

TJConsulting, Luxembourg

Assessment of the Swiss forest certification scheme against the requirements of the PEFC Council

Final report

20 May 2014

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Annex 1: TJConsulting stakeholders' questionnaire

Annex 2: PEFC Standard and System Requirement Checklist

Annex 3: Panel of Experts' review

1 Background

PEFC Switzerland has submitted its revised scheme (see chapter 6) for the endorsement by the PEFC Council. Following the PEFC Council's procedures identified in PEFC GD 1007:2012, the PEFC Council selected TJConsulting to carry out an independent and impartial assessment of the scheme documentation against the PEFC Council requirements.

2 Objective

The objective of this assessment is to:

- a) Identify conformities and non-conformities of the PEFC Swiss scheme with the PEFC Council requirements;
- b) Provide the PEFC Council Board of Directors with recommendation on the re-endorsement of the PEFC Swiss scheme.

3 Impartiality claim

Neither TJConsulting nor Jaroslav Tymrak has vested interest in the development or the management of the scheme; was not involved by consulting or any other means in the revision of the scheme and has not provided any other consultancy services to the applicant.

TJConsulting was committed to undertake its assessment of the scheme based solely on submitted information and factual evidence in a professional and impartial manner.

4 Recommendation

TJConsulting recommends the PEFC Council's Board of Directors that it **recommends to the PEFC Council General Assembly a re-endorsement of the PEFC Swiss scheme** as it satisfactorily resolved non-conformities identified in the assessment report from 3 October 2013, except the minor non-conformities (1-4) relating to the standard setting process¹.

¹ The Board of Directors should acknowledge that the minor non-conformities identified for the standard setting process (1-4) cannot be fully and properly corrected without repeating the whole standard setting process itself. Taking into account the scale of the minor non-conformities, this corrective action would be rather strict, lengthy and costly.

5 Executive Summary

Standard setting

The final report delivered to the PEFC Council on 3 October 2013 concluded that the PEFC Switzerland's standard setting procedures (VL 004, 15 October 2013) comply with the PEFC Council requirements except two minor non-conformities.

The assessment of amended standard setting procedures (VL 004, 14 April 2014) resulted in satisfactory correction of those non-conformities. VL 004 (14 April 2014) **complies** with the PEFC Council requirements (PEFC ST 1001).

The standard setting (revision) process carried out during April - December 2012 complied with the PEFC Council requirements except the following **four minor non-conformities**

1. The announcement on the start of the revision process did not include an invitation to stakeholders to nominate their representatives to the working group (a consensus-building body); the invitation was only made at the roundtable meeting with a limited participation of stakeholders;
2. The working group composition, as the main consensus building body, was rather limited (3 persons), did not have sufficient balanced representation and did not sufficiently represent the interest of materially affected stakeholders;
3. No relevant information and evidence was submitted about the work of the working group. The PEFC Switzerland's claim that the working group worked electronically is highly probable but could not be verified from other sources concerning its openness and transparency;
4. There is no evidence that documentation on the implementation of the standard setting process would be publicly available;

Details about the assessment and the scheme compliance can be found in chapter 8.1 of this report.

Group forest management certification

The PEFC Swiss scheme allows certification at two levels, individual and group certification. The Swiss requirements for group certification defined in ND 001 sufficiently **comply** with the PEFC Council requirements.

Details about the assessment and the scheme compliance can be found in chapter 8.2 of this report.

Sustainable forest management standard

PEFC Switzerland submitted a well-designed and comprehensive forest management standard (ND 003, modified on 14 April 2014) that is sufficiently detailed to allow independent and unambiguous assessment of forest management practices at the forest management unit level. ND 003 **complies** with the PEFC Council requirements.

Details about the assessment and the scheme compliance can be found in chapter 8.3 of this report.

Chain of custody requirements

PEFC Switzerland adopted the requirements of the PEFC Council's international chain of custody standard (PEFC ST 2002:2013) as ND 004. By adopting the PEFC International chain of custody standard (PEFC ST 2002:2013), the PEFC Switzerland **complies** with the PEFC Council requirements for chain of custody.

Details about the assessment and the scheme compliance can be found in chapter 8.4 of this report.

Requirements for chain of custody certification bodies

PEFC Switzerland adopted the PEFC Council's international requirements for certification bodies operating chain of custody certification (PEFC ST 2003:2012) as a part of its scheme with the scheme specific identification VL 002-2. By adopting the PEFC International chain of custody standard (PEFC ST 2002:2013), the PEFC Switzerland **complies** with the PEFC Council requirements for chain of custody.

Details about the assessment and the scheme compliance can be found in chapter 8.5.1 of this report.

Requirements for forest management certification bodies

The requirements for certification bodies, certification procedures and their accreditation that are covered by VL 002-1 (Requirements for certification bodies – forest management) and VL 001 (Principles of the certification system) **comply** with the PEFC Council requirements.

Details about the assessment and the scheme compliance can be found in chapter 8.5.2 of this report.

Requirements for dispute settlement in the administration of PEFC scheme

PEFC Switzerland defines its dispute settlement procedures in VL 003 that **complies** with the PEFC Council requirements (PEFC GD 1004, ch.8).

Details about the assessment and the scheme compliance can be found in chapter 8.6 of this report.

Requirements for PEFC Logo licensing

PEFC Switzerland defines its requirements for PEFC Logo licensing in chapter 3 of VL 005 (Notification of Certification Bodies and Issuance of Logo Usage Licenses) that **complies** with the PEFC Council requirements in PEFC GD 1004.

Details about the assessment and the scheme compliance can be found in chapter 8.7 of this report.

Requirements for PEFC notification

PEFC Switzerland defines the requirements and procedures for notification of certification bodies in chapter 2 of in VL 005 (Notification of Certification Bodies and Issuance of Logo Usage Licenses) that **complies** with the PEFC Council requirements (PEFC GD 1002, ch. 5).

Details about the assessment and the scheme compliance can be found in chapter 8.8 of this report.

6 Referenced documentation

The following documentation has been used for the assessment and referenced in this report:

PEFC Council requirements:

PEFC ST 1001:2010: Standard setting-Requirements

PEFC ST 1002:2010: Group forest management certification – Requirements

PEFC ST 1003:2010: Sustainable forest management – Requirements

PEFC ST 2002:2010: Chain of custody of forest based products - Requirements

PEFC ST 2003:2012: Requirements for certification bodies operating chain of custody certification against the PEFC Council international chain of custody standard

Annex 6 of the PEFC Technical Document: Certification and Accreditation Procedures

PEFC GD 1004:2009: Administration of PEFC scheme

PEFC GD 1007:2012 Endorsement and Mutual Recognition of National Systems and their Revision

PEFC IGD 1007-03:2012 The Assessment Report

Tender dossier Call for proposals for the assessment of the “Swiss Forest Certification Scheme” against PEFC Council Requirements (29 April 2013)

Clarification: Assessment report (31 October 2012)

PEFC Switzerland’s documentation

TJConsulting had access to the documentation submitted by PEFC Switzerland that was included in the tender dossier of 29 April 2013. PEFC Switzerland then re-submitted the documentation on 8 July 2013. Following a request from TJConsulting, PEFC Switzerland submitted additional documentation on 26 July 2013. As a response to the draft interim report, PEFC Switzerland submitted revised scheme documentation and additional evidence on 19 September 2013.

After the delivery of the final report (3 October 2013), the PEFC Council requested TJConsulting to assess amended documentation that was submitted by PEFC Switzerland to resolve the non-conformities identified in the final report (3 October 2013). The amended documentation was submitted to TJConsulting on 30 April 2014 and then on 20 April 2014.

TJConsulting has used the latest submitted documentation for the assessment of the Swiss scheme. The date of the submission is identified in brackets for each document.

Normative requirements:

ND 001 Requirements for Group Certification 15-09-2013 (19/09/2013)

ND 002 Requirements for Certification of Individual Enterprises (8/07/2013)

ND 003 Standards for Forest Management, 14-04-2014 (20/05/2014)

ND 004 Produktkettennachweis von Holzprodukten - Anforderungen – German translation of PEFC ST 2002:2013 (19/09/2013)

Mandatory Guidelines

VL 001	Principles of the Certification System (8 July 2013)
VL 002-1	Requirements for certification bodies – forest management, 15/09/2013 (19/09/2013)
VL 002-2	Anforderungen an Zertifizierungsstellen – Produktkettennachweis von Holzprodukten (Chain-of-Custody), – German translation of PEFC ST 2003:2012 (19/09/2013)
VL 003	Procedures for Dispute Settlement, 14/04/2014 (20/05/2014)
VL 004	Procedure for Standard Revision, 14/04/2014 (20/05/2014)
VL 005	Procedures for the Notification of Certification Bodies and Issuance of Logo Usage Licenses, 14/04/2014 (20/05/2014)

Information documents

Development Report (29 April 2013)

PEFC Minimum requirements checklist (29 April 2013)

Other information documents and evidence

- [1] Timetable – re-endorsement PEFC (8/07/2013)
- [2] List of stakeholders (8/07/2013)
- [3] Announcement – e-mail to stakeholder: revision, roundtable invitation, de², 04-04-2012 (19/09/2013)
- [4] Announcement – e-mail to certification commission: revision, roundtable invitation, de, 04-04-2012 (26/07/2013)
- [5] Announcement – e-mail to media – publication in media: revision, roundtable invitation, de-en, 04-04-2012/12-04-2012 (19/09/2013)
- [6] Announcement – specimen letter: revision, roundtable invitation, de-fr, English translation 03-04-2012 (8/07/2013)
- [7] Announcement – press release: revision start, de-fr with English translation (8/07/2013, 26-07-2013)
- [8] Announcement – revision start reaction, Mr Speich (8/07/2013)
- [9] List of members working group/certification commission/steering committee (8/07/2013)
- [10] Presentation 1st roundtable 26-04-2012 (8/07/2013)
- [11] Minutes 1st roundtable 26-04-2012, de, parts translated en (26/07/2013)
- [12] Invitation 2nd roundtable – email 4-06-2012 (8/07/2013)
- [13] Invitation 2nd roundtable – email 4-06-2012 (8/07/2013)
- [14] Briefing paper 2nd roundtable – letter 4-06-2012 (8/07/2013)
- [15] Invitation 2nd roundtable – reaction Jumbo markt, 5-06-2012 (8/07/2013)

² “de” indicates German version, “fr” indicates French version

- [16] Invitation 2nd roundtable – reaction Suva, 7-06-2012 (8/07/2013)
- [17] Invitation 2nd roundtable – reaction wvs,7-06-2012 (8/07/2013)
- [18] 2nd roundtable presentation 11-06-2012 (8/07/2013)
- [19] Minutes 2nd roundtable presentation 11-06-2012 (8/07/2013)
- [20] Minutes Certification Commission/Steering Committee 26/04/2012 (19/09/2013)
- [21] Invitation Certification Commission meeting 8-08-2012 (8/07/2013)
- [22] Minutes Certification Commission/Steering Committee meeting, (de) with partial translation 8-08-2012 (26/07/2013)
- [23] Public consultation – text
- [24] Public consultation – e-mail to media 6-10-2012 (26/07/2013)
- [25] Public consultation – e-mail to stakeholders 6-10-2012 (26/07/2013)
- [26] Public consultation – specimen letter stakeholders, fr 4-10-2012 (8/07/2013)
- [27] Public consultation – reaction Clivaz 29-11-2012 (8/07/2013)
- [28] Public consultation – reaction Rosset 3-12-2012 (8/07/2013)
- [29] Public consultation – reaction Wuarchoz 30-11-2012 (8/07/2013)
- [30] Public consultation – announcement www.pefc.ch (19/09/2013)
- [31] Public consultation – media publication (19/09/2013)
- [32] Invitation certification commission/Steering Committee meeting 14-12-2012 (8/07/2013)
- [33] Minutes certification commission/Steering Committee meeting, de with en translation 17-12-2012 (28/07/2013)
- [34] Public consultation report 21-03-2013 (8/07/2013)
- [35] E-mail distribution - public consultation report 26-07-2013 (26/07/2013)
- [36] Forest law (ordinance on forest) 19 November 1992 (19/09/2013)
- [37] Website screenshot BAFU (19/09/2013)
- [38] Website screenshot WSL – forest protection service (19/09/2013)
- [39] Chemical Risk Reduction Ordinance 2005 (19/09/2013)
- [40] Swiss Civil Code 1905 (19/09/2013)

7 Methodology and timetable

7.1 Scope of the assessment

The assessment was carried out based on PEFC GD 1007:2012, the tender dossier 29 April 2013 and the TJConsulting's tender proposal for the assessment of the Swiss scheme.

The assessment was carried out as a desk exercise based on the documentation that was by PEFC Switzerland as a part of its application for the PEFC re-endorsement and during the assessment process (see chapter 6).

In addition to the assessment carried out based on PEFC GD 1007:2012, the PEFC Council requested TJConsulting to assess amended Swiss documentation submitted by PEFC Switzerland as evidence that the non-conformities identified in the Final report (3 October 2014) have been resolved.

7.2 Assessment process

The following table describes the assessment process that is based on and fully conformant with PEFC IGD 1007-03:2012 and the tender dossier of 29 April 2013.

Stage	Description	Output	Time period
Start of the assessment	PEFC Council announced the start of the assessment process on 18 July 2013. TJConsulting, the PEFC Council and the applicant agreed on the specific dates/deadlines of the assessment.	The start announcement	18 Jul 2013
Stage 1 assessment	The stage 1 assessment was based on the documentation referred to in the tender dossier and other documentation submitted before the start of the assessment. In addition TJConsulting asked for and received from PEFC Switzerland additional documentation and evidence (See chapter 6). Stage 1 assessment also included distribution of the stakeholders questionnaire and its analysis (see chapter 8.1.2).	Interim report	18 Jul – 13 Aug 2013
Comment period	The PEFC Council and PEFC Switzerland was provided with the interim report with possibilities to submit comments, responses, clarifications or changes to the scheme documentation. Following the request of PEFC Switzerland, the PEFC Council and TJConsulting agreed to extend the consultation period by two weeks until 19 September 2013. PEFC Switzerland submitted responses to the interim report, additional evidence and revised scheme's documentation (see chapter 6).	The applicant's response to the interim report	13 Aug – 19 Sep 2013

Stage 2 assessment	<p>Stage 2 considered and incorporated in the final draft report responses, additional evidence and revised scheme documentation submitted by PEFC Switzerland.</p> <p>Final draft report was delivered to the PEFC Council on 3 October 2013</p>	Final draft report	19 Sep – 3 Oct 2013
Public consultation³	TJConsulting organised public consultation announced at its website. PEFC Council informed TJConsulting that during the public consultation it had received no comments to the Swiss scheme.	Final draft report	3 Jun – 2 Aug 2013
Panel of Experts (PoE) review	<p>The PEFC Council appointed Mr Mark Edwards, Mr Stefan Czamutzian and Prof Hans Kopf to review the draft final report.</p> <p>TJ Consulting received the PoE comments on 15 October 2013</p>	Comments from the Panel of Experts	3 Oct – 15 Oct 2013
Consideration of the Panel's comments	<p>TJ Consulting responded to the PoE's comments and amended the report accordingly. The PoE's comments and responses are enclosed as an Appendix to the report.</p> <p>The final report was submitted to the PEFC Council on 22 October 2013.</p>	Final report (including an appendix on the PoE's review)	15 Oct – 22 Oct 2013
Assessment of amended documentation	TJConsulting made assessment of amended documentation submitted PEFC Switzerland to resolve non-conformities identified in the Final report (3 October 2013).	Final report (20 May 2014)	18 – 20 May 2014

³ Following chapter 7.2.2.3 of PEFC GD 1007:2012, public consultation which takes at least 60 days is formally announced by the PEFC Council. It should be noted that the public consultation took one month instead of 60 days as required by PEFC GD 1007:2012 (<http://pefc.org/news-a-media/general-sfm-news/1196-public-consultation-on-spanish-swiss-pefc-national-systems-commences>).

7.3 Classification of non-conformities

The assessment provides for three types of decision relating to the scheme conformity with the PEFC Council's requirements as indicated in chapter 7.2.2.4.1.2 of PEFC GD 1007:

Major non-conformity: A major non-conformity violates the integrity of the certification system and has to be corrected before the endorsement of the system.

Minor non-conformity: A minor non-conformity does not violate the integrity of the certification system, and is not a bar to endorsement. The assessor recommends appropriate corrective action. Generally, a minor non-conformity should be corrected within 6 months. The assessor may recommend a longer period where justified by particular circumstances.

Conformity: A procedure described by the scheme documentation fully meets the particular requirement of the PEFC Council.

8 Assessment

8.1 Assessment of the structure of scheme

The PEFC Council does not have any requirements relating to the structure of forest certification schemes. Therefore, the comments below are made to illustrate the overall context and some implementation issues relating to the structure and clarity of the scheme's documentation. They are not reported as non-conformities and should be understood as observations and areas for the scheme's future improvement.

The scheme documentation is structured into normative documents, mandatory guidelines and other documents.

Normative Documents

ND	001	Requirements for group certification
ND	002	Requirements for the certification of individual enterprises
ND	003	Standards for forest management
ND	004	Chain of Custody requirements
ND	005	Logo rules

Mandatory Guidelines

VL	001	Principles of the certification scheme PEFC Switzerland
VL	002-1	Requirements for certification bodies - COC
VL	002-2	Requirements for certification bodies - FM
VL	004	Standard revision procedures
VL	005	Notification of Certification Bodies and Issuance of Logo Usage Licenses

Other documents

SD	001	Terms and definitions
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Observations

- The scheme revised its documentation during the assessment process in August – September 2013. During this phase the document ND 001 was changed to ND 002 and vice versa. However, these changes have not however been reflected in a section for referenced documentation of other scheme documents.
- The difference between “Normative Documents” and “Mandatory Guidelines” is not clear. Both types of documents are mandatory and both of them include requirements for bodies involved in certification (certified clients; certification bodies, standard setting body).
- It is not clear why requirements for certification process are defined in VL 001 and why they are not included in VL 002-1 as they shall be implemented by and apply to the certification body. It is evident that the requirements in VL 001 are more than “Principles”.
- PEFC Switzerland adopted a number of documents developed by the PEFC Council (PEFC ST 2002:2013, PEFC ST 2001: 2008 and PEFC ST 2003:2012). Although the PEFC Council has no requirement on how those documents should be adopted by national schemes and under what identification, it is rather impractical and confusing to use the scheme specific identification such as ND 004, ND 005 or VL 1002-2. This can confuse users of the documents as they cannot be linked directly with the

international document⁴. The confusion is even more remarkable as those standards do not even have use the same title.

⁴ An example of logical and user-friendly identification of documents is provided by an adoption of ISO standards by regional and national standardisation bodies. ISO 19011 standard developed by ISO was adopted by CEN as EN ISO 19011 and by AFNOR (French standardisation body) as NF EN ISO 19011. It is evident for all the users of the standard that they are using the same standard.

8.2 Requirements for standard setting

8.2.1 Introduction and summary

Standard setting procedures

PEFC ST 1001:2010 requires that the standard setting body shall have written standard setting procedures and outlines elements that have to be covered by those procedures. The PEFC Council minimum requirements checklist (PEFC IG 1007-01:2012) then specifies the requirements of PEFC ST 1001:2010 that have to be included and assessed in the standardisation body's written procedures.

The assessment results are based on VL 004 (modifications approved on 14 April 2014) that was amended to respond to results of the final report (3 October 2013) and non-conformities identified in the report.

The purpose of the standard setting procedures is to govern the standard setting / revision process, i.e. are available before the start of the standard setting/revision process and adhered to during the process. However, it should be noted that, without any doubts, the assessed versions of the procedures (June 2012 and September 2013) could not govern the 2012 standard revision process. Firstly, the revision process formally started in April 2012 while the assessed document VL 004 was only approved in June 2012. Secondly, the Development report prepared by PEFC Switzerland states that the revision process was governed by VL 004, 30 October 2007 version. The September 2013 and April 2014 version of the standard setting procedures reacted to the results of assessment reports.

Therefore, the results of this assessment concerning the standard setting procedures (VL 004) shall not be interpreted in connection with the 2012 revision process but as the assessment of procedures valid at the time of the scheme assessment ensuring that future revision work would satisfy the PEFC Council requirements of PEFC ST 1001:2010.

The standard setting procedures (VL 004) **comply** with PEFC ST 1001.

Organisational structure of the standardisation body

PEFC ST 1001:2010 requires that the organisational structure of the standardisation body shall clearly identify (i) a body responsible for the consensus building and (ii) a body responsible for a formal approval of the standards. For the "consensus building body", PEFC ST 1001 requires that it shall be (a) accessible to stakeholders; (b) shall have balanced representation of stakeholders; and (c) shall have sufficient expertise and sufficiently represent materially affected stakeholders.

The assessment approach has been based on information presented by PEFC Switzerland in the Checklist where a "working group" of PEFC Switzerland was identified as the "consensus building body" and the PEFC Switzerland's "Steering Committee" was identified as the "formal approval body". This approach is also described in VL 004 (September 2013).

The standard setting procedures (VL 004) and the description of the standard setting process are inconsistent and unclear on those two basic functional bodies of PEFC Switzerland.

In addition to those bodies, public roundtables meetings are required by VL 004 and have been organised to encourage stakeholders' participation in the standard setting process.

Complaints procedures

PEFC Switzerland's procedures for standard setting (VL 004) require that the disputes relating to the standard setting shall be dealt according to the PEFC Switzerland's dispute settlement procedures (VL 003). VL 003 complies with the PEFC Council requirements concerning the openness of the procedures; impartial investigation of the disputes and communication with the complainant.

The revision process

PEFC Switzerland has identified stakeholders relevant to the revision process. The list of stakeholders was then used for the purposes of information dissemination. The list is sufficiently broad and represents all relevant stakeholder groups in Switzerland.

The revision process was announced by a press release from 4 April 2012 that informed stakeholders about the start of the revision process and that invited stakeholders to participate in the roundtable meeting held on 26 April 2012. The announcement was published by various professional media and referred to at websites of a few forestry organisations. The announcement described possibilities for stakeholders to participate in the process; briefly described the revision process and made references to the PEFC Switzerland's Technical Documentation presented at the PEFC Switzerland website (www.pefc.ch). It could be assumed that although not explicitly mentioned in the announcement, stakeholders had possibilities to comment on the scope of the revision process and standard setting procedures available at the PEFC Switzerland's website. The announcement was distributed by E-mail to media and to a number of stakeholders identified by PEFC Switzerland that sufficiently covers all important stakeholder groups relevant to the revision process.

PEFC Switzerland organised two roundtable meetings that were open to stakeholders. The first roundtable then appointed a three member "working group". The Chairman of the working group was then appointed by the Certification Commission/Steering Committee⁵. It should be noted that the composition of the working group was extremely limited concerning the representation of stakeholders and their balance. The assessment however also considered the working group work in connection with other stakeholders' bodies involved in the process, the public roundtables meetings and the Steering Committee.

PEFC Switzerland announced the start of the 60 days public consultation by a letter/press release that was distributed by E-mail to stakeholders and media on 6 October 2012. The announcement was made at the PEFC Switzerland's website and was also published by one professional media and several websites of forestry organisations referred to it. The end of the public consultation was set up on 4 December 2012 and comments received were considered by the Certification Commission/Steering Committee meeting of 17 December 2012.

On 17 December 2012, the standards were unanimously adopted by the joint meeting of the working group and the Certification Commission/Steering Committee.

However, the revision process did not comply with the PEFC Council's requirements relating to the following aspects for which **minor-non-conformity** is reported:

- The announcement on the start of the revision process did not include an invitation to stakeholders to nominate their representatives to the working group (a consensus-building body); the invitation was only made at the roundtable meeting with a limited participation of stakeholders;

⁵ The term Certification Commission/Steering Committee used by the Swiss application refers to a single body.

- The working group composition as the main consensus building body was rather limited (3 persons), did not have sufficient balanced representation and did not sufficiently represent the interest of materially affected stakeholders;
- No relevant information and evidence was submitted about the work of the working group. The PEFC Switzerland's claim that the working group worked electronically is highly probable but could not be verified from other sources concerning its openness and transparency.
- There is no evidence that documentation on the implementation of the standard setting process would be publicly available;

Application and transition date

Following the draft interim report (August 2013), PEFC Switzerland amended the forest management standard (ND 003) and added to it a transition date until 31 December 2013 that satisfied the PEFC Council requirements.

On 14 April 2014, PEFC Switzerland adopted modifications to the standard (ND 003) with the publication and application date set up on 22 May 2014 and transition period until 23 May 2015.

The defined application and transition dates **comply** with the PEFC Council requirements.

8.2.2 Stakeholders interview

On 19 July 2013, TJConsulting distributed by E-mail a stakeholder questionnaire (See Annex 1) that included questions relating to the standard setting/revision process and stakeholders participation in the process.

The questionnaire was distributed to more than 80 organisations in Switzerland covering all relevant stakeholder groups that were identified by PEFC Switzerland as a part of the standard setting/revision process^[2]. The stakeholders were given 20 days to respond but were also encouraged to ask for the deadline extension if needed.

TJConsulting has received 2 responses (both representing forest owners/managers) and this fact rather limits its use in the assessment conclusions.

1. Did you have access to the PEFC Swiss' standard setting procedures?	
Yes: 2 respondents	No: 0 respondents
2. Have you noticed a public announcement made by PEFC Swiss relating to the start of the standard setting/revision process?	
Yes: 2 respondents at the PEFC Swiss website: 1 respondent by a PEFC press release: 1 respondent at public magazine and media: 1 respondent by direct mailing: 2 respondents	No: 0 respondents
3. Have you been invited to nominate your representative to the PEFC Swiss' body responsible for the development of the standard(s) and consensus building?	
Yes: 2 respondents by general invitation at the website, in media, etc.: 1 respondent by direct mailing or other communication: 2 respondents	No: 0 respondents
We have made a nomination that was: 1 respondent accepted by PEFC Swiss: 1 respondent rejected by PEFC Swiss: 0 respondents	
4. Have you noticed the public consultation on a draft forest management standard(s) organised by PEFC Swiss?	
Yes: 2 respondents at the PEFC Swiss website: 1 respondents by a PEFC press release: 1 respondents at public magazine and media: 0 respondents by direct mailing: 1 respondents	No: 0 respondents
5. Have you made comments during the public consultation and have they been considered?	
Yes, we have submitted comments: 0 respondents Our comments: were considered 0 respondents were not considered: 0 respondents	No, we have not submitted comments: 2 respondents

6. Have you submitted to PEFC Swiss a complaint relating to the standard setting/revision process?

Yes: 0 respondents

No: 2 respondents

7. Has the work of PEFC Swiss body that was responsible for the development of a standard(s) been organised in an open and transparent way?

Yes: 2 respondents

No: 0 respondents

8. Has consensus been reached on the content of the standard(s) within the PEFC Swiss body for the development of the standard(s)?

