

2015-06-17

PEFC Standard and System Requirement Checklist



PEFC Council

World Trade Center 1, 10 Route de l'Aéroport
CH-1215 Geneva, Switzerland
Tel: +41 (0)22 799 45 40, Fax: +41 (0)22 799 45 50
E-mail: info@pefc.org, Web: www.pefc.org

Copyright notice

© PEFC Council 2012

This PEFC Council document is copyright-protected by the PEFC Council. This document is freely available from the PEFC Council website or upon request.

No part of this document covered by the copyright may be changed or amended; reproduced or copied in any form or by any means for commercial purposes without the permission of the PEFC Council.

The only official version of this document is English. Translations of this document can be provided by the PEFC Council or PEFC National Governing Bodies. In case of any doubt the English version is definitive.

Document name: PEFC Standard and System Requirement Checklist

Document title: PEFC IGD 1007-01:2012

Approved by: PEFC Board of Directors

Date: 2012-11-16

Issue date:

Date of entry into force: 2012-11-16

Content

1	Purpose.....	4
	Part I: Standard and System Requirement Checklist for standard setting (PEFC ST 1001:2010)	5
1	Scope.....	5
2	Checklist	5
3	Application documentation	13
	PART II:Standard and System Requirement Checklist for Group FOREST MANAGEMENT CERTIFICATION (PEFC ST 1002:2010).....	14
1	Scope.....	14
2	Checklist	14
	PART III: Standard and System Requirement Checklist for SUSTAINABLE FOREST MANAGEMENT (PEFC ST 1003:2010)	17
1	Scope.....	17
2	Checklist	17
	PART IV: Standard and System Requirement Checklist for certification and accreditation procedures (Annex 6)	26
1	Scope.....	26
2	Checklist	26
	Part V: Standard and System Requirement Checklist for system specific Chain of custody standards – COMPLIANCE WITH PEFC ST PEFC 2002:2013	29
1	Scope.....	29
2	Checklist	29
	Part VI: Standard and System Requirement Checklist for scheme administration requirements	32
1	Scope.....	32
2	Checklist	32

1 Purpose

The purpose of this Informative Guide is to assist the assessment against the PEFC Council's core documents as listed in chapter 5 of PEFC GD 1007:2012.

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

Part I: Standard and System Requirement Checklist for standard setting (PEFC ST 1001:2010)

1 Scope

Part I covers the requirements for standard setting defined in PEFC ST 1001:2010, *Standard Setting – 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	Assess. basis*	YES / NO*	Reference to application documents
Standardizing Body			
4.1 The standardizing body shall have written procedures for standard-setting activities describing:			
a) its status and structure, including a body responsible for consensus building (see 4.4) and for formal adoption of the standard (see 5.11),	Procedures	Yes	ND CFCS 01, 4.4, 4.1
b) the record-keeping procedures,	Procedures	Yes	ND CFCS 01, 8
c) the procedures for balanced representation of stakeholders,	Procedures	Yes	ND CFCS 01, 5.2.2
d) the standard-setting process,	Procedures	Yes	ND CFCS 01, 5
e) the mechanism for reaching consensus, and	Procedures	Yes	ND CFCS 01, 5.3.2
f) revision of standards/normative documents.	Procedures	Yes	ND CFCS 01, 6
4.2 The standardizing body shall make its standard-setting procedures publicly available and shall regularly review its standard-setting procedures including consideration of comments from stakeholders.	Procedures	Yes	ND CFCS 01, 5.2.1
	Process	Yes	Publicly available on http://www.pefc.cz/revize-standardu-cfcs.html
4.3 The standardizing body shall keep records relating to the standard-setting process providing evidence of compliance with the requirements of this document and the standardizing body's own procedures. The records shall be kept for a minimum of five years and shall be available to interested parties upon request.	Procedures	Yes	ND CFCS 01, 8
	Process	Yes	Annex_01_Development report_CFCS_2015 Records keeping by secretariat
	Procedures	Yes	ND CFCS 01, 4.4

Question	Assess. basis*	YES / NO*	Reference to application documents
4.4 The standardizing body shall establish a permanent or temporary working group/committee responsible for standard-setting activities.	Process	Yes	Annex_01_Development report_ CFCS_2016 Annexes_04a,04b,04c _about technical committee
4.4 The working group/committee shall:			
a) be accessible to materially and directly affected stakeholders,	Procedures	Yes	ND CFCS 01, 4.4
	Process	Yes	Contacts on TC members on http://www.pefc.cz/revize-standardu-cfcs/technicka-komise.html
b) have balanced representation and decision-making by stakeholder categories relevant to the subject matter and geographical scope of the standard where single concerned interests shall not dominate nor be dominated in the process, and	Procedures	Yes	ND CFCS 01, 4.4, 5.2.2
	Process	Yes	Annex_01_Development report_ CFCS_2016 Annexes_04a,04b,04c _about technical committee
c) include stakeholders with expertise relevant to the subject matter of the standard, those that are materially affected by the standard, and those that can influence the implementation of the standard. The materially affected stakeholders shall represent a meaningful segment of the participants.	Procedures	Yes	ND CFCS 01, 4.4, 5.2.2
	Process	Yes	Annex_01_Development report_ CFCS_2016 Annexes_04a,04b,04c _about technical committee
4.5 The standardizing body shall establish procedures for dealing with any substantive and procedural complaints relating to the standardizing activities which are accessible to stakeholders.	Procedures	Yes	ND CFCS 01, 5.3.2, 4.6, 7 ND CFCS 03
	Process	Yes	Did not apply
4.5 Upon receipt of the complaint, the standard-setting body shall:			
a) acknowledge receipt of the complaint to the complainant,	Procedures	Yes	ND CFCS 03
	Process	Yes	Did not apply
	Procedures	Yes	ND CFCS 03

