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PEFC Conformity Assessment

Indonesian Forest Certification Cooperation Scheme



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Acronyms

AAC	Annual Allowable Cut
APHI	<i>Asosiasi Pengusaha Hutan Indonesia</i> (Association of Indonesia Forest Concession Holders)
BoD	Board of Directors
BWI	Building and Woodworkers International
CB	Certifying Body
CBD	Convention on Biological Diversity
CIRAD	<i>Centre de coopération internationale en recherche agronomique pour le développement</i> (Agricultural Research Centre for Development)
CITES	Convention on International Trade in Endangered Species
CoC	Chain of Custody
DWG	Draft Working Group
EA	European co-operation for accreditation
E-NGO	Environmental Non-Governmental Organization
EU	European Union
FKKM	<i>Forum Komunikasi Kehutanan Masyarakat</i> (Communication Forum on Community Forestry)
FLEGT	Forest Law Enforcement Governance and Trade
FPIC	Free, Prior and Informed Consent
FSC	Forest Stewardship Council
FSP KAHUTINDO	<i>Federasi Serikat Pekerja Kayu dan Hutan Indonesia</i> (Indonesian Forestry and Allied Workers' Union)
GA	General Assembly
GL	Guidelines
HCVF	High Conservation Value Forest
HK	<i>Hutan Konservasi</i> (Conservation Forest)
HKM	<i>Hutan Kemasyarakatan</i> (Social and/or Community Forests)
HL	<i>Hutan Lindung</i> (Protection Forest)
HP	<i>Hutan Produksi</i> (Production Forest)
IAAC	Interamerican Accreditation Cooperation
IAF	International Accreditation Forum
IEC	International Electrotechnical Commission
IFCC	Indonesian Forestry Certification Cooperation
IHMB	<i>Inventarisasi hutan menyeluruh dan berkala</i> (Periodic and Comprehensive Forest Inventory)
ILO	International Labour Organization
ISO	International Organization for Standardization
ITTA	International Timber Trade Agreement
ITTO	International Timber Trade Organization
IUPHHK	<i>Izin Usaha Pemanfaatan Hasil Hutan Kayu</i> (Business Permit for Timber Forest Product Utilization)
K3	<i>Kesehatan dan Keselamatan Kerja</i> (Occupational Safety and Health)



KSK	<i>Perkumpulan Kerjasama Sertifikasi Hutan (IFCC)</i>
LEI	Lembaga Ekolabel Indonesia
MLA	Multilateral Recognition Arrangement
MU	Management Unit
N.A.	Not applicable
NGO	Non-Governmental Organization
OHS	Occupational Health and Safety
PAC	Pacific Accreditation Cooperation
PD	Procedural Document
PEFC	Programme for the Endorsement of Forest Certification
PEFCC	PEFC Council
PoE	Panel of Experts
PSP	Permanent Sample Plot
R&D	Research and Development
RIL	Reduced Impact Logging
RKT	<i>Rencana Kerja Tahunan (Annual Working Plan)</i>
RKU	<i>Rencana Kerja Usaha (Long term Working Plan)</i>
SADCA	Southern African Development Community in Accreditation
SC	Standardisation Committee
SFM	Sustainable Forest Management
SIUP	<i>Surat Izin Usaha Perdagangan (License of Trading Bussiness)</i>
SSR	Standard Setting Report
ST	Standard
SVLK	<i>Sistem Verifikasi Legalitas Kayu (Timber Legality Assurance System – TLAS)</i>
TD	Technical Document
TFG	Task Force Group
TPTI	<i>Tebang Pilih Tanam Indonesia (Selective Cutting and Planting)</i>
TPTJ	<i>Tebang Pilih Tanam Jalur (Selective Cutting and Strip Planting)</i>
UN	United Nations
UNDRIP	United Nations Declaration on the Rights of Indigenous Peoples
VPA	Voluntary Partnership Agreement
WHO	World Health Organization



1. Introduction

With the Programme for Endorsement of Forest Certification schemes (PEFC), national standards for Sustainable Forest Management are brought under the umbrella organisation PEFC by endorsing the national standard after a positive evaluation. To get endorsed, national schemes need to be assessed by an independent consultant to evaluate whether the national scheme is conform the PEFC Council (PEFCC) requirements.

This report presents the results of the initial evaluation of the scheme developed by the Indonesian Forestry Certification Cooperation (IFCC) against PEFCC requirements for forest certification schemes. PEFCC appointed Form international (Form) as the independent consultant to carry out the assessment. This assessment report will be the basis for the PEFCC's decision, and provides a recommendation to the PEFC Board on the formal endorsement of the IFCC Scheme for Sustainable Forest Management (SFM).

1.1. Form international

The assessment benefited from Form's specific experience and expertise in certification and SFM. Form has implemented many studies in which national or international certification standards were analysed versus another standard or scheme, for example for FSC and Keurhout. Moreover, Form has carried out several conformity assessments for PEFC, such as the standards of Austria, Spain, Gabon, Czech Republic, Finland, Sweden, Canada, Switzerland, Ireland, Denmark and the United Kingdom.

The conformity assessment team consists of Rutger de Wolf, Petra Westerlaan and Marthe Tollenaar (Forestry Experts).

1.2. Scope of the assessment

The scope of this assessment is to assess the conformity of the IFCC Scheme with the PEFC standards and system requirements as presented in PEFC IGD 1007-01:2012.

1.3. Documents and resources used

Various documents and resources were used in this conformity assessment. The documents received from IFCC are shown in table 1.1. Table 1.2 lists the documents used from PEFCC. Besides these documents, the website of IFCC (www.ifcc-ksk.org) was consulted during the assessment and information received during discussions with the IFCC and other stakeholders.



Table 1.1 IFCC documents used for the conformity assessment

#	Title	
1	IFCC ST 1000:2012	IFCC certification scheme – Introduction
2	IFCC ST 1001:2013	Sustainable forest management – Requirements; issue 3
3	IFCC ST 1002:2012	Requirements for bodies providing audit and certification of sustainable forest management; issue 2
4	IFCC ST 1003:2012	IFCC Logo usage rules - Requirements
6	PEFC/IFCC ST 2001:2008	PEFC Logo usage rules - Requirements
7	PEFC/IFCC ST 2002:2013	Chain of custody of forest based products - Requirements
5	IFCC ST 2002-1:2013	Chain of custody of forest based products – Specifications for the IFCC claim
8	PEFC/IFCC ST 2003:2012	Requirements for certification bodies operating certification against the PEFC International chain of custody standard
9	IFCC PD 1001:2012	Standard setting procedures; issue 2
10	IFCC PD 1002:2013	IFCC procedures for investigation and resolution of complaints and appeals; issue 2
11	IFCC PD 1003:2013	Issuance of the IFCC and PEFC logo licenses in Indonesia
12	IFCC PD 1004:2013	Notification of certification bodies
13	Standard Setting Report	
14	Other documentation and evidence (as indicated in Annex 2 of the Standard Setting Report): records	
15	PEFC Standard and System Requirements Checklist elaborated by the IFCC	
16	Additional clarifications provided by the IFCC during the Assessment process	

Table 1.2 The PEFC Technical documents used.

#	PEFC Council document	Date
1	PEFC Council Technical Document (TD)	5 October 2007
2	PEFCC TD Annex 1: Terms and Definitions	27 October 2006
3	PEFCC TD Annex 6: Certification and Accreditation Procedures	5 October 2007
4	PEFCC TD Annex 7: Endorsement and Mutual Recognition of National Schemes and their Revisions	5 October 2007
6	PEFC ST 1001:2010 Standard Setting – Requirements	26 November 2010
7	PEFC ST 1002:2010 Group Forest Management Certification – Requirements	26 November 2010
5	PEFC ST 1003:2010 Sustainable Forest Management – Requirements	26 November 2010
8	PEFC ST 2001:2008 v2 PEFC Logo usage rules - Requirements	26 November 2010
9	PEFC ST 2002:2013 Chain of Custody of Forest Based Products - Requirements	24 May 2013
10	The PEFC Council Minimum Requirements Checklist for Certification Scheme Applications and references (GL 2/2011)	26 May 2011
11	PEFC GD1004:2009 Administration of PEFC scheme	5 October 2009



12	PEFC IGD 1007-03:2012 and PEFC Secretariat's clarification concerning the content of the assessment report (clarification 30/10/12).	
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1.4. Methodology adopted

The work consisted of a desk study and a field assessment in Indonesia in which an evaluation of the conformity is conducted. The desk study assessment enabled the identification of any missing information, similarities and differences between the IFCC Scheme and the PEFC standards and system requirements. The field assessment provided the opportunity to receive additional information and clarifications on the scheme and the Indonesian context from both the IFCC and stakeholders. Next to a general analysis of the structure of the scheme the assessment consisted of:

a. Assessment of the standard setting procedure

This aspect is evaluated on the basis of PEFC ST 1001:2010 Standard Setting - Requirements. The checklist has been used to assess the compliance of the IFCC Scheme with the demands of PEFC concerning the standard setting procedures and the actual process. The criteria for the standard setting procedure have been assessed in two stages:

1. compliance of the scheme documented procedures ('Procedures')
2. compliance of the standard setting process itself ('Process')

The documented procedures are required to govern the standard setting process and as such shall be in place before the standard setting process starts (Standard Setting Procedures). To assess the process, the Standard Setting Report and results of stakeholder consultations are used to evaluate compliance of the process.

The PEFC conducted an international public consultation, and a stakeholder survey was held by Form international through questionnaires that were sent out to the participating stakeholders and members of the Standardisation Committee and the Draft Working Group. A field visit was used to further obtain information on the process from stakeholders and the IFCC.

b. Assessment of the Sustainable Forest Management Standard

The IFCC Scheme compliance with PEFC ST 1003:2010 Sustainable Forest Management was assessed based on part III of PEFC IGD 1007-01:2012.

c. Assessment of the Chain of Custody standard

The PEFC Council procedures for Chain of Custody certification, PEFC ST 2002:2010 – Chain of Custody of Forest Based Products – Requirements, are adopted by IFCC.



d. Assessment of the procedures for notification of certification bodies

These procedures were checked against PEFC GD 1004:2009 Administration of PEFC scheme, chapter 5.

e. Assessment of the procedures for logo licensing

The PEFC Council rules for PEFC Logo Usage, PEFC ST 2001:2008, are adopted by IFCC.

f. Assessment of the complaints and dispute resolution procedures.

These procedures were assessed against PEFC GD 1004:2009 Administration of PEFC scheme, chapter 8.

g. Assessment of the certification and accreditation procedures

These procedures were assessed on the basis of Annex 6 of the PEFC Council Technical Document.

h. Other aspects regarding functions and efficiency of the scheme

The functions were evaluated on the basis of the description and analysis of these functions, as indicated in the information obtained and correspondence with IFCC.

i. Field visit Indonesia

As this is the initial assessment of the IFCC Scheme, a field visit was conducted to meet the people who have been involved in the standard-setting process. By consulting various stakeholders, Form obtained vital information on the way the standard was developed and received. Form also visited the pilot testing site to obtain information on the field testing process and to get a better idea of the Indonesian context in (plantation) forestry.

The mission enabled:

- The clarification of any outstanding issues highlighted during the initial assessment;
- Discussions with the various stakeholders involved in the standard setting process, and other external organisations who provided input and feedback;
- Insight in the practical implementation of the scheme, in the field, at forest management level;
- Insight into the Indonesia context.

The report was written in line with the guidelines of the PEFC, PEFC GD 1007-03:2012 for the content of an assessment report, and the additional PEFC's clarification 30/10/12.



1.5. Assessment process

The assessment process consisted of the following steps:

1. Public consultation

The international public consultation was held from 5 December 2013 to 1 February 2014. Comments of the public were considered in the process and can be found in Annex 3.

The national stakeholder consultation was held from 5 to 19 March 2014. Form sent out questionnaires to all stakeholders that were members of the Standardisation Committee, Draft Working Group and additional stakeholders that were invited and/or participated in public consultation meetings during the standard-setting process. In total 95 questionnaires were sent out, 31 questionnaires were filled in.

2. Technical desk study

The assessment was carried out against the IFCC Scheme documentation. The technical desk study comprised of a review of the documentation and a verification of the standards and system requirements checklist. During the assessment additional information and translations were requested from the IFCC.

3. Elaboration of draft report

The draft report was sent to IFCC and PEFC on 31 March 2014.

4. Visit to Indonesia: field assessment

A visit to Indonesia was conducted in which meetings were held with the IFCC to receive additional clarifications and references. Also meetings were held with stakeholders to receive information on the standard setting process and the Indonesian context. Finally, a visit to the pilot testing site was conducted to receive information on the applicability of the standard, and the forestry issues encountered in Indonesia for a company.

5. Elaboration of final draft report

IFCC submitted on 22 April 2014 responses and additional references and clarifications to the draft report. This included approved amendments to several procedural and standard documents. Based on this new evidence, Form developed a final draft report, which was sent to IFCC and PEFC on 30 April 2014.

6. Review of the final draft report

Three members of PEFC's Panel of Experts have contributed to the final report by providing Form with their feedback and comments. These were Mr. Hannu Valtanen, Mr. Hugh G. Miller and Mr. Hans Köpp. On 14 May 2014, the PEFC sent through the comments from Panel of Experts members.



7. Final analysis and reporting

This final report was elaborated taking into account the comments from Panel of Experts members and was sent to the PEFC on 28 May 2014.

8. Adaptations to the Indonesian Standard

Based on the final report of May 2014 (including 1 non-conformity), the PEFC Board of directors opinion was that the standard was not in compliance with the PEFC requirements. IFCC decided to amend IFCC ST 1001:2013, Section III, indicator 1. The revised standard was approved by the BoD of PEFC and submitted for assessment in August 2014.

9. Assessment of revision to the Standard – Final Report (v 2 – august 2014)

This second version of the final report was elaborated taking into account the changes made to IFCC ST 1001:2013, Section III, indicator 1 and sent to the PEFC on 1 September 2014.

1.6. Report structure

Chapter 2 gives an explicit statement in the form of a recommendation whether or not the Board of Directors of PEFC should adopt the IFCC Scheme. In chapter 3, a summary of the findings is presented. Chapter 4 gives an overview of the key structures of the scheme, followed by the results of the assessment of the standard setting procedures and process in chapter 5. The assessment of the forest management standard is presented in chapter 6. In chapter 7 and 8 the Chain of Custody standard and the PEFC logo use are quickly touched. Chapter 9 covers the assessment of the certification and accreditation procedures, followed by the assessment of the Notification of Certification Bodies procedures in chapter 10. Finally, chapter 11 concerns the assessment of the complaints and dispute resolution procedures. The standards and system requirements checklist is enclosed in Annex 1. Results of the stakeholder survey and international consultation are presented in respectively Annex 2 and Annex 3. Annex 4 contains the Panel of Experts Comments and the report on the field assessment is enclosed in Annex 5.



2. Recommendation

Based on the results of this conformity assessment, Form international recommends the PEFC Board of Directors **to endorse the Indonesian Forestry Certification Cooperation Scheme.**



3. Summary of the Findings

3.1. Overall

The IFCC Scheme is in general complete and comprehensive. No non-conformities were found in the standard documents, nor in the standard setting process. The following paragraphs present the general findings of each section.

3.2. Structure of the system

In October 2011, Indonesian stakeholders established the IFCC, a multi-stakeholder organization, aimed at the development and governing of an Indonesian forest certification scheme. In November 2012, the IFCC became a member of the PEFC Council and the recognition of the scheme has become an ultimate objective of the standard setting process. The IFCC consists of a General Assembly, a Board of Directors and a Secretariat. For standard setting processes the IFCC establishes a Standardisation Committee, which can also establish a Draft Working Group.

Within the IFCC scheme, there are four standards for operators (SFM standard, CoC standard, PEFC Logo usage and IFCC Logo usage), two standards for Certifying Bodies (one in relation to SFM and one in relation to CoC), and four procedural documents for the governance of the IFCC Scheme (Standard Setting Procedures, Complaints and Appeal Procedures, Notification of CB's and Logo usage Licensing). The IFCC scheme does not have regulations for group certification.

3.3. Standard Setting Procedures and Process

In both the Standard Setting Procedures and Process, no non-conformities were found. The Standard Setting Procedures document (IFCC PD 1001:2012) is complete, and clearly structured and elaborated. The Standard Setting Report (SSR) is a quite complete, clearly structured document with clear references to records that gives a quite good overview of the standard setting process. The stakeholders questionnaire and field assessment finally provided information on the local context and opinions and experiences of stakeholders regarding the standard setting process. During the field assessment, in total 52 stakeholders were interviewed, covering all different stakeholders groups.

Based on the SSR, the records and the outcomes of the field assessment, it is concluded that the standard setting process followed the procedures and was exceptionally well organized for the Indonesian context. Especially the transparency and active involvement and participation of a broad range of stakeholders was highly appreciated by the stakeholders. According to the stakeholders that were interviewed, in specific forestry companies and Certifying Bodies (CB's), the standard is implementable, applicable and feasible. These stakeholders (including local communities and indigenous people representatives) were furthermore of the



opinion that their concerns were considered during the process and sufficiently covered in the standard. During the field assessment the assessor did not receive any negative responses from stakeholders towards the IFCC Scheme.

There are however five observations identified, relating to textual observations and errors, prevailing language, financial issues for standard setting processes, combining voting mechanisms according to the standard and the coverage of the Papua forest issues during the standard setting process.

3.4. Forest Management Standard

The Sustainable Forest Management Standard (IFCC ST 1001:2013) is in general quite complete and comprehensive. It consists of a general section, a section for management of natural forests, and a section for management of plantation forests. The standard is clear in its objective to protect and manage the forest in a sustainable and in the best possible way. Many responsibilities are put in hands of the forestry company and a pro-active attitude is expected to prove compliance. Communication with and consultation of stakeholders plays an important role in IFCC's Forest Management Standard.

No non-conformities were found, however seven observations were identified. These observations relate to translation and textual observations and errors, prevailing language and the coverage of Papua forest issues in the standard.

3.5. Chain of Custody standard

No non-conformities were found in the Chain of Custody Standard, since IFCC adopted PEFC ST 2002:2010.

3.6. Logo usage

No non-conformities were found in the Logo Usage Licensing Procedures, since IFCC adopted PEFC ST 2001:2008.

3.7. Certification and Accreditation Procedures

For the requirements related to the Certification Bodies operating certification against the chain of custody standard, IFCC adopted the PEFC standard (PEFC ST 2003:2013). For the requirements related to bodies providing audit and certification of Sustainable Forest Management, the IFCC developed procedures that comply with the PEFC requirements. No non-conformities were found, there is however one observation identified, related to the prevailing language.

3.8. Notification of Certification Bodies Procedures

The procedures comply with the PEFC requirements, no non-conformities were found. There are however two observations identified, relating to the prevailing language and textual issues.



3.9. Complaints and Dispute Resolution Procedures

The procedures comply with the PEFC requirements, no non-conformities were found. There are however two observations identified, relating to the prevailing language and textual issues.



4. Structure of the System of the Proposed Applicant Scheme

4.1. Introduction forest sector Indonesia

Indonesia is quite densely forested with a forest cover of about 52 % of the land surface in 2010, mostly tropical rainforest. The forests are very diverse and represent about 10 % of all tropical forests in the world. There are two main categories: wetland forests (mangrove, swamp and peat forests), and the dry land forests (tropical, montane, sub-alpine rainforests and monsoon forest).

In Indonesia, all forest land is owned by the government. Some people grow forest in their own land, referred to as community forest (*hutan rakyat*). Several types of forests are distinguished:

- Protection Forest (*Hutan Lindung*, HL), managed by the Public Administration;
- Conservation Forest (*Hutan Konservasi*, HK), managed by the Public Administration;
- Production Forest (*Hutan Produksi*, HP) with some sub categories. Some Production Forests are managed by communities (*Hutan Kemasyarakatan*, HKM or social forestry), but most by private corporations and institutions.

For Production Forests, the concession rights are given out by the government to private or state-owned forest companies. Harvesting concessions are managed by a selective harvesting system. Concession management includes the obligation to regenerate after harvesting.

Indonesia is one of the biggest producers of forest products, especially of tropical hardwood. The main species are meranti, ramin and keruing. Indonesia is strongly export oriented. Timber from Dipterocarp forests¹ is generating an important source of income. Many people directly depend on the production of wood and non-wood forest products for their employment. This is why it is considered essential that Indonesia's forests are managed in a way that assures sustainable conservation and production.

4.2. Organisation IFCC

In October 2011, Indonesian stakeholders interested in sustainable forest management have established an organisation named Perkumpulan Kerjasama Sertifikasi Hutan (KSK) / Indonesian Forestry Certification Cooperation (IFCC) aiming at developing and governing an Indonesian forest certification scheme. Such a scheme should satisfy international expectations for conformity as defined by

¹ Forests dominated by trees from the Dipterocarp family, including some valuable timber species.



organisations such as ISO (International Standardisation Organisation) and IAF (International Accreditation Forum). It should as well meet expectations for sustainable forest management and forest certification schemes that are defined by international frameworks for recognition of forest certification schemes (e.g. the PEFC Council). In November 2012, the IFCC became a member of the PEFC Council and the recognition of the scheme has become an ultimate objective of the standard setting process.

The IFCC is a multi-stakeholder organisation governing the IFCC Scheme and responsible for the following functions:

- Development of the standards of the Indonesian Forestry Certification Cooperation scheme;
- Notification of certification bodies;
- Licensing of the label(s) of the IFCC;
- Promotion of the Indonesian Forestry Certification Cooperation scheme;
- International recognition of the Indonesian Forestry Certification Cooperation scheme.

The IFCC is not involved in the certification process or the accreditation process.

Organizational structure:

- *General Assembly (GA)*: The GA is responsible for the formal approval of the scheme's standards.
- *Board of Directors (BoD)*: The BoD fulfills is responsible for:
 - approval of the project proposal for the standard setting process;
 - approval of the standard setting procedures (IFCC PD 1001);
 - establishment and dissolution of the Standardisation Committee;
 - formal approval of procedural documents (IFCC PD);
 - recommendation of the final draft standards for formal approval by the GA.
- *Standardisation Committee (SC)*: The first SC was established by the BoD on 15 May 2012 with the objective to ensure balance amongst the relevant stakeholders and to build consensus amongst participating interested stakeholders and/or experts. The SC consists of balanced representation of the following stakeholder categories:
 - a) Business and industry relating to forest based products;
 - b) Forest owners / managers;
 - c) Indigenous people and local populations;
 - d) Non-governmental organisation, in particular environmental organisations;
 - e) Scientific and technological community;
 - f) Women, children and youth;
 - g) Workers and trade unions;
 - h) Governmental authorities, including national, regional and local authorities.



- *Drafting Working Group (DWG)*: The DWG is a group of experts that supports the SC through analysing suggestions and comments of stakeholders within and outside SC and by preparing draft documentation for the SC meetings.
- *IFCC Secretariat*: The Secretariat is responsible for the implementation of the standard setting procedures and administration of the IFCC Scheme. The Secretariat arranges all contacts between the SC, the DWG and the BoD. Until now, the Secretariat was in particular responsible for:
 - preparation of the project development process and project proposal;
 - providing secretarial and administration support to the SC and DWG;
 - announcing the start of the project development process;
 - administration of the public consultation;
 - organisation of public seminars;
 - publication of the approved documentation.

For the standard setting process the IFCC also appointed TJConsulting, an independent international consultant represented by Mr. Jaroslav Tymrak. He was hired for three periods (March - April 2012, August – November 2013 and March – April 2014) with the following tasks:

- to prepare a project proposal;
- to set up the structure of the scheme documentation;
- to prepare first drafts of IFCC documentation (except the SFM standard);
- to assess the standard setting process and IFCC documentation against the PEFC Council requirements;
- to assist the IFCC during the independent conformity assessment conducted by Form.

4.3. The Indonesian Forestry Certification Scheme

The objectives of the IFCC Scheme (presented in IFCC ST 1000:2013) are:

- Provide confidence to general public and market players that the forests certified against the scheme's forest management standard is managed, systemically, in sustainable way;
- Allow forest owners / managers and following forest based industry to label products originating from the certified forests and communicate the environmental credentials of those products; and
- Allow customers and consumers of forest based products to make a purchase preference for products originating from the certified, sustainably managed forests.

The IFCC developed several Procedural and Standard documents that are schematically presented in the figure below. The IFCC scheme does not include group certification. The standard for Chain of Custody certification, PEFC Logo usage rules and requirements for Chain of Custody certification bodies, are adopted from PEFC. It should be noted that IFCC procedures provide regulations for both



PEFC labels and claims, and IFCC labels and claims. The standard for Chain of Custody certification for instance can be used for both PEFC and IFCC claims.

Standards for operators	Standards for certifying bodies	Scheme governance
<p>IFCC ST 1001 Forest management standard</p>	<p>IFCC ST 1002 Requirements for CBs – forest management certification</p>	<p>IFCC PD 1001 Standard setting procedures</p>
<p>PEFC/IFCC ST 2002 Chain of Custody standard</p>	<p>PEFC/IFCC ST 2003 Requirements for CBs – CoC certification</p>	<p>IFCC PD 1002 Complaints and appeal procedures</p>
<p>PEFC/IFCC ST 2001 PEFC Logo usage rules</p>	<p>PEFC/IFCC ST 2003 Requirements for CBs – CoC certification</p>	<p>IFCC PD 1004 Notification of CBs</p>
<p>IFCC ST 1003 IFCC Logo usage rules</p>	<p>PEFC/IFCC ST 2003 Requirements for CBs – CoC certification</p>	<p>IFCC PD 1003 Logo usage licencing</p>



5. Standard Setting Procedures and Process

This chapter presents the findings in the Standard Setting Procedures and Process. In both the process and procedures, no non-conformities were found. Next to general findings, a selection of the most relevant conformities are presented. The Standard and Scheme Requirement Checklist related to the Standard Setting Procedures and Process can be found in Annex 1 part I, which presents all the conformities and related references.

5.1. Analysis

The Standard Setting Procedures document (IFCC PD 1001:2012) is complete, clearly structured and elaborated, and has a wording that is close to the PEFC requirements. There are no non-conformities found, although several observations are identified.

The Standard Setting Report (SSR) is a quite complete, clearly structured document with clear references that gives a good overview of the standard setting process. The records provide the evidence of the activities presented in the SSR. During the field assessment and the assessment process, the IFCC provided additional clarifications needed for the assessment. The stakeholders questionnaire (see Annex 2) and field assessment (see Annex 5) finally provided information on the local context as well as opinions and experiences of stakeholders regarding the standard setting process. During the field assessment, in total 52 stakeholders were interviewed, covering all the different stakeholders groups. Out of these 52 persons, 25 are members of the Standardisation Committee (SC) and/or Draft Working Group (DWG), 5 are IFCC Secretariat personnel, 3 are Board of Directors (BoD) members, 1 is an international consultant for the IFCC and 18 are other stakeholders. Based on these information sources it is concluded that the process was generally conducted according to the standard setting procedures.

However, five observations were identified:

- No reference was found of a statement whether the English text or the Bahasa Indonesia text is leading in case of different interpretation.
- Requirement 5.4.2.1. of IFCC PD 1001:2012 does refer to chapter 4.5.5. This chapter however does not refer to the issue (consensus building). It should be 4.5.7. It is furthermore unclear if clause 4.5.7. applies for all decisions, or only the decision for the submission of an Enquiry draft for public consultation and recommendation on the formal approval of the Final draft.
- PEFC requirement 5.4 indicates amongst others that the acceptance and refusal of nominations shall be justifiable in relation to the resources available for the standard-setting. Such a condition is not found in IFCC PD 1001. It seems that a shortage of resources was not an issues during the standard setting process, since the IFCC paid for the travel costs of non-



business participants. It is however unclear if this might be an issue for the IFCC in future.

- PEFC requirement 5.8d: The IFCC procedures do only provide the opportunity to combine a face-to-face voting with voting by telephone conference meeting, there is no explicit reference in the IFCC procedures that provide the opportunity for other combinations. The voting for the approval of the final draft however, was a combination of a face-to-face meeting and voting by mail / E-mail, while this combination is not regulated in the IFCC procedures;
- Three seminars were organized to receive input from stakeholders on the draft standards: in Jakarta (Java), Pekanbaru (Sumatra) and Samarinda (Kalimantan). The latter two represent two main forestry regions within Indonesia, for both natural forest logging and plantation forests. However, Papua might be considered as a third main forestry region in Indonesia, whose forests are ecologically quite different from the other regions. These forests ask for a different approach in selective logging operations compared to the other main forestry regions². It is unclear if these local forestry issues from Papua, especially the daily experiences of forestry companies, are sufficiently covered in the current standard. An additional seminar in Papua would have been preferred to receive input and/or check the applicability of the standard for the Papua context. This can be a point of attention for the next revision of the standard.

5.2. Results

The standard setting process started with a kick-off meeting on 6 March 2012, in which the procedures were presented, the projected development of the IFCC Scheme was explained and stakeholders (in total around 60 present) were asked to list persons and /or organizations (including those that were not present at the meeting) that to their opinion should be part of the SC. Next, the IFCC formally started the standard setting process on 20 April 2012 and invited the stakeholders to nominate their representatives for the SC, in particular the persons and organizations listed by stakeholders during the kick-off meeting. Although the deadline for nominations was 27 April 2012, the BoD also considered the nominations received between the deadline and the day of establishment (15 May 2012) and even added one member in September 2013. All nominations received were accepted, none were rejected.

The SC established a DWG to prepare the first drafts of the scheme standards IFCC ST 1001 and IFCC ST 1002. A draft version of IFCC ST 1001 was presented for public consultation that took place from 1 February 2013 until 31 March 2013. As only a few comments were received, the IFCC searched for ways to improve the

² The natural forests of Sumatra and Kalimantan often contain a high concentration of similar commercial tree species. The natural forests of Papua contain much lower concentrations of commercial tree species, that furthermore represent more diverse timber characteristics.



feedback from stakeholders and decided to organize a second public consultation, including three seminars to pro-actively give the stakeholders the opportunity to submit their comments. This second public consultation took place from 20 September until 19 October 2013. The seminars took place in Jakarta (Java), Pekanbaru (Riau) and Samarinda (Kalimantan). The latter two places represent important forestry regions in Indonesia.

Comments received from the public consultations and from the pilot testing (conducted in June 2013 at the forest estates of RAPP in Riau, Sumatra) were considered by the DWG and SC. The SC discussed each requirement in subgroups and accepted the formulations once all the group members agreed on the content. All SC members received the outcomes after the meetings and still had the opportunity to raise questions and objections. Consensus on the complete final draft version was reached on 29 October 2013. The BoD and GA accepted the final draft versions on 30 October 2013.

Based on the records and outcomes of the field assessment, it is concluded that the standard setting process was exceptionally well organized for the Indonesian context, in which especially the transparency and active involvement and participation of a broad range of stakeholders was highly appreciated by the stakeholders. To many of the stakeholders the process was intensive, but pragmatic in the sense that reaching consensus was a core goal of discussions, to avoid a very lengthy standard setting process. The process benefitted from earlier standard setting processes in Indonesia, since many participating stakeholders were already more or less familiar with the concept of a standard setting process and wanted to avoid the mistakes made during previous processes.

According to the stakeholders that were interviewed, in specific forestry companies and Certification Bodies (CB's), the standard is implementable, applicable and feasible. Stakeholders (including local communities and indigenous people representatives) were furthermore of the opinion that their concerns were considered during the process and sufficiently covered in the standard. During the field assessment the assessor could sense a proudness amongst all stakeholders on this national forest certification scheme and did not receive any negative responses from stakeholders towards the IFCC Scheme.

Below, several conformities are presented that to the opinion of the assessment team are critical issues and/or illustrative examples of the Indonesian process to set the standard. The conformity starts with the requirement (text in a block), followed by references providing the evidence for conformity with the requirement (normal and/or bold text), clarification by the consultant (italic text) and closed with a statement on the conformity (underlined text). It is specifically mentioned if the conformity relates to the process, or to the procedures. In some cases both the process and procedures are described, in the other cases only one of them.



4.4 The working group/committee shall: (...)

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

Procedures; IFCC PD 1001:2012:

“4.5.2. The Standardisation Committee composition provides for balanced representation of stakeholders with the aim of building consensus amongst participating interested stakeholders. No single concerned interest shall be allowed to dominate the process nor to be dominated. (...) The Standardisation Committee representing following stakeholder categories and shall have sufficient geographical representation relevant to the scope of the developed/revised standard:

- a) Business and industry relating to forest based products;
- b) Women, children and youth;
- c) Forest owners / managers;
- d) Indigenous people and local populations;
- e) Non-governmental organisation, in particular environmental organisations;
- f) Scientific and technological community;
- g) Workers and trade unions;
- h) Governmental authorities, including national, regional and local authorities.”

Does conform

Process

The Standardisation Committee has 39 members. The following stakeholders groups were represented (from high to low): Scientific and technological community (9), business and industry (8), NGOs (6, of which 3 social and 3 environmental), forest owners (4), women, children and youth (4, of which 1 concerns the expert for children education and local communities engagement within a forestry company), workers and trade unions (3), local authorities (3), indigenous people (2).

The stakeholder group of indigenous people seems to be underrepresented, especially given the fact that forestry operations in Indonesia does likely occur in regions with indigenous people. However, the chair of the SC is a university expert on indigenous people and community forestry in Indonesia, SC members furthermore explained that the representative of the Papua local authority did also put forward indigenous people issues and concerns during the discussions, and at least 2 of the NGO's are working in the field of human rights for marginalized people and indigenous people concerns. During interviews, these NGO's and indigenous people representatives (as well as other stakeholders) explained that the SC did have a good representation of indigenous people.

Answers from the questionnaires show that most stakeholders were of the opinion that the SC did have a balanced representation. Just two respondents mentioned that more (local) NGO's should have participated in the SC. It should be noted that during the 6 March 2012 meeting the stakeholders were requested to propose



persons and/or organizations that to their opinion should be part of the SC within the respective stakeholder groups. However, some of the NGO's that were listed (proposed) by other stakeholders as relevant members for the SC, did not want or were not able to participate.

With regards to the geographical scope: next to annex 3 of the SSR, the IFCC presented during the field assessment a more detailed overview of the number of representatives per geographical region: Sumatra (7), Java (10), Kalimantan (7), Sulawesi (1), Papua (1), National (16) and National Associations / Umbrella organizations (6) (please note that some of the SC members represented more than one region). The Indigenous people of Kalimantan were directly represented, while the indigenous people and local communities of Sumatra, Sulawesi and Papua were represented through NGO's and local authorities. Some respondents to the questionnaires mentioned the poor (or non) representation of Papua, Moluku and Nusa Tenggara. Stakeholders explained during the interviews that the SC has a relatively well coverage of the different relevant Indonesian forestry regions. Only one stakeholder argued that a higher participation of local NGO's would have been preferred to better cover local issues.

Does conform

4.5 Upon receipt of the complaint, the standard-setting body shall:

- a) acknowledge receipt of the complaint to the complainant,
- 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;
- c) formally communicate the decision on the complaint and of the complaint handling process to the complainant.

Process

IFCC stated that no complaints were received. However, seven respondents to the questionnaire indicated that there were complaints brought forward by them or other stakeholders. During interviews, several of these respondents were asked for clarification. It appeared that they did not mean formal complaints, but very intensive discussions amongst stakeholders, while they finally reached consensus. None of the stakeholders interviewed were aware of any formal complaints.

Does conform

5.1 The standardising body shall identify stakeholders relevant to the objectives and scope of the standard-setting work.

Process; SSR, page 7 and 8:

“The Secretariat carried out a stakeholders mapping exercise that resulted in a list of stakeholders relevant to the revision process. IFCC identified 105 organisations



and individuals within all relevant stakeholder groups as per IFCC PD 1001: forest based industry; woman, children, youth; forest owners/managers; indigenous people and local communities; non-governmental organisations, in particular E-NGOs; Scientific and technological community; workers and trade unions; governmental authorities.”

In total 105 stakeholders were identified, representing the following stakeholder groups: NGO's (20 %), forest owners (23 %), business and industry (22 %), governmental authorities (10 %), scientific and technological institutions (15 %), women / children / youth (2 %), indigenous people and local population (6 %), workers and trade union (2 %).

The number of identified stakeholders representing workers and trade unions seems low, it should however be noted that one of these is an umbrella organization representing local organizations.

The information and invitations was furthermore spread through the Rimbawan Interaktif (a free and open network). IFCC explained: “This is a network that covers more than 1300 members within the Indonesian sector covering all relevant stakeholder groups and any news published at the Rimbawan Interactive is delivered to e-mail addresses of the network members.. IFCC has actively used the Rimbawan – Interaktif as the critical communication tool from the beginning of the process.”

Stakeholders were generally of the opinion that the public meetings did have a broad participation of all stakeholder groups and that most of the relevant stakeholders did participate in the process. One of the respondents to the questionnaire (representing a CB) indicated that they were initially not identified as a relevant stakeholder, and as such did not receive an invitation for the first standard setting activities. At their request they were however added to the stakeholders list and received information and invitations during the rest of the process.

Does conform

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.

Process; SSR, page 7 and 8:

“Within the mapped stakeholders, 24 organisations/individuals were identified as “key and disadvantaged”. The stakeholder mapping also identified constraints for their participation and actions to address those constraints”

Mostly national representative organisations and umbrella organisations were identified. Just a few local organisations from regions where forestry mostly occurs in Indonesia were identified.



Additional explanation provided by IFCC regarding the identification of mainly national representatives, without identification of local stakeholders:

“It should be noted that IFCC develops a national standard with national requirements for SFM. The “national” members of the SC have significantly a higher level of representativeness than local organisations. The main purpose of the standardisation at the national level is not to promote local specific interests but to make sure that the standard is applicable within its geographical scope.”

Furthermore, during the second public consultation, two seminars were held in two major forestry regions (Riau, Sumatra and Samarinda, East Kalimantan) to receive input from local stakeholders.

Additional explanation provided by IFCC with regards to how they addressed the constraints:

“The IFCC identified “constraints” for all stakeholders on the stakeholder’s mapping table. The main constraints were: time limitation, participation in another scheme (LEI), although not directly communicated by stakeholders also financial resources, lack of interest. To address the constraints (those that could be addressed), the IFCC provided financial assistance to all members of the SC except the business stakeholder group.”

The financial assistance provided to stakeholders was confirmed by the stakeholders interviewed. Next, an overview was presented by the IFCC in which all the constraints for participation and actions to address the constraints are listed. The list shows that the IFCC has done many efforts to promote the stakeholders involvement in the standard setting process.

Does conform

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.

Process; SSR page 9:

“On 20 April 2013 [Assessor’s comment: this should be 2012, confirmed by IFCC], the IFCC BoD approved the standard setting procedures IFCC PD 1001 based on comments received. The procedures were presented and discussed during the 6 March stakeholders meeting; were mentioned in the announcement of the start of the standard setting process; and stakeholders were invited to provide their comments.”



Additional explanation by IFCC:

“IFCC presented the draft procedures to stakeholders at the stakeholders seminar and received feedback from stakeholders during the seminar (). IFCC has not received any comment or suggestion to alter the presented procedures.”

Minutes of the IFCC BoD meeting on 2012-04-20 (record 5.1):

“2. Bapak Zulfandi Lubis reported that (...) Standard Setting Procedure PD 1001 (...) was presented to stakeholders in the Stakeholder Meeting dated March 6, 2012, followed by discussion to get feedback/responses. There were no comments/suggestions that would request to change the Project Proposal/Standard Setting Procedure.

3. At 10.25 AM, considered to Bapak Zulfandi Lubis report, BoD accept and endorse Standard Setting Procedure PD 1001 (draft 1.2) as an IFCC official document, and BoD instruct the secretariat to publish the Standard Setting procedure.”

The minutes of the 6 March 2012 seminar do show that the standard setting process was explained to the public. The interviewed stakeholders confirmed that there were no comments or suggestions to change the presented procedures, stakeholders agreed with the proposed procedures.

Minutes of the BoD meeting held on 15 May 2012 (record 5.2):

“The secretariat reported that 49 individuals/organisations were submitted as candidates for the Standardisation Committee. Based on information received from the Secretariat, taking into account representation from the stakeholders (9 elements), as well as the skills of the candidates, the Board selected and decided on 38 (see the list of the standardization committee members) from 49 candidates that will be elected as members of the Standardization Committee, and instructed the Secretariat to announce the results of the decision and the names of the Standards Committee members elected.”

A list of nominations and the final acceptance of nominees could be found.

Does conform

<p>5.6 The standardising body shall organise a public consultation on the enquiry draft and shall ensure that:</p> <p>a) the start and the end of the public consultation is announced in a timely manner in suitable media,</p>
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Process; SSR page 11 and 12:

“First public consultation

- IFCC ST 1001, v. 1.5 was presented for public consultation that took place from 1 February 2013 until 31 March 2013;
- The announcement of the public consultation was made at the IFCC website (...);



- The public consultation was communicated to stakeholders by a letter distributed to stakeholders by E-mail and by post.
- The public consultation was announced at the “rimbawan-interactif”

Second public consultation

- IFCC ST 1001 and IFCC ST 1002 were presented for the second public consultation that took place from 20 September 2013 until 19 October 2013;
- The announcement of the public consultation was made at the IFCC website
- The public consultation was communicated to stakeholders by a press release distributed to stakeholders by E-mail and by post.
- The public consultation was announced at “Rimbawan-interactif”
- The public consultation was also announced and distributed through the following networks of forestry related organisations:
 - o FKKM (Forum Komunikasi Kehutanan Masyarakat) Joint role for Community Forestry Development and Forestry Improvement Policy in Indonesia
 - o Asosiasi Pengusaha Hutan Indonesia (APHI) Association of Indonesia Forest Concession Holders

Public seminars

- As a part of the second public consultation, the IFCC has run three public seminars in Jawa, Sumatra and Kalimantan. The invitation to the seminars was made together with the announcement of the public consultation.
- The seminar on 27 September 2013 in Pekanbaru, Sumatera
- The seminar on invitation to the 1 October in Samarinda, Kalimantan.
- The national seminar in Jakarta on 3 October“

The start and end dates were mentioned in the announcement letters of both public consultation periods. Records show that the invitations were mostly done at the start or during the public consultation period:

- *First public consultation (1 February - 31 March 2013): the announcement at the IFCC website was dated 1 February 2013, the public consultation letter was dated 7 February 2013, two records of e-mails were dated 12 February 2013 and 1 March 2013, the announcement at the Rimbawan-interactif was dated 19 February.*
- *Second public consultation (18 September - 18 October 2013): the announcement at the IFCC website was dated 20 September 2013, the e-mail was dated 24 September 2013. An announcement on the website of APHI was dated 11 October 2013. It is not clear on which date the announcement was made at the Rimbawan-interactif and the FKKM website.*
- *Public seminars (27 September and 1 and 3 October): the announcement for the public consultation meetings (and dates) was included in the public announcement, which was announced at the IFCC website on 20 September 2013. The announcement for the Jakarta meeting was also published at the FKKM website, however on the date the meeting was held.*

Although some of the announcements were done on a short term, it is concluded that the stakeholders were provided with enough time to respond and the various ways and different dates of inviting stakeholders might have had a reminding effect



on stakeholders and therefore might have improved the attention of stakeholders. It should furthermore be noted that the seminars were organised in sufficient time before the end of the second public consultation to ensure that stakeholders can still submit their comments after the seminars.