Yes: 2 respondents

No: 0 respondents

8.2.3 Detailed assessment⁶

PEFC ST 1001, 4.1		
4.1 The standardising 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	<p>VL 004, 4.2.1 refers to the PEFC Switzerland's Statutes and defines the "Steering Committee" as "the decision making body for the criteria and indicators of the sustainable forest management and the system description".</p> <p>VL 004, 4.2.2 defines the appointment of a working group that is responsible for the development of requirements for sustainable forest management and other procedures of the "system description" and building consensus upon those requirements.</p> <p>Compliance: Conformity</p> <p>Justification: VL 004 sufficiently defines bodies responsible for the consensus building and for the formal approval of the standard(s).</p>
b) the record-keeping procedures	Procedures	<p>VL 004, chapter 4.3 requires collection of documents on minutes of the steering committee, working groups, roundtables, complaints and "relevant publication", e.g. start of the standard setting process.</p> <p>Compliance: Conformity</p> <p>Justification: VL 004 includes sufficient procedures for records keeping.</p>
c) the procedures for balanced representation of stakeholders,	Procedures	<p>VL 004, chapter 4.2.2 defines the balanced representation of the working group based on 10 stakeholder groups (it should be mentioned that the text is referring to only eight groups but then the list includes 10 groups). VL 004 requires invitation of stakeholders; aims at balanced representation amongst the stakeholder groups and includes decision making procedures within the working group.</p> <p>Compliance: Conformity</p> <p>Justification: VL 004 includes procedures for balanced representation of stakeholders within the working group.</p>
d) the standard-setting process,	Procedures	<p>VL 004, chapter 4.2.1 includes procedures for the start of the standard setting process and its periodicity; chapter 4.2.2 for the appointment of</p>

⁶ The numbers in brackets [] identify referenced documentation as listed in chapter 6

		<p>the working group(s); and 4.2.3 for the standards development.</p> <p>Compliance: Conformity</p> <p>Justification: VL 004 includes procedures for standard-setting process.</p>
e) the mechanism for reaching consensus, and	Procedures	<p>VL 004, chapter 4.2.3 describes the decision making within the working group; requires the 2/3 majority votes with the presence of at least 50 % of the working group members. Defines maximum of one vote for each member of the working group and a maximum of 4 votes per stakeholder category.</p> <p>VL 004, chapter 4.2.3 also requires the consensus to be reached based on ISO/IEC guideline 2:1996 and defines procedures on how to resolve any opposition to a “fundamental” issue.</p> <p>Compliance: Conformity</p> <p>Justification: VL 004 includes procedures for the decision making within the working group and for reaching the consensus.</p>
f) revision of standards/normative documents.	Procedures	<p>VL 004 by principle applies to the “revision” of the scheme requirements. This is evident from the title of the document “Standard revision procedures”, and chapter 4.</p> <p>Compliance: Conformity</p> <p>Justification: The whole document VL 004 applies to revision of the scheme requirements. As the Swiss scheme is already operational, it is understandable that any standard setting activities will be focused on revision of already existing requirements and documents.</p>

PEFC ST 1001, 4.2	
4.2 The standardising body shall make its standard-setting procedures publicly available and shall regularly review its standard-setting procedures including consideration of comments from stakeholders.	
Procedures	<p>VL 004 also applies to revision of the procedural documents (chapter 2 Scope) and thus the procedures also apply to revision and management of VL 004 itself. VL 004, chapter 4.3 requires that all final documents of the scheme shall be made publicly available and chapter 4.2.1 requires 5 years revision cycle.</p> <p>Compliance: Conformity</p>
Process	<p>PEFC Switzerland made the document VL 004 available at its website (23/09/2013; http://fr.pefc.ch/images/download_schweiz/vl_004_schlichtungsverfahren_v_070403.pdf).</p>

	<p>However, the presented document VL 004 is from June 2007, and neither the version from 11 June 2012 nor the latest version of VL 004 from September 2013 has been published at the PEFC Switzerland's website.</p> <p>It should be noted that the non-conformity was raised in the draft interim report and that PEFC Switzerland committed itself in the response to the interim draft report to publish the latest version when it is formally approved by PEFC Switzerland.</p> <p>PEFC Switzerland is periodically reviewing VL 004. The document was originally adopted in April 2007 and then revised in 2007, 2012, and 2013.</p> <p>Compliance: Minor non-conformity</p> <p>Justification: PEFC Switzerland has not published the latest versions of VL 004 (version 2012 and version 2013) at its website; there does not exist any other verifiable evidence that PEFC Switzerland would make the document publicly available.</p>
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PEFC ST 1001, 4.3	
4.3 The standardising body shall keep records relating to the standard-setting process providing evidence of compliance with the requirements of this document and the standardising 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	<p>VL 004, chapter 4.3 requires collection of documents on minutes of the steering committee, working groups, roundtables, complaints and "relevant publication", e.g. start of the standard setting process.</p> <p>VL 004, chapter 4.3 requires the records to be saved for five years and requires that the report (including information on handling remarks and complaints) on the standard setting process shall be made public with an application for the PEFC endorsement.</p> <p>Compliance: Conformity</p> <p>Justification: VL 004 sufficiently covers the requirements for the records keeping.</p> <p>VL 004 does not explicitly require that the records shall be made available to the interested parties. However, the conformity has been reported based on the fact that the report on the standard setting that shall be made public includes critical information on the standard setting and that the application for the PEFC endorsement also includes records necessary to establish conformity with the PEFC Council requirements.</p>
Process	<p>As a part of the application for the PEFC endorsement, PEFC Switzerland submitted a whole range of documents and records (see chapter 6) relating to the standard setting / revision process.</p> <p>Compliance: Conformity</p> <p>Justification: The presentation of records as a part of the endorsement application provides sufficient evidence that the relevant records have been kept.</p> <p>TJConsulting has not received any information (either through the PEFC International public consultation or TJConsulting's questionnaire sent to stakeholders) that PEFC Switzerland would reject any request for availability of records.</p>

PEFC ST 1001, 4.4	
4.4 The standardising body shall establish a permanent or temporary working group/committee responsible for standard-setting activities.	
Procedures	<p>VL 004, chapter 4.2.2 requires establishing a working group that is responsible for the management of the standard setting process and for building consensus upon the requirements of the scheme.</p> <p>VL 004, chapter 4.2.1 requires that the working groups are appointed by the Steering Committee.</p> <p>Compliance: Conformity</p> <p>Justification: VL 004 sufficiently covers the requirement.</p>
Process	<p>The development report states that the first roundtable held on 26 April 2012 chose the working group that consisted of three persons (Dirk Teeglebekkers, PEFC Germany, Peter Schmider – BGU (consulting company) and Evelyn Pöhler - PEFC Switzerland). Other stakeholders were invited, as a part of the first roundtable meeting, to join the working group.</p> <p>This is also confirmed by the list of working group members^[9] and the minutes of the first roundtable meeting^[11] presented as a part of the application.</p> <p>The minutes of the PEFC Switzerland's Steering Committee of 26 April 2012^[20] confirms that Mr Peter Schmider was appointed as a Chairman of the working group.</p> <p>Compliance: Conformity</p> <p>Justification: There is no evidence that the working group was formally established by the PEFC Switzerland's Steering Committee as required by VL 004.</p> <p>Instead the working group, which consisted of three persons, was established by the first roundtable meeting. Only the Chairman of the working group was formally appointed by the Steering Committee.</p> <p>Although there is a lack of evidence to prove that the working group was formally established by the Steering Committee, the conformity has been reported based on the following facts:</p> <ol style="list-style-type: none"> a) The Steering Committee meeting took place at the same day, after the first roundtable meeting; b) Members of the Steering Committee were also present at the roundtable meeting; c) The Steering Committee appointed the working group's Chairman and although not formally recorded, it is expected that the Steering Committee noted and agreed the composition of the working group as discussed and decided by the "first roundtable meeting".

PEFC ST 1001, 4.4 a	
4.4 a [The working group/committee shall]: be accessible to materially and directly affected stakeholders,	
Procedures	<p>VL 004, chapter 4.2.2 requires that stakeholders relevant to 10 stakeholder groups are invited to delegate representatives to the working group and thus participate in the process.</p> <p>Compliance: Conformity</p> <p>Justification: VL 004 includes elements of identification and invitation of relevant stakeholders to form the working group.</p>
Process	<p>PEFC Switzerland had invited stakeholders by a press release of 3 April 2012^[7] to participate in the scheme revision process and to attend the first roundtable meeting on 26 April 2012.</p> <p>The press release was distributed by an E-mail to selected media contacts^[5] and selected stakeholders^[6] on 4 April 2012. This distribution used the results of the stakeholders mapping^[2] that covered all significant stakeholder categories.</p> <p>There is no evidence that PEFC Switzerland used its website to communicate the press release and the invitation (www.pefc.ch, checked on 23/09/2013).</p> <p>The stakeholders that participated in the first roundtable meeting were approached to nominate their representatives to the working group^[11].</p> <p>Compliance: Minor non-conformity</p> <p>Justification: The judgement on the “accessibility” of the working group is based on basic assumption that (i) stakeholders should have access to information about the establishment of the working group and that (ii) stakeholders should have possibility to nominate their representatives.</p> <p>The non-conformity is reported because the publicly made announcement did not include any explicit information that PEFC Switzerland would establish the working group and that the stakeholders could nominate their representatives to the working group. This information and invitation was only made to limited number of stakeholders who participated in the first roundtable meeting.</p> <p>However, although the conclusion results in the minor non-conformity, it should be noted that stakeholders were informed about the standard setting process and were offered an opportunity to participate in it. Those stakeholders who would be genuinely interested in participation could have participated in the first roundtable meeting during which they would also receive the information about the establishment of the working group.</p>

PEFC ST 1001, 4.4 b	
4.4 b [The working group/committee shall]: 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	
Procedures	<p>VL 004, chapter 4.2.2 requires that the composition of the working group shall “aim” at the balance of eight stakeholder groups listed in 4.2.2 (it should be mentioned that although VL 004, 4.2.2 refers to eight groups, it then lists 10 groups):</p> <ol style="list-style-type: none"> a) Representatives of the private forest b) Representatives of the state forest (canton-owned forest) c) Representatives of the communal forest d) Wood industry, pulp and paper industry including trade e) Environmental organisations f) Trade unions g) Other forest-related organisations (e.g. Swiss Forest Association, Forest Worker Association) h) Other interested parties (Consumer Associations, Tourism Associations) i) Forest contractors j) Scientists <p>VL 004, chapter 4.2.3 then defines decision making within the working group based on 2/3 majority of votes while at least 50 % of working group members shall be present at the meeting. Each member has one vote while maximum of votes within the stakeholder group is four. None of the stakeholder groups can dominate the process.</p> <p>VL 004, chapter 4.2.3 also includes the concept of the consensus with the definition taken from ISO /IEC Directive 2. It provides stakeholders with an opportunity to raise an opposition to the fundamental issue and requires steps to resolve it.</p> <p>Compliance: Conformity</p> <p>Justification: VL 004 defines 10 stakeholder groups. However, rather than requiring a balanced representation amongst those stakeholders groups, it only provides the balance as an objective (“well-balanced line-up is aimed at”).</p> <p>The balance itself could be deduced from the maximum of votes (four) assigned to each stakeholder group and voting mechanism of 2/3 majority. Although forest owners are covered by three stakeholder groups (maximum of 12 votes), this does not allow them alone to reach the 2/3 majority while stakeholders with prevailing economic interest (5 stakeholder groups) would reach the 2/3 majority.</p> <p>The consensus building mechanism ensures that a single stakeholder group cannot be over voted (dominated) without the issue being thoroughly discussed and negotiated with the involvement of dispute settlement procedures.</p>
Process	<p>Following the list of working group members^[9], minutes of the first roundtable meeting^[11], PEFC Switzerland (in reality the first roundtable) has chosen the working group consisting of three persons, representing PEFC Germany, PEFC Switzerland and BGU consulting firm.</p> <p>The first roundtable held on 26th April 2012^[11] was attended by 10 stakeholders. However, the roundtable is only considered by VL 004 as the consultative body</p>

	<p>supporting the working group rather than body responsible for consensus building as required by PEFC ST 1001.</p> <p>PEFC Switzerland claims that the limited participation in the working group is caused by the lack of interest amongst the stakeholders to participate in the working group rather than any kind of restrictions from the PEFC Switzerland's side.</p> <p>It could also be argued that although the participation in the working group was extremely limited, stakeholders had a chance to influence the final wording of the standard through their participation in the two roundtables as well as the Steering Committee.</p> <p>Compliance: Minor non-conformity</p> <p>Justification: The composition of the working group neither provided for balanced representation of stakeholders nor it included sufficient stakeholders' representation.</p>
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PEFC ST 1001, 4.4 c	
4.4 c [The working group/committee shall]: 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	<p>VL 004, chapter 4.2.2 defines 10 stakeholder groups out of which forest owners are represented by three of those groups, forest contractors are covered by one group and forest related industry by one group; forest workers by two groups.</p> <p>The majority of the groups have their particular expertise in the forestry sector and sustainable forest management.</p> <p>Compliance: Conformity</p> <p>Justification: Forest owners, forest contractors and forest related industry that represent the materially affected stakeholders represent meaningful segment of the working group. In addition, the implementation of the standard can also be influenced by forest workers that are covered by two stakeholder groups.</p> <p>The defined stakeholder groups provide for sufficient expertise in forestry and sustainable forest management.</p>
Process	<p>Following the list of working group members^[9], minutes of the first roundtable meeting^[11], PEFC Switzerland (better the first roundtable) has chosen the working group consisting of three persons, representing PEFC Germany, PEFC Switzerland and BGU consulting firm (it should be noted that Mr Schmider from the BGU firm is also a project leader in one of the certifications and has a close relationship with forest owners).</p> <p>The first roundtable held on 26th April 2012^[11] was attended by 10 stakeholders who sufficiently represented the forestry related expertise as well as materially affected stakeholders (forest owners/managers). However, the roundtable is considered by VL 004 as the consultative body supporting the working group rather than body responsible for the consensus building (as required by PEFC ST 1001).</p> <p>The Steering Committee members^[9] that were actively involved in the development process represent forest owners and forest related industry interests.</p> <p>Compliance: Minor non-conformity</p> <p>Justification: It is assumed that the three members' working group has sufficient expertise in the subject matter. The minor non-conformity has been reported based</p>

	<p>on the fact that the composition of the working group does not meaningfully represent materially affected stakeholders and those that can influence the implementation of the standard (in particular forest owners/managers).</p> <p>It should however be noted that the Steering Committee, with stronger representation of forest owners and forest related industry, took more active role than just a formal decision-making body and that the lack of the stakeholders representation in the working group was substituted by their presence in the Steering Committee.</p>
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PEFC ST 1001, 4.5	
4.5 The standardising body shall establish procedures for dealing with any substantive and procedural complaints relating to the standardising activities which are accessible to stakeholders.	
Procedures	<p>VL 003 (Procedures for dispute settlement), ch. 4.1 covers “complaints with respect to the standard setting process and the development of standards”.</p> <p>Compliance: Conformity</p> <p>Justification: PEFC Switzerland has procedures that cover the standard setting process.</p>
Process	<p>PEFC Switzerland claims that it has received no complaint relating to the standard setting.</p> <p>TJConsulting has not received information (through the PEFC Council’s international consultation or TJConsulting’s questionnaire sent to the stakeholders) that a complaint would be submitted to PEFC Switzerland.</p>

PEFC ST 1001, 4.5	
4.5a [Upon receipt of the complaint, the standard-setting body shall]: a) acknowledge receipt of the complaint to the complainant,	
Procedures	<p>VL 003 (Procedures for dispute settlement), ch. 4.3 requires that that “the application for the initiation of a dispute settlement procedure has to be addressed to the PEFC secretariat” and that “the PEFC-secretariat will confirm the applicant the receipt of the application”.</p> <p>Compliance: Conformity</p> <p>Justification: VL 003 requires the acknowledgement of the complaint.</p>
Process	<p>PEFC Switzerland claims that it has received no complaint relating to the standard setting.</p> <p>TJConsulting has not received information (through the PEFC Council’s international consultation or TJConsulting’s questionnaire sent to the stakeholders) that a complaint would be submitted to PEFC Switzerland</p>
4.5b [Upon receipt of the complaint, the standard-setting body shall]: 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.	
Procedures	<p>VL 003 (Procedures for dispute settlement), ch. 4.3 requires that the complaint is investigated by a dispute settlement body, requires meeting of the body and in</p>

	<p>complicated cases participation of an independent expert. A final decision is made by the dispute settlement body.</p> <p>VL 003, ch. 4.2 requires that the dispute settlement body is appointed by the steering committee of PEFC Switzerland on an ad hoc basis and that members of the dispute settlement body are independent and impartial.</p> <p>Compliance: Conformity</p> <p>Justification: VL 003 requires impartial investigation and decision making of the complaint.</p>
Process	<p>PEFC Switzerland claims that it has received no complaint relating to the standard setting.</p> <p>TJConsulting has not received information (through the PEFC Council's international consultation or TJConsulting's questionnaire sent to the stakeholders) that a complaint would be submitted to PEFC Switzerland.</p>
<p>4.5 [Upon receipt of the complaint, the standard-setting body shall]: c) formally communicate the decision on the complaint and of the complaint handling process to the complainant.</p>	
Procedures	<p>VL 003 (Procedures for dispute settlement), ch. 4.3 requires that the PEFC-secretariat is responsible for informing the involved parties on the result of the of dispute settlement.</p> <p>Compliance: Conformity</p> <p>Justification: Based on assumption that the complainant is always the "involved party", VL 003 requires communication of the result of the dispute resolution to the complainant.</p>
Process	<p>PEFC Switzerland claims that it has received no complaint relating to the standard setting.</p> <p>TJConsulting has not received information (through the PEFC Council's international consultation or TJConsulting's questionnaire sent to the stakeholders) that a complaint would be submitted to PEFC Switzerland.</p>

<p>PEFC ST 1001, 4.6</p>	
<p>4.6 The standardising 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.</p>	
Procedures	<p>VL 003 (Procedures for dispute settlement), ch. 4.3 states that "the application for the initiation of a dispute settlement procedure has to be addressed to the PEFC secretariat (c/o LIGNUM, Zurich, see www.pefc.ch)".</p> <p>The Checklist presented by PEFC Switzerland however states that for the past 13 years the PEFC secretariat in Stuttgart was the contact point for enquiries of any kind. However, PEFC Switzerland provided clarification on this requirement as its response to the interim assessment report's finding on that the Checklist includes a mistake and that the correct contact point is the one provided in VL 003 and at the PEFC Switzerland's website.</p> <p>Compliance: Conformity</p> <p>Justification: VL 003 establishes a single contact point for the dispute settlement.</p>

PEFC ST 1001, 5.1	
5.1 The standardising body shall identify stakeholders relevant to the objectives and scope of the standard-setting work.	
Procedures	<p>VL 004, ch. 4.2.2 require that PEFC Switzerland shall identify stakeholders within 10 stakeholder groups.</p> <p>Compliance: Conformity</p> <p>Justification: The standard setting procedures cover the requirement.</p>
Process	<p>PEFC Switzerland developed a list of stakeholders^[2] that was then used to invite stakeholders to participate in the standard setting process and for communication on the public consultation. The list of stakeholders includes organisations from all major stakeholder groups relevant to forestry.</p> <p>Compliance: Conformity</p> <p>Justification: PEFC Switzerland identified relevant stakeholders through a list of stakeholders structured according to the organisations' main interest. The list is comprehensive and delivers confidence that PEFC Switzerland intended to identify all stakeholders relevant to forestry sector and forest certification.</p>

PEFC ST 1001, 5.2	
5.2 The standardising body shall identify disadvantaged and key stakeholders. The standardising body shall address the constraints of their participation and proactively seek their participation and contribution in the standard-setting activities.	
Procedures	<p>VL 004, chapter 4.2.2 requires identifying stakeholders that hold a key position or who have not participated in the process before are identified and invited personally.</p> <p>Compliance: Conformity</p> <p>Justification: VL 004 does require the identification of the key stakeholders.</p> <p>Although the assessment resulted in conformity, it should be noted that PEFC Switzerland's approach of personal invitation of those groups is rather limited compared to the "proactive approach" required by PEFC ST 1001.</p> <p>It can be assumed, taking into account the socio-economic conditions of Switzerland, that there are no disadvantaged stakeholders (disadvantaged by access, language, resources, etc.) and VL 004 therefore does not refer to the disadvantaged stakeholders.</p>
Process	<p>PEFC Switzerland claims in the Checklist that there is no "disadvantaged stakeholder" in Switzerland but that there are key stakeholders (the major ENGOs) which have been reluctant to participate in the process. These groups got special invitation letters some months prior to the start of the revision process including a request for face-to-face-meetings.</p> <p>PEFC Switzerland used the stakeholder's list^[2] to distribute information about the standard setting process (e.g. announcement of the start of the process) directly by e-mail to all stakeholders on the list^[3, 6]. PEFC Switzerland also encouraged all stakeholders to participate in the process through the roundtables.</p> <p>PEFC Switzerland has not identified "key stakeholders" as a group of stakeholders that need a special attention.</p> <p>Compliance: Conformity</p>

	<p>Justification: PEFC ST 1001 requires the standardisation body to have a systemic approach in identifying relevant stakeholders (5.1) and within those to identify disadvantaged and key stakeholders (5.2) and to work to resolve constraints of their participation.</p> <p>It can be assumed, taking into account the socio-economic conditions of Switzerland, that there are no disadvantaged stakeholders (disadvantaged by access, language, resources, etc.).</p> <p>PEFC Switzerland has not identified within its list of stakeholders^[2] those that would be “key”. The conformity with the requirement has been assigned based on the fact that PEFC Switzerland encouraged all stakeholders by direct e-mails^[3, 6] and by organising the stakeholder roundtable, i.e. the approach required for the key stakeholders was applied for all stakeholders identified by PEFC stakeholders^[2]. It should however be noted that those activities had not delivered broader participation of stakeholders.</p>
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PEFC ST 1001, 5.3

5.3 The standardising 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	<p>VL 004, ch. 4.2.1 The start of the revision process shall be communicated to the public at an appropriate time in an appropriate way (website and e.g. press release).</p> <p>VL 004, ch. 4.2.2 requires that “Associations and organisations, which belong to the following interest groups [10 stakeholder groups], shall be identified by PEFC Switzerland. They will be invited timely and publicly in an appropriate way to delegate representatives to the working group and thus participate in the revision process”.</p> <p>Compliance: Conformity</p> <p>Justification: VL 004 satisfies the PEFC requirement.</p>
Process	<p>PEFC Switzerland has made an announcement of the start of the revision process on 4 April 2012 by a press release^[7] distributed by E-mail to media contacts^[5] and to a broad range of stakeholders presented in the list of stakeholders^[3, 6] (the results of the stakeholders mapping). The announcement also included the invitation to participate in the first roundtable meeting held on 26 April 2012.</p> <p>The list of stakeholders^[2] covers all major stakeholder groups relevant to forestry and forest certification and was presented as a part of the application for the re-endorsement.</p> <p>The copy of the Email distribution of the press release to media contacts^[5] and to the stakeholders^[3, 6] was presented as a part of the application for the re-endorsement.</p> <p>Compliance: Conformity</p> <p>Justification: It can be assumed that the announcement has reached (by E-mail) a majority of relevant stakeholders. The announcement was published by the following Swiss professional media^[5]: Schweizer Holzrevue, Wald and Holz and at the following websites: “Waldwirtschaftsverband Schweiz” (www.wvs.ch), “Lignum” (www.lignum.ch) and “Holzbau Forum” (www.holzbauforum.ch).</p> <p>The announcement was made in timely manner as it was sent out 22 days in advance of the first roundtable meeting.</p>

	Although there is no evidence that the announcement would be published at the PEFC Switzerland's website (www.pefc.ch), the conformity has been assigned based on the fact that websites of other forest related organisations have published the news.
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PEFC ST 1001, 5.3	
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	VL 004, chapter 4.2.1 requires that the announcement shall inform about the goals, the scope and the time frame of the standard setting/revision process. Compliance: Conformity
Process	The press release of 4 April 2012 ^[7] included information about the objectives of the revision work, a final deadline of May 2013 for the end of the revision, and a reference to the existing documentation available at the PEFC Switzerland's website. Compliance: Conformity Justification: The announcement included very brief and short description of the objectives. The reference to the existing documentation could be considered as definition of the scope of the revision. The envisaged deadline for the revision provides basic information about the envisaged time schedule of the revision.
5.3 [The announcement and invitation shall include:] b) information about opportunities for stakeholders to participate in the process	
Procedures	VL 004, chapter 4.2.1 requires that the announcement shall inform about the possibilities to participate in the standard setting/revision process. Compliance: Conformity
Process	The press release of 4 April 2012 ^[7] included invitation to participate in the first roundtable meeting ^[11] , envisaged public consultation and encouraged stakeholders to submit comments and proposals. Compliance: Conformity Justification: The announcement described stakeholders' opportunity for participation (except the nomination to the working group discussed under the requirement 5.3 c).
5.3 [The announcement and invitation shall include:] 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	VL 004, chapter 4.2.2 has a separate requirement, in addition to the announcement of the start of the process (4.2.1), that requires to invite the eight stakeholder groups (in reality 10) to delegate representatives to the working group and thus participate in the revision process. VL 004, chapter 4.2.2 requires that "persons who hold a key position or who have not participated in the process before are identified and invited personally." Compliance: Conformity

	<p>Justification: VL 004 does require invitation of stakeholders to nominate their representatives to the working group and requires that the “key” stakeholders shall be invited personally.</p>
Process	<p>The press release of 4 April 2012^[7] included invitation to participate in the first roundtable meeting.</p> <p>Compliance: Minor non-conformity</p> <p>Justification: PEFC ST 1001, 5.3 requires that the standardisation body shall make public invitation to stakeholders to nominate their representative to the working group/committee (i.e. the consensus building body).</p> <p>The Press release of 4 April 2012^[7] invited stakeholders to participate in the first roundtable meeting that would not qualify as the “consensus-building body” (working group/committee) in the sense of PEFC ST 1001 or VL 004.</p> <p>It was also not evident from the invitation to the meeting that the first roundtable meeting would be nominating (choosing) members of the working group.</p> <p>The process therefore does not meet the PEFC Council requirement for public invitation of stakeholders. However, it should be noted that those stakeholders who were seriously interested in the PEFC certification and the PEFC scheme had an opportunity to join the roundtable meeting where they would access the information about the establishment of the working group.</p>
5.3 [The announcement and invitation shall include:] d) an invitation to comment on the scope and the standard-setting process	
Procedures	<p>VL 004, chapter 4.2.1 requires that the announcement shall point to the standard revision procedures and shall encourage the public to comment on their scope and contents.</p> <p>Compliance: Conformity</p> <p>VL 004 does not explicitly require that the announcement shall invite stakeholders to comment on the scope and content of the announced revision process but refers to the standard setting procedures document.</p> <p>The conformity has been assigned based on the assumption that those two are interlinked and that the current wording would allow any stakeholder not only to make comments relating to the procedures document (VL 004) but also to the goals, scope and timetable of the announced revision process.</p>
Process	<p>The press release of 4 April 2012^[7] includes general invitation of stakeholders to submit their comments and recommendations.</p> <p>Compliance: Conformity</p> <p>Justification: The objective of the PEFC Council requirement is to ensure that at the beginning of the standard setting process, stakeholders have an opportunity to comment on the proposed standard setting process and its scope.</p> <p>Although the invitation to comment was made in very general way, it could be assumed that those stakeholders who were seriously interested in the revision process would have a chance to submit any comment, including those relating to the standard setting process itself.</p>

5.3 [The announcement and invitation shall include:] e) reference to publicly available standard-setting procedures.	
Procedures	<p>VL 004, chapter 4.2.1 requires that “it [the announcement] points to these Standard revision procedures and encourages the public to comment on their scope and contents”.</p> <p>Compliance: Conformity</p>
Process	<p>The press release of 4 April 2012^[7] includes general reference to the effective documents of the scheme that are available on the homepage of PEFC Switzerland (www.pefc.ch).</p> <p>Compliance: Conformity</p> <p>Justification: The objective of the PEFC Council requirement is to, pro-actively, inform stakeholders about rules and procedures governing the standard setting process.</p> <p>Although an explicit reference to the standard setting procedures is not included in the announcement, it is assumed that those could be easily found at www.pefc.ch under the section “Technical Documentation” (that was referred to in the announcement).</p>

PEFC ST 1001, 5.4	
5.4 The standardising 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	<p>VL 004, chapter 4.2.1 requires that “it [the announcement] points to these Standard revision procedures and encourages the public to comment on their scope and contents”.</p> <p>VL 004, chapter 4.2.3 defines eight stakeholders groups (in reality 10) and requires that the composition of the working group aims at the balance amongst those groups.</p> <p>Compliance: Conformity</p> <p>Justification: VL 004 states that stakeholders can comment on the content of the standard setting procedures/process. VL 004 does not require that those comments shall be considered and the standard setting procedures/process reviewed accordingly. However, implicitly it could be assumed that invitation to comment is made with the intention to consider received comments and amend the procedures accordingly.</p> <p>VL 004 requires that members of the working group(s) are appointed by the Steering Committee. Chapter 4.2.3 aims at the balance amongst eight stakeholder groups. It is expected that those eight (in reality 10) stakeholder groups are used as the basis for acceptance or rejection of the nominations received.</p>
Process	<p>PEFC Switzerland claims that it had received no comments relating to the standard setting process. TJConsulting has received no information from the PEFC Council’s international consultation or from a questionnaire distributed to Swiss stakeholders that would indicate otherwise.</p>

	<p>The first roundtable held on 26 April 2012^[11] appointed the three member working group^[9]. The Chairman of the working group was appointed by the Steering Committee^[20].</p> <p>Compliance: Conformity</p> <p>Justification: Although the working group was not formally adopted by the Steering Committee^[20] but by the first roundtable meeting^[11], the conformity with the requirement has been assigned based on the fact that the members of the Steering Committee participated in the roundtable meeting and at the Steering Committee's meeting held at the same day as the Roundtable meeting, t appointed a Chairman of the working group. The Steering Committee was therefore aware of the Roundtable decision and confirmed it by the appointment of the working group's Chairman.</p>
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PEFC ST 1001, 5.5	
5.5 The work of the working group/committee shall be organised in an open and transparent manner where: a) working drafts shall be available to all members of the working group/committee,	
Procedures	<p>VL 004, chapter 4.2.3 requires that “the developed drafts are made available to all members [of the working group]. All members are given the chance to comment on the drafts. Any remarks are documented and discussed within the working group.”</p> <p>Compliance: Conformity</p>
Process	<p>PEFC Switzerland has not kept minutes of the working group meetings and argues that the discussion within the three members working group was carried out electronically and draft documents were exchanged electronically.</p> <p>Compliance: Minor non-conformity</p> <p>Justification: The minor non-conformity has been assigned based on the fact that the activities of the working group and availability of the draft documents to the working group members cannot be verified from the evidence submitted by PEFC Switzerland.</p> <p>However, it should be noted that due to the size of the working group (three members) it is highly probable that the discussion and exchange of drafts between the working group members was done electronically (as claimed by PEFC Switzerland).</p> <p>It should also be mentioned that other stakeholders that were not members of the working group but participated either in the Roundtables meetings or were members of the Steering Committee had an opportunity to contribute to the development of the draft standards and comment on their content.</p>
5.5 The work of the working group/committee shall be organised in an open and transparent manner where: 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	
Procedures	<p>VL 004, chapter 4.2.3 requires that “all members are given the chance to comment on the drafts. Any remarks are documented and discussed within the working group”.</p> <p>VL 004, chapter 4.2.3 defines an interaction between the working group and public roundtable meetings where the working group is responsible for consideration and implementation of comments and remarks made at the roundtable meeting.</p> <p>VL 004, chapter 4.2.4 gives to the stakeholder group a possibility to file an “opposition” to a fundamental issue and requires for such an issue further steps of negotiations and resolutions.</p>

	<p>Compliance: Conformity</p> <p>Justification: VL 004 provides members of the working group with meaningful opportunities to contribute to the revision of standards.</p>
Process	<p>PEFC Switzerland has not submitted evidence that would document the work of the working group and argues that the discussion within the three members working group was carried out electronically and draft documents were exchanged electronically.</p> <p>Compliance: Minor non-conformity</p> <p>Justification: The minor non-conformity has been assigned based on the fact that the activities of the working group cannot be verified from the evidence submitted by PEFC Switzerland.</p> <p>However, it should be noted that due to the size of the working group (three members) it is highly probable that the discussion and exchange of drafts between the working group members was done electronically (as claimed by PEFC Switzerland).</p> <p>It should also be mentioned that other stakeholders that were not members of the working group but participated either in the Roundtables meetings or were members of the Steering Committee had an opportunity to contribute to the development of the draft standards and comment on their content.</p>
<p>5.5 The work of the working group/committee shall be organised in an open and transparent manner where: 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.</p>	
Procedures	<p>VL 004, chapter 4.2.3 requires that “all members [of the working group] are given the chance to comment on the drafts. Any remarks are documented and discussed within the working group”.</p> <p>Compliance: Conformity</p>
Process	<p>PEFC Switzerland has not submitted evidence that would document the work of the working group and argues that the discussion within the three members working group was carried out electronically and draft documents were exchanged electronically.</p> <p>Compliance: Minor non-conformity</p> <p>Justification: The minor non-conformity has been assigned based on the fact that the activities of the working group cannot be verified from the evidence submitted by PEFC Switzerland.</p> <p>However, it should be noted that due to the size of the working group (three members) it is highly probable that the discussion and exchange of drafts between the working group members was done electronically (as claimed by PEFC Switzerland).</p> <p>It should also be mentioned that other stakeholders that were not members of the working group but participated either in the Roundtables meetings or were members of the Steering Committee had an opportunity to contribute to the development of the draft standards and comment on their content.</p>