Question	Assess. basis*	YES / NO*	Reference to application documents
b) gather and verify all necessary information to validate the complaint, impartially and objectively evaluate the subject matter of the complaint, and make a decision upon the complaint, and	Process	Yes	Did not apply
c) formally communicate the decision on the complaint and of the complaint handling process to the complainant.	Procedures	Yes	ND CFCS 03
	Process	Yes	Did not apply
4.6 The standardizing body shall establish at least one contact point for enquiries and complaints relating to its standard-setting activities. The contact point shall be made easily available.	Procedures	Yes	ND CFCS 01, 5 Contact point available on http://www.pefc.cz/revize-standardu-cfcs/vseobecne-informace.html Annex_02_Revision intent_2015
Standard-setting process			
5.1 The standardizing body shall identify stakeholders relevant to the objectives and scope of the standard-setting work.	Procedures	Yes	ND CFCS 01, 5.1
	Process	Yes	Annex_01_Development report_ CFCS_2016 Annexes_04a,04b,04c_about technical committee
5.2 The standardizing body shall identify disadvantaged and key stakeholders. The standardizing body shall address the constraints of their participation and proactively seek their participation and contribution in the standard-setting activities.	Procedures	Yes	ND CFCS 01, 5.1
	Process	Yes	Annex_01_Development report_ CFCS_2016 Annex_03_Revision intent_2015 Annex_07_Press release Opening of CFCS revision process_2015_09_17
5.3 The standardizing body shall make a public announcement of the start of the standard-setting process and include an invitation for participation in a timely manner on its website and in suitable media as appropriate to afford stakeholders an opportunity for meaningful contributions.	Procedures	Yes	ND CFCS 01, 5.2.1
	Process	Yes	Annex_01_Development report_ CFCS_2016

Question	Assess. basis*	YES / NO*	Reference to application documents
			Annex_07_Press release Opening of CFCS revision process_2015_09_17
5.3 The announcement and invitation shall include:			
a) information about the objectives, scope and the steps of the standard-setting process and its timetable,	Procedures	Yes	ND CFCS 01, 5.2.1
	Process	Yes	Annex_01_Development report_ CFCS_2016 Annex_03_Revision intent_2015 Annex_07_Press release Opening of CFCS revision process_2015_09_17
b) information about opportunities for stakeholders to participate in the process,	Procedures	Yes	ND CFCS 01, 5.2.1
	Process	Yes	Annex_01_Development report_ CFCS_2016 Annex_03_Revision intent_2015 Annex_07_Press release Opening of CFCS revision process_2015_09_17
(c) an invitation to stakeholders to nominate their representative(s) to the working group/committee. The invitation to disadvantaged and key stakeholders shall be made in a manner that ensures that the information reaches intended recipients and in a format that is understandable,	Procedures	Yes	ND CFCS 01, 5.2.1
	Process	Yes	Annex_01_Development report_ CFCS_2016 Annex_03_Revision intent_2015 Annex_07_Press release Opening of CFCS revision process_2015_09_17
d) an invitation to comment on the scope and the standard-setting process, and	Procedures	Yes	ND CFCS 01, 5.2.1
	Process	Yes	Annex_07_Press release Opening of CFCS revision process_2015_09_17
	Procedures	Yes	ND CFCS 01, 5.2.1

Question	Assess. basis*	YES / NO*	Reference to application documents
e) reference to publicly available standard-setting procedures.	Process	Yes	Annex_07_Press release Opening of CFCS revision process_2015_09_17
5.4 The standardizing body shall review the standard-setting process based on comments received from the public announcement and establish a working group/committee or adjust the composition of an already existing working group/committee based on received nominations. The acceptance and refusal of nominations shall be justifiable in relation to the requirements for balanced representation of the working group/committee and resources available for the standard-setting.	Procedures	Yes	ND CFCS 01, 5.2.1, 5.2.2
	Process	Yes	Annex_01_Development report_CFCS_2016 Annexes_04a,04b,04c_about technical committee
5.5 The work of the working group/committee shall be organized in an open and transparent manner where:			
a) working drafts shall be available to all members of the working group/committee,	Procedures	Yes	ND CFCS 01, 5.2.3
	Process	Yes	Annex_01_Development report_CFCS_2016 Annex_05a_Minutes_TC_1_2015_11_24 Annex_06a_Minutes_TC_2_2016_01_26
b) all members of the working group shall be provided with meaningful opportunities to contribute to the development or revision of the standard and submit comments to the working drafts, and	Procedures	Yes	ND CFCS 01, 5.3.1
	Process	Yes	Annex_01_Development report_CFCS_2016 Annex_05a_Minutes_TC_1_2015_11_24 Annex_06a_Minutes_TC_2_2016_01_26
c) comments and views submitted by any member of the working group/committee shall be considered in an open and transparent way and their resolution and proposed changes shall be recorded.	Procedures	Yes	ND CFCS 01, 5.3.1
	Process	Yes	Annex_01_Development report_CFCS_2016 Annex_05a_Minutes_TC_1_2015_11_24 Annex_06a_Minutes_TC_2_2016_01_26
5.6 The standardising body shall organise a public consultation on the enquiry draft and shall ensure that:			
	Procedures	Yes	ND CFCS 01, 5.4.2

Question	Assess. basis*	YES / NO*	Reference to application documents
a) the start and the end of the public consultation is announced in a timely manner in suitable media,	Process	Yes	Annex_01_Development report_ CFCS_2016
b) the invitation of disadvantaged and key stakeholders shall be made by means that ensure that the information reaches its recipient and is understandable,	Procedures	Yes	ND CFCS 01, 5.4.2
	Process	Yes	Annex_01_Development report_ CFCS_2016 Annex_06a_Minutes_TC_2_2016_01_26 Annex_08_Press release Opening of public consultation_2016_02_01 http://www.pefc.cz/aktuality.html
c) the enquiry draft is publicly available and accessible,	Procedures	Yes	ND CFCS 01, 5.4.2
	Process	Yes	Annex_01_Development report_ CFCS_2016 Annex_08_Press release Opening of public consultation_2016_02_01 Publicly available on http://www.pefc.cz/revize-standardu-cfcs/aktualni-informace.html
d) the public consultation is for at least 60 days,	Procedures	Yes	ND CFCS 01, 5.4.2
	Process	Yes	Annex_01_Development report Annex_08_Press release Opening of public consultation_2016_01_02 Consultation period 2.2.-3.4.2016 (62 days)
e) all comments received are considered by the working group/committee in an objective manner,	Procedures	Yes	ND CFCS 01, 5.4.2
	Process	Yes	Did not apply, no comments