Furthermore, both the IFCC and the stakeholders interviewed explained that for the Indonesian context these invitations were done generally in a timely manner. Stakeholders were even of the opinion that the invitation activities of the IFCC, including calling and texting stakeholders to confirm if they received the invitations and are planning to attend the meeting, was exceptionally well organized for the Indonesian context. One or two weeks in advance is very common and in time to them.

Does conform

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.

Process; SSR page 12:

“□ During 3-5 June 2013, AJA Registrars carried out a pilot audit against the IFCC ST 1001 standard. The audit took place on the forest estates of RAPP. The report from the pilot audit was considered by the DWG on 1 July 2013.

□ TJConsulting was invited to participate in the pilot and to deliver assessment of the IFCC standard against the PEFC Council requirements. The report from the pilot audit was considered by the DWG on 1 July 2013.”

Minutes of the DWG (22 June 2013; record A13):

“The discussion (...) starts with explaining the agenda of the meeting (...) that Team Auditor PT AJA Certification Indonesia will present the results of a field assessment to IFCC Standardization Committee. The meeting also presented by PT. AJA Certification Indonesian written evaluation results of Jaroslav Tymrak on "Assessment of the IFCC Forest Management Standard Against The PEFC Requirements””

Minutes of the DWG (1 July 2013; record 4.14):

“Agenda: 1. Further discussion about the report of the field visit in PT. RAPP and report of Jaroslav Tymrak, “Assessment of the IFCC Forest management standard against the PEFC Requirement””

The pilot testing report contained for each requirement notes on the applicability, general notes and suggestions. The minutes of both meetings included all the findings of the pilot testing, recommendations by the auditors and consultant, and responses of and proposed actions by the SC.

The IFCC, pilot testing auditors and SC members explained that based on the pilot testing quite many changes were made to the standard by the SC, which made the standard clearer, and improved the applicability and auditability of the forest management standard. Furthermore, the standard was improved in relation to the specific requirements for natural forests and plantation forests.



Does conform

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.

Process; Agenda of the SC meeting (29 October 2013; record 3.10):

“Before we submit the draft of standard to IFCC Board of Director for approval, we request to have meeting to review, finalize, and agree with the final draft of IFCC Standards. As such, we cordially invite you to attend the 4th meeting of IFCC Standardization Committee with the following details:

Day/date : Tuesday, 29 October 2013

Time : 08.30 – finish

Venue : The Mirah Hotel, Jl. Pangrango No. 9A, Bogor

Agenda : 1. Consensus towards the final draft of IFCC Standard ST 1001, Standard for Sustainable Forest Management – Requirements;

2. Consensus towards the final draft of IFCC Standard ST 1001, Requirements for Bodies Providing Audit and Certification of Sustainable Forest Management.

Since this is a highly important meeting, your attendance and participation in the meeting are highly appreciated.”

Minutes of the SC meeting 29 October 2013 (record 3.12):

“On this day, Tuesday, October 29th In 2013, IFCC Standardization Committee expressed approval at the Plenary Meeting of the results related IFCC Standardization Committee:

1. ST 1001:2013 IFCC document (draft 1.9) into IFCC Document ST 1001:2013 (final draft).

2. ST 1002:2013 IFCC document (draft 1.6) into IFCC Document ST 1002:2013 (final draft).

3. ST 1003:2013 IFCC document (draft 1.2)) to IFCC Document ST 1003:2013 (final draft).

Thus represents the minutes of the Consensus Approval.”

SSR page 16:

“The SC meeting of 29 October 2013 reached consensus on the final draft standards (...). In total 28 members of the Standardisation Committee voted in favour of the standards to be formally approved by the IFCC (...). No member of the Standardisation Committee submitted a negative vote. There was no sustained opposition presented by any member of the Standardisation Committee.”

Additional explanation provided by IFCC:

“The consensus was reached at the SC meeting on 29 October 2013. At the end of the meeting the Chair made a statement on consensus and there were no dissenting hands or voices. All members of the SC signed the consensus protocol. All members of the SC were invited to the SC meeting, they received the draft standard (1.9) in advance as well as the agenda of the meeting that stated that the



standard will be voted upon. All members of the SC had an opportunity to attend the meeting and to vote.”

The decision of the SC to recommend the final draft for formal approval was taken on the basis of signatures for approval of the final draft standards. In total 24 members of the SC signed the “Minutes of the Consensus Approval” during the meeting, three members submitted a signature by letter, one member by e-mail. In total 28 of 39 SC members (72 %) signed the “Minutes of the Consensus Approval”. SC members explained that during all the DWG and SC meetings each standard requirement was intensively discussed in sub-groups, until they reached consensus. After the meetings the results were sent to all SC / DWG members, after which every member did have the opportunity to submit comments or objections, to re-open the discussions on certain requirements. The final decision was therefore mostly based on consensus reached in all of the previous meetings.

Since there were not yet enough signatures during the 29 October 2013 meeting, the IFCC sent out an E-mail to all SC members requesting the SC members that were not present at the 29 October meeting to respond if they agreed with the draft standards or if they had objections. Furthermore they were asked to submit a signature if they agreed with the draft standard. This was explained by the IFCC and confirmed by SC members during the interviews. According to both the IFCC and the SC members interviewed, no objections were received.

It should be noted that amendments to IFCC ST 1001 have been adopted by the Standardisation Committee on 16 April 2014 by consensus, see reference below.

Minutes of the SC meeting on 16 april 2014 (record A15):

“The chairman states that according to the standard setting procedures, it is necessary to reach a consensus on the document that will be formally approved by the General Assembly. The Chairman stated that all SC members have received an invitation to the meeting; have received the draft document; and those members that could not be present in person were also provided with possibility to authorize another person to vote on their behalf (a proxy vote) or to vote by the phone (to provide a phone number to be called in)

The chairman stated that the available votes composition for the consensus is as follows:

	Vote	Note
The SC members present directly	23	
The SC members who authorized another SC member to vote on their behalf (a proxy vote)	4	
The SC member who authorized another representatives of their institution to vote on their behalf (a proxy vote)	2	



The SC members who expressed their willingness to vote by telephone	9	Record of the phone communication is shown in Attachment 2. 3 of 9 persons could not be reached on the phone number that they provided (see Attachment 2)
Illnes	1	abstain
	39	35 are positive votes, 4 are abstain

Out of 39 available votes, 35 voted in favour (23 SC members present plus 6 proxy votes present, plus 6 SC members voting by the phone) of the proposed changes to IFCC ST 1001, issue 2 with no negative vote. The meeting continued with signing the consensus protocol.”

Does conform

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.,
- b) a telephone conference meeting where there is a verbal yes/no vote,
- 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
- d) combinations thereof.

Procedures; IFCC PD 1001:2012:

“5.4.2.2. In order to reach consensus the Standardisation Committee can utilise the following alternative processes to establish whether there is opposition to the Enquiry draft or to the Final draft:

- a) A face-to face or telephone conference meeting, or combinations of thereof, where there is a verbal yes/no vote;
- b) A face-to face meeting where there is a show of hands for a yes/no vote;
- c) A face-to face meeting where there is a “secret ballot” of members on a yes/no vote;
- d) A statement on consensus from the Chair at a face-to face meeting where there are no dissenting voices or hands (votes);
- f) A formal balloting process where votes are collated for the collective consensus decision.”

Does conform



Process; SSR page 16:

“Following the IFCC standard setting procedures (...), the primary body for reaching consensus on the standards of the scheme is the Standardisation Committee. The SC meeting of 29 October 2013 reached consensus on the final draft standards (...). In total 28 members of the Standardisation Committee voted in favour of the standards to be formally approved by the IFCC (...). No member of the Standardisation Committee submitted a negative vote.”

Note of IFCC:

“Members of the Standardisation Committee not present at the meeting of 29 October 2013 were provided an opportunity to vote by E-mail or mail.”

According to the IFCC and the SC members that were interviewed, no telephone conference meeting was held during the standard setting process and no voting was done by mail / e-mail, except for the decision on the final drafts (see below).

Consensus was reached in sub-groups by a statement on consensus per standard requirement from the chair of the subgroup if there were no dissenting voices. The decision of the SC to recommend the final draft for formal approval was taken on the basis of a statement on consensus from the Chair at a face-to-face meeting (since there were no dissenting voices or hands), combined with an mail / e-mail to the absent SC members with a request for agreement or objection. The voting / decision was registered through signatures of SC members that approved the final draft standard. It should be noted that all present SC members did approve the final draft standard, and according to IFCC and the SC members that were interviewed, no objections were received by e-mail. From the absent SC members, 4 members provided their approval by mail / E-mail, and 11 SC members did not submit their approval nor objection, it is therefore assumed that they abstained from voting, since they were explicitly provided with the opportunity to raise objection.

It should be noted that according to the IFCC, the consensus on the amendments to IFCC ST 1001 (SC meeting 16 April 2014) was reached through a combination of a statement from the Chair (since there were no dissenting voices or hands), and a telephone conference meeting. Out of 39 available votes, 35 voted in favour (23 SC members present plus 6 proxy votes present, plus 6 SC members voting by the phone) of the proposed changes, with no negative vote. From the remaining 4, 1 abstained from voting due to illness, 1 could not be reached and 2 where out of telephone reach during the meeting, but (informally) agreed on the approval afterwards.

Observation:

The voting for the approval of the final draft was a combination of a face-to-face meeting and voting by mail / E-mail, however this combination is not regulated in the IFCC procedures, the only combination regulated is the face-to-face meeting and telephone conference.

Does conform



6. Forest Management Standard

This chapter presents the findings of the assessment of the Sustainable Forest Management Standard. Next to general findings some of the conformities are presented. The Standard and Scheme Requirement Checklist related to the Sustainable Forest Management Standard can be found in Annex 1 part III, which presents all the conformities and related references.

6.1. Analysis

The Sustainable Forest Management Standard (IFCC ST 1001:2013) is in general quite complete and comprehensive and follows in many cases the structure of the PEFC generic standard. The IFCC scheme is divided in three main sections. Section I covers the general requirements for natural and plantation forests. Section II contains specific requirements for management of natural forests, whereas Section III contains specific requirements for management of plantation forests.

In general the Sustainable Forest Management Standard is clear in its objective to protect and manage the forest in a sustainable and the best possible way. The improvement cycle of inventory, planning, implementation, evaluation and reviewed actions is an important tool used in the standard. Many responsibilities are put in hands of the forestry company and a pro-active attitude is expected to prove compliance. Communication with and consultation of stakeholders plays an important role, which is also reflected in the standard setting process in which many stakeholders have been actively involved, resulting in a thoroughly discussed and balanced standard.

No non-conformities were found. However, seven observations are identified:

- There are differences between the Bahasa Indonesia text and the English translation (according to some stakeholders). According to the IFCC, the standard text was developed in Bahasa Indonesia and afterwards translated into English. In some cases the English text is poor, which makes the accuracy of the translation questionable. It should be noted that the current assessment is based on the English texts.
- No reference was found of a statement whether the English text or the Bahasa Indonesia text is leading in case of different interpretation.
- The numbering of the document can be confusing: the general part and the sections (I, II, III) each restart numbering, which means that there are e.g. four requirements in the standard that are numbered 2.1. In referencing, the section number can be added (though not for the introductory chapters), but these section numbers are not directly mentioned in the requirements. The assessor experienced that this can cause confusion, which was also submitted as a comment by one of the CB stakeholders.
- IFCC ST 1001:2013; I-8.4: In the English translation the word “lightening” is used instead of “lighting”.



- IFCC ST 1001:2013; II-3.11 and III-3.4: In the English translation the word “an-organic” should be “inorganic”.
- IFCC ST 1001:2013; III-1.2: The note under II-1.1d is not found under III-1.2, although it was expected under the latter requirement. The note refers to consultation with materially and directly interested stakeholders during land use planning.
- It is unclear if the standard is fully applicable to the Papua context and if the sustainable forestry issues from the Papua context are sufficiently covered in the forest management standard.³ Forests in Papua are ecologically and in tree species composition quite different from the other Indonesian regions. These forests ask for a different approach in selective logging operations compared to the other main forestry regions⁴. It is unclear if these local forestry issues from Papua, especially the daily experiences of forestry companies, are sufficiently covered in the current standard. It should however be noted that the standard requirements are relatively generic, and implementation experiences might show whether the standard does need some more specific requirements for forestry in natural forests of Papua. This can be a point of attention for the next revision of the standard.

6.2. Results

Below, a selection of conformities is presented that, to the opinion of the assessment team, are critical issues and/or illustrative examples of the Sustainable Forest Management Standard. The description starts with the requirement (text in a block), followed by references providing the evidence for conformity with the requirement (normal and/or bold text), clarification by the consultant (italic text) and closed with a statement on the conformity.

5.1.11 Conversion of forests to other types of land use, including conversion of primary forests to forest plantations, shall not occur unless in justified circumstances where the conversion:

- a) is in compliance with national and regional policy and legislation relevant for land use and forest management and is a result of national or regional land-use planning governed by a governmental or other official authority including consultation with materially and directly interested persons and organisations; and
- b) entails a small proportion of forest type; and

³ This issue was explained by some stakeholders that did not participate in the SC or DWG.

⁴ The natural forests of Sumatra and Kalimantan often contain a high concentration of similar commercial tree species. The natural forests of Papua contain much lower concentrations of commercial tree species, that furthermore represent more diverse timber characteristics. These differences are mainly caused by the Asian type of forest ecosystems in the middle and Western part of Indonesia, and the more Australian type of forest ecosystems in the Eastern part of Indonesia.



- 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.

IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:

“2.2 MU shall prepare and implement a management plan and other documents (...) This plan shall:

b) take into account the evaluation of social and environmental impacts;

6.1 MU shall identify critical forest management activities and carry out an Environmental Impact Assessment analysing potential impacts of those activities on environment, in particular its biodiversity; protected and endangered species (...).

10.1 MU shall carry out a social impact assessment of its forest management activities on indigenous people and/or local communities, prior their implementation. Results of the social impact assessment shall be integrated into the management plan in order to minimise the negative impacts and optimise the positive impacts of the forest operations on indigenous people and/or local communities.”

IFCC ST 1001:2013, Chapter 4, Section II Specific requirements for management of natural forests:

“1.1 MU shall not convert forests to other land use, including conversion to plantation forests, except in the justifiable circumstances where:

a) The conversion is necessary for building forest related infrastructure or for livelihood and welfare of local communities and provides long-term contribution to social, economic and environmental benefits; and

b) The conversion is in compliance with national legislation and land use planning and is permitted by the relevant authorities; and

c) The conversion does not occur on protected areas; environmentally and socially important biotopes; and

d) The total area of the converted forests within the concession does not represent more than 5 % of the total forest area of the concession.

Note: The land use planning includes consultation with materially and directly interested stakeholders.”

IFCC ST 1001:2013, Chapter 4, Section III Specific requirements for management of plantation forest:

“1.1 MU shall exclude from forest certification those plantation forests that have been established by conversion of primary as well as secondary forests after 31 December 2010 except those meeting the justified circumstances in Section III, 1.2

1.2 MU shall not convert: forest to non-forest land uses and natural forests to plantation forests; except in the justifiable circumstances where:



- a) The conversion is in compliance with national legislation and land use planning and is permitted by the relevant authorities; and
- b) The conversion is necessary for building forest-related infrastructure or for livelihood and welfare of local communities and provides long-term contribution to social, economic and environmental benefits; and
- c) The conversion does not occur on protected areas; environmentally and socially important biotops; and
- d) The total area of the converted forests within the Management Unit does not represent more than 5 % of the total forest area of the Management Unit.”

Act Number 26 Year 2007, Chapter VIII Rights, Obligation and Community’s Role, Article 65:

- “1) The implementation of land use planning by the government is conducted by involving participation from the community;
- 2) Community participation during the land use planning process as per mentioned on the above point (1) is implemented at least through the following activities:
 - a. Participation in the development of land use planning;
 - b. Participation in the land use;
 - c. Participation in the control of land use.”

Does conform

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.

IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests: “2.3 The management plan shall include at least the following data and information: (...)

- h) A plan of management and monitoring activities, such as:
 - Activities to identify, map, and protect areas with the specific water and soil protection functions.
 - Activities to protect forest functions relating to the production of goods and services (timber, non-timber, and environmental services);
 - Activities to maintain and improve the quality of forest ecosystem and to improve degraded forest ecosystem.
- i) A protection and security plan of the forest that consists of :
 - Prevention and protection against forest fires;
 - Prevention and combating illegal logging;
 - Prevention and protection against pest and diseases;
 - Conservation of soil and water functions;
 - Protection of flora, fauna and their genetic resources;



□ Prevention of unstable farming;

4.4 MU shall optimize the utilization of forest resources to ensure efficient production of forest products, to minimize waste, and to minimize damages caused by harvesting activities.

4.5 MU shall rehabilitate a degraded land to provide added value to economic, ecological and/or social functions of the forest.

6.5 MU shall carry out monitoring of the negative impacts of forest management activities, including soil's physical and chemical qualities, compaction by forest machinery, subsidence, sedimentation, river discharge and decline in a water quality. MU shall implement measures to prevent soil and water damages and rehabilitate damaged areas through a soil and land conservation technique or planting of open/easily eroded land.”

Additional clarification provided by IFCC:

“Governmental “policy instruments” are not relevant to Indonesian conditions. It should be noted that all forests in Indonesia are state owned. The only governmental policy instruments in forestry are (i) legislation (UUD' 1945/ Constitutions, TAP MPR / Parliament Decree, Undang-undang/Act, Peraturan Pemerintah/Government Regulation) and (ii) regulations (Presidential Decree, Ministerial Regulations, DG Technical Regulation, DIR Technical Regulation). The IFCC standard explicitly requires compliance with both, the legislation and regulation under I-1.2.”

Does conform

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.
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IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:

“8.4 MU shall implement measures protecting forests against fires, including analysis of the risk of the fire's start and propagation within the MU; a fire detection system; appropriate silvicultural systems including prohibition of forest lightening and other use of fire as a management technique (e.g. slash burning); maintenance of infrastructure for the fire protection (road system, a water system and reservoirs); and education and awareness of workers and local communities.”

Does conform



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.

IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:

“2.2 MU shall prepare and implement a management plan and other documents (...). This plan shall:

a) consider the continuity of production, ecological and social functions;

2.3 The management plan shall include at least the following data and information:

g) A level of sustainable harvesting;

h) A plan of management and monitoring activities, such as: (...)

□ Activities to protect forest functions relating to the production of goods and services (timber, non-timber, and environmental services);

Note: Where the forest management includes commercial exploitation of nontimber forest products (at the level that can impact the sustainability of non-timber forest products in the long term), this also includes identification of the annual exploitation of non-timber forest products.

5.1 MU shall ensure that the rate of forest product harvesting shall not exceed the rate of sustainable production.

5.3 The forest product harvesting shall not exceed the increment and shall be corresponding with the determined AAC. The MU shall identify the desirable growing stock of commercial timber that is economically, ecologically and socially desirable, and ensure that the determined AAC and other management activities reach and maintain the desirable growing stock.

5.4 MU shall identify and inventory the non-timber forest products with a risk of over-exploitation or with negative impacts of their exploitation on forest resources. For those products, the MU shall in participatory manner establish, monitor and enforce an agreement with the local communities, indigenous peoples and other parties that are allowed to exploit the non-timber forest products. The agreement shall ensure that their activities will not exceed the rate of exploitation that can be sustained long-term and that will not cause negative impacts on forest resources. MU shall avoid or minimise negative impacts of its activities on non-timber forest products to ensure diversification of outputs, goods and services for local communities. Where the MU is permitted to utilize non timber forest products, it shall ensure that their harvest is balanced with the growth, does not exceed rate that can be sustained long-term and does not have negative impacts on forest resources. Note: Requirement 5.4 also applies to fishing and hunting activities.”

Does conform



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.

IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:

“7.1 MU shall identify through an inventory and mapping the distribution of protected flora and fauna, endemic, rare and threatened/endangered species and their habitats throughout the area of the MU in accordance with the applicable regulations/ conventions.

7.2 MU shall maintain and repair the habitat of protected flora and fauna; endemic, rare and threatened/endangered species; and features of special biological interests such as seed trees, old dead hollow trees, nesting and feeding areas within the MU.

7.3 MU shall identify key protected and endangered fauna species; their habitats and migration patterns, including landscape consideration; and apply appropriate management measures to minimise the pressure of forest operations on those species as well as to minimise potential negative impacts of those species on local communities.

7.5 MU shall identify through an inventory and mapping:

- a) protected, rare, threatened endangered, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes.
- b) endangered or protected genetic *in situ* resources of indigenous species and provenances.
- c) areas that are a part of globally, regionally and nationally significant large landscape areas with natural distribution and abundance of naturally occurring species. Note: HCVFs is the appropriate and recommended concept in identifying areas above with special biodiversity values.

7.6 MU shall map and protect representative samples of existing natural ecosystems within the landscape in their natural state appropriate to the uniqueness of the affected resources and the scale and intensity of operations.

IFCC ST 1001:2013, Chapter 4, Section II Specific requirements for management of natural forests:

“3.7 Areas with water and soil protection functions; areas with specific biodiversity functions and areas with special function for local communities identified according



to this Standard shall either be set aside from harvesting operations or MU shall apply with special care, silvicultural and harvesting techniques that minimise negative impacts on the protected values and functions of those areas. Note: The identification of the areas is defined in clauses 6.3, 6.4, 7.5, 7.6 and 10.5 of Section I of this standard.”

IFCC ST 1001:2013, Chapter 4, Section III Specific requirements for management of plantation forest:

“3.1 MU shall define arrangement of work area and identify, map, mark in the field and protect set-aside areas that:

- a) are primarily established for the purposes of conservation, biodiversity protection, protection and endangered and protected species;
- b) Include areas with water and soil protection functions; areas with specific biodiversity functions and areas with special function for local communities identified according to this standard;

Note: The identification of the areas is defined in clauses 6.3, 6.4, 7.5, 7.6 and 10.5 of Section I of this standard”

Does conform

5.4.6 Afforestation and reforestation activities that contribute to the improvement and restoration of ecological connectivity shall be promoted.

IFCC ST 1001:2013, Chapter 4, Section II Specific requirements for management of natural forests:

“3.5 MU may utilise artificial reforestation with indigenous species of local provenances for enrichment purposes; rehabilitation of degraded forests; rehabilitation of disused paths and trails. MU shall not utilise introduced species.”

IFCC ST 1001:2013, Chapter 4, Section III Specific requirements for management of plantation forest:

“3.1 MU shall define arrangement of work area and identify, map, mark in the field and protect set-aside areas that:

- c) Promote diversity of horizontal and vertical structure; ensure natural processes and ecological connectivity; provide sufficient quantity and distribution of naturally occurring indigenous and rare species, and their successful natural regeneration; standing and fallen deadwood; hollow trees, etc.;
- d) Only allow artificial regeneration by planting or seedling of indigenous species and their local provenances suited to the local conditions for the purposes of enrichment of those areas and enhancement of their protective, ecological and social functions;”

Additional clarification provided by IFCC:

“By principle, management activities are excluded from the set-aside areas; afforestation and reforestation activities are restricted. The areas are left to the



natural processes, including natural regeneration. Therefore, the standard promotes natural regeneration and (...) only allows artificial regeneration for the purposes of enhancement of their protective, ecological and social functions.”

Does conform

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.

IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:

“9.1 MU shall identify, honor, recognize, and respect tenure system and legal rights of communities to own, control and utilize the land and forest resources. The community may do traditional forest management practices. Those rights and practices shall be integrated into the management plan and respected in forest management operations to minimise negative impacts on those rights and practices. The tenure system and legal rights shall be identified in compliance with the national legislation and in participatory manner.

9.2 MU shall identify, honor, recognize, and respect customary rights of the indigenous peoples in compliance with the national legislation and taking into account ILO Convention 169 and United Nations Declaration on the Rights of Indigenous Peoples, 2007. MU shall ensure that those rights are not infringed upon without the free, prior and informed consent of the holders of the rights, including the provision of compensation where applicable. MU shall ensure that forest management does not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples and implements measures to minimise any negative impact.

9.3 MU shall establish an agreement with the indigenous and/or local communities to manage the forest area with customary and/or legal rights of the communities identified according to 9.1 and 9.2. The agreement is made in a participatory and equitable manner; and with consideration of the rights and obligations of stakeholders, including fair and equitable distribution of incentives, cost and benefits. Where the agreement is not established within a reasonable time period, MU shall provide the indigenous people with meaningful opportunities to be engaged in forest management decisions whilst respecting the processes, roles and responsibilities laid out in the legislation and regulations.



9.4 MU shall provide access to the indigenous people and local communities in utilizing forest resources that provide significant economical, ecological, cultural (including religious) functions for the community. MU shall identify, in cooperation with local communities and indigenous people, recognise and protect those sites of special cultural, ecological, economic or religious significance to the communities.

9.5 MU shall establish the conflict resolution mechanism relating to the customary rights of the indigenous communities and/or legal rights of the local communities, and the conflict resolution mechanism for cases relating to the forest management activities. The conflict resolution mechanisms shall be made in a participatory manner, mutually agreed and accepted by MU and the indigenous and/or local communities.”

Does conform

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.

IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:

“10.6 MU shall establish an effective and on-going communication and consultation with indigenous and/or local communities and other affected stakeholders relating to the forest management operations and their impact on them.

9.5 MU shall establish the conflict resolution mechanism relating to the customary rights of the indigenous communities and/or legal rights of the local communities, and the conflict resolution mechanism for cases relating to the forest management activities. The conflict resolution mechanisms shall be made in a participatory manner, mutually agreed and accepted by MU and the indigenous and/or local communities.”

Does conform

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.

IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:

“8.6 MU shall implement appropriate measures protecting the forests from illegal harvesting; settlement; hunting; encroachment and other unauthorised activities.



The MU shall inform, in timely manner, the relevant law enforcement authority about the illegal or unauthorised activities.

8.7 MU may restrict public access to forests for the purposes of protection of ownership rights, facilities and infrastructure; health and safety protection; protection against illegal activities and forest encroachment; protection against fires; or for conservation purposes.”

Does conform



7. Chain of Custody Standard

The PEFC Council procedures for Chain of Custody certification, PEFC ST 2002:2010 – Chain of Custody of Forest Based Products – Requirements are adopted by IFCC:

IFCC ST 2002-1:2013, foreword:

“Indonesian Forest Certification Cooperation has adopted the PEFC international chain of custody standard (PEFC/IFCC ST 2002:2013) as a part of the Indonesian forest certification scheme. PEFC/IFCC ST 2002:2013 can be used for the purposes of using PEFC claims but can also be used for the purposes of using IFCC own claim(s) and the IFCC label based on the requirements defined in this document.”

This adoption conforms to PEFC requirements. No further assessment had to be carried out.



8. Implementation of PEFC Logo Usage

The PEFC Council rules for PEFC Logo Usage (PEFC ST 2001:2008) are adopted by IFCC:

PEFC/IFCC ST 2001:2008, foreword:

“This PEFC International standard has been adopted, without any modifications, by the General Assembly of the Indonesian Forest Certification Cooperation on October 30, 2013 as a part of the IFCC Scheme with reference number PEFC / IFCC 2001:2008.”

The IFCC document PD 1003:2013, Issuance of the IFCC and PEFC logo licenses in Indonesia, is the corresponding document to these regulations. This adoption conforms to PEFC requirements. No further assessment had to be carried out.



9. Certification and Accreditation Procedures

This chapter presents the findings of the assessment of the Certification and Accreditation Procedures. No non-conformities were found. The Standard and Scheme Requirement Checklist related to the Certification and Accreditation Procedures can be found in Annex 1 part IV, which presents all the conformities and related references.

9.1. Analysis

For the Certification and Accreditation Procedures, IFCC referred to IFCC ST 1002:2013: Requirements for Bodies Providing Audit and Certification of Sustainable Forest Management. For the requirements related to the Certification Bodies operating certification against the chain of custody standard, IFCC adopted the PEFC standard (PEFC ST 2003:2013). Requirements for Certifying Bodies providing audit and certification of sustainable forest management are elaborated in IFCC ST 1002:2013. No non-conformities were found. However, one observation was identified:

- No reference was found of a statement whether the English text or the Bahasa Indonesia text is leading in case of different interpretation.

9.2. Results

The following reference documents are for the IFCC Scheme indispensable for the application of the certification and accreditation procedures: ISO/IEC 17021, ISO/IEC 19011:2011, and ISO/IEC 17011:2004. They play a central role in the procedures and guarantee impartiality of the CB's. The procedures comply with the PEFC requirements

No non-conformities were found in the standards.



10. Notification of Certification Bodies

This chapter presents the findings of the assessment of the Notification of Certification Bodies Procedures. No non-conformities were found. The Standard and Scheme Requirement Checklist related to the Notification of Certification Bodies can be found in Annex 1 part VI, which presents all the conformities and related references.

10.1. Analysis

For the Notification of Certification Bodies Procedures, IFCC refers to IFCC PD 1004:2013: Notification of Certification Bodies. No non-conformities were found. However, two observations were identified:

- No reference was found of a statement whether the English text or the Bahasa Indonesia text is leading in case of different interpretation.
- IFCC PD 1004:2013 does contain references to appendix 3, however, it does not have an appendix 3. The applicable appendix is named “appendix 4”.

10.2. Results

The following reference documents are for the IFCC Scheme indispensable for the application of the notification of certification bodies procedures: PEFC GD 1004:2009, ISO/IEC 17021, ISO/IEC Guide 65:1996 and all the IFCC Standard documents. They play a central role in the procedures and guarantee competence and independence of CB's. The procedures comply with the PEFC requirements

No non-conformities were found in the standards.



11. Complaints and Dispute Resolution Procedures

This chapter presents the findings of the assessment of the Complaints and Dispute Resolution Procedures. No non-conformities were found. The Standard and Scheme Requirement Checklist related to the Complaints and Dispute Resolution Procedures can be found in Annex 1 part VI, which presents all the conformities and related references.

11.1. Analysis

For the Complaints and Dispute Resolution Procedures, IFCC refers to IFCC PD 1002:2013: IFCC Procedures for Investigation and Resolution of Complaints and Appeals. No non-conformities were found. However, two observations were identified:

- No reference was found of a statement whether the English text or the Bahasa Indonesia text is leading in case of different interpretation.
- From page 3 onward the footer text does contain a wrong document reference (IFCC PD 1004:2013 instead of IFCC PD 1002:2013).

11.2. Results

The procedural document details procedures for complaints and appeals to IFCC which concern decisions and/or activities of IFCC, including standard setting, interpretation of the IFCC standards, logo usage licencing and notification of certification bodies. The procedures comply with the PEFC requirements.

No non-conformities were found in the standards.



Annex 1 PEFC Standard and Scheme Requirement Checklist

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Part I: PEFC Standard Requirements Checklist for standard setting

1 Scope

Part I covers the requirements for standard setting defined in PEFC ST 1001:2010, Standard Setting – Requirements.

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	Procedures	YES	IFCC PD 1001:2012: “4 Organisational Structure and Responsibilities for Standard Setting 4.1.1. The IFCC General Assembly shall be responsible for the formal approval of the IFCC standards. The composition and decision making of the General Assembly shall be defined in the IFCC Statutes. 4.2.1. The Board of Directors’ responsibilities within the standard setting process shall be: a) Approval of the project proposal;

Question	Assess. basis	YES / NO	Reference to application documents						
5.11),			<p>b) Establishment and dissolution of the Standardisation Committee;</p> <p>c) Approval of the IFCC documentation;</p> <p>d) Recommendation of the Final draft standards for formal approval by the General Assembly.</p> <p>4.3.1. The Secretariat shall be responsible, <i>inter alia</i>, for the implementation of the standard setting procedures. For this purpose, the Secretariat arranges all contacts between the Standardisation Committee, Task Forces, the project leader, and the Board of Directors.</p> <p>4.4.1. The project leader is a person nominated by the Board of Directors to lead the development work and, in cooperation with the Secretariat, the Standardisation Committee and the Task Force to ensure realisation of the standard setting project.</p> <p>4.5.1. A Standardisation Committee shall be established and dissolved by the Board of Directors. The Standardisation Committee shall report to the Board of Directors.</p> <p>4.5.2. The Standardisation Committee composition provides for balanced representation of stakeholders with the aim of building consensus amongst participating interested stakeholders.</p> <p>4.6.1. The Standardization Committee may establish Task Forces for specific tasks. A Task Force shall report to the Standardisation Committee.</p> <p>4.6.2. A Task Force shall comprise a restricted number of experts individually appointed by the Standardisation Committee nominated by members of the Standardisation Committee or the Secretariat. The Project Leader shall be a member of the Task Force.”</p>						
b) the record-keeping procedures,	Procedures	YES	<p>IFCC PD 1001:2012:</p> <p>“9 Records on the development process</p> <p>9.1. The following records of the standard setting process as shown in Table 4 shall be prepared and maintained by the nominated responsible person.</p> <p>Table 4: List of records</p> <table border="1" data-bbox="768 1212 2027 1364"> <thead> <tr> <th data-bbox="768 1212 1400 1268">Records</th> <th data-bbox="1400 1212 2027 1268">Responsibility</th> </tr> </thead> <tbody> <tr> <td data-bbox="768 1268 1400 1321">Minutes of the Board of Directors meeting</td> <td data-bbox="1400 1268 2027 1321">The Secretariat</td> </tr> <tr> <td data-bbox="768 1321 1400 1364">Minutes of the Standardisation Committee</td> <td data-bbox="1400 1321 2027 1364">The Standardisation Committee Chair or Secretary</td> </tr> </tbody> </table>	Records	Responsibility	Minutes of the Board of Directors meeting	The Secretariat	Minutes of the Standardisation Committee	The Standardisation Committee Chair or Secretary
Records	Responsibility								
Minutes of the Board of Directors meeting	The Secretariat								
Minutes of the Standardisation Committee	The Standardisation Committee Chair or Secretary								

Question	Assess. basis	YES / NO	Reference to application documents	
				(in consultation with the Project Leader)
			Minutes of the General Assembly	The Secretariat
			Standardisation Committee members comments and their consideration	Project Leader (if not included in the Working Group minutes)
			IFCC members comments and results of their consideration	Project Leader
			Public comments and results of their consideration	Project Leader
			Pilot testing	Project Leader
			Results of the consensus building and resolution of oppositions	Project Leader (if not included in the Standardisation Committee minutes)
			Complaints and appeals resolutions	The Secretariat
			9.2. The records shall be kept for a minimum of five years and shall be available to interested parties upon request.”	
c) the procedures for balanced representation of stakeholders,	Procedures	YES	<p>IFCC PD 1001:2012:</p> <p>“4 Organisational Structure and Responsibilities for Standard Setting</p> <p>4.5.2. The Standardisation Committee composition provides for balanced representation of stakeholders with the aim of building consensus amongst participating interested stakeholders. No single concerned interest shall be allowed to dominate the process nor to be dominated. (...) The Standardisation Committee representing following stakeholder categories (...):</p> <ul style="list-style-type: none"> a) Business and industry relating to forest based products; b) Women, children and youth; c) Forest owners / managers; d) Indigenous people and local populations; e) Non-governmental organisation, in particular environmental organisations; 	



Question	Assess. basis	YES / NO	Reference to application documents																																		
			f) Scientific and technological community; g) Workers and trade unions; h) Governmental authorities, including national, regional and local authorities.”																																		
d) the standard-setting process,	Procedures	YES	<p>IFCC PD 1001:2012: “5 Standard setting process Table 2: Development process stages and associated responsibilities</p> <table border="1" data-bbox="772 528 2029 1390"> <thead> <tr> <th data-bbox="772 528 1610 580">Project stages</th> <th colspan="2" data-bbox="1610 528 2029 580">Responsibility</th> </tr> </thead> <tbody> <tr> <td data-bbox="772 580 1128 691" rowspan="2">Proposal stage</td> <td data-bbox="1128 580 1610 633">Project development</td> <td data-bbox="1610 580 2029 633">Secretariat</td> </tr> <tr> <td data-bbox="1128 633 1610 691">Project approval</td> <td data-bbox="1610 633 2029 691">Board of Directors (BoD)</td> </tr> <tr> <td data-bbox="772 691 1128 1038" rowspan="5">Preparatory stage</td> <td data-bbox="1128 691 1610 743">Stakeholders mapping</td> <td data-bbox="1610 691 2029 743">Secretariat</td> </tr> <tr> <td data-bbox="1128 743 1610 796">Public announcement</td> <td data-bbox="1610 743 2029 796">Secretariat</td> </tr> <tr> <td data-bbox="1128 796 1610 895">Invitation to PEFC members and interested stakeholders</td> <td data-bbox="1610 796 2029 895">Secretariat</td> </tr> <tr> <td data-bbox="1128 895 1610 986">Standardisation Committee establishment</td> <td data-bbox="1610 895 2029 986">BoD</td> </tr> <tr> <td data-bbox="1128 986 1610 1038">Development of a working draft</td> <td data-bbox="1610 986 2029 1038">Project Leader</td> </tr> <tr> <td data-bbox="772 1038 1128 1182" rowspan="2">Standardisation Committee stage</td> <td data-bbox="1128 1038 1610 1129">Consideration of comments</td> <td data-bbox="1610 1038 2029 1129">Standardisation Committee (SC)/ Project Leader</td> </tr> <tr> <td data-bbox="1128 1129 1610 1182">Consensus building</td> <td data-bbox="1610 1129 2029 1182">SC/ Project Leader</td> </tr> <tr> <td data-bbox="772 1182 1128 1347" rowspan="3">Enquiry stage</td> <td data-bbox="1128 1182 1610 1235">Members consultation</td> <td data-bbox="1610 1182 2029 1235">Secretariat /SC /Project Leader</td> </tr> <tr> <td data-bbox="1128 1235 1610 1287">Public consultation</td> <td data-bbox="1610 1235 2029 1287">Secretariat /SC /Project Leader</td> </tr> <tr> <td data-bbox="1128 1287 1610 1347">Pilot testing</td> <td data-bbox="1610 1287 2029 1347">Secretariat /SC /Project Leader</td> </tr> <tr> <td data-bbox="772 1347 1128 1398">Approval stage</td> <td data-bbox="1128 1347 1610 1398">Development report</td> <td data-bbox="1610 1347 2029 1398">Project Leader</td> </tr> </tbody> </table>	Project stages	Responsibility		Proposal stage	Project development	Secretariat	Project approval	Board of Directors (BoD)	Preparatory stage	Stakeholders mapping	Secretariat	Public announcement	Secretariat	Invitation to PEFC members and interested stakeholders	Secretariat	Standardisation Committee establishment	BoD	Development of a working draft	Project Leader	Standardisation Committee stage	Consideration of comments	Standardisation Committee (SC)/ Project Leader	Consensus building	SC/ Project Leader	Enquiry stage	Members consultation	Secretariat /SC /Project Leader	Public consultation	Secretariat /SC /Project Leader	Pilot testing	Secretariat /SC /Project Leader	Approval stage	Development report	Project Leader
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Question	Assess. basis	YES / NO	Reference to application documents	
				Board of Directors approval BoD
				General Assembly approval BoD / General Assembly
			Publication stage Secretariat	
<i>Each stage is further elaborated in the paragraphs 5.2 to 5.7.</i>				
e) the mechanism for reaching consensus, and	Procedures	YES	<p>IFCC PD 1001:2012:</p> <p>“4.5 Standardisation Committee</p> <p>4.5.6. The Standardisation Committee decides by a simple majority of members present at the meeting for all decisions other than submission of an Enquiry draft for public consultation and recommendation on the formal approval of the Final draft.</p> <p>4.5.7. The Standardisation Committee decides by a positive vote of 70 % of all members of the Standardisation Committee while any negative vote shall be resolved by procedures described in chapter 5.4.2.3.</p> <p>5.4.2 Consensus building</p> <p>5.4.2.1. The decision of the Standardisation Committee to circulate the Standardisation Committee draft as an Enquiry draft (...) or to recommend a Final draft for formal approval (...) shall be taken on the basis of the consensus principle and in compliance with chapter 4.5.5.</p> <p>5.4.2.3. In any case of a negative vote which represents sustained opposition of any important part of the concerned interests to a substantive issue, the issue shall be resolved using the following mechanism:</p> <p>a) Discussion and negotiation on the disputed issue within the Standardisation Committee in order to find a compromise;</p> <p>b) Direct negotiation between the stakeholder(s) submitting the objection and stakeholders with different view on the disputed issue in order to find a compromise;</p> <p>c) Dispute resolution process.”</p> <p><i>Please note that the reference in 5.4.2.1. (“chapter 4.5.5.”) does not refer to consensus building. It should</i></p>	



Question	Assess. basis	YES / NO	Reference to application documents
			<i>probably be 4.5.6. and/or 4.5.7.</i>
f) revision of standards/normative documents.	Procedures	YES	IFCC PD 1001:2012: “7.1. The IFCC documentation shall be reviewed and revised in regular intervals that do not exceed five years. The procedures for the review and revision of the IFCC documentation shall follow the stages outlined in chapter 5.”
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	IFCC PD 1001:2012: “1.2 This document shall be regularly reviewed and revised every five years or before each revision of the IFCC standards taking into account comments from interested parties. The document is publicly available.”
	Process	YES	The announcement / press release of the start of the IFCC standard setting process (record 6.10): “IFCC welcomes any suggestions and comments regarding the Standard Drafting Activity Design and IFCC Standard Drafting Procedure” SSR, page 7 and 9: “IFCC received during the discussion feedback on the proposed standard setting activities.” “On 20 April 2013, the IFCC BoD approved the standard setting procedures IFCC PD 1001 based on comments received.” Additional explanation by IFCC: “IFCC presented the draft procedures to stakeholders at the stakeholders seminar and received feedback from stakeholders during the seminar (). IFCC has not received any comment or suggestion to alter the presented procedures.” Minutes of the IFCC BoD meeting on 2012-04-20 (record 5.1): “2. Bapak Zulfandi Lubis reported that (...) Standard Setting Procedure PD 1001 (...) was presented to stakeholders in the Stakeholder Meeting dated March 6, 2012, followed by discussion to get feedback/responses. There were no comments/suggestions that would request to change the Project Proposal/Standard Setting Procedure. 3. At 10.25 AM, considered to Bapak Zulfandi Lubis report, BoD accept and endorse Standard Setting Procedure PD 1001 (draft 1.2) as an IFCC official document, and BoD instruct the secretariat to publish the