PEFC ST 1001, 5.6	
5.6a [The standardising body shall organise a public consultation on the enquiry draft and shall ensure that] the start and the end of the public consultation is announced in a timely manner in suitable media	
Procedures	<p>VL 004, 4.2.3 requires that “this consultation period shall last 60 days at least. As a rule the documents for the consultation process will be provided on the website of PEFC Switzerland”.</p> <p>VL 004 4.2.3 also requires organising public roundtables in order to receive stakeholders’ comments.</p> <p>Compliance: Conformity</p> <p>Justification: Although VL 004 does not specify that the public consultation shall be announced in suitable media, it is expected that when PEFC Switzerland publishes the documents at its website, it will also make public announcement of that consultation at the website.</p>
Process	<p>PEFC Switzerland provided a screenshot of its website with the public announcement of the public consultation^[30]. The announcement includes the end date of the public consultation. However, it does not include the date when the consultation started or when the announcement of the website was published.</p> <p>The public announcement was also made through other media^[23, 24, 25, 26,]</p> <p>Compliance: Conformity</p> <p>Justification: The conformity has been assigned although the announcement did not include the start date of the public consultation. This was done based on the assumption that the start of the public consultation was the same as the date of the announcement publication.</p>
5.6b [The standardising body shall organise a public consultation on the enquiry draft and shall ensure that] the invitation of disadvantaged and key stakeholders shall be made by means that ensure that the information reaches its recipient and is understandable	
Procedures	<p>VL 004, chapter 4.2.2 requires that “Persons who hold a key position or who have not participated in the process before are identified and invited personally”</p> <p>Compliance: Conformity</p>
Process	<p>PEFC Switzerland presented a letter to stakeholders^[25, 26] distributed by an e-mail and informing them about the public consultation and availability of draft standard.</p> <p>PEFC Switzerland announced the public consultation by a press release^[23] sent by E-mail to a number of professional media^[24]. PEFC Switzerland provided evidence that the information about the public consultation was published by the professional media Wald und Holz (11/12)^[31].</p> <p>PEFC Switzerland provided evidence that the public consultation was announced through Internet and other internet websites: www.wvs.ch; and www.lignum.ch^[31].</p> <p>Compliance: Conformity</p> <p>Justification: PEFC Switzerland sent a direct e-mail to all stakeholders identified in the list of stakeholders^[25]. This included those that would be “key” to the standard setting process as well as those that are not considered as “key”.</p> <p>Based on the Swiss socio-economic situation it is justifiable for the PEFC Switzerland to claim that there are no “disadvantaged” stakeholders in Switzerland.</p>

5.6c [The standardising body shall organise a public consultation on the enquiry draft and shall ensure that] the enquiry draft is publicly available and accessible	
Procedures	<p>VL 004, 4.2.3 requires “to make it [draft standards] available for the subsequent public consultation. This consultation period shall last 60 days at least. Usually, the documents for the consultation process are provided on the website of PEFC Switzerland.</p> <p>Compliance: Conformity</p> <p>Justification: VL 004, 4.2.3 satisfies the requirement.</p>
Process	<p>PEFC Switzerland provided evidence on the announcement of the public consultation at its website^[30] that also included links to the draft documents presented for the public consultation.</p> <p>PEFC Switzerland presented a specimen letter^[26] to stakeholders that included information that the consultation documents had been presented at the website www.pefc.ch.</p> <p>Compliance: Conformity</p> <p>Justification: The consulted documents were publicly available and accessible through the PEFC Switzerland’s website.</p>
5.6d [The standardising body shall organise a public consultation on the enquiry draft and shall ensure that] the public consultation is for at least 60 days	
Procedures	<p>VL 004, 4.2.3 requires that “consultation period shall last 60 days at least”.</p> <p>Compliance: Conformity</p> <p>Justification: VL 004, 4.2.3 satisfies the requirement.</p>
Process	<p>PEFC Switzerland claims that the consultation lasted from 4 October to 4 December 2012.</p> <p>PEFC Switzerland presented a text presented at the Internet^[30] that refers to the 60 days public consultation and identified 4 December 2012 as the deadline for the comments submission. The start of the public consultation or publication of the announcement is not included.</p> <p>PEFC Switzerland presented a specimen letter^[26] to stakeholders from 4 October 2012 that includes information on the 60 days consultation period and a deadline of 4 December 2012 for the comments submission.</p> <p>PEFC Switzerland presented a screenshot of E-mail distribution to media^[24, 31] and to stakeholders^[25] identified in the stakeholders mapping from 6 October 2012 providing information about the 60 days public consultation with a press release^[23] attached.</p> <p>Compliance: Conformity</p> <p>There is sufficient confidence that the public consultation lasted 60 days.</p> <p>It should however be noted that the announcement of the public consultation is not clear. Start of the announcement (start of the public consultation) is either not mentioned or information is distributed to media on 6 October 2012.</p>

5.6e [The standardising body shall organise a public consultation on the enquiry draft and shall ensure that] all comments received are considered by the working group/committee in an objective manner	
Procedures	<p>VL 004, 4.2.3 requires that “the remarks suggested during the consultation period will be documented, verified by the working group and if applicable included in the documents. Critical remarks will be discussed between a representative of the working group and the submitting member and a realisable solution will be developed”.</p> <p>Compliance: Conformity</p> <p>Justification: VL 004, ch. 4.2.3 requires the working group to consider comments from public consultation.</p>
Process	<p>On 17 December 2012, PEFC Switzerland has organised a joint meeting of the working group and the Steering Committee^[33] that has considered comments from the public consultation.</p> <p>PEFC Switzerland submitted a document^[34] covering the public comments received, including responses to those comments.</p> <p>Compliance: Conformity</p> <p>There is sufficient confidence that comments received during the public consultation were considered by the Steering Committee. The presented minutes of the Steering Committee provide evidence that the three members of the working group were present at the meeting.</p>
5.6f [The standardising body shall organise a public consultation on the enquiry draft and shall ensure that] a synopsis of received comments compiled from material issues, including the results of their consideration, is publicly available, for example on a website.	
Procedures	<p>VL 004, chapter 4.3 requires that a report on the revision process, in particular on the handling of submitted remarks and complaints, will be produced and made available to the public (with an application for approval at PEFC international).</p> <p>Compliance: Conformity</p> <p>Justification: Although VL 004 does not have an explicit requirement on publication of synopsis of comments received during the public consultation, it is assumed based on the wording of VL 004, 4.3 that the “report on the revision process” will also include comments/remarks from the public consultation.</p>
Process	<p>PEFC Switzerland presented a document with comments from public consultation and relevant responses^[34].</p> <p>PEFC Switzerland provided an E-mail to stakeholders^[35] (identified in the stakeholders mapping) from 26 July 2013 distributing the document with comments and responses.</p> <p>Compliance: Conformity</p> <p>It should be noted that the document was distributed to stakeholders on 26 July 2013, more than 7 months after the formal adoption of revised standards and after TJConsulting requested additional information relating to the standard setting process. This should be considered as PEFC Switzerland implementing a corrective action towards the revision process.</p>

PEFC ST 1001, 5.7	
5.7 The standardising body shall organise pilot testing of the new standards and the results of the pilot testing shall be considered by the working group/committee.	
Procedures	<p>VL 004 requires that if the changes in the revised documents are considerable the draft standard shall be tested within the scope of a pilot project.</p> <p>Compliance: Conformity</p> <p>Justification: VL 004 only requires the pilot testing in case of changes being considerable. This approach is compatible with the note to PEFC ST 1001, chapter 5.7 that allows experience from the previous audits (in case of revision of standards) to substitute for the pilot testing.</p>
Process	<p>PEFC Switzerland has not submitted information or evidence relating to pilot testing of the revised forest management standard.</p> <p>Compliance: Conformity</p> <p>Justification: There is no information available to verify whether or not changes to the revised standard have been “considerable” and thus whether or not PEFC Switzerland should have carried out, according to VL 004, the pilot testing.</p> <p>However, it is assumed that experience from implementation and auditing of the previous forest management standard can sufficiently substitute for the pilot testing and that PEFC Switzerland complies with the note to 5.7 of PEFC ST 1001.</p>

PEFC ST 1001, 5.8	
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	<p>VL 004, ch. 4.2.3 requires that “the decisions of the working group to publish the draft document of the working group and to recommend the final draft to the steering committee/ the certification commission for formal approval shall be based on the principle of consensus.”</p> <p>The paragraphs of VL 004 following Ch. 4.2.3 provide then make the definition of the consensus; describe how the consensus is identified and how is any opposition to a fundamental issue resolved.</p> <p>Compliance: Conformity</p> <p>Justification: VL 004, ch. 4.2.3 satisfies the requirement.</p>
Process	<p>PEFC Switzerland has not submitted information relating to the decision of the working group recommending a final draft for formal approval. However, PEFC Switzerland provided evidence that on 17 December 2012, PEFC Switzerland organised a joint meeting of the working group and the Steering Committee^[33]. The development report then states that the decision of the Steering Committee was unanimous.</p> <p>The development report states that on 8 August 2012, a “Certification Commission” adopted a final draft. As the public consultation took place between 6 October and 4 December 2012, PEFC Switzerland clarified that the term “final draft” is misleading and the correct term should be an “enquiry draft”.</p> <p>Compliance: Conformity</p>

	<p>Justification: The PEFC Council requirement to the consensus decision in 5.8 applies to a “working group/commission”, a body that is responsible for the consensus building and is recommending a final draft for the formal approval by the decision making body of the standardisation body.</p> <p>PEFC Switzerland has provided sufficient evidence that all three members of the working group were present at the meeting of the Steering Committee^[33]. It can therefore be assumed that the unanimous decision at that meeting covers both the working group members as well as the steering committee members.</p>
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PEFC ST 1001, 5.8	
<p>5.8 In order to reach a consensus the working group/committee can utilise the following alternative processes to establish whether there is opposition:</p> <p>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.,</p> <p>b) a telephone conference meeting where there is a verbal yes/no vote,</p> <p>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</p> <p>d) combinations thereof.</p>	
Procedures	<p>VL 004, chapter 4.2.3 defines five optional mechanism of how to establish whether or not the consensus was reached. Those are compatible with PEFC ST 1001, 5.8.</p> <p>Compliance: Conformity</p> <p>Justification: The five mechanisms identified in VL 004, 4.2.3 are compatible with PEFC ST 1001, 5.8.</p>
Process	<p>PEFC Switzerland has not submitted information relating to the decision of the working group recommending a final draft for formal approval. However, PEFC Switzerland provided evidence that on 17 December 2012, PEFC Switzerland organised a joint meeting of the working group and the Steering Committee^[33]. The development report then states that the decision of the Steering Committee was unanimous.</p> <p>Compliance: Conformity</p> <p>Justification: The PEFC Council requirement to the consensus decision in 5.8 applies to a “working group/commission”, a body that is responsible for the consensus building and is recommending a final draft for the formal approval by the decision making body of the standardisation body.</p> <p>PEFC Switzerland has provided sufficient evidence that the three members of the working group were present at the meeting of the Steering Committee^[33]. It can therefore be assumed that the unanimous decision at that meeting covers both the working group members as well as the steering committee members. The unanimous decision represents the consensus.</p>

PEFC ST 1001, 5.9	
<p>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):</p> <p>a) discussion and negotiation on the disputed issue within the working group/committee in order to find a compromise,</p> <p>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,</p> <p>c) dispute resolution process.</p>	
Procedures	<p>VL 004, ch. 4.2.3 requires that a stakeholder group can raise an opposition to the fundamental issue and describes steps for further negotiations and resolutions of the issue, including further discussion in the working group, negotiation amongst the concerned parties and a formal dispute settlement.</p> <p>Compliance: Conformity</p> <p>Justification: The mechanism described in VL 004 is compatible and largely identical with PEFC ST 1001, 5.9.</p>
Process	<p>PEFC Switzerland has not submitted information relating to the decision of the working group recommending a final draft for formal approval. However, PEFC Switzerland provided evidence that on 17 December 2012, PEFC Switzerland organised a joint meeting of the working group and the Steering Committee^[33]. The development report then states that the decision of the Steering Committee was unanimous.</p> <p>Compliance: Conformity</p> <p>Justification: PEFC Switzerland has provided sufficient evidence that the three members of the working group were present at the meeting of the Steering Committee^[33]. It can therefore be assumed that the unanimous decision at that meeting covers both the working group members as well as the steering committee members. The unanimous decision represents the consensus and does not require any resolution of negative votes or oppositions to fundamental issues.</p>

PEFC ST 1001, 5.10	
<p>5.10 Documentation on the implementation of the standard-setting process shall be made publicly available.</p>	
Procedures	<p>VL 004, chapter 4.3 requires that “a report on the revision process, in particular on the handling of submitted remarks and complaints, will be produced and made available to the public (with an application for approval at PEFC international)”.</p> <p>Compliance: Conformity</p> <p>Justification: VL 004, 4.3 satisfies the requirement.</p>
Process	<p>PEFC Switzerland submitted as a part of the application for the PEFC endorsement a development report that provided basic steps and timetable of the revision process.</p> <p>PEFC Switzerland however has not provided evidence that the report or other document describing the implementation of the revision process would be publicly available.</p>

	<p>Compliance: Minor non-conformity</p> <p>Justification: The PEFC Switzerland's website was checked on 23 September 2013 (both the German as well as the French version) and it does not include any information about the standard setting/revision process.</p>
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PEFC ST 1001, 5.11	
5.11 The standardising body shall formally approve the standards/normative documents based on evidence of consensus reached by the working group/committee.	
Procedures	<p>VL 004, chapter 4.2.3 requires that the working group makes recommendation on the formal approval of the final drafts based on the principle of a consensus and that the Steering Committee decides upon the adoption of the final version.</p> <p>Compliance: Conformity</p> <p>Justification: VL 004, 4.2.3 satisfies the requirement.</p>
Process	<p>PEFC Switzerland provided evidence that on 17 December 2012, PEFC Switzerland organised a joint meeting of the working group and the Steering Committee^[33]. The development report then states that the decision of the Steering Committee to formally adopt the final drafts was unanimous.</p> <p>The adoption by the Steering Committee and the date of the adoption is included at the front page of every document of the scheme.</p> <p>Compliance: Conformity</p> <p>Justification: There is sufficient evidence that the documents were formally adopted by PEFC Switzerland (the Steering Committee). The requirements relating to the consensus reached by the working group are described above.</p>

PEFC ST 1001, 5.12	
5.12 The formally approved standards/normative documents shall be published in a timely manner and made publicly available.	
Procedures	<p>VL 004, 4.3 requires that the final documents adopted by the steering committee shall be published promptly on the website of PEFC Switzerland.</p> <p>Compliance: Conformity</p> <p>Justification: VL 004, 4.3 satisfies the requirement.</p>
Process	<p>PEFC Switzerland's website (www.pefc.ch, both German and French version) includes the forest management standard (ND 003) version from 15 September 2013.</p> <p>The latest version of ND 003 with modifications approved on 14 April 2014 includes an issue and application date set up on 22 May 2014.</p> <p>Compliance: Conformity</p> <p>Justification: Publication of ND 003 (14/04/2014) could not be verified through the PEFC Switzerland website as the issue date was set up on 22 May 2014 and the deadline for the delivery of the report is 20 May 2014.</p> <p>TJConsulting was however assured by PEFC Switzerland that the documents will be available at the PEFC Switzerland's website on 22 May 2014. Taking into</p>

	account that the date is explicitly defined by ND 003, TJConsulting has sufficient confidence that the document will be published as requested.
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PEFC ST 1001, 6.1	
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.	
Procedures	<p>VL 004, ch. 4.2.1 requires that “the steering committee also decides upon the start of the revision process which has to take part every five years.</p> <p>The process shall be started two years before this five-year-period ends to allow sufficient time for the standard setting and endorsement process.”</p> <p>Compliance: Conformity</p> <p>Justification: VL 004 requires both the 5 years revision cycle as well as specifies sufficient time needed to complete the revision.</p> <p>As VL 004 applies explicitly to the revision of the Swiss scheme, all its requirements (chapter 4.2) directly apply to the revision process.</p>
Process	<p>The previous version of the Swiss forest management standard is dated December 2008. PEFC Switzerland started the revision process on 4 April 2012 and completed the process on 17 December 2012.</p> <p>Compliance: Conformity</p> <p>Justification It should be noted that although not explicit, the five – year cycle specified in PEFC ST 1001 should be understood as the cycle between adoption of two standards, in this case, the forest management standard. PEFC Switzerland completed the revision within the five year period from the previous adoption the forest management standard (December 2008-December 2013).</p>

PEFC ST 1001, 6.2	
6.2 The revision shall define the application date and transition date of the revised standards/normative documents.	
Process	<p>The normative documents of the Swiss scheme, including the forest management standard (ND 003) were formally adopted on 17 December 2012. This version of the document did not include a transition date.</p> <p>As a response to the interim assessment report, PEFC Switzerland amended, on 15 September 2013, the standard (ND 003) and also included transition period which is valid until 31 December 2013.</p> <p>On 14 April 2014, PEFC Switzerland adopted modifications to the ND 003 with the issue and application date set up on 22 May 2014 and transition period until 23 May 2015.</p> <p>Compliance: Conformity</p> <p>Justification: ND 003 includes both application as well as transition dates in compliance with the PEFC Council’s requirements.</p>

PEFC ST 1001, 6.3

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

The normative documents of the Swiss scheme, including the forest management standard (ND 003) were formally adopted in 17 December 2012, respectively on 15 September 2013 and this date was included on the front page of the approved documents.

On 14 April 2014, PEFC Switzerland adopted modifications to the ND 003 with the issue and application date set up on 22 May 2014 and transition period until 23 May 2015.

Compliance: Conformity

Justification: ND 003, versions from 17 December 2012 and 15 September 2013 did not mention application date and it is assumed that the application date is the same as the date of these documents approval (i.e. there is no time period between the formal approvals of the documents and a date when the documents can be used for certification purposes.

The application date for ND 003 (14/04/2014) complies with the PEFC requirement.

PEFC ST 1001, 6.4

6.4 The transition date shall not exceed a period of one year except in justified exceptional circumstances where the implementation of the revised standards/normative documents requires a longer period.

Process

The normative documents of the Swiss scheme, including the forest management standard (ND 003) were formally adopted in 17 December 2012, respectively on 15 September 2013 and this date was included on the front page of the approved documents together with the transition period valid until 31 December 2013.

On 14 April 2014, PEFC Switzerland adopted modifications to the ND 003 with the issue and application date set up on 22 May 2014 and transition period until 23 May 2015.

Compliance: Conformity

Justification: The transition periods defined for ND 003 comply with the PEFC requirement.

8.3 Requirements for group forest management certification

8.3.1 Introduction and summary

The PEFC Swiss scheme allows certification at two levels, individual and group certification.

Requirements for the group forest management certification are defined in ND 001⁷. The document allows three types of organisations to become a group member (forest owners, forest managers and forest owners' organisations) and sets responsibilities for a group representative and group members.

This document defines tasks and responsibilities of the group representative and group members; procedures for admittance of new members and members' exclusion; requires contractual relationship between the group members and the group representative; annual audit programme, including a sampling method; documentation of the group and annual review carried out by the group representative.

The Swiss requirements defined in ND 001 sufficiently comply with PEFC ST 1002.

⁷ It should be noted that PEFC Switzerland revised during the assessment process the document for the group certification and changed its identification from ND 002 to ND 001. This assessment report therefore refers to this latest identification although other parts of the Swiss scheme documentation still identify the document for the group certification as ND 002.

8.3.2 Detailed assessment

PEFC ST 1002, 4.1	
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,	<p>ND 001, ch. 4.1 states that the “group” can be formed by forest owners, organisations of forest owners and forest managers with the forest area they are responsible for managing.</p> <p>Conclusion: Conformity</p> <p>Justification: ND 001 satisfies the definition of the “group organisation”.</p>
b) the group entity,	<p>ND 001, ch. 4.3.1 includes requirements for “group representation” as a body that represents the group in the certification and becomes an applicant for the certification process.</p> <p>Chapter 4.3.2 then defines individual tasks of the group representation.</p> <p>Conclusion: Conformity</p> <p>Justification: ND 001 covers that the group representation represents the group and its members. Although ND 001 does not explicitly define that the “group representation” has overall responsibility for ensuring the conformity with the forest management standard, this can be assumed from the range of tasks defined in 4.3.2</p>
c) the participant,	<p>ND 001, ch. 4.3.3.1 defines three types of organisations that can become “group members”: forest owners, forest managers and organisations of forest owners.</p> <p>ND 001, ch. 4.3.3.2 then defines individual tasks of the group members including obligation to manage their forests in compliance with the forest management standard.</p> <p>ND 001, ch. 4.3.3.2 requires that if an organisation of forest owners is registered as a group member (according to 4.3.3.1) the head of that organisation ensures that all requirements compiled in this document are met by all participating forest owners who belong to this organisation.</p> <p>Conclusion: Conformity</p> <p>Justification: ND 001 describes the definition and role of group members in compliance with the definition of the term participant (PEFC ST 1002).</p> <p>In case of a group member (organisation of forest owners) the group member is required to ensure compliance of participating forest owners.</p>
d) the certified area,	<p>ND 001 does not have a definition or requirements defining the term “certified area”. However, ch. 4.1 defines that the forest area</p>

	<p>of [group members] forming a group shall be clearly and definitely delimited.</p> <p>Conclusion: Conformity</p> <p>Justification: Although not explicit that “only” area of group members is considered as a certified area”, it could be implicitly assumed from the wording of 4.1 and the context of the whole document.</p>
e) the group forest certificate, and	<p>ND 001 does not include the definition of the “group certificate”. ND 001, ch. 4.8.1 only includes reference to the “group certificate” in the context that “confirmations of participation” are issued after the group certificate is issued.</p> <p>Conclusion: Conformity</p> <p>Justification: Although not explicit in ND 001, it could be assumed from the differentiation between the “group certificate” and “confirmation of participation” that the group certificate is issued to the group (respectively the group representation).</p>
f) the document confirming participation in group forest certification.	<p>ND 001, ch. 4.8.1 includes requirements for the issuance of “confirmations of participation” issued to “group members” and defines three optional approaches in designing the confirmation.</p> <p>Conclusion: Conformity</p> <p>Justification: All three approaches in designing the confirmation of participation ensure that the “group member” does not receive a certificate on his/her name but a document confirming the participation and referring to the group certificate.</p>

PEFC ST 1002, 4.1.2	Swiss scheme
<p>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.</p>	<p>ND 001, ch. 4.5 requires that “Participants of a group certification cannot at the same time get certified as individual enterprise nor member of another group”.</p>
<p>Conclusion: Conformity</p> <p>Justification: ND 001 does not allow one forest owner to be covered by more than one certification.</p>	

PEFC ST 1002	Swiss scheme
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.	ND 001, ch. 4.3.2 defines requirements for the "group representation" that include management of the group members' participation; definition of objectives and measure; internal audits; annual review; etc.
<p>Conclusion: Conformity</p> <p>Justification: The listed responsibilities of the "group representatives" and the following chapters describing those tasks ensure that there is a central management of the group members' participation and conformity, internal audits and annual review.</p>	

PEFC ST 1002	Swiss scheme
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.	<p>ND 001, ch. 4.6 defines the requirements for annual internal audits; defines the sample of participants to be audited by: $0.6 * \text{square root of } n$, where n is the number of certified enterprises.</p> <p>The same formula is applied for internal audits carried out by organisations of forest owners (according to 4.3.3.1) among their participating members.</p>
<p>Conclusion: Conformity</p> <p>Justification: ND 001, ch. 4.6 defines the requirements for annual internal audits, their scope, periodicity, auditors, and sample size.</p>	

PEFC ST 1002, 4.2.1	Swiss scheme
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;	<p>ND 001, ch. 4.3.2 lists amongst the tasks of the "group representation" to "apply at an accredited certification body and close a contract with them".</p> <p>Conclusion: Conformity</p> <p>Justification: Although ND 001 does not explicitly include "communication and relationships" with the certification body, this could be implicitly assumed from ND 001, 4.3.2.</p>
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;	<p>ND 001, ch. 4.2 requires the group to develop common guiding principles (based on the Swiss scheme documentation) and commit themselves to implementing the certification requirements of PEFC Switzerland.</p> <p>Conclusion: Conformity</p>

	Justification: ND 001 satisfies the requirement.
c) To establish written procedures for the management of the group organisation;	<p>ND 001, ch. 4.3.2 includes amongst the list of tasks of the “group representative” to “generate the necessary documentations, particularly regarding the procedures concerning the group management”.</p> <p>ND 001, ch. 4.4 requires documented procedures for register of members, audit results and review</p> <p>ND 001, ch. 4.6.2 requires documented audit reports.</p> <p>ND 001, ch. 4.8.1 requires procedures for issuance of confirmations for participation.</p> <p>Conclusion: Conformity</p> <p>Justification: It is understood that “necessary documentations” for group management has the same meaning as “procedures”.</p> <p>Although not explicit is it assumed that the “documentation” is in a written form.</p>
<p>d) To keep records of:</p> <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; 	<p>ND 001, ch. 4.3.2 requires the group representative to list of group members and their forest area and register all self-commitments</p> <p>ND 001, ch. 4.4 requires procedures to cover register of all members and their areas; audit results; and annual review; and documentation on the conformity of the group members and on the implementation of corrective measures. A management handbook is given as a suitable instrument for the documentation of these procedures and elements.</p> <p>ND 001, ch. 4.5 requires that the applicant [for group participation] shall submit all documents required according to the forest management standards.</p> <p>ND 001, ch. 4.6.3 requires that a documented audit report shall contain a short description of the main results as well as measures for improvement and corrective actions.</p> <p>Conclusion: Conformity</p> <p>Justification: ND 001 sufficiently covers records-keeping of group members and the size of their forests and total certified area and their conformity with certification requirements, preventive and corrective actions. Although ND 001 does not explicitly require “contact details” of group members, it is expected that this shall be recorded to fulfil other functions of ND 001. It is also assumed that the total certified area can be delivered as a sum of members’ areas that shall be recorded.</p> <p>ND 001 sufficiently covers records of internal audits through a documented audit report (4.6.3).</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>	<p>ND 001, ch. 4.2 requires that [guiding principles] shall be known to all group members and shall be a part of the contractual arrangements for group membership.</p> <p>ND 001, ch. 4.3.3.2 lists amongst the tasks of the group member "obligation to comply with the regulations of the group by signing contract with the group representation".</p> <p>ND 001, ch. 4.3.3.2 also requires that if an organisation of forest owners is registered as a group member (according to 4.3.3.1), the head of that organisation ensures that all requirements compiled in this document are met by all participating forest owners who belong to this organisation.</p> <p>ND 001, ch 4.5 requires that "the certification body shall be informed about a new member after the contract is signed which for example includes the obligation to manage the forests in conformity with the standards."</p> <p>Conclusion: Conformity</p> <p>Justification: Although ND 001 does not explicitly require as a part of the group representative's responsibility the establishment of a contractual relationship with all group members, it can be assumed through various references that there shall be a contract with the group member.</p> <p>Although ND 001 does not explicitly require commitment of a group member to comply with the sustainable forest management standard, it could be assumed that it is covered by the "obligation to comply with the regulation of the group". It could also be assumed that this group members' obligation is sufficient for the group representative to implement the internal audits and related actions. The commitment also covers forest owners who are participating through a forest owners' organisation.</p>
<p>f) To provide participants with a document confirming participation in the group forest certification;</p>	<p>ND 001, ch. 4.8 provides for three options regarding the "confirmation of participation" as well procedures for their issuance.</p> <p>Conclusion: Conformity</p> <p>Justification: ND 001, 4.8 satisfies the requirement.</p>
<p>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;</p>	<p>ND 001, ch 4.3.4 requires that the group members and interested parties are sufficiently informed and involved in the PEFC requirements and the certification process.</p> <p>Conclusion: Conformity</p> <p>Justification: Although not explicitly assigned as the function of the group representative, ND 001</p>

	requires that group members shall receive information relating to the compliance of certification requirements.
h) To operate an annual internal monitoring programme that provides for the evaluation of the participants' conformity with the certification requirements, and;	<p>ND 001, ch. 4.6 includes requirements for annual internal audits, their scope, auditors qualification, reporting and sampling method.</p> <p>Conclusion: Conformity</p> <p>Justification: ND 001 satisfies the requirement.</p>
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.	<p>ND 001, 4.3.2 requires the group representative to carry out an annual review with special focus on evaluating the effectiveness of the corrective measures.</p> <p>ND 001, 4.4 requires documented procedures for review.</p> <p>ND 001, 4.7 requires an annual review to consider results of the audit results and information from external parties.</p> <p>Conclusion: Conformity</p> <p>Justification: ND 001 satisfies the requirements for review, including audits results; and effectiveness of corrective actions.</p>

PEFC ST 1002	Swiss scheme
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;	<p>ND 001, ch. 4.3.3.2 requires the group members to sign a contract with the group representation.</p> <p>ND 001, ch. 4.5 requires members to oblige themselves, within the scope of a contractual arrangement, to observe the rules of the group.</p> <p>Conclusion: Conformity</p> <p>Justification: ND 001 requires a signature of a contract with obligation to comply with the requirements of the group. This is a sufficient commitment of the member.</p>
b) To comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme;	<p>ND 001, ch. 4.3.3.2 requires the group member to comply with the forest management standard.</p> <p>It should be noted that 4.3.3.2 includes an incorrect reference to the forest management standard (ND 005 instead of ND 003).</p> <p>Conclusion: Conformity</p> <p>Justification: The referenced chapter of ND 001 satisfies the requirement.</p>
c) To provide full co-operation and assistance in responding effectively to all requests from the	ND 001, ch. 4.3.3.2 requires the group member to provide information and to provide access to the

<p>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>	<p>forest area and administration for the purpose of both internal audits and external certification and surveillance audits</p> <p>Conclusion: Conformity</p> <p>Justification: The referenced chapter of ND 001 satisfies the requirement.</p>
<p>d) To implement relevant corrective and preventive actions established by the group entity.</p>	<p>ND 001, ch. 4.3.3.2 requires the group member to implement improvement and corrective measures determined by the group representation.</p> <p>Conclusion: Conformity</p> <p>Justification: The referenced chapter of ND 001 satisfies the requirement.</p>

8.4 Requirements for forest management standard

8.4.1 Introduction and summary

The PEFC Swiss scheme defines the requirements for sustainable forest management in normative document ND 003.

ND 003 is logically structured into three standards: Standard 1 – Local communities and employees, Standard 2 – Forest ecosystems and Standard 3 - Management that is further divided into three parts (benefits from forests, operational planning and operational management). Those standards are then further detailed in Checklists for each of the three standards and a separate Checklist for compliance with legal requirements.

ND 003 includes requirements that are applicable at the forest management unit level and that cover both management system requirements as well as detailed performance requirements regulating forest management operations.