Question	Assess. basis*	YES / NO*	Reference to application documents
(f) a synopsis of received comments compiled from material issues, including the results of their consideration, is publicly available, for example on a website.	Procedures	Yes	ND CFCS 01, 5.4.2
	Process	Yes	Did not apply, no comments
5.7 The standardizing body shall organize pilot testing of the new standards and the results of the pilot testing shall be considered by the working group/committee.	Procedures	Yes	ND CFCS 01, 5.4.3
	Process	Yes	Did not apply
5.8 The decision of the working group to recommend the final draft for formal approval shall be taken on the basis of a consensus.	Procedures	Yes	ND CFCS 01, 5.3.2, 5.5.1
	Process	Yes	Annex_01_Development report Annex_06a_Minutes_TC_2_2016_01_26
5.8 In order to reach a consensus the working group/committee can utilize the following alternative processes to establish whether there is opposition:			
a) a face-to face meeting where there is a verbal yes/no vote, show of hands for a yes/no vote; a statement on consensus from the Chair where there are no dissenting voices or hands (votes); a formal balloting process, etc.,	Procedures	Yes	ND CFCS 01, 5.3.2
	Process	Yes	Annex_01_Development report Annex_06a_Minutes_TC_2_2016_01_26
b) a telephone conference meeting where there is a verbal yes/no vote,	Procedures	Yes	ND CFCS 01, 5.3.2
	Process	Yes	Did not apply
c) an e-mail meeting where a request for agreement or objection is provided to members with the members providing a written response (a proxy for a vote), or	Procedures	Yes	ND CFCS 01, 5.3.2
	Process	Yes	Did not apply
d) combinations thereof.	Procedures	Yes	ND CFCS 01, 5.3.2
	Process	Yes	Did not apply
5.9 In the case of a negative vote which represents sustained opposition to any important part of the concerned interests surrounding a substantive issue, the issue shall be resolved using the following mechanism(s):			
a) discussion and negotiation on the disputed issue within the working group/committee in order to find a compromise,	Procedures	Yes	ND CFCS 01, 5.3.2
	Process	Yes	Did not apply
b) direct negotiation between the stakeholder(s) submitting the objection and stakeholders with different views on the disputed issue in order to find a compromise,	Procedures	Yes	ND CFCS 01, 5.3.2
	Process	Yes	Did not apply

Question	Assess. basis*	YES / NO*	Reference to application documents
c) dispute resolution process.	Procedures	Yes	ND CFCS 01, 5.3.2 ND CFCS 03
	Process	Yes	Did not apply
5.10 Documentation on the implementation of the standard-setting process shall be made publicly available.	Procedures	Yes	ND CFCS 01, 5.2.1, 5.4, 5.5.1, 5.6
	Process	Yes	Development report publicly available on http://www.pefc.cz/images/stories/dokumenty-ke-stazeni/Revize_2015_2017/Annex_01_CZ_Development_report_CFCS_2016.pdf
5.11 The standardizing body shall formally approve the standards/normative documents based on evidence of consensus reached by the working group/committee.	Procedures	Yes	ND CFCS 01, 5.5.1
	Process	Yes	Annex_01_Development report Annex_06a_Minutes_TC_2_2016_01_26
5.12 The formally approved standards/normative documents shall be published in a timely manner and made publicly available.	Procedures	Yes	ND CFCS 01, 5.6
	Process	Yes	Revised technical documents publicly available on http://www.pefc.cz/revize-standardu-cfcs/aktualni-informace.html
Revisions of standards/normative documents			
6.1 The standards/normative documents shall be reviewed and revised at intervals that do not exceed a five-year period. The procedures for the revision of the standards/normative documents shall follow those set out in chapter 5.	Process	Yes	ND CFCS 01, 6
6.2 The revision shall define the application date and transition date of the revised standards/normative documents.	Process	Yes	ND CFCS 01, 6
6.3 The application date shall not exceed a period of one year from the publication of the standard. This is needed for the endorsement of the revised standards/normative documents, introducing the changes, information dissemination and training.	Process	Yes	ND CFCS 01, 6
6.4 The transition date shall not exceed a period of one year except in justified exceptional circumstances where the	Process	Yes	ND CFCS 01, 6

Question	Assess. basis*	YES / NO*	Reference to application documents
implementation of the revised standards/normative documents requires a longer period.			

3 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.

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
General		
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 organization,	Yes	TD CFCS 1001:2016, 2.1 TD CFCS 1002:2016, 4, 5.1
b) the group entity,	Yes	TD CFCS 1001:2016, 2.1 TD CFCS 1002:2016, 5.2
c) the participant,	Yes	TD CFCS 1001:2016, 2.1 TD CFCS 1002:2016, 5.5
d) the certified area,	Yes	TD CFCS 1001:2016, 2.1 TD CFCS 1002:2016, 5.1
e) the group forest certificate, and	Yes	TD CFCS 1001:2016, 2.1 TD CFCS 1002:2016, 5.4
f) the document confirming participation in group forest certification.	Yes	TD CFCS 1002:2016, 5.4
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 is addressed in any other forest management certification that covers the forest owner.	Yes	CFCS does not allow forest owners to be covered by additional certifications
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 centrally administered and is subject to central review and that all participants shall be subject to the internal monitoring programme.	Yes	TD CFCS 1002:2016, 5.2, 5.8, 7
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	Yes	TD CFCS 1002:2016, 5.8, 5.8.1-5.8.3

Question	YES / NO*	Reference to system documentation
whole group organization with the sustainable forest management standard.		
Functions and responsibilities of the group entity		
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 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;	Yes	TD CFCS 1002:2016, 5.2
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	TD CFCS 1002:2016, 5.2, 6.2.2
c) To establish written procedures for the management of the group organization;	Yes	TD CFCS 1002:2016, 5.2, 6.2.2
d) To keep records of: <ul style="list-style-type: none"> - the group entity and participants' conformity with the requirements of the sustainable forest management standard, and other applicable requirements of the forest certification scheme, - all participants, including their contact details, identification of their forest property and its/their size(s), - the certified area, - the implementation of an internal monitoring programme, its review and any preventive and/or corrective actions taken; 	Yes	TD CFCS 1002:2016, 6.5.1 TD CFCS 1002:2016, 5.11 TD CFCS 1002:2016, 5.11 TD CFCS 1002:2016, 6.5.1
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;	Yes	TD CFCS 1002:2016, 5.7
f) To provide participants with a document confirming participation in the group forest certification;	Yes	TD CFCS 1002:2016, 6.2.3
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	TD CFCS 1002:2016, 6.2.3, 6.4.1

