

Normative document

German PEFC standard

PEFC D 1001:2020

**Regional forest management certification -
Requirements**



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Content

| | |
|--|----|
| Content | 3 |
| Foreword | 1 |
| Introduction | 1 |
| 1. Scope | 2 |
| 2. Normative references | 2 |
| 3. Definitions | 2 |
| 4. General requirements | 3 |
| 5. Organisational arrangements | 4 |
| 5.1 Regional working group | 4 |
| 5.2 Participants in the regional certification | 4 |
| 5.3 PEFC Germany | 5 |
| 6. Participation in the regional certification | 5 |
| 6.1 Responsibilities of the regional working group | 5 |
| 6.2 Responsibilities of the participant | 6 |
| 6.3 Confirmation of participation | 6 |
| 7. Implementation of sustainable forest management within the regional certification | 7 |
| 7.1 Responsibilities of the regional working group | 7 |
| 7.1.1 Regional level | 7 |
| 7.1.2 Participants level..... | 9 |
| 7.2 Responsibilities of the participants | 11 |
| Annex 1: List of indicators | 12 |
| Annex 2: Self-commitments | 16 |
| Annex 3: Confirmation of Participation | 21 |

Foreword

PEFC Germany (PEFC: Programme for the Endorsement of Forest Certification schemes) is a national organisation with the purpose of facilitating sustainable forest management through forest certification and labelling of wood products. Consumers can trust that products carrying the PEFC label are made of raw material from sustainably managed forests, from recycling and/or non-controversial sources.

PEFC Germany is a registered association and responsible for the standard setting and the administration of the German PEFC scheme. The PEFC standards are developed through an open and transparent procedure on the basis of consensus and consultations with a variety of stakeholders.

Since 1999, PEFC Germany is full member of PEFC International whose strict endorsement procedure guarantees international recognition.

To improve the readability, the male form is used for all denominations of persons. It refers to both, males and females.

Introduction

Forest management certification provides confidence that the defined forest area is managed in compliance with the requirements for sustainable forest management. The forest management certification and following certification of chain of custody of forest based products allows forest owners/managers and other players in the forest products supply chain to actively communicate environmental credentials of those products.

Forest ownership in Germany is characterised by a significant number of small forest holdings. The limited financial income of small forest owners; periodicity of their management activities and revenues; limited access to information and knowledge; as well as limitations relating to their conformity with some of the requirements for sustainable forest management which cannot be achieved in small forest areas, represent significant barriers to forest certification.

Thus, regional certification is the best approach to forest certification under German conditions allowing forest owners to become voluntarily certified under a common certificate and share the financial obligations arising from forest certification as well as the common responsibility for forest management. This approach also aims at improving information dissemination and co-operation in forest management amongst individual forest owners.

Throughout this standard, the term “shall” is used to indicate those provisions that are mandatory. The term “should” is used to indicate those provisions which, although not mandatory, are proposed as measure to be adopted and implemented. The term “may” used throughout this standard indicates permission expressed by this standard whereas “can” refers to the ability of a user of this standard or to a possibility open to the user.

1. Scope

1.1 This document provides requirements for actors involved in the regional certification, in particular for the regional working group representing the region and for participants in the regional certification.

1.2 This document includes mandatory requirements for the actors in the regional certification.

1.3 The regional certification is the only approach of forest management certification against the PEFC German scheme. It does not apply to forest areas that are managed exclusively for the production of Christmas trees and ornamental brush-wood.

2. Normative references

The following referenced documents are indispensable for the application of this document. For both, dated and undated references, the latest edition of the referenced document (including any amendment) applies:

- PEFC D 1002-1:2020 „PEFC standards for sustainable forest management“
- PEFC D 4003:2016 „Scale of fees “

3. Definitions

3.1 Certified area

The forest area of the **participant** covered by a **regional forest certificate**.

3.2 Regional working group

An entity 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 scheme.

3.3 Regional forest certificate

A document confirming that the regional organisation complies with the requirements of the sustainable forest management standard and other applicable requirements of the forest certification scheme.

3.4 Regional forest certification

Certification of the regional organisation under one regional forest certificate.

3.5 Regional organisation

A group of participants within a specified geographical area represented by a **regional working group** for the purposes of implementation of the sustainable forest management standard and its certification.

3.6 Participant

A forest owner/ manager or other entity covered by the **regional forest certificate**, who has the legal right to manage the forest in a clearly defined forest area and the ability to implement the requirements of the sustainable forest management standard in that area.

The term “participant“ also includes forestry unions representing their members in a regional certification.

Note: Forest entrepreneurs and one-off contractors cannot become participants in a regional certification.

3.7 Confirmation of participation in regional organisation

A document issued to an individual participant that refers to the regional forest certificate and that confirms the participant as being covered by the scope of the regional forest certification.

3.8 Declaration of commitment

A document with which the participant commits himself to compliance with the requirements specified by the German PEFC scheme.

4. General requirements

4.1 The regional organisation represented by the regional working group shall be created for an individual state of the Federal Republic of Germany. Any geographical overlap with another regional organisation shall be precluded. The regional organisation shall ensure access of participants on a non-discriminatory and voluntary basis.

4.2 The regional organisation has an overall responsibility for the implementation of the requirements of this document and participant’s compliance with the requirements for sustainable forest management as defined in PEFC D 1002-1.

4.3 The regional working group shall take joint responsibility for the communication and relationship with the certification body and the submission of an application for certification. The working group is the holder of the regional certificate.

4.4 The participation in the regional organisation is based on a written agreement between the regional working group and the participant represented by a written commitment of the participant and a written confirmation on participation in the regional certification issued by the regional working group.

4.5 Where a single forest property is located in more than one region, it shall either (i) participate with the whole forest area in the regional organisation to which prevailing forest area belongs or (ii) the area shall be divided and participate in the respective regional organisations.

4.6 The participant shall participate in the regional organisation with the whole forest area located in the respective region.

4.7 In case a participant owns forest in more than one region, a single registration number can be applied for.

4.8 Forest owners associations that do not market in the name and on behalf of the member participating in PEFC certification need a chain of custody certificate themselves if they want to sell their timber as PEFC certified.

