

# PEFC Standard and System Requirement Checklist - PEFC IGD 1007-01:2012 (PEFC Informative Guide) 2012-11-16

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## PART II: Standard and System Requirement Checklist for Group FOREST MANAGEMENT CERTIFICATION (PEFC ST 1002:2010)

### 1 Scope

Part II covers requirements for group forest management certification as defined in PEFC ST 1002:2010, *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

Question	YES / NO*	Reference to system documentation
<b>General</b>		
4.1 Does the forest certification scheme provide clear definitions for the following terms in conformity with the definitions of those terms presented in chapter 3 of PEFC ST 1002:2010:		
a) the group organisation,	YES	NP 4406, ch. 2.2.24 defines "management organization" as a group subscriber's represented by the manager of the forest management unit for the purposes of implementation of the sustainable forest management standard and the certification of the respective forest management unit." which is consistence with PEFC requirement 3.5.group organization.
b) the group entity,	YES	NP 4406, ch. 2.2.60. defines "manager of the forest management unit" as organization, individual owner or entity designated or authorized to represent the subscribers, with the overall responsibility for ensuring the conformity of forest management in the certified area to the requirements of the present standard and other applicable requirements of the forest certification scheme" which is consistence with PEFC requirement 3.2.group entity.
c) the participant,	YES	NP 4406, ch. 2.2.4. defines

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		<p>“subscriber” as public and private entities, owning or managing one or more rural parcels of land, with legal rights upon their own forest properties/plots, covered by conformity forest certificate, which have the ability to implement the requirements of present standard and undertaking a written commitment with of the respective forest management system. NOTE: The term “the ability to implement the requirements of present standard” requires the entity to have a long-term legal right to manage the forest and would disqualify one –off contractors from becoming participants in group certification (regional/group)” which is consistence with PEFC requirement 3.6.participant.</p>
d) the certified area,	YES	<p>NP 4406, ch. 2.2.5 defines “certified area” as the forest area covered by the forest certificate conformity representing the sum of forest areas, consisting of rural parcels of land, declared by the subscribers or by the individual entity and with are included in FMU limits” which is consistence with PEFC requirement 3.1. certified area.</p>
e) the group forest certificate, and	YES	<p>NP 4406, ch. 2.2.9 defines “conformity forest certificate” as a document confirming that the group organization complies with the requirements of the sustainable forest management standard and other applicable requirements of the forest certification scheme. NOTE: the term “conformity forest certificate” is equivalent to the term “regional/group or individual forest certificate” as it applies to which level” which is consistence with PEFC requirement 3.3. group forest certificate.</p>
f) the document confirming participation in group forest certification.	YES	<p>NP 4406, ch. 2.2.21 defines “document confirming participation in forest certification” as a document issued to an subscriber</p>

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		that refers to the conformity forest certificate (regional or group) and that confirms the participant as being covered by the scope of the forest certification” which is consistence with PEFC requirement 3.7. document confirming participation in group forest certification.
4.1.2 In cases where a forest certification scheme allows an individual forest owner to be covered by additional group or individual forest management certifications, the scheme shall ensure that non-conformity by the forest owner identified under one forest management certification scheme is addressed in any other forest management certification scheme that covers the forest owner.	YES	NP 4406, Annex B requires for the regional manager B.2.5b) and for the group manager B.3.5b) to establish a procedure for the inclusion of new subscribers that ensure, in the case the subscribers participates in other forest certification scheme, that non-conformity identified under the other forest certificate are addressed.  The requirements address the PEFC requirement at the time of inclusion and also during the participation in group/regional certification at the manager of the FMU, B.2.7c) and B.3.7c) and also at the subscriber level B.2.8c) and B3.8c)
4.1.3 The forest certification scheme shall define requirements for group forest certification which ensure that participants’ conformity with the sustainable forest management standard is <b>centrally administered</b> and is subject to central review and that all participants shall be subject to the internal monitoring programme.	YES	NP 4406, ch 3.4.5 requires the manager of the FMU to undertake a periodic review of the system, which take into account the results of the internal monitoring programme 3.4.5 c)  Annex B, B.2.4 and B.3.4 requires “the internal monitoring programme shall be based on a sampling methodology covering all subscribers.”
4.1.4 The forest certification scheme shall define requirements for an annual internal monitoring programme that provides sufficient confidence in the conformity of the whole group organisation with the sustainable forest management standard.	YES	NP 4406, Annex B. 2.4, B.3.4 establishes the specifications for the internal monitoring programme which includes specific details and a sampling methodology to demonstrate sufficient confidence in the conformity of the whole group organisation with the sustainable forest management standard.  The above requirements are followed by B.2.7 h) and B.3.7 h) which provide the requirements for