Question	YES / NO*	Reference to system documentation
h) To operate an annual internal monitoring programme that provides for the evaluation of the participants' conformity with the certification requirements, and;	Yes	TD CFCS 1002:2016, 5.2, 5.7
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	TD CFCS 1002:2016, 7
Function and responsibilities of participants		
4.3.1 The forest certification scheme shall define the following requirements for the participants:		
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;	Yes	TD CFCS 1002:2016, 4.2.2, 5.5, 5.7, 6.3
b) To comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme;	Yes	TD CFCS 1002:2016, 5.7, 6.3
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;	Yes	TD CFCS 1002:2016, 5.7, 6.3
d) To implement relevant corrective and preventive actions established by the group entity.	Yes	TD CFCS 1002:2016, 5.7, 6.3

PART III: Standard and System Requirement Checklist for SUSTAINABLE FOREST MANAGEMENT (PEFC ST 1003:2010)

1 Scope

Part III covers requirements for sustainable forest management as defined in PEFC ST 1003:2010, *Sustainable Forest Management – 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 scheme documentation
General requirements for SFM standards		
4.1 The requirements for sustainable forest management defined by regional, national or sub-national forest management standards shall		
a) include management and performance requirements that are applicable at the forest management unit level, or at another level as appropriate, to ensure that the intent of all requirements is achieved at the forest management unit level.	Yes	TD CFCS 1001:2016, 8.1 TD CFCS 1002:2016, 4.2, 4.3, 5.5
b) be clear, objective-based and auditable.	Yes	TD CFCS 1003:2016
c) apply to activities of all operators in the defined forest area who have a measurable impact on achieving compliance with the requirements.	Yes	TD CFCS 1002:2016, 5.4, 5.5, 5.6, 5.7 TD CFCS 1001:2016, 8.1
d) require record-keeping that provides evidence of compliance with the requirements of the forest management standards.	Yes	TD CFCS 1002:2016, 6.3, 6.5
Specific requirements for SFM standards		
Criterion 1: Maintenance and appropriate enhancement of forest resources and their contribution to the global carbon cycle		
5.1.1 Forest management planning shall aim to maintain or increase forests and other wooded areas and enhance the quality of the economic, ecological, cultural and social values of forest resources, including soil and water. This shall be done by making full use of related services and tools that support land-use planning and nature conservation.	Yes	TD CFCS 1003:2016, 1.1, 1.2, 1.3, 1.5
5.1.2 Forest management shall comprise the cycle of inventory and planning, implementation, monitoring and evaluation, and shall include an appropriate assessment of the social, environmental and economic impacts of forest management operations. This shall form a basis for a cycle of continuous improvement to minimize or avoid negative impacts.	Yes	TD CFCS 1003:2016, 1.3, 1.4, 1.5

Question	YES / NO*	Reference to scheme documentation
5.1.3 Inventory and mapping of forest resources shall be established and maintained, adequate to local and national conditions and in correspondence with the topics described in this document.	Yes	TD CFCS 1003:2016, 1.3, 1.4
5.1.4 Management plans or their equivalents, appropriate to the size and use of the forest area, shall be elaborated and periodically updated. They shall be based on legislation as well as existing land-use plans, and adequately cover the forest resources.	Yes	TD CFCS 1003:2016, 1.3, 1.4, 1.5
5.1.5 Management plans or their equivalents shall include at least a description of the current condition of the forest management unit, long-term objectives; and the average annual allowable cut, including its justification and, where relevant, the annually allowable exploitation of non-timber forest products.	Yes	TD CFCS 1003:2016, 1.5, 3.3
5.1.6 A summary of the forest management plan or its equivalent appropriate to the scope and scale of forest management, which contains information about the forest management measures to be applied, is publicly available. The summary may exclude confidential business and personal information and other information made confidential by national legislation or for the protection of cultural sites or sensitive natural resource features.	Yes	TD CFCS 1003:2016, 1.4
5.1.7 Monitoring of forest resources and evaluation of their management shall be periodically performed, and results fed back into the planning process.	Yes	TD CFCS 1003:2016, 1.3, 1.4, 1.5
5.1.8 Responsibilities for sustainable forest management shall be clearly defined and assigned.	Yes	TD CFCS 1003:2016, 1.1
5.1.9 Forest management practices shall safeguard the quantity and quality of the forest resources in the medium and long term by balancing harvesting and growth rates, and by preferring techniques that minimize direct or indirect damage to forest, soil or water resources.	Yes	TD CFCS 1003:2016, 1.3, 1.5, 2.3, 2.4, 2.5, 3.1
5.1.10 Appropriate silvicultural measures shall be taken to maintain or reach a level of the growing stock that is economically, ecologically and socially desirable.	Yes	TD CFCS 1003:2016, 1.5, 2.5, 3.1
5.1.11 Conversion of forests to other types of land use, including conversion of primary forests to forest plantations, shall not occur unless in justified circumstances where the conversion: a) is in compliance with national and regional policy and legislation relevant for land use and forest management and is a result of national or regional land-use planning governed by a governmental or other official authority including consultation with materially and directly interested persons and organizations; and b) entails a small proportion of forest type; and c) does not have negative impacts on threatened (including vulnerable, rare or endangered) forest ecosystems,	Yes	TD CFCS 1003:2016, 1.1

