements of the sustainable forest management standard, and other applicable requirements of the forest certification system,  ii. all participants, including their contact details, identification of their forest property and its/their size(s),  iii. the certified area,  iv. the implementation of an internal monitoring programme, its review and any preventive and/or corrective actions taken; | YES | **8.1** The group entity shall be responsible for:  …  i) keeping records of:   * the group entity and participant's conformity with the requirements of this document and with the ABNT NBR 14789 or ABNT NBR 15789 standards. * information about all group participants, including their contact details, identification of their forest property, and its/their size. * the certified area. * implementation of an internal monitoring program, its review, and any preventive and/or corrective actions taken. * implementation of an annual internal audit program and its findings. |
| 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 mandate to represent the participants and where its commitment and the terms and conditions of the contract are enforceable. | YES | **8.1** The group entity shall be responsible for:  …  j) signing a written agreement with all participants which shall include each participant's commitment to comply with the forest management requirements, and also includes 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 written agreement may be part of a management policy of a pre-existing organization or group (such as in an association), 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. |
| h) to provide all participants with a document confirming participation in the group forest certification; | YES | **8.1** The group entity shall be responsible for:  …  k) providing all participants with a document confirming participation in the group forest certification (item 5.6). |
| 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 | **8.1** The group entity shall be responsible for:  …  l) providing 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. |
| 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 | **8.1** The group entity shall be responsible for:  …  m) addressing 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. |
| k) to operate an internal monitoring programme that provides for the evaluation of the participants’ conformity with the certification requirements; | YES | **8.1** The group entity shall be responsible for:  …  p) developing a written procedure and implementing an internal monitoring program that provides for the evaluation of participants' conformity with the certification requirements. |
| l) to operate an annual internal audit programme covering both group members and group entity; | YES | **8.1** The group entity shall be responsible for:  …  q) developing a written procedure and implementing an annual internal audit program that covers group participants and the group entity. |
| m) to operate a management review of the group forest certification and acting on the results from the review; | YES | **8.1** The group entity shall be responsible for:  …  r) conducting an annual review of the group certification and define actions based on the results of this review. |
| 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 | **8.1** The group entity shall be responsible for:  …  s) cooperating and providing assistance in responding effectively to all requests from the certifying body, the accreditation body (INMETRO), PEFC International or PEFC Brazil 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. |
| 5.1.2 Function and responsibilities of participants  The standard requires that the following functions and responsibilities of the participants shall be specified: | | |
| a) To provide the group entity with a binding written agreement, including a commitment on conformity with the sustainable forest management standard and other applicable requirements of the forest certification system; group participants excluded from any certification group cannot apply for group membership within 12 months after exclusion.  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. | YES | **9. Functions and responsibilities of group participants**  **9.2** Responsibilities of group certification participants  Group participants shall:  a) provide the group entity with a binding written agreement, including a commitment on conformity with the sustainable forest management standard and other applicable requirements of the forest certification system; group participants excluded from any certification group cannot apply for group membership within 12 months after exclusion. |
| b) To provide the group entity with information about previous group participation. | YES | **9.2** Responsibilities of group certification participants  Group participants shall:  …  b) provide the group entity with information about previous group participation. |
| c) to comply with the sustainable forest management standard and other applicable requirements of the certification system as well as with the requirements of the management system; | YES | **9.2** Responsibilities of group certification participants  Group participants shall:  …  c) comply with the sustainable Forest Management standard and other applicable requirements of PEFC certification. |
| d) to provide full co-operation and assistance in responding effectively to all requests from the group entity, or certification body for relevant data, documentation or other information; allowing access to the forest and other facilities, whether in connection with formal audits or reviews or otherwise related or with implications for the management system; | YES | **9.2** Responsibilities of group certification participants  Group participants shall:  …  e) provide full co-operation and assistance in responding effectively to all requests from the group entity, or certification body for relevant data, documentation or other information; allowing access to the forest and other facilities, whether in connection with formal audits or reviews or otherwise related or with implications for the management system. |
| e) to inform the group entity about nonconformities identified under other PEFC certifications than the particular group certification. | YES | **9.2** Responsibilities of group certification participants  Group participants shall:  …  f) notify the group entity of nonconformities identified under other PEFC certifications than the particular group certification. |