Question	Assess. basis	YES / NO	Reference to application documents																				
			<p>Standard Setting procedure.”</p> <p><i>The standard setting procedures could be found on the website www.ifcc-ksk.org</i></p>																				
<p>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.</p>	<p>Procedures</p>	<p>YES</p>	<p>IFCC PD 1001:2012:</p> <p>“9.1. The following records of the standard setting process as shown in Table 4 shall be prepared and maintained by the nominated responsible person.</p> <p>Table 4: List of records</p> <table border="1" data-bbox="770 563 2027 1265"> <thead> <tr> <th data-bbox="770 563 1400 619">Records</th> <th data-bbox="1400 563 2027 619">Responsibility</th> </tr> </thead> <tbody> <tr> <td data-bbox="770 619 1400 675">Minutes of the Board of Directors meeting</td> <td data-bbox="1400 619 2027 675">The Secretariat</td> </tr> <tr> <td data-bbox="770 675 1400 770">Minutes of the Standardisation Committee</td> <td data-bbox="1400 675 2027 770">The Standardisation Committee Chair or Secretary (in consultation with the Project Leader)</td> </tr> <tr> <td data-bbox="770 770 1400 826">Minutes of the General Assembly</td> <td data-bbox="1400 770 2027 826">The Secretariat</td> </tr> <tr> <td data-bbox="770 826 1400 914">Standardisation Committee members comments and their consideration</td> <td data-bbox="1400 826 2027 914">Project Leader (if not included in the Working Group minutes)</td> </tr> <tr> <td data-bbox="770 914 1400 1010">IFCC members comments and results of their consideration</td> <td data-bbox="1400 914 2027 1010">Project Leader</td> </tr> <tr> <td data-bbox="770 1010 1400 1066">Public comments and results of their consideration</td> <td data-bbox="1400 1010 2027 1066">Project Leader</td> </tr> <tr> <td data-bbox="770 1066 1400 1121">Pilot testing</td> <td data-bbox="1400 1066 2027 1121">Project Leader</td> </tr> <tr> <td data-bbox="770 1121 1400 1209">Results of the consensus building and resolution of oppositions</td> <td data-bbox="1400 1121 2027 1209">Project Leader (if not included in the Standardisation Committee minutes)</td> </tr> <tr> <td data-bbox="770 1209 1400 1265">Complaints and appeals resolutions</td> <td data-bbox="1400 1209 2027 1265">The Secretariat</td> </tr> </tbody> </table> <p>9.2. The records shall be kept for a minimum of five years and shall be available to interested parties upon request.”</p>	Records	Responsibility	Minutes of the Board of Directors meeting	The Secretariat	Minutes of the Standardisation Committee	The Standardisation Committee Chair or Secretary (in consultation with the Project Leader)	Minutes of the General Assembly	The Secretariat	Standardisation Committee members comments and their consideration	Project Leader (if not included in the Working Group minutes)	IFCC members comments and results of their consideration	Project Leader	Public comments and results of their consideration	Project Leader	Pilot testing	Project Leader	Results of the consensus building and resolution of oppositions	Project Leader (if not included in the Standardisation Committee minutes)	Complaints and appeals resolutions	The Secretariat
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Question	Assess. basis	YES / NO	Reference to application documents
	Process	YES	<p><i>Records relating to standard-setting procedures are kept, these include a list of comments on the SFM standard, analytical papers, proposals, reports (such as on pilot testing), documentation relating to the SC (e.g. minutes), documentation relating to the DWG, IFCC BoD and the IFCC GA, news, press-release and communication. The responses from the questionnaires confirmed that records are kept.</i></p> <p><i>IFCC stated that they provided minutes of meetings to the participants of the meetings (and members of respective bodies), this was confirmed by stakeholders participating in the SC and DWG. A part of the records (e.g. minutes of stakeholder meetings, consideration of comments and draft standards) could be found on the website www.ifcc-ksk.org</i></p> <p><i>IFCC stated that they did not receive any specific request for a record of the standard setting process.</i></p>
4.4 The standardising body shall establish a permanent or temporary working group/committee responsible for standard-setting activities.	Procedures	YES	<p>IFCC PD 1001:2012:</p> <p>“4.4.1. The project leader is a person nominated by the Board of Directors to lead the development work and, in cooperation with the Secretariat, the Standardisation Committee and the Task Force to ensure realisation of the standard setting project.</p> <p>4.4.2. The project leader shall be responsible for:</p> <p>a) Preparation of the working draft and consequent drafts of documents;</p> <p>b) Preparation of agenda (or a part of the agenda) of the Standardisation Committee and Task Forces;</p> <p>c) Records keeping.</p> <p>4.5.1. A Standardisation Committee shall be established and dissolved by the Board of Directors. The Standardisation Committee shall report to the Board of Directors.</p> <p>4.5.3. A Secretariat representative and the project leader shall participate in the Standardisation Committee work without rights in the decision making.</p> <p>4.6.1. The Standardization Committee may establish Task Forces for specific tasks. A Task Force shall report to the Standardisation Committee.</p> <p>4.6.2. A Task Force shall comprise a restricted number of experts individually appointed by the Standardisation Committee nominated by members of the Standardisation Committee or the Secretariat. The Project Leader shall be a member of the Task Force.”</p>
	Process	YES	<p>Minutes of the IFCC BoD meeting on 2012-05-15 (record 5.2):</p>



Question	Assess. basis	YES / NO	Reference to application documents
			<p>“Based on information received from the Secretariat, taking into account representation from the stakeholders (9 elements), as well as the skills of the candidates, the Board selected and decided on 38 (see the list of the standardization committee members) from 49 candidates that will be elected as members of the Standardization Committee, and instructed the Secretariat to announce the results of the decision and the names of the Standards Committee members elected.”</p>
4.4 The working group/committee shall:			
a) be accessible to materially and directly affected stakeholders,	Procedures	YES	<p>IFCC PD 1001:2012:</p> <p>“4.5.1. A Standardisation Committee shall be established and dissolved by the Board of Directors.</p> <p>4.5.2 (...) The Standardisation Committee representing following stakeholder categories (...):</p> <ul style="list-style-type: none"> a) Business and industry relating to forest based products; b) Women, children and youth; c) Forest owners / managers; d) Indigenous people and local populations; g) Workers and trade unions; <p>5.3.2.3. The Secretariat shall make a public invitation of stakeholders to nominate their representative(s) to the Standardisation 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 to them.”</p>
	Process	YES	<p>The announcement / press release of the start of the IFCC standard setting process (record 6.10):</p> <p>“Currently, the IFCC is in the middle of drafting process for the standard constructed to be open and transparent, providing opportunity for stakeholder to participate by building consensus between the stakeholders (standardization committee).</p> <p>In order to establish the Standardization Committee, IFCC opens the opportunity for stakeholders to nominate the potential candidate of Standardization Committee, of whom is considered to represent its constituent and possess competency on sustainable forest management*). The submission of name and curriculum vitae of the nominee shall be delivered to the Secretary of IFCC”</p>



Question	Assess. basis	YES / NO	Reference to application documents
			<p><i>The announcement was published on the IFCC website, in a national newspaper, and published at the “Rimbawan-interaktif”, a media communication forum on Forestry in Indonesia. Although no reference was found that the invitation was directly sent to stakeholders, the option for nomination was already explained to stakeholders during the stakeholders’ seminar.</i></p> <p><i>Answers from the questionnaires show that stakeholders were of the opinion that all stakeholders that are relevant to the standard-setting have been identified and invited, including disadvantaged and key stakeholders.</i></p>
<p>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</p>	Procedures	YES	<p>IFCC PD 1001:2012:</p> <p>“4.5.2. The Standardisation Committee composition provides for balanced representation of stakeholders with the aim of building consensus amongst participating interested stakeholders. No single concerned interest shall be allowed to dominate the process nor to be dominated. (...) The Standardisation Committee representing following stakeholder categories and shall have sufficient geographical representation relevant to the scope of the developed/revised standard:</p> <ul style="list-style-type: none"> a) Business and industry relating to forest based products; b) Women, children and youth; c) Forest owners / managers; d) Indigenous people and local populations; e) Non-governmental organisation, in particular environmental organisations; f) Scientific and technological community; g) Workers and trade unions; h) Governmental authorities, including national, regional and local authorities.”
	Process	YES	<p><i>The Standardisation Committee has 39 members. The following stakeholders groups were represented (from high to low): Scientific and technological community (9), business and industry (8), NGOs (6, of which 3 social and 3 environmental), forest owners (4), women, children and youth (4, of which 1 concerns the expert for children education and local communities engagement within a forestry company), workers and trade unions (3), local authorities (3), indigenous people (2).</i></p> <p><i>The stakeholder group of indigenous people seems to be underrepresented, especially given the fact that</i></p>



Question	Assess. basis	YES / NO	Reference to application documents
			<p><i>forestry operations in Indonesia does likely occur in regions with indigenous people. However, the chair of the SC is a university expert on indigenous people and community forestry in Indonesia, SC members furthermore explained that the representative of the Papua local authority did also put forward indigenous people issues and concerns during the discussions, and at least 2 of the NGO's are working in the field of human rights for marginalized people and indigenous people concerns. During interviews, these NGO's and indigenous people representatives (as well as other stakeholders) explained that the SC did have a good representation of indigenous people.</i></p> <p><i>Answers from the questionnaires show that most stakeholders were of the opinion that the SC did have a balanced representation. Just two respondents mentioned that more (local) NGO's should have participated in the SC. It should be noted that during the 6 March 2012 meeting the stakeholders were requested to propose persons and/or organizations that to their opinion should be part of the SC within the respective stakeholder groups. However, some of the NGO's that were listed (proposed) by other stakeholders as relevant members for the SC, did not want or were not able to participate.</i></p> <p><i>With regards to the geographical scope: next to annex 3 of the SSR, the IFCC presented during the field assessment a more detailed overview of the number of representatives per geographical region: Sumatra (7), Java (10), Kalimantan (7), Sulawesi (1), Papua (1), National (16) and National Associations / Umbrella organizations (6) (please note that some of the SC members represented more than one region). The Indigenous people of Kalimantan were directly represented, while the indigenous people and local communities of Sumatra, Sulawesi and Papua were represented through NGO's and local authorities. Some respondents to the questionnaires mentioned the poor (or non) representation of Papua, Moluku and Nusa Tenggara. Stakeholders explained during the interviews that the SC has a relatively well coverage of the different relevant Indonesian forestry regions. Only one stakeholder argued that a higher participation of local NGO's would have been preferred to better cover local issues.</i></p>
c) include stakeholders with expertise relevant to the subject matter of the standard, those that are materially	Procedures	YES	<p>IFCC PD 1001:2012:</p> <p>“4.5.2. (...) The standardisation 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. The Standardisation Committee representing following stakeholder categories (...):</p> <p>a) Business and industry relating to forest based products;</p>

Question	Assess. basis	YES / NO	Reference to application documents
<p>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.</p>			<p>b) Women, children and youth; c) Forest owners / managers; d) Indigenous people and local populations; e) Non-governmental organisation, in particular environmental organisations; f) Scientific and technological community; g) Workers and trade unions; h) Governmental authorities, including national, regional and local authorities.”</p>
	Process	YES	<p><i>The Standardisation Committee has 39 members. The following stakeholders groups were represented (from high to low): Scientific and technological community (9), business and industry (8), NGOs (6, of which 3 social and 3 environmental), forest owners (4), women, children and youth (4, of which 1 concerns the expert for children education and local communities engagement within a forestry company), workers and trade unions (3), local authorities (3), indigenous people (2).</i></p>
<p>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.</p>	Procedures	YES	<p>IFCC PD 1001:2012: “8.1. Any substantive or procedural complaints or appeals and shall be resolved using the IFCC complaints and appeals resolution procedures outlined in IFCC PD 1002.” IFCC PD 1002:2012: Page 2: “The document is freely and publicly available from the IFCC website or upon request.” “1.1 This guideline details procedures for complaints and appeals to IFCC which concern decisions and/or activities of IFCC, including standard setting,”</p>
	Process	YES	<p><i>The procedures (IFCC PD 1002:2012) could be found on the website www.ifcc-ksk.org</i></p>
<p>4.5 Upon receipt of the complaint, the standard-setting body shall:</p>			
<p>a) acknowledge receipt of the complaint to the</p>	Procedures	YES	<p>IFCC PD 1002:2012: “6.3 The IFCC Secretary General shall without delay: a) acknowledge to the complainant/ appellant (in writing) the receipt and acceptance/ rejection of the</p>

Question	Assess. basis	YES / NO	Reference to application documents
complainant,			complaint/ appeal, including its justification;”
	Process	YES	<i>IFCC stated that no complaints were received. However, seven respondents to the questionnaire indicated that there were complaints brought forward by them or other stakeholders. During interviews several of these respondents were asked for clarification. It appeared that they did not mean formal complaints, but very intensive discussions amongst stakeholders, while they finally reached consensus. None of the stakeholders interviewed were aware of any formal complaints.</i>
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	<p>IFCC PD 1002:2012:</p> <p>“7 Complaint and appeal resolution process</p> <p>7.1 The IFCC Executive Director shall assign an ad-hoc Task Force Group (the TFG), comprising one or more persons, to investigate the accepted complaint or appeal. The members of the TFG shall have no vested or conflict of interest in the complaint or appeal. Alternatively, in justified circumstances, the TFG may have balanced representation of concerned parties.</p> <p>7.2 The TFG shall undertake a thorough investigation and seek a resolution. The TFG shall submit in a timely matter, a detailed written report, to the IFCC Executive Director to be presented to the IFCC Board of Directors. The report shall include a statement indicating whether, or not, the complaint or appeal has been substantiated and recommendations on resolving the complaint.</p> <p>7.3 The IFCC Board of Directors shall approve or disapprove the conclusions of the report, including its recommendations or remedial actions. Where the complaint or appeal concerns the decision of the General Assembly, the final decision is made by the General Assembly based on recommendation of the Board of Directors.”</p>
	Process	YES	<i>IFCC stated that no complaints were received. See comment under 4.5a.</i>
c) formally communicate the decision on the complaint and of the complaint handling process to the	Procedures	YES	<p>IFCC PD 1002:2012:</p> <p>“7.4 The IFCC Secretary General shall, without delay, inform the complainant/appellant and other interested parties about the complaint/appeal resolution process and its outcomes, in writing.”</p>
	Process	YES	<i>IFCC stated that no complaints were received. See comment under 4.5a.</i>



Question	Assess. basis	YES / NO	Reference to application documents
complainant.			
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	<p>IFCC PD 1002:2012:</p> <p>“6.1 All complaints and appeals shall be addressed in writing to IFCC Secretariat.”</p> <p><i>Contact details are easily found in the procedures (page 2) and on the website, although it is observed that ‘enquiries’ are not specifically mentioned in the procedures.</i></p>
Standard-setting process			
5.1 The standardising body shall identify stakeholders relevant to the objectives and scope of the standard-setting work.	Procedures	YES	<p>IFCC PD 1001:2012:</p> <p>“5.3.2.1. The Secretariat shall carry out a stakeholder mapping with the aim of identification of stakeholders relevant to the standard setting, their needs as well as constraints of their participation.”</p>
	Process	YES	<p>SSR, page 7 and 8:</p> <p>“The Secretariat carried out a stakeholders mapping exercise that resulted in a list of stakeholders relevant to the revision process. IFCC identified 105 organisations and individuals within all relevant stakeholder groups as per IFCC PD 1001: forest based industry; woman, children, youth; forest owners/managers; indigenous people and local communities; non-governmental organisations, in particular E-NGOs; Scientific and technological community; workers and trade unions; governmental authorities.”</p> <p><i>In total 105 stakeholders were identified, representing the following stakeholder groups: NGO's (20 %), forest owners (23 %), business and industry (22 %), governmental authorities (10 %), scientific and technological institutions (15 %), women / children / youth (2 %), indigenous people and local population (6 %), workers and trade union (2 %).</i></p> <p><i>The number of identified stakeholders representing workers and trade unions seems low, it should however be noted that one of these is an umbrella organization representing local organizations.</i></p>



Question	Assess. basis	YES / NO	Reference to application documents
			<p><i>The information and invitations was furthermore spread through the Rimbawan Interaktif (a free and open network). IFCC explained: “This is a network that covers more than 1300 members within the Indonesian sector covering all relevant stakeholder groups and any news published at the Rimbawan Interactive is delivered to e-mail addresses of the network members.. IFCC has actively used the Rimbawan – Interaktif as the critical communication tool from the beginning of the process.”</i></p> <p><i>Stakeholders were generally of the opinion that the public meetings did have a broad participation of all stakeholder groups and that most of the relevant stakeholders did participate in the process. One of the respondents to the questionnaire (representing a CB) indicated that they were initially not identified as a relevant stakeholder, and as such did not receive an invitation for the first standard setting activities. At their request they were however added to the stakeholders list and received information and invitations during the rest of the process.</i></p>
<p>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.</p>	Procedures	YES	<p>IFCC PD 1001:2012:</p> <p>“5.3.2 Establishment of the Standardisation Committee</p> <p>5.3.2.2. The stakeholder mapping shall identify disadvantaged and key stakeholders and actions addressing the constraints of their participation.</p> <p>Note: The constraints relating to the standard setting may include language barriers, resources limitations, transportation, etc.</p> <p>5.3.2.3. The Secretariat shall make a public invitation of stakeholders to nominate their representative(s) to the Standardisation Committee in timely manner on its website and in a suitable media. 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 to them.”</p>
	Process	YES	<p>SSR, page 7 and 8:</p> <p>“Within the mapped stakeholders, 24 organisations/individuals were identified as “key and disadvantaged”. The stakeholder mapping also identified constraints for their participation and actions to address those constraints”</p> <p><i>Mostly national representative organisations and umbrella organisations were identified. Just a few local organisations from regions where forestry mostly occurs in Indonesia were identified.</i></p> <p>Additional explanation provided by IFCC regarding the identification of mainly national</p>



Question	Assess. basis	YES / NO	Reference to application documents
			<p>representatives, without identification of local stakeholders:</p> <p>“It should be noted that IFCC develops a national standard with national requirements for SFM. The “national” members of the SC have significantly a higher level of representativeness than local organisations. The main purpose of the standardisation at the national level is not to promote local specific interests but to make sure that the standard is applicable within its geographical scope.”</p> <p><i>Furthermore, during the second public consultation, two seminars were held in two major forestry regions (Riau, Sumatra and Samarinda, East Kalimantan) to receive input from local stakeholders.</i></p> <p>Additional explanation provided by IFCC with regards to how they addressed the constraints:</p> <p>“The IFCC identified “constraints” for all stakeholders on the stakeholder’s mapping table. The main constraints were: time limitation, participation in another scheme (LEI), although not directly communicated by stakeholders also financial resources, lack of interest. To address the constraints (those that could be addressed), the IFCC provided financial assistance to all members of the SC except the business stakeholder group.”</p> <p><i>The financial assistance provided to stakeholders was confirmed by the stakeholders interviewed. Next, an overview was presented by the IFCC in which all the constraints for participation and actions to address the constraints are listed. The list shows that the IFCC has done many efforts to promote the stakeholders involvement in the standard setting process.</i></p>
<p>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</p>	Procedures	YES	<p>IFCC PD 1001:2012:</p> <p>“5.3.1.1. The Secretariat shall make a public announcement of the start of the standard setting process in a timely manner on its website and in suitable media as appropriate to afford stakeholders an opportunity for meaningful participation.</p> <p>5.3.2.3. The Secretariat shall make a public invitation of stakeholders to nominate their representative(s) to the Standardisation Committee in timely manner on its website and in a suitable media.”</p>
	Process	YES	<p>SSR, page 8:</p> <p>“The IFCC secretariat performed several actions and used several communication channels to announce the start of the standard setting process and to invite stakeholders to nominate their representatives to the Standardisation Committee:</p> <p>a) Stakeholders’ seminar 6 march 2012</p>



Question	Assess. basis	YES / NO	Reference to application documents
<p>stakeholders an opportunity for meaningful contributions.</p>			<p><input type="checkbox"/> Seminar organised on 6 March 2012 in Bogor with the objective to inform stakeholders about the projected standard setting process, its scope and objectives;</p> <p><input type="checkbox"/> Invitation to the seminar sent to more than 90 stakeholders by Email, letter and also through the internet communication forum on Indonesia Forestry “Rimbawan-interaktif”, 73 stakeholders took part in the meeting; (...)</p> <p>b) Announcement at the IFCC website</p> <p><input type="checkbox"/> On 20 April 2012, IFCC published at its website a public announcement that included (i) information about the start of the standard setting process, (ii) invitation to stakeholders to nominate representatives to the Standardisation Committee, (iii) invitation to comment on referenced standard setting procedures (IFCC PD 1001) and standard setting project proposal (both documents were available at the IFCC website).</p> <p>c) Announcement in media</p> <p><input type="checkbox"/> IFCC has prepared a press release on the start of the standard setting process that was published at its website. The press release included reference to the IFCC website.</p> <p><input type="checkbox"/> The press release was published on 25 April 2012 at the national newspaper “Seputar Indonesia”</p> <p><input type="checkbox"/> The announcement with the reference to the IFCC website was published at “Rimbawan-interaktif”, a media communication forum on Forestry in Indonesia.</p> <p>d) Direct mailing to stakeholders</p> <p><input type="checkbox"/> IFCC Secretariat has sent a direct letter to stakeholders identified in the Stakeholders’ mapping” by a regular mail, E-mail or Fax.”</p> <p>The announcement / press release of the start of the IFCC standard setting process (record 6.10):</p> <p>“In order to establish the Standardization Committee, IFCC opens the opportunity for stakeholders to nominate the potential candidate of Standardization Committee, of whom is considered to represent its constituent and possess competency on sustainable forest management*). The submission of name and curriculum vitae of the nominee shall be delivered to the Secretary of IFCC by email: (...) or by facsimile: (...), by no later than 30 April 2012.”</p> <p><i>Records are found of the announcements in media (national newspaper Seputar Indonesia, Rimbawan –</i></p>



Question	Assess. basis	YES / NO	Reference to application documents
			<p><i>interactif network), including e-mails and letters of all above mentioned publications and invitations , these records show how many days in advance these invitations were sent out:</i></p> <ul style="list-style-type: none"> • <i>The invitation letter for the seminar on 6 March 2012 was dated 27 February 2012, and the announcement on the Rimbawan-interactif was published on 3 March 2012, It is not clear on what day the invitation was sent by e-mail. The time between the invitation letter and the seminar was 8 days.</i> • <i>The announcement of the start of the standard setting process was formally published on 20 April 2012 on the IFCC website and on 25 April 2012 at the national newspaper Seputar Indonesia, on which date it was also spread through the Rimbawan-interactif. In this invitation stakeholders were invited to nominate representatives to the Standardisation Committee, the deadline for the nomination was 30 April 2012. Stakeholders were however already informed on the start of the standard-setting process and the nominations for the SC during the meeting of 6 March 2012, during which stakeholders submitted (in group sessions) names of persons and organizations that according to them should be part of the SC. This information was published at their website directly after the meeting. This was explained by the IFCC and confirmed by stakeholders.</i> <p><i>The period between the formal invitation and the seminar seems to be relatively short term (approximately one week), especially for stakeholders residing in the regions far from Bogor and having to arrange for travel. However, both the IFCC and the stakeholders interviewed explained that for the Indonesian context these invitations were done always in a timely manner. Stakeholders were even of the opinion that the invitation activities of the IFCC, including calling and texting stakeholders to confirm if they received the invitations and are planning to attend the meeting, was exceptionally well organized for the Indonesian context. One or two weeks in advance is very common and in time to them. The evidence is e.g. shown by the number of participants (60 of 100 invitees) for the 6 March 2012 seminar.</i></p>
5.3 The announcement and invitation shall include:			
a) information about the objectives, scope and the steps of the standard-setting	Procedures	YES	<p>IFCC PD 1001:2012:</p> <p>“5.3.1.1. (...) The announcement shall include:</p> <p>a) The project proposal (see 5.2.1);</p> <p>5.2.2. The project proposal shall cover the following issues:</p>



Question	Assess. basis	YES / NO	Reference to application documents
process and its timetable,			a) Objectives and scope of the standard setting (development of a new document or a new part or revision of an existing document); c) Description of the standard setting stages and expected timetable;”
	Process	YES	<p>Announcement at the IFCC website and in media: “IFCC welcomes any suggestions and comments regarding the Standard Drafting Activity Design and IFCC Standard Drafting Procedure*”). *) Complete information is accessible in website IFCC: www.ifcc-ksk.org” <i>The project document (referred to as the Standard Drafting Activity Design) could be found on the website and includes an extensive elaboration of the objectives, scope and steps of the standard-setting process and the timetable.</i></p>
b) information about opportunities for stakeholders to participate in the process,	Procedures	YES	<p>IFCC PD 1001:2012: “5.3.1.1. (...) The announcement shall include: b) Information about opportunities for stakeholders to participate in the process;”</p>
	Process	YES	<p>Announcement at the IFCC website and in media: “IFCC welcomes any suggestions and comments regarding the Standard Drafting Activity Design and IFCC Standard Drafting Procedure*”). *) Complete information is accessible in website IFCC: www.ifcc-ksk.org”</p> <p>Project document page 3 and 4: “Phase 2: Preparatory stage</p> <ul style="list-style-type: none"> • Public announcement of the start of the standard setting and invitation to nominate members of the Standardisation Committee, including stakeholders comments on the standard setting project. • Analysis of the stakeholders comments, suggestion and expectations. <p>Phase 4: Enquiry stage</p> <ul style="list-style-type: none"> • Official public and members consultation • National seminar (100-150 people) • Regional seminar and local seminars

Question	Assess. basis	YES / NO	Reference to application documents
			<ul style="list-style-type: none"> • Direct consultation with key and disadvantaged stakeholders (E-NGOs, indigenous people, local populations, local managers, etc.) • Processing of received comments, • Consideration of comments by the Standardisation Committee” <p><i>The project document (referred to as the Standard Drafting Activity Design) could be found on the website”</i></p>
<p>(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,</p>	Procedures	YES	<p>IFCC PD 1001:2012:</p> <p>“5.3.2.3. The Secretariat shall make a public invitation of stakeholders to nominate their representative(s) to the Standardisation Committee in timely manner on its website and in a suitable media. 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 to them.</p> <p>5.3.2.4. The invitation should be made as a part of the public announcement of the start of the standard setting process (see chapter 5.3.1) in case of the development of a new standard or revision of existing standard(s).”</p>
	Process	YES	<p>Announcement at the IFCC website and in the media:</p> <p>“Currently, the IFCC is in the middle of drafting process for the standard constructed to be open and transparent, providing opportunity for stakeholder to participate by building consensus between the stakeholders (standardization committee).</p> <p>In order to establish the Standardization Committee, IFCC opens the opportunity for stakeholders to nominate the potential candidate of Standardization Committee, of whom is considered to represent its constituent and possess competency on sustainable forest management.”</p> <p>SSR, page 8:</p> <p>“The IFCC secretariat performed several actions and used several communication channels (...) to invite stakeholders to nominate their representatives to the Standardisation Committee:</p> <p>b) Announcement at the IFCC website (...) that included (...) invitation to stakeholders to nominate representatives to the Standardisation Committee</p> <p>c) Announcement in media</p> <p>d) Direct mailing to stakeholders</p>

Question	Assess. basis	YES / NO	Reference to application documents
			<p><input type="checkbox"/> IFCC Secretariat has sent a direct letter to stakeholders identified in the Stakeholders’ mapping” by a regular mail, E-mail or Fax.</p> <p><input type="checkbox"/> The direct invitation covered stakeholders that have been identified in the stakeholders’ mapping as “key and disadvantaged”.”</p> <p>Minutes of the 6 March 2012 seminar (record A5):</p> <p>“The preparation phase consists of: (1) a public announcement that there will be a development of the system; (2) Inviting stakeholders to nominate potential members of the standards Committee, which will be selected based upon IFCC competence and representativeness; (3) IFCC establishes the standards Committee based on nomination; (4) the standards Committee prepares an initial draft that will be discussed at the next Committee meetings.</p> <p>The Committee Stage (very crucial), is where Committee members will discuss the contents of the standard that will be developed to build a consensus.</p> <p>Public consultation, where the standard draft will be presented to all communities in Indonesia/throughout the region so that the parties will be able to give comments, views, and/or disagreements. This process needs to be facilitated through public meetings, seminars, and articles. Public consultation is very important for Indonesia because Indonesia is a country with a very broad geographic and incredible diversity; hence it is important that the standard draft receives input. This suggests that the development of the system needs an extensive process to generate consensus. This process is not just for asking for comments but the comments to be included in the standard, and the role of the Committee to include the comments in the development of the systems as conveyed by stakeholders.</p> <p>(...) Before closing the session 3, the facilitator provide an opportunity for participants to nominate nomination for Standardisation Committee. Nominations are grouped based on 9 groups (according to agenda 21 (...)) Today agenda up to nominated stage but not yet decided. The Basic to approval, who will be the committee, when it began to work, will be announced / published. (...) On this occasion, we are not only listed who was present here as a nominee but they are not present can also be nominated and than secretariat can contact that person. The nominee names of standardization committee is attached.”</p> <p><i>It should be noted that most participating stakeholders, including key and disadvantaged stakeholders, are mostly operating at national or subnational level and are more or less familiar with certification schemes and</i></p>



Question	Assess. basis	YES / NO	Reference to application documents
			<p><i>issues. The minutes of the 6 March 2012 seminar were also sent through the Rimbawan-Interaktif network and published at the IFCC website. According to the stakeholders, the seminar was a good way to inform stakeholders on the standard-setting process and the nominations of stakeholders. During field assessments records of communication (e-mails and letters) were found per stakeholder, including the key and disadvantaged stakeholders, which showed the efforts made by the IFCC to reach all the identified and participating stakeholders.</i></p>
<p>d) an invitation to comment on the scope and the standard-setting process, and</p>	Procedures	YES	<p>IFCC PD 1001:2012: “5.3.1.1. (...) The announcement shall include: c) An invitation to comment on the scope and the standard-setting process;”</p>
	Process	YES	<p>Announcement at the IFCC website and in media: “IFCC welcomes any suggestions and comments regarding the Standard Drafting Activity Design and IFCC Standard Drafting Procedure*”). *) Complete information is accessible in website IFCC: www.ifcc-ksk.org” <i>The project document (referred to as the Standard Drafting Activity Design) could be found on the website and includes an extensive elaboration of the objectives, scope and steps of the standard-setting process.</i></p>
<p>e) reference to publicly available standard-setting procedures.</p>	Procedures	YES	<p>IFCC PD 1001:2012: “5.3.1.1. (...) The announcement shall include: d) Reference to publicly available standard-setting procedures.”</p>
	Process	YES	<p>Announcement at the IFCC website and in media: “IFCC welcomes any suggestions and comments regarding the Standard Drafting Activity Design and IFCC Standard Drafting Procedure*”). *) Complete information is accessible in website IFCC: www.ifcc-ksk.org” <i>The standard-setting procedures could be found on the website.</i></p>
<p>5.4 The standardising body shall review the standard-setting</p>	Procedures	YES	<p>IFCC PD 1001:2012: “1.2 This document shall be regularly reviewed and revised every five years or before each revision of the IFCC standards taking into account comments from interested parties.</p>



Question	Assess. basis	YES / NO	Reference to application documents
<p>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.</p>			<p>5.3.2.5. The Board of Directors shall decide on the acceptance of the nominations for membership of the Standardisation Committee following chapter 4.5.2.</p> <p>4.5.2. The Standardisation Committee composition provides for balanced representation of stakeholders with the aim of building consensus amongst participating interested stakeholders.”</p> <p><i>Observation: no reference was found that the acceptance and refusal of nominations shall be justifiable in relation to resources available for the standard-setting.</i></p>
	Process	YES	<p>SSR page 9:</p> <p>“On 20 April 2013 [<i>Assessor’s comment: this should be 2012, confirmed by IFCC</i>], the IFCC BoD approved the standard setting procedures IFCC PD 1001 based on comments received. The procedures were presented and discussed during the 6 March stakeholders meeting; were mentioned in the announcement of the start of the standard setting process; and stakeholders were invited to provide their comments.”</p> <p>Additional explanation by IFCC:</p> <p>“IFCC presented the draft procedures to stakeholders at the stakeholders seminar and received feedback from stakeholders during the seminar (). IFCC has not received any comment or suggestion to alter the presented procedures.”</p> <p>Minutes of the IFCC BoD meeting on 2012-04-20 (record 5.1):</p> <p>“2. Bapak Zulfandi Lubis reported that (...) Standard Setting Procedure PD 1001 (...) was presented to stakeholders in the Stakeholder Meeting dated March 6, 2012, followed by discussion to get feedback/responses. There were no comments/suggestions that would request to change the Project Proposal/Standard Setting Procedure.</p> <p>3. At 10.25 AM, considered to Bapak Zulfandi Lubis report, BoD accept and endorse Standard Setting Procedure PD 1001 (draft 1.2) as an IFCC official document, and BoD instruct the secretariat to publish the Standard Setting procedure.”</p> <p><i>The minutes of the 6 March 2012 seminar do show that the standard setting process was explained to the public. The interviewed stakeholders confirmed that there were no comments or suggestions to change the presented procedures, stakeholders agreed with the proposed procedures.</i></p>



Question	Assess. basis	YES / NO	Reference to application documents
			<p>Minutes of the BoD meeting held on 15 May 2012 (record 5.2):</p> <p>“The secretariat reported that 49 individuals/organisations were submitted as candidates for the Standardisation Committee. Based on information received from the Secretariat, taking into account representation from the stakeholders (9 elements), as well as the skills of the candidates, the Board selected and decided on 38 (see the list of the standardization committee members) from 49 candidates that will be elected as members of the Standardization Committee, and instructed the Secretariat to announce the results of the decision and the names of the Standards Committee members elected.”</p> <p><i>A list of nominations and the final acceptance of nominees could be found.</i></p>
<p>5.5 The work of the working group/committee shall be organised in an open and transparent manner where:</p>			
<p>a) working drafts shall be available to all members of the working group/committee,</p>	<p>Procedures</p>	<p>YES</p>	<p>IFCC PD 1001:2012:</p> <p>“5.4.1.2. The Standardisation Committee drafts shall be available to all members of the Standardisation Committee in advance of its meetings.”</p>
	<p>Process</p>	<p>YES</p>	<p><i>Records were found of e-mails sent to SC members with the working drafts attached. This is confirmed by all the respondents to the questionnaires that participated in the SC or DWG and confirmed by stakeholders interviewed.</i></p>
<p>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</p>	<p>Procedures</p>	<p>YES</p>	<p>IFCC PD 1001:2012:</p> <p>“5.4.1.1. The Standardisation Committee stage shall be the principal stage at which comments from interested stakeholders are taken into consideration, with a view to achieving consensus on the technical content of the Standardisation Committee draft document(s).</p> <p>5.4.1.3. All comments of the Standardisation Committee members submitted in between the meetings shall be provided in written, preferably using the form in Annex 2.</p> <p>4.5.2. (...) No single concerned interest shall be allowed to dominate the process nor to be dominated.”</p>
	<p>Process</p>	<p>YES</p>	<p>SSR page 10:</p> <p>“Management of the SC</p> <p>The members of the SC received in advance of all meetings an invitation for the meetings, agenda as well as related documentation, All the meeting of the SC were recorded in the minutes available to all members of the SC shortly after the meeting, Comments and responses of the SC members relating to the IFCC standards</p>



Question	Assess. basis	YES / NO	Reference to application documents
			<p>were reported in the minutes to the meetings.”</p> <p>Comment of IFCC:</p> <p>“The Chairman of the Standardisation Committee was from academic community, without specific vested interest.”</p> <p><i>All respondents to the questionnaire that participated in the SC or DWG confirmed that they were provided with meaningful opportunities to contribute to the development of the standard.</i></p>
<p>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	YES	<p>IFCC PD 1001:2012:</p> <p>“5.4.1.4. Comments and views presented by any member of the Standardisation Committee shall be considered in an open and transparent way and their resolution and proposed changes to the Standardisation Committee drafts shall be recorded.”</p>
	Process	YES	<p>SSR page 10:</p> <p>“Management of the SC</p> <p>Comments and responses of the SC members relating to the IFCC standards were reported in the minutes to the meetings.”</p> <p><i>Minutes of the SC meetings do include citations and consideration of comments received. All respondents to the questionnaire that participated in the SC or DWG confirmed that comments and views were considered in an open and transparent way.</i></p>
<p>5.6 The standardising body shall organise a public consultation on the enquiry draft and shall ensure that:</p>			
<p>a) the start and the end of the public consultation is announced in a timely manner in suitable media,</p>	Procedures	YES	<p>IFCC PD 1001:2012:</p> <p>“5.5 Enquiry stage</p> <p>5.5.2 Public consultation</p> <p>5.5.2.1. The Enquiry draft shall be made available through the IFCC website and upon request by other appropriate means to interested stakeholders and the public for a 60 day public consultation.</p> <p>5.5.2.2. The invitation to the public consultation, including its start and end, shall be made in timely matter through its announcement on the IFCC website, by Email distribution and in suitable media.”</p>

Question	Assess. basis	YES / NO	Reference to application documents
	Process	YES	<p>SSR page 11 and 12:</p> <p>“First public consultation</p> <ul style="list-style-type: none"> <input type="checkbox"/> IFCC ST 1001, v. 1.5 was presented for public consultation that took place from 1 February 2013 until 31 March 2013; <input type="checkbox"/> The announcement of the public consultation was made at the IFCC website (...); <input type="checkbox"/> The public consultation was communicated to stakeholders by a letter distributed to stakeholders by E-mail and by post. <input type="checkbox"/> The public consultation was announced at the “rimbawan-interaktif” <p>Second public consultation</p> <ul style="list-style-type: none"> <input type="checkbox"/> IFCC ST 1001 and IFCC ST 1002 were presented for the second public consultation that took place from 20 September 2013 until 19 October 2013; <input type="checkbox"/> The announcement of the public consultation was made at the IFCC website <input type="checkbox"/> The public consultation was communicated to stakeholders by a press release distributed to stakeholders by E-mail and by post. <input type="checkbox"/> The public consultation was announced at “Rimbawan-interaktif” <input type="checkbox"/> The public consultation was also announced and distributed through the following networks of forestry related organisations: <ul style="list-style-type: none"> o FKKM (Forum Komunikasi Kehutanan Masyarakat) Joint role for Community Forestry Development and Forestry Improvement Policy in Indonesia o Asosiasi Pengusaha Hutan Indonesia (APHI) Association of Indonesia Forest Concession Holders <p>Public seminars</p> <ul style="list-style-type: none"> <input type="checkbox"/> As a part of the second public consultation, the IFCC has run three public seminars in Jawa, Sumatra and Kalimantan. The invitation to the seminars was made together with the announcement of the public consultation. <input type="checkbox"/> The seminar on 27 September 2013 in Pekanbaru, Sumatera <input type="checkbox"/> The seminar on invitation to the 1 October in Samarinda, Kalimantan.