5. Organisational arrangements

5.1 Regional working group

5.1.1 The regional working group shall be established as a legal entity and represent forest owners/ managers managing at least 50 % of the forest area of the region.

5.1.2 The regional working group shall establish a body with overall responsibility for the regional working group. This body shall include representatives of different forest ownerships and structures of the region and shall provide for an appropriate access of other relevant stakeholders.

5.2 Participants in the regional certification

5.2.1 The following natural persons or legal entities can become participants in the regional certification:

- a) an individual forest owner according to the federal forest law;
- b) a business unit of a forest owner (5.2.1a). The business unit shall have its own forest management planning and shall be solely responsible for forest management of the defined forest area;
- c) a forestry association.

5.2.2 The participation of the forest owners through a forestry association basically covers all members of the association. The association shall demonstrate that it has in place a system ensuring its members' compliance with the certification requirements, in particular it shall:

- a) inform all its members about the regional certification and forest owners' responsibilities, distribution of the requirements for sustainable forest management (PEFC D 1002-1);
- b) have access to information on the compliance of its members with the requirements for sustainable forest management (PEFC D 1002-1), and shall take appropriate measures where necessary;
- c) analyse and review information on the PEFC certification inside the association, and takes appropriate measures where necessary;
- d) define, assign and document responsibilities and procedures ensuring compliance of its members with the certification requirements (PEFC D 1001 und PEFC D 1002-1) and communicate them to its members;
- e) issue to its members, upon request, a certificate of membership in the forestry association confirming its participation in PEFC certification;;
- f) keep a list of data on all its members, including their forest area, and regularly up-date it;
- g) provide the regional working group with the total number of its members and their total forest area on annual basis.

5.2.3 The participation of forest owners through a forestry association acting as an intermediary body shall only cover those members of the association that have committed themselves to participate in the regional organisation. The forestry association acting as an intermediary body shall:

- a) inform its members about the participation in the regional certification, in particular about the content of the forest owners self-commitment, the requirements for the sustainable forest management (PEFC D 1002-1) and other requirements of the certification scheme as well as consequences of any apparent non-conformity;
- b) distribute to its members the forest owners self-commitment form; and make available and accessible to them all relevant information;

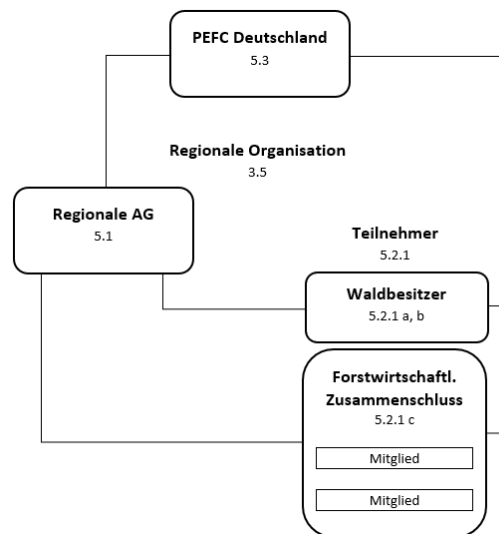
- c) collect and register the self-commitments of the members;
- d) maintain the register of the participating forest owners including all data requested by the regional working group or PEFC Germany and confirm the members' participation in the regional organisation to other bodies, including holders of a chain of custody certificate;
- e) provide the register of participating forest owners to the regional working group upon request or when changes occur.

5.3 PEFC Germany

5.3.1 The PEFC Germany secretariat can provide based on a written contract, the regional working group with the following administrative services:

- a) Registration of the participants,
- b) Printing and distribution of the confirmations of participation,
- c) Distribution and dissemination of the scheme documentation and its changes, and other information and documentation of the regional organisation,
- d) Other administrative tasks of the regional working group specified in the contract with the regional working group.

Figure 1: Organisational arrangement of the regional certification



6. Participation in the regional certification

6.1 Responsibilities of the regional working group

6.1.1 The regional working group shall perform the following tasks to ensure participation of the participants in the regional certification:

- a) to make available to all actors specified under 5.2.1 the self-commitment as specified in annex 2;
- b) to receive, evaluate and register the self-commitments received from the potential participants;
- c) to issue the confirmations on participation in the regional organisation to the participants.

- d) maintain a database in which the data of the participants, in particular their forest area data, are recorded and which is to be updated regularly.

Note 1: Updating means that the participants send their data to the Regional Working Group by 30.11. of a year and that these data are entered there within one month. In case of non-submission, the Regional Working Group shall request these data and shall take measures to ensure that the data are up-to-date.

Note 2: The tasks specified under 6.1.1 can be performed by the PEFC Germany Secretariat, see 5.3.

6.1.2 The regional working groups are not liable for disadvantages for the participants resulting from the withdrawal of the regional certificate or from the withdrawal of confirmations of participation.

6.2 Responsibilities of the participant

6.2.1 The potential participant covered by 5.2.1 a, b, shall submit to the regional working group the self-commitment specified in annex 2, Part I.

6.2.2 The forestry association covered by 5.2.1c shall submit on behalf of its members to the regional working group a collective self-commitment specified in annex 2, Part II. The commitment shall be made based on the majority decision of the association's decision making body.

6.2.3 The forestry association acting as an intermediary body covered by 5.2.1d shall submit on behalf of its members willing to participate in the regional certification to the regional working group a collective self-commitment specified in annex 2, Part III

Note: Forest owners willing to participate in the regional certification are those that have submitted to the forestry association a self-commitment specified in annex 2, Part I.

6.2.4 In case, participation has been terminated because of non-conformities against the requirements for regional certification (see 6.3.5), the re-application for participation shall include the self-commitment and a confirmation that the non-conformity(ies) have been corrected successfully.

6.3 Confirmation of participation

6.3.1 The confirmation of participation in the regional certification (the confirmation) shall be issued to the participant after the issuance of the regional certificate to the regional working group.