| f) to implement relevant corrective and preventive actions established by the group entity. | YES | **9.2** Responsibilities of group certification participants  Group participants shall:  …  h) commit to implementing corrective and preventive measures defined by the group entity, as well as address nonconformities identified during audits. |
| 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 | **11. Commitment and policy**  **11.1** The group entity shall establish a commitment to:  a) comply with the sustainable forest management standard and other applicable requirements of PEFC certification. |
| b) to integrate the group certification requirements in the group management system; | YES | **11. Commitment and policy**  **11.1** The group entity shall establish a commitment to:  …  b) integrate the group certification requirements in the group management system. |
| c) to continuously improve the group management system; | YES | **11. Commitment and policy**  **11.1** The group entity shall establish a commitment to:  …  c) continuously improve the group Management System. |
| d) to continuously support the improvement of the sustainable management of the land/forests by the participants. | YES | **11. Commitment and policy**  **11.1** The group entity shall establish a commitment to:  …  d) continuously support the improvement of the sustainable management of the forest management unit (FMU) by the participants. |
| 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 | **11.2** The commitment of the group entity may be part of a group management policy and shall be publicly available as documented information upon request. |
| 5.2.3 The standard requires that the participants shall provide a commitment | | |
| a) to follow the rules of the management system; | YES | **9.2** Responsibilities of group certification participants  Group participants shall:  a) provide the group entity with a binding written agreement, including a commitment on conformity with the sustainable forest management standard and other applicable requirements of the forest certification system; group participants excluded from any certification group cannot apply for group membership within 12 months after exclusion. |
| b) to implement the requirements of the sustainability standard in their operations in their area. | YES | **9.2** Responsibilities of group certification participants  Group participants shall:  …  c) comply with the sustainable Forest Management standard and other applicable requirements of PEFC certification |
| 6. Planning | | |
| 6.1 The standard requires that if a group organisation plans any changes in the group management system, these changes shall be included in a group management plan. | YES | **12. Planning**  **12.1** If a group organization plans any changes in the group management 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 | **12.2** 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. |
| 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 | **13. Support**  **13.1** The resources necessary for the establishment, implementation, maintenance, and continual improvement of the group management shall be determined and provided. |
| 7.2 The standard shall define the necessary competence of persons doing work in the group management system. | YES | **13. Support**  **13.2** The group entity and participants shall be competent for work in the group management system.  **8. Functions and responsibilities of the group entity**  **8.1** The group entity shall be responsible for:  a) representing the group organization in the certification process, including in communications and relationships with the certification body, submission of an application for certification, and contractual relationship with the certification body.  b) implementing and maintaining an effective management system that covers all group members, and reports to the participants and stakeholders about the group certification, rights, and obligations.  d) ensuring that the persons involved in the group management system have the necessary competences required to carry out their responsibilities.  l) providing 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. |
| 7.3 The standard requires that communication processes shall be in place to raise the awareness of participants concerning: | YES | **13.3** A communication process shall be in place to raise the awareness of participants concerning:  a) the group management policy.  b) the requirements of the sustainable forest management standard.  c) their contribution to the effectiveness of the group management system and the sustainable forest management, including the benefits of improved group performance.  d) the implications of not conforming with the group management system requirements. |
| a) the group management policy; | YES |
| b) the requirements of the sustainable forest management standard; | YES |
| c) their contribution to the effectiveness of the group management system and the sustainableforest management, including the benefits of improved group performance; | YES |
| d) the implications of not conforming with the group management system requirements. | YES |
| 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 | **13.4** Internal and external communications relevant to the group management system shall be determined in the group management plan. This includes:  a) what to communicate. |
| b) when to communicate; | YES | **13.4** Internal and external communications relevant to the group management system shall be determined in the group management plan. This includes:  …  b) when to communicate. |
| c) with whom to communicate; | YES | **13.4** Internal and external communications relevant to the group management system shall be determined in the group management plan. This includes:  …  c) with whom to communicate. |
| d) how to communicate. | YES | **13.4** Internal and external communications relevant to the group management system shall be determined in the group management plan. This includes:  …  d) how to communicate |
| 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 | **13.5** The group shall have appropriate mechanisms in place for resolving complaints and disputes relating to group management and sustainable forest management operations. |