Question	Assess. basis	YES / NO	Reference to application documents
			<p><input type="checkbox"/> The national seminar in Jakarta on 3 October“</p> <p><i>The start and end dates were mentioned in the announcement letters of both public consultation periods. Records show that the invitations were mostly done at the start or during the public consultation period:</i></p> <ul style="list-style-type: none"> • <i>First public consultation (1 February – 31 March 2013): the announcement at the IFCC website was dated 1 February 2013, the public consultation letter was dated 7 February 2013, two records of e-mails were dated 12 February 2013 and 1 March 2013, the announcement at the Rimbawan-interactif was dated 19 February.</i> • <i>Second public consultation (18 September – 18 October 2013): the announcement at the IFCC website was dated 20 September 2013, the e-mail was dated 24 September 2013. An announcement on the website of APHI was dated 11 October 2013. It is not clear on which date the announcement was made at the Rimbawan-interactif and the FKMM website.</i> • <i>Public seminars (27 September and 1 and 3 October): the announcement for the public consultation meetings (and dates) was included in the public announcement, which was announced at the IFCC website on 20 September 2013. The announcement for the Jakarta meeting was also published at the FKMM website, however on the date the meeting was held.</i> <p><i>Although some of the announcements were done on a short term, it is concluded that the stakeholders were provided with enough time to respond and the various ways and different dates of inviting stakeholders might have had a reminding effect on stakeholders and therefore might have improved the attention of stakeholders. It should furthermore be noted that the seminars were organised in sufficient time before the end of the second public consultation to ensure that stakeholders can still submit their comments after the seminars.</i></p> <p><i>Furthermore, both the IFCC and the stakeholders interviewed explained that for the Indonesian context these invitations were done generally in a timely manner. Stakeholders were even of the opinion that the invitation activities of the IFCC, including calling and texting stakeholders to confirm if they received the invitations and are planning to attend the meeting, was exceptionally well organized for the Indonesian context. One or two weeks in advance is very common and in time to them.</i></p>
b) the invitation of disadvantaged and	Procedures	YES	<p>IFCC PD 1001:2012:</p> <p>“5.5.2.3. The invitation of disadvantaged and key stakeholders shall be made by means that ensure that the</p>



Question	Assess. basis	YES / NO	Reference to application documents
<p>key stakeholders shall be made by means that ensure that the information reaches its recipient and is understandable,</p>			<p>information reaches its recipient and is understandable. The Secretariat should provide disadvantaged and key stakeholders with necessary assistance addressing their constraints for participation in the public consultation.”</p>
	Process	YES	<p>SSR page 11 and 12:</p> <p>“First public consultation</p> <ul style="list-style-type: none"> <input type="checkbox"/> The public consultation was communicated to stakeholders by a letter distributed to stakeholders by E-mail and by post. This also included the “key and disadvantaged” stakeholders identified in the stakeholders mapping. <p>Second public consultation</p> <ul style="list-style-type: none"> <input type="checkbox"/> The public consultation was communicated to stakeholders by a press release distributed to stakeholders by E-mail and by post. This also included the “key and disadvantaged” stakeholders identified in the stakeholders mapping. <p>Public seminars</p> <ul style="list-style-type: none"> <input type="checkbox"/> As a part of the second public consultation, the IFCC has run three public seminars in Jawa, Sumatra and Kalimantan. The invitation to the seminars was made together with the announcement of the public consultation. <input type="checkbox"/> The seminar on 27 September 2013 in Pekanbaru, Sumatera <input type="checkbox"/> The seminar on invitation to the 1 October in Samarinda, Kalimantan. <input type="checkbox"/> The national seminar in Jakarta on 3 October“ <p>Announcement at the Rimbawan-Interaktif (record A4):</p> <p>“As a part of the transparency process, please allow us to inform that IFCC standard setting process has reached the public consultation stage. We except <i>[Assessor’s comment: it is assumed that this word should be “expect”]</i> the Rimbawans could give respons/comments”</p> <p>Additional explanation provided by IFCC:</p> <p>“It should be noted that the IFCC communicated both public consultations by a letter/email to all stakeholders (not only to the key and disadvantaged) in the IFCC database (originally based on the stakeholders mapping table). A summary table of the e-mail/letters communication was provided as a part of the application.</p>



Question	Assess. basis	YES / NO	Reference to application documents
			<p>It should be noted that all stakeholders participating in the three seminars received the information “by means that ensure that the information reaches its recipient and is understandable” (...) the seminars in person ensured that the invitation to comment was understandable. If people did not understand, they could always ask a question why [<i>Assessor’s comment: it is assumed that it should be “while”</i>] they were at the seminar.”</p> <p><i>It should be noted that most participating stakeholders, including key and disadvantaged stakeholders, are mostly operating at national or subnational level and are more or less familiar with certification schemes and issues.</i></p> <p><i>Records show that the IFCC spread the enquiry draft through the Rimbawan-Interaktif and requested for comments. This invitation reached more than 1300 members (by E-mail), including key and disadvantaged stakeholders. For the seminars, stakeholders were invited by E-mail and/or letter (records found), followed by a texting and calling round by the IFCC Secretariat to check whether the invitation had reached the stakeholders. This was confirmed by stakeholders.</i></p> <p><i>Records of the presentations held during the seminars show that the presenters have gone through all the requirements. It is therefore assumed that the presenters did explain the content and therefore have made the standards understandable to stakeholders.</i></p>
c) the enquiry draft is publicly available and accessible,	Procedures	YES	<p>IFCC PD 1001:2012:</p> <p>“5.5.2.1. The Enquiry draft shall be made available through the IFCC website and upon request by other appropriate means to interested stakeholders and the public”</p>
	Process	YES	<p>SSR page 11:</p> <p>“First public consultation</p> <p><input type="checkbox"/> The announcement of the public consultation was made at the IFCC website, including the consulted standard and commenting form;</p> <p>Second public consultation</p> <p><input type="checkbox"/> The announcement of the public consultation was made at the IFCC website, including the consulted standard and a commenting form;”</p> <p><i>The announcement letters included references to the website where the enquiry draft could be found.</i></p>

Question	Assess. basis	YES / NO	Reference to application documents
d) the public consultation is for at least 60 days,	Procedures	YES	IFCC PD 1001:2012: “5.5.2.1. The Enquiry draft shall be made available (...) for a 60 day public consultation.”
	Process	YES	<i>(See also 5.6a) The individual consultation periods lasted theoretically for 60 days and 30 days. Practically (based on the dates of the announcement) the periods lasted for 53 and 29 days, together still more than 60 days.</i>
e) all comments received are considered by the working group/committee in an objective manner,	Procedures	YES	IFCC PD 1001:2012: “5.5.2.5. The received comments and views shall be considered by the standardisation committee in an open and transparent way and these comments as well as results of their consideration shall be made publicly available in a timely manner through the IFCC website or upon request.”
	Process	YES	<p>SSR page 11 and 12:</p> <p>“First public consultation</p> <p><input type="checkbox"/> During the public consultation, IFCC Secretariat has received 13 comments from 4 organisations. The comments were considered by the SC at its meeting on 29 October 2013.</p> <p>Second public consultation</p> <p><input type="checkbox"/> During the public consultation, IFCC Secretariat has received 65 comments from 17 organisations. The comments were considered by the DWG and the SC at its meeting on 29 October 2013.”</p> <p>E-mail to SC members (25 April 2013; record A10):</p> <p>“Please find the attachment, we provide the final draft of the IFCC document ST 1001:201x, draft 1.5. There is include the comment from the public about this document. Please give your feedback, and if you have feedback/responses, please put at the form as attached.”</p> <p>E-mail to SC members (9 October 2013; record A11):</p> <p>“Please find the attachment. We provide the comment from the stakeholders about IFCC document ST 1001 v1.8, that we had collect form the public consultation on 27 Sept 2013 (at Pekanbaru), 1 Oct 2013 (at Samarinda), and 3 Oct 2013 (at Jakarta), and via email/ mailing list. We expect you can give responses. Beside that, we also still receive comment of the standard. The comments can you send to IFCC Secretariat.”</p> <p>Minutes of the DWG meeting, 4 May 2013 (record A12):</p>



Question	Assess. basis	YES / NO	Reference to application documents
			<p>“In this occasion, the meeting participants provided response towards the result of public consultation: ”Observation, Comments and Suggestions towards Draft of Sustainable Forest Management Certification System – Document IFCC ST 1001:201x (draft 1.5)”.”</p> <p><i>It should be noted that the second public consultation was not planned initially. However, as little comments were received during the first public consultation, the IFCC searched for ways to improve the feedback from stakeholders and decided to organize a second public consultation, including three seminars to pro-actively give the stakeholders the opportunity to submit their comments.</i></p> <p><i>Records were found of comments received during both public consultation periods, and their consideration by the DWG and SC.</i></p>
<p>(f) a synopsis of received comments compiled from material issues, including the results of their consideration, is publicly available, for example on a website.</p>	Procedures	YES	<p>IFCC PD 1001:2012:</p> <p>“5.5.2.5. The received comments and views (...) as well as results of their consideration shall be made publicly available in a timely manner through the IFCC website or upon request.”</p>
	Process	YES	<p>SSR page 11 and 12:</p> <p>“First public consultation</p> <p><input type="checkbox"/> The results of the public consultation, i.e. the received comments and results of their consideration were made public at the IFCC website.</p> <p>Second public consultation</p> <p><input type="checkbox"/> The results of the public consultation, i.e. the received comments and results of their consideration were made public at the IFCC website.”</p> <p><i>The received comments and results of their consideration could be found on the website www.ifcc-ksk.org.</i></p>
<p>5.7 The standardising body shall organise pilot testing of the new standards and the results of the pilot</p>	Procedures	YES	<p>IFCC PD 1001:2012:</p> <p>“5.5.3.1. The enquiry draft of a new standard shall be tested through a pilot project and the results of the pilot testing shall be considered by the Standardisation Committee.”</p>
	Process	YES	<p>SSR page 12:</p>



Question	Assess. basis	YES / NO	Reference to application documents
<p>testing shall be considered by the working group/committee.</p>			<p>“□ During 3-5 June 2013, AJA Registrars carried out a pilot audit against the IFCC ST 1001 standard. The audit took place on the forest estates of RAPP. The report from the pilot audit was considered by the DWG on 1 July 2013.</p> <p>□ TJConsulting was invited to participate in the pilot and to deliver assessment of the IFCC standard against the PEFC Council requirements. The report from the pilot audit was considered by the DWG on 1 July 2013.”</p> <p>Minutes of the DWG (22 June 2013; record A13):</p> <p>“The discussion (...) starts with explaining the agenda of the meeting (...) that Team Auditor PT AJA Certification Indonesia will present the results of a field assessment to IFCC Standardization Committee. The meeting also presented by PT. AJA Certification Indonesian written evaluation results of Jaroslav Tymrak on "Assessment of the IFCC Forest Management Standard Against The PEFC Requirements”</p> <p>Minutes of the DWG (1 July 2013; record 4.14):</p> <p>“Agenda: 1. Further discussion about the report of the field visit in PT. RAPP and report of Jaroslav Tymrak, “Assessment of the IFCC Forest management standard against the PEFC Requirement””</p> <p><i>The pilot testing report contained for each requirement notes on the applicability, general notes and suggestions. The minutes of both meetings included all the findings of the pilot testing, recommendations by the auditors and consultant, and responses of and proposed actions by the SC.</i></p> <p><i>The IFCC, pilot testing auditors and SC members explained that based on the pilot testing quite many changes were made to the standard by the SC, which made the standard clearer, and improved the applicability and auditability of the forest management standard. Furthermore, the standard was improved in relation to the specific requirements for natural forests and plantation forests.</i></p>
<p>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.</p>	<p>Procedures</p>	<p>YES</p>	<p>IFCC PD 1001:2012:</p> <p>“5.4.2.1. The decision of the Standardisation Committee to (...) recommend a Final draft for formal approval (...) shall be taken on the basis of the consensus principle and in compliance with chapter 4.5.5.</p> <p>4.5.6. The Standardisation Committee decides by a simple majority of members present at the meeting for all decisions other than submission of an Enquiry draft for public consultation and recommendation on the formal approval of the Final draft.</p> <p>4.5.7. The Standardisation Committee decides by a positive vote of 70 % of all members of the Standardisation Committee”</p>



Question	Assess. basis	YES / NO	Reference to application documents
			<p><i>Please note that the reference in 5.4.2.1. (“chapter 4.5.5.”) does not refer to consensus building. It should be 4.5.7. It is furthermore unclear if clause 4.5.7. applies for all decisions, or only the decision for the submission of an Enquiry draft for public consultation and recommendation on the formal approval of the Final draft.</i></p>
	Process	YES	<p>Agenda of the SC meeting (29 October 2013; record 3.10): “Before we submit the draft of standard to IFCC Board of Director for approval, we request to have meeting to review, finalize, and agree with the final draft of IFCC Standards. As such, we cordially invite you to attend the 4th meeting of IFCC Standardization Committee with the following details: Day/date : Tuesday, 29 October 2013 Time : 08.30 – finish Venue : The Mirah Hotel, Jl. Pangrango No. 9A, Bogor Agenda : 1. Consensus towards the final draft of IFCC Standard ST 1001, Standard for Sustainable Forest Management – Requirements; 2. Consensus towards the final draft of IFCC Standard ST 1001, Requirements for Bodies Providing Audit and Certification of Sustainable Forest Management. Since this is a highly important meeting, your attendance and participation in the meeting are highly appreciated.”</p> <p>Minutes of the SC meeting 29 October 2013 (record 3.12): “On this day, Tuesday, October 29th In 2013, IFCC Standardization Committee expressed approval at the Plenary Meeting of the results related IFCC Standardization Committee: 1. ST 1001:2013 IFCC document (draft 1.9) into IFCC Document ST 1001:2013 (final draft). 2. ST 1002:2013 IFCC document (draft 1.6) into IFCC Document ST 1002:2013 (final draft). 3. ST 1003:2013 IFCC document (draft 1.2) to IFCC Document ST 1003:2013 (final draft). Thus represents the minutes of the Consensus Approval.”</p> <p>SSR page 16: “The SC meeting of 29 October 2013 reached concensus on the final draft standards (...). In total 28 members of the Standardisation Committee voted in favour of the standards to be formally approved by the</p>



Question	Assess. basis	YES / NO	Reference to application documents
			<p>IFCC (...). No member of the Standardisation Committee submitted a negative vote. There was no sustained opposition presented by any member of the Standardisation Committee.”</p> <p>Additional explanation provided by IFCC:</p> <p>“The consensus was reached at the SC meeting on 29 October 2013. At the end of the meeting the Chair made a statement on consensus and there were no dissenting hands or voices. All members of the SC signed the consensus protocol. All members of the SC were invited to the SC meeting, they received the draft standard (1.9) in advance as well as the agenda of the meeting that stated that the standard will be voted upon. All members of the SC had an opportunity to attend the meeting and to vote.”</p> <p><i>The decision of the SC to recommend the final draft for formal approval was taken on the basis of signatures for approval of the final draft standards. In total 24 members of the SC signed the “Minutes of the Consensus Approval” during the meeting, three members submitted a signature by letter, one member by e-mail. In total 28 of 39 SC members (72 %) signed the “Minutes of the Consensus Approval”.</i></p> <p><i>SC members explained that during all the DWG and SC meetings each standard requirement was intensively discussed in sub-groups, until they reached consensus. After the meetings the results were sent to all SC / DWG members, after which every member did have the opportunity to submit comments or objections, to re-open the discussions on certain requirements. The final decision was therefore mostly based on consensus reached in all of the previous meetings.</i></p> <p><i>Since there were not yet enough signatures during the 29 October 2013 meeting, the IFCC sent out an E-mail to all SC members requesting the SC members that were not present at the 29 October meeting to respond if they agreed with the draft standards or if they had objections. Furthermore they were asked to submit a signature if they agreed with the draft standard. This was explained by the IFCC and confirmed by SC members during the interviews. According to both the IFCC and the SC members interviewed, no objections were received.</i></p> <p><i>It should be noted that amendments to IFCC ST 1001 have been adopted by the Standardisation Committee on 16 April 2014 by consensus, see reference below.</i></p> <p>Minutes of the SC meeting on 16 april 2014 (record A15):</p> <p>“The chairman states that according to the standard setting procedures, it is necessary to reach a consensus on the document that will be formally approved by the General Assembly. The Chairman stated that all SC members have received an invitation to the meeting; have received the draft document; and those members</p>



Question	Assess. basis	YES / NO	Reference to application documents																					
			<p>that could not be present in person were also provided with possibility to authorize another person to vote on their behalf (a proxy vote) or to vote by the phone (to provide a phone number to be called in)</p> <p>The chairman stated that the available votes composition for the consensus is as follows:</p> <table border="1" data-bbox="770 376 2056 978"> <thead> <tr> <th></th> <th>Vote</th> <th>Note</th> </tr> </thead> <tbody> <tr> <td>The SC members present directly</td> <td>23</td> <td></td> </tr> <tr> <td>The SC members who authorized another SC member to vote on their behalf (a proxy vote)</td> <td>4</td> <td></td> </tr> <tr> <td>The SC member who authorized another representatives of their institution to vote on their behalf (a proxy vote)</td> <td>2</td> <td></td> </tr> <tr> <td>The SC members who expressed their willingness to vote by telephone</td> <td>9</td> <td>Record of the phone communication is shown in Attachment 2. 3 of 9 persons could not be reached on the phone number that they provided (see Attachment 2)</td> </tr> <tr> <td>Illnes</td> <td>1</td> <td>abstain</td> </tr> <tr> <td></td> <td>39</td> <td>35 are positive votes, 4 are abstain</td> </tr> </tbody> </table> <p>Out of 39 available votes, 35 voted in favour (23 SC members present plus 6 proxy votes present, plus 6 SC members voting by the phone) of the proposed changes to IFCC ST 1001, issue 2 with no negative vote. The meeting continued with signing the consensus protocol.”</p>		Vote	Note	The SC members present directly	23		The SC members who authorized another SC member to vote on their behalf (a proxy vote)	4		The SC member who authorized another representatives of their institution to vote on their behalf (a proxy vote)	2		The SC members who expressed their willingness to vote by telephone	9	Record of the phone communication is shown in Attachment 2. 3 of 9 persons could not be reached on the phone number that they provided (see Attachment 2)	Illnes	1	abstain		39	35 are positive votes, 4 are abstain
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<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</p>	<p>Procedures</p>	<p>YES</p>	<p>IFCC PD 1001:2012:</p> <p>“5.4.2.2. In order to reach consensus the Standardisation Committee can utilise the following alternative processes to establish whether there is opposition to the Enquiry draft or to the Final draft:</p> <p>a) A face-to face (...) meeting (...) where there is a verbal yes/no vote;</p> <p>b) A face-to face meeting where there is a show of hands for a yes/no vote;</p>																					

Question	Assess. basis	YES / NO	Reference to application documents
statement on consensus from the Chair where there are no dissenting voices or hands (votes); a formal balloting process, etc.,			c) A face-to face meeting where there is a “secret ballot” of members on a yes/no vote; d) A statement on consensus from the Chair at a face-to face meeting where there are no dissenting voices or hands (votes); f) A formal balloting process where votes are collated for the collective consensus decision.”
	Process	YES	<i>According to the IFCC and the SC members that were interviewed, consensus was reached in sub-groups by a statement on consensus per standard requirement from the chair of the subgroup once there were no dissenting voices. The decision of the SC to recommend the final draft for formal approval was taken on the basis of a statement on consensus from the Chair at a face-to face meeting (since there were no dissenting voices or hands), combined with an mail / e-mail to the absent SC members with a request for agreement or objection.</i>
b) a telephone conference meeting where there is a verbal yes/no vote,	Procedures	YES	IFCC PD 1001:2012: “5.4.2.2. In order to reach consensus the Standardisation Committee can utilise the following alternative processes to establish whether there is opposition to the Enquiry draft or to the Final draft: a) A (...) telephone conference meeting (...) where there is a verbal yes/no vote;”
	Process	YES	<i>According to the IFCC (and confirmed by the interviewed SC member) no telephone conference meeting was held during the standard setting process.</i> <i>However, consensus on the amendments to IFCC ST 1001 (SC meeting 16 April 2014) was reached through a combination of a statement from the Chair (since there were no dissenting voices or hands), and a telephone conference meeting; see references under 5.8.</i>
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	IFCC PD 1001:2012: “5.4.2.2. In order to reach consensus the Standardisation Committee can utilise the following alternative processes to establish whether there is opposition to the Enquiry draft or to the Final draft: e) An e-mail meeting where a request for agreement is provided to members and the members providing a written response (a proxy for a vote);”
	Process	YES	<i>According to the IFCC and the SC members that were interviewed, no voting was done by mail / e-mail, except for the decision on the final drafts. The decision of the SC to recommend the final draft for formal approval was taken on the basis of a statement on consensus from the Chair at a face-to face meeting (since</i>



Question	Assess. basis	YES / NO	Reference to application documents
			<i>there were no dissenting voices or hands), combined with an mail / e-mail to the absent SC members with a request for agreement or objection.</i>
d) combinations thereof.	Procedures	YES	<p>IFCC PD 1001:2012:</p> <p>“5.4.2.2. In order to reach consensus the Standardisation Committee can utilise the following alternative processes to establish whether there is opposition to the Enquiry draft or to the Final draft:</p> <p>a) A face-to face or telephone conference meeting, or combinations of thereof, where there is a verbal yes/no vote;”</p> <p><i>Observation:</i></p> <p><i>The IFCC procedures do only provide the opportunity to combine a face-to-face voting with voting by telephone conference meeting, there is no explicit reference in the IFCC procedures that provide the opportunity for other combinations.</i></p>
	Process	YES	<p>SSR page 16:</p> <p>“Following the IFCC standard setting procedures (...), the primary body for reaching consensus on the standards of the scheme is the Standardisation Committee</p> <p>The SC meeting of 29 October 2013 reached consensus on the final draft standards (...). In total 28 members of the Standardisation Committee voted in favour of the standards to be formally approved by the IFCC (...). No member of the Standardisation Committee submitted a negative vote.”</p> <p>Note of IFCC:</p> <p>“Members of the Standardisation Committee not present at the meeting of 29 October 2013 we provided an opportunity to vote by E-mail or mail.”</p> <p><i>According to the IFCC and the SC members that were interviewed, consensus was reached in sub-groups by a statement on consensus per standard requirement from the chair of the subgroup if there were no dissenting voices. The decision of the SC to recommend the final draft for formal approval was taken on the basis of a statement on consensus from the Chair at a face-to face meeting (since there were no dissenting voices or hands), combined with an mail / e-mail to the absent SC members with a request for agreement or objection. The voting / decision was registered through signatures of SC members that approved the final draft standard. It should be noted that all present SC members did approve the final draft standard, and according to IFCC and the SC members that were interviewed, no objections were received by e-mail. From</i></p>



Question	Assess. basis	YES / NO	Reference to application documents
			<p><i>the absent SC members, 4 members provided their approval by mail / E-mail, and 11 SC members did not submit their approval nor objection, it is therefore assumed that they abstained from voting, since they were explicitly provided with the opportunity to raise objection.</i></p> <p><i>It should be noted that according to the IFCC, the consensus on the amendments to IFCC ST 1001 (SC meeting 16 April 2014) was reached through a combination of a statement from the Chair (since there were no dissenting voices or hands), and a telephone conference meeting. Out of 39 available votes, 35 voted in favour (23 SC members present plus 6 proxy votes present, plus 6 SC members voting by the phone) of the proposed changes, with no negative vote. From the remaining 4, 1 abstained from voting due to illness, 1 could not be reached and 2 where out of telephone reach during the meeting, but (informally) agreed on the approval afterwards.</i></p> <p><i>Observation:</i></p> <p><i>The voting for the approval of the final draft was a combination of a face-to-face meeting and voting by mail / E-mail, however this combination is not regulated in the IFCC procedures, the only combination regulated is the face-to-face meeting and telephone conference.</i></p>
<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>Procedures</p>	<p>YES</p>	<p>IFCC PD 1001:2012:</p> <p>“5.4.2.3. In any case of a negative vote which represents sustained opposition of any important part of the concerned interests to a substantive issue, the issue shall be resolved using the following mechanism:</p> <p>a) Discussion and negotiation on the disputed issue within the Standardisation Committee in order to find a compromise;”</p>
	<p>Process</p>	<p>N.A.</p>	<p>SSR page 16:</p> <p>“There was no sustained opposition presented by any member of the Standardisation Committee.”</p> <p><i>This was confirmed by SC members that were interviewed.</i></p>
<p>b) direct negotiation between the</p>	<p>Procedures</p>	<p>YES</p>	<p>IFCC PD 1001:2012:</p> <p>“5.4.2.3. In any case of a negative vote which represents sustained opposition of any important part of the</p>



Question	Assess. basis	YES / NO	Reference to application documents
stakeholder(s) submitting the objection and stakeholders with different views on the disputed issue in order to find a compromise,			concerned interests to a substantive issue, the issue shall be resolved using the following mechanism: b) Direct negotiation between the stakeholder(s) submitting the objection and stakeholders with different view on the disputed issue in order to find a compromise;”
	Process	N.A.	SSR page 16: “There was no sustained opposition presented by any member of the Standardisation Committee.” <i>This was confirmed by SC members that were interviewed.</i>
c) dispute resolution process.	Procedures	YES	IFCC PD 1001:2012: “5.4.2.3. In any case of a negative vote which represents sustained opposition of any important part of the concerned interests to a substantive issue, the issue shall be resolved using the following mechanism: c) Dispute resolution process. Note 2: The dispute resolution process shall be governed by IFCC PD 1002” <i>The IFCC PD 1002 document contains the IFCC Procedures for Investigation and Resolution of Complaints and Appeals</i>
	Process	N.A.	SSR page 16: “There was no sustained opposition presented by any member of the Standardisation Committee.” <i>This was confirmed by SC members that were interviewed.</i>
5.10 Documentation on the implementation of the standard-setting process shall be made publicly available.	Procedures	YES	IFCC PD 1001:2012: “5.6.1 Standard setting report 5.6.1.1. The Final draft shall be presented for the formal approval stage together with a development report which provides the (...) evidence on the process compliance with this document’s procedures (...) 5.6.1.2. The standard setting report shall be made publicly available at the IFCC website.”
	Process	YES	<i>The SSR and several process documents (though not all records referred to in the SSR) could be found on the website www.ifcc-ksk.org</i>



Question	Assess. basis	YES / NO	Reference to application documents
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	<p>IFCC PD 1001:2012:</p> <p>“5.6.2.1. The formal approval of the Final draft by the Board of Directors shall be governed by the IFCC Statutes based on the evidence of consensus reached by the Standardisation Committee.</p> <p>5.6.3.1. The Final draft shall be submitted to the General Assembly for formal approval based on the recommendation of the Board of Directors based on the evidence of consensus reached by the Standardisation Committee. The voting procedures of the General Assembly and the Board of Directors are governed by the IFCC statutes.”</p> <p>IFF Statutes, Number 40, Article 19:</p> <p>“5. Decisions of Meeting of Board of Directors are taken by amicably negotiation. If such referred amicably negotiation fails to be reached, decisions are taken by majority vote of more than 1/2 (half) of Members of Board of Directors present.”</p>
	Process	YES	<p>Minutes of the BoD meeting, 30 October 2013 (record 5.3):</p> <p>“At 09.48 AM, Standardization Committee submits to BoD the documents that had been developed based on consensus on 29 October 2013. There are IFCC documents IFCC ST 1001 and IFCC ST 1002. Additional documents were submitted for approval: IFCC ST 1000, IFCC ST 1003, IFCC PD 1002, IFCC PD 1003, IFCC PD 1004, PEFC/IFCC ST 2001, PEFC/IFCC ST 2002, IFCC ST 2002-1, dan PEFC/IFCC ST 2003.</p> <p>Chairman invites the participants to give commends/feedback. Until 9.58 AM, no response requested [Assessor’s comment: it is assumed that this should be: “no response received”]. So, BoD decided to accept the IFCC documents, and will recommended to the GA for approval the IFCC documents IFCC ST 1000, IFCC ST 1001, IFCC ST 1002, IFCC ST 1003, PEFC/IFCC ST 2001, PEFC/IFCC ST 2002, IFCC ST 2002-1, and PEFC/IFCC ST 2003 as an IFCC official document which will be submitted to the PEFC Council for endorsed.</p> <p>BoD approved IFCC documents IFCC PD 1002, IFCC PD 1003, and IFCC PD 1004.“</p> <p>Minutes of th GA meeting, 30 October 2013 (record 5.4):</p> <p>“A decision on the agenda 1: (1) To approve the IFCC document IFCC ST 1001:2013, IFCC ST 1002:2013, IFCC ST 1003:2013, IFCC ST 1000:2013; and document PEFC/IFCC ST 2002-1:2013, PEFC/IFCC ST 2002:2013, PEFC/IFCC and PEFC ST 2003:2012, PEFC/IFCC ST 2001:2008. These documents along with the IFCC Procedures Document PD 1001, PD 1002, PD 1003, PD 1004 is ready to be submitted to the PEFC</p>



Question	Assess. basis	YES / NO	Reference to application documents
			Council for endorsement. If necessary, editorial changes can be made by IFCC and approved by the Governing Body IFCC.”
5.12 The formally approved standards/normative documents shall be published in a timely manner and made publicly available.	Procedures	YES	IFCC PD 1001:2012: “5.7.1. Within four weeks of the formal approval of the developed document, the Secretariat shall correct any errors in the formally approved document and make it publicly available at the IFCC website and publish an announcement on the formally approved document in a suitable media.”
	Process	YES	<i>The standards could be found on the website. The standards were adopted on 30 October 2013 and records provided evidence that they were already available on the website on 9 November 2013.</i>
Revisions of standards/normative documents			
6.1 The standards/normative documents shall be reviewed and revised at intervals that do not exceed a five-year period. The procedures for the revision of the standards/normative documents shall follow those set out in chapter 5.	Process	N.A.	<i>This is the initial standard setting process of IFCC, no revision took place yet. The revision of the IFCC documentation is regulated through:</i> IFCC PD 1001:2012: “7.1. The IFCC documentation shall be reviewed and revised in regular intervals that do not exceed five years. The procedures for the review and revision of the IFCC documentation shall follow the stages outlined in chapter 5.” <i>Chapter 5 regulates the Standard setting process.</i> <i>Approval dates on all IFCC PD and ST documents (page 2) is 30/10/2013, except for IFCC PD 1001:2012, which is 20/04/2013.</i>
6.2 The revision shall define the application date and transition date of the revised standards/normative documents.	Process	N.A.	<i>This is the initial standard setting process of IFCC, a transition date is therefore not applicable for the current IFCC documents. The application date and transition date are regulated through:</i> IFCC PD 1001:2012: “7.2. The revision shall define the application date and transition date of the revised documents.”



Question	Assess. basis	YES / NO	Reference to application documents
			<i>The application date on all IFCC PD and ST documents (page 2) is 08/11/2013, except for IFCC PD 1001:2012, which is 20/04/2013. Transition dates are not mentioned.</i>
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	N.A.	<p><i>This is the initial standard setting process of IFCC, a transition period is therefore not applicable for the current IFCC documents. The establishment of an application date is regulated through:</i></p> <p>IFCC PD 1001:2012:</p> <p>“7.3. The application date shall not exceed a period of one year from the publication of the standard needed for introducing the changes, information dissemination and training.”</p> <p><i>The application date on all IFCC PD and ST documents (page 2) is 08/11/2013, except for the IFCC PD 1001: 2012, which is 20/04/2013.</i></p>
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	N.A.	<p><i>This is the initial standard setting process of IFCC. A transition period is therefore not yet applicable for the current IFCC documents. The transition period is regulated through:</i></p> <p>IFCC PD 1001:2012:</p> <p>“7.4. 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.”</p>



Part III: PEFC Standard and System Requirement Checklist for Sustainable Forest Management

1 Scope

Part III covers requirements for sustainable forest management as defined in PEFC ST 1003:2010, Sustainable Forest Management – Requirements.

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	IFCC ST 1001:2013, Chapter 1 Scope “This document provides mandatory requirements for sustainable forest management of natural and plantation forests that are applicable for the purposes of IFCC certification in the Republic of Indonesia. The requirements of this document are applicable at the forest management unit level.”
b) be clear, objective-based and auditable.	YES	<i>The structure of the document (IFCC ST 1001:2013) is clear, objective-based and auditable. This is confirmed by the CB that conducted the pilot testing.</i>
c) apply to activities of all operators in the defined forest area who have a measurable impact on achieving compliance with the requirements.	YES	IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests: “1.13 MU shall ensure that all operators, including contracted operational workers, involved in the management of the forest areas, comply with all requirements of this Standard. The compliance of the MU requires relevant training and instructions, as well as effective supervisions that shall be clearly regulated in the contract.”
d) require record-keeping that provides evidence of compliance with the requirements of the forest management standards.	YES	IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests: “1.12 MU shall maintain records for the period of five (5) years that demonstrate compliance of the MU with the practices of the sustainable forest management, as defined in this standard.”



Question	YES / NO	Reference to scheme documentation
Specific requirements for SFM standards		
Criterion 1: Maintenance and appropriate enhancement of forest resources and their contribution to the global carbon cycle		
<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>	YES	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“1.14 MU shall develop an effective spatial plan for reaching the objective of the sustainable forest management. The plan of spatial working areas, shall:</p> <ul style="list-style-type: none"> a) be based on a periodical and comprehensive inventory (for example IHMB); b) incorporate results of Environmental and Social Impact Assessments; c) define protected/conservation areas of environmentally important ecosystem and biotops; areas that are significant for water and soil protection; and areas with social significance; d) include the RKU and RKT maps, legalized by the government; e) be implemented in the field, including maintenance of boundaries of the forest area. <p>2.2 MU shall prepare and implement a management plan and other documents appropriate to the scale and utilization of forest areas and based on land use planning. This plan shall:</p> <ul style="list-style-type: none"> a) consider the continuity of production, ecological and social functions; b) take into account the evaluation of social and environmental impacts;”
<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, 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>	YES	<p>IFCC ST 1001:2013, Introduction (p.7)</p> <p>“This standard is based on various international frameworks for sustainable forest management including the ITTO and PEFC Council; it integrates the concept of continuous improvement (Plan, Do, Check, Act) defined in ISO standards for quality and environmental management.”</p> <p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“1.14 MU shall develop an effective spatial plan for reaching the objective of the sustainable forest management. The plan of spatial working areas, shall: (...)</p> <ul style="list-style-type: none"> b) incorporate results of environmental and Social Impact Assessments”. <p>2.1 MU shall implement the principle of continuous improvement that consists of: planning of forest management activities, implementation of the forest management plan, monitoring and evaluation, and feedback.”</p>



Question	YES / NO	Reference to scheme documentation
		<p>2.2 MU shall prepare and implement a management plan and other documents appropriate to the scale and utilization of forest areas and based on land use planning. This plan shall:</p> <p>a) consider the continuity of production, ecological and social functions;</p> <p>b) take into account the evaluation of social and environmental impacts;</p> <p>6.1 MU shall identify critical forest management activities and carry out an Environmental Impact Assessment analysing potential impacts of those activities on environment, in particular its biodiversity; protected and endangered species, soil and water protection functions; and health and vitality of forest resources.</p> <p>10.1 MU shall carry out a social impact assessment of its forest management activities on indigenous people and/or local communities, prior their implementation. Results of the social impact assessment shall be integrated into the management plan in order to minimise the negative impacts and optimise the positive impacts of the forest operations on indigenous people and/or local communities.”</p>
<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>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“1.14 MU shall develop an effective spatial plan for reaching the objective of the sustainable forest management. The plan of spatial working areas, shall:</p> <p>a) be based on a periodical and comprehensive inventory (for example IHMB*)</p> <p>2.3 The management plan shall include at least the following data and information: (...)</p> <p>k) Working maps describing forest resources, including forest types, river and water flows, compartments/blocks, road, logyards and location of wood processors, protected areas, specific biological and cultural resources, and other forest management activities.</p> <p>4.2 MU shall perform a periodic forest inventory that provides data on actual conditions of the forest resources, among others, as a basis for planning and evaluation of forests’ sustainability.”</p> <p>*) IHMB = Inventarisasi hutan menyeluruh dan berkala = Periodic and comprehensive forest inventory.</p>
<p>5.1.4 Management plans or their equivalents, appropriate to the size and use of the forest area, shall be elaborated and periodically</p>	<p>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“2.2 MU shall prepare and implement a management plan and other documents appropriate to</p>



Question	YES / NO	Reference to scheme documentation
<p>updated. They shall be based on legislation as well as existing land-use plans, and adequately cover the forest resources.</p>		<p>the scale and utilization of forest areas and based on land use planning. This plan shall: (...) c) be periodically revised at least every 10 years based on monitoring and evaluation, as well the latest scientific knowledge.</p> <p>2.3 The management plan shall include at least the following data and information:</p> <p>a) Vision, mission and the objectives of forest management;</p> <p>b) History of the forest utilization and the recent development;</p> <p>d) Landuse of the forest area;”</p> <p>Additional clarification provided by IFCC:</p> <p>“Land use planning is carried out by the government based on governmental regulations. (...) IUPHHK license [that allows and regulates the forestry operations of the company] is based on land use planning. Results of the landuse planning are defined in the IUPHHK license (...). Working plans RKU and RKT shall be legalized by the Ministry of Agriculture.”</p>
<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>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“2.3 The management plan shall include at least the following data and information:</p> <p>a) Vision, mission and the objectives of forest management;</p> <p>b) History of the forest utilization and the recent development;</p> <p>c) Socio-cultural dynamics, including implementation of the principles of FPIC, the ILO Conventions and UNDRIP</p> <p>d) Landuse of the forest area;</p> <p>(...)</p> <p>g) A level of sustainable harvesting;</p> <p>h) A plan of management and monitoring activities, such as:☐</p> <p>☐ Activities to maintain and protect biodiversity, that include:</p> <p>- Inventory of flora and fauna, including their mapping;</p> <p>- Identification of forest areas with important ecological values: rare ecosystems; sensitive, specific; endemic, rare and threatened species, and their habitats.</p>



Question	YES / NO	Reference to scheme documentation
		<ul style="list-style-type: none"> <input type="checkbox"/> Activities to identify, map, and protect areas with the specific water and soil protection functions. <input type="checkbox"/> (...) Note:. Where the forest management includes commercial exploitation of nontimber forest products (at the level that can impact the sustainability of non-timber forest products in the long term), this also includes identification of the annual exploitation of non-timber forest products.” <p>5.1 MU shall ensure that the rate of forest product harvesting shall not exceed the rate of sustainable production.</p> <p>5.2 MU shall monitor and record the growth of forest stands by periodic measurement of permanent sample plots (PSP) for each ecosystem type. This shall be used in the determination of the AAC that shall not exceed the growth rate (increment) of the forest.</p> <p>5.3 The forest product harvesting shall not exceed the increment and shall be corresponding with the determined AAC. The MU shall identify the desirable growing stock of commercial timber that is economically, ecologically and socially desirable, and ensure that the determined AAC and other management activities reach and maintain the desirable growing stock.”</p>
<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 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>	YES	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“2.4 MU shall prepare a summary of the management plan and an annual report that are available to the public through the website or upon request. With the respect to the confidentiality of MU’s business information, the public summary consists at least of total production, forest management practices to be applied, employment, and infrastructure.”</p>
<p>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>	YES	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“Criterion 3: Monitoring and Evaluation 3.1 MU shall perform periodic monitoring and evaluation activities, appropriate to the size and intensity of the forest management, based on documented procedures. The monitoring and evaluation shall cover production, ecological and</p>



Question	YES / NO	Reference to scheme documentation
		<p>social aspects of the forest management. The results of the monitoring and evaluation shall provide feedback into the planning and implementation process, as well as to prevention of inappropriate activities.</p> <p>3.2. Monitoring and evaluation shall cover :</p> <ul style="list-style-type: none"> a) Stock and growth rate used in the determination of AAC; b) Forest regeneration; c) All harvested forest products (timber and non-timber); implementation of CoC; efficiency of forest utilization; d) Usage of pesticides, fertilizers and toxic and hazardous materials. (B3); e) The damage to rare, sensitive and specific ecosystems; flora and fauna species and habitats of endemic, rare and threatened species. f) Soil and water protection functions; g) Forest functions relating to the customary rights and socio-economic functions for the community; h) Health and vitality of forests, pest and diseases, forest fires, and illegal activities.”
<p>5.1.8 Responsibilities for sustainable forest management shall be clearly defined and assigned.</p>	<p>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests: “1.9 MU shall define all responsibilities in all areas of the sustainable forest management defined in this Standard. MU shall assign a person of the top management to be responsible for the implementation of the sustainable forest management defined in this standard and for compliance with all government regulations.”</p>
<p>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>	<p>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests: “5.1 MU shall ensure that the rate of forest product harvesting shall not exceed the rate of sustainable production. 5.2 MU shall monitor and record the growth of forest stands by periodic measurement of permanent sample plots (PSP) for each ecosystem type. This shall be used in the determination of the AAC that shall not exceed the growth rate (increment) of the forest. 5.3 The forest product harvesting shall not exceed the increment and shall be corresponding</p>

Question	YES / NO	Reference to scheme documentation
		<p>with the determined AAC. The MU shall identify the desirable growing stock of commercial timber that is economically, ecologically and socially desirable, and ensure that the determined AAC and other management activities reach and maintain the desirable growing stock.</p> <p>5.4 MU shall identify and inventory the non-timber forest products with a risk of over-exploitation or with negative impacts of their exploitation on forest resources. For those products, the MU shall in participatory manner establish, monitor and enforce an agreement with the local communities, indigenous peoples and other parties that are allowed to exploit the non-timber forest products. The agreement shall ensure that their activities will not exceed the rate of exploitation that can be sustained long-term and that will not cause negative impacts on forest resources. MU shall avoid or minimise negative impacts of its activities on non-timber forest products to ensure diversification of outputs, goods and services for local communities. Where the MU is permitted to utilize non timber forest products, it shall ensure that their harvest is balanced with the growth, does not exceed rate that can be sustained long-term and does not have negative impacts on forest resources.”</p> <p>Criterion 6: Management of ecosystem and hydrological functions</p> <p>“6.2 MU shall establish and implement documented procedures for Reduced Impact Logging (RIL) to minimise negative impacts of forest harvesting, transportation and infrastructure development on the environment, soil, water, forest regeneration and residual forest stands. The RIL’s documented procedures shall be based on national guidelines for RIL and shall consider the type of ecosystem and its hydrological systems and the results of the Environmental Impact Assessment.</p> <p>6.5 (...) MU shall implement measures to prevent soil and water damages and rehabilitate damaged areas through a soil and land conservation technique or planting of open/easily eroded land.</p> <p>1.15 MU shall identify, plan and maintain an adequate infrastructure, such as mainroads, skidding roads, bridges, working camps, etc. to:</p> <p>b) minimize the damage to ecosystems, species and their genetic resources, specifically rare, sensitive and threatened species, including areas or pathways of migration of certain species.</p> <p>c) minimize the exposure of soil, to ensure soil protection against erosion and sedimentation, to</p>

Question	YES / NO	Reference to scheme documentation
		maintain a water level, and maintain the function of riverbeds, including maintenance of the related drainage.”
<p>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>	YES	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“5.3 The forest product harvesting shall not exceed the increment and shall be corresponding with the determined AAC. The MU shall identify the desirable growing stock of commercial timber that is economically, ecologically and socially desirable and ensure that the determined AAC and other management activities reach and maintain the desirable growing stock.</p> <p>2.2 MU shall prepare and implement a management plan and other documents appropriate to the scale and utilization of forest areas and based on land use planning. This plan shall:</p> <p>a) consider the continuity of production, ecological and social functions;</p> <p>b) take into account the evaluation of social and environmental impacts;</p> <p>2.3 The management plan shall include at least the following data and information: (...)</p> <p>e) silvicultural techniques appropriate to the characteristic and conditions of the forests;”</p>
<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> <p>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</p> <p>b) entails a small proportion of forest type; and</p> <p>c) does not have negative impacts on threatened (including vulnerable, rare or endangered) forest ecosystems, culturally</p>	YES	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“2.2 MU shall prepare and implement a management plan and other documents (...) This plan shall:</p> <p>b) take into account the evaluation of social and environmental impacts;</p> <p>6.1 MU shall identify critical forest management activities and carry out an Environmental Impact Assessment analysing potential impacts of those activities on environment, in particular its biodiversity; protected and endangered species (...).</p> <p>10.1 MU shall carry out a social impact assessment of its forest management activities on indigenous people and/or local communities, prior their implementation. Results of the social impact assessment shall be integrated into the management plan in order to minimise the negative impacts and optimise the positive impacts of the forest operations on indigenous people and/or local communities.”</p> <p>IFCC ST 1001:2013, Chapter 4, Section II Specific requirements for management of natural forests:</p> <p>“1.1 MU shall not convert forests to other land use, including conversion to plantation forests,</p>



Question	YES / NO	Reference to scheme documentation
<p>and socially significant areas, important habitats of threatened species or other protected areas; and</p> <p>d) makes a contribution to long-term conservation, economic, and social benefits.</p>		<p>except in the justifiable circumstances where:</p> <p>a) The conversion is necessary for building forest related infrastructure or for livelihood and welfare of local communities and provides long-term contribution to social, economic and environmental benefits; and</p> <p>b) The conversion is in compliance with national legislation and land use planning and is permitted by the relevant authorities; and</p> <p>c) The conversion does not occur on protected areas; environmentally and socially important biotopes; and</p> <p>d) The total area of the converted forests within the concession does not represent more than 5 % of the total forest area of the concession.</p> <p>Note: The land use planning includes consultation with materially and directly interested stakeholders.”</p> <p>IFCC ST 1001:2013, Chapter 4, Section III Specific requirements for management of plantation forest:</p> <p>“1.1 MU shall exclude from forest certification those plantation forests that have been established by conversion of primary as well as secondary forests after 31 December 2010 except those meeting the justified circumstances in Section III, 1.2.</p> <p>1.2 MU shall not convert: forest to non-forest land uses and natural forests to plantation forests; except in the justifiable circumstances where:</p> <p>a) The conversion is in compliance with national legislation and land use planning and is permitted by the relevant authorities; and</p> <p>b) The conversion is necessary for building forest-related infrastructure or for livelihood and welfare of local communities and provides long-term contribution to social, economic and environmental benefits; and</p> <p>c) The conversion does not occur on protected areas; environmentally and socially important biotops; and</p> <p>d) The total area of the converted forests within the Management Unit does not represent more than 5 % of the total forest area of the Management Unit.”</p>



Question	YES / NO	Reference to scheme documentation
		<p>Act Number 26 Year 2007, Chapter VIII Rights, Obligation and Community's Role, Article 65:</p> <p>"1) The implementation of land use planning by the government is conducted by involving participation from the community;</p> <p>2) Community participation during the land use planning process as per mentioned on the above point (1) is implemented at least through the following activities:</p> <p>a. Participation in the development of land use planning;</p> <p>b. Participation in the land use;</p> <p>c. Participation in the control of land use."</p> <p><i>Observation: The note under II-1.1d is not found under III-1.2.</i></p>
<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>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>"3.4 MU shall identify open areas, bareland and treeless areas within the concession area to be rehabilitated into production areas providing social and economic benefits for the community."</p>
<p>Criterion 2: Maintenance of forest ecosystem health and vitality</p>		
<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>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>"2.3 The management plan shall include at least the following data and information: (...)</p> <p>h) A plan of management and monitoring activities, such as:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Activities to identify, map, and protect areas with the specific water and soil protection functions. <input type="checkbox"/> Activities to protect forest functions relating to the production of goods and services (timber, non-timber, and environmental services); <input type="checkbox"/> Activities to maintain and improve the quality of forest ecosystem and to improve degraded forest ecosystem. <p>i) A protection and security plan of the forest that consists of :</p>



Question	YES / NO	Reference to scheme documentation
		<ul style="list-style-type: none"> <input type="checkbox"/> Prevention and protection against forest fires; <input type="checkbox"/> Prevention and combating illegal logging; <input type="checkbox"/> Prevention and protection against pest and diseases; <input type="checkbox"/> Conservation of soil and water functions; <input type="checkbox"/> Protection of flora, fauna and their genetic resources; <input type="checkbox"/> Prevention of unstable farming; <p>3.4 MU shall identify open areas, bareland and treeless areas within the concession area to be rehabilitated into production areas providing social and economic benefits for the community.</p> <p>Criterion 8 Forest Protection</p> <p>8.1 MU shall identify and monitor disturbances, taking into account naturally occurring disturbances, that represent a threat for the health and vitality of forest resources, such as forest fires, illegal logging, illegal grazing, forest encroachment, hunting, pests and diseases and weeds. MU shall establish documented procedures, infrastructure and human resources for preemptive, preventive and repressive measures protecting forests against the disturbances.</p> <p>8.2 MU shall adopt an integrated pest management programme that shall, where possible, apply environmentally friendly biological, non-chemical methods of pest management, and strive to minimise or avoid the use of chemical pesticides.”</p>
<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, and damage caused by climatic factors, air pollutants or by forest management operations.</p>	<p>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“3.2. Monitoring and evaluation shall cover : (...)</p> <p>h) Health and vitality of forests, pest and diseases, forest fires, and illegal activities.</p> <p>6.5 MU shall carry out monitoring of the negative impacts of forest management activities, including soil’s physical and chemical qualities, compaction by forest machinery, subsidence, sedimentation, river discharge and decline in a water quality. MU shall implement measures to prevent soil and water damages and rehabilitate damaged areas through a soil and land conservation technique or planting of open/easily eroded land.</p> <p>8.1 MU shall identify and monitor disturbances, taking into account naturally occurring disturbances, that represent a threat for the health and vitality of forest resources, such as forest fires, illegal logging, illegal grazing, forest encroachment, hunting, pests and diseases and</p>



Question	YES / NO	Reference to scheme documentation
		weeds. MU shall establish documented procedures, infrastructure and human resources for preemptive, preventive and repressive measures protecting forests against the disturbances.”
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	IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests: “8.1 MU shall identify and monitor disturbances, taking into account naturally occurring disturbances, that represent a threat for the health and vitality of forest resources, such as forest fires, illegal logging, illegal grazing, forest encroachment, hunting, pests and diseases and weeds. MU shall establish documented procedures, infrastructure and human resources for preemptive, preventive and repressive measures protecting forests against the disturbances.”
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	IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests: “2.3 The management plan shall include at least the following data and information: (...) h) A plan of management and monitoring activities, such as: <ul style="list-style-type: none"> <input type="checkbox"/> Activities to identify, map, and protect areas with the specific water and soil protection functions. <input type="checkbox"/> Activities to protect forest functions relating to the production of goods and services (timber, non-timber, and environmental services); <input type="checkbox"/> Activities to maintain and improve the quality of forest ecosystem and to improve degraded forest ecosystem. i) A protection and security plan of the forest that consists of : <ul style="list-style-type: none"> <input type="checkbox"/> Prevention and protection against forest fires; <input type="checkbox"/> Prevention and combating illegal logging; <input type="checkbox"/> Prevention and protection against pest and diseases; <input type="checkbox"/> Conservation of soil and water functions; <input type="checkbox"/> Protection of flora, fauna and their genetic resources; <input type="checkbox"/> Prevention of unstable farming; 4.4 MU shall optimize the utilization of forest resources to ensure efficient production of forest products, to minimize waste, and to minimize damages caused by harvesting activities. 4.5 MU shall rehabilitate a degraded land to provide added value to economic, ecological and/or social functions of the forest.