Question	YES / NO*	Reference to scheme documentation
culturally and socially significant areas, important habitats of threatened species or other protected areas; and d) makes a contribution to long-term conservation, economic, and social benefits.		
5.1.12 Conversion of abandoned agricultural and treeless land into forest land shall be taken into consideration, whenever it can add economic, ecological, social and/or cultural value.	Yes	TD CFCS 1003:2016, 1.2
Criterion 2: Maintenance of forest ecosystem health and vitality		
5.2.1 Forest management planning shall aim to maintain and increase the health and vitality of forest ecosystems and to rehabilitate degraded forest ecosystems, whenever this is possible by silvicultural means.	Yes	TD CFCS 1003:2016, 1.5
5.2.2 Health and vitality of forests shall be periodically monitored, especially key biotic and abiotic factors that potentially affect health and vitality of forest ecosystems, such as pests, diseases, overgrazing and overstocking, fire, and damage caused by climatic factors, air pollutants or by forest management operations.	Yes	TD CFCS 1003:2016, 2.4
5.2.3 The monitoring and maintaining of health and vitality of forest ecosystems shall take into consideration the effects of naturally occurring fire, pests and other disturbances.	Yes	TD CFCS 1003:2016, 2.4
5.2.4 Forest management plans or their equivalents shall specify ways and means to minimize the risk of degradation of and damages to forest ecosystems. Forest management planning shall make use of those policy instruments set up to support these activities.	Yes	TD CFCS 1003:2016, 1.5, 2.4, 2.5
5.2.5 Forest management practices shall make best use of natural structures and processes and use preventive biological measures wherever and as far as economically feasible to maintain and enhance the health and vitality of forests. Adequate genetic, species and structural diversity shall be encouraged and/or maintained to enhance the stability, vitality and resistance capacity of the forests to adverse environmental factors and strengthen natural regulation mechanisms.	Yes	TD CFCS 1003:2016, 1.3, 2.1, 2.4, 2.5, 4.1, 4.2, 4.3, 4.4, 4.6, 4.7, 5.1
5.2.6 Lighting of fires shall be avoided and is only permitted if it is necessary for the achievement of the management goals of the forest management unit.	Yes	TD CFCS 1003:2016, 2.3
5.2.7 Appropriate forest management practices such as reforestation and afforestation with tree species and provenances that are suited to the site conditions or the use of tending, harvesting and transport techniques that minimize tree and/or soil damages shall be applied. The spillage of oil during forest management operations or the indiscriminate disposal of waste on forest land shall be strictly avoided. Non-organic waste and litter shall be avoided, collected, stored in designated areas and removed in an environmentally-responsible manner.	Yes	TD CFCS 1003:2016, 2.3, 4.1

Question	YES / NO*	Reference to scheme documentation
5.2.8 The use of pesticides shall be minimized and appropriate silvicultural alternatives and other biological measures preferred.	Yes	TD CFCS 1003:2016, 2.1
5.2.9 The WHO Type 1A and 1B pesticides and other highly toxic pesticides shall be prohibited, except where no other viable alternative is available.	Yes	TD CFCS 1003:2016, 2.1
5.2.10 Pesticides, such as chlorinated hydrocarbons whose derivatives remain biologically active and accumulate in the food chain beyond their intended use, and any pesticides banned by international agreement, shall be prohibited.	Yes	TD CFCS 1003:2016, 2.1
5.2.11 The use of pesticides shall follow the instructions given by the pesticide producer and be implemented with proper equipment and training.	Yes	TD CFCS 1003:2016, 2.1
5.2.12 Where fertilizers are used, they shall be applied in a controlled manner and with due consideration for the environment.	Yes	TD CFCS 1003:2016, 2.2
Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood)		
5.3.1 Forest management planning shall aim to maintain the capability of forests to produce a range of wood and non-wood forest products and services on a sustainable basis.	Yes	TD CFCS 1003:2016, 1.5, 3.1, 3.2, 3.3
5.3.2 Forest management planning shall aim to achieve sound economic performance taking into account any available market studies and possibilities for new markets and economic activities in connection with all relevant goods and services of forests.	Yes	TD CFCS 1003:2016, 1.5, 3.1, 3.2, 3.3, 6.3
5.3.3 Forest management plans or their equivalents shall take into account the different uses or functions of the managed forest area. Forest management planning shall make use of those policy instruments set up to support the production of commercial and non-commercial forest goods and services.	Yes	TD CFCS 1003:2016, 1.5, 3.1, 3.2, 3.3
5.3.4 Forest management practices shall maintain and improve the forest resources and encourage a diversified output of goods and services over the long term.	Yes	TD CFCS 1003:2016, 1.5, 3.1, 3.2, 3.3
5.3.5 Regeneration, tending and harvesting operations shall be carried out in time, and in a way that does not reduce the productive capacity of the site, for example by avoiding damage to retained stands and trees as well as to the forest soil, and by using appropriate systems.	Yes	TD CFCS 1003:2016, 2.3, 2.5
5.3.6 Harvesting levels of both wood and non-wood forest products shall not exceed a rate that can be sustained in the long term, and optimum use shall be made of the harvested forest products, with due regard to nutrient off-take.	Yes	TD CFCS 1003:2016, 3.1, 3.2
5.3.7 Where it is the responsibility of the forest owner/manager and included in forest management, the	Yes	TD CFCS 1003:2016, 3.3

Question	YES / NO*	Reference to scheme documentation
exploitation of non-timber forest products, including hunting and fishing, shall be regulated, monitored and controlled.		
5.3.8 Adequate infrastructure such as roads, skid tracks or bridges shall be planned, established and maintained to ensure efficient delivery of goods and services while minimizing negative impacts on the environment.	Yes	TD CFCS 1003:2016, 3.4
Criterion 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems		
5.4.1 Forest management planning shall aim to maintain, conserve and enhance biodiversity on ecosystem, species and genetic levels and, where appropriate, diversity at landscape level.	Yes	TD CFCS 1003:2016, 1.5, 4.1, 4.2, 4.3, 4.4, 4.5, 4.6, 4.7
<p>5.4.2 Forest management planning, inventory and mapping of forest resources shall identify, protect and/or conserve ecologically important forest areas containing significant concentrations of:</p> <p>a) protected, rare, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes;</p> <p>b) areas containing endemic species and habitats of threatened species, as defined in recognized reference lists;</p> <p>c) endangered or protected genetic <i>in situ</i> resources;</p> <p>and taking into account</p> <p>d) globally, regionally and nationally significant large landscape areas with natural distribution and abundance of naturally occurring species.</p>	Yes	TD CFCS 1003:2016, 1.5, 4.1, 4.3, 4.4, 4.6, 4.7
5.4.3 Protected and endangered plant and animal species shall not be exploited for commercial purposes. Where necessary, measures shall be taken for their protection and, where relevant, to increase their population.	Yes	TD CFCS 1003:2016, 4.6
5.4.4 Forest management shall ensure successful regeneration through natural regeneration or, where not appropriate, planting that is adequate to ensure the quantity and quality of the forest resources.	Yes	TD CFCS 1003:2016, 3.1, 4.1, 4.4
5.4.5 For reforestation and afforestation, origins of native species and local provenances that are well-adapted to site conditions shall be preferred, where appropriate. Only those introduced species, provenances or varieties shall be used whose impacts on the ecosystem and on the genetic integrity of native species and local provenances have been evaluated, and if negative impacts can be avoided or minimized.	Yes	TD CFCS 1003:2016, 3.1, 4.1, 4.2, 4.4
5.4.6 Afforestation and reforestation activities that contribute to the improvement and restoration of ecological connectivity shall be promoted.	Yes	TD CFCS 1003:2016, 1.2