The requirements are clear and unambiguous and allow for independent and objective assessment.

Although the Swiss standard is considered of high quality, one minor non-conformity with PEFC ST 1003:2010 have been identified that is however considered as justifiable:

- ND 003 does not include requirements for the conversion of abandoned agricultural and treeless areas (PEFC ST 1003, 5.1.12). It should be noted that this non-conformity is justifiable due to specific conditions in Switzerland.

8.4.2 Detailed assessment

PEFC ST 1003	Swiss scheme
<p>4.1 The requirements for sustainable forest management defined by regional, national or sub-national forest management standards shall</p> <p>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.</p>	<p>ND 003, ch 2 Scope requires that “The standards are applicable to forest management at unit level and to the forest owner/ manager who is responsible for the forest management.”</p>
<p>Conclusion: Conformity</p>	

PEFC ST 1003	Swiss scheme
<p>4.1 The requirements for sustainable forest management defined by regional, national or sub-national forest management standards shall</p> <p>b) be clear, objective-based and auditable.</p>	<p>The requirements of the Standard are applicable are sufficiently clear,, objective based and auditable.</p>
<p>Conclusion: Conformity</p>	

PEFC ST 1003	Swiss scheme
<p>4.1 The requirements for sustainable forest management defined by regional, national or sub-national forest management standards shall</p> <p>c) apply to activities of all operators in the defined forest area who have a measurable impact on achieving compliance with the requirements.</p>	<p>ND 003, ch. 2 Scope requires that “the standards are applicable to forest management at unit level and to the forest owner/ manager who is responsible for the forest management.”</p> <p>ND 003, G 9 requires that “if the forest owner confers forest management or parts of it to a third party (forest manager, forest contractor, etc.), binding commitments are made to ensure the absolute compliance with the National Standards.”</p>
<p>Conclusion: Conformity</p> <p>Justification: G9 requires that a forest owner shall ensure a binding commitment of a third party operating in his/her forests to comply with the forest management standard.</p>	

PEFC ST 1003	Swiss scheme
<p>4.1 The requirements for sustainable forest management defined by regional, national or sub-national forest management standards shall</p> <p>d) require record-keeping that provides evidence of compliance with the requirements of the forest management standards.</p>	<p>ND 003, ch. 3.8 requires that the forest enterprise (if larger than 400 ha: obligatorily) assesses and documents all relevant data for controlling purposes and lists areas of the data to be assessed and documented.</p> <p>ND 003, ch. 3.11 requires records according to ND 003, 3.8 to be kept for at least 5 years.</p>
<p>Conclusion: Conformity</p> <p>Justification: The requirement 3.8 includes areas of data to be recorded. This broadly covers “requirements of the standard”. The conformity has been assigned although the requirement ND 003, 3.8 only applies to forest owners bigger than 400 ha as it is assumed that records keeping for smaller forest owners has significantly lower significance.</p>	

PEFC ST 1003	Swiss scheme
<p>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.</p>	<p>ND 003, ch. 2.6 requires that the management plan contains practical precautional measures to maintain or achieve the objectives of the protective function.</p> <p>ND 003, Standard 3, part A, 3.1 requires sustainability of forest products production.</p> <p>ND 003, Standard 3 part A, 3.2 requires consideration of all environmental and social costs and maintenance of the full productivity of ecosystems.</p> <p>ND 003, Standard 1, 1.4 requires that findings on potential social impacts of forest management are integrated in forest management planning.</p> <p>ND 003, Standard 2, 2.1 requires that environmental impact of forest management operations is evaluated and operation adjusted, 2.2 requires maintenance of ecological functions and values; 2.3 requires measures to avoid soil erosion and protect water resources.</p>
<p>Conclusion: Conformity</p> <p>Justification: Although not all the quoted requirements are directly linked to forest management planning, their implementation, together with other requirements of ND 003, ensure maintenance or an increase of forested areas, and their the economic, ecological, cultural and social values.</p>	

PEFC ST 1003	Swiss scheme
<p>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,</p>	<p>ND 003, Standard 1, 1.4 refers to “findings on potential social impacts of forest management is integrated into forest management planning.</p>

<p>environmental and economic impacts of forest management operations. This shall form a basis for a cycle of continuous improvement to minimise or avoid negative impacts.</p>	<p>ND 003, Standard 2, 2.1 refers to environmental impacts evaluation</p> <p>ND 003, Standard 2, 2.6 refers to forest management plans to include precautional measures to maintain or achieve the objectives of the protective function and annual internal audits</p> <p>ND 003, Standard 3, part A, 3.2 requires consideration of all environmental, social and operational costs</p> <p>ND 003, Standard 3, Part b, 3.4 describes content of forest management plan</p> <p>ND 003, Standard 3, Part C, 3.7 requires regular operational audits.</p> <p>ND 003, Standard 3, Part C, 3.8 requires assessment of relevant data on operational management</p> <p>ND 003, Standard 3, Part C 3.10 requires results of the operational audits to be considered during the implementation and revision of the forest management plan.</p>
<p>Conclusion: Conformity</p> <p>Justification: Although ND 003 Standards do not explicitly describe the cycle of inventory and planning, implementation, monitoring and evaluation, the quoted requirements cover the elements of inventory, planning, implementation, monitoring and evaluation. ND 003 also covers the environmental and social impacts assessment. The continuous improvement is not expressed explicitly but is implicitly achieved by the implementation of particular requirements of ND 003.</p>	

PEFC ST 1003, 5.1.3	Swiss scheme
<p>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.</p>	<p>ND 003, Standard 3, Part b, 3.4 describes content of forest management plan. The forest management plan shall include description of the managed forests, ownership status and rights of use, limiting environmental factors, socio-economic conditions, and adjacent lands, (ii) justification of the annual cut and the tree species selection (harvesting techniques, increment, tariffs, assessment of annual yield, site maps containing recommendations for species selection etc.).</p> <p>It should be noted that chapter 3.5 requires the comprehensive plan for forest owners above 400 hectares. Forest owners small than 400 hectares shall have a written management plan that comprises items of 3.4 b and d.</p>
<p>Conclusion: Conformity</p> <p>Justification: Although ND 003 Standards do not explicitly require forest owner to carry out inventory and mapping of forest resources, it is however implicit that such activities shall be done as their results shall be included in forest management plans.</p>	

Requirements for forest management planning for all forest owners (3.4 b and d) sufficiently satisfy the PEFC requirement.

PEFC ST 1003, 5.1.4	Swiss scheme
<p>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.</p>	<p>ND 003, Standard 3 objective requires keeping the forest management plan up-to-date.</p> <p>ND 003, Standard 3, Part b, 3.4 describes content of forest management plan.</p> <p>ND 003, Indicator 3.4.1 describes details of the forest management plan content.</p> <p>ND 003, Standard 3, Part b, 3.5 requires regular up-date of the forest management plan</p>
<p>Conclusion: Conformity</p> <p>Justification: ND 003 requires forest management planning including its regular update. The requirements apply to all forest owners.</p>	

PEFC ST 1003, 5.1.5	Swiss scheme
<p>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.</p>	<p>ND 003, Standard 3, Part b, 3.4 describes content of forest management plan, including description of the managed forests, management objectives, and justification of annual cut.</p> <p>ND 003, Indicator 3.4.1 describes further details of the forest management plan content.</p> <p>It should be noted that although chapter 3.5 requires “a comprehensive management plans in writing” to forest enterprises bigger than 400 hectares. Forest owners below 400 hectares shall have a written forest management plan that meets the requirements of 3.4 b and d (description of the forest resources and justification of annual allowable cut).</p>
<p>Conclusion: Conformity</p> <p>Justification: ND 003 requires the content of the forest management plan that satisfies the PEFC requirement. For forest owners smaller than 400 hectares the forest management plan does not need to include management objectives (3.4a). However, it is assumed that those could be deduced from other required elements of the plan (3.4 b and d – description of the forest resources, justification of annual allowable cut, harvesting techniques, etc.).</p>	

PEFC ST 1003, 5.1.6	Swiss scheme
<p>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</p>	<p>ND 003, Standard 3, Part b, 3.6 requires that the summary of the key sections of the management plan is available to the public upon request.</p>

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.	
<p>Conclusion: Conformity</p> <p>Justification: ND 003 satisfies the requirement.</p>	

PEFC ST 1003, 5.1.7	Swiss scheme
5.1.7 Monitoring of forest resources and evaluation of their management shall be periodically performed, and results fed back into the planning process.	<p>ND 003, 2.2.1 requires that that forest owner shall have latest information of the enterprise on regeneration and development, structure of the stands, dynamics and structure of natural forest populations</p> <p>ND 003, Standard 3, Part C, 3.7 requires operational audits to be carried out regularly. Indicator 3.7.1. then links the frequency of the “monitoring” to the structure of the enterprise.</p> <p>ND 003, Standard 3, Part C 3.8 requires assessment of data on operational management with minimum specifications given under 5 bullet points.</p> <p>ND 003, Indicator 3.8.1 then specifies preparation of an annual report; Indicator 3.8.2 then requires monitoring of soil and stand damages after harvesting.</p> <p>ND 003, Standard 3, part C, 3.9 requires that the operational audit is considered in the implementation and revision of the management plan.</p>
<p>Conclusion: Conformity</p> <p>Justification: Chapter 3.7 and relating Indicator 3.7.1 and Chapter 3.10 with relating indicator 3.10 satisfies the coverage of the PEFC Council requirement. Although 3.7 and 3.10 are using the term “internal operational audit” it has the same meaning as “monitoring and evaluation”. The term monitoring is then also used in 3.7.1 and 3.10.1.</p> <p>ND 003 does not explicitly mention “monitoring” in 2.2 and 2.2.1, however the requirement for an access to latest information requires that there must be some data collection mechanism in the first place.</p>	

PEFC ST 1003, 5.1.8	Swiss scheme
5.1.8 Responsibilities for sustainable forest management shall be clearly defined and assigned.	<p>ND 003, Standard 1, 1.3 requires that employees are adequately trained and instructed.</p> <p>ND, Indicator 1.3.1 requires a scheme showing the organisation of the enterprise and its human resources; Indicator 1.3.2 specifies that</p>

	employees on all functional levels are educated and trained in the work they are assigned to do.
<p>Conclusion: Conformity</p> <p>Justification: Although ND003 Standards are not explicit that responsibilities shall be clearly defined and assigned and chapter 1.3 and relating Indicators are primarily referring to the education and training, it is implicit through the reference to the “existence of a scheme showing the organisation” (1.3.1) and “assignment of work to individual employees at all level” (1.3.2) that the objective of the PEFC Council requirement is covered by ND 003 Standard.</p>	

PEFC ST 1003, 5.1.9	Swiss scheme
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 minimise direct or indirect damage to forest, soil or water resources.	<p>ND 003, Standard 3, Part A, Objective requires sustainable and efficient use of the forest’s multiple use and services.</p> <p>ND 003, Standard 3, Part A, 3.1 requires that quantity of harvested products is in accordance with permanently sustainable levels.</p> <p>ND 003, Indicator 3.4.4 refers to the sustainable annual harvesting levels, their determination, justification and documentation.</p> <p>ND 003, Standard 3, Part A, 3.3 requires avoiding damages to other forest resources.</p> <p>ND 003, Standard 2, 2.3 requires avoiding soil erosion, damage to the remaining stands and protection of water resources.</p>
<p>Conclusion: Conformity</p> <p>Justification: The referred parts of ND 003 sufficiently cover the PEFC requirement.</p>	

PEFC ST 1003, 5.1.10	Swiss scheme
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.	<p>ND 003, Standard 3, Part A, Objective requires sustainable and efficient use of the forest’s multiple use and services.</p> <p>ND 003, Standard 3, Part A, 3.1 requires that quantity of harvested products is in accordance with permanently sustainable levels.</p> <p>ND 003, Indicator 3.4.4 refers to the sustainable annual harvesting levels, their determination, justification and documentation.</p>
<p>Conclusion: Conformity</p> <p>Justification: It is assumed that the sustainable “level of growing stock” is achieved by the sustainable harvesting level that is covered in the referenced requirements of ND 003 standard.</p>	

PEFC ST 1003, 5.1.11	Swiss scheme
<p>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:</p> <ul style="list-style-type: none"> 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 organisations; 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, 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. 	<p>ND 003, Indicator G16 requires that “The conversion of forest to plantations or non-forest use is not permitted except in cases where a clear felling has been officially evaluated and authorized”.</p> <p>The evaluation and authorisation is based on “Ordinance on Forests” of 30 November 1992^[36] that provides a definition of the deforestation; defines responsible authorities and content of the authorisation; requires compensation in kind (creating a new forest area); requires consultation; requires conservation of arable land and areas of ecological or landscape value.</p>
<p>Conclusion: Conformity</p> <p>Justification: The exemptions allowed by ND 003, G16 does not sufficiently cover four conditions required by the PEFC ST 1003, 5.1.11; the “official evaluation and authorisation” in G16 would only cover bullet point a) of 5.1.11, partially also c and d.</p> <p>However the presented legislation includes procedures and limitations to the deforestation that is broadly compatible with the PEFC requirement. Taking into account socio-economic and political situation in Switzerland, it is assumed that this authorisation will always evaluate the public interest from the deforestation with the necessary environmental damages. A compensation in kind (off-setting the deforested areas with a new forests) is an important element of the legislation.</p>	

PEFC ST 1003, 5.1.12	Swiss scheme
<p>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.</p>	<p>ND 003, Indicator G1 referred to in the Checklist provides a list of applicable legislation. From the list itself it is not evident whether or not it covers the requirement 5.1.12.</p>
<p>Conclusion: Minor non-conformity, justifiable</p> <p>Justification: ND 003 does not include a requirement relating to the issue covered by PEFC ST 1003, 5.1.12.</p> <p>The non-conformity (the fact that the issue is not described in ND 003) is however justifiable as:</p> <ul style="list-style-type: none"> a) it could only apply to forest owners who own both forest and agricultural or treeless land; b) due to the land value, agricultural production is more profitable than forestry and land owners have no incentives to abandon viable agricultural production; 	

c) forest areas are expanding on marginal agricultural land, especially in the Alps and on their foothill pastures that are abandoned. However they are not used for forestry activities and are not subject to forest certification.

PEFC ST 1003, 5.2.1	Swiss scheme
<p>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.</p>	<p>Indicator G 12 relates to the promotion of development and adaptation of environmentally friendly methods of pests control.</p> <p>ND 003, Standard 2, 2.2 requires that ecological functions and values of forests are either maintained intact or enhanced or restored.</p> <p>ND 003, Indicators 2.2.3 promotes natural regeneration; Indicator 2.2.4 refers to tree species indigenous to the site; Indicator 2.2.5 relates to natural dynamics; Indicators 2.2.6 Indicator 2.2.9 relates to structural diversity; Indicator 2.3.1 restricts driving to forest roads and skid trails; Indicators 2.3.4 and 2.3.5 relate to the use of oil in machinery and other chemicals; Indicator 2.4.7 relates to wildlife intensity</p> <p>ND 003, Standard 3, Part A, 3.3 requires minimising waste and avoids damage to other forest resources.</p> <p>ND 003, Indicators 3.3.1 – 3.3.3 then provide details on avoidance of damages by harvesting operation.</p> <p>Note: Indicators 2.5.2, 2.6.2 and 2.6.5 referred to in the Checklist relate to the High Conservation Value Forests (HCVF) and have no or indirect relationship with the forest health and vitality.</p>

Conclusion: Conformity

Justification: ND 003 standard does not have direct requirements for forest management planning to maintain and increase forest health and vitality and for rehabilitation of degraded forest ecosystems.

However, it is assumed and understood that the referenced requirements relating to the tree species composition, structural diversity, natural processes, and avoidance of damages by forest operations have significant impact on forest health and vitality.

In addition, the Swiss federal “Ordinance on Forests”^[36] requires (section 4) measures for “Prevention and remediation of forest damage” that sufficiently cover the objective of this PEFC requirement. The compliance with the PEFC requirement is therefore ensured through the specific referenced requirements of this standard together with the required compliance with the legislation.

PEFC ST 1003, 5.2.2	Swiss scheme
<p>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,</p>	<p>ND 003, Indicator 2.4.7 relates to tolerable wildlife density (under the “evidence” monitoring of damages is mentioned).</p>

<p>and damage caused by climatic factors, air pollutants or by forest management operations.</p>	<p>ND 003, Indicator 3.4.5 requires monitoring of conditions and trends according to the procedures used in respective cantons.</p> <p>ND 003, Standard 3, part C, 3.7 requires regular “internal audits” (monitoring).</p> <p>ND 003, Indicator 3.8.4 requires monitoring of neophytes.</p> <p>It should be noted that the referenced requirements of the standard G5 and G12 have no relevance to the “monitoring of key factors” Indicator G5 relates to burning of undried wood and logging residues; Indicator G 12 refers to environmentally friendly methods for pest control.</p>
<p>Conclusion: Conformity</p> <p>Justification: ND 003 Standard does not have explicit requirements relating to the monitoring of key biotic and abiotic factors, except for 3.8.2 (monitoring of damages by harvesting operation) and for 3.8.4 (monitoring of invasive neophytes).</p> <p>However, some of the ND 003 requirements could be implicitly understood as requiring or facilitating monitoring of those factors (e.g. 2.4.7 for monitoring of wildlife); for 3.4.5 it could be assumed that “monitoring of conditions” according to cantonal procedures would also include monitoring of the key factors; 3.7 requires operational audit (monitoring) and it could be expected that it would cover monitoring of damages by forest management operations.</p> <p>The conformity has also been reported based on the fact that the monitoring of key biotic and abiotic factors is delegated by the “Ordinance on Forests”^[36] (Art 30) to the Swiss Federal Institute for Forest, Snow and Landscape Research (WSL) with the tasks to collect data relevant to forest protection, to provide information about the occurrence of organisms and other factors that may damage the forest and to advise on matters of forest protection.</p>	

PEFC ST 1003, 5.2.3	Swiss scheme
<p>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.</p>	<p>ND 003, Indicator 2.4.7 relates to the tolerable wildlife density (under the “evidence” monitoring of damages is mentioned).</p> <p>ND 003, Indicator 3.4.5 requires monitoring of conditions and trends according to the procedures used in respective cantons.</p> <p>It should be noted that the referenced requirements of the standard G5, 2.3.2, 2.6.6 and G12 have no relevance to the “monitoring of key factors”. Indicator G5 relates to burning of undried wood and logging residues; Indicator 2.3.2 relates to the usage of tires and on-site driving; Indicator 2.6.6-2.6.7 relate to HCVF; Indicator 3.7.1 relates to forest operations monitoring; Indicator 3.8.2 relates to monitoring of harvesting damages;</p>
<p>Conclusion: Conformity</p> <p>Justification: ND 003 Standard does not have explicit requirements relating to the monitoring of key biotic and abiotic factors, except for 2.4.7 where definition of “tolerable wildlife density” is a</p>	

result of consideration of naturally occurring disturbances. Indicator 3.4.5 (“monitoring of conditions” according to cantonal procedures) also relates to the requirement.

Nevertheless, the Swiss federal “Ordinance on Forests”^[36] requires the Swiss Federal Institute for Forest, Snow and Landscape Research (WSL) to collect data relevant to forest protection; to provide information about the occurrence of organisms and other factors that may damage the forest; and to advise in matters of forest protection.

PEFC ST 1003, 5.2.4	Swiss scheme
<p>5.2.4 Forest management plans or their equivalents shall specify ways and means to minimise 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.</p>	<p>ND 003, Standard 2, 2.6 requires that forest management plan includes practical precautional measures to maintain or achieve the objectives of the protective functions. Relating Indicators then refer to HCVF.</p> <p>It should be noted that requirements of 2.5.2 referenced in the Checklist relate to HCVF.</p>
<p>Conclusion: Conformity</p> <p>Justification: The conformity has been reported based on the fact that in addition to the requirement 2.6, the Swiss federal “Ordinance on Forests”^[36] sufficiently requires in Article 28 measures preventing the forest damage and in Article 29 measures for remediation of forest damages. Compliance with the legislation is required by ND 003.</p>	

PEFC ST 1003, 5.2.5	Swiss scheme
<p>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.</p>	<p>ND 003, Indicator 2.2.2 limits the usage of clear felling.</p> <p>ND 003, Indicator 2.2.3 requires natural regeneration; promotion of rare and autochthonous species; if planting is necessary only plants and seed from known and adapted provenances will be used.</p> <p>ND 003, Indicator 2.2.4 promotes tree species indigenous to the site.</p> <p>ND 003, Indicator 2.2.5 requires tolerance to natural occurring in the forests.</p> <p>ND 003, Indicator 2.2.9 requires enhancement of structural diversity.</p> <p>ND 003, Indicator 2.4.5 promotes species indigenous to the site.</p> <p>ND 003, Indicator 2.7.1 limits usage of tree species not adapted to the site.</p>
<p>Conclusion: Conformity</p> <p>Justification: ND 003 standards includes several requirements relating to the species and structural diversity of forests.</p>	

PEFC ST 1003, 5.2.6	Swiss scheme
<p>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.</p>	<p>ND 003, G5 requires that burning of “undried” wood and logging residues is prohibited except on official order.</p>
<p>Conclusion: Conformity</p> <p>Justification: ND 003 Standards satisfy the requirement. It is assumed that within the Swiss forest conditions, there are no other management techniques of using fires than those restricted in ND 003, G5.</p>	

PEFC ST 1003, 5.2.7	Swiss scheme
<p>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 minimise 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.</p>	<p>ND 003, Indicator 2.2.3 requires natural regeneration; promotion of rare and autochthonous species; if planting is necessary only plants and seed from known and adapted provenances will be used.</p> <p>ND 003, Indicator 2.2.4 promotes tree species indigenous to the site.</p> <p>ND 003, Indicator 2.2.6 requires appropriate measures to ensure viable proportion of tree species of the natural forest community.</p> <p>ND 003, Indicator 2.3 includes requirements to avoid soil erosion, damage to the remaining stands and damages to water resources caused by harvesting, roads construction and other mechanical interventions.</p> <p>ND 003, Indicator 2.3.5 requires personnel's knowledge on control and emergency measures relating to oil and chemical leakage.</p> <p>G14 requires controlled storage and usage of fuel and pesticides.</p> <p>G15 refers to the disposal of chemicals, containers, liquid and solid non-organic wastes, including fuel and oil.</p> <p>ND 003, Indicator 2.4.5 promotes species indigenous to the site.</p> <p>ND 003, Indicator 2.7.1 limits usage of tree species not adapted to the site.</p>
<p>Conclusion: Conformity</p> <p>Justification: ND Indicators 2.2.3, 2.2.4, 2.2.6, 2.4.5 and 2.7.1 sufficiently satisfy the requirement for with tree species and provenances that are suited to the site conditions in reforestation and afforestation.</p> <p>ND Indicator 2.3.5, G14 and G 15 sufficiently cover the issue of controlled management of waste.</p> <p>ND 003 2.3 and relating Indicators sufficiently cover the requirement for avoidance of damage by forest operations.</p>	

PEFC ST 1003, 5.2.8	Swiss scheme
5.2.8 The use of pesticides shall be minimised and appropriate silvicultural alternatives and other biological measures preferred.	ND 003, G12 requires promotion of environmentally friendly methods of pest control without chemicals; and avoids pesticides usage in groundwater protection zones.
Conclusion: Conformity Justification: ND 003 sufficiently covers the requirement.	

PEFC ST 1003, 5.2.9	Swiss scheme
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.	<p>ND 003, G12 requires promotion of environmentally friendly methods of pest control without chemicals and limits the usage of pesticides to those permitted by the Federal Office for the Environment (BAFU).</p> <p>ND 003, G12 prohibits aerial usage of pesticides, especially the use of chemicals which are belonging to WHO types 1A or 1B.</p> <p>The only exceptions are on the one hand the punctual treatment of log piles outside groundwater protection zones if other economically reasonable measures are not possible, and on the other hand measures on official order.</p>
Conclusion: Conformity Justification: ND 003 does restrict the usage of WHO type 1A and 1B pesticides. Exemptions defined in the standard are justifiable and in compliance with exemptions allowed by PEFC ST 1003, 5.2.9 ("where no other viable alternative is available").	

PEFC ST 1003, 5.2.10	Swiss scheme
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.	<p>ND 003, G12 requires promotion of environmentally friendly methods of pest control without chemicals and limits the usage of pesticides to those permitted by the Federal Office for the Environment (BAFU).</p> <p>PEFC Switzerland provided a response to the draft interim report with the reference to the website of the BAFU^[37] from which should be evident that WHO 1a and 1b are not allowed http://www.bafu.admin.ch/wald/01170/01197/index.html?lang=de</p> <p>PEFC Switzerland also provided a screenshot of the website of the WSL (Swiss Federal Institute for Forest, Snow and Landscape Research)^[38] which provides a list of chemical pesticides allowed to be used in forestry</p>

	http://www.wsl.ch/fe/walddynamik/waldschutz/wsi/nfo/Pflanzenschutzmittel/rundholz_DE
<p>Conclusion: Conformity</p> <p>Justification: ND 003 does not restrict the usage of chlorinated hydrocarbons. The BAFU website^[37] provided by PEFC Switzerland did not include information allowing to confirm the PEFC Switzerland’s claim that the WHO 1a and 1b pesticides are banned.</p> <p>WSL website^[38] does not list amongst the allowed pesticides any of the chlorinated hydrocarbons. Although PEFC Switzerland did not provide legal evidence that chlorinated hydrocarbons are banned in Switzerland, based on the WSL website it is highly probable that those pesticides (insecticides) are banned.</p> <p>Switzerland has signed (23/05/2001) and ratified (30/07/2003) the Stockholm Convention. This provides sufficient confidence that the pesticides (or their agents) which are banned by the Conventions are also banned by the Swiss authorities.</p>	

PEFC ST 1003, 5.2.11	Swiss scheme
<p>5.2.11 The use of pesticides shall follow the instructions given by the pesticide producer and be implemented with proper equipment and training.</p>	<p>ND 003, G12 requires that if pesticides are used the user must possess a license for use.</p> <p>ND 003, G13 requires that “pesticides used by the enterprise are documented on an up-to-date list that specifies trade name and active agent. The specific instruction manual must be followed. If the instructions do not specify the area of application, the method and amount of use, these details are documented on the same list. The quantity of used agent is documented.”</p> <p>ND 003, G15 refers to the disposal of chemicals.</p> <p>ND 003, Indicator 2.3.5 requires personnel’s knowledge on control and emergency measures relating to oil and chemical leakage.</p>
<p>Conclusion: Conformity</p> <p>Justification: ND 003 sufficiently requires the proper use of pesticides in compliance with the PEFC requirement. It is assumed that the training is an integral part of the formal license for use of pesticides.</p>	

PEFC ST 1003, 5.2.12	Swiss scheme
<p>5.2.12 Where fertilisers are used, they shall be applied in a controlled manner and with due consideration for the environment.</p>	<p>ND 003, G12 and G15 (referred to in the Checklist) are dealing with pest control (G12) and disposal of chemicals (G15).</p> <p>PEFC Switzerland provided applicable federal legislation “Ordinance on the reduction of hazards by chemicals”^[39]. Annex 2.6, Article 3.3.1(5) prohibits using fertilisers in forests.</p>
<p>Conclusion: Conformity</p> <p>Justification: The use of fertilisers in forests is prohibited by the Swiss legislation^[39]</p>	

PEFC ST 1003, 5.3.1	Swiss scheme
<p>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.</p>	<p>ND 003, Standard 3, Part A, Objective encourages the sustainable and efficient use of multiple forest products and services.</p> <p>ND 003, Standard 3, 3.1 requires sustainable quantity of harvested products</p> <p>ND 003, Indicator 3.1.1 requires that planning shows which products and services are intended to be used and where and that the productivity of ecosystems is to be maintained.</p> <p>ND 003, Standard 3, 3.2 requires maintaining full productivity of ecosystems.</p> <p>ND 003, Standard 3, 3.4 requires justification of annual cut, increment, assessment of annual yield as a part of the forest management plan</p>
<p>Conclusion: Conformity</p> <p>Justification: The referenced requirements of ND 003 sufficiently cover the requirement</p>	

PEFC ST 1003, 5.3.2	Swiss scheme
<p>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.</p>	<p>ND 003, Standard 3, 3.2 requires that forest owners strive toward economic profitability.</p> <p>ND 003, Indicator 3.2.1 require management according to economic principles;</p>
<p>Conclusion: Conformity</p> <p>Justification: The referenced requirements satisfy the PEFC requirement.</p>	

PEFC ST 1003, 5.3.3	Swiss scheme
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.	<p>ND 003, Standard 3, 3.4 defines content of the management plan including management objectives</p> <p>ND 003, Indicator 3.4.1 includes further details for the forest management plans, including identification of forests with various functions.</p>
<p>Conclusion: Conformity</p> <p>Justification: The referenced requirements of ND 003 sufficiently cover the requirement.</p>	

PEFC ST 1003, 5.3.4	Swiss scheme
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.	<p>ND 003, Standard 3, Part 3 Objectives encourages sustainable and efficient use of the forest's multiple products and services and provide a wide range of environmental and social benefits.</p> <p>ND 003, Indicator 3.3.1 requires documentation of income from public ecological services, marketing of nature conservation services and secondary forest products.</p> <p>ND 003, Indicators 3.9.1, 3.9.2 refers to the documentation of sales and traceability of forest products.</p>
<p>Conclusion: Conformity</p> <p>Justification: The referenced requirements of ND 003 sufficiently cover the requirement</p>	

PEFC ST 1003, 5.3.5	Swiss scheme
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.	<p>ND 003, Standard 2, Objectives require maintenance of soil fertility</p> <p>ND 003, Standard 2, 2.3 requires avoidance of erosion and damage to remaining stands</p> <p>ND 003, Indicator 2.1.1 requires that for operations that may cause inevitable environmental impairment, the concrete potential effects and identified protective measures are defined and implemented (e.g. soil protection)</p> <p>ND 003, Indicator 2.3.1 restricts driving to forest roads and skid trails</p> <p>ND 003, Indicator 2.3.2 restricts the usage of tires of machinery</p> <p>ND 003, Standard 3, 3.2 requires maintenance of full productivity of forests</p>

	<p>ND 003, Indicator 3.3.1 requires appropriate measures for the protection of remaining stands, natural regeneration, soil and water quality and wildlife</p> <p>ND 003, Indicator 3.3.2 requires that logging practices are selected in a way to avoid stems breaks, timber devaluation and damages to remaining stands</p> <p>ND 003, Indicator 3.4.6 requires that the selection of harvesting techniques and equipment are justified according to defined criteria (relief, forest condition, soil condition, etc.)</p> <p>ND 003, Indicator 3.8.2 requires monitoring of soil and stand damages after harvesting, including corrective actions</p>
<p>Conclusion: Conformity</p> <p>Justification: The referenced requirements of ND 003 sufficiently satisfy the requirement.</p>	