6.3.2 The confirmation shall have the format specified in annex 3.

6.3.3 The validity period of the confirmation is the same as the validity period of the regional certificate.

6.3.4 The participant can terminate the participation in the regional certification by a letter submitted to the regional working group.

6.3.5 The confirmation can be suspended or terminated by the decision of the regional working group based on persisting non-conformity of the participant with the requirements for the regional certification defined in PEFC D 1001 and PEFC D 1002-1. The withdrawal of the confirmation by the regional working group shall be effected by a formal letter.

6.3.6 Renewal of a confirmation that was suspended or terminated based on 6.3.5 shall require an internal audit conforming that the non-conformity(ies) has(ve) been successfully resolved.

6.3.7 Where the confirmation is issued by the PEFC Germany Secretariat based on 5.3, the confirmation also provides the participant with the right to use the PEFC logo (the PEFC logo usage license), provided that the participant has signed a logo usage contract.

7. Implementation of sustainable forest management within the regional certification

7.1 Responsibilities of the regional working group

7.1.1 Regional level

7.1.1.1 The regional working group shall make a public commitment on behalf of the participants in the regional certification and other stakeholders involved in the regional working group to implement and continuously improve sustainable forest management in compliance with the requirements specified in PEFC D 1001 and the PEFC D 1002-1 within the respective region.

7.1.1.2 The regional working group shall prepare a Regional Forest Report that provides information on the sustainable forest management in the entire region. The Regional Forest Report shall:

- a) cover the indicators for sustainable forest management defined in annex 1;
- b) provide information on the state of forests of the entire region;
- c) identify areas for improvement of the sustainable forest management within the region;
- d) be based on information and data from forest inventories and other data sources. The preparation of the Regional Forest Report shall be undertaken according to the assessment cycle of the national forest inventory (Bundeswaldinventur) and shall be completed within one year after the publication of the results of the same.
Note: the assessment cycle of the national forest inventory is 10 years.

7.1.1.3 Based on the Regional Forest Report and other sources of information, the regional working group shall define objectives and an action programme for the improvement of sustainable forest management for the entire region to ensure that:

- a) the objectives are operational, measurable and achievable within a specific timeframe;
- b) the action programme provides for specific measures, including responsibilities and dates of their completion.

The objectives and action programmes will be presented to all relevant stakeholders in an appropriate form. They will be given the opportunity to comment.

7.1.1.4 The regional working group shall monitor and assess the implementation of the action programme and the participants' compliance with the requirements for the regional certification using:

- a) results of the internal monitoring programme (ch. 7.1.2.2);
- b) information from parties responsible for the implementation of the specific measures of the action programme;
- c) information and data from other parties and external sources relevant to the objectives and the action programme.

This monitoring and assessment shall be carried out by the regional working group at least annually and shall result in:

- a) measures relating to the overall compliance of participants with the requirements for sustainable forest management (PEFC D 1001),
- b) an update and redefinition of the objectives and the action programme, where appropriate.

7.1.1.5 The regional working group shall ensure effective communication and consultation with stakeholders and local communities concerning:

- a) state of the forests, typical forest management practices within the region and their effect on sustainable forest management;
- b) the objectives and the action programme;
- c) requirements for sustainable forest management defined in PEFC D 1002-1;
- d) role and delivery of the regional certification.

7.1.1.6 The regional working group shall establish a complaints and appeal resolution mechanism dealing with complaints and appeals relating to the implementation of the requirements for the regional certification (PEFC D 1001) and for sustainable forest management (PEFC D 1002-1) that shall provide for:

- a) acknowledgement of the received complaint to the complainant;
- b) gathering and verification of all necessary information, validation and impartial evaluation of the complaint/appeal and decision making on the complaint/appeal;
- c) information to the complainant regarding the ongoing decision process;
- d) formal communication of the decision on the complaint/appeal and the complaint/appeal handling process to the complainant/appellant and concerned parties;
- e) appropriate corrective and preventive measures;
- f) an accessible contact point for the complaints and appeals.

Note: To ensure an impartial evaluation, none of the parties concerned shall be represented in the resolution panel.

7.1.1.7 The regional working group shall establish written procedures for the management of the regional certification that shall cover:

- a) structure and decision making within the regional working group, including access and participation of stakeholders;
- b) participation in the regional certification, including acceptance, suspension and termination of the participation;
- c) internal monitoring programme, including definition, implementation and monitoring of corrective and preventive measures;
- d) complaints and appeal mechanism (see PEFC D 3003);
- e) records keeping.

7.1.1.8 The regional working group shall keep up-to-date records that cover:

- a) the participants, including their contact details, respective forest area; self-commitments received and the confirmations issued;
- b) total forest area (certified area) of the region;
- c) records relating to the objectives and action programme, its implementation, monitoring and review;
- d) records relating to the internal monitoring programme, including implementation and monitoring of corrective and preventive measures;
- e) the complaints and appeals mechanism.

7.1.2 Participants level

7.1.2.1 Information and guidance to the participants

7.1.2.1.1 The regional working group shall provide the participants with detailed information, appropriate guidance and technical assistance, as appropriate, relating to:

- a) requirements for the regional certification (PEFC D 1001);
- b) requirements for the sustainable forest management (PEFC D 1002-1) and their implementation;
- c) PEFC Logo usage rules (PEFC ST 2001);
- d) the objectives and the action programme, in particular those measures directly affecting the participants;
- e) Summary results of internal monitoring programme and respective preventive measures.

7.1.2.1.2 Forestry associations participating in the regional certification under 5.2.1c and d shall distribute the information and provide the guidance according to 7.1.2.1.1 to their (participating) members.

7.1.2.2 Internal monitoring programme

7.1.2.2.1 The regional working group shall establish an internal monitoring programme covering all participants in the regional organisation that shall cover:

- a) an evaluation of the participants' self-commitment;
- b) an evaluation of information from external parties;
- c) an internal audit programme.

7.1.2.2.2 The regional working group shall evaluate information from external parties, such as governmental bodies, forestry associations, research institutions, non-governmental organisations that are relating to the participants' compliance with the requirements for regional certification (PEFC D 1001), requirements for sustainable forest management (PEFC D 1002-1) and the PEFC logo usage. The results of this evaluation shall be considered within the internal audit programme.