Question	YES / NO*	Reference to system documentation
		the implementation, revision of such programme as for the implementation of corrective and preventive measures, if necessary.
<b>Functions and responsibilities of the group entity</b>		
4.2.1 The forest certification scheme shall define the following requirements for the function and responsibility of the group entity:		
a) 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	NP 4406, Annex B.2.6, B.3.6 requires "the regional management organization shall be responsible for 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. " that is identical with PEFC ST 1002, 4.2.1 a).
b) To provide a commitment on behalf of the whole group organisation to comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme;	YES	Annex B, requires the regional manager B.2.7k) and the group manager B.3.7k) to evidence the commitment of the management organization for the compliance with the sustainable forest management standard and other applicable requirements of the forest certification scheme of the over whole subscribers which is consistence with PEFC ST 1002, 4.2.1 b).;  Complementary NP 4406, ch 3.1b reinforces the requirement by adding on the policy for the FMU the commitment to the fulfilment of the standard applicable requirement and the pan-european criteria for sustainable forest.
c) To establish written procedures for the management of the group organisation;	YES	NP 4406, chapter 3 defines management system requirements for the FMU level, including written policy (3.1) and written (documented) procedures for functions, responsibilities and authorities (3.3.1).  NP 4406 considers a region ( B.2.1) and a group (B.3.1) as the FMU. The requirement of chapter 3 applies to the regional and the

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		<p>group manager.</p> <p>NP 4406, Annex B requires the regional manager (2.5) and the group manager (3.5) to establish procedures for management of the region/group (control of subscribers; inclusion of new members, exclusion of subscribers and informing the certification body thereof; providing information to subscribers; and internal monitoring programme).</p>
<p>d) To keep records of:</p> <ul style="list-style-type: none"> <li>- the group entity and participants' conformity with the requirements of the sustainable forest management standard, and other applicable requirements of the forest certification scheme,</li> <li>- all participants, including their contact details, identification of their forest property and its/their size(s),</li> <li>- the certified area,</li> <li>- the implementation of an internal monitoring programme, its review and any preventive and/or corrective actions taken;</li> </ul>	YES	<p>NP 4406, chapter 3 defines management system requirements for the forest management unit level (FMU), including audits and their results; reviews; corrective and preventive measures (3.4.3). NP 4406 considers a region (ch. B.2.1) and a group (ch. B.3.1) as the FMU. The requirement of chapter 3 also applies to the regional and the group manager.</p> <p>NP 4406, Annex B requires the regional manager B.2.5 g) and the group manager B.3.5 g) to keep records relating to the conformity of subscribers with the certification requirements (this requirement is linked to the internal monitoring programme).</p>
<p>e) To establish connections with all participants based on a 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 non-conformity with the sustainable forest management standard;</p>	YES	<p>NP 4406, Annex B, require that the subscribers' participation in the regional certification (B.2.1d and B.2.6) and in group certification (B.3.1 d and B.3.6) is based on a subscriber's written commitment.</p> <p>This commitment provides for written agreement between the group/regional manager and the subscribers.</p>
<p>f) To provide participants with a document confirming participation in the group forest certification;</p>	YES	<p>NP 4406, Annex B, requires regional manager (2.7d) and the group manager (3.7d) to make available to the subscriber a document confirming participation in forest certification.</p> <p>NP 4406, ch 2.2.21 establishes the definition for "document confirming participation in forest certification".</p>