| 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 | **13.6** The documented information relevant to the group management system and the conformity with the requirements of the sustainable forest management standard shall be:  a) up to date. |
| b) available and suitable for use, where and when it is needed; | YES | **13.6** The documented information relevant to the group management system and the conformity with the requirements of the sustainable forest management standard shall be:  …  b) available and suitable for use, where and when it is needed. |
| c) adequately protected against loss of confidentiality, improper use, or loss of integrity. | YES | **13.6** The documented information relevant to the group management system and the conformity with the requirements of the sustainable forest management standard shall be:  …  c) adequately protected against loss of confidentiality, improper use, or loss of integrity |
| 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 | **14. Operation**  **14.1** The group organization shall plan, implement, and control processes needed:  a) to meet the requirements of the group certification standard and the sustainable forest management standard and |
| b) to implement the actions determined in 6. | YES | **14. Operation**  **14.1** The group organization shall plan, implement, and control processes needed:  …  b) implement the actions determined in the group's management plan. |
| 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 | **14.2** 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; | YES | **14.2** This planning, implementing, and controlling shall be done by:  …  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. | YES | **14.2** This planning, implementing, and controlling shall be done by:  …  c) keeping documented information to the extent necessary to have confidence that the processes have been carried out as planned. |
| 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 | **15. Performance evaluation**  **15.1** Monitoring, measurement, analysis, and evaluation  **15.1.1** The ongoing internal monitoring program shall determine:  a) what shall be monitored and measured. |
| b) the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results; | YES | **15.1.1** The ongoing internal monitoring program shall determine:  …  b) the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results. |
| c) when the monitoring and measuring shall be performed; | YES | **15.1.1** The ongoing internal monitoring program shall determine:  …  c) when the monitoring and measuring shall be performed |
| d) when the results from monitoring and measurement shall be analysed and evaluated; | YES | **15.1.1** The ongoing internal monitoring program shall determine:  …  d) when the results from monitoring and measurement shall be analyzed and evaluated. |
| e) what documented information shall be available as evidence of the results. | YES | **15.1.1** The ongoing internal monitoring program shall determine:  …  e) what documented information shall be available as evidence of the results. |
| 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 | **15.1.2** 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. |
| 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 | **15.2 Annual internal audit program**  **15.2.1** The annual internal audit program shall provide information on whether the group management system:  a) conforms to  i. the group organization's own requirements for its group management system.  ii. the requirements of the group certification. |
| b) ensures the implementation of the sustainable forest management standard on the participant level; | YES | **15.2.1** The annual internal audit program shall provide information on whether the group management system:  …  b) ensures the implementation of the sustainable forest management standard on the participant level. |
| c) is effectively implemented and maintained. | YES | **15.2.1** The annual internal audit program shall provide information on whether the group management system:  …  c) is effectively implemented and maintained. The internal audit program 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. |
| 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 | **15.2.2** The internal audit program 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. |
| 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 concerned and the results of previous audits; | YES | **15.2.3** An internal audit program shall cover, at a minimum:  a) planning, establishing, implementing and maintaining an audit program(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) definition of the audit criteria and scope for each audit; | YES | **15.2.3** An internal audit program shall cover, at a minimum:  …  b) definition of the audit criteria and scope for each audit. |
| c) competence of internal auditor (forest knowledge, standard knowledge); | YES | **15.2.3** An internal audit program shall cover, at a minimum:  …  c) competence of internal auditors (forest knowledge, standard knowledge). |
| d) selection of auditors and conducting of audits to ensure objectivity and the impartiality of the audit process; | YES | **15.2.3** An internal audit program shall cover, at a minimum:  …  d) selection of auditors and conducting of audits to ensure objectivity and the impartiality of the audit process. |
| e) ensuring that the results of the audits are reported to relevant group management; | YES | **15.2.3** An internal audit program shall cover, at a minimum:  …  e) ensuring that the results of the audits are reported to relevant group management. |
| f) retaining of the documented information as evidence of the implementation of the audit programme and the audit results. | YES | **15.2.3** An internal audit program shall cover, at a minimum:  …  f) retaining of the documented information as evidence of the implementation of the audit program and the audit results. |
| 9.3 Selection of participants in the internal audit programme | | |
| 9.3.1 General | | |
| 9.3.1.1 The standard requires the establishment of requirements for the selection of participants in the internal audit programme. These requirements shall include the following procedures for: | YES | **15.3 Selection of participants in the internal audit program**  **15.3.1** The audit planning shall establish requirements for the selection of participants in the internal audit program based on the following requirements of this document:  a) determination of the sample size (15.3.2);  b) determination of sample categories (15.3.3);  c) distribution of the sample to the categories (15.3.4);  d) selection of the participants (15.3.5). |