7.1.2.2.3 The regional working group shall establish an internal audit programme evaluating the participants' compliance with the requirements for regional certification (PEFC D 1001), requirements for sustainable forest management (PEFC D 1002-1) and the PEFC logo usage.

7.1.2.2.4 The internal audit programme shall annually provide on-site evaluation of a representative sample of the participants. The sampling method is described in Annex 4.

7.1.2.2.5 Elements of an internal audit programme can be:

- a) evaluation through an individual internal monitoring/ revision or quality management system or controlling of the participant;
- b) evaluation carried out by independent third parties;
- c) evaluation as part of an inventory and planning process of the participating enterprise;
- d) evaluation carried out by forestry associations;
- e) internal audit implemented or commissioned by the regional working group itself, this also includes remote audits;
- f) any other independent evaluation regarding the compliance of the participants with the PEFC requirements.

7.1.2.2.6 The regional working group shall ensure that the personnel performing the internal audits are competent based on the following criteria:

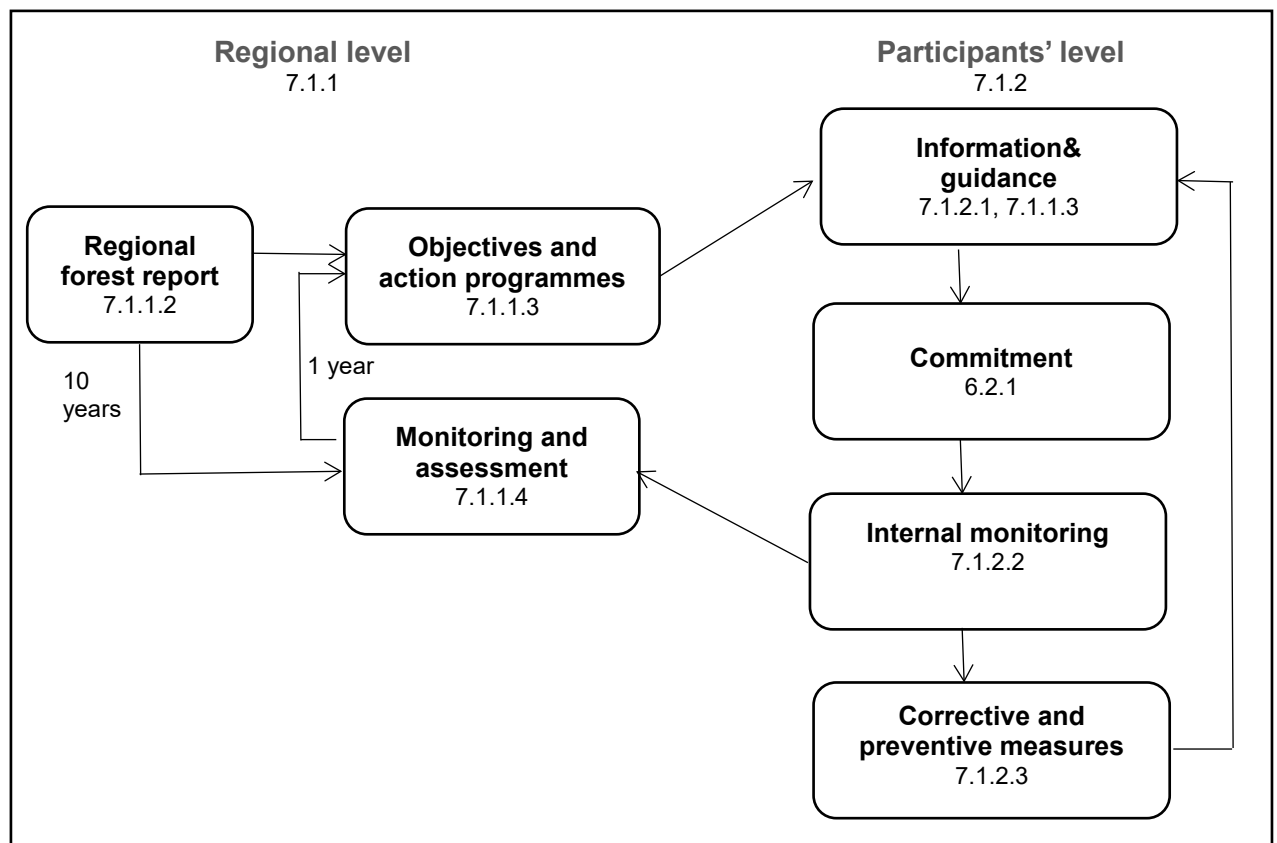
- a) university education in the field of forestry;
- b) minimum two years full-time working experience in forestry;
- c) knowledge about the requirements of the German PEFC scheme and about audit procedures.

7.1.2.3 Corrective and preventive measures

7.1.2.3.1 The regional working group shall analyse non-conformities identified by the internal monitoring programme and assess, whether these non-conformities are of systematic nature or specific to the individual participant. According to this analysis, corrective (on the participants' level) and preventive (in case of systematic non-conformities) measures shall be implemented covering the following elements:

- a) description of measures to be implemented;
- b) responsibility for their implementation;
- c) timetable for their implementation;
- d) means for the evaluation of their implementation (e.g. follow-up audit, evidence submitted by the participant, etc.).

Figure 2: Implementation of the sustainable forest management within the regional certification



7.2 Responsibilities of the participants

The participant in the regional certification shall:

- be committed to comply with the requirements for the regional certification (annex 2);
- comply with applicable requirements for the regional certification (PEFC D 1001), requirements for sustainable forest management (PEFC D 1002-1); requirements for the PEFC Logo usage (PEFC ST 2001) and other measures identified in the action programme applicable to the participant;
- provide full co-operation and assistance in responding effectively to all requests from the regional working group or a certification body for relevant data, documentation or other information; allowing access to his forests and other facilities, whether in connection with internal and external audits, or reviews, or otherwise;
- implement relevant corrective and preventive actions established by the regional working group;
- pay the fee for the participation in the regional certification as specified in PEFC D 4003;
- declare the products sold as "PEFC certified" in accordance with the requirements set out in Annex 5.