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g) To provide all participants with information and guidance required for the effective implementation of the sustainable forest management standard and other applicable requirements of the forest certification scheme;	YES	<p>NP 4406, Annex B requires the regional manager B.2.7 and the group manager B.3.7 to prepare disseminate to subscribers and ensure fulfilment of regional/group technical guidelines with actions for implementation of the certification requirements.</p> <p>NP 4406, Annex B requires the regional manager B.2.5d) and the group manager B.3.5d) to inform subscribers, and keep them up-to-date, about their rights, duties and sanctions</p>
h) To operate an annual internal monitoring programme that provides for the evaluation of the participants' conformity with the certification requirements, and;	YES	<p>NP 4406, Annex B requires the regional manager B.2.7h) and the group manager B.3.7h) to establishes and implement an annual internal monitoring programme.</p> <p>NP 4406, Annex B.2.4 and B 3.4 defines the specifications for such programme stating “ the manager of the FMU shall establish and maintain a documented programme for internal monitoring at the level of the subscriber's that provides sufficient confidence that all of them are in accordance with the requirements of this standard, namely:</p> <ul style="list-style-type: none"> <li>- monitor and verify the actions established in the subscriber individual forest management plans or other technical operational plan, where applicable:</li> <li>- monitor and verify that the implementation of these actions occurs in compliance with the best practices set out in the regional technical reference.”</li> </ul>
i) To operate a review of conformity with the sustainable forest management standard, that includes reviewing the results of the internal monitoring programme and the certification body's evaluations and surveillance; corrective and preventive measures if required; and the evaluation of the effectiveness of corrective actions taken.	YES	NP 4406, ch 3.4.5 requires the manager of the FMU to undertake a periodic review of the system, at pre-established time intervals and sufficient to ensure that it is adequate and effective. The review shall take into account (among others): c) the results of the internal monitoring programme; d)

Question	YES / NO*	Reference to system documentation
		<p>the results of the internal audits and those conducted by the certification body's; e) the corrective and preventive measures; f) the evaluation of the effectiveness of corrective actions taken.</p> <p>The requirement of chapter 3 applies to the regional and the group manager.</p>
<b>Function and responsibilities of participants</b>		
4.3.1 The forest certification scheme shall define the following requirements for the participants:		
<p>a) To provide the group entity with a written agreement, including a commitment on conformity with the sustainable forest management standard and other applicable requirements of the forest certification scheme;</p>	YES	<p>NP 4406, Annex B.2.8 requires "the subscribers participate voluntarily, assuming a written commitment with the management organization, to comply with the requirements for the regional certification" and to other conditions.</p> <p>NP 4406, B.3.8 a) "take part in the group forest management system assuming a written commitment with the management organization, to comply with the requirements resulting from the application of the present standard and other applicable requirements of the forest certification scheme"</p> <p>which are consistence with PEFC ST 1002, 4.3.1 a).</p>
<p>b) To comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme;</p>	YES	<p>NP 4406, Annex B.2.8 and B.3.8.a requires the subscriber to assume the compliance with the requirements resulting from the application of the standard and other applicable requirements of the forest certification scheme.</p>
<p>c) 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;</p>	YES	<p>NP 4406, Annex B.2.8e requires the subscriber to "guarantee the support to the manager of the regional forest management unit and the certification body, whether by its full collaboration, by making available relevant data, documentation and other information, allowing access to the forest and other facilities, whether in connection with formal audits or reviews or otherwise" that is identical with PEFC ST 1002, 4.3.1</p>

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		c). The same text can be found on NP4406 Annex B.3.8e) for group certification.
d) To implement relevant corrective and preventive actions established by the group entity.	YES	NP 4406, Annex B.2.8g and B.3.8g requires the subscriber to “implement relevant corrective and preventive actions established by the manager of the FMU” that is consistence with PEFC ST 1002, 4.3.1 d).

### Application documentation

The application for the endorsement and mutual recognition as defined in Chapter 5 of Annex 7 (*Endorsement and Mutual Recognition of National Systems and their Revision*) shall include information which enables the assessment of the applicant system’s compliance with the PEFC Council requirements.

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

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

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

**YES/NO\*** 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.