PEFC ST 1003, 5.3.6	Swiss scheme
<p>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.</p>	<p>ND 003, Standard 3, Part 3 Objectives encourages sustainable and efficient use of the forest's multiple products and services</p> <p>ND 003, Standard 3, 3.1 requires permanently sustainable level of the quantity of harvested products</p> <p>ND 003, Indicator 3.1.1 requires maintenance of productivity of ecosystems in production of wood and non-wood products.</p> <p>ND 003, Indicator 3.3.3 requires that harvest residues must remain in stands due to long-term nutrition supply.</p> <p>ND 003, Standard 3, 3.4 requires justification of annual cut as a part of the forest management plan</p> <p>ND 003, Indicator 3.4.4 requires determination, justification and documentation of sustainable harvesting levels.</p>
<p>Conclusion: Conformity</p> <p>Justification: The referenced requirements of ND 003 sufficiently satisfy the requirement.</p>	

PEFC ST 1003	Swiss scheme
<p>5.3.7 Where it is the responsibility of the forest owner/manager and included in forest management, the exploitation of non-timber forest products, including hunting and fishing, shall be regulated, monitored and controlled.</p>	<p>ND 003, G1 requires documents specifying current rights of use (e.g. hunting rights, exploitation rights for mineral resources) if they are not fixed in a land register</p> <p>ND 003, Standard 3, Part 3 Objectives encourages sustainable and efficient use of the forest's multiple products and services</p> <p>ND 003, Standard 3, 3.1 requires permanently sustainable level of the quantity of harvested products and to compile a list of the certified forest products</p> <p>ND 003, Indicator 3.1.1 requires planning of production of all products and services</p> <p>ND 003, Indicator 3.2.3 requires documentation of service supplied and income from public ecological services, marketing of nature conservation services and secondary products.</p> <p>ND 003, Standard 3.9 and relating Indicator 3.9.1 requires chain of custody and traceability of all forest products</p>
<p>Conclusion: Conformity</p> <p>Justification: The referenced requirements of ND 003 sufficiently satisfy the requirement taking into account the scope and scale of non-wood forest products production in Switzerland.</p>	

PEFC ST 1003, 5.3.8	Swiss scheme
<p>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 minimising negative impacts on the environment.</p>	<p>ND 003, Indicator 1.4.5 requires publication of forest road construction plans complying with cantonal regulations.</p> <p>ND 003, Standard 2, 2.3 requires elaboration, documentation and implementation of adequate regulations for avoidance of soil erosion and damage to the remaining stands by road construction.</p> <p>ND 003, Indicator 2.1.2 requires that measures in forests outside forest management shall be officially licensed (e.g. building permits).</p> <p>ND 003, Indicator 2.3.1 restricts driving to forest road and skid trails; and provides requirements for building a skid trail system.</p> <p>ND 003, Indicator 2.3.6 requires that forest roads and trails must be closed for the use of motor vehicles outside the forest sector.</p> <p>ND 003, Indicator 3.4.1 requires that "forest opening up/skid trail system design shall be a</p>

	<p>part of the management plan and supporting documents.</p> <p>ND 003, Indicator 3.4.6 includes requirements for the selection of harvesting techniques and equipment (including skid trail design).</p>
<p>Conclusion: Conformity</p> <p>Justification: ND 003 Standard sufficiently covers planning of road construction; establishment and maintenance of skid trail system and, in general, avoidance of infrastructure negative impacts on the environment.</p>	

PEFC ST 1003, 5.4.1	Swiss scheme
<p>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.</p>	<p>ND 003, Standard 2, Objective requires “conservation of biological diversity and its associated values ... and that it maintains the ecological functions and the integrity of the forests”</p> <p>ND 003, Standard 2.2 requires either maintenance or enhancement or restoration of ecological functions and values.</p> <p>ND 003, 2.4 requires that safeguards exist to protect rare, threatened and endangered species; establishment of conservation zones and protection areas.</p> <p>ND 003, Indicator, 2.4.1 requires establishment of forest reserves based on existence of “approved cantonal concept”.</p> <p>ND 003, Indicator 2.4.3 requires planning for and mapping of known populations of endangered species and their habitats as well as legally protected areas.</p> <p>ND 003, 2.5-2.6 relates to forest of high conservation value and their registration in forest management plan (2.5), including precautionary measures to maintain or achieve the objectives of the protective functions.</p> <p>Note: The definition of the forests with high conservation value covers (i) “protection against natural hazards and (ii) nature and landscape (Indicator 2.5.1).</p> <p>ND 003, Indicators 2.5.1 to 2.6.7 provides detailed provisions for the registration, planning and monitoring of the high conservation value forests.</p> <p>ND 003, Indicator 3.4.1 provides for the content of forest management plans including forests with special biological diversity values.</p>
<p>Conclusion: Conformity</p>	

Justification: ND 003 Standard sufficiently covers the requirement for biological diversity to be considered by planning. Maps and plans are included in the “Checks” section of ND 003

PEFC ST 1003, 5.4.2	Swiss scheme
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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:

a) protected, rare, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes;

b) areas containing endemic species and habitats of threatened species, as defined in recognised reference lists;

c) endangered or protected genetic *in situ* resources; and taking into account

d) globally, regionally and nationally significant large landscape areas with natural distribution and abundance of naturally occurring species.

ND 003, Standard 2, Objective requires conservation of biological diversity and its associated values ... and that it maintains the ecological functions and the integrity of the forests

ND 003, Standard 2.2 requires either maintenance or enhancement or restoration of ecological functions and values

ND 003, 2.4 requires that safeguards exist to protect rare, threatened and endangered species; establishment of conservation zones and protection areas

ND 003, Indicator, 2.4.1 requires establishment of forest reserves based on existence of “approved cantonal concept”.

ND 003, Indicator 2.4.3 requires planning for and mapping of known populations of endangered species and their habitats as well as legally protected areas.

ND 003, 2.5-2.6 relates to forest of high conservation value and their registration in forest management plan (2.5), including precautionary measures to maintain or achieve the objectives of the protective functions.

ND 003, Indicator 2.5.1 provides definition of HCVFs as:

a) Forests with priority function “protection against natural hazards” (protection of settlements and infrastructure)

b) Naturally historically valuable forests with priority function “nature and landscape” (protection of habitats of rare and sensitive animal and plant species, genetic reserves and nationally or regionally representative landscape structures).

ND 003, Indicators 2.5.1 to 2.6.7 provides detailed provisions for the registration, planning and monitoring of the high conservation value forests.

ND 003, Indicator 3.4.1 provides for the content of forest management plans including forests with special biological diversity values.

Conclusion: Conformity

Justification: ND 003 Standard sufficiently covers the requirement for ecologically important forest areas.

- ND 003, 2.4 and concept of HCVF cover the element of habitats of rare, protected and threatened species,

- HCVF concept (2.5-2.6 and related Indicators) cover all aspects of PEFC ST 1003, 5.4.2 a-d;
- Cantonal concept of natural reserves (ND 003, 2.4.1), including forest owners participation provide further contribution to biodiversity protection.

PEFC ST 1003, 5.4.3	Swiss scheme
<p>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.</p>	<p>ND 003, 2.4 requires that safeguards exist to protect rare, threatened and endangered species; establishment of conservation zones and protection areas</p> <p>ND 003, Indicator 2.4.3 requires planning for and mapping of known populations of endangered species and their habitats as well as legally protected areas.</p> <p>ND 003, 2.5-2.6 relates to forest of high conservation value and their registration in forest management plan (2.5), including precautionary measures to maintain or achieve the objectives of the protective functions.</p> <p>ND 003, Indicator 2.5.1 includes habitats of rare and sensitive animal and plant species within the definition.</p>
<p>Conclusion: Conformity</p> <p>Justification: ND 003 Standard sufficiently covers the protection of protected and endangered species and their habitats.</p> <p>The Standard does not prohibit commercial utilisation of those species. However, it is assumed that this is covered by the legislation referenced by ND 003 and that protected and endangered species in Switzerland do not have commercial utilisation value.</p>	

PEFC ST 1003, 5.4.4	Swiss scheme
<p>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.</p>	<p>ND 003, 2.2 requires that the ecological functions and values are maintained, enhanced or restored by forest regeneration and succession.</p> <p>ND 003, Indicator 2.2.3 requires preference to natural regeneration; if planting is necessary only plants and seed from known and adapted provenances will be used.</p>
<p>Conclusion: Conformity</p> <p>Justification: The referenced provisions of ND 003 standard sufficiently cover the requirement 5.4.4.</p>	

PEFC ST 1003, 5.4.5	Swiss scheme
<p>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 minimised.</p>	<p>ND 003, 2.2 requires that the ecological functions and values are maintained, enhanced or restored by forest regeneration and succession.</p> <p>ND 003, Indicator 2.2.3 requires preference to natural regeneration; if planting is necessary only plants and seed from known and adapted provenances will be used.</p> <p>ND 003, Indicator 2.2.4 promotes tree species indigenous to the site,</p> <p>ND 003, Indicator 2.2.6 requires appropriate measures to ensure viable proportion of tree species of the natural forest community</p> <p>ND 003, Indicator 2.4.5 requires 100% of species indigenous to the site on sites with rare natural forest associations</p> <p>ND 003, Standard 2, 2.7 restricts the use of introduced species.</p> <p>ND 003, Indicator 2.7.1 limits usage of tree species not adapted to the site.</p>
<p>Conclusion: Conformity</p> <p>Justification: The referenced provisions of ND 003 Standard sufficiently covers requirement 5.4.5.</p>	

PEFC ST 1003, 5.4.6	Swiss scheme
<p>5.4.7 Afforestation and reforestation activities that contribute to the improvement and restoration of ecological connectivity shall be promoted.</p>	<p>ND 003, Standard 2, Objective requires conservation of biological diversity and its associated values ... and that it maintains the ecological functions and the integrity of the forests</p> <p>ND 003, Standard 2.2 requires either maintenance or enhancement or restoration of ecological functions and values</p> <p>ND 003, 2.4 requires that safeguards exist to protect rare, threatened and endangered species; establishment of conservation zones and protection areas</p> <p>ND 003, Indicator, 2.4.1 requires establishment of forest reserves based on existence of "approved cantonal concept" ..</p>
<p>Conclusion: Conformity</p> <p>Justification: ND 003 satisfies the requirement.</p>	

PEFC ST 1003, 5.4.7	Swiss scheme
5.4.7 Genetically-modified trees shall not be used.	ND 003, 2.2.3 requires that “Genetically modified organisms are not used”.
Conclusion: Conformity Justification: ND 003 satisfies the requirement.	

PEFC ST 1003, 5.4.8	Swiss scheme
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.	<p>ND 003, 2.2 requires that the ecological functions and values are maintained, enhanced or restored by genetic, species and ecosystem diversity.</p> <p>ND 003, Indicator 2.2.2 makes limitation to clear felling with justifiable exceptions.</p> <p>ND 003, Indicator 2.2.3 requires preference to natural regeneration</p> <p>ND 003, Indicator 2.2.4 requires that larger part of the stand contains tree species indigenous to the site.</p> <p>ND 003, Indicator 2.2.6 requires appropriate measures to ensure viable proportion of tree species of the natural forest community.</p> <p>ND 003, Indicator 2.2.9 requires enhancement of the structural diversity at all altitudes.</p> <p>ND 003, Indicator 2.4.5 requires 100% of species indigenous to the site on sites with rare natural forest associations.</p> <p>ND 003, Indicator 2.4.6 requires maintenance and enhancement of pioneer species and shrubs.</p> <p>ND 003, Indicator 3.4.3 requires that the desired species composition considers natural forest associations.</p>
Conclusion: Conformity Justification: The referenced provisions of ND 003 Standard satisfy both the structural diversity of forest stands (limitation of clear felling, preference to natural regeneration, enhancement of structural diversity) as well as species diversity (natural regeneration, species indigenous to the site, pioneer species and shrubs).	

PEFC ST 1003, 5.4.9	Swiss scheme
<p>5.4.9 Traditional management systems that have created valuable ecosystems, such as coppice, on appropriate sites shall be supported, when economically feasible.</p>	<p>ND 003, Indicator 2.6.1 requires special management of HCVPs and consultation with stakeholders.</p> <p>ND 003, Indicator 2.6.6 requires that tree monuments, exceptional individual trees and culturally and historically important sites in the forest are preserved.</p>
<p>Conclusion: Conformity</p> <p>Justification: Although ND 003 Standard does not have an explicit requirement relating to “traditional management system”, the referenced provisions are focused on protection and special management of “special sites”. It is assumed that this management, where appropriate and necessary, will utilise management systems techniques that created those sites.</p>	

PEFC ST 1003, 5.4.10	Swiss scheme
<p>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.</p>	<p>ND 003, Standard 2, 2.1 requires that the environmental impact of forest management operations is evaluated and the operation is adjusted based on their effect.</p> <p>3.4.6ND 003, Indicator 2.1.1 requires that for operations that may cause inevitable environmental impairment, the concrete potential effects and identified protective measures are defined and implemented (e.g. soil protection).</p> <p>ND 003, Standard 2, 2.3 requires avoidance of erosion and damage to remaining stands</p> <p>ND 003, Indicator 2.3.1 restricts driving to forest roads and skid trails.</p> <p>ND 003, Indicator 2.3.2 restricts the usage of tires of machinery.</p> <p>ND 003, Indicator 3.3.1 requires appropriate measures for the protection of remaining stands, natural regeneration, soil and water quality and wildlife.</p> <p>ND 003, Indicator 3.3.2 requires that logging practices are selected in a way to avoid stems breaks, timber devaluation and damages to remaining stands.</p> <p>ND 003, Indicator 3.4.6 requires that the selection of harvesting techniques and equipment are justified according to defined criteria (relief, forest condition, soil condition, etc.).</p> <p>ND 003, Indicator 3.8.2 requires monitoring of soil and stand damages after harvesting.</p>

Conclusion: Conformity

Justification: The referenced provisions of ND 003 standard sufficiently cover the requirement.

PEFC ST 1003, 5.4.11	Swiss scheme
<p>5.4.11 Infrastructure shall be planned and constructed in a way that minimises 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.</p>	<p>ND 003, Indicator 2.1.1 requires that for operations that may cause inevitable environmental impairments the concrete potential effects are identified, protective measures are defined and implemented, (road construction is given as “evidence, check”)</p> <p>ND 003, Indicator 2.1.2 requires that measures in forests outside forest management shall be officially licensed (e.g. building permits)</p> <p>ND 003, Standard 2, 2.3 requires elaboration, documentation and implementation of adequate regulations for avoidance of soil erosion and damage to the remaining stands by road construction,</p> <p>ND 003, Indicator 2.3.1 restricts driving to forest road and skid trails; and provides requirements for building a skid trail system</p> <p>ND 003, Indicator 2.3.6 requires that forest roads and trails must be closed for the use of motor vehicles outside the forest sector.</p> <p>ND 003, Indicator 3.4.1 requires that “forest opening up/skid trail system design shall be a part of the management plan and supporting documents.</p> <p>ND 003, Indicator 3.4.6 includes requirements for the selection of harvesting techniques and equipment (including skid trail design).</p>
<p>Conclusion: Conformity</p> <p>Justification: Although the standard does not include comprehensive requirements on infrastructure planning and construction, the referenced requirements of ND 003 Standard sufficiently satisfy the requirement for avoidance of damage made by the infrastructure construction.</p>	

PEFC ST 1003, 5.4.12	Swiss scheme
<p>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.</p>	<p>ND 003, Indicator 2.4.7 requires that forest owner aims for a wildlife density which is tolerable for the ecosystem and which allows all main tree species to regenerate naturally. TO achieve this, he cooperates with hunters and hunting authorities.</p>
<p>Conclusion: Conformity</p>	

Justification: The referenced indicator sufficiently covers the requirement

PEFC ST 1003, 5.4.13	Swiss scheme
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.	<p>ND 003, Indicator 2.2.7 requires the forest owner to leave dead wood and hollow trees (biotope trees) standing. Lying deadwood is principally left dying.</p> <p>ND 003, Indicator 2.2.8 includes requirements relating to old forest patches</p>
<p>Conclusion: Conformity</p> <p>Justification: The referenced indicators sufficiently covers the requirement</p>	

PEFC ST 1003, 5.5.1	Swiss scheme
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.	<p>ND 003, Indicator 2.1.1 requires that for operations that may cause inevitable environmental impairments the concrete potential effects are identified, protective measures are defined and implemented (e.g. soil protection).</p> <p>ND 003, Standard 2, 2.3 requires that in order to avoid soil erosion and damage to the remaining stand by harvesting operations, forest road construction and other mechanical interventions, adequate regulations are elaborated, documented and implemented. The protection of water re-sources is guaranteed.</p> <p>ND 003, 2.5.1 – 2.6.4 requires a comprehensive approach in identifying and protecting HCVFs. The HCVFs also covers with priority function “protection against natural hazards” (protection of settlements and infrastructure) (2.5.1).</p> <p>ND 003 Indicator 3.4.1 requires the plans to include forests with protection function (both soil and water)</p>
<p>Conclusion: Conformity</p> <p>Justification: The referenced indicators sufficiently cover the requirement</p>	

PEFC ST 1003, 5.5.2	Swiss scheme
5.5.2 Areas that fulfil specific and recognised protective functions for society shall be registered and mapped, and forest management plans or their equivalents shall take these areas into account.	<p>ND 003, Standard 2, 2.3 requires avoidance of erosion by elaboration, documentation and implementation of regulations; protection of water resources is guaranteed.</p> <p>ND 003, Indicator 2.3.3 requires special management regime in ground water and</p>

	<p>springwater protection zones; to be verified by maps</p> <p>ND 003, Standard 2, 2.5-2.7 requires protection of HCVFs</p> <p>ND 003, Indicators 2.5.1 then classifies forest with priority function “protection against natural hazards (protection for settlements and infrastructure).</p> <p>ND 003, Indicators 2.5.2 requires “special requirements” for HCVFs to be recorded in the planning</p> <p>ND 003, Indicator 3.4.1 requires “groundwater protection zones being included in in plans and supporting documentation.</p>
<p>Conclusion: Conformity</p> <p>Justification: The referenced indicators sufficiently cover the for consideration of forests with soil protection function in forest management plans (see 2.5-2.6 and related Indicators)</p> <p>HCVFs cover forests with soil protection function – “protection against natural hazards (protection for settlements and infrastructure)”.</p> <p>ND 003, 2.3 and Indicators 2.3.3 requires identification and special considerations for water protection zones; Indicator 3.4.1 requires water protection zones being included in forest management plans.</p>	

PEFC ST 1003, 5.5.3	Swiss scheme
<p>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 minimise the pressure of animal populations.</p>	<p>ND 003, Indicator 2.1.1 requires identification of effects of operations causing inevitable environmental impairment; and definition and implementation protective measures (e.g. soil protection);</p> <p>ND 003, Indicator 2.2.2 restricts clear-felling</p> <p>ND 003, Standard 2, 2.3 requires avoidance of erosion by elaboration, documentation and implementation of regulations; protection of water resources is guaranteed.</p> <p>ND 003, Indicator 2.3.1 restricts driving to forest roads and skid trails</p> <p>ND 003, Indicator 2.3.2 restricts the usage of tires</p> <p>ND 003, Indicator 2.3.3 requires special management regime in ground water and springwater protection zones; to be verified by maps</p> <p>ND 003, Indicator 2.4.7 refers to wildlife density tolerable for the ecosystems</p> <p>ND 003, Standard 2, 2.5-2.7 requires protection of HCVFs</p>

	<p>ND 003, Indicators 2.5.1 then classifies forest with priority function “protection against natural hazards (protection for settlements and infrastructure).</p> <p>ND 003, Indicators 2.5.2-2.6.7 then requires special management in HCVPs.</p> <p>ND Indicator 3.3.1 requires appropriate measures for protection of soil and water quality.</p> <p>ND Indicator 3.4.6 requires the selection of harvesting techniques and equipment based on defined criteria (relief, forest condition, soil condition)</p>
<p>Conclusion: Conformity</p> <p>Justification: The referenced indicators sufficiently cover the requirements for erosion control, usage of suitable techniques and machinery and wildlife density control.</p>	

PEFC ST 1003, 5.5.4	Swiss scheme
<p>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 resources. Inappropriate use of chemicals or other harmful substances or inappropriate silvicultural practices influencing water quality in a harmful way shall be avoided.</p>	<p>ND 003, Indicator 2.1.1 requires identification of effects of operations causing inevitable environmental impairment; and definition and implementation protective measures (e.g. soil protection).</p> <p>ND 003, Standard 2, 2.3 requires avoidance of erosion by elaboration, documentation and implementation of regulations; protection of water resources is guaranteed.</p> <p>ND 003, Indicator 2.3.3 requires special management regime in ground water and springwater protection zones; to be verified by maps.</p> <p>ND 003, Indicator 2.3.4 requires usage of biodegradable chain oils and hydraulic liquids.</p> <p>ND Indicator 2.3.5 requires competences and training of forest personnel to control and eliminate leakage of oil and chemicals.</p> <p>ND Indicator 3.3.1 requires appropriate measure for protection of soil and water quality.</p> <p>ND 003, Indicator 2.4.7 refers to wildlife density tolerable for the ecosystems.</p>
<p>Conclusion: Conformity</p> <p>Justification: The referenced provisions sufficiently cover the requirements for avoidance of adverse effects on water resources and inappropriate usage of chemicals.</p>	

PEFC ST 1003, 5.5.5	Swiss scheme
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<p>5.5.5 Construction of roads, bridges and other infrastructure shall be carried out in a manner that minimises 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.</p>	<p>ND 003, Indicator 2.1.1 requires identification of effects of operations causing inevitable environmental impairment; and definition and implementation protective measures (e.g. soil protection);</p> <p>ND 003, Indicator 2.1.2 requires official licenses (e.g. building permits) for measures outside forest management but carried out by forest management enterprises.</p> <p>ND 003, Standard 2, 2.3 requires elaboration, documentation and implementation of adequate regulations for avoidance of soil erosion and damage to the remaining stands by road construction.</p> <p>ND 003, Indicator 2.3.1 restricts driving to forest road and skid trails; and provides requirements for building a skid trail system.</p> <p>ND 003, Indicator 2.3.6 requires that forest roads and trails must be closed for the use of motor vehicles outside the forest sector.</p> <p>ND 003, Indicator 3.4.1 requires that “forest opening up/skid trail system design shall be a part of the management plan and supporting documents.</p> <p>ND 003, Indicator 3.4.6 includes requirements for the selection of harvesting techniques and equipment (including skid trail design).</p>
<p>Conclusion: Conformity</p> <p>Justification: The referenced provisions sufficiently cover the requirements for avoidance of negative impacts to water resources and soil by infrastructure building.</p>	

PEFC ST 1003, 5.6.1	Swiss scheme
<p>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.</p>	<p>ND 003, Standard 1, Objective requires maintenance and enhancement of the social and economic well-being of forest workers and local communities.</p> <p>ND 003, Standard 1, 1.1 and Indicators 1.1.1 and 1.1.3 supports local employment and local enterprises and competitors.</p> <p>ND 003, Standard 1, 1.4 requires that findings on potential social impacts to be integrated into forest management planning.</p> <p>ND 003, standard 3, Objective refers to a wide range of environmental and social benefits.</p> <p>ND 003, Standard 3, 3.4 requires description of socio-economic conditions in forest management plans.</p>

Conclusion: Conformity

Justification: The referenced provisions sufficiently cover the requirements for multiple functions of forest to society to be aimed at.

PEFC ST 1003, 5.6.2	Swiss scheme
<p>5.6.2 Forest management shall promote the long-term health and well-being of communities within or adjacent to the forest management area.</p>	<p>ND 003, Standard 1, Objective requires maintenance and enhancement of the social and economic well-being of forest workers and local communities.</p> <p>ND 003, Standard 1, 1.1 and Indicators 1.1.1 and 1.1.3 supports local employment and local enterprises and competitors.</p> <p>ND 003, Indicator 1.1.2 refers to the use of forests by local schools and educational establishments.</p>
<p>Conclusion: Conformity</p> <p>Justification: Taking into account socio-economic conditions of Switzerland, especially its economic prosperity, social network and governmental role in ensuring health and well-being of the society, ND 003 standard sufficiently covers the long-term well-being of local communities.</p>	

PEFC ST 1003, 5.6.3	Swiss scheme
<p>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, recognised and respected.</p>	<p>ND 003, Standard 3. 3.4 and indicator 3.4.1 requires that forest management plan shall include ownership status and rights of use.</p> <p>ND 003, Indicator G7 requires that forest owner holds documents and plans indicating property and ownership.</p> <p>ND 003, Indicator G8 requires documentation indicating the current rights of use (e.g. hunting rights, exploitation rights for mineral resources).</p>
<p>Conclusion: Conformity</p> <p>Justification: Taking into account socio-economic conditions of Switzerland, especially limited possibilities on conflicts in property, land-use and other customary, or traditional rights, ND 003 standard sufficiently covers the requirement 5.6.3.</p>	

PEFC ST 1003, 5.6.4	Swiss scheme
<p>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</p>	<p>Although the Swiss application refers to several provisions relevant to the requirement 5.6.4 (indigenous people rights), it is assumed that there are no “indigenous people” in Switzerland as defined by ILO 169 or the UN Declaration of the Rights of Indigenous Peoples.</p>

decisions whilst respecting the processes and roles and responsibilities laid out in the policies and laws where the certification takes place.	
<p>Conclusion: Not - applicable</p> <p>Justification: The requirement is deemed as not–applicable as there are no indigenous peoples in Switzerland (as defined by ILO 169 or the UN Declaration of the Rights of Indigenous Peoples).</p>	

PEFC ST 1003, 5.6.5	Swiss scheme
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.	<p>ND 003, Indicator 1.1.2 requires that forests can be used by local schools and educational establishments.</p> <p>ND 003, Indicator 3.4.1 requires that the forest management plan includes recreational and tourism areas.</p> <p>PEFC Switzerland submitted the Swiss Civil Code ^[40] which provides (Art 699) public access to forests: “Any person has the right to enter woodlands and meadows and to gather wild berries, fungi and the like to the extent permitted by local custom except where the competent authority enacts specific limited prohibitions in the interests of conservation.”</p>
<p>Conclusion: Conformity</p> <p>Justification: Public access to forests is guaranteed by the Swiss Civil Code and does not therefore need to be required by ND 003.</p>	

PEFC ST 1003, 5.6.6	Swiss scheme
5.6.6 Sites with recognised 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.	ND 003, Indicator 2.6.5 requires that tree monuments, exceptional individual trees, and culturally and historically important sites in the forest are preserved.
<p>Conclusion: Conformity</p> <p>Justification: ND 003 satisfies the requirement.</p>	

PEFC ST 1003, 5.6.7	Swiss scheme
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	ND 003 Indicator 1.4.3 requires to inform public and provide it with access to information where significant regenerative felling of stands takes place in forests with “nature and landscape” and “recreation” priority.