Annex 1: List of indicators

1. Descriptive part:

| | | | | |
|------|---|---|---------------------------------------|---|
| 1 | Forest / Ownership structure | area ha, spacial distribution Forest ownership types ha, Forest ownership types %, Size classes ha, Size classes % | | |
| | PEOLG: 1.1a 6.1b | Vienna indicator: 1.1 4.7 6.1 | German standard: | Old indicator: 1 45 |
| 2 | Per capita forest area | area ha | | |
| | PEOLG: | Vienna indicator: | German standard: | Old indicator: 2 |
| 3 | Carbon stock of woodybiomass and soils | tons per ha (estimate for the annual carbon sequestration) | | |
| | PEOLG: | Vienna indicator: 1.4 | German standard: | Old indicator: 6 |
| 4 | Condition of the forest | (Summary of the result of the forest and soil analysis ort he reports on the forest condition) | | |
| | PEOLG: 2.1.b | Vienna indicator: 2.1 2.2 2.3 2.4 | German standard: | Old indicator: 7 8 9 10 11 |
| 5 | Services for the forest not stately owned (consulting, management, subsidies) | EURO, EURO per ha, ha, % | | |
| | PEOLG: 2.1.c 3.1.c | Vienna indicator: | German standard: | PEOLG: 2.1.c 3.1.c |
| 6 | Forestry associations | number, ha, number of members, classified according to ownership category where appropriate | | |
| | PEOLG: 3.1.c | Vienna indicator: | German standard: | PEOLG: 3.1.c |
| 7 | Density, construction and maintenance of forest roads | metres of trafficable forest roads/ha/ownership type | | |
| | PEOLG: 3.2.d 4.2.f 5.2.c | Vienna indicator: | German standard: 3.5 | PEOLG: 3.2.d 4.2.f 5.2.c |
| 8 | Number of persons employed in the forest sector, the timber and paper industry | | | |
| | PEOLG: 6.1.a 6.2.a | Vienna indicator: 6.5 | German standard: 6.1 6.2 6.3 | PEOLG: 6.1.a 6.2.a |
| (9) | Gene conservation forests and achknowledged seed-producing stands | ha | | |
| | PEOLG: 4.2.b | Vienna indicator: 4.6 | German standard: | PEOLG: 4.2.b |
| (10) | Coppice, coppice with standards and forest pasture | area ha | | |

| | | | | |
|--|------------------------|--------------------------|-------------------------|-----------------------------|
| | <u>PEOLG:</u> 4.2.d | <u>Vienna indicator:</u> | <u>German standard:</u> | <u>Old indicator:</u> 42 |
|--|------------------------|--------------------------|-------------------------|-----------------------------|

| | | | | |
|------|--|----------------------------------|-------------------------|-----------------------------|
| (11) | Number of sites within forest land designated as having cultural or spiritual values | | | |
| | <u>PEOLG:</u> 6.1.d | <u>Vienna indicator:</u> 6.11 | <u>German standard:</u> | <u>Old indicator:</u> 54 |

2. Maintenance and appropriate enhancement of forest resources and their contribution to global carbon cycles (Helsinki criterion 1)

| | | | | |
|----|---|---------------------------------|--------------------------------|-----------------------------|
| 12 | Forest land under a management plan or equivalent | ha, % | | |
| | <u>PEOLG:</u> 1.1.b 1.1.c 1.1.d | <u>Vienna indicator:</u> 3.5 | <u>German standard:</u> 1.1 | <u>Old indicator:</u> 25 |

| | | | | |
|----|-------------------------|---|---------------------------------------|---------------------------------|
| 13 | Growing stock structure | cm ³ , cm ³ /ha, cm ³ /tree species group/age class, cm ³ /tree species group/diameter class | | |
| | <u>PEOLG:</u> 1.2.b | <u>Vienna indicator:</u> 1.2 1.3 | <u>German standard:</u> 1.2 3.4 | <u>Old indicator:</u> 4 5 |

3. Maintenance of forest ecosystem health and vitality (Helsinki criterion 2)

| | | | | |
|----|------------------------|----------------------------------|--------------------------------|-----------------------------|
| 14 | Limed forest land | area ha, % of the forest land | | |
| | <u>PEOLG:</u> 2.1.a | <u>Vienna indicator:</u> | <u>German standard:</u> 2.3 | <u>Old indicator:</u> 12 |

| | | | | |
|----|---|---------------------------------|--|-----------------------------|
| 15 | Felling and skidding damage | % | | |
| | <u>PEOLG:</u> 1.2.a II 2.1.b 2.2.bII 3.2.b II 4.2.e I 5.2.a I | <u>Vienna indicator:</u> 2.4 | <u>German standard:</u> 2.5 2.6 2.7 | <u>Old indicator:</u> 14 |

| | | | | |
|----|---------------------------------|------------------------------|---------------------------------------|-----------------------------|
| 16 | Applied plant protective agents | l/substance, ha/substance | | |
| | <u>PEOLG:</u> 2.2.c 5.2.b | <u>Vienna indicator:</u> | <u>German standard:</u> 2.1 2.2 | <u>Old indicator:</u> 19 |

4. Maintenance and encouragement of productive functions of forests - wood and non-wood (Helsinki criterion 3)

| | | | | |
|----|-------------------------------------|---------------------------------|---|-----------------------------|
| 17 | Ratio increment and fellings | | cm ³ /ha | |
| | <u>PEOLG:</u> 1.2.a I 3.2.c I | <u>Vienna indicator:</u> 3.1 | <u>German standard:</u> 1.1 | <u>Old indicator:</u> 21 |
| 18 | Tending arrears | | ha (neglected tending operation in young stands) | |
| | <u>PEOLG:</u> 3.2.b I | <u>Vienna indicator:</u> | <u>German standard:</u> 3.3 | <u>Old indicator:</u> 29 |

5. Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems (Helsinki criterion 4)

| | | | | |
|----|--|--|---|---|
| 19 | Tree species composition and types of forest stands | | %, area ha, area ha dominated by introduced tree species Natura2000 areas (habitat types) | |
| | <u>PEOLG:</u> 4.2b 4.2c | <u>Vienna indicator:</u> 4.1 4.4 | <u>German standard:</u> 4.1 | <u>Old indicator:</u> 31 32 |
| 20 | Rate of natural regeneration and advanced planting | | %, area ha | |
| | <u>PEOLG:</u> 2.1.a 2.2.a 4.2.a | <u>Vienna indicator:</u> 4.2 | <u>German standard:</u> 1.2 4.6 4.7 4.8 | <u>Old indicator:</u> 13 33 |
| 21 | Proportion of area registered by site mapping, including the recommendations for the selection of tree species | | % | |
| | <u>PEOLG:</u> 2.2.b I | <u>Vienna indicator:</u> | <u>German standard:</u> 4.3 4.4 | <u>Old indicator:</u> 16 17 |
| 22 | Browsing and bark peeling damage | | %, ha, fenced area ha | |
| | <u>PEOLG:</u> 4.2.g 5.2.a II | <u>Vienna indicator:</u> | <u>German standard:</u> 4.11 | <u>Old indicator:</u> 34 35 36 |
| 23 | Naturalness of the forest land | | area ha, classified according to „very natural“, "natural", "semi-natural", "influenced by afforestations" and "dominated by afforestations " | |
| | <u>PEOLG:</u> 4.1.a 4.1.b | <u>Vienna indicator:</u> 4.3 | <u>German standard:</u> 4.1 | <u>Old indicator:</u> 37 |
| 24 | Volume of standing and of lying dead wood | | cm ³ cm ³ /ha | |
| | <u>PEOLG:</u> 4.2.h | <u>Vienna indicator:</u> 4.5 | <u>German standard:</u> 4.10 | <u>Old indicator:</u> 38 |

| | | | | |
|----|---------------------------------|---------------------------------|--|-----------------------------|
| 25 | Existence of endangered species | | Condition of the (forest) species (for Natura2000 and Protection of Wild Birds areas), number of Red List forest species | |
| | <u>PEOLG:</u> 4.1.a 4.1.b | <u>Vienna indicator:</u> 4.8 | <u>German standard:</u> 4.2 4.9 | <u>Old indicator:</u> 40 |

6. Maintenance and appropriate enhancement of protective functions in forest management – notably soil and water (Helsinki criterion 5)

| | | | | |
|----|--|---|---|---|
| 26 | Forest land designated to protective functions | | ha, % of the forest area (MCPFE categories 1, 2, 3 and others, recreational forest) | |
| | <u>PEOLG:</u> 4.1.a 4.1.b 4.2.i 5.1.a 5.1.b 6.1c | <u>Vienna indicator:</u> 4.9 5.1 5.2 6.10 | <u>German standard:</u> 4.8 4.9 5.1 5.2 5.3 5.4 5.5 6.8 | <u>Old indicator:</u> 41 43 44 52 |

| | | | | |
|----|--|---------------------------------|---|-----------------------------|
| 27 | Total expenditures for long-term sustainable services from forests | | Product range 2 (Protection and Sanitation) and 3 (Recreation and Environmental Education) of the test net of enterprises | |
| | <u>PEOLG:</u> 6.2.c | <u>Vienna indicator:</u> 6.4 | <u>German standard:</u> 3.2 | <u>Old indicator:</u> 47 |

| | | | | |
|----|----------------------------|--------------------------|--------------------------------|-----------------------------|
| 28 | Bio-degradable oils | | | |
| | <u>PEOLG:</u> 2.2.b III | <u>Vienna indicator:</u> | <u>German standard:</u> 5.6 | <u>Old indicator:</u> 18 |

7. Maintenance of other socio-economic functions and conditions (Helsinki criterion 6)

| | | | | |
|----|--|--|---------------------------------------|---|
| 29 | Income and expense structure of the forest enterprises | | EURO/cm ³ , Euro/ha | |
| | <u>PEOLG:</u> 3.1.a 3.1.b 3.2.a 3.2.c II | <u>Vienna indicator:</u> 3.2 3.3 3.4 6.3 | <u>German standard:</u> 3.1 3.2 | <u>Old indicator:</u> 22 23 24 46 |

| | | | | |
|----|---|---------------------------------|--------------------------------|-----------------------------|
| 30 | Frequency of occupational accidents and occupational diseases in forestry | | | |
| | <u>PEOLG:</u> 6.2.b | <u>Vienna indicator:</u> 6.6 | <u>German standard:</u> 6.4 | <u>Old indicator:</u> 50 |

| | | | | |
|----|---|--------------------------|--------------------------------|-----------------------------|
| 31 | Number and structure of training and further education measures | | | |
| | <u>PEOLG:</u> 6.1.e | <u>Vienna indicator:</u> | <u>German standard:</u> 6.5 | <u>Old indicator:</u> 51 |

Annex 2: Self-commitments

| VOLUNTARY COMMITMENT OF THE FOREST OWNER | |
|---|-----------------|
| NAME OF THE FORESTRY OPERATION | |
| <input type="checkbox"/> PRIVATE FOREST <input type="checkbox"/> CORPORATE FOREST <input type="checkbox"/> STATE FOREST | |
| CONTACT | |
| STREET / PO BOX | |
| STATE | |
| POSTCODE | LOCATION |
| E-MAIL | PHONE |
| FOREST AREA IN HA; FOREST AREA OR, IF DIFFERENTIATED, WOODLAND AREA (ROUNDED UP TO FULL HA) | |
| MEMBERSHIP NO. WITH LW. BERUFGENOSSENSCHAFT | |

By signing this document, I undertake to comply with the PEFC Standards for Sustainable Forest Management (PEFC D 1002-1) as amended from time to time (see www.pefc.de). In order to participate in the regional PEFC certification, I will fulfil the relevant requirements from PEFC D 1001. In particular, I will offer my full cooperation and support to the Regional Working Group and the relevant certification body; effectively respond to their requests for relevant data, documentation or other information; allow access to the forests I manage and other operational facilities as required in connection with internal and external audits or other verifications. In addition, I will implement measures under the Regional Action Programme relevant to participants in the Regional Certification; the same applies to relevant corrective and preventive measures imposed by the Regional Working Group.