Question	YES / NO*	Reference to scheme documentation
5.4.7 Genetically-modified trees shall not be used.	Yes	TD CFCS 1003:2016, 4.1
5.4.8 Forest management practices shall, where appropriate, promote a diversity of both horizontal and vertical structures such as uneven-aged stands and the diversity of species such as mixed stands. Where appropriate, the practices shall also aim to maintain and restore landscape diversity.	Yes	TD CFCS 1003:2016, 4.1, 4.5
5.4.9 Traditional management systems that have created valuable ecosystems, such as coppice, on appropriate sites shall be supported, when economically feasible.	No	Irrelevant – No traditional management systems are in Czech Republic
5.4.10 Tending and harvesting operations shall be conducted in a way that does not cause lasting damage to ecosystems. Wherever possible, practical measures shall be taken to improve or maintain biological diversity.	Yes	TD CFCS 1003:2016, 2.3, 2.5
5.4.11 Infrastructure shall be planned and constructed in a way that minimizes damage to ecosystems, especially to rare, sensitive or representative ecosystems and genetic reserves, and that takes threatened or other key species – in particular their migration patterns – into consideration.	Yes	TD CFCS 1003:2016, 1.5, 3.4
5.4.12 With due regard to management objectives, measures shall be taken to balance the pressure of animal populations and grazing on forest regeneration and growth as well as on biodiversity.	Yes	TD CFCS 1003:2016, 2.4
5.4.13 Standing and fallen dead wood, hollow trees, old groves and special rare tree species shall be left in quantities and distribution necessary to safeguard biological diversity, taking into account the potential effect on the health and stability of forests and on surrounding ecosystems.	Yes	TD CFCS 1003:2016, 4.3
Criterion 5: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)		
5.5.1 Forest management planning shall aim to maintain and enhance protective functions of forests for society, such as protection of infrastructure, protection from soil erosion, protection of water resources and from adverse impacts of water such as floods or avalanches.	Yes	TD CFCS 1003:2016, 1,5 5.1
5.5.2 Areas that fulfil specific and recognized protective functions for society shall be registered and mapped, and forest management plans or their equivalents shall take these areas into account.	Yes	TD CFCS 1003:2016, 1.5, 5.1
5.5.3 Special care shall be given to silvicultural operations on sensitive soils and erosion-prone areas as well as in areas where operations might lead to excessive erosion of soil into watercourses. Inappropriate techniques such as deep soil tillage and use of unsuitable machinery shall be avoided in such areas. Special measures shall be taken to minimize the pressure of animal populations.	Yes	TD CFCS 1003:2016, 2.4, 2,3, 5.1
5.5.4 Special care shall be given to forest management practices in forest areas with water protection functions to avoid adverse effects on the quality and quantity of water	Yes	TD CFCS 1003:2016, 5.1, 2.1

Question	YES / NO*	Reference to scheme documentation
resources. Inappropriate use of chemicals or other harmful substances or inappropriate silvicultural practices influencing water quality in a harmful way shall be avoided.		
5.5.5 Construction of roads, bridges and other infrastructure shall be carried out in a manner that minimizes bare soil exposure, avoids the introduction of soil into watercourses and preserves the natural level and function of water courses and river beds. Proper road drainage facilities shall be installed and maintained.	Yes	TD CFCS 1003:2016, 3.4
Criterion 6: Maintenance of other socio-economic functions and conditions		
5.6.1 Forest management planning shall aim to respect the multiple functions of forests to society, give due regard to the role of forestry in rural development, and especially consider new opportunities for employment in connection with the socio-economic functions of forests.	Yes	TD CFCS 1003:2016, 6.1, 6.2, 6.6
5.6.2 Forest management shall promote the long-term health and well-being of communities within or adjacent to the forest management area.	Yes	TD CFCS 1003:2016, 6.1, 6.2, 6.6
5.6.3 Property rights and land tenure arrangements shall be clearly defined, documented and established for the relevant forest area. Likewise, legal, customary and traditional rights related to the forest land shall be clarified, recognized and respected.	Yes	TD CFCS 1003:2016, 1.5
5.6.4 Forest management activities shall be conducted in recognition of the established framework of legal, customary and traditional rights such as outlined in ILO 169 and the UN Declaration on the Rights of Indigenous Peoples, which shall not be infringed upon without the free, prior and informed consent of the holders of the rights, including the provision of compensation where applicable. Where the extent of rights is not yet resolved or is in dispute there are processes for just and fair resolution. In such cases forest managers shall, in the interim, provide meaningful opportunities for parties to be engaged in forest management decisions whilst respecting the processes and roles and responsibilities laid out in the policies and laws where the certification takes place.	No	Irrelevant – No indigenous people are in Czech Republic
5.6.5 Adequate public access to forests for the purpose of recreation shall be provided taking into account respect for ownership rights and the rights of others, the effects on forest resources and ecosystems, as well as compatibility with other functions of the forest.	Yes	TD CFCS 1003:2016, 6.6
5.6.6 Sites with recognized specific historical, cultural or spiritual significance and areas fundamental to meeting the basic needs of local communities (e.g. health, subsistence) shall be protected or managed in a way that takes due regard of the significance of the site.	Yes	TD CFCS 1003:2016, 6.7
5.6.7 Forest management operations shall take into account all socio-economic functions, especially the recreational function and aesthetic values of forests by maintaining for example varied forest structures, and by encouraging	Yes	TD CFCS 1003:2016, 1.5, 4.1, 4.5, 6.2, 6.6, 6.7