Question	YES / NO	Reference to scheme documentation
		<p>6.5 MU shall carry out monitoring of the negative impacts of forest management activities, including soil's physical and chemical qualities, compaction by forest machinery, subsidence, sedimentation, river discharge and decline in a water quality. MU shall implement measures to prevent soil and water damages and rehabilitate damaged areas through a soil and land conservation technique or planting of open/easily eroded land.”</p> <p>Additional clarification provided by IFCC:</p> <p>”Governmental “policy instruments” are not relevant to Indonesian conditions. It should be noted that all forests in Indonesia are state owned. The only governmental policy instruments in forestry are (i) legislation (UUD' 1945/ Constitutions, TAP MPR / Parliament Decree, Undang-undang/Act, Peraturan Pemerintah/Government Regulation) and (ii) regulations (Presidential Decree, Ministerial Regulations, DG Technical Regulation, DIR Technical Regulation). The IFCC standard explicitly requires compliance with both, the legislation and regulation under I-1.2.”</p>
<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>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“8.2 MU shall adopt an integrated pest management programme that shall, where possible, apply environmentally friendly biological, non-chemical methods of pest management, and strive to minimise or avoid the use of chemical pesticides.”</p> <p>IFCC ST 1001:2013, Chapter 4, Section II Specific requirements for management of natural forests:</p> <p>“3.3 All appropriate silvicultural treatments are applied at the level of the individual tree rather than at the forest stand level to ensure maintenance of a continuous canopy; to ensure diversity of horizontal vertical structure and diversity of tree species. MU shall consider and, where appropriate, support the implementation of traditional management systems.</p> <p>3.4 MU shall maintain natural regeneration capacity and processes of harvested areas with non-disrupted phenology and dispersal mechanisms of flora species; sufficient number of seedproducing species; sufficient population of pollen producers and dispersers; sufficient number of seedlings of all harvested species under the canopy, in natural and artificial openings; regeneration of secondary vegetation on disused paths and tracks.</p> <p>3.5 MU may utilise artificial reforestation with indigenous species of local provenances for enrichment purposes; rehabilitation of degraded forests; rehabilitation of disused paths and</p>



Question	YES / NO	Reference to scheme documentation
		<p>trails. MU shall not utilise introduced species.”</p> <p>IFCC ST 1001:2013, Chapter 4, Section III Specific requirements for management of plantation forest:</p> <p>“3.1 MU shall define arrangement of work area and identify, map, mark in the field and protect set-aside areas that:</p> <ul style="list-style-type: none"> a) are primarily established for the purposes of conservation, biodiversity protection, protection and endangered and protected species; b) Include areas with water and soil protection functions; areas with specific biodiversity functions and areas with special function for local communities identified according to this standard; c) Promote diversity of horizontal and vertical structure; ensure natural processes and ecological connectivity; provide sufficient quantity and distribution of naturally occurring indigenous and rare species, and their successful natural regeneration; standing and fallen deadwood; hollow trees, etc.; d) Only allow artificial regeneration by planting or seedling of indigenous species and their local provenances suited to the local conditions for the purposes of enrichment of those areas and enhancement of their protective, ecological and social functions; (...) f) Allow for utilisation of traditional management systems to improve the respective environmental, social and economic benefits of forests. <p>3.2 MU shall carry out regeneration in forest plantations in time and in way that does not reduce production capacity of the forests. The MU shall only use those introduced species, varieties and provenances whose impact on ecosystem and on its genetic integrity has been assessed and evaluated, and if negative impacts can be avoided or minimised.”</p>
<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>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“8.4 MU shall implement measures protecting forests against fires, including analysis of the risk of the fire’s start and propagation within the MU; a fire detection system; appropriate silvicultural systems including prohibition of forest lightning and other use of fire as a management technique (e.g. slash burning); maintenance of infrastructure for the fire protection (road system,</p>



Question	YES / NO	Reference to scheme documentation
		<p>a water system and reservoirs); and education and awareness of workers and local communities.”</p> <p><i>Observation:</i> In the English translation the word “lightening” is used instead of “lighting”.</p>
<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.</p> <p>The spillage of oil during forest management operations or the indiscriminate disposal of waste on forest land shall be strictly avoided.</p> <p>Non-organic waste and litter shall be avoided, collected, stored in designated areas and removed in an environmentally-responsible manner.</p>	<p>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“4.4 MU shall optimize the utilization of forest resources to ensure efficient production of forest products, to minimize waste, and to minimize damages caused by harvesting activities.</p> <p>6.2 MU shall establish and implement documented procedures for Reduced Impact Logging (RIL) to minimise negative impacts of forest harvesting, transportation and infrastructure development on the environment, soil, water, forest regeneration and residual forest stands.</p> <p>6.5 MU shall carry out monitoring of the negative impacts of forest management activities, including soil’s physical and chemical qualities, compaction by forest machinery, subsidence, sedimentation, river discharge and decline in a water quality. MU shall implement measures to prevent soil and water damages and rehabilitate damaged areas through a soil and land conservation technique or planting of open/easily eroded land.</p> <p>6.6 (...) MU shall avoid spillage of oil and indiscriminate disposal of waste and shall ensure that chemicals, containers, liquid and solid nonorganic waste shall be disposed in an environmentally appropriate and legal manner at off-site locations.</p> <p>8.2 MU shall adopt an integrated pest management programme that shall, where possible, apply environmentally friendly biological, non-chemical methods of pest management, and strive to minimise or avoid the use of chemical pesticides.”</p> <p>IFCC ST 1001:2013, Chapter 4, Section II Specific requirements for management of natural forests:</p> <p>“3.3 All appropriate silvicultural treatments are applied at the level of the individual tree rather than at the forest stand level to ensure maintenance of a continuous canopy; to ensure diversity of horizontal vertical structure and diversity of tree species. MU shall consider and, where appropriate, support the implementation of traditional management systems.</p>

Question	YES / NO	Reference to scheme documentation
		<p>3.5 MU may utilise artificial reforestation with indigenous species of local provenances for enrichment purposes; rehabilitation of degraded forests; rehabilitation of disused paths and trails. MU shall not utilise introduced species.</p> <p>3.6 MU shall identify multi-purpose tree species; hollow trees, and special rare trees; and shall ensure that harvesting operations do not have negative impacts on them or on other forms of their utilisation.</p> <p>3.8 MU shall apply Reduced Impact Logging (RIL) in conformity with national Guidelines”</p> <p>IFCC ST 1001:2013, Chapter 4, Section III Specific requirements for management of plantation forest:</p> <p>“3.1 MU shall define arrangement of work area and identify, map, mark in the field and protect set-aside areas that: (...)</p> <p>c) Promote diversity of horizontal and vertical structure; ensure natural processes and ecological connectivity; provide sufficient quantity and distribution of naturally occurring indigenous and rare species, and their successful natural regeneration; standing and fallen deadwood; hollow trees, etc.;</p> <p>d) Only allow artificial regeneration by planting or seedling of indigenous species and their local provenances suited to the local conditions for the purposes of enrichment of those areas and enhancement of their protective, ecological and social functions;</p> <p>3.2 MU shall carry out regeneration in forest plantations in time and in way that does not reduce production capacity of the forests. The MU shall only use those introduced species, varieties and provenances whose impact on ecosystem and on its genetic integrity has been assessed and evaluated, and if negative impacts can be avoided or minimised.”</p>
<p>5.2.8 The use of pesticides shall be minimised and appropriate silvicultural alternatives and other biological measures preferred.</p>	<p>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“8.2 MU shall adopt an integrated pest management programme that shall, where possible, apply environmentally friendly biological, non-chemical methods of pest management, and strive to minimise or avoid the use of chemical pesticides.</p> <p>3.10 (Section II - natural forests). MU shall not use chemical pesticides except for the weed control purposes of seedlings production in forest nurseries. MU shall respect the list of</p>



Question	YES / NO	Reference to scheme documentation
		<p>prohibited and restricted pesticides in Annex 3 of this Standard.”</p> <p>IFCC ST 1001:2013, Chapter 4, Section III Specific requirements for management of plantation forest:</p> <p>“3.3 MU shall only use pesticides for the purposes of weed control and respect the list of prohibited and restricted pesticides in Annex 3 of this Standard.”</p>
<p>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>	<p>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“3.10 (Section II - natural forests). MU shall not use chemical pesticides except for the weed control purposes of seedlings production in forest nurseries. MU shall respect the list of prohibited and restricted pesticides in Annex 3 of this Standard.”</p> <p>IFCC ST 1001:2013, Chapter 4, Section III Specific requirements for management of plantation forest:</p> <p>“3.3 MU shall only use pesticides for the purposes of weed control and respect the list of prohibited and restricted pesticides in Annex 3 of this Standard.</p> <p>Annex 3: Other substances classified as WHO category 1a and 1b, and any other chlorinated Hydrocarbons <i>[are also prohibited]</i>.”</p>
<p>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>	<p>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>1.4 MU shall respect to all international agreements/conventions, such as CITES, ILO, ITTA and CBD that have been ratified by the Government of Indonesia. Note: A list of international conventions ratified by the Republic of Indonesia are listed in Annex 1 of this Standard.</p> <p>Annex 1, Stockholm convention on Persistent organic Pollutants (2001) ratified in 2009.</p> <p>Annex 3, <i>which includes prohibition of:</i> “Other substances classified as WHO category 1a and 1b, and any other chlorinated Hydrocarbons.”</p>
<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>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“8.3 MU shall establish and implement documented procedures for the use of chemical pesticides that:</p> <p>a) ensure compliance with legal requirements and pesticide producer’s instructions;</p> <p>b) specify procedures for their storage, handling, transport, use and disposal;</p>

Question	YES / NO	Reference to scheme documentation
		c) specify proper techniques, equipment and facilities for their use; d) require appropriate personnel competences and training.”
5.2.12 Where fertilisers are used, they shall be applied in a controlled manner and with due consideration for the environment.	YES	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests: “7.4 MU shall carry out the Environmental Impact Assessment of the potential impacts on protected flora and fauna; endemic, rare and threatened/endangered species, appropriate to the scale and intensity of the forest management; and shall incorporate measures to mitigate those impacts and disruptions.”</p> <p>IFCC ST 1001:2013, Chapter 4, Section II Specific requirements for management of for natural forests: “3.11 MU shall not use an-organic fertilisers.”</p> <p>IFCC ST 1001:2013, Chapter 4, Section III Specific requirements for management of plantation forest: “3.4 MU shall only use an-organic fertilisers for the purposes of successful regeneration. The use of fertilisers and their types shall be based on regular soil conditions analysis and applied in volume and by techniques that are necessary and appropriate to achieve the management objective.”</p> <p><i>Observation: “an-organic” (in 3.11 and 3.4) should be “inorganic”.</i></p>
<p>Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood)</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.	YES	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests: “2.2 MU shall prepare and implement a management plan and other documents (...). This plan shall: (...)</p> <p>a) consider the continuity of production, ecological and social functions;</p> <p>2.3 The management plan shall include at least the following data and information:</p> <p>g) A level of sustainable harvesting;</p> <p>h) A plan of management and monitoring activities, such as: (...)</p>



Question	YES / NO	Reference to scheme documentation
		<p><input type="checkbox"/> Activities to protect forest functions relating to the production of goods and services (timber, non-timber, and environmental services);</p> <p>Note: Where the forest management includes commercial exploitation of nontimber forest products (at the level that can impact the sustainability of non-timber forest products in the long term), this also includes identification of the annual exploitation of non-timber forest products.</p> <p>5.1 MU shall ensure that the rate of forest product harvesting shall not exceed the rate of sustainable production.</p> <p>5.3 The forest product harvesting shall not exceed the increment and shall be corresponding with the determined AAC. The MU shall identify the desirable growing stock of commercial timber that is economically, ecologically and socially desirable, and ensure that the determined AAC and other management activities reach and maintain the desirable growing stock.</p> <p>5.4 MU shall identify and inventory the non-timber forest products with a risk of over-exploitation or with negative impacts of their exploitation on forest resources. For those products, the MU shall in participatory manner establish, monitor and enforce an agreement with the local communities, indigenous peoples and other parties that are allowed to exploit the non-timber forest products. The agreement shall ensure that their activities will not exceed the rate of exploitation that can be sustained long-term and that will not cause negative impacts on forest resources. MU shall avoid or minimise negative impacts of its activities on non-timber forest products to ensure diversification of outputs, goods and services for local communities. Where the MU is permitted to utilize non timber forest products, it shall ensure that their harvest is balanced with the growth, does not exceed rate that can be sustained long-term and does not have negative impacts on forest resources. Note: Requirement 5.4 also applies to fishing and hunting activities.”</p>
<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>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“4.4 MU shall optimize the utilization of forest resources to ensure efficient production of forest products (...)</p> <p>1.16 MU shall carry out research and development activities (R&D). Those activities shall consist of identification of research needs, development of a R&D program, and its implementation. MU shall adapt forest management based on the results of the R&D, the latest scientific knowledge,</p>

Question	YES / NO	Reference to scheme documentation
		available market studies and new market opportunities, as appropriate. The activities of R&D can be carried out independently or in cooperation with other institutions.”
<p>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>	YES	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“1.14 MU shall develop an effective spatial plan for reaching the objective of the sustainable forest management. The plan of spatial working areas, shall:</p> <p>c) define protected/conservation areas of environmentally important ecosystem and biotops; areas that are significant for water and soil protection; and areas with social significance;</p> <p>2.3 The management plan shall include at least the following data and information:</p> <p>b) History of the forest utilization and the recent development;</p> <p>d) Landuse of the forest area;</p> <p>g) A level of sustainable harvesting</p> <p>h) A plan of management and monitoring activities, such as:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Activities to identify, map, and protect areas with the specific water and soil protection functions <input type="checkbox"/> Activities to protect forest functions relating to the customary rights and socio-economic development of the communities; <input type="checkbox"/> Activities to protect forest functions relating to the production of goods and services (timber, non-timber, and environmental services); Note.: Where the forest management includes commercial exploitation of nontimber forest products (at the level that can impact the sustainability of non-timber forest products in the long term), this also includes identification of the annual exploitation of non-timber forest products. <p>4.1 MU shall arrange and maintain the forest area according to its functions to ensure that the forest area is maintained according to its spatial land use plan.”</p> <p>Additional clarification provided by IFCC:</p> <p>”Governmental “policy instruments” are not relevant to Indonesian conditions. It should be noted that all forests in Indonesia are state owned. The only governmental policy instruments in forestry are (i) legislation (UUD’ 1945/ Constitutions, TAP MPR / Parliament Decree, Undang-undang/Act, Peraturan Pemerintah/Government Regulation) and (ii) regulations (Presidential Decree, Ministerial Regulations, DG Technical Regulation, DIR Technical Regulation). The IFCC</p>



Question	YES / NO	Reference to scheme documentation
		<p>standard explicitly requires compliance with both, the legislation and regulation under I-1.2.”</p> <p><i>The spatial plan (1.14) is a mandatory plan to allocate specific forest functions (production, protection and conservation areas) that is to be submitted to the Government for approval.</i></p>
<p>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>	<p>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“4.1 MU shall arrange and maintain the forest area according to its functions to ensure that the forest area is maintained according to its spatial land use plan.</p> <p>4.4 MU shall optimize the utilization of forest resources to ensure efficient production of forest products, (...)</p> <p>5.4 MU shall identify and inventory the non-timber forest products with a risk of over-exploitation or with negative impacts of their exploitation on forest resources. For those products, the MU shall in participatory manner establish, monitor and enforce an agreement with the local communities, indigenous peoples and other parties that are allowed to exploit the non-timber forest products. The agreement shall ensure that their activities will not exceed the rate of exploitation that can be sustained long-term and that will not cause negative impacts on forest resources. MU shall avoid or minimise negative impacts of its activities on non-timber forest products to ensure diversification of outputs, goods and services for local communities. Where the MU is permitted to utilize non timber forest products, it shall ensure that their harvest is balanced with the growth, does not exceed rate that can be sustained long-term and does not have negative impacts on forest resources. Note: Requirement 5.4 also applies to fishing and hunting activities.”</p> <p>IFCC ST 1001:2013, Chapter 4, Section II Specific requirements for management of natural forests:</p> <p>“3.3 All appropriate silvicultural treatments are applied at the level of the individual tree rather than at the forest stand level to ensure maintenance of a continuous canopy; to ensure diversity of horizontal vertical structure and diversity of tree species. MU shall consider and, where appropriate, support the implementation of traditional management systems.</p> <p>3.4 MU shall maintain natural regeneration capacity and processes of harvested areas with non-</p>

Question	YES / NO	Reference to scheme documentation
		<p>disrupted phenology and dispersal mechanisms of flora species; sufficient number of seedproducing species; sufficient population of pollen producers and dispersers; sufficient number of seedlings of all harvested species under the canopy, in natural and artificial openings; regeneration of secondary vegetation on disused paths and tracks.</p> <p>3.5 MU may utilise artificial reforestation with indigenous species of local provenances for enrichment purposes; rehabilitation of degraded forests; rehabilitation of disused paths and trails. MU shall not utilise introduced species.</p> <p>3.8 MU shall apply Reduced Impact Logging (RIL) in conformity with national guidelines (...)</p> <p>3.9 MU shall carry out and report postharvest evaluation of forest resources; and compliance of performed activities with RIL guidelines, documented procedures, legal requirements and this Standard.”</p> <p>IFCC ST 1001:2013, Chapter 4, Section III Specific requirements for management of plantation forest:</p> <p>“3.1 MU shall define arrangement of work area and identify, map, mark in the field and protect set-aside areas that:</p> <ul style="list-style-type: none"> a) are primarily established for the purposes of conservation, biodiversity protection, protection and endangered and protected species; b) Include areas with water and soil protection functions; areas with specific biodiversity functions and areas with special function for local communities identified according to this standard; c) Promote diversity of horizontal and vertical structure; ensure natural processes and ecological connectivity; provide sufficient quantity and distribution of naturally occurring indigenous and rare species, and their successful natural regeneration; (...) d) Only allow artificial regeneration by planting or seedling of indigenous species and their local provenances suited to the local conditions for the purposes of enrichment of those areas and enhancement of their protective, ecological and social functions; e) Provide local communities with opportunity of customary exploitation of non-timber forest products;



Question	YES / NO	Reference to scheme documentation
		<p>f) Allow for utilisation of traditional management systems to improve the respective environmental, social and economic benefits of forests.</p> <p>3.2 MU shall carry out regeneration in forest plantations in time and in way that does not reduce production capacity of the forests. The MU shall only use those introduced species, varieties and provenances whose impact on ecosystem and on its genetic integrity has been assessed and evaluated, and if negative impacts can be avoided or minimised.”</p>
<p>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>	<p>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“4.4 MU shall optimize the utilization of forest resources to ensure efficient production of forest products, to minimize waste, and to minimize damages caused by harvesting activities.</p> <p>6.2 MU shall establish and implement documented procedures for Reduced Impact Logging (RIL) to minimise negative impacts of forest harvesting, transportation and infrastructure development on the environment, soil, water, forest regeneration and residual forest stands. The RIL’s documented procedures shall be based on national guidelines for RIL and shall consider the type of ecosystem and its hydrological systems and the results of the Environmental Impact Assessment.”</p> <p>IFCC ST 1001:2013, Chapter 4, Section II Specific requirements for management of natural forests:</p> <p>“3.2 MU shall define, in conformity with the applicable regulations, the felling rotation and minimum diameter of harvested trees.</p> <p>3.3 All appropriate silvicultural treatments are applied at the level of the individual tree rather than at the forest stand level to ensure maintenance of a continuous canopy; to ensure diversity of horizontal vertical structure and diversity of tree species. (...)</p> <p>3.4 MU shall maintain natural regeneration capacity and processes of harvested areas with non-disrupted phenology and dispersal mechanisms of flora species; sufficient number of seedproducing species; sufficient population of pollen producers and dispersers; sufficient number of seedlings of all harvested species under the canopy, in natural and artificial openings; regeneration of secondary vegetation on disused paths and tracks.</p> <p>3.5 MU may utilise artificial reforestation with indigenous species of local provenances for</p>



Question	YES / NO	Reference to scheme documentation
		<p>enrichment purposes; rehabilitation of degraded forests; rehabilitation of disused paths and trails. (...)</p> <p>3.8 MU shall apply Reduced Impact Logging (RIL) in conformity with national guidelines ensuring:</p> <ul style="list-style-type: none"> a) Pre-harvesting planning and construction of roads, skid trails and landings to minimise soil disturbance and to protect streams and waterways with appropriate crossings; b) the use of appropriate felling and bucking techniques including directional felling (...) c) Temporary roads and skid trails shall be rehabilitated after harvesting operations. d) Harvesting/skidding/hauling shall not create significant damages to the roads, trails and remaining stands ensuring that skidding machines remain on the trails or by using yarding systems. <p>3.9 MU shall carry out and report postharvest evaluation of forest resources; and compliance of performed activities with RIL guidelines, documented procedures, legal requirements and this Standard.”</p> <p>IFCC ST 1001:2013, Chapter 4, Section III Specific requirements for management of plantation forest:</p> <p>“3.1 MU shall define arrangement of work area and identify, map, mark in the field and protect set-aside areas that:</p> <ul style="list-style-type: none"> c) Promote diversity of horizontal and vertical structure; ensure natural processes and ecological connectivity; provide sufficient quantity and distribution of naturally occurring indigenous and rare species, and their successful natural regeneration; (...) d) Only allow artificial regeneration by planting or seedling of indigenous species and their local provenances suited to the local conditions for the purposes of enrichment of those areas and enhancement of their protective, ecological and social functions; <p>3.2 MU shall carry out regeneration in forest plantations in time and in way that does not reduce production capacity of the forests. The MU shall only use those introduced species, varieties and provenances whose impact on ecosystem and on its genetic integrity has been assessed and evaluated, and if negative impacts can be avoided or minimised.”</p>



Question	YES / NO	Reference to scheme documentation
<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>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“5.1 MU shall ensure that the rate of forest product harvesting shall not exceed the rate of sustainable production.</p> <p>5.2 MU shall monitor and record the growth of forest stands by periodic measurement of permanent sample plots (PSP) for each ecosystem type. This shall be used in the determination of the AAC that shall not exceed the growth rate (increment) of the forest.</p> <p>5.3 The forest product harvesting shall not exceed the increment and shall be corresponding with the determined AAC. The MU shall identify the desirable growing stock of commercial timber that is economically, ecologically and socially desirable, and ensure that the determined AAC and other management activities reach and maintain the desirable growing stock.</p> <p>5.4 MU shall identify and inventory the non-timber forest products with a risk of over-exploitation or with negative impacts of their exploitation on forest resources. For those products, the MU shall (...) ensure that (...) activities will not exceed the rate of exploitation that can be sustained long-term and that will not cause negative impacts on forest resources. (...) Where the MU is permitted to utilize non timber forest products, it shall ensure that their harvest is balanced with the growth, does not exceed rate that can be sustained long-term and does not have negative impacts on forest resources.</p> <p>6.5 MU shall carry out monitoring of the negative impacts of forest management activities, including soil’s physical and chemical qualities, compaction by forest machinery, subsidence, sedimentation, river discharge and decline in a water quality. MU shall implement measures to prevent soil and water damages and rehabilitate damaged areas through a soil and land conservation technique or planting of open/easily eroded land.”</p> <p>IFCC ST 1001:2013, Chapter 4, Section II Specific requirements for management of natural forests:</p> <p>“3.8 MU shall apply Reduced Impact Logging (RIL) (...) ensuring:</p> <p>b) the use of appropriate (...) bucking techniques including (...) cutting stumps low to the ground to avoid waste, and the optimal crosscutting of tree stems into logs in a way that maximises the recovery of useful wood;”</p>



Question	YES / NO	Reference to scheme documentation
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.	YES	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“5.4 MU shall identify and inventory the non-timber forest products with a risk of over-exploitation or with negative impacts of their exploitation on forest resources. For those products, the MU shall in participatory manner establish, monitor and enforce an agreement with the local communities, indigenous peoples and other parties that are allowed to exploit the non-timber forest products. The agreement shall ensure that their activities will not exceed the rate of exploitation that can be sustained long-term and that will not cause negative impacts on forest resources. MU shall avoid or minimise negative impacts of its activities on non-timber forest products to ensure diversification of outputs, goods and services for local communities. Where the MU is permitted to utilize non timber forest products, it shall ensure that their harvest is balanced with the growth, does not exceed rate that can be sustained long-term and does not have negative impacts on forest resources.</p> <p>Note: Requirement 5.4 also applies to fishing and hunting activities.”</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.	YES	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“1.15 MU shall identify, plan and maintain an adequate infrastructure, such as mainroads, skidding roads, bridges, working camps, etc. to:</p> <p>a) ensure efficient delivery of goods and services;</p> <p>b) minimize the damage to ecosystems, species and their genetic resources, specifically rare, sensitive and threatened species, including areas or pathways of migration of certain species.</p> <p>c) minimize the exposure of soil, to ensure soil protection against erosion and sedimentation, to maintain a water level, and maintain the function of riverbeds, including maintenance of the related drainage.”</p>
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	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“1.14 MU shall develop an effective spatial plan for reaching the objective of the sustainable forest management. The plan of spatial working areas, shall: (...)</p> <p>c) define protected/conservation areas of environmentally important ecosystem and biotops;</p>

Question	YES / NO	Reference to scheme documentation
		<p>areas that are significant for water and soil protection; and areas with social significance;</p> <p>2.3 The management plan shall include at least the following data and information: (...)</p> <p>h) A plan of management and monitoring activities, such as:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Activities to maintain and protect biodiversity, that include: <ul style="list-style-type: none"> - Inventory of flora and fauna, including their mapping; - Identification of forest areas with important ecological values: rare ecosystems; sensitive, specific; endemic, rare and threatened species, and their habitats. <p>Criterion 7: Biodiversity management</p> <p>7.2 MU shall maintain and repair the habitat of protected flora and fauna; endemic, rare and threatened/endangered species; and features of special biological interests such as seed trees, old dead hollow trees, nesting and feeding areas within the MU.</p> <p>7.3 MU shall identify key protected and endangered fauna species; their habitats and migration patterns, including landscape consideration; and apply appropriate management measures to minimise the pressure of forest operations on those species as well as to minimise potential negative impacts of those species on local communities.</p> <p>7.4 MU shall carry out the Environmental Impact Assessment of the potential impacts on protected flora and fauna; endemic, rare and threatened/endangered species, appropriate to the scale and intensity of the forest management; and shall incorporate measures to mitigate those impacts and disruptions. The protected flora and fauna, endemic, rare and threatened/endangered species shall not be exploited for commercial purposes unless permitted by the relevant authorities.</p> <p>7.5 MU shall identify through an inventory and mapping:</p> <ul style="list-style-type: none"> a) protected, rare, threatened endangered, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes. b) endangered or protected genetic <i>in situ</i> resources of indigenous species and provenances. c) areas that are a part of globally, regionally and nationally significant large landscape areas with natural distribution and abundance of naturally occurring species. Note: HCVFs is the appropriate and recommended concept in identifying areas above with special biodiversity

Question	YES / NO	Reference to scheme documentation
		<p>values.</p> <p>7.6 MU shall map and protect representative samples of existing natural ecosystems within the landscape in their natural state appropriate to the uniqueness of the affected resources and the scale and intensity of operations.</p> <p>IFCC ST 1001:2013, Chapter 4, Section II Specific requirements for management of natural forests: 3.7 (...); areas with specific biodiversity functions and (...) identified according to this Standard shall either be set aside from harvesting operations or MU shall apply with special care, silvicultural and harvesting techniques that minimise negative impacts on the protected values and functions of those areas. Note: The identification of the areas is defined in clauses 6.3, 6.4, 7.5, 7.6 and 10.5 of Section I of this standard.</p> <p>IFCC ST 1001:2013, Chapter 4, Section III Specific requirements for management of plantation forest:</p> <p>“3.1 MU shall define arrangement of work area and identify, map, mark in the field and protect set-aside areas that:</p> <ul style="list-style-type: none"> a) are primarily established for the purposes of conservation, biodiversity protection, protection and endangered and protected species; b) Include (...); areas with specific biodiversity functions (...) identified according to this standard; c) Promote diversity of horizontal and vertical structure; ensure natural processes and ecological connectivity; provide sufficient quantity and distribution of naturally occurring indigenous and rare species, and their successful natural regeneration; standing and fallen deadwood; hollow trees, etc.; d) Only allow artificial regeneration by planting or seedling of indigenous species and their local provenances suited to the local conditions for the purposes of enrichment of those areas and enhancement of their protective, ecological and social functions; f) Allow for utilisation of traditional management systems to improve the respective environmental, social and economic benefits of forests.”
5.4.2 Forest management planning, inventory	YES	IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:



Question	YES / NO	Reference to scheme documentation
<p>and mapping of forest resources shall identify, protect and/or conserve ecologically important forest areas containing significant concentrations of:</p> <ul style="list-style-type: none"> 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; <p>and taking into account</p> <ul style="list-style-type: none"> d) globally, regionally and nationally significant large landscape areas with natural distribution and abundance of naturally occurring species. 		<p>“7.1 MU shall identify through an inventory and mapping the distribution of protected flora and fauna, endemic, rare and threatened/endangered species and their habitats throughout the area of the MU in accordance with the applicable regulations/ conventions.</p> <p>7.2 MU shall maintain and repair the habitat of protected flora and fauna; endemic, rare and threatened/endangered species; and features of special biological interests such as seed trees, old dead hollow trees, nesting and feeding areas within the MU.</p> <p>7.3 MU shall identify key protected and endangered fauna species; their habitats and migration patterns, including landscape consideration; and apply appropriate management measures to minimise the pressure of forest operations on those species as well as to minimise potential negative impacts of those species on local communities.</p> <p>7.5 MU shall identify through an inventory and mapping:</p> <ul style="list-style-type: none"> a) protected, rare, threatened endangered, sensitive or representative forest ecosystems such as riparian areas and wetland biotopes. b) endangered or protected genetic <i>in situ</i> resources of indigenous species and provenances. c) areas that are a part of globally, regionally and nationally significant large landscape areas with natural distribution and abundance of naturally occurring species. Note: HCVPs is the appropriate and recommended concept in identifying areas above with special biodiversity values. <p>7.6 MU shall map and protect representative samples of existing natural ecosystems within the landscape in their natural state appropriate to the uniqueness of the affected resources and the scale and intensity of operations.</p> <p>IFCC ST 1001:2013, Chapter 4, Section II Specific requirements for management of natural forests:</p> <p>“3.7 Areas with water and soil protection functions; areas with specific biodiversity functions and areas with special function for local communities identified according to this Standard shall either be set aside from harvesting operations or MU shall apply with special care, silvicultural and harvesting techniques that minimise negative impacts on the protected values and functions of those areas. Note: The identification of the areas is defined in clauses 6.3, 6.4, 7.5, 7.6 and 10.5 of Section I of this standard.”</p>



Question	YES / NO	Reference to scheme documentation
		<p>IFCC ST 1001:2013, Chapter 4, Section III Specific requirements for management of plantation forest:</p> <p>“3.1 MU shall define arrangement of work area and identify, map, mark in the field and protect set-aside areas that:</p> <p>a) are primarily established for the purposes of conservation, biodiversity protection, protection and endangered and protected species;</p> <p>b) Include areas with water and soil protection functions; areas with specific biodiversity functions and areas with special function for local communities identified according to this standard;</p> <p>Note: The identification of the areas is defined in clauses 6.3, 6.4, 7.5, 7.6 and 10.5 of Section I of this standard”</p>
<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>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“7.1 MU shall identify through an inventory and mapping the distribution of protected flora and fauna, endemic, rare and threatened/endangered species and their habitats throughout the area of the MU in accordance with the applicable regulations/ conventions.</p> <p>7.2 MU shall maintain and repair the habitat of protected flora and fauna; endemic, rare and threatened/endangered species; and features of special biological interests such as seed trees, old dead hollow trees, nesting and feeding areas within the MU.</p> <p>7.3 MU shall identify key protected and endangered fauna species; their habitats and migration patterns, including landscape consideration; and apply appropriate management measures to minimise the pressure of forest operations on those species as well as to minimise potential negative impacts of those species on local communities.</p> <p>7.4 MU shall carry out the Environmental Impact Assessment of the potential impacts on protected flora and fauna; endemic, rare and threatened/endangered species, appropriate to the scale and intensity of the forest management; and shall incorporate measures to mitigate those impacts and disruptions. The protected and endangered flora and fauna species shall not be exploited for commercial purposes.”</p>
<p>5.4.4 Forest management shall ensure</p>	<p>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section II Specific requirements for management of natural</p>



Question	YES / NO	Reference to scheme documentation
<p>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>forests:</p> <p>“3.4 MU shall maintain natural regeneration capacity and processes of harvested areas with non-disrupted phenology and dispersal mechanisms of flora species; sufficient number of seedproducing species; sufficient population of pollen producers and dispersers; sufficient number of seedlings of all harvested species under the canopy, in natural and artificial openings; regeneration of secondary vegetation on disused paths and tracks.</p> <p>3.5 MU may utilise artificial reforestation with indigenous species of local provenances for enrichment purposes; rehabilitation of degraded forests; rehabilitation of disused paths and trails. MU shall not utilise introduced species.”</p> <p>IFCC ST 1001:2013, Chapter 4, Section III Specific requirements for management of plantation forest:</p> <p>“3.1 MU shall define arrangement of work area and identify, map, mark in the field and protect set-aside areas that:</p> <p>c) Promote diversity of horizontal and vertical structure; ensure natural processes and ecological connectivity; provide sufficient quantity and distribution of naturally occurring indigenous and rare species, and their successful natural regeneration; standing and fallen deadwood; hollow trees, etc.;</p> <p>d) Only allow artificial regeneration by planting or seedling of indigenous species and their local provenances suited to the local conditions for the purposes of enrichment of those areas and enhancement of their protective, ecological and social functions;</p> <p>3.2 MU shall carry out regeneration in forest plantations in time and in way that does not reduce production capacity of the forests. The MU shall only use those introduced species, varieties and provenances whose impact on ecosystem and on its genetic integrity has been assessed and evaluated, and if negative impacts can be avoided or minimised.”</p>
<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</p>	<p>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section II Specific requirements for management of natural forests:</p> <p>“3.5 MU may utilise artificial reforestation with indigenous species of local provenances for enrichment purposes; rehabilitation of degraded forests; rehabilitation of disused paths and</p>



Question	YES / NO	Reference to scheme documentation
<p>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>trails. MU shall not utilise introduced species.”</p> <p>IFCC ST 1001:2013, Chapter 4, Section III Specific requirements for management of plantation forest:</p> <p>“3.1 MU shall define arrangement of work area and identify, map, mark in the field and protect set-aside areas that: (...)</p> <p>d) Only allow artificial regeneration by planting or seedling of indigenous species and their local provenances suited to the local conditions for the purposes of enrichment of those areas and enhancement of their protective, ecological and social functions;</p> <p>3.2 MU shall carry out regeneration in forest plantations in time and in way that does not reduce production capacity of the forests. The MU shall only use those introduced species, varieties and provenances whose impact on ecosystem and on its genetic integrity has been assessed and evaluated, and if negative impacts can be avoided or minimised.”</p>
<p>5.4.6 Afforestation and reforestation activities that contribute to the improvement and restoration of ecological connectivity shall be promoted.</p>	<p>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section II Specific requirements for management of natural forests:</p> <p>“3.5 MU may utilise artificial reforestation with indigenous species of local provenances for enrichment purposes; rehabilitation of degraded forests; rehabilitation of disused paths and trails. MU shall not utilise introduced species.”</p> <p>IFCC ST 1001:2013, Chapter 4, Section III Specific requirements for management of plantation forest:</p> <p>“3.1 MU shall define arrangement of work area and identify, map, mark in the field and protect set-aside areas that:</p> <p>c) Promote diversity of horizontal and vertical structure; ensure natural processes and ecological connectivity; provide sufficient quantity and distribution of naturally occurring indigenous and rare species, and their successful natural regeneration; standing and fallen deadwood; hollow trees, etc.;</p> <p>d) Only allow artificial regeneration by planting or seedling of indigenous species and their local provenances suited to the local conditions for the purposes of enrichment of those areas and enhancement of their protective, ecological and social functions;”</p>