| a) determination of the sample size (9.3.2); | YES |
| b) determination of sample categories(9.3.3); | YES |
| c) distribution of the sample to the categories (9.3.4); | YES |
| d) selection of the participants (9.3.5). | YES |
| 9.3.1.2 The standard may define additional requirements on the regional, national or sub-national level. | NO | No **additional** requirement established. |
| 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 | No **additional** requirement established. |
| 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 | **15.3.2** The sample size shall be calculated based on the number of participants in the group. |
| 9.3.2.2 The size of the sample generally should be the square root of the number of participants: (y=√x), rounded to the upper whole number. | YES | **15.3.2.1** The sample size shall be the square root of the number of participants (y=√x), rounded up to the next whole number, and may be adapted taking into account one of the following indicators: |
| 9.3.2.3 The size of the sample may be adapted by a standard taking into account one or more of the following indicators: | | |
| a) results of a risk assessment. In this case deviations of sample sizes in case of low or high risk for individual categories shall be defined; | YES | **15.3.2.1** The sample size shall be the square root of the number of participants (y=√x), rounded up to the next whole number, and may be adapted taking into account one of the following indicators:  a) results of a risk assessment. In this case deviations of sample sizes in case of low or high risk for individual categories shall be defined. |
| b) results of internal audits or previous certification audits; | YES | **15.3.2.1** The sample size shall be the square root of the number of participants (y=√x), rounded up to the next whole number, and may be adapted taking into account one of the following indicators:  …  b) results of internal audits or previous certification audits. |
| c) quality / level of confidence of the internal monitoring programme; | YES | **15.3.2.1** The sample size shall be the square root of the number of participants (y=√x), rounded up to the next whole number, and may be adapted taking into account one of the following indicators:  …  c) quality/level of confidence of the internal monitoring program. |
| d) use of technologies allowing the gathering of information concerning specified requirements;  Note: Such technologies may be e.g. the use of satellite data or drones and allow compliance statements for specific requirements of a sustainability standard or support the risk based sampling. | YES | **15.3.2.1** The sample size shall be the square root of the number of participants (y=√x), rounded up to the next whole number, and may be adapted taking into account one of the following indicators:  …  d) use of technologies that allow the gathering of information concerning specified requirements.  Note: Such technologies may involve the use of satellite data or drones, for example, and allow compliance statements for specific requirements of a sustainability standard or support the risk-based. |
| e) based on other means of gathering information about activities on the ground.  Note: One way could be a survey with participants who provide some information about their activities on the ground. | YES | **15.3.2.1** The sample size shall be the square root of the number of participants (y=√x), rounded up to the next whole number, and may be adapted taking into account one of the following indicators:  …  e) based on other means of gathering information about activities on the ground.  Note: One way could be a survey with participants who provide some information about their activities on the ground. |
| 9.3.3 Determination of sample categories | | |
| 9.3.3.1 The sample categories shall be established based on the results of a risk assessment. The indicators used in the risk assessment shall reflect the geographical scope of the standard. The following non exhaustive list of indicators may be used for the risk assessment: | | |
| a) ownership type (e.g. state forest, communal forest, private forest); | YES | **15.3.3** 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 this document. The following non exhaustive list of indicators may be used for the risk assessment:  a) ownership type (e.g. state forest, communal forest, private forest). |
| b) size of management units (different size classes); | YES | **15.3.3** 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 this document. The following non exhaustive list of indicators may be used for the risk assessment:  …  b) size of management units (different size classes). |
| c) biogeographic region (e.g. lowlands, low mountain range, high mountain range); | YES | **15.3.3** 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 this document. The following non exhaustive list of indicators may be used for the risk assessment:  …  c) biogeographic region (e.g. lowlands, low mountain range, high mountain range). |
| d) operations, processes and products of potential group participants; | YES | **15.3.3** 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 this document. The following non exhaustive list of indicators may be used for the risk assessment:  …  d) operations, processes and products of potential group participants. |
| e) deforestation and forest conversion; | YES | **15.3.3** 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 this document. The following non exhaustive list of indicators may be used for the risk assessment:  …  e) deforestation and forest conversion. |
| f) rotation period(s); | YES | **15.3.3** 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 this document. The following non exhaustive list of indicators may be used for the risk assessment:  …  f) rotation period(s). |
| g) richness of biological diversity; | YES | **15.3.3** 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 this document. The following non exhaustive list of indicators may be used for the risk assessment:  …  g) richness of biological diversity. |