<p>encouraging 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.</p>	<p>ND 003, Indicators 2.2.2 limits clear-cutting.</p> <p>ND 003 Indicator 2.2.3 supports natural regeneration.</p> <p>ND 003, Indicator 2.2.4 and 2.4.5 support indigenous species.</p> <p>ND 003, Indicator 2.2.7 requires dead and hollow trees.</p> <p>ND 003, Indicator 2.2.8 refers to old forest patches.</p> <p>ND 003, Indicator 2.2.9 supports structural diversity.</p> <p>ND 003, Indicator 2.4.5 requires protection of tree monuments, exceptional trees.</p> <p>ND 003, Indicator 2.4.6 refers to pioneer species and shrubs.</p> <p>ND 003, Indicator 2.5.1 requires identification and protection of HCVFs.</p>
<p>Conclusion: Conformity</p> <p>Justification: Indicator 2.4.5 has a direct link to the aesthetic and recreational purposes of forests. Although aesthetic perception can be highly subjective, other referenced requirements that ensure more species and structurally diverse forests (although primarily focused on forests' biodiversity) have positive impact on aesthetic and recreational role of forests.</p>	

PEFC ST 1003, 5.6.8	Swiss scheme
<p>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.</p>	<p>ND 003, Standard 1, 1.1 requires support to further education of employees.</p> <p>ND 003, Indicators 1.1.3 requires that training positions and internships are provided to local applicants.</p> <p>ND 003, Indicator 1.1.4 requires that forest enterprise provides information on training and consultation to forest owners.</p> <p>ND 003, Indicator 1.2.2 requires that all working in forests not covered by the Regulations for worker's safety of the Accident Insurance Law (mainly forest owners working in forest themselves) shall have training on health and safety.</p> <p>ND 003, Standard 1, 1.3 requires that personnel and forest workers and trained and instructed in order to guarantee a professional implementation of planned measures.</p> <p>ND 003, Indicator 1.3.1 (only applicable to forest enterprises >400 hectares) requires records on the organisation and human resources and their competences</p>

	<p>ND 003, Indicator 1.3.2 requires that employees on all levels are educated and trained in the work they are assigned to.</p> <p>ND 003, Indicator 1.3.3 refers to regular further education and training</p> <p>ND 003, Indicator 2.3.5 refers to competencies of forest staff control and elimination of leakage of chemicals.</p>
<p>Conclusion: Conformity</p> <p>Justification: The referenced provisions sufficiently cover the requirement for personnel competencies and training.</p>	

PEFC ST 1003	Swiss scheme
<p>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.</p>	<p>ND 003, Standard 1, 1.2 requires that relevant experience and knowledge (to health safety and rights of all employees) of local people and residents is used most effectively.</p> <p>ND 003, Indicator 1.1.1 requires preference of local employment and use of local contractors</p> <p>ND 003, Indicator 1.4.2 requires that public gets the possibility to place their interest in the superior level planning.</p> <p>ND 003, Indicator 1.4.4 provides for public consultation during the planning process</p> <p>ND 003, Indicator 1.4.6 provides for mechanisms for dispute settlement</p> <p>ND 003, Indicator 2.5.1 requires experts and stakeholders consultation in the identification of HCvFs</p>
<p>Conclusion: Conformity</p> <p>Justification: ND 003 does not provide an explicit requirement to use local forest related knowledge.</p> <p>However, it is assumed that most of local forest-related knowledge has been externalised and institutionalised. Taking into account these socio-economic conditions of Switzerland, the ND 003 requirements for employment of local people and contractors (1.1.1) and public, experts and stakeholders consultation (1.4.2, 1.4.4, 1.4.6 and 2.5.1) is sufficient to meet the objective of PEFC ST 1003 requirement 5.6.9.</p>	

PEFC ST 1003, 5.6.10	Swiss scheme
<p>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</p>	<p>ND 003, Indicator 1.4.2 requires that public gets the possibility to place their interest in the superior level planning.</p> <p>ND 003, Standard 1, 1.4 requires consensus-based solution with those affected by forest</p>

<p>management between forest operators and local people.</p>	<p>management operations and appropriate dispute settlement procedures.</p> <p>ND 003, Indicator 1.4.4 provides for public consultation during the planning process.</p> <p>ND 003, Indicator 1.4.6 provides for mechanisms for dispute settlement.</p> <p>ND 003, Indicator 2.5.1 requires experts and stakeholders consultation in the identification of HCVFs.</p>
<p>Conclusion: Conformity</p> <p>Justification: The referenced provisions of ND 003 sufficiently cover the requirement.</p>	

<p>PEFC ST 1003, 5.6.11</p>	<p>Swiss scheme</p>
<p>5.6.11 Forestry work shall be planned, organised 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.</p>	<p>ND 003, Standard 1, 1.2 requires forest management operations to be carried out in accordance or exceeding relevant legislation and regulations regarding health, safety and rights of all employees.</p> <p>ND 003, Indicator 1.2.1 requires that forest enterprise shall define and implement safety arrangements.</p> <p>ND 003, Indicator 1.2.2 requires that all persons working in forests who are not covered the safety legislation (e.g. forest owners) shall prove their education and training on job safety</p> <p>ND 003, Indicator 1.2.3 requires supervision of the compliance with safety regulations, use of personal safety equipment</p> <p>ND 003, Indicator 1.4.1 refers to health studies on health effects to be considered in the management plan and further measures.</p> <p>ND 003, Indicator 1.3.2 requires education and training of all personnel.</p>
<p>Conclusion: Conformity</p> <p>Justification: ND 003 Standard includes several provisions relating to the health and safety. Implicitly it could be assumed that studies referred to in 1.4.1 includes identification of health and accident risks and that their consideration in management plans results in preventive measures.</p>	

<p>PEFC ST 1003, 5.6.12</p>	<p>Swiss scheme</p>
<p>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.</p>	<p>ND 003, Standard 1, 1.2 requires forest management operations to be carried out in accordance or exceeding relevant legislation and regulations regarding health, safety and rights of all employees.</p>

	<p>ND 003, Indicator 1.2.1 requires that forest enterprise shall define and implement safety arrangements.</p> <p>ND 003, Indicator 1.2.2 requires that all persons working in forests who are not covered by the safety legislation (e.g. forest owners) shall prove their education and training on job safety.</p> <p>ND 003, Indicator 1.2.3 requires supervision of the compliance with safety regulations, use of personal safety equipment</p> <p>ND 003, Indicator 1.4.1 refers to health studies on health effects to be considered in the management plan and further measures.</p> <p>ND 003, Indicator 1.3.2 requires education and training of all personnel.</p> <p>ND 003, G11 requires that "Forest enterprises are all under the authority of SUVA, who supervises work safety".</p>
<p>Conclusion: Conformity</p> <p>Justification: ND 003 Standard includes several provisions relating to the health and safety. Additional requirements are included in the Swiss health and safety regulation (UvG) which ND 003 G1 requires adherence to.</p>	

PEFC ST 1003, 5.6.13	Swiss scheme
<p>5.6.13 Forest management shall comply with fundamental ILO conventions.</p>	<p>ND 003, G11 requires compliance with ILO 87, 98 and 154</p> <p>ND 003, Standard 1, 1.2 requires compliance with the relevant legislation and regulations regarding workers rights (including the ILO Conventions).</p> <p>ND 003, G1 includes Labour protection act (ArG) within the definition of applicable legislation</p>
<p>Conclusion: Conformity</p> <p>Justification: Switzerland has ratified all 8 ILO fundamental Conventions (http://www.ilo.org/dyn/normlex/en/f?p=1000:11200:0::NO::P11200_COUNTRY_ID:102861) and all of the ratifications are in force.</p> <p>ND 003 Standard makes an explicit reference to the labour related legislation (1.2 and G1).</p> <p>Therefore there is sufficient confidence that the fundamental ILO Conventions are enforced through the Swiss national legislation and implemented in forest certification through the required compliance with the labour related legislation.</p>	

PEFC ST 1003, 5.6.14	Swiss scheme
<p>5.6.14 Forest management shall be based inter-alia on the results of scientific research. Forest</p>	<p>ND 003, Standard 3, 3.5 and related indicator 3.5.2 require new scientific and technical</p>

<p>management shall contribute to research activities and data collection needed for sustainable forest management or support relevant research activities carried out by other organisations, as appropriate.</p>	<p>findings to be incorporated forest management planning.</p>
<p>Conclusion: Conformity</p> <p>Justification: The referenced requirements in ND 003 (3.5 and 3.5.2) require usage of the research by forest enterprises.</p> <p>Switzerland has established a federal research institution The Swiss Federal Institute for Forest, Snow and Landscape Research (WSL) that is responsible for the forest related research. The publications are available to forest owners and managers (see www.wsl.ch, www.waldwissen.ch).</p>	

PEFC ST 1003, 5.7.1	Swiss scheme
<p>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.</p>	<p>ND 003, Ch. 2 requires forest management to comply with all applicable laws in Switzerland, pays all applicable fees contributions, taxes and other public royalties. The forest owner/manager shall commit himself to manage the forests according to those provisions.</p> <p>ND 003 , G1 provides a list of the critical applicable legislation</p>
<p>Conclusion: Conformity</p> <p>Justification: The referenced requirements in ND 003 require the forest owner to comply with applicable legislation. The list of the relevant legislation in chapter to and G1 covers forest management practices, nature and environmental protection, protected and endangered species, property and tenure rights, health, labour and safety, payment of royalties and taxes.</p>	

PEFC ST 1003, 5.7.2	Swiss scheme
<p>5.7.2 Forest management shall provide for adequate protection of the forest from unauthorised activities such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities.</p>	<p>ND 003, Indicator 2.1.2 requires that measures undertaken by third parties outside forest management shall be officially licensed.</p> <p>ND 003, Indicator 2.3.6 requires that forest roads and trails must be closed for the use of motor vehicles. In case of non-compliance the forest owner informs the relevant authorities.</p>
<p>Conclusion: Conformity</p> <p>Justification: Taking into account the socio-economic conditions of Switzerland and functioning and effectiveness of its law enforcement bodies, ND 003 provisions limiting access by motor vehicles and the official licensing of non-forest activities are sufficient to meet the objective of the standard.</p>	

8.5 Assessment of the chain of custody requirements

VL 001 (Principles of the Certification System) includes a statement in chapter 2 (Scope) that PEFC Switzerland adopted PEFC Council's international chain of custody standard (PEFC ST 2002:2010), without any alteration, for the purposes of any PEFC chain of custody certifications in Switzerland.

VL 001, chapter 3 (References) includes document ND 004 named "Chain of custody requirements" amongst the "normative documentation" of the PEFC Switzerland's documentation.

PEFC Switzerland submitted as a response to the interim assessment standard ND 004 document with an official title "Produktkettennachweis von Holzprodukten – Anforderungen" and the front page of the document includes a statement that this is a German translation of PEFC ST 2002:2013⁸.

By adopting the PEFC International chain of custody standard (PEFC ST 2002:2013), the PEFC Switzerland complies with the PEFC Council requirements for chain of custody.

⁸ PEFC ST 2002:2013, a new version of the PEFC chain of custody standard has been adopted by the PEFC Council in May 2013. For this reason there are inconsistencies in the references throughout the PEFC Swiss documentation, in particular between VL 001 and ND 004.

8.6 Requirements for certification bodies

8.6.1 Requirements for chain of custody certification bodies

The PEFC Swiss scheme defined the requirements for certification bodies in VL 002 (Requirements for certification bodies and auditors). During the assessment process, PEFC Switzerland decided to revise its documentation and split the VL 002 document into VL 002-1 with requirements for certification bodies for forest management and VL 002-2 with requirements for certification bodies for chain of custody certification.

VL 002-2, with a formal title “Anforderungen an Zertifizierungsstellen – Produktkettennachweis von Holzprodukten (Chain-of-Custody)”, adopted on 13 August 2013 with transition period until 31 December 2013, is the German translation of PEFC ST 2003:2012⁹.

Although tender dossier of 29 April 2013 requires that the assessment of certification and accreditation procedures would be carried out against Annex 6 of the PEFC Council Technical Document, it is assumed that **through the adoption of PEFC ST 2003:2012 the scheme sufficiently complies with the PEFC Council requirements for chain of custody certification bodies** and that the requirements of Annex 6 are not applicable for this assessment (for chain of custody certification bodies)¹⁰.

⁹ PEFC ST 2003:2012 is the PEFC Council’s International Standard that defines “requirements for certification scheme users” and it is expected that this document will be adopted by those individual PEFC schemes that are using the PEFC Council’s international chain of custody standard (PEFC ST 2002:2010) rather than to be used as the meta-standard for the purposes of an assessment of scheme specific requirements.

¹⁰ Therefore, in chapter 7.4.2.2, Annex 6 is only used for the assessment of the scheme’s requirements for certification bodies operating forest management certification. The requirements specific to the chain of custody certification are identified as “not applicable”.

8.6.2 Assessment of requirements for forest management certification bodies

8.6.2.1 Introduction and summary

Coverage and scope of requirements

The assessment of requirements for certification bodies operating forest management certification is carried out against Annex 6 of the PEFC Council Technical Document. Those parts of the requirements that refer to the chain of custody certification are not considered.

The PEFC Swiss scheme defined the requirements for certification bodies in VL 002 (Requirements for certification bodies and auditors). During the assessment process, PEFC Switzerland decided to revise its documentation and split the VL 002 document into VL 002-1 with requirements for certification bodies for forest management and VL 002-2 with requirements for certification bodies for chain of custody certification.

Therefore, the assessment is based on VL 002-1 (Requirements for certification bodies – forest management) and VL 001 (Principles of the certification system) and concluded that the Swiss scheme sufficiently complies with the PEFC Council requirements of Annex 6.

Certification and accreditation framework

The PEFC Swiss scheme has chosen to consider forest management certification as “product certification” and requires the certification bodies to comply with and to be accredited against EN 45 011; The scheme requires an accreditation issued by an accreditation body that meets ISO 17011 and is a member of the International Accreditation Forum (IAF). By requiring the accreditation body’s logo to be displayed on the certificate, the documentation requires the certification to be carried out within the scope of the issued accreditation (“accredited” certification).

It should be noted that EN 45 011 (CEN’s identification of ISO Guide 65) has been replaced by ISO 17065:2012. As the scheme’s revision was carried out during 2012, it did not have the opportunity to incorporate the ISO standard. Nevertheless, the old references in the scheme documentation should not have any impact on practical implementation of the certification scheme as all accreditation bodies (members of IAF) will apply the new ISO 17065 standard within the internationally agreed transition period.

Competence of the certification body

VL 002-1 does not explicitly define requirements for the competence of certification bodies. It is however generally understood that the competence of the certification body is delivered by the competence of its personnel (see also competence requirements for certification bodies defined in ISO 17065 or ISO 17021). The qualification and other competence criteria defined by VL 002-1 for auditors have therefore been considered as sufficient to demonstrate the certification bodies’ competence and sufficiently comply with the PEFC requirements.

Requirements relating to ISO 19011

The PEFC Council states that the scheme documentation shall require certification bodies to meet general criteria of ISO 19011 for auditors and the certification process. VL 002-1 makes appropriate references to ISO 19011¹¹. It should also be noted that VL 002-1 does

¹¹ It should be noted that a significant part of ISO 19011 has been incorporated into 17021 and this PEFC Council’s requirement could be considered as redundant for those scheme referring to ISO 17021. However, the Swiss scheme has decided to consider its forest management certification as “product” certification governed by ISO Guide 65 (EN 45011).

not include a list of normative references and does not include full and complete identification of ISO 19011 (i.e. ISO 19011:2011). It is therefore assumed that PEFC Switzerland refers to the latest edition of the ISO 19011 standard (ISO 19011:2011).

Control of the PEFC Logo

The scheme requires the certification body to control the usage of the PEFC Logo where the certified entity is the PEFC Logo user.

PEFC notification of certification bodies

VL 002-1 includes a chapter named “appointment / admission” of certification bodies” that requires certification bodies to be “appointed/admitted” by “PEFC Secretariat”. Although it could be assumed that the term “appointment/admission” means “PEFC notification”, it gives false impression that the “PEFC Secretariat” appoints the certification body for the individual certification work. It is assumed that this is a result of inappropriate translation as the German version of chapter 5 is named “Notifizierung von Zertifizierungsstellen”.

PEFC Switzerland’s document VL 005 named „Procedures for the Notification of Certification Bodies and Issuance of Logo Usage Licenses” covers procedures for the issuance of PEFC notifications by PEFC Switzerland. Those procedures are deemed non-discriminatory.

8.6.2.2 Detailed assessment

Annex 6 of the PEFC TD	Swiss scheme
<p>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?</p>	<p>VL 002-1 does not include explicit requirements that the certification body shall not be a governing or the decision making body in the standard setting and shall be independent of the certified entity.</p> <p>Based on VL 004 and other documentation it is however assumed and confirmed that PEFC Switzerland is the only governing body of the Swiss scheme; chapter 4.2.1 of VL 004 states that the Steering Committee of the PEFC Switzerland is the decision making body in the standard setting process. Neither Statutes nor any other scheme documentation allows PEFC certification to operate as the certification body.</p> <p>VL 002-1, ch. 4.2 requires the certification body to meet (to be accredited against) EN 45011.</p>
<p>Conclusion: Conformity</p> <p>Justification: VL 002-1 does not include explicit requirements that the certification body shall not be a governing or the decision making body in the standard setting and shall be independent of the certified entity.</p> <p>However, as VL 004 clearly states that PEFC Switzerland Steering Committee is the decision making body in the standard setting, it is evident that certification bodies cannot have governing or decision making role in the development or revision of the Swiss scheme.</p> <p>The referenced document EN 45 011 sufficiently covers the requirements of the impartiality of the certification body towards the certified client.</p>	

Annex 6 of the PEFC TD	Swiss scheme
<p>Does the scheme documentation require that certification body for forest management certification or chain of custody certification against a scheme specific chain of custody standard shall fulfil requirements defined in ISO 17021 or ISO Guide 65?</p>	<p>VL 002-1, ch. 4.2 requires the certification body to meet (to be accredited against) EN 45011.</p>
<p>Conclusion: Conformity</p> <p>Justification: EN 45011 is identical (European identification given by CEN) with ISO Guide 65.</p>	

Annex 6 of the PEFC TD	Swiss scheme
<p>Does the scheme documentation require that certification bodies carrying out forest certification shall have the technical competence in forest management on its</p>	<p>VL 002-1, 4.2 requires that the certification body guarantees competence in forestry, with regard to the requirements for admitted auditors”.</p>

<p>economic, social and environmental impacts, and on the forest certification criteria?</p>	<p>VL 002-1, ch. 4.3 includes requirements for auditors that cover the technical competence in forest management.</p>
<p>Conclusion: Conformity</p> <p>Justification: Although VL 002 does not define competence criteria at the level of the certification body, it is generally assumed that the competence of the certification body is delivered through the competence of its personnel (see the competence requirements defined in ISO 17065 or ISO 17021).</p> <p>VL 002-1 sufficiently defines the competence criteria for auditors. However, it should be noted that this is not done for other personnel of the certification body included in the certification process, i.e. contract review, audit report review and certification decision making.</p>	

Annex 6 of the PEFC TD	Swiss scheme
<p>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 or C-o-C certifications?</p>	<p>VL 002-1, ch. 4.3 includes requirements for auditors that cover good knowledge of the standards and procedures of PEFC Switzerland.</p>
<p>Conclusion: Conformity</p> <p>Justification: Although VL 002-1 does not define competence criteria at the level of the certification body, it is generally assumed that the competence of the certification body is delivered through the competence of its personnel.</p> <p>VL 002-1, 4.3 requires auditors to have good knowledge of the standards and procedures of PEFC Switzerland</p>	

Annex 6 of the PEFC TD, 3.2	Swiss scheme
<p>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 or chain of custody certification?</p>	<p>VL 002-1, ch. 4.3 includes requirements for technical competence of auditors in forestry related issues, auditing experience and compliance with ISO 19011.</p>
<p>Conclusion: Conformity</p> <p>Justification: VL 002 covers the requirement.</p>	

Annex 6 of the PEFC TD, 3.2	Swiss scheme
<p>Does the scheme documentation require that the auditors must fulfil the general criteria of ISO 19011 for Quality Management Systems auditors or for Environmental Management Systems auditors?</p>	<p>VL 002-1, ch. 4.3 includes requirements for auditors compliance with ISO 19011.</p>
<p>Conclusion: Conformity</p>	

Justification: VL 002-1 covers the requirements.

Annex 6 of the PEFC TD, 3.2	Swiss scheme
Does the scheme documentation include additional qualification requirements for auditors carrying out forest management or chain of custody audits?	VL 002-1, ch. 4.3 requires auditors to have university education in forestry or environmental science and practical experience in forestry.
Conclusion: Not mandatory requirement	

Annex 6 of the PEFC TD, 3.2	Swiss scheme
Does the scheme documentation require that certification bodies shall have established internal procedures for forest management and/or chain of custody certification?	The Swiss scheme (neither VL 001 nor VL 002-1) requires the certification body to have internal procedures for forest management certification. VL 002-1, ch. 4.2 requires the certification body to meet (to be accredited against) EN 45011.
<p>Conclusion: Conformity</p> <p>Justification: Although the scheme does not have an explicit requirement for certification body's internal procedure, this requirement is met through the reference to EN 45 011 where chapter 4.5.3 requires the certification body to have a "quality manual" with details specified under bullet points a-n.</p>	

Annex 6 of the PEFC TD, 4	Swiss scheme
Does the scheme documentation require that applied certification procedures for forest management certification or chain of custody certification against a scheme specific chain of custody standard shall fulfil or be compatible with the requirements defined in ISO 17021 or ISO Guide 65?	VL 002-1, ch. 4.2 requires the certification body to meet (to be accredited against) EN 45011.
<p>Conclusion: Conformity</p> <p>Justification: EN 45011 is identical (European identification given by CEN) with ISO Guide 65.</p>	

Annex 6 of the PEFC TD, 4	Swiss scheme
Does the scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011?	VL 002-1, ch. 4.2 requires that auditing procedures correspond to the conditions of ISO 19011.

Conclusion: Conformity

Justification: VL 002-1 satisfies the PEFC requirement.

Annex 6 of the PEFC TD, 4	Swiss scheme
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?	VL 002-1, ch. 4.1 requires that certification body controls the use the PEFC logo by certificate holders and participating forest owners.
<p>Conclusion: Conformity</p> <p>Justification: VL 002-1 covers the requirement.</p>	

Annex 6 of the PEFC TD, 4	Swiss scheme
Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?	VL 001, ch. 6.3.3.2 requires that “during the validity period of the certificate the on-site-audits shall be conducted as surveillance audits annually”.
<p>Conclusion: Conformity</p> <p>Justification: The referenced chapter in VL 001 covers the requirement.</p>	

Annex 6 of the PEFC TD, 4	Swiss scheme
Does a maximum period for assessment audit not exceed five years for both forest management and chain of custody certifications?	VL 001, ch. 6.4 requires that “The certificate has a validity of five years. This period of time starts with the positive attestation of conformity by the certification body”.
<p>Conclusion: Conformity</p> <p>Justification: The referenced chapter in VL 001 covers the requirement.</p>	

Annex 6 of the PEFC TD, 4	Swiss scheme
Does the scheme documentation include requirements for public availability of certification report summaries?	VL 001, ch. 6.3.1 requires that “The certification body produces a report on the results of the evaluation carried out and presents it to the applicants. A resume of the most important results shall be made accessible to the public”.
<p>Conclusion: Conformity</p> <p>Justification: The referenced chapter in VL 001 covers the requirement.</p>	

Annex 6 of the PEFC TD, 4	Swiss scheme
Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?	VL 001, ch. 6.3.1 requires that “The audit will occur under the following aspects: Consideration of relevant information from external parties as appropriate.”
Conclusion: Conformity Justification: The referenced chapter in VL 001 covers the requirement.	

Annex 6 of the PEFC TD, 4	Swiss scheme
Does the scheme documentation include additional requirements for certification procedures?	VL 001 includes additional requirements for the certification process.
Conclusion: Not mandatory requirement	

Annex 6 of the PEFC TD, 5	Swiss scheme
Does the scheme documentation require that certification bodies carrying out forest management and/or chain of custody certification shall be accredited by a national accreditation body?	VL 002-1, ch. 4.2 requires that the certification body shall be accredited by a national accreditation body, member of the International Accreditation Forum.
Conclusion: Conformity Justification: The referenced chapter in VL 002-1 covers the requirement.	

Annex 6 of the PEFC TD, 5	Swiss scheme
Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?	VL 001, ch. 6.4 requires that after the positive evaluation by the certification body, the applicant gets a certificate from the certification body, which displays both the logo of the certification body and the logo of the accreditation body.
Conclusion: Conformity Justification: The referenced chapter in VL 001 covers the requirement.	

Annex 6 of the PEFC TD, 5	Swiss scheme
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	VL 002-1, ch. 4.2 requires that the certification shall be accredited by a national accreditation body, that is a member of the International

<p>or a member of IAF's special recognition regional groups and which implement procedures described in ISO 17011 and other documents recognised by the above mentioned organisations?</p>	<p>Accreditation Forum and that operates according to ISO 17011.</p>
<p>Conclusion: Conformity Justification: The referenced chapter in VL 002-1 covers the requirement.</p>	

Annex 6 of the PEFC TD, 5	Swiss scheme
<p>Does the scheme documentation require that certification body undertake forest management or/and chain of custody certification against a scheme specific chain of custody standard as "accredited certification" based on ISO 17021 or ISO Guide 65 and the relevant forest management or chain of custody standard(s) shall be covered by the accreditation scope?</p>	<p>VL 002, ch. 4.2 requires that the certification shall be accredited by a national accreditation body that is a member of the International Accreditation Forum.</p> <p>VL 001, ch. 6.4 requires that the applicant gets a certificate from the certification body, which displays both the logo of the certification body and the logo of the accreditation body.</p>
<p>Conclusion: Conformity Justification: Although the Swiss scheme does not have an explicit requirement that the certification body shall carry out the forest management certification as "accredited certification" (i.e. within the scope of valid accreditation), the requirement in VL 001, 6.4 for an accreditation body's logo being displayed on the certificate ensures that the certification is carried out as an "accredited" certification and that the certificate is issued as an "accredited" certificate.</p>	

Annex 6 of the PEFC TD, 5	Swiss scheme
<p>Does the scheme documentation include a mechanism for PEFC notification of certification bodies?</p>	<p>VL 002-1, ch. 5 includes requirements for appointment of certification bodies (admission) of certification bodies by PEFC Switzerland.</p> <p>PEFC Switzerland also submitted document VL 005 named „Procedures for the Notification of Certification Bodies and Issuance of Logo Usage Licenses" that covers procedures for the issuance of PEFC notifications by PEFC Switzerland.</p>
<p>Conclusion: Conformity Justification: The Swiss scheme does have requirements for "appointment / admission" of certification bodies which in principle seem to cover the scope of the "PEFC notification". It is assumed that the term used in VL 002-1 is a result of an inappropriate translation as in the original German version chapter 5 is named "Notifizierung von Zertifizierungsstellen". Procedures for the PEFC Switzerland's notification of certification bodies are defined in VL 005.</p>	

Annex 6 of the PEFC TD, 5	Swiss scheme
Are the procedures for the notification of certification bodies non-discriminatory?	VL 005 requires that the notification of certification bodies shall not be discriminatory.
<p>Conclusion: Conformity</p> <p>Justification: VL 005 satisfies the requirement.</p>	

8.7 Requirements for dispute settlement procedures in the administration of the PEFC scheme

8.7.1 Introduction and summary

The PEFC Council requirements for the dispute settlement in the administration of the PEFC scheme are defined in PEFC GD 1004:2009, ch. 8.1 and require that “*The PEFC Council and the authorised bodies shall have written procedures for dealing with complaints relating to the governance and administration of the PEFC scheme.*” The scope of the term “administration of the PEFC scheme” is further clarified as activities of the PEFC authorised body for a) PEFC notification of certification bodies, b) PEFC Logo usage licensing and c) operation of the PEFC Registration System.

PEFC Switzerland defines its dispute settlement procedures in VL 003. The assessed document for the dispute settlement (VL 003) specifies in chapter 4.2 that its procedures also apply to complaints with respect to the administration of the Swiss PEFC system.

VL 003 requires PEFC Switzerland to: confirm to the complainant its receipt of the complaint; undertake an impartial investigation of the complaint; provide notification to the parties involved about the results of the complaint’s resolution and include corrective and preventive measures in the dispute settlement decision. Those procedures sufficiently cover requirements of PEFC GD 1004, 8.1 and 8.2 a-d.

8.7.2 Detailed assessment

PEFC GD 1004, 8.1

8.1 ...the authorised bodies shall have written procedures for dealing with complaints relating to the governance and administration of the PEFC scheme.

VL 003 (Procedures for dispute settlement), ch. 4.1 covers within the cases for dispute settlement “Complaints with respect to the administration of the Swiss PEFC system”.

Compliance: Conformity

Justification: PEFC Switzerland has procedures that cover complaints arising from the administration of the PEFC scheme.

PEFC GD 1004, 8.2

8.2a [Upon receipt of the complaint, the procedures shall provide for]: acknowledgement of the complaint to the complainant

VL 003 (Procedures for dispute settlement), ch. 4.3 requires that that “the application for the initiation of a dispute settlement procedure has to be addressed to the PEFC secretariat” and that “the PEFC-secretariat will confirm the applicant the receipt of the application”.

Compliance: Conformity

Justification: VL 003 requires the acknowledgement of the complaint.

8.2b [Upon receipt of the complaint, the procedures shall provide for]: gathering and verification of all necessary information, validation and impartial evaluation of the complaint, and decision making on the complaint

VL 003 (Procedures for dispute settlement), ch. 4.3 requires that the complaint is investigated by a dispute settlement body, requires meeting of the body and in complicated cases participation of an independent expert. A final decision is made by the dispute settlement body.

VL 003, ch. 4.2 requires that the dispute settlement body is appointed by the steering committee of PEFC Switzerland on an ad hoc basis and that members of the dispute settlement body are independent and impartial.

Compliance: Conformity

Justification: VL 003 requires impartial investigation and decision making of the complaint.

8.2c [Upon receipt of the complaint, the procedures shall provide for]: formal communication of the decision on the complaint and the complaint handling process to the complainant and concerned parties

VL 003 (Procedures for dispute settlement), ch. 4.3 requires that the PEFC-secretariat is responsible for informing the involved parties on the result of the of dispute settlement.

Compliance: Conformity

Justification: Based on assumption that the complainant is always the “involved party”, VL 003 requires communication of the result of the dispute resolution to the complainant.

8.2d [Upon receipt of the complaint, the procedures shall provide for]: appropriate corrective and preventive actions.

VL 003 (Procedures for dispute settlement), ch. 4.3 requires that the decision of the dispute settlement body is binding and terminates the dispute settlement of PEFC Switzerland and that it covers, where appropriate, corrective and preventive actions and measures to verify their implementation.

Compliance: Conformity

Justification: The procedures ensure that the decision on dispute includes corrective and preventive measures.

8.8 Requirements for PEFC Logo usage licensing

8.8.1 Introduction and summary

PEFC GD 1004:2009 requires that the PEFC authorised body shall have written procedures for the issuance of PEFC Logo licenses and specifies areas that shall be covered by those procedures.

PEFC Switzerland has presented VL 005 (Notification of Certification Bodies and Issuance of Logo Usage Licenses) that describe in chapter 3 procedures and requirements for the issuance of the PEFC Logo licenses. VL 005 refers to ND 005 (PEFC Logo usage rules) and although that document was not submitted as a part of the application, VL 005 makes it clear that this document corresponds to the PEFC Council's international standard for PEFC Logo usage rules, i.e. PEFC ST 2001:2008.

VL 005 complies and is largely identical in its wording with PEFC GD 1004:2009.

8.8.2 Detailed assessment

PEFC GD 1004, 4.1b

4.1b [The tasks of the administration of the PEFC scheme...is performed by] PEFC authorised body for the PEFC certifications and PEFC Logo licensing in countries for which they have been authorised by the PEFC Council.

VL 005, Introduction states that PEFC Switzerland is issuing the PEFC Logo licenses in Switzerland.

Compliance: Conformity

Justification: It is assumed that the PEFC Council authorised by a contract PEFC Switzerland to perform the PEFC administration tasks (PEFC Logo licensing) in Switzerland. This fact is sufficiently reflected in the introduction to VL005.

PEFC GD 1004, 6.1.1

6.1.1 The PEFC Logo usage licence shall be issued to an individual legal entity based on the requirements of PEFC ST 2001:2008.

VL 005, ch. 3a requires that the PEFC Logo usage licence is issued to an individual or to a legal entity (e.g. forest owner or enterprise) based on the requirements of the normative document ND 005 (corresponds to PEFC ST 2001:2008 of PEFC international). In the case of a forest certification or a multi-site certification of independent enterprises for a chain-of-custody certification, each participant receives an individual logo usage license.

Compliance: Conformity

Justification: VL005 sufficiently covers the requirement.

PEFC GD 1004, 6.1.2

6.1.2 The PEFC Council and authorised bodies may issue a PEFC Logo usage multi-licence to a holder of a multi-site chain of custody certificate, which covers the whole or a part of the multisite organisation provided that:

- a) the central office and the sites are a part of a single legal entity or
- b) the central office and the sites are a part of a single company with a single management and organisational structure.

VL 005, ch. 3b requires that PEFC Switzerland may issue a PEFC Logo usage multi-licence to a holder of a multi-site chain of custody certificate, which covers the whole or a part of the multi-site organisation provided that the central office and the sites are a part of a single legal entity or of a single company with the same management and the same organisational structure.

Compliance: Conformity

Justification: VL005 sufficiently covers the requirement.