Question	YES / NO	Reference to scheme documentation
		<p>Additional clarification provided by IFCC:</p> <p>“By principle, management activities are excluded from the set-aside areas; afforestation and reforestation activities are restricted. The areas are left to the natural processes, including natural regeneration. Therefore, the standard promotes natural regeneration and (...) only allows artificial regeneration for the purposes of enhancement of their protective, ecological and social functions.”</p>
5.4.7 Genetically-modified trees shall not be used.	YES	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“7.7 MU shall not utilise genetically modified trees.”</p>
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	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“2.2 MU shall prepare and implement a management plan and other documents appropriate to the scale and utilization of forest areas</p> <p>7.5 MU shall identify through an inventory and mapping:</p> <p>c) areas that are a part of globally, regionally and nationally significant large landscape areas with natural distribution and abundance of naturally occurring species.</p> <p>7.6 MU shall map and protect representative samples of existing natural ecosystems within the landscape in their natural state appropriate to the uniqueness of the affected resources and the scale and intensity of operations.”</p> <p>IFCC ST 1001:2013, Chapter 4, Section II Specific requirements for management of natural forests:</p> <p>“3.3 All appropriate silvicultural treatments are applied at the level of the individual tree rather than at the forest stand level to ensure maintenance of a continuous canopy; to ensure diversity of horizontal vertical structure and diversity of tree species. MU shall consider and, where appropriate, support the implementation of traditional management systems.</p> <p>3.4 MU shall maintain natural regeneration capacity and processes of harvested areas with non-disrupted phenology and dispersal mechanisms of flora species; sufficient number of seedproducing species; sufficient population of pollen producers and dispersers; sufficient number of seedlings of all harvested species under the canopy, in natural and artificial openings; regeneration of secondary vegetation on disused paths and tracks.”</p>



Question	YES / NO	Reference to scheme documentation
		<p>IFCC ST 1001:2013, Chapter 4, Section III Specific requirements for management of plantation forest:</p> <p>“3.1 MU shall define arrangement of work area and identify, map, mark in the field and protect set-aside areas that:</p> <p>a) are primarily established for the purposes of conservation, biodiversity protection, protection and endangered and protected species;</p> <p>b) Include areas with water and soil protection functions; areas with specific biodiversity functions and areas with special function for local communities identified according to this standard;</p> <p>c) Promote diversity of horizontal and vertical structure; ensure natural processes and ecological connectivity; provide sufficient quantity and distribution of naturally occurring indigenous and rare species, and their successful natural regeneration; standing and fallen deadwood; hollow trees, etc.;”</p>
<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>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section II Specific requirements for management of natural forests:</p> <p>“3.3 All appropriate silvicultural treatments are applied at the level of the individual tree rather than at the forest stand level to ensure maintenance of a continuous canopy; to ensure diversity of horizontal vertical structure and diversity of tree species. MU shall consider and, where appropriate, support the implementation of traditional management systems.”</p> <p>IFCC ST 1001:2013, Chapter 4, Section III Specific requirements for management of plantation forest:</p> <p>“3.1 MU shall define arrangement of work area and identify, map, mark in the field and protect set-aside areas that:</p> <p>f) Allow for utilisation of traditional management systems to improve the respective environmental, social and economic benefits of forests.”</p> <p><i>In the Indonesian context traditional management systems (such as slash and burn) can also have a negative impact on the forest ecosystem. Such traditional are therefore preferably not</i></p>



Question	YES / NO	Reference to scheme documentation
		<i>supported. If traditional systems are applied, these are implemented by indigenous people and/or local communities, not by the forestry company, “economically feasible” does therefore not apply in this context.</i>
<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>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“Criterion 6: Management of ecosystem and hydrological functions</p> <p>6.2 MU shall establish and implement documented procedures for Reduced Impact Logging (RIL) to minimise negative impacts of forest harvesting, transportation and infrastructure development on the environment, soil, water, forest regeneration and residual forest stands. The RIL’s documented procedures shall be based on national guidelines for RIL and shall consider the type of ecosystem and its hydrological systems and the results of the Environmental Impact Assessment.</p> <p>7.4 MU shall carry out the Environmental Impact Assessment of the potential impacts on protected flora and fauna; endemic, rare and threatened/endangered species, appropriate to the scale and intensity of the forest management; and shall incorporate measures to mitigate those impacts and disruptions. The protected flora and fauna, endemic, rare and threatened/ endangered species shall not be exploited for commercial purposes unless permitted by the relevant authorities.”</p> <p>IFCC ST 1001:2013, Chapter 4, Section II Specific requirements for management of natural forests:</p> <p>“3.7 Areas with water and soil protection functions; areas with specific biodiversity functions and areas with special function for local communities identified according to this Standard shall either be set aside from harvesting operations or MU shall apply with special care, silvicultural and harvesting techniques that minimise negative impacts on the protected values and functions of those areas. Note: The identification of the areas is defined in clauses 6.3, 6.4, 7.5, 7.6 and 10.5 of Section I of this standard.</p> <p>3.8 MU shall apply Reduced Impact Logging (RIL) in conformity with national guidelines ensuring:</p> <p>a) Pre-harvesting planning and construction of roads, skid trails and landings to minimise soil</p>

Question	YES / NO	Reference to scheme documentation
		<p>disturbance and to protect streams and waterways with appropriate crossings;</p> <p>b) the use of appropriate felling and bucking techniques including directional felling, cutting stumps low to the ground to avoid waste, and the optimal crosscutting of tree stems into logs in a way that maximises the recovery of useful wood;</p> <p>c) Temporary roads and skid trails shall be rehabilitated after harvesting operations.</p> <p>d) Harvesting/skidding/hauling shall not create significant damages to the roads, trails and remaining stands ensuring that skidding machines remain on the trails or by using yarding systems.”</p> <p>IFCC ST 1001:2013, Chapter 4, Section III Specific requirements for management of plantation forest:</p> <p>“3.1 MU shall define arrangement of work area and identify, map, mark in the field and protect set-aside areas that:</p> <p>a) are primarily established for the purposes of conservation, biodiversity protection, protection and endangered and protected species;</p> <p>b) Include areas with water and soil protection functions; areas with specific biodiversity functions and areas with special function for local communities identified according to this standard;</p> <p>c) Promote diversity of horizontal and vertical structure; ensure natural processes and ecological connectivity; provide sufficient quantity and distribution of naturally occurring indigenous and rare species, and their successful natural regeneration; standing and fallen deadwood; hollow trees, etc.;</p> <p>d) Only allow artificial regeneration by planting or seedling of indigenous species and their local provenances suited to the local conditions for the purposes of enrichment of those areas and enhancement of their protective, ecological and social functions;</p> <p>f) Allow for utilisation of traditional management systems to improve the respective environmental, social and economic benefits of forests.”</p>
5.4.11 Infrastructure shall be planned and constructed in a way that minimises damage to	YES	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“1.15 MU shall identify, plan and maintain an adequate infrastructure, such as</p>



Question	YES / NO	Reference to scheme documentation
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.		mainroads,skidding roads, bridges, working camps, etc. to: (...) b) minimize the damage to ecosystems, species and their genetic resources, specifically rare, sensitive and threatened species, including areas or pathways of migration of certain species.”
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	IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests: “8.1 MU shall identify and monitor disturbances, taking into account naturally occurring disturbances that represent a threat for the health and vitality of forest resources, such as forest fires, illegal logging, illegal grazing, forest encroachment, hunting, pests and diseases and weeds. MU shall establish documented procedures, infrastructure and human resources for pre-emptive, preventive and repressive measures protecting forests against the disturbances. 8.5 MU shall implement measures, in participatory manner and based on agreement with local communities, to minimise negative impacts of domestic animal populations and grazing on forest regeneration; growth and biodiversity.”
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	IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests: “8.1 MU shall identify and monitor disturbances, taking into account naturally occurring disturbances that represent a threat for the health and vitality of forest resources, such as forest fires, illegal logging, illegal grazing, forest encroachment, hunting, pests and diseases and weeds. MU shall establish documented procedures, infrastructure and human resources for pre-emptive, preventive and repressive measures protecting forests against the disturbances.” IFCC ST 1001:2013, Chapter 4, Section II Specific requirements for management of natural forests: “3.6 MU shall identify multi-purpose tree species; hollow trees, and special rare trees; and shall ensure that harvesting operations do not have negative impacts on them or on other forms of their utilisation.” IFCC ST 1001:2013, Chapter 4, Section III Specific requirements for management of plantation forest: “3.1 MU shall define arrangement of work area and identify, map, mark in the field and protect



Question	YES / NO	Reference to scheme documentation
		set-aside areas that: c) Promote diversity of horizontal and vertical structure; ensure natural processes and ecological connectivity; provide sufficient quantity and distribution of naturally occurring indigenous and rare species, and their successful natural regeneration; standing and fallen deadwood; hollow trees, etc.;"
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	IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests: 1.14 MU shall develop an effective spatial plan for reaching the objective of the sustainable forest management. The plan of spatial working areas, shall: c) define protected/conservation areas of environmentally important ecosystem and biotops; areas that are significant for water and soil protection; and areas with social significance; 2.3 The management plan shall include at least the following data and information: (...) <ul style="list-style-type: none"> <li data-bbox="887 767 2045 799">h) A plan of management and monitoring activities, such as: (...) <li data-bbox="887 810 2045 879"><input type="checkbox"/> Activities to identify, map, and protect areas with the specific water and soil protection functions. <li data-bbox="887 890 2045 959"><input type="checkbox"/> Activities to protect forest functions relating to the customary rights and socio-economic development of the communities; <li data-bbox="887 970 2045 1038"><input type="checkbox"/> Activities to protect forest functions relating to the production of goods and services (timber, non-timber, and environmental services); Note:. Where the forest management includes commercial exploitation of nontimber forest products (at the level that can impact the sustainability of non-timber forest products in the long term), this also includes identification of the annual exploitation of non-timber forest products. <ul style="list-style-type: none"> <li data-bbox="887 1177 2045 1246"><input type="checkbox"/> Activities to maintain and improve the quality of forest ecosystem and to improve degraded forest ecosystem. <li data-bbox="887 1257 2045 1358"><input type="checkbox"/> Activities to minimize negative impacts of opening of the forest area, development of an infrastructure, road's access, and harvesting activities in order to maintain the soil and water protection functions, as well as social functions.



Question	YES / NO	Reference to scheme documentation
		<p>l) Development and maintenance of an infrastructure, such as roads, camps, bridges etc.</p> <p>6.3 MU shall identify areas with soil protection function and implement measures to protect those areas from soil damages(erosion, landslide, etc.) caused by forestry operations.</p> <p>6.4 MU shall identify areas with water protection functions, e.g. buffer zones around rivers streams and lakes; wetland areas; resources of drinking water; seaside forests, etc. and implement measures to protect those areas from forestry operations.”</p>
<p>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>	<p>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>1.14 MU shall develop an effective spatial plan for reaching the objective of the sustainable forest management. The plan of spatial working areas, shall:</p> <p>c) define protected/conservation areas of environmentally important ecosystem and biotops; areas that are significant for water and soil protection; and areas with social significance;</p> <p>2.3 The management plan shall include at least the following data and information: (...)</p> <p>h) A plan of management and monitoring activities, such as:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Activities to identify, map, and protect areas with the specific water and soil protection functions. <input type="checkbox"/> Activities to protect forest functions relating to the customary rights and socio-economic development of the communities; <input type="checkbox"/> Activities to protect forest functions relating to the production of goods and services (timber, non-timber, and environmental services); <input type="checkbox"/> Activities to minimize negative impacts of opening of the forest area, development of an infrastructure, road's access, and harvesting activities in order to maintain the soil and water protection functions, as well as social functions. <p>l) Development and maintenance of an infrastructure, such as roads, camps, bridges etc.</p> <p>6.1 MU shall identify critical forest management activities and carry out an Environmental Impact Assessment analysing potential impacts of those activities on environment, in particular its biodiversity; protected and endangered species, soil and water protection functions; and health and vitality of forest resources.</p>

Question	YES / NO	Reference to scheme documentation
		<p>6.3 MU shall identify areas with soil protection function and implement measures to protect those areas from soil damages(erosion, landslide, etc.) caused by forestry operations.</p> <p>6.4 MU shall identify areas with water protection functions, e.g. buffer zones around rivers streams and lakes; wetland areas; resources of drinking water; seaside forests, etc. and implement measures to protect those areas from forestry operations.”</p>
<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>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“6.2 MU shall establish and implement documented procedures for Reduced Impact Logging (RIL) to minimise negative impacts of forest harvesting, transportation and infrastructure development on the environment, soil, water, forest regeneration and residual forest stands. The RIL’s documented procedures shall be based on national guidelines for RIL and shall consider the type of ecosystem and its hydrological systems and the results of the Environmental Impact Assessment.</p> <p>6.3 MU shall identify areas with soil protection function and implement measures to protect those areas from soil damages (erosion, landslide, etc.) caused by forestry operations.</p> <p>6.5 MU shall carry out monitoring of the negative impacts of forest management activities, including soil’s physical and chemical qualities, compaction by forest machinery, subsidence, sedimentation, river discharge and decline in a water quality. MU shall implement measures to prevent soil and water damages and rehabilitate damaged areas through a soil and land conservation technique or planting of open/easily eroded land.</p> <p>8.1 MU shall identify and monitor disturbances, taking into account naturally occurring disturbances that represent a threat for the health and vitality of forest resources, such as forest fires, illegal logging, illegal grazing, forest encroachment, hunting, pests and diseases and weeds. MU shall establish documented procedures, infrastructure and human resources for pre-emptive, preventive and repressive measures protecting forests against the disturbances.</p> <p>8.5 MU shall implement measures, in participatory manner and based on agreement with local communities, to minimise negative impacts of domestic animal populations and grazing on forest regeneration; growth and biodiversity.”</p> <p>IFCC ST 1001:2013, Chapter 4, Section II Specific requirements for management of natural</p>



Question	YES / NO	Reference to scheme documentation
		<p>forests:</p> <p>“3.7 Areas with water and soil protection functions; areas with specific biodiversity functions and areas with special function for local communities identified according to this Standard shall either be set aside from harvesting operations or MU shall apply with special care, silvicultural and harvesting techniques that minimise negative impacts on the protected values and functions of those areas.“</p> <p>IFCC ST 1001:2013, Chapter 4, Section III Specific requirements for management of plantation forest:</p> <p>”3.1 MU shall define arrangement of work area and identify, map, mark in the field and protect set-aside areas that: b) Include areas with water and soil protection functions; areas with specific biodiversity functions and areas with special function for local communities identified according to this standard;”</p>
<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>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“Criterion 6: Management of ecosystem and hydrological functions 6.2 MU shall establish and implement documented procedures for Reduced Impact Logging (RIL) to minimise negative impacts of forest harvesting, transportation and infrastructure development on the environment, soil, water, forest regeneration and residual forest stands. The RIL’s documented procedures shall be based on national guidelines for RIL and shall consider the type of ecosystem and its hydrological systems and the results of the Environmental Impact Assessment.</p> <p>6.4 MU shall identify areas with water protection functions, e.g. buffer zones around rivers streams and lakes; wetland areas; resources of drinking water; seaside forests, etc. and implement measures to protect those areas from forestry operations</p> <p>6.5 MU shall carry out monitoring of the negative impacts of forest management activities, including soil’s physical and chemical qualities, compaction by forest machinery, subsidence, sedimentation, river discharge and decline in a water quality. MU shall implement measures to prevent soil and water damages and rehabilitate damaged areas through a soil and land conservation technique or planting of open/easily eroded land.</p> <p>“6.6 MU shall develop and implement documented procedures for controlled use of B3 (Hazardous materials and Toxic), including its storage, handling, transport, use and disposal by</p>



Question	YES / NO	Reference to scheme documentation
		<p>competent personnel. MU shall avoid spillage of oil and indiscriminate disposal of waste and shall ensure that chemicals, containers, liquid and solid nonorganic waste shall be disposed in an environmentally appropriate and legal manner at off-site locations.</p> <p>8.3 MU shall establish and implement documented procedures for the use of chemical pesticides that:</p> <ul style="list-style-type: none"> a) ensure compliance with legal requirements and pesticide producer’s instructions; b) specify procedures for their storage, handling, transport, use and disposal; c) specify proper techniques, equipment and facilities for their use; d) require appropriate personnel competences and training. <p>8.5 MU shall implement measures, in participatory manner and based on agreement with local communities, to minimise negative impacts of domestic animal populations and grazing on forest regeneration; growth and biodiversity.</p> <p>IFCC ST 1001:2013, Chapter 4, Section II Specific requirements for management of natural forests: 3.7 Areas with water and soil protection functions; areas with specific biodiversity functions and areas with special function for local communities identified according to this Standard shall either be set aside from harvesting operations or MU shall apply with special care, silvicultural and harvesting techniques that minimise negative impacts on the protected values and functions of those areas.</p> <p>IFCC ST 1001:2013, Chapter 4, Section III Specific requirements for management of plantation forest:</p> <p>“3.1 MU shall define arrangement of work area and identify, map, mark in the field and protect set-aside areas that: b) Include areas with water and soil protection functions; areas with specific biodiversity functions and areas with special function for local communities identified according to this standard;”</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	YES	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“1.15 MU shall identify, plan and maintain an adequate infrastructure, such as mainroads, skidding roads, bridges, working camps, etc. to:</p> <ul style="list-style-type: none"> a) ensure efficient delivery of goods and services;



Question	YES / NO	Reference to scheme documentation
preserves the natural level and function of water courses and river beds. Proper road drainage facilities shall be installed and maintained.		b) minimize the damage to ecosystems, species and their genetic resources, specifically rare, sensitive and threatened species, including areas or pathways of migration of certain species. c) minimize the exposure of soil, to ensure soil protection against erosion and sedimentation, to maintain a water level, and maintain the function of riverbeds, including maintenance of the related drainage.”
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	IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests: “10.1 MU shall carry out a social impact assessment of its forest management activities on indigenous people and/or local communities, prior their implementation. Results of the social impact assessment shall be integrated into the management plan in order to minimise the negative impacts and optimise the positive impacts of the forest operations on indigenous people and/or local communities. 10.2 MU shall ensure that forest management does not cause or raise either directly or indirectly negative impacts on indigenous and/or local communities. MU shall takes measures to minimise any negative impact. 10.3 MU shall provide indigenous and/or local communities with a preferential opportunity for employment, according to appropriate competencies needed by the MU. 10.4 MU shall provide adequate support to indigenous and/or local communities in the capacity building; economic development; local infrastructure and facilities; a long-term health improvement; and enhancement of indigenous and/or local communities wellbeing that is appropriate to the scale and intensity of the forest management operations. Note: A variety of programs can be used to enhance well-being of local and/or indigenous communities such as refresh training for existing skill, training for new skills, forest village community development, social development, inclusion of local and or indigeneous communities as a part of supply chain, contractors, vendors, etc.”
5.6.2 Forest management shall promote the long-term health and well-being of communities within or adjacent to the forest management	YES	IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests: “10.3 MU shall provide indigenous and/or local communities with a preferential opportunity for employment, according to appropriate competencies needed by the MU.



Question	YES / NO	Reference to scheme documentation
area.		<p>10.4 MU shall provide adequate support to indigenous and/or local communities in the capacity building; economic development; local infrastructure and facilities; a long-term health improvement; and enhancement of indigenous and/or local communities wellbeing that is appropriate to the scale and intensity of the forest management operations.</p> <p>Note: A variety of programs can be used to enhance well-being of local and/or indigenous communities such as refresh training for existing skill, training for new skills, forest village community development, social development, inclusion of local and or indigeneous communities as a part of supply chain, contractors, vendors, etc.”</p>
<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>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“9.1 MU shall identify, honor, recognize, and respect tenure system and legal rights of communities to own, control and utilize the land and forest resources. The community may do traditional forest management practices. Those rights and practices shall be integrated into the management plan and respected in forest management operations to minimise negative impacts on those rights and practices. The tenure system and legal rights shall be identified in compliance with the national legislation and in participatory manner.</p> <p>9.2 MU shall identify, honor, recognize, and respect customary rights of the indigenous peoples in compliance with the national legislation and taking into account ILO Convention 169 and United Nations Declaration on the Rights of Indigenous Peoples, 2007. MU shall ensure that those rights are not infringed upon without the free, prior and informed consent of the holders of the rights, including the provision of compensation where applicable. MU shall ensure that forest management does not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples and implements measures to minimise any negative impact.</p> <p>9.3 MU shall establish an agreement with the indigenous and/or local communities to manage the forest area with customary and/or legal rights of the communities identified according to 9.1 and 9.2. The agreement is made in a participatory and equitable manner; and with consideration of the rights and obligations of stakeholders, including fair and equitable distribution of incentives, cost and benefits. Where the agreement is not established within a reasonable time period, MU shall provide the indigenous people with meaningful opportunities to be engaged in forest management decisions whilst respecting the processes, roles and responsibilities laid out</p>



Question	YES / NO	Reference to scheme documentation
		<p>in the legislation and regulations.</p> <p>9.4 MU shall provide access to the indigenous people and local communities in utilizing forest resources that provide significant economical, ecological, cultural (including religious) functions for the community. MU shall identify, in cooperation with local communities and indigenous people, recognise and protect those sites of special cultural, ecological, economic or religious significance to the communities.”</p>
<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 decisions whilst respecting the processes and roles and responsibilities laid out in the policies and laws where the certification takes place.</p>	<p>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“9.1 MU shall identify, honor, recognize, and respect tenure system and legal rights of communities to own, control and utilize the land and forest resources. The community may do traditional forest management practices. Those rights and practices shall be integrated into the management plan and respected in forest management operations to minimise negative impacts on those rights and practices. The tenure system and legal rights shall be identified in compliance with the national legislation and in participatory manner.</p> <p>9.2 MU shall identify, honor, recognize, and respect customary rights of the indigenous peoples in compliance with the national legislation and taking into account ILO Convention 169 and United Nations Declaration on the Rights of Indigenous Peoples, 2007. MU shall ensure that those rights are not infringed upon without the free, prior and informed consent of the holders of the rights, including the provision of compensation where applicable. MU shall ensure that forest management does not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples and implements measures to minimise any negative impact.</p> <p>9.3 MU shall establish an agreement with the indigenous and/or local communities to manage the forest area with customary and/or legal rights of the communities identified according to 9.1 and 9.2. The agreement is made in a participatory and equitable manner; and with consideration of the rights and obligations of stakeholders, including fair and equitable distribution of incentives, cost and benefits. Where the agreement is not established within a reasonable time period, MU shall provide the indigenous people with meaningful opportunities to be engaged in forest management decisions whilst respecting the processes, roles and responsibilities laid out in the legislation and regulations.</p> <p>9.4 MU shall provide access to the indigenous people and local communities in utilizing forest</p>



Question	YES / NO	Reference to scheme documentation
		<p>resources that provide significant economical, ecological, cultural (including religious) functions for the community. MU shall identify, in cooperation with local communities and indigenous people, recognise and protect those sites of special cultural, ecological, economic or religious significance to the communities.</p> <p>9.5 MU shall establish the conflict resolution mechanism relating to the customary rights of the indigenous communities and/or legal rights of the local communities, and the conflict resolution mechanism for cases relating to the forest management activities. The conflict resolution mechanisms shall be made in a participatory manner, mutually agreed and accepted by MU and the indigenous and/or local communities.”</p>
<p>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>	<p>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“10.5 MU shall identify the forest resources that have important value for recreation purposes and where it is appropriate to implement measures enhancing those recreational values (shelters, walking paths; etc.) as well as to protect the forest resources from negative impacts of the recreation.</p> <p>9.4 MU shall provide access to the indigenous people and local communities in utilizing forest resources that provide significant economical, ecological, cultural (including religious) functions for the community. MU shall identify, in cooperation with local communities and indigenous people, recognise and protect those sites of special cultural, ecological, economic or religious significance to the communities.</p> <p>8.7 MU may restrict public access to forests for the purposes of protection of ownership rights, facilities and infrastructure; health and safety protection; protection against illegal activities and forest encroachment; protection against fires; or for conservation purposes.”</p> <p>Additional clarification provided by IFCC:</p> <p>“It should be noted that illegal logging, illegal encroachment and other illegal activities represent in Indonesia serious threat to forest resources. This threat cannot be controlled and minimised without controlling peoples’ access to the forests.”</p>

Question	YES / NO	Reference to scheme documentation
<p>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.</p>	<p>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“9.1 MU shall identify, honor, recognize, and respect tenure system and legal rights of communities to own, control and utilize the land and forest resources. The community may do traditional forest management practices. Those rights and practices shall be integrated into the management plan and respected in forest management operations to minimise negative impacts on those rights and practices. The tenure system and legal rights shall be identified in compliance with the national legislation and in participatory manner.</p> <p>9.2 MU shall identify, honor, recognize, and respect customary rights of the indigenous peoples in compliance with the national legislation and taking into account ILO Convention 169 and United Nations Declaration on the Rights of Indigenous Peoples, 2007. MU shall ensure that those rights are not infringed upon without the free, prior and informed consent of the holders of the rights, including the provision of compensation where applicable. MU shall ensure that forest management does not threaten or diminish, either directly or indirectly, the resources or tenure rights of indigenous peoples and implements measures to minimise any negative impact.</p> <p>9.4 MU shall provide access to the indigenous people and local communities in utilizing forest resources that provide significant economical, ecological, cultural (including religious) functions for the community. MU shall identify, in cooperation with local communities and indigenous people, recognise and protect those sites of special cultural, ecological, economic or religious significance to the communities.”</p>
<p>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, 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>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“10.5 MU shall identify the forest resources that have important value for recreation purposes and where it is appropriate to implement measures enhancing those recreational values (shelters, walking paths; etc.) as well as to protect the forest resources from negative impacts of the recreation.”</p> <p>Additional clarification provided by IFCC:</p> <p>“The tropical natural forests are by principle highly diverse and “aesthetic” and as such do not need “aesthetic” improvements by human activities.</p> <p>[For plantations,] the aesthetic values are delivered by set-aside areas (not be planted stands,</p>

Question	YES / NO	Reference to scheme documentation
		<p>see also Appendix 1 to PEFC ST 1003) and those do not need any aesthetical improvements.</p> <p>The recreation in commercially managed forests (production forests) is not common or known in Indonesia; (...) the Standard (...) requires the company to identify forests that have important value for recreation purposes. Enhancement of recreational value of the forests is not in “improving the forests” but in improving its accessibility and recreational facilities.”</p>
<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>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“1.8 MU shall establish an organisation with an effective organisational structure, management system and competent human resources based on continuing training and instructions necessary to ensure sustainability of forest management and compliance with the requirements of this Standard. Note: Quality and or environmental management system, mentioned in ISO 9001:2008 and ISO 14001:2004 is an example of effective organizational system and management.</p> <p>1.10 MU shall maintain and develop workers’ competencies, through periodic training and/or other activities.</p> <p>1.13 MU shall ensure that all operators, including contracted operational workers, involved in the management of the forest areas, comply with all requirements of this Standard. The compliance of the MU requires relevant continuous training and instructions, as well as effective supervisions that shall be clearly regulated in the contract.”</p> <p>Additional clarification provided by IFCC:</p> <p>“The term “forest owner” is not applicable in the Indonesian conditions as the forest resources are owned by the government. The MU does not need to educate or train the government.“</p>
<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>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“10.6 MU shall establish an effective and on-going communication and consultation with indigenous and/or local communities and other affected stakeholders relating to the forest management operations and their impact on them. MU shall make the best use of local related knowledge and experience, such as those of local populations and/or indigenous people and other affected stakeholders.”</p>
<p>5.6.10 Forest management shall provide for</p>	<p>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p>



Question	YES / NO	Reference to scheme documentation
<p>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.</p>		<p>“10.6 MU shall establish an effective and on-going communication and consultation with indigenous and/or local communities and other affected stakeholders relating to the forest management operations and their impact on them.</p> <p>9.5 MU shall establish the conflict resolution mechanism relating to the customary rights of the indigenous communities and/or legal rights of the local communities, and the conflict resolution mechanism for cases relating to the forest management activities. The conflict resolution mechanisms shall be made in a participatory manner, mutually agreed and accepted by MU and the indigenous and/or local communities.”</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>	YES	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“12.1 MU shall have systems to detect and avoid/respond to potential threats to the health and safety of its workers. The MU shall maintain written records and analyze all accidents that occur in the workplace and in the MU-controlled facilities.</p> <p>12.2 MU shall provide a safe and healthy workplace environment and shall take effective steps to prevent potential accidents and injury to workers’ health by minimising the causes of hazards inherent in the workplace environment.</p> <p>12.3 MU shall provide to personnel effective health and safety instructions and trainings on a regular basis to its workers.</p> <p>12.7 MU shall monitor and evaluate the implementation and effectiveness of the OHS management system at least annually.”</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>	YES	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“12.2 MU shall provide a safe and healthy workplace environment and shall take effective steps to prevent potential accidents and injury to workers’ health by minimising the causes of hazards inherent in the workplace environment.</p> <p>12.3 MU shall provide to personnel effective health and safety instructions and trainings on a regular basis to its workers.</p> <p>12.4 MU shall provide at its expense appropriate personal protective equipment to its workers. In the event of a work related injury, MU shall provide first aid and assist the worker in obtaining follow-up medical treatment.</p>

Question	YES / NO	Reference to scheme documentation
		<p>12.5 MU shall provide, for use by all personnel, access to clean toilet facilities, access to potable water, and, where applicable, sanitary facilities for food storage.</p> <p>12.6 MU shall ensure that any dormitory facilities provided for personnel are clean, safe, and meet the basic needs of the personnel.”</p>
<p>5.6.13 Forest management shall comply with fundamental ILO conventions.</p>	<p>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“1.4 MU shall respect to all international agreements/conventions, such as CITES, ILO, ITTA and CBD that have been ratified by the Government of Indonesia. Note: A list of international conventions ratified by the Republic of Indonesia are listed in Annex 1 of this Standard</p> <p>11.1 MU shall implement the policies and procedures that guarantee the fulfillment of workers’ rights as defined by the applicable legislation and fundamental ILO conventions.</p> <p>Note: Fundamental ILO Conventions are Conventions No 29, 87, 98, 100, 105, 111, 138 and 182.”</p>
<p>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.</p>	<p>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“1.16 MU shall carry out research and development activities (R&D). Those activities shall consist of identification of research needs, development of a R&D program, and its implementation. MU shall adapt forest management based on the results of the R&D and the latest scientific knowledge, as appropriate. The activities of R&D can be carried out independently or in cooperation with other institutions.”</p>
<p>Criterion 7: Compliance with legal requirements</p>		
<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>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“Criterion 1 General and legal requirements</p> <p>1.1 MU shall have a legal status that shall be proven by showing legal documents, mentioning that MU is a business legal entity (SIUP – License of Trading Business) and has a long term business certainty. In addition, as a forestry business company, MU shall have the IUPHHK license issued by the Ministry of Forestry, including maps attached, showing the MU’s working area. In its operational activities, MU shall have RKU and RKT, legalized by the Ministry of</p>



Question	YES / NO	Reference to scheme documentation
		<p>Forestry and other Forestry Offices.</p> <p>1.2 MU shall comply with all legislation and regulations related to the practices of forest management; nature and environmental protection; threatened and protected species; customary rights related to the land ownership and utilization; as well as other issues related to the health and safety (K3).</p> <p>1.3 MU shall pay all financial obligations to government, such as fee, royalty, tax and others.</p> <p>1.4 MU shall respect to all international agreements/conventions, such as CITES, ILO, ITTA and CBD that have been ratified by the Government of Indonesia. Note: A list of international conventions ratified by the Republic of Indonesia are listed in Annex 1 of this Standard.</p> <p>1.5 MU shall comply with the requirements of SVLK*. Note: SVLK is a set of legal requirements composed by the Ministry of Forestry of the Republic of Indonesia for the purposes of the EU FLEGT VPA (Voluntary Partnership Agreement) . The regulation related to SVLK and can be found in Annex 2 to this Standard.”</p> <p>*) SVLK Sistem Verifikasi Legalitas Kayu = TLAS Timber Legality Assurance System</p> <p>11.1 MU shall implement the policies and procedures that guarantee the fulfillment of workers’ rights as defined by the applicable legislation and fundamental ILO conventions.”</p>
<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>YES</p>	<p>IFCC ST 1001:2013, Chapter 4, Section I Requirements for natural and plantation forests:</p> <p>“8.6 MU shall implement appropriate measures protecting the forests from illegal harvesting; settlement; hunting; encroachment and other unauthorised activities. The MU shall inform, in timely manner, the relevant law enforcement authority about the illegal or unauthorised activities.</p> <p>8.7 MU may restrict public access to forests for the purposes of protection of ownership rights, facilities and infrastructure; health and safety protection; protection against illegal activities and forest encroachment; protection against fires; or for conservation purposes.”</p>

Part IV: PEFC Standard and System Requirement Checklist for Certification And Accreditation Procedures

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).

2 Checklist

No.	Question	Reference to PEFC 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	<p>IFCC ST 1002:2013, Requirements For Bodies Providing Audit and Certification of Sustainable Forest Management, Introduction:</p> <p>“This IFCC standard specifies requirements for certification bodies. Observance of these requirements is intended to ensure that certification bodies operate forest management certification in a competent, consistent and impartial manner, (...).”</p> <p>2 Normative references</p> <p>“2.1 The following referenced documents are indispensable for the application of this document. (...)</p> <p>ISO/IEC 17021:2011, Conformity assessment -- Requirements for bodies providing audit and certification of management systems.</p> <p>ISO 19011:2011, Guidelines for auditing management systems”</p> <p>ISO 17021:2011: Scope</p> <p>“This International Standard contains principles and requirements for the competence, consistency and impartiality of the audit and certification of management systems of all types (e.g. quality</p>

No.	Question	Reference to PEFCC PROCEDUR ES	YES / NO	Reference to scheme documentation
				<p>management systems or environmental management systems) and for bodies providing these activities.</p> <p>5.2 Management of impartiality</p> <p>5.2.1 The certification body shall have top management commitment to impartiality in management system certification activities. The certification body shall have a publicly accessible statement that it understands the importance of impartiality in carrying out its management system certification activities, manages conflict of interest and ensures the objectivity of its management system certification activities.</p> <p>5.2.6 The certification body and any part of the same legal entity shall not offer or provide internal audits to its certified clients. The certification body shall not certify a management system on which it provided internal audits within two years following the end of the internal audits. This also applies to that part of government identified as the certification body.”</p> <p>IFCC PD 1004:2013 Notification of Certification Bodies: “IFCC certification shall be carried out by third party certification bodies, which are accredited by a national accreditation body which is a member of the International Accreditation Forum (IAF) in order to demonstrate their competence and independence.”</p> <p>IFCC PD 1001:2012: “IFCC is the standardising and governing body for the Indonesian Forest Certification Scheme and develops standards and requirements for forest certification in consensus based multi-stakeholder processes.”</p> <p>Additional clarification provided by IFCC:</p>



No.	Question	Reference to PEFCC PROCEDURES	YES / NO	Reference to scheme documentation
				<p>“The IFCC documentation quoted above provides evidence that the IFCC scheme has only one governing / decision-making body and this is IFCC. It is therefore evident that a certification body cannot be the “governing/decision making body in the scheme development/standard setting”.</p>
2.	<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>	Annex 6, 3.1	YES	<p>IFCC PD 1004:2013 Normative references: “ISO/IEC 17021:2011, Conformity assessment - Requirements for bodies providing audit and certification of management systems. 4.2.1 Forest management certification 4.2.1.1 An entity applying for the notification shall have valid accreditation, issued by the Accreditation Body (...). The accreditation shall be issued against ISO/IEC 17021:2011 and IFCC ST 1002:2013. 4.2.2 Chain of custody certification 4.2.2.1 An entity applying for the notification shall have valid accreditation issued by an accreditation body (...).The accreditation shall be issued against ISO/IEC Guide 65 and the scope of the accreditation shall explicitly include PEFC ST 2002.”</p>
3.	<p>Does the scheme documentation require that certification body chain of custody certification against PEFC ST 2002:2010 shall fulfil requirements defined in ISO Guide 65?</p>	Annex 6, 3.1	YES	<p>PEFC/IFCC ST 2003:2012, page 2: “This PEFC International standard has been adopted, without any modifications, by the General Assembly of the Indonesian Forest Certification Cooperation on October 30, 2013 as a part of the IFCC Scheme with reference number PEFC / IFCC 2003:2012.” <i>The ISO Guide 65 is part of the PEFC International Requirements for Certification Bodies operating Certification against the PEFC</i></p>



No.	Question	Reference to PEFC PROCEDURES	YES / NO	Reference to scheme documentation
				<i>International Chain of Custody Standard</i>
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	<p>IFCC ST 1002:2013 Requirements For Bodies Providing Audit and Certification of Sustainable Forest Management:</p> <p>“7.4 Auditors</p> <p>7.4.1.1 Education The auditors shall have a university level education in the field of forestry, environmental sciences or other disciplines relevant to sustainable forest management.</p> <p>7.4.2 Working experience The auditor shall have at least three (3) years full time working experience in forestry in Indonesia.</p> <p>7.4.3.1 The certification body shall ensure that the auditor, in the last two years, has participated in training on the IFCC scheme that is organised or recognised by the IFCC, and shall be confirmed as “passed” through a certificate of compliance issued by the IFCC.</p> <p>7.4.6 Technical competencies</p> <p>7.4.6.1 The certification body shall ensure that auditors included in the audit team demonstrate ability to apply knowledge and skills in the following areas:</p> <ul style="list-style-type: none"> a) Principles, structure and operation of the IFCC and PEFC schemes; b) Forest conditions, forestry sector organisation and forestry practices in the Indonesia;; c) Socio-demographics and cultural conditions relating to forest management in Indonesia; (...) e) Forest management practices involving inventories, planning, monitoring, forest protection measures, harvesting operations and utilisation of forest based products of natural and plantation forest;



No.	Question	Reference to PEFC PROCEDURES	YES / NO	Reference to scheme documentation
				<p>f) Environmental and conservation issues relating to forest management;</p> <p>g) Social issues relating to relationship of local communities and forest management operation.</p> <p>7.2 Personnel doing contract review 7.2.1 Personnel responsible for contract review shall have qualification and competencies equivalent to auditors defined in clause 7.4.</p> <p>7.3 Personnel granting the certification 7.3.1 Personnel responsible for granting the certification shall have qualification and competencies equivalent to auditors defined in clause 7.4. The certification body shall ensure that granting the certification shall be carried out at least by two persons.</p> <p>7.4.5 Audit team 7.4.5.1 The certification body shall ensure that the audit team assigned to conduct the audit shall consist of three (3) auditors as a minimum and ensure that all the required competence in auditing met by audit team. Technical experts may be required to support the required auditor competency in a particular technical area.”</p>
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	YES	<p>PEFC/IFCC ST 2003:2012:</p> <p>“This PEFC International standard has been adopted, without any modifications, by the General Assembly of the Indonesian Forest Certification Cooperation on October 30, 2013 as a part of the IFCC Scheme with reference number PEFC / IFCC 2003:2012.”</p> <p><i>This PEFC International Standard refers to Requirements for certification bodies operating certification against the PEFC</i></p>



No.	Question	Reference to PEFC PROCEDURES	YES / NO	Reference to scheme documentation
				<i>International Chain of Custody Standard.</i>
6.	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?	Annex 6, 3.1	YES	<p>IFCC ST 1002:2013 Requirements For Bodies Providing Audit and Certification of Sustainable Forest Management:</p> <p>“7.4.6 Technical competencies</p> <p>7.4.6.1 The certification body shall ensure that auditors included in the audit team demonstrate ability to apply knowledge and skills in the following areas:</p> <p>a) Principles, structure and operation of the IFCC and PEFC schemes;”</p>
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	<p>IFCC ST 1002:2013 Requirements For Bodies Providing Audit and Certification of Sustainable Forest Management:</p> <p>“7.4.5 Audit team</p> <p>7.4.5.1 The certification body shall ensure that the audit team assigned to conduct the audit shall consist of three (3) auditors as a minimum and ensure that all the required competence in auditing met by audit team. Technical experts may be required to support the required auditor competency in a particular technical area.</p> <p>7.4.6 Technical competencies</p> <p>7.4.6.1 The certification body shall ensure that auditors included in the audit team demonstrate ability to apply knowledge and skills in the following areas: a) Principles, structure and operation of the IFCC and PEFC schemes;”</p>
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	Annex 6, 3.2	YES	<p>IFCC ST 1002:2013; Normative references</p> <p>“ISO/IEC 17021:2011: Conformity assessment – requirements for bodies providing audit and certification of management systems.“</p>



No.	Question	Reference to PEFCC PROCEDURES	YES / NO	Reference to scheme documentation
	Systems auditors?			<p>Additional clarification PEFCC about ISO 17021 and 19011: “since the issuance of the 2011 version of 17021, national schemes operating on the basis of 17021 are in compliance with all ISO 19011 related requirements without any further reference to 19011 in the scheme documentation.”</p>
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	<p>IFCC ST 1002:2013 Requirements For Bodies Providing Audit and Certification of Sustainable Forest Management:</p> <p>7.4 Auditors</p> <p>7.4.1.1 Education The auditors shall have a university level education in the field of forestry, environmental sciences or other disciplines relevant to sustainable forest management.</p> <p>7.4.2 Working experience The auditor shall have at least three (3) years full time working experience in forestry in Indonesia.</p> <p>7.4.3 Training</p> <p>7.4.3.1 The certification body shall ensure that the auditor, in the last two years, has participated in training on the IFCC scheme that is organised or recognised by the IFCC, and shall be confirmed as “passed” through a certificate of compliance issued by the IFCC. The certificate of compliance is valid for five (5) years or less than five (5) years provided that there is evidence that the auditor is in breach of auditor’s rule and ethic code. The certificate shall be renewed after five (5) years as per IFCC requirements.</p> <p>7.4.3.2 The certification body shall ensure that the auditors have successfully completed training in audit techniques based on ISO 19011:2011 and ISO/IEC 17021:2011.</p> <p>7.4.4 Auditing experience</p>