| h) recreation and other socio-economic functions of the forest; | YES | **15.3.3** 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 this document. The following non exhaustive list of indicators may be used for the risk assessment:  …  h) recreation and other socio-economic functions of the forest. |
| i) dependence of and interaction with local communities and indigenous people; | YES | **15.3.3** 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 this document. The following non exhaustive list of indicators may be used for the risk assessment:  …  i) dependence of and interaction with local communities and indigenous people. |
| j) available resources for administration, operations, training and research; | YES | **15.3.3** 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 this document. The following non exhaustive list of indicators may be used for the risk assessment:  …  j) available resources for administration, operations, training and research. |
| k) governance and law enforcement. | YES | **15.3.3** 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 this document. The following non exhaustive list of indicators may be used for the risk assessment:  …  k) governance and law enforcement. |
| 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 | **15.3.3.1** Conditions which constitute risk for each indicator at a low, medium, and high level and the respective consequences for the sampling shall be defined. |
| 9.3.4 Distribution of the sample  The sample shall be distributed to the categories according to the result of the risk assessment. | YES | **15.3.4** The sample shall be distributed to the categories according to the result of the risk assessment. |
| 9.3.5 Selection of the participants | | |
| 9.3.5.1 At least 25% of the sample should be selected at random. | YES | **15.3.5** At least 25% of the sample should be selected at random. |
| 9.3.5.2 A risk-based procedure for the selection of the participants shall be specified. | YES | **15.3.5.1** A risk-based procedure for the selection of the participants shall be specified. |
| 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 | **15.4 Management review**  **15.4.1** An annual management review shall include, at a minimum:  a) the status of actions from previous management reviews. |
| b) changes in external and internal issues that are relevant to the group management system; |  | **15.4 Management review**  **15.4.1** An annual management review shall include, at a minimum:  …  b) changes in external and internal issues that are relevant to the group management system. |
| 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 | **15.4 Management review**  **15.4.1** An annual management review shall include, at a minimum:  …  c) the status of conformity with the sustainable forest management standard, that includes reviewing the results of the internal monitoring program, the internal audit and the certification body’s evaluations and surveillance. |
| d) information on the group performance, including trends in:  i. nonconformities and corrective actions;  ii. monitoring and measurement results;  iii. audit results; | YES | **15.4 Management review**  **15.4.1** An annual management review shall include, at a minimum:  …  d) information on the group performance, including trends in:  i. nonconformities and corrective actions.  ii. monitoring and measuring results.  iii. audit results. |
| e) opportunities for continual improvement. | YES | **15.4 Management review**  **15.4.1** An annual management review shall include, at a minimum:  …  e) opportunities for continual improvement. |
| 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 | **15.4.2** The outputs of the management review shall include decisions related to continual improvement opportunities and any need for changes to the group management system. |
| 9.4.3 The standard requires that the group organisation shall retain documented information as evidence of the results of management reviews. | YES | **15.4.3** The group organization shall retain documented information as evidence of the results of management reviews. |
| 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 | **16.1** **Nonconformity and corrective action**  **16.1.1** When a nonconformity occurs, the group organization shall:  a) take appropriate actions to control, correct, and mitigate the resulting damage, as applicable. |
| 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 | **16.1** **Nonconformity and corrective action**  **16.1.1** When a nonconformity occurs, the group organization shall:  …  b) evaluate the identified nonconformities in order to:  i. determine the causes.  ii. determine if similar nonconformities exist or could potentially occur.  iii. determine corrective actions to eliminate the causes and avoid recurrence. |
| c) implement any action needed; | YES | **16.1** **Nonconformity and corrective action**  **16.1.1** When a nonconformity occurs, the group organization shall:  …  c) review the effectiveness of any corrective action taken. |
| d) review the effectiveness of any corrective action taken; | YES | **16.1** **Nonconformity and corrective action**  **16.1.1** When a nonconformity occurs, the group organization shall:  …  d) make changes to the group management system, if necessary. |
| e) make changes to the group management system, if necessary. | YES | **16.1** **Nonconformity and corrective action**  **16.1.1** When a nonconformity occurs, the group organization shall:  …  e) retain documented information as evidence of reviews related to nonconformities and any subsequent actions taken. |
| 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 | **16.1.2** The group organization 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. | YES | **16.1.2** The group organization shall retain documented information as evidence of:  …  b) the results of any corrective action. |
| 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 | **16.1.3** A participant who was excluded from a group certification shall be internally audited by the group entity before being allowed to re-enter the group certification.  The internal audit shall not take place sooner than 12 months after the exclusion. |
| 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 | **16.2 Continuous Improvement**  **16.2.1** The suitability, adequacy and effectiveness of the group management system and the sustainable management of the forest shall be continuously improved. |

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