I agree that the above data on my forest property may be exchanged between the responsible Regional Working Group, PEFC Deutschland e. V. and PEFC International and that the following data may be published by these bodies for certification-related purposes: (company) name, address (street/p.o. box, postcode, town), federal state (among others in the database on www.pefc.org/find-certified).

I certify that I have not been excluded from any certification scheme to date.

The PEFC Logo is used exclusively in accordance with the PEFC D ST 2001 Trademark Standard and on the basis of a Logo Usage Agreement with PEFC Deutschland e.V..

Information on the processing of personal data by PEFC Deutschland e.V. can be found in our transparency declaration at www.pefc.de/datenschutz.

| | |
|-------------|------------------|
| | |
| DATE | SIGNATURE |

| VOLUNTARY COMMITMENT OF THE FORESTRY ASSOCIATION IN CASE OF JOINT PARTICIPATION | |
|--|-----------------|
| TYPE AND NAME OF THE ASSOCIATION | |
| CONTACT | |
| STREET / PO BOX | STATE |
| POSTCODE | LOCATION |
| E-MAIL | PHONE |

| | FOREST AREA* | NUMBER OF PARTICIPANTS |
|---------------------------------|---|-------------------------------|
| TOTAL | | |
| THEREOF PRIVATE FOREST | | |
| THEREOF CORPORATE FOREST | | |
| | * IN HA; FOREST AREA OR, IF DIFFERENTIATED, WOODLAND AREA (ROUNDED UP TO FULL HA) | |

The above-mentioned forestry association wants to give its members the opportunity to participate in the regional PEFC certification. On behalf of all my members, I assure that all their forests are managed according to the PEFC standards for sustainable forest management (PEFC D 1002-1, see www.pefc.de). The forestry association wishes to participate in the PEFC certification scheme in its entirety and declares its commitment to this.

By signing this document, I undertake to comply with the requirements for regional forest certification from PEFC D 1001. In particular, we will offer our full cooperation and support to the Regional Working Group and the relevant certification body; effectively respond to their requests for relevant data, documentation or other information; provide access to the forests managed by our members and other operational facilities as required in connection with internal and external audits or other verifications.

In addition, we will implement measures within the framework of the regional action programme that are relevant to participants in regional certification; the same applies to relevant corrective and preventive measures imposed by the Regional Working Group.

I agree that the above-mentioned data of our forestry association in connection with PEFC certification may be exchanged between the responsible Regional Working Group, PEFC Deutschland e. V. and PEFC International and published by these bodies (including in the database at www.pefc.org/find-certified).

The PEFC Logo is used exclusively in accordance with the PEFC D ST 2001 Trademark Standard and on the basis of a Logo Usage Agreement with PEFC Deutschland e.V..

It is ensured that:

- all members are informed and comprehensively educated in an appropriate form about the contents of regional certification, the responsibilities of forest owners and the requirements for sustainable forest management (PEFC D 1002-1).
- each member receives a copy of the PEFC standards (PEFC D 1002-1) and a copy of the certificate of participation of the association and is provided with a confirmation of the member's participation within the association.
- the relevant information on the German PEFC system is accessible to the members.
- information is available on members' compliance with the requirements for sustainable forest management (PEFC D 1002-1) and, if necessary, appropriate measures are taken.
- information on PEFC certification is analysed and evaluated within the association and, if necessary, appropriate measures are taken.
- responsibilities and procedures are established, assigned and documented to ensure compliance of members with the certification requirements (PEFC D 1001 and PEFC D 1002-1) and members are adequately informed about the procedures.
- a list of participating forest owners with the relevant data (name, address, forest area) is kept up to date and the total forest area and the total number of participating members are reported annually to the Regional Working Group.

Information on the processing of personal data by PEFC Deutschland e.V. can be found in our transparency declaration at www.pefc.de/datenschutz.

| | |
|--|------------------|
| ON BEHALF OF THE ABOVE-MENTIONED FORESTRY ASSOCIATION | |
| | |
| DATE | SIGNATURE |

| VOLUNTARY COMMITMENT OF THE FORESTRY ASSOCIATION IN THE FUNCTION OF AN INTERMEDIATE BODY | |
|---|-----------------|
| TYPE AND NAME OF THE ASSOCIATION | |
| CONTACT | |
| STREET / PO BOX | STATE |
| POSTCODE | LOCATION |
| E-MAIL | PHONE |

| | FOREST AREA* | NUMBER OF PARTICIPANTS |
|---|---------------------|-------------------------------|
| TOTAL | | |
| THEREOF PRIVATE FOREST | | |
| THEREOF CORPORATE FOREST | | |
| * IN HA; FOREST AREA OR, IF DIFFERENTIATED, WOODLAND AREA (ROUNDED UP TO FULL HA) | | |

The above forestry association wants to give its members the opportunity to participate in the regional PEFC certification. The forestry association wants to participate in the PEFC certification system in the function of an intermediate body and commits itself to this. The participating members undertake to manage their forest property in accordance with the PEFC standards for sustainable forest management (PEFC D 1002-1, see www.pefc.de) and to fulfil the requirements for regional forest certification from PEFC D 1001.

We offer our full cooperation and support to the Regional Working Group and the relevant certification body. In particular, we will effectively respond to their requests for relevant data, documentation or other information and provide access to forests managed by participating members and other operational facilities as required in connection with internal and external audits or other reviews. In addition, we will implement measures under the Regional Action Programme that are relevant to participants in regional certification; the same applies to relevant corrective and preventive measures imposed by the Regional Working Group.

I agree that all the above-mentioned data of our forestry association in connection with PEFC certification may be exchanged between the responsible Regional Working Group, PEFC Deutschland e. V. and PEFC International and published by these bodies (e. g. in the database at www.pefc.org/find-certified).