No.	Question	Reference to PEFC PROCEDURES	YES / NO	Reference to scheme documentation
				<p>7.4.4.1 The auditor shall have participated in at least 3 (three) full audits against IFCC ST 1001: 2013 under supervision of the Lead Auditor.</p> <p>7.4.4.2 The Lead Auditor shall have minimum qualification as defined in clause 7.4.4.1, and at least 2 (two) full system audits as lead auditor in trainee against the IFCC ST 1001:2013 under supervision of a Lead Auditor.</p> <p>7.4.4.3 To maintain the qualification of the auditor, the certification body shall ensure that the auditor has performed a minimum of three (3) external audits in the last three (3) years against IFCC ST 1001:2013. If not, then the level of qualification shall be downgraded.</p> <p>7.4.5 Audit team</p> <p>7.4.5.1 The certification body shall ensure that the audit team assigned to conduct the audit shall consist of three (3) auditors as a minimum and ensure that all the required competence in auditing met by audit team. Technical experts may be required to support the required auditor competency in a particular technical area.</p> <p>7.4.6 Technical competencies</p> <p>7.4.6.1 The certification body shall ensure that auditors included in the audit team demonstrate ability to apply knowledge and skills in the following areas:</p> <ul style="list-style-type: none"> a) Principles, structure and operation of the IFCC and PEFC schemes; b) Forest conditions, forestry sector organisation and forestry practices in the Indonesia;; c) Socio-demographics and cultural conditions relating to forest



No.	Question	Reference to PEFC PROCEDURES	YES / NO	Reference to scheme documentation
				<p>management in Indonesia;</p> <p>d) National forest policies, forest related legislation and regulations at national and local levels; organisation of the law enforcement activities</p> <p>e) Forest management practices involving inventories, planning, monitoring, forest protection measures, harvesting operations and utilisation of forest based products of natural and plantation forest;</p> <p>f) Environmental and conservation issues relating to forest management;</p> <p>g) Social issues relating to relationship of local communities and forest management operation.</p> <p>h) Bahasa Indonesia language and another language applied by the client's organisation.</p> <p>7.4.6.2 The certification body shall provide evidence of annual monitoring of forest management auditors applying methods such as audit witnessing, reviewing audit reports or client organisations' feedback based on the frequency of their usage and the level of risk linked to their activities. In particular, the certification body shall review the competence of its personnel in the light of their performance in order to identify training needs."</p>
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	<p>PEFC ST 1002:2013:</p> <p>"10 Management system requirements for certification bodies</p> <p>10.1 All the requirements given in Clause 10 of ISO/IEC 17021:2011 apply."</p>



No.	Question	Reference to PEFC PROCEDURES	YES / NO	Reference to scheme documentation
				<p><i>ISO/IEC 17021:2011 refers to “Conformity assessment - Requirements for bodies providing audit and certification of management systems”</i></p> <p>IFCC ST 1002:2013 Annex 1: IFCC requirements for accreditation of certification bodies operating forest management certification:</p> <p>“The scope of the accreditation shall also explicitly state ISO/IEC 17021:2011, this document and other requirements against which the certification body has been assessed.”</p>
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	<p>IFCC ST 1002:2013:</p> <p>“9 Process requirements</p> <p>9.1.1 All the requirements given in Clause 9.1 of ISO/IEC 17021:2011 apply.</p> <p>9.2.1.1 All the requirements given in Clause 9.2.1 of ISO/IEC 17021:2011 apply.</p> <p>9.2.2.1 All the requirements given in Clause 9.2.2 of ISO/IEC 17021:2011 apply.</p> <p>9.2.3.1 All the requirements given in Clause 9.2.3 of ISO/IEC 17021:2011 apply.</p> <p>9.2.4.1 All the requirements given in Clause 9.2.4 of ISO/IEC 17021:2011 apply.</p> <p>9.2.5.1 All the requirements given in Clause 9.2.5 of ISO/IEC 17021:2011 apply.</p> <p>9.3.1 All the requirements given in Clause 9.3 of ISO/IEC 17021:2011 apply.</p> <p>9.4.1 All the requirements given in Clause 9.4 of ISO/IEC</p>



No.	Question	Reference to PEFC PROCEDURES	YES / NO	Reference to scheme documentation
				<p>17021:2011 apply.</p> <p>9.5.1 All the requirements given in Clause 9.5 of ISO/IEC 17021:2011 apply.</p> <p>9.6.1 All the requirements given in Clause 9.6 of ISO/IEC 17021:2011 apply.</p> <p>9.7.1 All the requirements given in Clause 9.7 of ISO/IEC 17021:2011 apply.</p> <p>9.8.1 All the requirements given in Clause 9.8 of ISO/IEC 17021:2011 apply.</p> <p>9.9.1 All the requirements given in Clause 9.9 of ISO/IEC 17021:2011 apply.</p> <p>10 Management system requirements for certification bodies</p> <p>10.1 All the requirements given in Clause 10 of ISO/IEC 17021:2011 apply.”</p>
12.	Does the scheme documentation require that applied certification procedures for chain of custody certification against PEFC ST 2002:2010 shall fulfil or be compatible with the requirements defined in ISO Guide 65?	Annex 6, 4	YES	<p>PEFC/IFCC ST 2003:2012, foreword:</p> <p>“This PEFC International standard has been adopted, without any modifications, by the General Assembly of the Indonesian Forest Certification Cooperation on October 30, 2013 as a part of the IFCC Scheme with reference number PEFC / IFCC 2003:2012.”</p> <p>PEFC/IFCC ST 2002:2013, foreword:</p> <p>“This PEFC International standard has been adopted, without any modifications, by the General Assembly of the Indonesian Forest Certification Cooperation on October 30, 2013 as a part of the IFCC Scheme with reference number PEFC / IFCC 2002:2013.”</p>
13.	Does the scheme documentation require that applied auditing procedures shall fulfil or be	Annex 6, 4	YES	IFCC ST 1002:2013; Normative references:



No.	Question	Reference to PEFCC PROCEDURES	YES / NO	Reference to scheme documentation
	compatible with the requirements of ISO 19011?			<p>“ISO/IEC 17021:2011: Conformity assessment – requirements for bodies providing audit and certification of management systems. “</p> <p>Additional clarification PEFCC about ISO 17021 and 19011: “since the issuance of the 2011 version of 17021, national schemes operating on the basis of 17021 are in compliance with all ISO 19011 related requirements without any further reference to 19011 in the scheme documentation.”</p>
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	<p>IFCC PD 1004:2013 Procedural document; notification of certification bodies</p> <p>5 Obligations of the notified certification body</p> <p>“5.1 The notified certification body shall: (...)</p> <p>c) Provide the IFCC, without delay, with information on every forest management and/or chain of custody certificate which is covered by the notification and /or information on any changes to already issued certificates. The range of data is specified by the IFCC;”</p>
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	<p>IFCC PD 1003:2013 Procedural document; Issuance of the IFCC and PEFC logo licenses in Indonesia, Appendix 1, article 7 (2):</p> <p>“2 The logo user, in case of user group B and C, shall undertake to provide, immediately after each audit, the IFCC with a notification, verified by the certification body, of the on-product use of the licensed logo, e.g. broken down by product, product category, production unit or similar, to the degree of accuracy that the chain of custody system used by the logo user permits. In the same conjunction, the logo user shall supply the IFCC with a detailed, free form account of any off-product use of the licensed Logo.”</p>
16.	Does a maximum period for surveillance audits	Annex 6, 4	YES	ISO/IEC 17021:2011:



No.	Question	Reference to PEFC PROCEDURES	YES / NO	Reference to scheme documentation
	defined by the scheme documentation not exceed more than one year?			“9.3.2.2 Surveillance audits shall be conducted at least once a year. The date of the first surveillance audit following initial certification shall not be more than 12 months from the last day of the stage 2 audit.”
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	<p>ISO/IEC 17021:2011:</p> <p>“9.1.1.2 The audit programme shall include a two-stage initial audit, surveillance audits in the first and second years, and a recertification audit in the third year prior to expiration of certification. The three-year certification cycle begins with the certification or recertification decision. The determination of the audit programme and any subsequent adjustments shall consider the size of the client organization, the scope and complexity of its management system, products and processes as well as demonstrated level of management system effectiveness and the results of any previous audits.”</p>
18	Does the scheme documentation include requirements for public availability of certification report summaries?	Annex 6, 4	YES	<p>IFCC ST 1002:2013 Requirements For Bodies Providing Audit and Certification of Sustainable Forest Management</p> <p>“8.3 The certification body shall make publicly available a summary of the certification report after issuance of the certificate, including a summary of findings on the client organisation’s conformity with the forest management standard. The certification body shall provide, in timely manner, the IFCC with the summary of the certification report to be published.”</p>
19	Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?	Annex 6, 4	YES	<p>IFCC ST 1002:2013 Requirements For Bodies Providing Audit and Certification of Sustainable Forest Management</p> <p>“9.2.3.2.2 The certification body shall make public announcement of the certification process through its website and by informing the</p>



No.	Question	Reference to PEFC PROCEDURES	YES / NO	Reference to scheme documentation
				IFCC. The certification body shall invite local communities and stakeholders to submit comments regarding the client’s forest management operations. The certification body shall consider and evaluate received information during the stage 2 audit.”
20.	Does the scheme documentation include additional requirements for certification procedures? ^[*1]	Annex 6, 4	(NO)	<i>IFCC refers to ST 1002: Requirements For Bodies Providing Audit and Certification of Sustainable Forest Management. This standard refers to requirements for certification bodies, no reference was found to requirements for certification procedures.</i>
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	<p>IFCC ST 1002:2013 Requirements For Bodies Providing Audit and Certification of Sustainable Forest Management; Annex 1: “Certification bodies operating forest management certification according to forest management standard IFCC ST 1001 of the Indonesian forest certification scheme shall have a valid accreditation issued by the accreditation body that is a member of the International Accreditation Forum (IAF) and that complies with ISO/IEC 17011:2004.”</p> <p>IFCC PD 1004, Introduction: “IFCC certification shall be carried out by third party certification bodies, which are accredited by a national accreditation body which is a member of the International Accreditation Forum (IAF) in order to demonstrate their competence and independence.”</p>



No.	Question	Reference to PEFC PROCEDURES	YES / NO	Reference to scheme documentation
22.	Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?	Annex 6, 5	YES	<p>IFCC ST 1002:2013 Requirements For Bodies Providing Audit and Certification of Sustainable Forest Management</p> <p>“9.2.5.2 The certification body issues to the client a certification document that shall include at least the following information: (...) e) accreditation mark as prescribed by the accreditation body (including accreditation number where applicable).”</p>
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	<p>IFCC ST 1002:2013 Requirements For Bodies Providing Audit and Certification of Sustainable Forest Management; Annex 1:</p> <p>“Certification bodies operating forest management certification according to forest management standard IFCC ST 1001 of the Indonesian forest certification scheme shall have a valid accreditation issued by the accreditation body that is a member of the International Accreditation Forum (IAF) and that complies with ISO/IEC 17011:2004.”</p>
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	<p>IFCC ST 1002:2013 Requirements For Bodies Providing Audit and Certification of Sustainable Forest Management</p> <p>“5.2 The certification body shall carry out the forest management certification against the IFCC scheme as an accredited certification, i.e. within the scope of valid accreditation described in Annex 1 of this standard.</p> <p>Annex 1:</p> <p>“Certification bodies operating forest management certification according to forest management standard IFCC ST 1001 of the Indonesian forest certification scheme shall have a valid accreditation issued by the accreditation body that is a member of</p>



No.	Question	Reference to PEFC PROCEDURES	YES / NO	Reference to scheme documentation
				<p>the International Accreditation Forum (IAF) and that complies with ISO/IEC 17011:2004.</p> <p>The scope of the accreditation shall explicitly cover the forest management standard IFCC ST 1001 of the IFCC scheme in its valid version and/or with reference to any future amendments adopted by IFCC.</p> <p>The scope of the accreditation shall also explicitly state ISO/IEC 17021:2011, this document and other requirements against which the certification body has been assessed.”</p>
25.	Does the scheme documentation require that certification body undertake chain of custody certification against PEFC ST 2002:2010 as “accredited certification” based on ISO Guide 65?	Annex 6, 5	YES	<p>PEFC/IFCC ST 2002:2013, foreword:</p> <p>“This PEFC International standard has been adopted, without any modifications, by the General Assembly of the Indonesian Forest Certification Cooperation on October 30, 2013 as a part of the IFCC Scheme with reference number PEFC / IFCC 2002:2013.“</p>
26.	Does the scheme documentation include a mechanism for PEFC notification of certification bodies?	Annex 6, 6	YES	<p>IFCC ST 1002:2013 Requirements For Bodies Providing Audit and Certification of Sustainable Forest Management:</p> <p>“Annex 2: IFCC requirements for notification of certification bodies operating forest management certification</p> <p>The certification body operating forest management certification against the Indonesian forest certification scheme, recognised by IFCC, shall be notified by the IFCC. The notification requires that the certification body shall have a valid accreditation that is recognised by the IFCC. Note: The IFCC requirements for the accreditation are defined in Annex 1 to this standard. Conditions for granting the notification are specified in the IFCC procedural document.”</p> <p>IFCC PD 1004: Introduction:</p>



No.	Question	Reference to PEFC PROCEDURES	YES / NO	Reference to scheme documentation
				<p>“Subject to a valid contract between the PEFC Council and IFCC on Administration of PEFC scheme, the IFCC notification is recognised as PEFC notification and delivers PEFC recognised certifications.”</p>
27.	<p>Are the procedures for PEFC notification of certification bodies non-discriminatory?</p>	Annex 6, 6	YES	<p>IFCC ST 1002:2013 Requirements For Bodies Providing Audit and Certification of Sustainable Forest Management:</p> <p>“Annex 2: IFCC requirements for notification of certification bodies operating forest management certification</p> <p>The certification body operating forest management certification against the Indonesian forest certification scheme, recognised by IFCC, shall be notified by the IFCC. The notification requires that the certification body shall have a valid accreditation that is recognised by the IFCC. Note: The IFCC requirements for the accreditation are defined in Annex 1 to this standard. Conditions for granting the notification are specified in the IFCC procedural document.”</p> <p>IFCC PD 1004 Notification of Certification Bodies:</p> <p>“4.1.1 An entity applying for the notification shall:</p> <ul style="list-style-type: none"> a) be a legal entity; b) agree to be listed on the publicly available Internet database operated by the IFCC or another body, including the certification body’s identification data and / or other data as specified by the IFCC; c) sign a notification contract with IFCC (Appendix 1 or 2).” <p><i>No discriminatory procedures have been found in these documents.</i></p>

Part VI: PEFC 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.

2 Checklist

No.	Question	Reference to PEFC GD 1004:2009	YES / NO	Reference to application documents
PEFC Notification of certification bodies				
1	The notifying body shall have written procedures for the PEFC notification which ensure that:			
1a	the PEFC notified certification body is meeting the PEFC Council’s and PEFC endorsed scheme’s requirements for certification bodies,	Chapter 5.1a	YES	<p>IFCC PD 1004:2013:</p> <p>“4.1 General Conditions</p> <p>4.1.1 An entity applying for the notification shall:</p> <ul style="list-style-type: none"> a) be a legal entity; b) agree to be listed on the publicly available Internet database operated by the IFCC or another body, including the certification body’s identification data and / or other data as specified by the IFCC; c) sign a notification contract with IFCC (Appendix 1 or 2). <p>4.2 Specific requirements</p> <p>4.2.1 Forest management certification</p> <p>4.2.1.1 An entity applying for the notification shall have valid accreditation, issued by the Accreditation Body which is a member or a part of IAF International Accreditation Forum). The accreditation shall be issued against ISO/IEC 17021:2011 and IFCC ST 1002:2013 and the scope of the accreditation shall explicitly include IFCC forest management standard IFCC ST 1001:2013.</p>

No.	Question	Reference to PEFC GD 1004:2009	YES / NO	Reference to application documents
				<p>4.2.2 Chain of custody certification 4.2.2 Sertifikasi Lacak Balak</p> <p>4.2.2.1 An entity applying for the notification shall have valid accreditation issued by an accreditation body that is a signatory of the Multilateral Recognition Arrangement (MLA) for product certification of IAF or IAF's Regional Accreditation Groups such as European co-operation for accreditation (EA), Interamerican Accreditation Cooperation (IAAC), Pacific Accreditation Cooperation (PAC) and Southern African Development Community in Accreditation (SADCA). The accreditation shall be issued against ISO/IEC Guide 65 and the scope of the accreditation shall explicitly include PEFC ST 2002.</p> <p>6.2 The PEFC recognition of the notification is subject to a valid contract between the IFCC Board and the PEFC Council. The IFCC shall inform the notified certification body about any changes in the contract affecting the notification.”</p>
1b	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,	Chapter 5.1b	YES	<p>IFCC PD 1004:2013:</p> <p>“1.1 This document describes procedures for the issuance of IFCC notification to certification bodies operating IFCC forest management and chain of custody certification.</p> <p>1.2 The notification for forest management certification covers certification of forests on the territory of Indonesia against IFCC forest management standards IFCC ST 1001:2013.</p> <p>1.3 The notification for chain of custody covers certification of entities registered in Indonesia against PEFC/IFCC ST 2002:1013. In case of multi-site crosscountry certification the notification covers certification of entities with the chain of custody head-office registered in Indonesia.”</p>
1c	the PEFC notification may be terminated by the notifying body in the case of the certification body's non adherence to the	Chapter 5.1c	YES	<p>IFCC PD 1004:2013:</p> <p>“6.1 The notification is valid for the period of the validity of the relevant</p>



No.	Question	Reference to PEFC GD 1004:2009	YES / NO	Reference to application documents
	<p>conditions of the PEFC notification or in the case of the cancellation of the contract between the PEFC Council and the authorised body,</p>			<p>certification body’s accreditation. The notification can be terminated or suspended immediately by the IFCC if the notification contract is violated.</p> <p>6.2 The PEFC recognition of the notification is subject to a valid contract between the IFCC Board and the PEFC Council. The IFCC shall inform the notified certification body about any changes in the contract affecting the notification.”</p> <p>Appendix 1 Notification contract – forest management certification: “Article 4 Contract Termination 2 The IFCC may suspend the contract with the immediate effect if there are reasons to believe that any provision of the notification contract is not being adhered to. 3 Withdrawal, suspension or the end of the validity of the Notified Certification Body’s accreditation, will result in automatic termination of the contract with effect on the same date as the withdrawal, suspension or the end of the validity of the accreditation.”</p> <p>Appendix 2: Notification contract – chain of custody certification: “2 The IFCC may suspend the contract with the immediate effect if there are reasons to believe that any provision of the notification contract is not being adhered to. 3 Withdrawal, suspension or the end of the validity of the Notified Certification Body’s accreditation, will result in automatic termination of the contract with effect on the same date as the withdrawal, suspension or the end of the validity of the accreditation.”</p>
1d	<p>the PEFC notification is based on a written contract between the notifying body and the PEFC notified certification body,</p>	Chapter 5.1d	YES	<p>IFCC PD 1004:2013: “4.1.1 An entity applying for the notification shall: c) sign a notification contract with IFCC (Appendix 1 or 2).”</p>



No.	Question	Reference to PEFC GD 1004:2009	YES / NO	Reference to application documents
1e	the PEFC notified certification body provides the notifying body with information on certified entities as required by the PEFC Registration System,	Chapter 5.1e	YES	IFCC PD 1004:2013: “5.1 The notified certification body shall: c) Provide the IFCC, without delay, with information on every forest management and/or chain of custody certificate which is covered by the notification and /or information on any changes to already issued certificates. The range of data is specified by the IFCC;”
1f	the PEFC notification does not include any discriminatory measures, such as the certification body’s country of origin, affiliation to an association, etc.	Chapter 5.1f	YES	<i>In the procedures of IFCC PD 1004:2013 no discriminatory requirements were found.</i>
2	The notifying body may charge a fee for the PEFC notification. The authorised body shall inform the PEFC Council about the level of its PEFC notification fees, when requested.	Chapter 5.2	YES	IFCC PD 1004:2013: “5.1 The notified certification body shall: d) Pay the IFCC the annual notification fee for every issued certificate based on an invoice issued by the IFCC. The level of the notification fee is set out in Appendix 3 to this document. The fees included in Appendix 3 can be changed by a decision of the IFCC Board of Directors.” Additional clarification provided by PEFC: “The PEFC GD 1004, in which notification of fee information is required, is mandatory for the schemes.” <i>Observation:</i> <i>IFCC PD 1004:2013 has no appendix 3, the applicable appendix is named “appendix 4”.</i>
PEFC Logo usage licensing				
3.	Are procedures for the issuance of PEFC Logo usage licenses in place, which comply	Chapter 6	YES	PEFC/IFCC ST 2001 PEFC Logo usage rules - requirements



No.	Question	Reference to PEFC GD 1004:2009	YES / NO	Reference to application documents
	with chapter 6 of PEFC GD 1004:2009, Administration of PEFC scheme?			<p>“This PEFC International standard has been adopted, without any modifications, by the General Assembly of the Indonesian Forest Certification Cooperation on October 30, 2013 as a part of the IFCC Scheme with reference number PEFC / IFCC 2001:2008.”</p> <p>IFCC PD 1003:2013 Issuance of the IFCC and PEFC logo licenses in Indonesia</p> <p>“1.4 Concerning the PEFC logo, the document is based on IFCC/PEFC ST 2001:2008 and PEFC GD 1004:2009.”</p>
Requirements for administration of PEFC Scheme – Complaints and dispute procedures				
4	<p>Complaints and dispute procedures</p> <p>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.</p>	Section 8.1	YES	<p>IFCC PD 1002:2013 IFCC Procedures for Investigation and Resolution of Complaints and Appeals</p> <p>“1.1 This guideline details procedures for complaints and appeals to IFCC which concern decisions and/or activities of IFCC, including standard setting, interpretation of the IFCC standards, logo usage licencing and notification of certification bodies.</p> <p>4 Complaints</p> <p>4.1 Complaints submitted to IFCC shall be limited to concerns, or issues, regarding the IFCC activities and their compliance with the IFCC requirements.</p> <p>Note: Complaints relating to activities of a certified entity are to be submitted to the certified entity or its certification body. Complaints relating to activities and decisions of a certification body are to be submitted to the certification body or its accreditation body. Complaints relating to activities and decisions of the accreditation body are to be submitted to the accreditation body or the International Accreditation Forum.”</p>
5	Upon receipt of the complaint, the procedures shall provide for:			

No.	Question	Reference to PEFC GD 1004:2009	YES / NO	Reference to application documents
5a	acknowledgement of the complaint to the complainant,	Section 8.2a	YES	<p>IFCC PD 1002:2013 IFCC Procedures for Investigation and Resolution of Complaints and Appeals</p> <p>“6.3 The IFCC Secretary General shall without delay:</p> <p>a) acknowledge to the complainant/ appellant (in writing) the receipt and acceptance/ rejection of the complaint/ appeal, including its justification;”</p>
5b	gathering and verification of all necessary information, validation and impartial evaluation of the complaint, and decision making on the complaint,	Section 8.2b	YES	<p>IFCC PD 1002:2013 IFCC Procedures for Investigation and Resolution of Complaints and Appeals</p> <p>“7.1 The IFCC Executive Director shall assign an ad-hoc Task Force Group (the TFG), comprising one or more persons, to investigate the accepted complaint or appeal. The members of the TFG shall have no vested or conflict of interest in the complaint or appeal. Alternatively, in justified circumstances, the TFG may have balanced representation of concerned parties.</p> <p>7.2 The TFG shall undertake a thorough investigation and seek a resolution. The TFG shall submit in a timely matter, a detailed written report, to the IFCC Executive Director to be presented to the IFCC Board of Directors. The report shall include a statement indicating whether, or not, the complaint or appeal has been substantiated and recommendations on resolving the complaint.</p> <p>7.3 The IFCC Board of Directors shall approve or disapprove the conclusions of the report, including its recommendations or remedial actions. Where the complaint or appeal concerns the decision of the General Assembly, the final decision is made by the General Assembly based on recommendation of the Board of Directors.”</p>
5c	formal communication of the decision on the complaint and the complaint handling process to the complainant and concerned parties,	Section 8.2c	YES	<p>IFCC PD 1002:2013 IFCC Procedures for Investigation and Resolution of Complaints and Appeals</p> <p>“6.3 The IFCC Secretary General shall without delay:</p> <p>b) provide the complainant/appellant with details of the IFCC complaints and</p>



No.	Question	Reference to PEFC GD 1004:2009	YES / NO	Reference to application documents
				<p>appeals procedures to ensure that they are clearly understood;</p> <p>7.4 The IFCC Secretary General shall, without delay, inform the complainant/appellant and other interested parties about complaint/appeal resolution process and its outcomes, in writing.”</p>
5d	appropriate corrective and preventive actions.	Section 8.2d	YES	<p>IFCC PD 1002:2013 IFCC Procedures for Investigation and Resolution of Complaints and Appeals; Introduction:</p> <p>“The complaints and appeals are not only regarded as a safeguard mechanism but as an opportunity to improve the scheme’s services through implementation of corrective and preventive measures.</p> <p>7.2 The TFG [<i>Task Force Group</i>] shall undertake a thorough investigation and seek a resolution. The TFG shall submit in a timely matter, a detailed written report, to the IFCC Executive Director to be presented to the IFCC Board of Directors. The report shall include a statement indicating whether, or not, the complaint or appeal has been substantiated and recommendations on resolving the complaint, including remedial (corrective and preventive) actions.</p> <p>Note: It is expected that complaints not requiring an on-site investigation should normally be investigated by the TFG within 1 month.</p> <p>7.3 The IFCC Board of Directors shall approve or disapprove the conclusions of the report, including its recommendations or remedial actions (corrective and preventive actions). Where the complaint or appeal concerns the decision of the General Assembly, the final decision is made by the General Assembly based on recommendation of the Board of Directors.”</p>

Annex 2 Results of Stakeholder Survey

As part of the general analysis of the IFCC scheme, a survey has been carried out to receive additional information and evidence on the standard setting process.

The stakeholder survey (questionnaire presented below) has been sent by E-mail in English and Bahasa Indonesia, to about 95 stakeholders, based on a stakeholder list provided by IFCC, on the 5th of March 2014. 31 people have filled out the questionnaire and sent it back to Form international. This group included forest owners, people from the timber industry, but also representatives from NGO's, academics and employees of certifying bodies. Most of them have had an active role in the standard setting process. More than half of the respondents (18/31) are member of the SC or the DWG (6/31).

As a motivation to contribute to the development of a PEFC standard for Indonesia, those were the most mentioned reasons:

- Support development of Sustainable Forest Management in Indonesia;
- International recognition of a forestry certification system;
- An independent certification system that takes into account the context of Indonesia.

In general the questions of the survey were answered positively. The information provided by the IFCC secretariat, such as draft documents, invitations for meetings and minutes of meetings were efficiently spread (often by E-mail) amongst the members of the SC and the DWG. The content of those documents was considered relevant by the respondents. The composition of these groups was considered well balanced, in terms of representing different parts of the sector and also geographically. Respondents confirmed that relevant topics were considered in the SC in an objective and transparent way and their experience in general is that the process complies with the requirements.

Sumatra was very well represented in the survey. Some people thought there should have been representatives from other parts of Indonesia in the SC as well. Representatives from Papua, but also Maluku and Nusa Tenggara were missing. It was suggested that this was due to the fact that there were not many active exploitations in these areas. Another aspect might have been the travel issues: finances and time constraints.

The most important remarks and attention points of respondents and the reaction of the assessors are presented in the table below. Some of the remarks were provided in Bahasa Indonesia and were translated with Google translate.



Remarks of the respondents	Response of the assessors
The numbering of the scheme is confusing and will lead to errors.	<i>This has been noticed by the assessors and communicated to IFCC.</i>
There are fundamental problems with addressing stakeholders concerns with conversion.	<i>During the field assessment several stakeholders indeed explained that there were intensive discussions in the SC on the conversion issues. However, finally the SC could reach consensus on the conversion issue and was approved by the SC without any formal objections.</i>
The requirements for CoC are not clear.	<i>CoC requirements are adopted from PEFC, so comply per definition.</i>
The extent of stakeholder consultation necessary is not clear.	<i>In the opinion of the assessors, the extent of the necessary stakeholder consultation (that needs to be done by MU's) is clear.</i>
There are problems and inconsistencies between the English and Indonesian versions	<i>A remark about translation and prevalence of language has been made by the assessor to IFCC.</i>
There is a major problem of redundancy between the main standard, the natural forests standard and the plantation standard.	<i>Several subjects are indeed covered in more than one section, however, this is done to address the specific situations (natural or plantation forests), and is therefore adequate.</i>
Provide guidance of the standards of SFM for ensuring the same interpretation to be implemented	<i>PEFC does not require such a guidance and is therefore not included in the assessment.</i>
Implement the ISO 17021 or 17065 as reference for certification body operating; and the persons who had been involved in the certification shall be competent which is regulated by CB	<i>All requirements of ISO 17021 are adopted in the IFCC scheme.</i>
It should be clear that the accreditation process for CB's is carried out by National Accreditation Body in Indonesia (Komite Akreditasi Nasional or KAN). This is important because KAN had been involved as accreditation body for Indonesian wood legality which also supported the IFCC due to the sustainability concept.	<i>Thanks for the clarification. The procedures for accreditation are developed in IFCC PD 1004.</i>
The company should make spatial design plots to be harvested that will not cause interference with the movement of the animals there.	<i>Ecological connectivity and monitoring and protection of biodiversity is dealt with in ST 1001:2013.</i>
Companies must identify the type - the type of plants that have specific benefits for the local community and make their information systems.	<i>NTFP's, monitoring and protection of plant species is dealt with in ST 1001:2013.</i>



Consequences

The questionnaires have been answered in a positive way and remarks were made in a constructive way, to promote the scheme and to complement on the standard setting process. Most respondents have been pleased with the way IFCC has led the process and carried out her tasks so far. The impression is that there are no major concerns about the standard setting process. Most of the remarks have been dealt with by assessing the IFCC Standard. In the opinion of the assessors, the results of the stakeholder survey do not impede endorsement of the scheme.

Stakeholders that were invited for the survey

- Achmad Mahmud Thohari - IPB
- AJA Sertifikasi Indonesia, PT
- Aliansi Masyarakat Adat Nusantara (AMAN)
- Aliansi Relawan untuk Penyelamatan Alam (ARUPA)
- Amindo Wana Persada, PT
- Arut Bulik Timber Company, PT.
- Asia Pulp and Paper - APP
- Asosiasi Industri Permebelan dan Kerajinan Indonesia - ASMINDO
- Asosiasi Panel Kayu Indonesia - APKINDO
- Asosiasi Pengusaha Hutan Indonesia - APHI
- Asosiasi Pengusaha Kayu Gergajian Dan Kayu Olahan Indonesia (ISWA)
- Asosiasi Pulp dan Kertas Indonesia (APKI)
- Austral Byna, PT.
- Badan Litbang Konservasi, Kementerian Kehutanan
- Badan Pertanahan Nasional
- Badan Standardisasi Nasional – BSN / Komite Akreditasi Nasional - KAN
- Barito Pacific, Tbk. Timber: PT. Tunggal Agathis Indah Wood Industries (TAIWI) dan PT. Mangole Timber Producers (MTP) --> Barito Nusantara *Indah ply (BNI), Aya yayang Tinber, PT
- Belantara
- Berty Tiominar - Konsultan Lingkungan Aidenvironment
- BWRA – Badan Registrasi Wilayah Adat
- Carbon Conservation
- CIFOR
- Conservation International Indonesia Programme
- Consultative Group Of Indonesia Forestry / CGIF
- Control Union
- Dewan Kehutanan Nasional (DKN)
- Dewan Nasional Perubahan Iklim (DNPI)
- Dinas Kehutanan Sulawesi Barat
- Direktorat Ekspor Produk Pertanian dan Kehutanan, Kementerian Perdagangan RI
- Direktorat Jenderal Bina Usaha Kehutanan, Kementerian Kehutanan RI.
- Direktorat Standardisasi, Kementerian Perdagangan RI
- ECNZ (Environmental Choice New Zealand)
- Fadil Hasan
- Federasi Serikat Pekerja KAHUTINDO
- Forest Watch Indonesia (FWI)
- Forum Komunikasi Kehutanan Masyarakat (FKKM)
- FORWAHUT (Forum Wartawan Kehutanan)
- Greenomics
- Greenpeace
- Harapan Jaya - Papua
- HUMA
- Hutanindo Lestari Group
- INHUTANI I
- INHUTANI IV
- Intracawood Manufacturing, PT.
- JNKT /HCV NI – Jaringan Nilai KonservasiT inggi Indonesia
- JPIK - Sekretariat Bersama Jaringan Pemantau Independen Kehutanan
- Kayu Lapis Indonesia , PT.
- Kementerian Lingkungan Hidup
- Kiani Lestari, PT (Kalimanis Group)
- Lasmini - Koordinator Kerjasama ITTO tentang SVLK
- Lembaga Alam Tropika Indonesia (LATIN)



- Lembaga Ekolabel Indonesia (LEI)
- Lembaga Kajian Strategis Pembangunan Pasuruan - LKSP2
- Lontar Papyrus Pulp & Paper Industry
- Merzyta Septiyani - Konsultan IPB
- MFP (Multistakeholder Forestry Programme)
- Musi Hutan Persada, PT.
- Mutu Agung Lestari, PT.
- Pabrik Kertas Tjiwi Kimia, Tbk.
- Peduli Hutan Nusantara - PINUS
- PEKERTI (Pengembangan Kerajinan Rakyat Indonesia/PT Pekerti Nusantara)
- Perhutani Watch
- Perkumpulan Nilai Konservasi Tinggi Indonesia (HCVNI)
- Pitojo Budiono - Universitas Lampung
- PT. Raja Garuda Mas
- Pusat Penelitian Biologi LIPI
- Pusat Penelitian dan Pengembangan Perubahan Iklim dan Kebijakan
- Pusat Penelitian Sumberdaya Hayati dan Bioteknologi
- Riau Andalan Pulp and Paper - RAPP - APRIL
- Sarbi International Certification
- Scientific Certification System (SCS) Indonesia, PT.
- Siswoyo - IPB
- Solidaritas Perempuan (SP)
- SULUH
- Sumatran Tiger Conservation Forum (HarimauKita)
- Sustainable Development Indonesia (SDI)
- Tanjung Enim Lestari, PT
- Tanjung Raya Intiga, PT.
- TELAPAK
- The Borneo Initiative (TBI)
- The Forest Trust (TFT)
- The Nature Conservancy (TNC)
- The Tropical Forest Foundation (TFF)
- Timber Dana, PT.
- TROPENBOS
- TUV Rheinland Indonesia
- WALHI
- Wildlife Conservation Society (WCS)
- WWF
- Yayasan BOS (Borneo Orang Utan Survival)
- Yayasan Burung Indonesia
- Yayasan KEHATI
- Yayasan Pelestarian harimau Sumatra (YPHS)
- Zoological Society of London (ZSL)



The questionnaire

Question to stakeholder	Answer	Explanation / Remark
1. What stakeholder category do you represent?	<input type="checkbox"/> Forest owner / manager <input type="checkbox"/> Forest and timber industry <input type="checkbox"/> Non-governmental organisation (environmental or social) <input type="checkbox"/> Workers and trade unions <input type="checkbox"/> Government institution <input type="checkbox"/> Research Institute <input type="checkbox"/> Indigenous people and local population <input type="checkbox"/> Women, children and youth <input type="checkbox"/> Other; please specify:	
2. What region of Indonesia did you represent in the stakeholders consultation?	<input type="checkbox"/> Java / Bali <input type="checkbox"/> Sumatra <input type="checkbox"/> Kalimantan <input type="checkbox"/> Sulawesi <input type="checkbox"/> Papua <input type="checkbox"/> Moluccas <input type="checkbox"/> Nusa Tenggara <input type="checkbox"/> Other:	
3. When were you invited to participate to the standard setting process of the Indonesian Forestry Certification Cooperation Scheme?		
4. What was your main concern and your interest to participate in the standard setting process?		
5. Did the organisers provide you with relevant material to participate in the scheme development?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I don't know	
6. In your opinion, have all stakeholders that are relevant to the standard-setting been proactively identified and invited, including disadvantaged and key stakeholders?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I don't know	



Question to stakeholder	Answer	Explanation / Remark
<p>7. Did you participate in the standard setting process? ► If yes, what was your main concern and interest to participate? ► If no, why not?</p>	<p><input type="checkbox"/> Yes, as a member of the Standardisation Committee; my main concern / interest was: <input type="checkbox"/> Yes, as a member of the Draft Working Group; my main concern / interest was: <input type="checkbox"/> Yes, I participated in one (or more) of the public consultation meetings held on 6 March 2012 (Bogor), 27 September 2013 (Pekanbaru), 1 October 2013 (Samarinda), 3 October 2013 (Jakarta); my main concern / interest was: <input type="checkbox"/> Yes, namely: <input type="checkbox"/> No, because:</p>	
<p>8. Did the stakeholder representatives in the <u>Standardisation Committee</u> represent the range of interests in forest management in your country? ► If not, which other interests groups should have been involved?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, other interest groups that should have been involved: <input type="checkbox"/> I don't know</p>	
<p>9. Did the <u>Standardisation Committee</u> to your opinion had a balanced representation of various stakeholder categories?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I don't know</p>	
<p>10. Did the stakeholder representatives in the <u>Standardisation Committee</u> come from all relevant regions from Indonesia? ► If no, which regions were not or poorly represented?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> I don't know <input type="checkbox"/> No, the following region(s) was (were) not / poorly represented: <input type="checkbox"/> Java / Bali <input type="checkbox"/> Sumatra <input type="checkbox"/> Kalimantan <input type="checkbox"/> Sulawesi <input type="checkbox"/> Papua <input type="checkbox"/> Moluccas <input type="checkbox"/> Nusa Tenggara <input type="checkbox"/> Other:</p>	
<p>11. Are you aware of any substantive and procedural complaints relating to the standardising activities brought forward by you or other stakeholders?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I don't know</p>	



Question to stakeholder	Answer	Explanation / Remark
If this is the case, have these complaints been validated and objectively evaluated?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I don't know	

If you did participate in the Standardisation Committee, please continue with **question 12**.

If you did NOT participate in the Standardisation Committee, please continue with **question 21**.

Question to stakeholder	Answer	Explanation / Remark
12. Did all stakeholders in the Standardisation Committee have expertise relevant to the subject matter of the standard?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I don't know	
13. Have records been kept of the standard-setting process?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I don't know	
14. Have all working draft documents been available to all members of the Standardisation Committee?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I don't know	
15. Have you been provided with meaningful opportunities to contribute to the development of the standard and submit comments to the working drafts?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I don't know	
16. Have comments and views submitted by any member of the Standardisation Committee been considered in an open and transparent way?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I don't know	
17. Has the public consultation of the scheme documentation lasted for at least 60 days?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I don't know	
18. Have all comments received during the public consultation been considered in an objective manner by the Standardisation Committee?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I don't know	



Question to stakeholder	Answer	Explanation / Remark
19. Was pilot testing of the new standards carried out?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I don't know	
► If yes, have the results of the pilot testing been considered by the Standardisation Committee?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I don't know	
20. Was the decision of the Standardisation Committee to recommend the final draft for formal approval taken on the basis of a consensus? ► In case no consensus was reached on certain issues, how was the issue resolved?	<input type="checkbox"/> Yes <input type="checkbox"/> No, the issue was resolved in the following way: <input type="checkbox"/> I don't know	
21. Do you believe any aspects of the scheme deserve further consideration?	<input type="checkbox"/> Yes (please specify) <input type="checkbox"/> No <input type="checkbox"/> I don't know	



Annex 3 Results of International Consultation

The International Consultation has resulted in three comments, described below:

**1. Submitted by an international research organization (CIRAD),
December 7, 2013**

According to CIRAD: “Since 2010, the forest regulation of Indonesia created a new silvicultural system called TPTJ. This new system allows any concessionaire to come back in forest formerly logged 20 years ago under former TPTI system (Selective logging with a diameter cutting limit). (...) This system is obviously not sustainable for two main reasons. First, harvesting forested areas logged 20 years which have not completely recovered from the past logging operation, will generate a lot of damage and will leave a stand with only small trees. Second, if part of the planted trees, if not all, would reach a harvestable size (40 cm) within 25 years,(the TPTJ rotation cycle duration), the harvesting operations at such intensity will simply deplete the forest as damage will be very high even under reduced impact logging techniques. (...)”

Assessor’s response: No silvicultural systems are explained into detail in the IFCC Scheme. However, the IFCC Scheme requests that the forest product harvesting shall not exceed the increment and that the MU shall identify the the desirable growing stock, ensuring that management activities reach and maintain the desirable growing stock. It is expected that this sufficiently ensures that unsustainable silvicultural systems will not be practiced.

**2. Submitted by the Indonesian Forestry and Allied Workers’ Union (FSP
KAHUTINDO), January 20th, 2014.**

According to FSP KAHUTINDO: “The development of IFCC forest certification scheme has involved the participation of the Indonesian Forestry and Allied Workers' Union (...). We observed that the scheme has adequately addressed labour and trade union issues and workers welfare. The challenge is how to ensure that the auditors are well trained and have the knowledge on the labour regulations to verify that proper practices are implemented by forest management units in accordance to the international/national labour instruments and the IFCC standards. Nonetheless, we hereby recommend endorsement of IFCC Forest Certification Scheme by PEFC.”

Assessor’s response: in principle training and knowledge of auditors is covered in the scheme requirements, as well as compliance with (inter)national labour instruments. Therefore, to the opinion of the assessor, this is covered by the standards. How this will be implemented in practice by auditors is not yet clear, but is subject to the accreditation procedures.



3. Submitted by Building and Woodworkers International, January 29th, 2014

According to BWI: “The development of IFCC forest certification scheme has involved the participation of the Indonesian Forestry and Allied Workers' Union (FSP KAHUTINDO) as the representative trade union in the wood and forestry sector, affiliated to the Building and Woodworkers International (BWI). In addition to their comments we would like to add under

- criterion 11.4 that: the MU has the obligation to negotiate in good faith with the unions and that if an agreement is reached the MU shall respect it.
- In the document IFCC ST 1002:2013 requirements of the CB's 7.4.6 Technical competencies The knowledge of the ILO core conventions, applicable Indonesia Labor Laws and Forest industry economics is missing.
- And under 9.1.6 Unions are not specifically mentioned, that could mean that if unions don't have members, they might not be seen as stakeholders. That also applies to 9.2.3.2.2 where stakeholders are to be invited by the CB's.

Nonetheless, we hereby recommend endorsement of IFCC Forest Certification Scheme by PEFC.”

Assessor's response: Labour topics and ILO conventions are primary the responsibility of the MU; this is sufficiently dealt with in ST 1001:2013 (Normative references, paragraph 1.4, criterion 11 and the annex 1).