PEFC GD 1004, 6.2.1

6.2.1 The licensing body shall have written procedures for the PEFC Logo licensing

VL 005 (Notification of Certification Bodies and Issuance of Logo Usage Licenses), ch. 3 defines procedures for the issuance of the PEFC Logo licenses.

Compliance: Conformity

Justification: PEFC Switzerland has procedures that cover PEFC Logo licenses issuance.

Note: It should be noted that VL 005 has a copyright claim of PEFC Germany that does not allow any other party, including PEFC Switzerland to change or amend the document.

PEFC GD 1004, 6.2.1

6.2.1a [The licensing body shall have written procedures for the PEFC Logo licensing to ensure that]: the PEFC Logo usage licence is based on a written contract between the licensing body and the PEFC Logo user

VL 005, ch. 3c requires that the PEFC Logo usage licence is based on a written contract (in the case of participating forest owners on the signed declaration of commitment) between PEFC Switzerland and the PEFC Logo user.

Compliance: Conformity

Justification: VL005 sufficiently covers the requirement.

6.2.1b [The licensing body shall have written procedures for the PEFC Logo licensing to ensure that]: the PEFC logo user complies with the PEFC Logo usage rules (PEFC ST 2001:2008)

VL 005, ch. 3d requires that The PEFC logo user complies with the PEFC Logo usage rules defined in the normative document ND 005 that is identical with PEFC ST 2001:2008 (see VL 005, 3.1).

Compliance: Conformity

Justification: VL 005 sufficiently covers the requirement.

6.2.1c [The licensing body shall have written procedures for the PEFC Logo licensing to ensure that]: the scope of the PEFC Logo usage (logo usage groups) is clearly defined

VL 005, ch 3e requires that the scope of the PEFC Logo usage (depending on whether it is a forest owner, an enterprise of the wood industry or any other user) is clearly defined

Compliance: Conformity

Justification: VL005 sufficiently covers the requirement.

6.2.1d [The licensing body shall have written procedures for the PEFC Logo licensing to ensure that]: the PEFC Logo usage licence can be terminated by the licensing body in the case of the PEFC Logo user's non adherence to the conditions of the PEFC logo usage rules (PEFC ST 2001:2008) or in the case of cancellation of the contract between the PEFC Council and the authorised body

VL 005, ch 3f requires that the licence can be withdrawn if there are strong reasons for suspecting that the logo user has not complied with the conditions of the logo usage contract or in the case of cancellation of the contract between the PEFC Council and PEFC Switzerland.

Compliance: Conformity

Justification: VL005 sufficiently covers the requirement.

6.2.1e [The licensing body shall have written procedures for the PEFC Logo licensing to ensure that]: where unauthorised use has taken place, the PEFC Logo usage licence provides for contractual penalty of one fifth of the market value of the products to which the unauthorised logo use relates, unless the PEFC Logo user proves that such unauthorised use was unintentional. In the latter case, the penalty will be limited to 15,000 CHF.

VL 005, ch. 3g requires that where unauthorised use has taken place, the PEFC Logo usage licence provides for contractual penalty of one fifth of the market value of the products to which the unauthorised logo use relates, unless the PEFC Logo user proves that such unauthorised use was unintentional. In the latter case, the penalty will be limited to 10000 CHF.

Compliance: Conformity

Justification: VL 005 specifies the maximum penalty for unintentional use at lower level than PEFC GD 1004. The conformity has been reported based on the fact that PEFC GD 1004 defines the 15.000 CHF as the maximum penalty. The decision on an imposed level of a penalty is at the discretion of PEFC Switzerland and its maximum limit of 10.000 CHF is within the limit specified by PEFC GD 1004.

PEFC GD 1004, 6.2.2

6.2.2 The licensing body shall have a mechanism for the investigation and enforcement of the compliance with PEFC Logo usage rules (PEFC ST 2001:2008) and shall take actions, including legal if necessary, to protect the PEFC Logo trademark.

VL 005, 3h requires that the compliance with the PEFC logo usage rules is surveyed by the certification bodies during the annual audits at the certified enterprises. In addition, PEFC Switzerland tracks all known cases of incorrect logo usage and, where necessary, takes legal action to protect the copyright of the label.

Compliance: Conformity

Justification: VL005 sufficiently covers the requirement.

8.9 Requirements for PEFC Notification of certification bodies

8.9.1 Introduction and summary

PEFC GD 1004:2009, chapter 5 requires that the notifying body (in this case, PEFC Switzerland) shall have procedures for the issuance of PEFC notification and lists areas that shall be covered by those procedures.

PEFC Switzerland defines the requirements and procedures for notification of certification bodies in chapter 2 of in VL 005 (Notification of Certification Bodies and Issuance of Logo Usage Licenses), version 14 April 2014.

Chapter 5 of VL 002-1 describes “*Appointment of certification bodies (admission)*”. It could be assumed that the wording of chapter 5 in practice means PEFC notification and that it only resulted from wrong translation of the German term “Notifizierung von Zertifizierungsstellen” used in the German version of the document. However, the term itself is confusing as it could give a wrong impression that “PEFC Secretariat” appoints certification bodies for individual certifications.

VL 005, version 14 April 2014 **complies** with the PEFC GD 1004 requirements for PEFC notification.

8.9.2 Detailed assessment

PEFC GD 1004, 4.1b

4.1b [The tasks of the administration of the PEFC scheme...is performed by] PEFC authorised body for the PEFC certifications and PEFC Logo licensing in countries for which they have been authorised by the PEFC Council.

VL 005, Introduction states that PEFC Switzerland is issuing the PEFC notifications for certifications in Switzerland.

Compliance: Conformity

Justification: It is assumed that the PEFC Council has authorised, by a contract, for PEFC Switzerland to perform the PEFC administration tasks (PEFC notification) in Switzerland. This fact is sufficiently reflected in the introduction to VL005.

PEFC GD 1004, 5.1

5.1 The notifying body shall have written procedures for the PEFC notification.

VL 005, ch. 2 includes requirements and procedures for the issuance of the PEFC notification for certification bodies for forest management and chain of custody certification.

Compliance: Conformity

Justification: VL005 sufficiently covers the requirement.

PEFC GD 1004, 5.1

5.1a [The notifying body shall have written procedures for the PEFC notification which ensure that]: the PEFC notified certification body is meeting the PEFC Council's and PEFC endorsed scheme's requirements for certification bodies

VL 005, ch. 2b requires that the notified certification body complies with the requirements defined by the PEFC Council and PEFC Switzerland (according to the documents VL 002-1 for forest management certification and VL 002-2 for chain of custody certification).

Compliance: Conformity

Justification: VL 005 requires the certification bodies to comply with the scheme specific requirements for certification bodies for forest management (VL 002-1) and requirements for chain of custody certification bodies (VL 002-2 is identical with PEFC ST 2003:2012).

5.1b [The notifying body shall have written procedures for the PEFC notification which ensure that]: the scope of the PEFC notification, i.e. type of certification (forest management or chain of custody certification), certification standards and the country covered by the notification, is clearly defined

VL 005, 2d states that “The PEFC notification is based on a written contract between PEFC Switzerland and the notified certification body. In the contract the scope of the PEFC notification, i.e. type of certification (forest management and/or chain of custody certification), certification standards and the Switzerland as country covered by the notification, is clearly defined”.

Compliance: Conformity

Justification: VL 005 specifies the scope of PEFC notification.

5.1c [The notifying body shall have written procedures for the PEFC notification which ensure that]: the PEFC notification may be terminated by the notifying body in the case of the certification body’s non adherence to the conditions of the PEFC notification or in the case of the cancellation of the contract between the PEFC Council and the authorised body

VL 005, 2e requires that the PEFC notification is terminated if the certification body does not comply with the contents of the contract or if the preconditions for a notification (e.g. the accreditation) are no longer met or in the case of the cancellation of the contract between the PEFC Council and PEFC Switzerland on the notification of certification bodies in Switzerland.

Compliance: Conformity

Justification: VL 005 sufficiently covers the requirements.

5.1d [The notifying body shall have written procedures for the PEFC notification which ensure that]: the PEFC notification is based on a written contract between the notifying body and the PEFC notified certification body.

VL 005, 2d requires that the PEFC notification is based on a written contract between PEFC Switzerland and the notified certification body

Compliance: Conformity

Justification: VL 005 sufficiently covers the requirements.

5.1e [The notifying body shall have written procedures for the PEFC notification which ensure that]: the PEFC notified certification body provides the notifying body with information on certified entities as required by the PEFC Registration System.

VL 005, 2f requires that the notified certification body informs PEFC Switzerland immediately and comprehensively about each certificate issued within Switzerland and about each modification of issued certificates and provides the data required by the PEFC Council.

Compliance: Conformity

Justification: VL 005 sufficiently covers the requirements.

5.1f [The notifying body shall have written procedures for the PEFC notification which ensure that]: the PEFC notification does not include any discriminatory measures, such as the certification body’s country of origin, affiliation to an association, etc.

VL 005, 2f requires that the PEFC notification does not include any discriminatory measures, such as the certification body’s country of origin, affiliation to an association, etc.

Compliance: Conformity

Justification: VL 005 sufficiently covers the requirements.

Annex 1: TJConsulting stakeholders' questionnaire

TJConsulting, Luxembourg

Stakeholders' questionnaire

Assessment of the Swiss forest certification scheme against the requirements of the PEFC Council

19 July 2013

Background

PEFC Swiss (www.pefc.ch) as a member of the PEFC Council revised during 2012 – 2013 its forest certification scheme and submitted its application for the scheme endorsement by the PEFC Council.

The PEFC Council has selected TJConsulting to carry out the assessment of the PEFC Swiss scheme against the PEFC Council requirements. The scheme assessment also includes consideration of stakeholders' comments and views presented within the international consultation announced by the PEFC Council at its website (www.pefc.org) and **this questionnaire that was directly distributed to stakeholders relevant to sustainable forest management in Switzerland.**

TJConsulting would like to encourage all relevant stakeholders that have been contacted to provide information that will provide an important input necessary for the credible and impartial assessment of the PEFC Swiss scheme.

Objective

This questionnaire aims at obtaining and considering stakeholders comments and views relating to the process of revision of the PEFC Swiss forest certification scheme, its openness, transparency, stakeholders participation and consensus building elements.

The questions used in this questionnaire are based on PEFC requirements included in PEFC ST 1001:2010 (Standard setting procedures – Requirements).

The questionnaire shall be returned to TJConsulting (tymrak@tj-consult.com) by **9 August 2013**. In case of additional time needed, please contact Mr Tymrak directly.

Questionnaire

9. Did you have access to the PEFC Swiss' standard setting procedures?¹²

- Yes No

Note: [Click here to enter text.](#)

10. Have you noticed a public announcement made by PEFC Swiss relating to the start of the standard setting/revision process?

- Yes No
- at the PEFC Swiss website
 - by a PEFC press release
 - at public magazine and media
 - by direct mailing

Note: [Click here to enter text.](#)

11. Have you been invited to nominate your representative to the PEFC Swiss' body responsible for the development of the standard(s) and consensus building?¹³

- Yes No
- by general invitation at the website, in media, etc.
 - by direct mailing or other communication
- We have made a nomination that was
- accepted by PEFC Swiss
 - rejected by PEFC Swiss

Note: [Click here to enter text.](#)

12. Have you noticed the public consultation on a draft forest management standard(s) organised by PEFC Swiss?

- Yes No
- at the PEFC Swiss website
 - by a PEFC press release
 - at public magazine and media
 - by direct mailing

Note: [Click here to enter text.](#)

¹² A written document containing organisation and procedures of the standard setting/revision process.

¹³ PEFC requires that the standardisation body shall establish a working group/committee with responsibilities for the development of a standard(s) and consensus building that is (i) accessible to stakeholders; (ii) has balance representation of stakeholders decision making and (iii) includes stakeholders with expertise in the subject matter and materially affected stakeholders (PEFC ST 1001:2010, 4.4).

13. Have you made comments during the public consultation and have they been considered?

Yes, we have submitted comments No, we have not submitted comments

Our comments:

- were considered
 were not considered

Note: [Click here to enter text.](#)

14. Have you submitted to PEFC Swiss a complaint relating to the standard setting/revision process?

Yes No

Note: [Click here to enter text.](#)

For those stakeholders that had their representative in the PEFC Swiss body responsible for the standard development

15. Has the work of PEFC Swiss body that was responsible for the development of a standard(s) been organised in an open and transparent way?¹⁴

Yes No

Note: [Click here to enter text.](#)

16. Has consensus been reached on the content of the standard(s) within the PEFC Swiss body for the development of the standard(s)?

Yes No

Note: [Click here to enter text.](#)

¹⁴ PEFC Council requires that members of the working group/committee responsible for the development of a standard(s) shall have access to draft documents in a timely manner; shall be given opportunity to participate in its work and submit their comments; their comments shall be considered in a transparent way.

Annex 2: PEFC Standard and System Requirement Checklist

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
Standardising Body			
4.1 The standardising 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	VL 004, 4.2.1, 4.2.2
b) the record-keeping procedures,	Procedures	Yes	VL 004, 4.3
c) the procedures for balanced representation of stakeholders,	Procedures	Yes	VL 004, 4.2.2
d) the standard-setting process,	Procedures	Yes	VL 004, 4.2.1, 4.2.2, 4.2.3
e) the mechanism for reaching consensus, and	Procedures	Yes	VL 004, 4.2.3
f) revision of standards/normative documents.	Procedures	Yes	VL 004
4.2 The standardising 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	VL 004, 4.2.1, 4.3
	Process	No	www.pefc.ch
4.3 The standardising body shall keep records relating to the standard-setting process providing evidence of compliance with the requirements of this document and the standardising 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	VL 004, 4.3
	Process	Yes	Evidence chapter 6

Question	Assess. basis*	YES / NO*	Reference to application documents
4.4 The standardising body shall establish a permanent or temporary working group/committee responsible for standard-setting activities.	Procedures	Yes	VL 004, 4.2.1, 4.2.2
	Process	Yes	Development report, Information documents and evidence [9, 11, 20]
4.4 The working group/committee shall:			
a) be accessible to materially and directly affected stakeholders,	Procedures	Yes	VL 004, 4.2.2
	Process	No	Information documents and evidence [2, 5, 6, 7, 11] www.pefc.ch
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	VL 004, 4.2.2
	Process	No	Information documents and evidence [9, 11]
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	VL 004, 4.2.3
	Process	No	Information documents and evidence [9, 11]
4.5 The standardising body shall establish procedures for dealing with any substantive and procedural complaints relating to the standardising activities which are accessible to stakeholders.	Procedures	Yes	VL 003, 4.1
	Process	Yes	Checklist, Consultations
4.5 Upon receipt of the complaint, the standard-setting body shall:			
a) acknowledge receipt of the complaint to the complainant,	Procedures	Yes	VL 003, 4.3
	Process	Yes	Checklist, Consultations
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	Procedures	Yes	VL 003, 4.2, 4.3
	Process	Yes	Checklist, Consultations
	Procedures	Yes	VL 003, 4.3

Question	Assess. basis*	Y E S / N O*	Reference to application documents
c) formally communicate the decision on the complaint and of the complaint handling process to the complainant.	Process	Yes	Checklist, Consultations
4.6 The standardising 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	VL 003, 4.3
Standard-setting process			
5.1 The standardising body shall identify stakeholders relevant to the objectives and scope of the standard-setting work.	Procedures	No	VL 004, 4.2.2
	Process	Yes	Information documents and evidence [2]
5.2 The standardising body shall identify disadvantaged and key stakeholders. The standardising body shall address the constraints of their participation and proactively seek their participation and contribution in the standard-setting activities.	Procedures	Yes	VL 004, 4.2.2
	Process	Yes	Checklist, Information documents and evidence [2, 3, 6]
5.3 The standardising 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	No	VL 004, 4.2.1, 4.2.2
	Process	Yes	Information documents and evidence [2, 3, 5, 6, 7] www.pefc.ch
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	VL 004, 4.2.1
	Process	Yes	Information documents and evidence [7]
b) information about opportunities for stakeholders to participate in the process,	Procedures	Yes	VL 004, 4.2.1
	Process	Yes	Information documents and evidence [7, 11]
(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	VL 004, 4.2.1, 4.2.2
	Process	NO	Information documents and evidence [7]

Question	Assess. basis*	YES / NO*	Reference to application documents
d) an invitation to comment on the scope and the standard-setting process, and	Procedures	Yes	VL 004, 4.2.1
	Process	Yes	Information documents and evidence [7]
e) reference to publicly available standard-setting procedures.	Procedures	Yes	VL 004, 4.2.1
	Process	Yes	Information documents and evidence [7] www.pefc.ch
5.4 The standardising 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	VL 004, 4.2.1, 4.2.3
	Process	Yes	Checklist Information documents and evidence [9, 11, 20]
5.5 The work of the working group/committee shall be organised in an open and transparent manner where:			
a) working drafts shall be available to all members of the working group/committee,	Procedures	Yes	VL 004, 4.2.3
	Process	No	No evidence
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	VL 004, 4.2.3
	Process	No	No evidence
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	VL 004, 4.2.3
	Process	No	No evidence
5.6 The standardising body shall organise a public consultation on the enquiry draft and shall ensure that:			
a) the start and the end of the public consultation is announced in a timely manner in suitable media,	Procedures	Yes	VL 004, 4.2.3
	Process	Yes	Information documents and evidence [30]
	Procedures	Yes	VL 004, 4.2.2

Question	Assess. basis*	YES /NO*	Reference to application documents
b) the invitation of disadvantaged and key stakeholders shall be made by means that ensure that the information reaches its recipient and is understandable,	Process	Yes	Information documents and evidence [23, 24, 25, 26, 31,]
c) the enquiry draft is publicly available and accessible,	Procedures	Yes	VL 004, 4.2.3
	Process	Yes	Information documents and evidence [26, 30]
d) the public consultation is for at least 60 days,	Procedures	Yes	VL 004, 4.2.3
	Process	Yes	Information documents and evidence [23, 24, 25, 26, 30, 31]
e) all comments received are considered by the working group/committee in an objective manner,	Procedures	Yes	VL 004, 4.2.3
	Process	Yes	Information documents and evidence [33, 34]
(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	VL 004, 4.3
	Process	Yes	Information documents and evidence [34, 35]
5.7 The standardising body shall organise pilot testing of the new standards and the results of the pilot testing shall be considered by the working group/committee.	Procedures	Yes	VL 004
	Process	Yes	Checklist
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	VL 004, 4.2.3
	Process	Yes	Information documents and evidence [33] Development report
5.8 In order to reach a consensus the working group/committee can utilise 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	VL 004, 4.2.3
	Process	Yes	Information documents and evidence [33]
b) a telephone conference meeting where there is a verbal yes/no vote,	Procedures	Yes	VL 004, 4.2.3
	Process	Yes	Information documents and evidence [33]

Question	Assess. basis*	YES / NO*	Reference to application documents
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	VL 004, 4.2.3
	Process	Yes	Information documents and evidence [33]
d) combinations thereof.	Procedures	Yes	VL 004, 4.2.3
	Process	Yes	Information documents and evidence [33]
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	VL 004, 4.2.3
	Process	Yes	Information documents and evidence [33]
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	VL 004, 4.2.3
	Process	Yes	Information documents and evidence [33]
c) dispute resolution process.	Procedures	Yes	VL 004, 4.2.3
	Process	Yes	Information documents and evidence [33]
5.10 Documentation on the implementation of the standard-setting process shall be made publicly available.	Procedures	Yes	VL 004, 4.3
	Process	No	Development report, www.pefc.ch
5.11 The standardising body shall formally approve the standards/normative documents based on evidence of consensus reached by the working group/committee.	Procedures	Yes	VL 004, 4.2.3
	Process	Yes	Information documents and evidence [33]
5.12 The formally approved standards/normative documents shall be published in a timely manner and made publicly available.	Procedures	Yes	VL 004, 4.3
	Process	No	www.pefc.ch
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	Process	Yes	ND 003

Question	Assess. basis*	YES / NO*	Reference to application documents
standards/normative documents shall follow those set out in chapter 5.			
6.2 The revision shall define the application date and transition date of the revised standards/normative documents.	Process	Yes	ND 003
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 003
6.4 The transition date shall not exceed a period of one year except in justified exceptional circumstances where the implementation of the revised standards/normative documents requires a longer period.	Process	Yes	ND 003

8.9.3 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 organisation,	Yes	ND 001, 4.1
b) the group entity,	Yes	ND 001, 4.3.1, 4.3.2
c) the participant,	Yes	ND 001, 4.3.3.1, 4.3.3.2
d) the certified area,	Yes	ND 001, 4.1
e) the group forest certificate, and	Yes	ND 001, 4.8.1
f) the document confirming participation in group forest certification.	Yes	ND 001, 4.8.1
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	ND 001, 4.5
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	ND 001, 4.3,2
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	ND 001, 4.6
Functions and responsibilities of the group entity		

Question	YES / NO*	Reference to system documentation
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	ND 001, 4.3.2
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	ND 001, 4.2
c) To establish written procedures for the management of the group organisation;	Yes	ND 001, 4.3.2, 4.4, 4.6.2, 4.8.1
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	ND 001, 4.3.2, 4.4, 4.5, 4.6.3
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	ND 001, 4.2, 4.3.3.2, 4.5
f) To provide participants with a document confirming participation in the group forest certification;	Yes	ND 001, 4.8
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	ND 001, 4.3.4
h) To operate an annual internal monitoring programme that provides for the evaluation of the participants' conformity with the certification requirements, and;	Yes	ND 001, 4.6

Question	YES / NO*	Reference to system documentation
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	ND 001, 4.3.2, 4.4, 4.7
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	ND 001, 4.3.3.2, 4.5
b) To comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme;	Yes	ND 001, 4.3.3.2
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	ND 001, 4.3.3.2
d) To implement relevant corrective and preventive actions established by the group entity.	Yes	ND 001, 4.3.3.2

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	ND 003, 2
b) be clear, objective-based and auditable.	Yes	ND 003
c) apply to activities of all operators in the defined forest area who have a measurable impact on achieving compliance with the requirements.	Yes	ND 003, 2, G9
d) require record-keeping that provides evidence of compliance with the requirements of the forest management standards.	No	ND 003, 3.4
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	ND 003, 1.4, 2.1, 2.2, 2.3, 2.6, 3.1, 3.2,
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 minimise or avoid negative impacts.	Yes	ND 003, 1.4, 2.1, 2.6, 3.2, 3.4, 3.7, 3.8, 3.10
5.1.3 Inventory and mapping of forest resources shall be established and maintained, adequate to local and national	Yes	ND 003, 3.4, 3.5

Question	YES / NO*	Reference to scheme documentation
conditions and in correspondence with the topics described in this document.		
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	ND 003, 3, 3.4, 3.4.1, 3.5
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	ND 003, 3.4, 3.4.1, 3.5
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	ND 003, 3.6
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	ND 003, 2.2.1, 3.7, 3.8, 3.8.1, 3.9
5.1.8 Responsibilities for sustainable forest management shall be clearly defined and assigned.	Yes	ND 003, 1.3, 1.3.1, 1.3.2
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 minimise direct or indirect damage to forest, soil or water resources.	Yes	ND 003, 3, 3.1, 3.4.4, 3.3, 2.3
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	ND 003, 3, 3.1, 3.4.4
<p>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:</p> <ul style="list-style-type: none"> 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 organisations; 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, culturally and socially significant areas, important habitats of threatened species or other protected areas; and 	Yes	ND 003, G16, evidence [36]

Question	YES / NO*	Reference to scheme documentation
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.	NO, justifiable	
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	ND 003, G12, 2.2, 2.2.3, 2.2.4, 2.2.5, 2.2.6, 2.2.9, 2.3.1, 2.3.4, 2.3.5, 2.4.7, 3.3, 3.3.1-3.3.3, 2.5.2, 2.6.2, 2.6.5
Criterion 2: Maintenance of forest ecosystem health and vitality		
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	ND 003, 2.4.7, 3.4.5, 3.7, 3.8.2, 3.8.4,
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	ND 003, 2.4.7, 3.4.5, G5, 2.3.2, 2.6.6, 2.6.7, G12, 3.7.1, 3.8.2
5.2.4 Forest management plans or their equivalents shall specify ways and means to minimise 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	ND 003, 2.6, 2.5.2
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	ND 003, 2.2.2, 2.2.3, 2.2.4, 2.2.5, 2.2.9, 2.4.5, 2.7.1
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	ND 003, G5
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 minimise 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	ND 003, 2.2.3, 2.2.4, 2.2.6, 2.3, 2.3.5, G 14, 2.4.5, 2.7.1

Question	YES / NO*	Reference to scheme documentation
5.2.8 The use of pesticides shall be minimised and appropriate silvicultural alternatives and other biological measures preferred.	Yes	ND 003, G12
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.	No	ND 003, G12, evidence [37, 38]
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	ND 003, G12, evidence [37, 38]
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	ND 003, G12, G15, 2.3.5
5.2.12 Where fertilisers are used, they shall be applied in a controlled manner and with due consideration for the environment.	Yes	ND 003, G12, G15, evidence [35]
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	ND 003, 3, 3.1.1, 3.1, 3.2, 3.4
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	ND 003, 3.2, 3.2.1
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	ND 003, 3.4, 3.4.1
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	ND 003, 3, 3.3.1, 3.9.1, 3.9.2
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	ND 003, 2, 2.3, 2.1.1, 2.3.1, 2.3.2, 3.2, 3.3.1, 3.3.2, 3.4.6, 3.8.2
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	ND 003, 3, 3.1, 3.1.1, 3.3.3, 3.4, 3.4.4
5.3.7 Where it is the responsibility of the forest owner/manager and included in forest management, the	Yes	ND 003, G1, 3, 3.1, 3.1.1, 3.2.3, 3.9

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 minimising negative impacts on the environment.	Yes	ND 003, 1.4.5, 2.3, 2.1.2, 2.3.1, 2.3.6, 3.4.1, 3.4.6
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	ND 003, 2, 2.2, 2.4, 2.4.1, 2.4.3, 2.5, 2.6, 2.5.1-2.6.7, 3.4.1
<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 recognised reference lists;</p> <p>c) endangered or protected genetic <i>in situ</i> resources; 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	ND 003, 2, 2.2, 2.4, 2.4.3, 2.5, 2.6, 2.5.1-2.6.7, 3.4.1
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	ND 003, 2.4, 2.4.3, 2.5, 2.6, 2.5.1
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	ND 003, 2.2, 2.2.3
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 minimised.	Yes	ND 003, 2.2, 2.2.3, 2.2.4, 2.2.6, 2.4.5, 2.7, 2.7.1
5.4.6 Afforestation and reforestation activities that contribute to the improvement and restoration of ecological connectivity shall be promoted.	Yes	ND 003, 2, 2.2, 2.4, 2.4.1, 2.2.3
5.4.7 Genetically-modified trees shall not be used.	Yes	ND 003, 2.2.3

Question	YES / NO*	Reference to scheme documentation
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	ND 003, 2.2, 2.2.2, 2.2.3, 2.2.4, 2.2.6, 2.2.9, 2.4.5, 2.4.6, 3.4.3,
5.4.9 Traditional management systems that have created valuable ecosystems, such as coppice, on appropriate sites shall be supported, when economically feasible.	Yes	ND 003, 2.6.1, 2.6.6
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	ND 003, 2.1, 2.1.1, 2.3, 2.3.1, 2.3.2, 3.3.1, 3.3.2, 3.4.6, 3.8.2
5.4.11 Infrastructure shall be planned and constructed in a way that minimises 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	ND 003, 2.1.1, 2.1.2, 2.3, 2.3.1, 2.3.6, 3.4.1, 3.4.6
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	ND 003, 2.4.7
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	ND 003, 2.2.7, 2.2.8
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	ND 003, 2.1.1, 2.3, 2.5.1-2.6.7, 3.4.1
5.5.2 Areas that fulfil specific and recognised protective functions for society shall be registered and mapped, and forest management plans or their equivalents shall take these areas into account.	Yes	ND 003, 2.3, 2.3.3, 2.5-2.7, 2.5.1, 2.5.2, 3.4.1
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 minimise the pressure of animal populations.	Yes	ND 003, 2.1.1, 2.2.2, 2.3, 2.3.1, 2.3.2, 2.3.3, 2.4.7, 2.5-2.7, 2.5.1, 2.5.3-2.6.7, 3.3.1, 3.4.6
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 resources. Inappropriate use of chemicals or other harmful	Yes	ND 003, 2.1.1, 2.3, 2.3.4, 2.3.3, 2.3.5, 3.3.1, 2.4.7

Question	YES / NO*	Reference to scheme documentation
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 minimises 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	ND 003, 2.1.1, 2.1.2, 2.3, 2.3.1, 2.3.6, 3.4.1, 3.4.6
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	ND 003, 1, 1.1, 1.1.1, 1.4, 3, 3.4
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	ND 003, 1, 1.1, 1.1.1, 1.1.3, 1.1.2
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, recognised and respected.	Yes	ND 003, 3.4, 3.4.1, G7, G8
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	Not applicable
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	ND 003, 1.1.2, 3.4.1, evidence [40]
5.6.6 Sites with recognised 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	ND 003, 2.6.5
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 attractive trees, groves and other features such as colours,	Yes	ND 003, 1.4.3, 2.2.2, 2.2.3, 2.2.4, 2.4.5, 2.2.7, 2.2.8, 2.2.9, 2.4.5, 2.4.6, 2.5.1

Question	YES / NO*	Reference to scheme documentation
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	ND 003, 1.1, 1.1.3, 1.1.4, 1.2.2, 1.3, 1.3.1, 1.3.2, 1.3.3, 2.3.5
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	ND 003, 1.2, 1.1.1, 1.4.2, 1.4.4, 1.4.6, 2.5.1
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	ND 003, 1.4.2, 1.4, 1.4.4, 1.4.6, 2.5.1
5.6.11 Forestry work shall be planned, organised 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	ND 003, 1.2, 1.2.1, 1.2.2, 1.4.1, 1.3.2
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	ND 003, 1.2, 1.2.1, 1.2.2, 1.2.3, 1.4.1, 1.3.2, G11,
5.6.13 Forest management shall comply with fundamental ILO conventions.	Yes	ND 003, G11, 1.2, G1
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 organisations, as appropriate.	Yes	ND 003, 3.5, 3.5.2, www.wsl.ch
Criterion 7: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)		
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	ND 003, 2, G1
5.7.2 Forest management shall provide for adequate protection of the forest from unauthorised activities such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities.	Yes	ND 003, 2.1.2, 2.3.6