Question	YES / NO*	Reference to scheme documentation
attractive trees, groves and other features such as colours, flowers and fruits. This shall be done, however, in a way and to an extent that does not lead to serious negative effects on forest resources, and forest land.		
5.6.8 Forest managers, contractors, employees and forest owners shall be provided with sufficient information and encouraged to keep up-to-date through continuous training in relation to sustainable forest management as a precondition for all management planning and practices described in this standard.	Yes	TD CFCS 1003:2016, 6.3
5.6.9 Forest management practices shall make the best use of local forest-related experience and knowledge, such as those of local communities, forest owners, NGOs and local people.	Yes	TD CFCS 1003:2016, 1.5, 6.1, 6.3
5.6.10 Forest management shall provide for effective communication and consultation with local people and other stakeholders relating to sustainable forest management and shall provide appropriate mechanisms for resolving complaints and disputes relating to forest management between forest operators and local people.	Yes	TD CFCS 1003:2016, 6.1
5.6.11 Forestry work shall be planned, organized and performed in a manner that enables health and accident risks to be identified and all reasonable measures to be applied to protect workers from work-related risks. Workers shall be informed about the risks involved with their work and about preventive measures.	Yes	TD CFCS 1003:2016, 6.4
5.6.12 Working conditions shall be safe, and guidance and training in safe working practices shall be provided to all those assigned to a task in forest operations.	Yes	TD CFCS 1003:2016, 6.4
5.6.13 Forest management shall comply with fundamental ILO conventions.	Yes	TD CFCS 1003:2016, 6.4 TD CFCS 1001:2016, 5.3
5.6.14 Forest management shall be based inter-alia on the results of scientific research. Forest management shall contribute to research activities and data collection needed for sustainable forest management or support relevant research activities carried out by other organizations, as appropriate.	Yes	TD CFCS 1003:2016, 6.3
Criterion 7: Compliance with legal requirements		
5.7.1 Forest management shall comply with legislation applicable to forest management issues including forest management practices; nature and environmental protection; protected and endangered species; property, tenure and land-use rights for indigenous people; health, labour and safety issues; and the payment of royalties and taxes.	Yes	TD CFCS 1003:2016
5.7.2 Forest management shall provide for adequate protection of the forest from unauthorized activities such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities.	Yes	TD CFCS 1003:2016, 1.1

- * 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.

PART IV: Standard and System Requirement Checklist for certification and accreditation procedures (Annex 6)

1 Scope

This document covers requirements for certification and accreditation procedures given in Annex 6 to the PEFC Council Technical Document (*Certification and accreditation procedures*).

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

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
Certification Bodies				
1.	Does the scheme documentation require that certification shall be carried out by impartial, independent third parties that cannot be involved in the standard setting process as governing or decision making body, or in the forest management and are independent of the certified entity?	Annex 6, 3.1	Yes	TD CFCS 1001:2016, 6, 11.1
2.	Does the scheme documentation require that certification body for forest management certification shall fulfil requirements defined in ISO 17021 or ISO Guide 65?	Annex 6, 3.1	Yes	TD CFCS 1001:2016, 12 TD CFCS 1004:2016, 7, Annex 1
3.	Does the scheme documentation require that certification bodies carrying out forest certification shall have the technical competence in forest management on its economic, social and environmental impacts, and on the forest certification criteria?	Annex 6, 3.1	Yes	TD CFCS 1001:2016, 12 TD CFCS 1004:2013, 7, Annex 1
4.	Does the scheme documentation require that certification bodies shall have a good understanding of the national PEFC system against which they carry out forest management certification?	Annex 6, 3.1	Yes	TD CFCS 1001:2016, 11.1 TD CFCS 1004:2016, 7
5.	Does the scheme documentation require that certification bodies have the responsibility to use competent auditors and who have adequate technical know-how on the certification process and issues related to forest management certification?	Annex 6, 3.2	Yes	TD CFCS 1001:2016, 11.1 TD CFCS 1004:2016, 7
6.	Does the scheme documentation require that the auditors must fulfil the general criteria of ISO 19011 for Quality Management Systems	Annex 6, 3.2	Yes	TD CFCS 1004:2016, 7

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	auditors or for Environmental Management Systems auditors?			
7.	Does the scheme documentation include additional qualification requirements for auditors carrying out forest management audits? [1]	Annex 6, 3.2	Yes	TD CFCS 1004:2016, 5, 6, 7, 9
Certification procedures				
8.	Does the scheme documentation require that certification bodies shall have established internal procedures for forest management certification?	Annex 6, 4	Yes	TD CFCS 1004:2016, 5, 7
9.	Does the scheme documentation require that applied certification procedures for forest management certification shall fulfil or be compatible with the requirements defined in ISO 17021 or ISO Guide 65?	Annex 6, 4	Yes	TD CFCS 1004:2016, 7
10.	Does the scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011?	Annex 6, 4	Yes	TD CFCS 1004:2016, 7
11.	Does the scheme documentation require that certification body shall inform the relevant PEFC National Governing Body about all issued forest management certificates and changes concerning the validity and scope of these certificates?	Annex 6, 4	Yes	TD CFCS 1004:2016, 5
12.	Does the scheme documentation require that certification body shall carry out controls of PEFC logo usage if the certified entity is a PEFC logo user?	Annex 6, 4	Yes	TD CFCS 1004:2016,
13.	Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?	Annex 6, 4	Yes	TD CFCS 1004:2016, 9
14.	Does a maximum period for assessment audit not exceed five years for forest management certifications?	Annex 6, 4	Yes	TD CFCS 1004:2016, 9
15.	Does the scheme documentation include requirements for public availability of certification report summaries?	Annex 6, 4	Yes	TD CFCS 1004:2016, 8
16.	Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?	Annex 6, 4	Yes	TD CFCS 1004:2016, 9
17.	Does the scheme documentation include additional requirements for certification procedures? [1]	Annex 6, 4	Yes	TD CFCS 1004:2016, 5, 6, 7, 9
Accreditation procedures				

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
18.	Does the scheme documentation require that certification bodies carrying out forest management certification shall be accredited by a national accreditation body?	Annex 6, 5	Yes	TD CFCS 1004:2016, Annex 1
19.	Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?	Annex 6, 5	Yes	TD CFCS 1004:2016, 8
20.	Does the scheme documentation require that the accreditation shall be issued by an accreditation body which is a part of the International Accreditation Forum (IAF) umbrella or a member of IAF's special recognition regional groups and which implement procedures described in ISO 17011 and other documents recognized by the above mentioned organizations?	Annex 6, 5	Yes	TD CFCS 1001:2016, 12 TD CFCS 1004:2016, Annex 1
21.	Does the scheme documentation require that certification body undertake forest management certification as "accredited certification" based on ISO 17021 or ISO Guide 65 and the relevant forest management standard(s) shall be covered by the accreditation scope?	Annex 6, 5	Yes	TD CFCS 1001:2016, 12 TD CFCS 1004:2016, Annex 1
22.	Does the scheme documentation include a mechanism for PEFC notification of certification bodies?	Annex 6, 6	Yes	ND CFCS 02 TD CFCS 1001:2016, 12 TD CFCS 1004:2016, Annex 2
23.	Are the procedures for PEFC notification of certification bodies non-discriminatory?	Annex 6, 6	Yes	ND CFCS 02 TD CFCS 1001:2016, 12 TD CFCS 1004:2016, Annex 2

* 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.