The PEFC Logo is used exclusively in accordance with the PEFC D ST 2001 Trademark Standard and on the basis of a Logo Usage Agreement with PEFC Deutschland e.V..

It is ensured that:

- the participating members are informed in an appropriate form about participation in regional certification, in particular about the content of the forest owner's declaration of voluntary commitment, about the requirements for sustainable forest management (PEFC D 1002-1) and other relevant certification requirements, and about the consequences of apparent non-compliance, and are fully informed.
- members are provided with self-commitment forms and all relevant information is provided or made available to them.
- the self-commitment declarations of the members are collected and registered.
- a list of participating forest owners with the relevant data, as required by the Regional Working Group or PEFC Germany, is kept up to date and third parties, such as holders of a PEFC chain of custody certificate, are provided with confirmation of members' participation in regional certification upon request.
- upon request or in case of changes, the list of participating members and their forest area is reported to the Regional Working Group.

Information on the processing of personal data by PEFC Deutschland e.V. can be found in our transparency declaration at www.pefc.de/datenschutz.

| | |
|--|------------------|
| ON BEHALF OF THE ABOVE-MENTIONED FORESTRY ASSOCIATION | |
| | |
| DATE | SIGNATURE |

Annex 3: Confirmation of Participation



This certificate confirms,
that the following forest owner/ forestry association
participates in the regional certification according to the standards of the German PEFC scheme
(Programme for the Endorsement of Forest Certification schemes, www.pefc.de) and has committed
himself/themselves to manage the forest(s) in compliance with the PEFC standards:

[name of the participant]

[Street]

[Postal code/ city]

on the basis of the certificate No. [number] of the independent certification body
[name of the certification body]

for the region [name of the region] and based on the conformity with PEFC D 1001 and
PEFC D 1002-1 the forest owner/ forestry association is entitled to offer wood from certified
sustainable forest management according to the German PEFC scheme. The participating enterprises
in [name of the region] are audited by the [name of the certification body].

Date of the self-commitment: DD.MM.20XX

This certificate is valid until: DD.MM.20XX
(depending on the validity of the regional certificate)

With completion of the signed logo usage contract
this certificate also entitles to

PEFC logo usage

According to the current version of the logo usage rules PEFC D ST 2001
and with the following individual registry number:
PEFC/04XXXXX/YYYYYYYYY

On behalf of PEFC Germany

On behalf of the regional PEFC working group
[name of the region]

Annex 4: Sampling procedure for the internal audit programme

(Based on text from PEFC D 1003-1, Annex 3, Chapter 3 "STP procedure for external audits).

1. The sample size shall be the square root of the total number of participants ($y=\sqrt{x}$) multiplied by a factor of 0.6, rounded to the nearest integer.
2. When selecting participants as part of the sample, the regional working group shall meet the following criteria regarding the representativeness of the sample:
 - a) At least 25 % of the participants shall be randomly selected.
 - b) Non-conformities and corrective actions identified as result of previous internal audits shall be taken into account.
 - c) Participants not included in previous internal audits shall be selected preferentially to ensure the highest possible coverage.
 - d) Complaints or information from third parties related to participants' compliance with certification requirements shall be taken into account.
 - e) The sample shall include a proportion of participating forestry associations that is proportional to the proportion of the total certified forest area in the region that is covered by the forest area of these associations.
 - f) The sample shall be representative of the forest area of the participants.
 - g) The sample shall be representative with regard to the spatial distribution of the forest areas as well as to the type of forest ownership (federal, state, communal, private forest).
3. The random selection according to chapter 2. a) shall be proportional to the size of the forest area of the participants and shall be carried out according to the following method (see also PEFC D 1003-1, Annex 3):
 - a) Allocation of participants according to their forest areas to size classes 1 - 3 and preparation of a list of participants per size class.
 - b) Calculation of the cumulative totals of the individual forest areas in each participant list.
 - c) Generation of random numbers between zero and the total area in a size class.
 - d) Selection of a participant for the sample if the random number is equal to or less than the cumulative area total of that holding but greater than the cumulative area total of the preceding holdings.
4. The Regional Working Group may reduce or increase the sample size taking into account one or more of the following indicators:
 - a) Results of previous internal audits.
 - b) Quality / reliability of the internal monitoring programme, i.e. results of the risk analysis.
 - c) Complexity and differences within the region, spatial distribution and natural environment.
 - d) Complaints received or relevant information from third parties.
 - e) Use of relevant information obtained through modern technologies (e.g. remote sensing).
 - f) Other measures taken to obtain relevant information on activities on the site.

Annex 5: Correct use of the PEFC declaration

The participant may select one or more documents to be used for communicating the PEFC declaration ("100 % PEFC certified").

The following figure illustrates how the PEFC declaration should be integrated into the document accompanying the delivery.

Forstbetrieb Musterforst
 Forststraße 1
 86150 Augsburg ①

Sägewerk Muster GmbH
 Sägewerksallee 1
 86150 Augsburg ②

Datum: 12.05.2020
 Rechnungsnummer: 123456 ⑤

Abrechnung

| Holzart | Sorte | Güte | Stärke | Menge | Einh. | Preis/Einheit | Preis |
|---------|-------|------|--------|-------|-------|---------------|----------|
| Fichte | L | B/C | 4a | 5,052 | fm | 70,00 € | 353,64 € |
| Fichte | L | B/C | 4b | 3,423 | fm | 70,00 € | 239,61 € |

593,25 €

MwSt. 5,5 % aus 593,25 € 32,63 €

Gesamtbetrag **625,88 €**

Alle auf dieser Abrechnung aufgeführten Positionen sind zu 100 % PEFC-zertifiziert.
 Zertifikatsnummer: HW-RWZ-0001-20 ⑥

⑦

1. Identification of the certified participant
2. Identification of the customer
3. Identification of the product
4. Delivery quantity
5. Delivery date
6. Official PEFC declaration: "100 % PEFC certified" or "100 % PEFC" or "100 % from PEFC forests"
7. Certificate number of the region
 (For current list see <https://pefc.de/zertifikatsnummern>)