- * 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	VL 004, VL 002-01, 4.2
2.	Does the scheme documentation require that certification body for forest management certification or chain of custody certification against a scheme specific chain of custody standard shall fulfil requirements defined in ISO 17021 or ISO Guide 65?	Annex 6, 3.1	Yes	VL 002-1, 4.2
3.	Does the scheme documentation require that certification body chain of custody certification against Annex 4 shall fulfil requirements defined in ISO Guide 65?	Annex 6, 3.1		NOT RELEVANT
4.	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	VL 002-1, 4.2, 4.3
5.	Does the scheme documentation require that certification bodies carrying out C-o-C certifications shall have technical competence in forest based products procurement and processing and material flows in different stages of processing and trading?	Annex 6, 3.1		NOT RELEVANT
6.	Does the scheme documentation require that certification bodies shall have a good understanding of the national PEFC system	Annex 6, 3.1	Yes	VL 002-1, 4.3

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	against which they carry out forest management or C-o-C certifications?			
7.	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 or chain of custody certification?	Annex 6, 3.2	Yes	VL 002-1, 4.3
8.	Does the scheme documentation require that the auditors must fulfil the general criteria of ISO 19011 for Quality Management Systems auditors or for Environmental Management Systems auditors?	Annex 6, 3.2	Yes	VL 002-1, 4.3
9.	Does the scheme documentation include additional qualification requirements for auditors carrying out forest management or chain of custody audits? [1]	Annex 6, 3.2	Yes	VL 002-1, 4.3
Certification procedures				
10.	Does the scheme documentation require that certification bodies shall have established internal procedures for forest management and/or chain of custody certification?	Annex 6, 4	Yes	VL 002-01, 4.2
11.	Does the scheme documentation require that applied certification procedures for forest management certification or chain of custody certification against a scheme specific chain of custody standard shall fulfil or be compatible with the requirements defined in ISO 17021 or ISO Guide 65?	Annex 6, 4	Yes	VL 002-1, 4.2
12.	Does the scheme documentation require that applied certification procedures for chain of custody certification against Annex 4 shall fulfil or be compatible with the requirements defined in ISO Guide 65?	Annex 6, 4	Yes	VL 002-1, 4.2
13.	Does the scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011?	Annex 6, 4	Yes	VL 002-1, 4.2
14.	Does the scheme documentation require that certification body shall inform the relevant PEFC National Governing Body about all issued forest management and chain of custody certificates and changes concerning the validity and scope of these certificates?	Annex 6, 4	Yes	VL 005, 2 f
15.	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	VL 002-1, 4.2

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
16.	Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?	Annex 6, 4	Yes	VL 001, 6.3.3.2
17	Does a maximum period for assessment audit not exceed five years for both forest management and chain of custody certifications?	Annex 6, 4	Yes	VL 001, 6.4
18	Does the scheme documentation include requirements for public availability of certification report summaries?	Annex 6, 4	Yes	VL 001, 6.3.1
19	Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?	Annex 6, 4	Yes	VL 001, 6.3.1
20.	Does the scheme documentation include additional requirements for certification procedures? [*1]	Annex 6, 4	Yes	VL 001
Accreditation procedures				
21.	Does the scheme documentation require that certification bodies carrying out forest management and/or chain of custody certification shall be accredited by a national accreditation body?	Annex 6, 5	Yes	VL 002-1, 4.2
22.	Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?	Annex 6, 5	Yes	VL 001, 6.4
23.	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 recognised by the above mentioned organisations?	Annex 6, 5	Yes	VL 002-1, 4.2
24.	Does the scheme documentation require that certification body undertake forest management or/and chain of custody certification against a scheme specific chain of custody standard as "accredited certification" based on ISO 17021 or ISO Guide 65 and the relevant forest management or chain of custody standard(s) shall be covered by the accreditation scope?	Annex 6, 5	Yes	VL 002-1, 4.2, 6.4
25.	Does the scheme documentation require that certification body undertake chain of custody certification against Annex 4 as "accredited certification" based on ISO Guide 65?	Annex 6, 5		NOT RELEVANT

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
26.	Does the scheme documentation include a mechanism for PEFC notification of certification bodies?	Annex 6, 6	Yes	VL 002-1, 5 VL 005
27.	Are the procedures for PEFC notification of certification bodies non-discriminatory?	Annex 6, 6	Yes	VL 005, 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 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	NO	VL 005
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	VL 005
Complaints and dispute procedures				
3.	Are complaint and dispute procedures go usage licenses in place, which comply with chapter 6 of PEFC GD 1004:2009, <i>Administration of PEFC scheme</i> ?		NO	VL 003

Annex 3: Panel of Experts' review

Report chapter / page	PoE	Consultant's report statement	PoE member comment	TJConsulting response
General	HK		He uses 2 different terms for the same thing, Swiss scheme and Switzerland's scheme, why?	Changed to "Swiss scheme" throughout the report
General	HK		The assessment (point for point) should lead to either "complies" or „does not comply". No additional category should be introduced ("sufficiently complies").	The compliance category, i.e. conformity, minor non-conformity, major non-conformity are strictly followed in the section "Conformity" for each of the PEFC Council requirement.
General	HK		A list of persons and institutions for the Steering Committee and the participants of the round-table meetings is missing. Only the names of the Working Group are given. Where there no ENGOs and/or social NGOs?	The Steering Committee has been identified by PEFC Switzerland as the "decision making body" and the PEFC Council does not have any requirement for the stakeholders representation on the decision making body. The lack of ENGOs, social NGOs and other stakeholders on the consensus building body resulted in non-conformity conclusion on the respective PEFC requirements.
General	HK		I have not tried to improve the English language at various places but leave it to another POE member with English as mother-tongue. Particularly the use of the article (a/am and the) is certainly a weakness. Without it, it reads like a telegram -style.	Amended
General	HK		The use of pesticides (WHO 1b) needs clarification.	PEFC Switzerland has not provided sufficient evidence that WHO 1a and 1b would be prohibited.

				The assessment of requirement 5.2.9 of PEFC ST 1001, page 69 provides detailed and clear justification for the non-conformity.
General	HK		Is the extremely low rate of response of the questionnaire (only 2 out of 80) are indicator for lack of interest?	This would only be a speculation. The lack of interest amongst the approached stakeholders might be one reason. Also the fact that the questionnaire was distributed during a summer holiday could be play its role.
General	HK		As all relevant documents for the assessment (and application) have to be available in English, I feel the question the assessor raises, "how reliable is the English translation" ought to be considered. He discovered some doubts. Are they justified?	TJConsulting has not been systemically assessing the German version of the Swiss documentation. The doubt on the reliability of the English is based on fundamental differences in VL005 document described on chapter 8.1, page 14.
General	HK		I add an offer for the assessor to go through his study on the telephone for correcting mistakes and misprints page by page (my number is 49 for Germany, 0551-705948). I only add a few examples: pp. 30 and 98 are blank (technical failure?), p. 60 driving <u>on</u> forest roads (not: to) also p. 71, p.73, p.79, p.80, p.82, p.84 p.67 waste (not wates), p.81 Lying deadwood is principally left for decay/or: decaying etc. etc.	Amended
General	HK		ILO- Conventions are mentioned, but others are missing. (CBD, WA etc.)	PEFC ST 1003 explicitly requires compliance with the specific International Conventions (fundamental ILO Conventions, ILO 169, the UN Declaration on Indigenous Peoples Rights, and the Stockholm Convention). All those are correctly reported in the report.
8.2.3 / p. 45	Cz	5.12, Process: Compliance: Non-conformity	The categorization (minor / major) is not mentioned here and it is assumed and recommended to categorize it as "minor". This non-conformity was not found to be included in	Corrected

			the summary on page 5 and it is recommended that the applicant resolves it before the re-endorsement.	
8.2.3 / p. 46/47	Cz	6.3 and 6.4, both first para: 6.3 mentions the date 15 December 2013 and 6.4 mentions the date 15 September 2013.	Isn't it the same date which is referred to in both paragraphs?	Corrected
Part III / p. 134	Cz	5.6.5 NO, Not applicable	Why is "NO" and "Not applicable" given here? This seems not to be in line with the results given on p. 86 to this question.	The PEFC Council Minimum Requirements Checklist provides explicitly only two options for this column (YES/NO). Therefore, the comment column provides explanation that the requirement is "not applicable". This should be read as "the scheme does not meet the requirement because it is not applicable".
p. 9	Cz	First para: .. 26 July 20013 ...	Should read: ... 26 July 2013 ...	Corrected
8.1 / p.14	Cz	First para: ... he comments bellow are ...	Should read: ... he comments below are...	Corrected
p. 30 and p. 98	Cz	The two pages are blank	To avoid misunderstandings blank pages should be avoided.	Corrected
8.2.3 / p. 34	Cz	5.3 Procedures, second para: ... stakeholders to comments on the scope ...	Should read: ... stakeholders to comment on the scope ...	Corrected
8.2.3 / p. 41	Cz	5.6e Process, last para ... three member of the working ...	Should read: ... three members of the working ...	Corrected

8.3.2 / p. 54	Cz	4.2.1i ... ND 001, 4.4 requires document procedures ...	Should read: ... ND 001, 4.4 requires documented procedures ...	Corrected
8.4.2 / p. 57	Cz	4.1c, Conclusion: ... requires that forest owner that shall ...	Should read: ... requires that a forest owner shall ...	Corrected
8.4.2 / p. 59	Cz	5.1.3, Conclusion: Although <u>NDD</u> 003 ...	Should read: Although ND 003 Please scan the document for similar editorial changes on the pages 61, 62, 63, 64, 76, 77, 85 (2 times).	Corrected
8.4.2 / p. 60	Cz	5.1.5 It should be noted that although chapter 3.5 requires "a comprehensive management plans in writing" to forest enterprises bigger than 400 hectares. Forest owners <u>bellow</u> ...	The sentence is not finished. ... below ...	Corrected
8.4.2 / p. 68	Cz	5.2.9 and 5.2.10, para 2: PEFC Switzerland provided a response the draft ...	Should read: PEFC Switzerland provided a response <u>to</u> the draft ...	Corrected
General	ME		Whilst TJConsulting has recommended that the Swiss Forest Certification Scheme (SFCS) be (re-)endorsed under the PEFC's mutual recognition framework and I would essentially agree with the main elements of the	The recommendation is in compliance with PEFC GD 1007:2012, ch. 7.2.2.4.2.2 and 7.2.2.4.1.2.

			recommendation, I believe that it could have been worded as recommending a conditional endorsement based on compliance of the identified non-conformities with the PEFC requirements within a defined period of time BUT only after resolution of the identified major non-conformities which may impact on the integrity of the SFCS.	
General	ME		Overall, I believe the consultant has done an extremely thorough and professional assessment especially based on the special situations which seem to exist for PEFC Switzerland.	
General	ME		The consultant has taken a very pragmatic approach which provides for flexibility in assessing conformity based on his extensive knowledge of all elements of forest certification and with requisite knowledge to make an assessment of underlying assumptions of documentation, requirements compliance and scheme operation.	
General	ME		The inclusion of the specific requirements from relevant Swiss scheme documents, the firm decision on the conformity status especially in bold to leave no doubt and the reasoning behind that decision through the Justification statement(s) provides for a comprehensive review of each of the PEFC requirements under its international sustainability benchmarks.	
General	ME		The lack of text in the PEFC Standard and System Requirement Checklist does not detract from its value as the references are a cross check with the body of the report and the relevant text for scheme references is provided	All the requirements of the Checklist are included in the main body of the report. Therefore the checklist only includes the compliance statement and

			in the body text which does not need repetition in the checklist.	reference to the scheme documentation and submitted evidence.
General	ME		The consultant's stakeholder questionnaire certainly asked all of the right questions of the standard setting process for the revision of the forest management standard. It is a pity that it had such a poor response rate and PEFC Switzerland should query the stakeholders to seek the reasons for the very poor response rate.	
General	ME		Based on my English as a 1 st language, I have made many suggestions as editorial for consideration by the consultant and have provided relevant text which is in bolded text for emphasis. I have not shown deleted text in strike through but have deleted the text which the consultant will observe when reviewing the suggested changes against the original report provided for the PoE review.	Corrected as suggested
1 Background 1 st sentence	ME		What date was it submitted on?	The application documentation does not include an application letter that would show the date of the scheme submission for the re-endorsement. Neither the tender dossier includes information about the date of the scheme submission. Chapter 6 includes dates of the validity of the technical documentation or date when documentation was submitted to TJConsulting.
2 Objective b)	ME		As the Swiss scheme is already endorsed, isn't it a re-endorsement	Amended
4 Recommendation	ME		The wording of the recommendation should be phrased as:	Amended

			TJConsulting recommends to the PEFC Council's Board of Directors that it recommends to the PEFC General Assembly a re-endorsement of the Swiss scheme provided ...	
4 Recommendation i)	ME		What about the minor non-conformities 3 to 6 as outlined under 5 Executive Summary? Even if no action can be undertaken to rectify, an action needs to be recommended.	The non-conformities 3-6 are covered by the third condition. More detail is provided in the footnote to that condition.
4 Recommendation ii)	ME		This should be first and foremost before any consideration of minor non-conformities (N-C and iii). This must be completed before the PEFC BoD recommends to the PEFC GA a conditional re-endorsement based on the current i) and iii).	The recommendation follows ch. 7.2.2.4.2.2 of PEFC GD 1007:2012 that defines when major non-conformities shall be corrected, i.e. before the endorsement of the scheme.
5 Executive Summary Standard setting 1 st paragraph	ME		This would be post current process and applicable to the next re-endorsement – correct?	The standard setting procedures adopted after the Swiss revision process itself (2012) can only be applied in the next revision process.
2 nd paragraph 3-6	ME		What is the overall impact on the Swiss scheme – the intent of the scheme isn't in question – a short statement here would be preferable	Impact on the non-conformities on the is described in detail in the referenced chapter on the standard setting 8.2.1.
Sustainable forest management standard	ME		A simple amendment would correct this minor non-conformity	Noted

1 st paragraph 7				
1 st paragraph 8	ME		Requires further evidence from PEFC Switzerland of compliance through Swiss law Also, on Pg 56, it includes Class 1a which isn't indicated here.	Amended. TJConsulting has sufficient confidence that class substances classified by 1b are not allowed to be used by the Swiss legislation. However, it is up to PEFC Switzerland to demonstrate compliance with the requirements.
Requirements for forest management certification bodies 1 st paragraph	ME		Use of 'sufficiently' – seems to indicate a degree of hesitancy compared to the straight 'complies'	Noted. Yes, although the formal judgment only includes conformity, minor non-conformity and major non-conformity, detailed text in the description of the conformity and justification of the (non) conformity provides for more nuances.
Requirements for dispute settlement in the administration of PEFC scheme	ME		See comments for 8.6.1 in terms of wording of text	Noted
PEFC Switzerland's documentation	ME		30 April 2013 – on Pg 8 it is 29 April 2013 – please correct one or other	Amended The tender dossier of 29 April was submitted to TJConsulting on 30 April 2013.

1 st sentence 2 nd sentence 3 rd sentence			Need to explain if documentation was withdrawn by PEFC Switzerland for correction and re-submitted in a revised format The request from TJConsulting – what was its nature – would be worthwhile indicating.	
Other information documents and evidence	ME		Use of 'de' and 'fr'- need a footnote to indicate that de is German and fr is French for those not in the know!	Amended
7.2 Assessment process	ME		Start of the assessment – the first sentence uses 'standard setting process' but isn't it the evaluation or assessment process?	Amended
7.3 Classification of non-conformities	ME		Categories of non-conformities – is the correct term 'scheme' or 'system' – it seems interchangeable! If so, it needs clarification	The text is taken directly from PFC GD 1007:2012.
7.3 'Minor non-conformity'	ME		Isn't the term for the corrective action to be determined by the PEFC BoD with its recommendation to the PEFC GA?	The text is taken directly from PFC GD 1007:2012.
Footnote 3	ME		Is this an issue for the PEFC Council and not PEFC Switzerland if the PEFC Council arranged the public consultation?	For that reason, this information is only included in the footnote and this does not have any impact on the TJConsulting recommendation.
8.1 Observations f) last sentence	ME		For VL 005 or the Swiss scheme – clarify?	TJConsulting has not been assessing the German version of the scheme and reliability of the translation. Only by an accident, TJConsulting found out that the German and English versions of VL005.

				TJConsulting therefore deliberately uses the term “this fact raises significant doubts”.
8.2.1 Standard setting procedures , 1 st paragraph, 2 nd sent.	ME		Is it worthwhile introducing this term when in fact you are referring to the ‘applicant’ or ‘the Swiss scheme’ which maintains consistent language	This sentence is introducing the applicable PEFC requirements as basis for the assessment. Therefore, the report uses general term “standardisation body” as per PEFC ST 1001.
5 th paragraph, 2 nd dot point	ME		But is it covered on the PEFC website? If so, was there links to PEFC Swiss documents or website from the PEFC website?	The PEFC Council does not have obligation to publish announcement of the start of a scheme revision at its website.
Organisatio nal structure of the standaris ation body	ME		Heading - See earlier comment on use of ‘standardisation body’ 4 th paragraph – No result has been provided as a summary!	The summary indicates that the Swiss scheme documentation as well as the process itself was rather unclear and confusing concerning those two tasks.
The revision process 3 rd paragraph	ME		Re the “working group” – was it a working executive for the roundtable meetings?	Comment not clear.
6 th paragraph, 2 nd dot point	ME		What was the balance with respect to environmental, social and economic interests? Does this mean that there were no minutes or agendas?	The PEFC Council documentation does not require balance of environmental, social and economic interests. Therefore, the report concludes that the working group did not have balanced representation.

3 rd dot point				
Application and transition date, 1 st paragraph	ME		Presume it was based on approval of 17/12/12 but where any certified organisations or groups knowledgeable of this?	This is not evidence from the submitted documentation. The scheme documentation was not even published at the PEFC Switzerland's website.
8.2.3, 4.1	ME		Need to fix up column width so Procedures is on one line	Noted
8.2.3 Detailed assessment, 4.1 c)	ME		Text in brackets – is this consultant's text? If so, include in italics and make a footnote or identify in text e.g. (Consultant: it should be ...) VL 004 – chapter reference?	The whole text is the consultant's text. Where direct quotations are used, they are introduced by inverted commas.
4.2 Process	ME		Agree on Minor N-C, the publication issue is minor and can be rectified – the lack of VL 004 would have been a major issue for the Swiss scheme	Noted
4.3 Process Justification	ME		The relevancy is to the standard setting process for this requirement.	Noted
4.4 Procedures	ME		Scheme or standard – standard requires consensus from stakeholders. Other scheme documentation is developed as required by PEFC Switzerland	Noted
4.4 Process	ME		1 st paragraph - What is BGU? Justification 2 nd paragraph – the 1 st roundtable meeting – was this called by the Steering Committee? If so, the working group could in	BGU is a consulting company. There might be many ways how to interpret the relationship between the roundtable and the working group. The working group is defined by VL 004 as

			effect be an 'executive' of the roundtable which had been called by PEFC Switzerland? 3 rd paragraph c) – Can't this be verified by the Steering Committee?	the consensus building body. Roundtable meeting is a public meeting.
4.4 a Process	ME		Whilst not on the PEFC Switzerland website, which would have been the logical communication medium, the other means of outreach would seem to satisfy the requirement to make the first roundtable meeting accessible to stakeholders. The first outreach seems to be the one in question, not subsequent actions.	The judgement on the "accessibility" of the working group is based on basic assumption that (i) stakeholders should have access to information about the establishment of the working group and that (ii) stakeholders should have possibility to nominate their representatives.
4.4 b Procedures Process	ME		1 st paragraph – need to close the brackets and is this consultant text or PEFC Swiss scheme text? 2 nd paragraph – If 10 groups, was it all groups OR is it 10 representatives from the stakeholder groups? Again, appears that the working group looks like an 'executive' of the roundtable. Did they report back to the roundtable and was there consensus in the roundtable or working group? 3 rd paragraph – If this is correct, how bona fide are PEFC Switzerland to have a PEFC scheme based on a credible forest management standard!	The whole text is the consultant's text. Where direct quotations are used, they are introduced by inverted commas. As mentioned in the introduction to this chapter, the assessed procedures were only adopted after the process itself as a corrective action towards the interim report. Therefore there is no direct interaction between the description of the process does not need to be directly linked with the procedures.
4.4 c Process	ME		1 st paragraph - '(better the first roundtable)' – don't understand this comment? Are the 'certifications' for BGU – forest management in Switzerland? 2 nd paragraph – VL 004 – is this correct or is it PEFC Switzerland?	Following strictly the minutes of different meetings, it was the roundtable selecting the working group members. However, the Steering Committee, confirmed the Working Group Chairman, so it is assumed that the Steering Committee was aware of the roundtable decision and endorsed it.

5.1 Process	ME		Even though the procedure was flawed as it targeted 'groups', the process targeted organisations and individual stakeholders as required by the PEFC requirement – correct?	Correct
5.2 Procedures	ME		Justification, 2 nd paragraph – Maybe it is moreso, targeted to seek participation after initial meeting to ensure the broadest range of stakeholders?	Noted
5.3 Procedures Process	ME		Justification, 2 nd paragraph – Isn't it just a website without being specific to PEFC Switzerland as required by the PEFC requirement? Justification, 1 st paragraph – It looks more like an oversight by PEFC Switzerland as their outreach seems quite extensive beyond their website and it would reach relevant stakeholders groups directly	PEFC ST 1001, 5.3 states "...at its website".
5.3 c) Procedures	ME		1 st paragraph Who is it '... that requires to invite ...'	Amended. VL 004, ch. 4.2.2 requires to invite...
5.5 a) Process	ME		Justification – isn't it the openness and transparency an issue if conducted by electronic means? Couldn't members of the working group provide e-mails of correspondence or drafts to verify discussion between members?	Correct. Those have not been provided.
5.5 c) Process	ME		Again, isn't it also the openness and transparency aspect which needs correction in subsequent revision processes?	Correct. Those have not been provided.
5.6a Process			Justification – Agree, if announcement was dated, a date to start is provided – so was the	Although there was neither a date of the start of the public consultation nor the date of the announcement publication, the "60 days" period was included in the

			announcement dated? Was the end date 60 days from the announcement date?	text of the announcement together with the deadline. Therefore, it is highly probable that the announcement was published in time that there is no conflict between the text of the announcement and the publication date. The conformity was also assigned based on other evidence (text in the report amended) that provide confidence on the public consultation.
5.6 b Process			1 st paragraph Why is there plural at end of paragraph if only discussing forest management standard?	Amended
5.6c Procedures			Text isn't the same as in 5.6a?	No. 5.6c relates to the availability of draft consulted document.
5.6d Process			See comment from 5.6a	See comment to 5.6a
5.6e Process			2 nd paragraph – whose responses – the working group or the steering committee?	Formally, the comments were considered at the Steering Committee and the responses are the Steering Committee's responses. However, the working group members were present at that meeting and it is assumed that there was no disagreement between the Steering Committee and WG members.
5.6f Process	ME		3 rd paragraph – Agree, to comply with procedures it needed to be made available at the same time as PEFC Switzerland applied to the PEFC Council for re-endorsement on [insert date]. As document was in existence and did go to stakeholders, agree with consultant.	Noted
5.10 Process	ME		Justification – Agree, while document is available and was provided to PEFC Council as part of the Swiss scheme, it was also to be made publicly available – it can't be 'hidden' in	Noted

			documents lodged with the PEFC Council and claimed to be public in that manner. It must be by PEFC Switzerland.	
5.12 Process	ME		At 7.3, the consultant grades the N-Cs, so this one needs grading as major or minor.	Amended
6.3 Process	ME		“respectively in 15 December 2013 – what does this refer to?”	Amended. The documents were adopted on 17 December 2012 as a part of the revision process and then amended on 15 September 2013 to correct non-conformities identified in the TJConsulting Interim Report.
6.4 Process	ME		1 st paragraph – See comment for 6.3 2 nd paragraph – Does this refer to 15/9/2013 to 31/12/2013? I would also support this as the logical conclusion rather than fix up the oversight on 15/9/2013!	Amended
4.2.1 h)	ME		Where is the Justification statement as with other requirements?	Amended. However, the description of the conformity was self-explanatory and provided sufficient justification for the conformity judgement.
8.4.1 2 nd para 5 th para	ME		Presumably based on requirements or indicators for each standard? ‘forest owners managers’ – Is it ‘forest owners and managers’ or ‘managers of privately owned forests’ – I can’t see the current wording making sense!	Amended. Should read forest owners/managers
8.4.2 4.1 b)	ME		This doesn’t appear to be an appropriate comment against this requirement.	Amended

5.1.11	ME		I can see parts of c) and d) in the consultant's comments on the Ordinance.	Amended
5.2.1	ME		Justification, 3 rd paragraph – Presume all forest owners/managers must comply with this as it is Swiss law?	ND 003 requires compliance with legislation. Therefore the legislation become a part of certification requirements.
5.2.2	ME		Justification, 3 rd paragraph – Does this cover all lands?	Yes, the legislation covers all lands.
5.2.5	ME		ND 003 Indicator 2.2.5 – what is it that 'requires tolerance to natural occurring in the forests'?	Consideration of naturally occurring events that have impact on health and vitality of forests.
5.2.9	ME		Justification, 2 nd paragraph – Is it 'prohibited' or 'not allowed'?	BAFU should provide a positive list of pesticides that are registered (allowed) to be used in Switzerland. All other pesticides are prohibited or not allowed.
5.2.10	ME		Justification, 3 rd paragraph – Need a footnote to explain what this is briefly.	PEFC Switzerland has not provided evidence that would prove that certain pesticides are prohibited. The justification describes that.
5.3.1	ME		ND 003 Standard 3, 3.2 – who 'requires to maintain full productivity of ecosystems'?	The Swiss standard requires to maintain full productivity of ecosystems.
5.4.3	ME		Justification, 2 nd paragraph – 'referred legislation' – which is?	Amended. Should read : "legislation referenced by ND 003".
5.4.13	ME		ND 003, Indicator 2.2.8 – what do the requirements do for 'old forest patches'?	<p>"Old forest patches are identified during the planning in order to promote and support special habitats and to enable natu-ral dynamics in the forest.</p> <p>Old forest patches remain in the stand longer than the nor-mal rotation period possibly up to the dead wood phase or are substituted within another stand reaching this stage of age. "</p>

5.6.5	ME		Justification – The forest management standard doesn't regulate, it seeks a performance outcome. The requirement augments the Swiss Civil Code?	Amended. ND 003 does not tend to repeat what is already regulated by the Civil Code.
5.6.7	ME		Justification, 1 st paragraph – If so, why isn't it in the evidence column?	Indicator 2.4.5 is included in the evidence column.
5.6.8	ME		ND 003, Indicator 1.2.2 – Does this mean those under the Accident Insurance Law need training but if under the regulation, there is no need for training?	Amended. Forest owners themselves are not covered by the Accident Insurance Law (AIL), shall have training.
5.6.11 & 5.6.12	ME		ND 003, Indicator 1.2.2 – Different wording to 5.6.8!	5.6.8 amended
5.6.12	ME		ND 003, Indicator 1.2.3 – Isn't this also applicable to 5.6.11? ND 003, G11 – What is 'SUVA'?	Amended. SUVA (Swiss National Accident Insurance Fund)
5.6.14	ME		I presume the Swiss Confederation is the Swiss government? Probably better to provide more common language.	Amended to "Switzerland"
5.7.1	ME		Justification, 2 nd sentence – which chapter is it?	Ch. 2 and G11 referenced in the evidence column.
5.7.2	ME		Need to insert 5.7.2 in the heading! The consultant's comments appear to be a bit light on for coverage of the requirement's activities!	Amended The justification includes information that the consultant took into account socio-economic conditions of Switzerland.
8.5.1 PEFC notification of	ME		The 2 nd last sentence – should indicate that this is the preferred source of conformity rather than VL 002 chapter.	Comment cannot be traced to the report.

certification bodies				
8.2.5.2 2 nd box	ME		I would consider forest management certification to be management system i.e. ISO 17021. The use of 'or' in the PEFC Annex 6 seems to link ISO 17021 to forest management and ISO G65 to chain of custody – PEFC International should consider its position on this and provide authoritative guidance to NGBs	The assessment was carried out against Annex 6 of the PEFC TD that allows 17021 or ISO Guide 65.
3 rd box	ME		Justification, 2 nd paragraph – I think this is going too far into the certification body's internal operations – it is the auditors that are the focus for demonstrating technical competence. Competence for other personnel is an issue for the IAF in its accreditation of certification bodies.	The main argument in the justification is that although Annex 6 requires the competency at the level of the certification body, it is sufficient for the scheme to define competencies at the level of its personnel.
7 th box	ME		Conclusion – While this might be the case, the consultant indicates that the Swiss scheme does, so is it a conformity?	The reason why there is no conclusion for this requirement is that the consultant would then need to add some qualitative judgement.
16 th box	ME		See response to 3.2 (top of Pg 99)	
8.6.1 1 st paragraph	ME		'PEFC authorised body' – is this in fact the PEFC NGB?	PEFC GD 1004 uses the term "PEFC authorised body". This can be PEFC NGB but also other body.
3 rd and 4 th paragraphs	ME		There is no reference to 8.2 d?	Amended
8.6.2 8.2 b, 2 nd paragraph	ME		This isn't the same Steering Committee as in the standard setting? Presume it's the 'executive' of PEFC Switzerland?	Yes, it is.
8.2.d	ME		Where is 8.2 e?	The non-conformity in 8.6.1 should refer to 8.2d.

			<p>It is indicated in 8.6.1 that it has the N-C as there is no mention of 8.2 d in 8.6.1.</p> <p>There appears to be two N-Cs – for 8.2 d in relation to CARs and 8.2 e (not reported here) for appropriate body that complaints are provided to under the Swiss scheme.</p>	
8.7.2 6.1.1	ME		For the forest certification, is this for group?	The referred chapter of VL 005 relates to all PEFC Logo users.
6.2.1	ME		Justification, 2 nd paragraph – Being the German scheme document labelled as VL 005 under the Swiss scheme?	This is the Swiss scheme document (VL005)but with PEFC Germany copyright claim.
8.9.1 3 rd paragraph 4 th paragraph, 2 nd dot point	ME		<p>This seems a separate issue to the discussion of VL 005 – is it better as a footnote?</p> <p>In 5.1 b, there are 3 issues but only 2 are stated here!</p>	<p>The terminology used in the Swiss documentation has its relevancy to be reported.</p> <p>Amended.</p>
Annex 2	ME		<p>The YES/NO* column needs to be fixed up for proper width!</p> <p>Why are some of the Yes responses in bold?</p>	Amended