

- Project Proposal -

Revision of the PEFC Council's requirements for Certification Bodies conducting certification against the PEFC International Chain of Custody Standard

15 September 2015

Approved by the PEFC Council Board of Directors on 8 October 2015.
Timetable amended on 14 January 2019.

1. Introduction

The PEFC Council's requirements for Certification Bodies (CBs) conducting certification against the PEFC International Chain of Custody (CoC) Standard are defined in the PEFC International Standard PEFC ST 2003:2012, *Requirements for Certification Bodies operating Certification against the PEFC International Chain of Custody Standard*.

The development of PEFC ST 2003:2012 was started in 2007 in a joint working group of PEFC and the International Accreditation Forum (IAF).

PEFC ST 2003:2012 was approved by the PEFC General Assembly in July 2012 and replaced the requirements for CBs conducting PEFC CoC certification outlined in Annex 6 of the PEFC Technical Document.

In 2014 a second edition of PEFC ST 2003:2012 was approved by the PEFC Board of Directors (BoD), including only editorial amendments owed to the replacement of ISO/IEC Guide 65 by ISO/IEC 17065.

PEFC GD 1003:2009, *PEFC Council Technical Documents Development Procedures – Requirements* requires that “*the technical documentation shall be periodically reviewed at five years intervals and revised in a timely manner. The procedures for the review and revision of the technical documentation shall follow the stages outlined in chapter 5 [of PEFC GD 1003:2009].*”

2. Scope and basic approach

The revision of PEFC's standard setting requirements shall focus on the review of the requirements outlined in PEFC ST 2003:2012, *Second Edition*.

The following shall be identified and considered in the revision process:

- existing and potential demands of PEFC's customers and stakeholders,

- PEFC's own experience and strategic orientation.

Where gaps between existing requirements and expectations are identified, the revision of existing or development of new technical requirements shall be taken into consideration.

In addition, the revision shall specifically consider introducing a requirement for the public availability of audit reports.

The revision work shall also consider the transition from old to revised requirements, including implementation of revised requirements in PEFC endorsed schemes and assessment of amendments.

3. Expected outcome

3.1 CoC CB requirements

The revised documentation shall define the PEFC Council's requirements for CBs conducting certification against the PEFC International CoC standard. In case of PEFC endorsed schemes with endorsed scheme specific CoC standards, the standard shall be used as a benchmark for the assessment of scheme specific CoC CB requirements.

The revision may result in a revised issue of PEFC ST 2003 and/or, depending on the findings during the review and revision work, in the development of new technical documents and/or document parts, in line with PEFC GD 1001:2008, *Structure of the PEFC Technical Documentation – General Requirements*.

3.2 Transition requirements

Stipulations regarding the transition from old to revised requirements should be defined in a separate proposal.

4. Organisation

4.1 Project leader

The project will be lead and coordinated by the PEFC Council's Head of Technical Unit. The PEFC Council secretariat will provide organisational and support function.

4.2. Working Group

To date there is no standing PEFC working group for CoC CB requirements in place. The BoD establishes a WG "Certification Body requirements for Chain of Custody" (CBCoC) and requests the PEFC Secretariat to select members for the WG based on nominations submitted by PEFC members, BoD, and other stakeholder groups identified in a stakeholder mapping exercise.

The WG shall comprise at least the following stakeholder categories:

- a) Materially affected certifiable stakeholders (Forest Landowners & Managers, Forest-based Businesses and Industry)
- b) Conformity Assessment Community (Certification Bodies, Accreditation Bodies, Assessors)
- c) End User – Customers & Consumers (Retail & Consumer, Institutional Users, Governments & Local Authorities)
- d) Civil Society (NGOs; Workers & Trade Unions; Scientific & Technological Communities; Indigenous People; Women; and Children & Youth)
- e) PEFC Members (PEFC National Governing Body Members)

The Secretariat shall strive to achieve a balanced representation of interested stakeholders within the WG, including geographical representation.

The Secretariat shall develop the terms of reference of the “WG CBCoC” and submit it to the BoD for approval.

5. Development stages

The stages of the revision shall follow chapter 5 of PEFC GD 1003:2009, *PEFC Council Technical Documents Development Procedures – Requirements*.

Phase 1: Proposal stage

Purpose	Activities	Outputs
Definition of scope and basic parameters of the revision	<ul style="list-style-type: none"> • Preparation of the Project Proposal • Submission of the Project Proposal to the BoD • Approval of the Project Proposal by the BoD 	Project Proposal approved by the BoD

Phase 2: Preparatory stage

Purpose	Activities	Outputs
Preparation of the revision	<ul style="list-style-type: none"> • Stakeholder mapping, including identification of potentially disadvantaged key stakeholders • Public announcement of the revision, distribution of the information to PEFC members and other stakeholders, encouraging PEFC members to distribute the information to the stakeholders at their countries 	Establishment of the WG First working draft document

	<ul style="list-style-type: none"> • Invitation of PEFC members to nominate members for the WG, direct approach of key stakeholders to nominate their representatives • Selection of WG members from submitted nominations • Analysis of key customer and stakeholder expectations • Development a first draft document as basis for discussion 	
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Phase 3: Working Group stage I

Purpose	Activities	Outputs
Finding consensus on a draft set of requirements	<ul style="list-style-type: none"> • 2 WG meetings • Consensus building amongst the WG • Preparation of enquiry draft(s) 	Enquiry draft(s)

Phase 4: Enquiry stage

Purpose	Activities	Outputs
To consult the standard setting with a broad range of stakeholders	<ul style="list-style-type: none"> • Direct stakeholder consultation • Public and member consultation • Processing comments 	Enquiry draft(s) Stakeholder feedback

Phase 5: Working Group stage II

Purpose	Activities	Outputs
Finding consensus on a final draft set of requirements	<ul style="list-style-type: none"> • 1 WG meeting to find consensus on the consideration of comments • Preparation of final draft(s) 	Final draft(s)

Phase 6: Approval stage

Purpose	Activities	Outputs
Approval of a revised set of requirements	<ul style="list-style-type: none">• Submission of the final draft(s) to the BoD• Approval by the BoD• Approval by the PEFC General Assembly	Approved document(s)

Phase 7: Publication stage

Purpose	Activities	Outputs
Publication of documents and information of stakeholders	<ul style="list-style-type: none">• Publication of the document at the PEFC Council website• Informing PEFC members and stakeholders, especially accreditation bodies and certification bodies and about the new document and its implications, including transition requirements	Published document(s)

Phase 8: Implementation stage

Purpose	Activities	Outputs
Implementing the transition from old to revised requirements	<ul style="list-style-type: none">• Informing stakeholders and PEFC members about the new document and its implications (website, emails, newsletter, webinars)• Assessment of PEFC schemes for compliance with revised requirements• Evaluation of the implications of the revised requirements	Clear guidance on the transition

		2015	2019					
		IV	I	II	III	IV		
Proposal stage	Project proposal development	■						
	Approval by BoD	■						
Preparatory stage	Public announcement		■					
	Call for WG nominations		■					
WG stage	Working group establishment		■					
	Internal analysis on customers' expectations		■					
	Development of first working draft		■					
	Working group meetings			■	■		■	
	Consideration of WG members comments			■	■	■	■	
Enquiry stage	Public and members consultation				■	■		
WG stage	Processing and consideration of comments				■			
	WG meeting – consensus on a final draft					■		
Approval stage	Board meeting						■	
	General Assembly							■
Publication stage	Document publication						■	
Transition stage	Transition							■