[*1] This is not an obligatory requirement

Part V: Standard and System Requirement Checklist for system specific Chain of custody standards – COMPLIANCE WITH PEFC ST PEFC 2002:2013

1 Scope

Part V is used for the assessment of scheme specific chain of custody standards against PEFC ST 2002:2013 (*Chain of Custody of Forest Based Products - 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

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
Terms and Definitions				
1.	Are the terms and definitions of the scheme specific CoC standard in compliance with chapter 3?	3		
Identification of material/products				
2.	Does the scheme specific CoC standard require identification of the material/products in compliance with chapter 4?	4		
PEFC Due Diligence System (DDS) for avoidance of raw material from controversial sources				
3.	Are the general requirements of the DDS of the scheme specific CoC standard in compliance with 5.1?	5.1		
4.	Does the DDS of the scheme specific CoC standard require gathering of information in compliance with 5.2?	5.2		
5.	Does the DDS of the scheme specific CoC standard include requirements for a risk assessment in compliance with 5.3?	5.3		
6	Does the DDS of the scheme specific CoC standard require the consideration of substantiated concerns in compliance with 5.4?	5.4		
7.	Does the DDS of the scheme specific CoC standard include requirements for management of high-risk supplies in compliance with 5.5?	5.5		
8	Does the DDS of the scheme specific CoC standard include requirements concerning the placement of material on the market which are in compliance with 5.6?	5.6		
Chain of custody methods				
9.	Does the scheme specific CoC standard allow physical separation and percentage based method as chain of custody methods?	6.1		

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
10.	Are the general requirements for the physical separation method in compliance with 6.2.1?	6.2.1		
11.	Are the requirements for the separation of certified material/products in compliance with 6.2.2?	6.2.2		
12.	Are the requirements for the application of the percentage based method in compliance with 6.3.1?	6.3.1		
13.	Does the scheme specific CoC standard include requirements for the definition of the product group in compliance with 6.3.2?	6.3.2		
14.	Does the scheme specific CoC standard include requirements for the calculation of the certification percentage in compliance with 6.3.3?	6.3.3		
15.	Does the scheme specific CoC standard include requirements for the transfer of the calculated percentage to the outputs, which are in compliance with 6.3.4?	6.3.4		
Sale of and communication on claimed products				
16.	Does the scheme specific CoC standard include requirements for the documentation associated with sold/transferred products in compliance with 7.1?	7.1		
17.	Does the scheme specific CoC standard include requirements for the use of logos and labels in compliance with 7.2?	7.2		
Management system				
18.	Does the scheme specific CoC standard require management responsibilities for the organization's management in compliance with 8.1?	8.1		
19.	Does the scheme specific CoC standard include requirements for responsibilities and authorities for C-o-C in compliance with 8.2?	8.2		
20.	Does the scheme specific CoC standard include requirements for documented procedures in compliance with 8.3?	8.3		
21.	Does the scheme specific CoC standard include requirements for record keeping in compliance with 8.4?	8.4		
22.	Does the scheme specific CoC standard include requirements for resource management in compliance with 8.5?	8.5		
23.	Does the scheme specific CoC standard include requirements for inspection and control in compliance with 8.6?	8.6		

No.	Question	Reference to PEFC 2002:2013	YES / NO*	Reference to application documents
24.	Does the scheme specific CoC standard include requirements for complaint resolution procedures in compliance with 8.7?	8.7		
25.	Does the scheme specific CoC standard include requirements for subcontracting in compliance with 8.8?	8.8		
Social, health and safety requirements				
26.	Does the scheme specific CoC standard include social, health and safety requirements in compliance with chapter 9?	9		
Specification of PEFC claims				
27.	Does the scheme specific CoC standard include a definition of certified raw material, neutral and other raw material (for the purposes of PEFC claims / labelling) in compliance with Appendix 1?	Appendix 1		
28.	Does the national standard specify formal PEFC claims in compliance with 1.2 and 2.2?	Appendix 1, 1.2, 2.2		
Implementation of chain of custody by multisite organisations (only for standards which include rules for multisite or group certification)				
29.	Does the scheme specific CoC standard define "multisite organization" in compliance with Appendix 2, 2?	Appendix 3, 2		
30.	Does the scheme specific CoC standard include requirements for multisite organizations in compliance with Appendix 3, 3.1?	Appendix 3, 3.1		
31.	Does the scheme specific CoC standard include requirements for the function and responsibilities of the central office in compliance with chapter Appendix 3, 3.2.1?	Appendix 3, 3.2.1		
32.	Does the scheme specific CoC standard include requirements for function and responsibilities of sites connected to a multisite organization in compliance with Appendix 3, 3.2.2?	Appendix 3, 3.2.2		

* 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.

Part VI: Standard and System Requirement Checklist for scheme administration requirements

1 Scope

Part VI is used for the assessment of requirements for the administration of PEFC schemes outlined in PEFC 1004:2009, *Administration of PEFC scheme*.

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

The compliance with these requirements is only evaluated in the first PEFC assessment of a scheme or on specific request by the PEFC Secretariat.

2 Checklist

No.	Question	Reference to PEFC GD 1004:2009	YES / NO*	Reference to application documents
PEFC Notification of certification bodies				
1.	Are procedures for the notification of certification bodies in place, which comply with chapter 5 of PEFC GD 1004:2009, <i>Administration of PEFC scheme</i> ?	Chapter 5	Yes	ND CFCS 02
PEFC Logo usage licensing				
2.	Are procedures for the issuance of PEFC Logo usage licenses in place, which comply with chapter 6 of PEFC GD 1004:2009, <i>Administration of PEFC scheme</i> ?	Chapter 6	Yes	ND CFCS 04
Complaints and dispute procedures				
3.	Are complaint and dispute procedures in place, which comply with chapter 8 of PEFC GD 1004:2009, <i>Administration of PEFC scheme</i> ?	Chapter 8	Yes	ND CFCS 03