Regarding the concern about the knowledge and technical competencies of auditors and certification bodies: knowledge about ILO core conventions, applicable Indonesian Labor Laws and Forest industry economics is not mentioned literally, but auditors competence is covered in 7.4.6 of ST 1002:2013.

In the assessors opinion, Unions are seen as stakeholders, and although the concern is understood, it should be noted that Unions are also described as stakeholders in the standard setting procedures.



Annex 4 Panel of Experts Comments

Three panel of experts members have commented on this assessment. Their comments are presented in the table below, including the responses from the consultant. Minor adaptations have been made to the text of the report as indicated in the consultant’s responses.

Page / Report chapter	Consultant’s report statement	PoE member comment	Consultant’s response
		<p>The assessment of the Indonesian Forest Certification Cooperation Scheme, which covers natural and plantation forests, includes the following steps:</p> <ol style="list-style-type: none"> 1. Desk study of the relevant documents 2. “field visit” to Indonesia including the site of the “pilot testing” 3. Evaluation of a questionnaire sent to stakeholders. <p><u>Its (conditional) recommendation is fully supported</u></p> <p>It may be questioned, however, whether the identified non-conformity (p.39) is only a minor one. At least it should have been mentioned – as normal – on p. 13. The issues of degraded forests and conversion are indeed significant in and for Indonesia (my comment is based on personal experience in Indonesia and intensive</p>	<p>On p. 13 the non conformity is mentioned as well as a recommended deadline for resolving it. Details on the non conformity are provided in summary (chapter 3) and in the main bodey of the resport (chapter 6).</p>



Page / Report chapter	Consultant's report statement	PoE member comment	Consultant's response
		<p>contacts with many postgraduate forestry students from Indonesia during their M.Sc. course at the University of Göttingen (i. e. academic tutorial work).</p> <p>Indonesia has achieved a lot since it started to develop its national scheme to be endorsed by PEFC based on its past rather negative experiences. The engagement of various national and international stakeholders inside and outside the country is very encouraging. The assessment also refers to weak points of the scheme due for improvement in the future (pp. 176/175). It is thus a thorough and comprehensive study.</p>	
		<p>An excellent assessment report, both the report itself as well as its annexes: the report gives the impression (1) that the assessment is very comprehensive, well organized and stringent as well as (2) that the scheme in question is well prepared, structured and fulfils the requirements of PEFC.</p> <p>The assessment report is well prepared, clear and easy to read; it gives the impression that the scheme has been</p>	<p>Thank you.</p>



Page / Report chapter	Consultant's report statement	PoE member comment	Consultant's response
		thoroughly analysed and checked.	
		Were all relevant documents for the assessment available in English or did the assessment also rely on (oral) translations (and if so, how reliable were those?).	Practically all documents used in the assessment were translated for the Consultant. In some cases only the essential paragraphs / sentences were translated. Just a few oral translations were provided during the field assessment, and if deemed necessary, written translations were requested.
		Does the scheme list/specify any non-timber forest products (f. e. medical plants)? In some cases those products from forests are more important than timber.	The IFCC Scheme does not provide a definition of non-timber forest products, although it clarifies that it includes hunting and fishing. Medicinal plants are not literally mentioned. To the opinion of the Consultant, the IFCC Scheme does sufficiently address the non-timber forest products issues.
		Did the assessment find out, why some NGOs "did not want to participate"?	The consultant tried to interview three of these NGOs. It was however not possible to make an appointment with two of them (time constraints) and the third did not show up. From the IFCC and some other stakeholders it was understood that these NGOs did not want to participate because



Page / Report chapter	Consultant's report statement	PoE member comment	Consultant's response
			of time constraints, or because they support other existing forest certification schemes in Indonesia.
		The assessment (final report) should by all means include a strong recommendation to improve/correct the English language of the scheme, not only to improve the linguistic quality, but rather to avoid misunderstandings and misinterpretations. A person with English mother tongue should be engaged.	The language and translation issue has been included as an observation under 6.1.
	on several pages of the report and of the annexes	Many acronyms used in the text are not listed on page 6 (Acronyms). Examples: MU, ACC, ILO, WHO, HCVF, ISO/IEC,	Updated in the report.
	on several pages of the report and of the annexes	There are several acronyms of Indonesian organisations or legislation (?) which are not explained. I would recommend that these acronyms should be clarified somewhere in the report.	Updated in the report.
p. 6		Perhaps the list of acronyms could include more ones permanently used in the assessment report.	Updated in the report.
p. 15, 3.3	Stakeholders (including local communities and indigenous people representatives)	Could it be possible to add a comment of the consultant to explain why this statement	It should be read as: "stakeholders that were interviewed"; this is adjusted in the



Page / Report chapter	Consultant's report statement	PoE member comment	Consultant's response
	<p>were furthermore of the opinion that their concerns were considered during the process and sufficiently covered in the standard. During the field assessment the assessor did not receive any negative responses from stakeholders towards the IFCC Scheme.</p>	<p>is true? Indonesia is a large country with vast forest areas, with large population and plenty of NGO's – the reader may find this comment / situation of no criticism somehow peculiar!</p>	<p>report.</p>
<p>p. 15, 3.4 & p. 35, second last para & p. 38, 1.3 & p. 103/4, 5.1.11</p>	<p>“Since ‘degraded forest’ is not clearly defined, the respective requirement is multi-interpretable and difficult to audit” “the non-conformity, which is classified as minor, refers to the requirement on the conversion of forests and relates to the concept of degraded forests, in specific the absence of a clear definition of degraded forests” “MU shall not convert secondary forest to plantation forests except where; a) Forest is classified as degraded;”</p>	<p>This is not a trivial issue as once a forest is defined as degraded it can be converted to other uses. It would seem that inclusion in the scheme of “a clear definition of degraded forests” is essential.</p>	<p>The corrective action request has been adapted.</p>
<p>p. 15, 3.4</p>	<p>Since “degraded forest” is not clearly defined, the respective requirement is multi-interpretable and difficult to audit. Furthermore, another requirement requests that degraded forest ecosystems shall be improved. This contradicts with the possibility to convert degraded forests into</p>	<p>Important issue!</p>	<p>No further action deemed necessary.</p>



Page / Report chapter	Consultant's report statement	PoE member comment	Consultant's response
	plantation forests.		
p. 17, 4.1.	<ul style="list-style-type: none"> • Protection Forest (HL), managed by the Public Administration; • Conservation Forest (HK), managed by the Public Administration; • Production Forest (HP) with some sub categories. Some Production Forests are managed by communities (HKM or social forestry), but mostly by private corporations and institutions. 	Acronyms HL, HK, HP, HKM - they most probably are acronyms of the local language, but without any comments they are confusing!	Updated in the report.
p. 17, 4.1, 1 st chapter		It should be clarified whether sub-alpine rainforests really belong to dry forests?	Sub-alpine rainforests are considered as dry <u>land</u> forests, based on the soil conditions. This is adjusted in the report.
p. 21, first bullet point		refere should be refer	Updated in the report.
p. 22, last para, third line		'little' should be 'few'	Updated in the report.
p. 22, last bullet point & p36 6.1 last bullet point	<p>"An additional seminar in Papua would have been preferred to receive input for the Papua context"</p> <p>"It is unclear if the standard is fully applicable to the Papua context..."</p>	Should IFCC be asked to ensure that this issue is fully covered when the scheme is revised in the future?	The Consultant's role is to assess the current scheme and standard setting process, in that respect this issue has been recorded. Next, such a recommendation is made.
p. 24, last		sentence "Several NGOs ... by other	Updated in the report.



Page / Report chapter	Consultant's report statement	PoE member comment	Consultant's response
sentence of second last para		stakeholders”, meaning is not clear, reword.	
p. 28, centre		Correction needed: A list could be found of nominations could be found...	Updated in the report.
p. 36, 6.1.	<ul style="list-style-type: none"> It is unclear if the standard is fully applicable to the Papua context and if the sustainable forestry issues from the Papua context are sufficiently covered in the forest management standard. Forests in Papua are ecologically and tree species composition quite different from the other Indonesian regions. These forests ask for a different approach in selective logging operations compared to the other main forestry regions². It is unclear if these local forestry issues from Papua, especially the daily experiences of forestry companies, are sufficiently covered in the current standard. It should however be noted that the standard requirements are relatively generic, and implementation experiences might show whether the standard does need some more specific requirements for forestry in natural forests of Papua. 	This comment is obviously the opinion of the consultant only. It would be interesting to know, if some Indonesian stakeholders had the same opinion and whether they had any comments how to improve the situation!	<p>This issue was mainly put forward by some stakeholders. The report is updated to clarify the source of this issue.</p> <p>Stakeholders did not provide any solutions how to improve the situation. To the Consultant's opinion, this could have been addressed through a stakeholders meeting in Papua, which is explained in paragraph 5.1 (last bullet).</p>



Page / Report chapter	Consultant's report statement	PoE member comment	Consultant's response
p. 39, 6.2.	<p>Since “degraded forest” is not clearly defined, requirement III-1.3 is multi-interpretable and difficult to audit.</p> <p>Furthermore, requirement I-2.3 requests that MU shall develop “activities (...) to improve degraded forest ecosystems” (PEFC requirement 5.2.1: “to rehabilitate degraded forest ecosystems”). This contradicts with III-1.3 where the possibility is provided to convert these areas into plantation forests. This seems to undermine requirement I-2.3.</p> <p>Does not conform – minor</p> <p>Corrective action request: provide evidence to show conformity or update standard</p>	<p>This is an important issue and consultant’s decision is very well justified. Could the corrective action request be more concrete, like “update the standard with clear auditable definition “. For me it is unclear how IFCC could provide evidence to show conformity without any really comprehensive and largely acceptable definition!</p>	<p>Updated in the report.</p>
p. 46, 7	<p>PEFC/IFCC ST 2002:2013 can be used for the purposes of using PEFC claims but can also be used for the purposes of using IFCC own claim(s) and the IFCC label based on the requirements defined in this document.”</p>	<p>This statement gives the information that the IFCC Scheme provides both international PEFC labels & claims and domestic Indonesian labels & claims. It would be more informative if this piece of information could be available already in the beginning of the report where the structure and content of the scheme was shortly described.</p>	<p>Updated in the report.</p>



Page / Report chapter	Consultant's report statement	PoE member comment	Consultant's response
p. 112, 5.2.12 – under 3.11 and 3.4 and p. 195 first line		'an-organic' should presumably read 'inorganic'	Updated in the report.
p. 143, 5.6.8.	The term "forest owner" is not applicable...	A state/government is also a forest owner (see f. e.: state ownership). It cannot be excluded from the obligation of training its employees!	In the Indonesian context, all forests are owned by the state who hands out concessions to companies to manage the forests. All parties involved in the management of the forests (forest managers, employees, contractors) are provided with information and training in relation to SFM.
pp. 172-179, Annex 2	Content of the annex	Well-structured annex with valuable information	Thank you.
pp. 183- 201, Annex 5	Content of the annex	Very informative annex! Gives valuable background information of the scheme!	Thank you.



Annex 5 Report on the Field Assessment

From 6 to 15 April Mr. Rutger de Wolf (Assessor of Form international) visited Indonesia for the field assessment. The schedule of the visit is presented in the table below.

Schedule of the field visit

Date	Place	Activity	
6 April	Jakarta	Arrival in Indonesia	
7 April	Bogor – IFCC office	Presentations and discussions with IFCC (att. list 1)*	
		8.45-9.15	Presentation by IFCC: background on the IFCC
		9.15-10.15	Presentation by Form international: the conformity assessment process and main findings
		10.15-11.30	Presentation by IFCC: presentation of the standard-setting process
		13.00-15.30	Discussion on the non-conformities of the standard-setting procedures and process
		15.45-18.15	Discussion on the non-conformities of the forest management standard
8 April	Bogor – Santika Hotel	Stakeholders consultation	
		9.15-11.00	Meeting with Social / Cultural NGO's and Indigenous people / local communities (att. list 2)*
		11.00-11.30	Meeting with AJA Sertifikasi (att. list 3)
		13.30-15.10	Meeting with Scientific and Technological community (att. list 4)
		15.15-17.00	Meeting with Environmental (and Social) NGO's (att. list 5)
9 April	Jakarta – Ibis Hotel Tamarin	(Election day in Indonesia) Discussion with J. Tymrak (consultant for IFCC) on the non-conformities of the forest management standard, certification and accreditation procedures, notification of certifying bodies procedures and complaints and dispute resolution procedures.	
10 April	Riau Province	Field visit to pilot testing site in Riau, Sumatera (att. list 6)	
	Pekanbaru to Pelalawan Estate	Fly over to see mosaic of several estates, national park and surrounding agricultural lands	
	Pelalawan Estate Office and plantation	Presentation by Mr. Elvis (Estate Manager) and visit to Acacia nursery, nursery for indigenous tree species, plantation area, conservation area, and water management systems	
	Pangkalan Kerinci –	Visit to REG Technology Center	



Date	Place	Activity	
	REG Technology Center		
	Pangkalan Kerinci – Unigraha Hotel	Presentation of RAPP on conservation issues	
11 April	Riau Province	Field visit to pilot testing site in Riau, Sumatera	
	Tesso Estate Office and plantation	Presentation by Mr. Jordan (Estate Manager) and visit to harvesting area	
	Ukui Estate	Visit to Flying Squad (Elephants) and surrounding plantation	
12 April	Jakarta	Day off	
13 April	Bogor	Day off	
14 April	Bogor – Mirah Hotel	Stakeholders consultation	
		9.00-10.00	Meeting with Governmental Organizations (att. list 7)
		10.30-12.30	Meeting with Workers and Trade Unions and Business Community (att. list 8)
		14.30-15.30	Meeting with Business Community and Forest Managers (att. list 9)
15 April	Bogor – IFCC office	Wrap-up meeting with IFCC Presenting the main findings of the field assessment and the next steps (att. list 10) Departure to The Netherlands	

* The attendees lists are presented below.

Attendees to the respective meetings

Attendees list 1: IFCC meeting

	Date and time:	8 April 2014, 9.15 – 11.00
	Name	Organization
1	Dradjad Wibowo	IFCC Board of Director – Chairman
2	Saniah Widuri	IFCC Board of Directors – General Secretary
3	Zulfandi Lubis	IFCC Secretariat – Project Leader
4	Ragita Wirastri	IFCC Secretariat
5	Yuli Wridyanti	IFCC Secretariat
6	Teni Marfiani	IFCC Secretariat
7	Heny Ario	IFCC Secretariat
8	Didik Suharjito	Chair of the Standardisation Committee (IPB University)
9	Aulia Aruan	Member of the Standardisation Committee (APRIL)
10*	Dian Novarina	Member of the Standardisation Committee (APRIL)
11	Nurcahyo Adi	Consultant for IFCC
12	Jaroslav Tymrak	Consultant for IFCC
13	Rutger de Wolf	Form international - Assessor

* Did not participate in the afternoon meeting

Attendees list 2: Social / Cultural NGO's and Indigenous people / local communities



	Date and time:	8 April 2014, 9.15 – 11.00	
	Name	Organization	Representing
1	Andry Suswanto S.Hut	Masyarakat Adat Madani	Indigenous people from East Kalimantan
2	D. Madrah	AMAN-Kubar	Indigenous people from East Kalimantan
3	Wisno Carsko	FKKM	Community Forestry
4	Son Taqdir Aulady	F-Sopran	Community development
5	Librian Angraeni	Pindo Deli	Women, youth and children issues (and translator)
6	M. Suttud	PPSW	Women issues in Indonesia
7	Christine Wulandari	UNILA	Education aspects
8	Rudy Cetyawan	Trust Indo Prima Karya	CB
9	R. Sigit Pumungkas	AJA Sertifikasi Indonesia	CB that conducted the field testing
10*	Lillian Kallman	AJA Sertifikasi Indonesia	CB that conducted the field testing
11*	Didik Suharjito	IPB, Faculty of Forestry	SC chair, specialist on Community Forestry
12*	Sofyan Warsito		Academici
*	Nurchahyo Adi	Consultant for IFCC	Observer
	Ragita Wirastrri	IFCC Secretariat	Observer
	Haqi Wibowo	Consultant for IFCC	Translator
	Rutger de Wolf	Form International	Assessor

* Left the meeting during the first part, did not participate in the discussions

Attendees list 3: AJA Sertifikasi

	Date and time:	8 April 2014, 11.00 – 11.30	
	Name	Organization	Representing
1	Lillian Kallman	AJA Sertifikasi Indonesia	CB that conducted the field testing
2	R. Sigit Pumungkas	AJA Sertifikasi Indonesia	CB that conducted the field testing
	Rutger de Wolf	Form international	Assessor

Attendees list 4: Scientific and Technological community

	Date and time:	8 April 2014, 13.30 – 15.10	
	Name	Organization	Representing
1	Imama Soesono	CARE IPB	Conflict Resolution processes
2	M. Thohari	PPSHB IPB	Conservation of ecosystems
3	Sri Nugroho Marsoem	Faculty of Forestry UGM	Forestry
4	Harnios Arief	IPB	Conservation forestry
5	Christine Wulandari	UNILA	Education aspects
6	Sofyan	UGM	Forest Resources Economy
	Haqi Wibowo	Consultant for IFCC	Translator
	Yuli Wridyanti	IFCC Secretariat	Observer
	Teni Marfiani	IFCC Secretariat	Observer
	Rutger de Wolf	Form international	Assessor

Attendees list 5: Environmental (and social) NGO's

	Date and time:	8 April 2014, 15.15 – 17.00	
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	Name	Organization	Representing
1	Arnold Shinaro	Matahari	Social / cultural aspects of the local use of forests, mainly in Riau. Assisting indigenous people in their rights
2	Hendriam	Belantara	Social assistance to locals, mainly in Sumatra
3	Nusirwan	Rumah-ku	Environmental issues and forestry control in Java, but also assisting local / indigenous people to sustain their rights over forests
4	Mangarah Silalahi	Birdlife Indonesia	Social and environmental issues, ecosystem restoration, conservation of birds and their habitat
5	Edi Purwanto	Tropenbos Indonesia	HCV and landscape restoration
6	Didy Wurjanto	Badan REDD+ (during the process he worked with Conservation International)	During process: protection of the environment
7	Christine Wulandari	UNILA	Education aspects
	Haqi Wibowo	Consultant for IFCC	Translator
	Yuli Wridyanti	IFCC Secretariat	Observer
	Teni Marfiani	IFCC Secretariat	Observer
*	Nurchahyo Adi	Consultant for IFCC	Observer
	Rutger de Wolf	Form international	Assessor

* Attended the last part of the meeting.

Attendees list 6: Visit to the field testing site

	Date:	10 & 11 April 2014
	Name	Organization
1	Dian Novarina	APRIL – RAPP
2	Susanti	APRIL – RAPP
3	Andi Zulfandi	IFCC Secretariat – Project Leader
4	Lillian Kallman	AJA Sertifikasi Indonesia – CB that conducted the field testing (member of SC)
5	Nurchahyo Adi	Consultant for IFCC
6	Jaroslav Tymrak	Consultant for IFCC
7	Rutger de Wolf	Form international - Assessor
8	Mr. Elvis	APRIL – RAPP
9	John Lewis Bathgate	APRIL – RAPP
10	Mr. Jordan	APRIL – RAPP
11	Aulia Aruan	APRIL – RAPP
12	Inra Gunawan	APRIL – RAPP
13	Many other employees	APRIL – RAPP



Attendees list 7: Governmental Organizations

	Date and time:	14 April 2014, 9.00 – 10.00	
	Name	Organization	Representing
1	Hadjmatun Barorok	Ministry of Forestry	Governmental issues related to standardization and the environment
2	Jhonny Holbert Paujaitan	Ministry of Forestry	Governmental issues related to research and development for policies and climate change
3*	Christine Wulandari	UNILA	Education aspects
4*	S.T. Sugiono	APP	Labour Union
	Yuli Wridyanti	IFCC Secretariat	Observer & translator
	Teni Marfiani	IFCC Secretariat	Observer & translator
	Rutger de Wolf	Form international	Assessor

* They were already present (for next meetings), but did not participate in the discussions.

Attendees list 8: Workers and Trade Unions and Business Community

	Date and time:	14 April 2014, 10.30 – 12.30	
	Name	Organization	Representing
1	S.T. Sugiono	APP	Labour Union
2	Representative of Khoirul Anam	KAHUTINDO	Trade Union
3	Herman Prayudi	APHI (association of Indonesian Forest Concession Holders)	Trade Union
4	Kurniadi Suherman	Indah Kiat Pulp & Paper	Business community
5	Iwan Setiawan	Rimba Hutani Mas	Business community
6	Sera Noviany	Sinarmas Forestry	Business community
7	Ragita Wirastrri	Pabrik Kertas Tjiwa Kimia	Business community
8	Christine Wulandari	UNILA	Education aspects
	Yuli Wridyanti	IFCC Secretariat	Observer & translator
	Teni Marfiani	IFCC Secretariat	Observer & translator
	Rutger de Wolf	Form international	Assessor

Attendees list 9: Business Community and Forest Managers

	Date and time:	14 April 2014, 14.30 – 15.30	
	Name	Organization	Representing
1	Canecio Munoz	Sinarmas Forestry	Forest Managers
2	Dewi Bramono	APP	Business community
	Yuli Wridyanti	IFCC Secretariat	Observer
	Tani Marfiani	IFCC Secretariat	Observer
	Rutger de Wolf	Form international	Assessor

Attendees list 10: Wrap-up meeting with IFCC

	Date and time:	15 April 2014, 9.00 – 10.00	
	Name	Organization	
1	Saniah Widuri	IFCC Board of Directors – General Secretary	
2	Dewi Suryati	IFCC Board of Directors – General Treasurer	



3	Zulfandi Lubis	IFCC Secretariat – Project Leader
4	Yuli	IFCC Secretariat
5	Teni Marfiani	IFCC Secretariat
6	Didik Suharjito	Chair of the Standardisation Committee (IPB University)
7	Dian Novarina	Member of the Standardisation Committee (APRIL)
8	Lillian Kallman	Member of the Standardisation Committee (AJA Sertifikasi Indonesia)
9	Daru Asycarya	Consultant for IFCC
10	Sera Noviany	Member of the Standardisation Committee (Sinarmas Forestry)
11	Nurchahyo Adi	Consultant for IFCC
12	Jaroslav Tymrak	Consultant for IFCC
13	Rutger de Wolf	Form international - Assessor

Next to these group sessions, three individual interviews were held with Aulia Aruan and Inra Gunawan (APRIL – RAPP), with Jan-Frans Bastiaanse (Control Union, Certification Body) and with Bart van Assen (DoubleHelix, company for applied forest genetics for conservation and sustainable timber trade). The latter two provided more general information on the forest sector of Indonesia.

Summary of the presentations and discussions with IFCC

Introductory presentation by IFCC

Mr. Dradjad Wibowo explained that the Lembaga Ekolabel Indonesia (LEI) initiative was a very lengthy process and did not receive international recognition. Therefore stakeholders asked him to assist in the establishment of a new organization and to develop a national forest certification standard in a more effective way. From the very beginning it was decided to aim for PEFC endorsement. Stakeholders were also asked to become member to the IFCC.

An international consultant and expert on PEFC (Mr. Jaroslav Tymrak) was contracted to assist during the standard setting process, to ensure that they would not make the same mistakes as during the LEI process and to avoid misinterpretation of PEFC requirements.

During the process the IFCC tried to include all stakeholders as much as possible. Since Indonesia is a large country with large population and high number of stakeholders' organisations, the IFCC decided to focus on umbrella organizations that represent the wide-spread local organizations. Since the forest-related Rimabawan Interaktif network has 1300 members (and is free and open to all interested parties), representing a wide range of stakeholders from varying background, this network was used to (initially) identify relevant stakeholders to the standard setting process.



Some of the stakeholders had to come from other provinces of Indonesia. To enable them to participate in the meetings, the IFCC paid for the travel costs of all non-business stakeholders.

Assessor's presentation

Mr. Rutger de Wolf provided some background information on Form international, its experience with forestry, certification, and conformity assessments for PEFC, and the assessment team. Next, he explained the role of the assessor, how the conformity assessment was done and in what case non-conformities were identified. It was explained that the assessment was done based on the English texts, and that some of the English parts need translation improvement.

The recommendation to the PEFC was explained, next to the need for additional references, clarifications and/or adjustments in the IFCC Scheme to solve the non-conformities found.

Presentation on standard setting process by IFCC

The presentation by the IFCC on the standard setting process provided some additional information to the SSR and background information on the Indonesian context:

- Indonesia has approximately 120 million ha of forest; 64 million ha is primarily allocated by the government for production, 26 million ha is allocated for conservation and 30 million ha is allocated as protection forest (e.g. on slopes and riparian forests). No cutting is allowed in the latter two forests. At local scale, the production forests consist of plantation forests and selective cutting in natural forests. Although this is allocated as production forests, forest companies do need to allocate within this area additional protected forests.
- SVLK (for the VPA with the EU) is developed by the Indonesian Government and is mandatory for all Indonesian companies wanting to export their timber, and includes a range of requirements on legality. Auditing is done by third parties.
- There are many business to business certifications (such as ISO) that Indonesian Forestry Companies apply for.
- The biggest challenge for the IFCC at the start of the standard setting process was to convince the stakeholders of the importance of a new / additional certification scheme. However, the number of people that attended the 6 March 2012 meeting was relatively high: 63 of 100 people invited.
- Although the 6 March 2012 is mentioned as the kick-off of the standard setting process, the IFCC did already have discussions with stakeholders before that date.
- The seminars during the second public consultation period did include the two most important forestry areas of Indonesia: Riau (Pekanbaru) and Kalimantan (Samarinda).
- Initially only one public consultation period was planned. However, during the first period the IFCC received hardly any responses. During summer



2013 it was decided to improve the public consultation and arrange for a second public consultation period. Since stakeholders were not sending their comments, it was decided to include seminars to get stakeholder's input during these meetings. The second public consultation period did indeed result in more comments. Comments and questions from these public consultations did mostly relate to certification in general. Very few comments were received on the specific requirements within the standards.

Summary of the discussions with stakeholders

The table below presents the main responses from the interviews with stakeholders. Some separation is made between the answers from different stakeholder groups (see first column).

QUESTIONS RELATED TO THE STANDARD SETTING PROCESS	
Were there any comments put forward regarding the Standard Setting Procedures?	
NGO's and Indigenous People and Local Communities	No. One of the indigenous people: I was very lucky that I was invited by the IFCC to participate in the SC. Furthermore I observed that the SC members were not randomly selected, but that each member had specialized knowledge on forests and forest related issues.
Scientific and Technological community	No. During the process the DWG often split up in subgroups to discuss specific requirements.
Workers and Trade Unions	The IFCC gave step by step clarification on the process to follow. All participants agreed with the proposed process.
Did the SC represent the main relevant stakeholders related to forestry in Indonesia?	
NGO's and Indigenous People and Local Communities	I was born and grew up in the forest, I did represent the indigenous people. The SC had a good representation of the indigenous people of Indonesia. Comparing to the LEI process, more NGO's were involved. Including NGO's that are fighting for the rights of indigenous people and local communities. As long as the standard gives a win-win situation for both forest companies and local communities / indigenous people, the standard is accepted. If the IFCC uses the standard for personal interest, than there will be protest. This standard is accepted for the rights of local / indigenous people. The criterion on community rights of forest resources utilization is surprisingly good for the Indonesian context. Local people are not only provided job opportunities, but also personal development.
Scientific and Technological community	Yes. Although AMAN was not in the SC, some lower representatives did and AMAN participated in the public consultations.
Were there any relevant environmental NGO's missing in the process?	
NGO's and	There was very little consultation in the rest of the country. The SC



Indigenous People and Local Communities	mainly consisted of people from Java. It should have been preferred if there was a better involvement from especially NGO's from other Islands. Although the geographical spreading of stakeholders in general was sufficient, this was not the case for the NGO's. More local NGO's could have been involved.
Is the Rimbawan Interaktif an adequate medium to reach a broad range of stakeholders?	
Scientific and Technological community	Yes, a huge variation of stakeholders is participating and it does represent / is open to stakeholders of the whole country.
Business Community and Forest Managers	Yes, we do think so. Many people are subscribers, and many discussions take place in this network.
Were the invitations for meetings and seminars provided in a timely manner?	
NGO's and Indigenous People and Local Communities	Yes, sufficiently. We had enough time to go through any documentation and to arrange for it in our agenda. Mostly 2 weeks in advance, sometimes a little bit less.
Scientific and Technological community	Yes, mostly 2 weeks in advance. Furthermore, drafts were both sent prior and after the meetings.
Business Community and Forest Managers	Yes, generally 1 or 2 weeks. For remote areas 2 weeks is general, for cities 1 week and for towns 3 or 4 days. The two weeks for remote areas are needed to provide representatives the opportunities the issues with the communities.
What are the biggest issues for you and/or your organization / company? Have your concerns been considered in the process and are these sufficiently covered in the standard?	
NGO's and Indigenous People and Local Communities	<p>Indigenous people are often the victim of forestry systems, and they don't want to be a victim anymore. The IFCC standard does give us hope that it will be better in future.</p> <p>Other stakeholders, not directly representing indigenous people and local communities, did also put forward issues on these stakeholders. For example the input provided by some private companies and the local authority representative of Papua.</p> <p>There are many issues related to labour, especially in relation to contractors. This is well covered in the standard.</p> <p>There are also concerns on women and children, since bad forest management does negatively impact these groups. However, this concern is well covered in the standard.</p> <p>Comment of indigenous people: it was very supporting that the indigenous people were included as a member in the SC. I believe that this standard will also assist us in solving other issues with non-forest related companies.</p> <p>Indigenous stakeholders: The development of the standard provided opportunity to come up with the concerns of the surrounding communities. Although the standard does not cover all our</p>



	<p>requirements, it reaches the level of our expectations and does sufficiently cover our concerns to approve the standard.</p> <p>We are supporting this standard, as we expect that it will result in a harmonization between the government, the indigenous people and the investors. Indigenous people sometimes suffer from the constraints between the government and the Investors. We expect that the government will also consider the input of indigenous people based on the experience with this system, and that the harmonization between the government and investors will also lead to an improvement of the situation of the indigenous people.</p> <p>Social stakeholder: A very positive aspect of the system is the strong emphasis on the participative approach for seeking solutions if there are any issues with surrounding communities. If there is any concern, the MU has to make effort to get into dialogue with the communities. This is relatively new to the Indonesian context.</p>
Business Community and Forest Managers	<p>Yes, although not literally, but acceptable. Our main concern was that the standard would at least meet the PEFC minimum requirement to make it an international credible scheme.</p> <p>We do think that this process will also have an implicit influence on a mind shift at governmental level, for instance in relation to the conversion issue.</p>
Workers and Trade Unions	<p>The IFCC Scheme is in the Indonesian context very progressive in relation to the workers and social issues. By the way, labour rights are well covered in regulations (including ILO conventions). The main concern was the expertise of auditors, who will set up the verifiers. We do hope that they really know the labour issues and will be able to check the right verifiers and be sensitive to notice critical situations. We overlooked this part. The standard regarding certifying bodies does not sufficiently cover this requirement yet, additional requirement should be added.</p> <p>Child labour is a difficult issue. In several cases no secondary school is available in the village and parents do not want to leave their children at home alone. In such cases they bring their children to their work area where they assist in their jobs. Sometimes this is excepted by companies, in which cases children are given the easy, non-heavy and less / non-dangerous tasks. If companies are not allowed anymore to provide jobs for children, this will create a social problem, which need to be solved. It would be good if companies can provide boarding schools. In relation to safety issues, workers are obligated to use PPE. However, many workers are not used to wear such cloths and / or equipment and are more convenient not using the PPE (e.g. because of the heat).</p> <p>In general all workers and trade issues are considered and well covered in the standard.</p>
Could every SC member participate in the E-mail discussions?	
NGO's and Indigenous People and Local Communities	<p>Yes, even the indigenous people living in remote areas had proper access to internet during the process.</p>



Were comments received from public consultations considered by SC / DWG?	
NGO's and Indigenous People and Local Communities	Yes, one by one.
Scientific and Technological community	Yes, always. We have met four times and discussed all the issues in groups.
Workers and Trade Unions	Yes, these were discussed point by point in several meetings and resulted in changes in the standards.
Was there any voting done in the SC and how did it happen?	
NGO's and Indigenous People and Local Communities	<p>During the process no voting was done. During the meetings the chair reviewed the requirements point by point, which were discussed. Discussions per topic were finished when we agreed upon it. We often discussed the issues in subject specific groups. In the final meeting this process was finalised. Although there were still different opinions on interpretation, we reached solution and agreed on the final draft. To receive additional approval from SC members, an E-mail was sent to the members that were not present. They were requested to confirm if they approve the standard.</p> <p>Once in a discussion on the conversion criteria the decision was made based on a majority.</p> <p>Regarding the approval of the final draft: absent members were sent an e-mail with the explanation that they could agree, or not on the final draft.</p>
Scientific and Technological community	<p>No voting was done. Many discussions were done in small groups, in which everybody could give his/her opinion. Through discussions agreement was reached on the requirements.</p> <p>Regarding the approval of the final draft: absent members were sent an e-mail and asked whether they agreed or had another opinion on the standard and if they could confirm that by submitting their signed approval.</p>
Workers and Trade Unions	<p>No, more a process to reach consensus. The discussion on conversion of forest was very heavy and critical, but we finally succeeded to draft a requirement that all SC members agreed with.</p> <p>As far as we know there were no objections raised when the final draft was proposed for approval. A letter was sent to all absent SC members that clearly requested them to approve the standard or raise objections. One of the biggest challenges was to get all the SC members together, since many members have a full agenda and there are geographical issues (members that had to make long travels to come to the meetings). The IFCC worked with an anticipating approach: the materials and minutes were provided in time, and SC members could submit comments in between the meetings. Therefore, each member could always submit their opinions and concerns.</p>
What was the role of the project leader in the SC?	
NGO's and Indigenous	During the meetings the project leader provided feedback and guidance on the discussions. The meetings were often split up in groups, in such



People and Local Communities	cases the project leader also functioned as a chair of a subgroup.
How was the standard setting process in general received?	
NGO's and Indigenous People and Local Communities	The standard setting process was in the Indonesian context very unique, since many stakeholders could participate, and the standard is not internationally driven, but could be developed for the Indonesian context and is therefore applicable for the Indonesian context. Furthermore, it is unique that a wide range of stakeholder did have the possibility to discuss thoroughly each requirement of the standard, and even provide changes in the proposed texts. In between the SC meetings, there were even many discussions on issues and requirements through E-mail group discussion. The results were always submitted two weeks before an SC meeting, and changes sent after the SC meeting.
Were travel expenses compensated?	
NGO's and Indigenous People and Local Communities	Yes.
Scientific and Technological community	Yes.
Do you know of any complaints raised during the process?	
NGO's and Indigenous People and Local Communities	No.
Scientific and Technological community	There were a lot of discussions but no complaints.
Workers and Trade Unions	No, there were only very deep and heavy discussions, but at the end of each meeting we could reach an agreement on the specific content.
QUESTIONS RELATED TO SPECIFIC FOREST CONCERNS	
The requirement on compliance with laws does have a clause in the case of non-compliance. Is there a risk that companies will misuse this requirement?	
Scientific and Technological community	We don't think there is such a risk. This requirement was agreed by SC members. The SC has made all the decisions and represented many stakeholders. Even the chair was selected by the SC.
Is there a risk of damage to the plantation because of wild animals?	
Government Organizations	Grazing by cattle is an issue, but we don't think that grazing by wild animals is a problem. Damage by Elephant's in palm oil plantations is however an issue.
Workers and Trade Unions	No, hardly. Not at large scale.
Business Community and Forest	Some: orangutans and other primates (macaques) eating bark and leaves. In most locations this is insignificant, in some locations it is however a significant concern. In cooperation with NGO's and local



Managers	government, wildlife conservation initiatives can be introduced to solve these problems.
Do forestry companies use organic fertilizers?	
Business Community and Forest Managers	In plantations the bark of trees is used as compost. Cow manure is very little used and mainly at nurseries. Organic fertilizers are hardly available, and never in high quantities. We mostly use inorganic fertilizers, since these are more efficient. Organic fertilizers are less efficient, but can be used in specific areas to improve the soil qualities (e.g. ECEC). It is however very uncommon to use organic fertilizers on large scale, due to cost-efficiency issues.
Is it often allowed to collect protected species for commercial purposes?	
Scientific and Technological community	This is very uncommon. There are furthermore high fines. Exploiting protected species is very risky. There is only one company (Diamond Raya) that has a license to cut Ramin. But this is very uncommon practice. It is not easy to obtain a license to cut protected species.
What kind of products are generally included in the concept of NTFP in the Indonesian context?	
NGO's and Indigenous People and Local Communities	Respondents listed plant-related products. When specifically asked if animals (fish, game, birds) are also considered, this was strongly confirmed.
Scientific and Technological community	Respondents listed mainly plant-related products. When specifically asked if animals (fish, game, birds) are also considered, this was strongly confirmed.
When is a forest classified as degraded in the Indonesian context and by whom?	
NGO's and Indigenous People and Local Communities	There are many perceptions and definitions on degraded forest. There is a concern of overexploitation, and it would be good to include a description of degraded forest. There are many concerns related to how forest companies hire local people for forest destruction, or how deforestation leads to the disruption (socially, culturally and with regards to the relation between human and forest) in local communities, sometimes resulting in heavy clashes. It is expected that such problems can be resolved through the implementation of the IFCC standard.
Scientific and Technological community	The Government uses the definition of less than 20 m ³ /ha. However, this is not practical since it does also include young forests (such as in plantations). Most scientist do not agree with this definition. To our idea degraded means: hardly any trees and many shrubs, such as fallow forest. Another issue is that there are no permanent borders for production forests. They are not marked in the field and land-use planning can easily be changed/ revised by the government.
Government Organizations	Indonesian legislation provides a definition: "Forest degradation means the deterioration of forest cover quantity and carbon stock during a certain period of time as a result of human activities." (Procedure for Reducing Emissions from Deforestation and Forest Degradation (REDD) - Nomor : P.30/Menhut-II/2009)
Workers and	This is a hot issue especially in relation to deforestation. Formerly forest



Trade Unions	regulations provided a definition: forests with less than 20 m ³ /ha are considered degraded. Papua forests are however close: around 40 m ³ /ha. New regulations have not such a threshold, but state that it depends on the specific local situation. There are however still many discussions regarding the definition of degraded forest.
Business Community and Forest Managers	According to regulations there are various forms of degradation. It is important to look at landscape of FM unit itself to assess whether the forest is degraded.
Are there any policy instruments related to the Forest sector in Indonesia?	
Government Organizations	We don't know if these exist in Indonesia.
How is land-use planning organized?	
Government Organizations	<p>Production forest is meant for harvesting, Protection forest is meant for the protection of large vulnerable areas (mountain slopes, riparian areas), and Conservation forest is meant for the protection of forests. In the latter two no harvesting is allowed. The national Government allocated these three types of forests. If a district wants to convert some forest, they have to ask the national Government for permission. The National Government will then check the situation and assess whether the permission can be granted or not.</p> <p>In principle the conversion of forests in the production areas is not allowed. Production forest are primarily meant for selective logging. If there is a need or request for conversion, the district shall ask permission to the Ministry of Forestry.</p> <p>Next to these forest type allocations, areas that are forested might also be allocated for other land-use. Forest conversion is then allowed, although both the Ministry of Forestry and Ministry of Agriculture have to provide permission.</p>
Is the TPTI silvicultural system sustainable?	
Scientific and Technological community	Yes, it can be sustainable. It is an intensive silvicultural system to improve the forest genetic resources, improving the standing and tree qualities. The yield per ha will be increased. Enrichment planting (such as with fast growing meranti) is however not often done. The source of funding for replanting is the biggest problem. The fund established for replanting (paid by forestry activities) does now only provide income for the government.
Does the Forest Management standard sufficiently cover the latest scientific knowledge on forests?	
Scientific and Technological community	Yes. Additional remark: the government improved the Forestry Act, especially in relation to forest inventories. Forest managers need to implement general inventories once in 10 years for monitoring of sustainability of forest management practices and for forest management planning.
Are issues related to protected species and conversion of forests sufficiently covered in the standard?	
NGO's and Indigenous People and	As long as umbrella species can be identified, yes. The standard secures the protection of endangered and protected species. Companies should protect HCVF, which is part of the ecology



Local Communities	<p>requirements in the standard.</p> <p>A general concern is the monopolization of large companies that do not meet local concern. It is however expected that this will be better when applying the standard.</p>
Scientific and Technological community	<p>Yes, there is no conversion risk under the standard.</p>
<p>Does the standard sufficiently cover the environmental and social issues?</p>	
NGO's and Indigenous People and Local Communities	<p>Yes, all the aspects related to ecological and social issues are covered.</p> <p>The requirement to comply with national legislation and international conventions is a plus.</p> <p>Others: so far, yes.</p>
<p>QUESTIONS RELATED TO THE FIELD TESTING, AND THE AUDITABILITY, APPLICABILITY AND FEASIBILITY OF THE SFM STANDARD</p>	
<p>How was the field testing done?</p>	
CB (involved in field testing)	<p>APRIL (RAPP) requested AJA to be the CB to do the audit. The IFCC approved this and provided two trainings to the AJA auditors on the context and content of the standard. AJA developed a list of verifiers based on the IFCC standard and conducted both the administrative and field audit. The audit was done by four auditors.</p> <p>Several issues were found during the pilot testing that needed improvement in the standard: some clauses were not detailed enough, or needed more accurate mandates. After the pilot testing, the findings were discussed and considered by the DWG and the SC. During the field testing the international consultant Jaroslav Tymrak assessed the conformity with the PEFC requirements. Based on both findings, the standard was further improved.</p> <p>All the findings were discussed and considered in a proper way during the SC / DWG meetings and some changes were made in the standard. The Forest Management was initially mainly developed for forest plantations, without the current subdivision in general section, a section for natural forests and a section for forest plantation. One of the results of the pilot testing was that this absence of separation was not adequate and that additional requirements for natural forest should be included. The pilot testing was done in a forest plantation, including the set aside areas.</p>
Workers and Trade Unions	<p>The pilot testing was a bit pre-mature, but it was good to receive feedback to be more specific on certain issues. Maybe we needed an additional pilot testing.</p>
<p>Is the standard auditable? Any difficult parts?</p>	
CB (involved in field testing)	<p>Yes, although at the stage of pilot testing some requirements were not clear enough and needed more detail. The current standard is much better. For instance: it is now clearer what kind of documents shall be provided for evidence, the identification of verifier has become much easier.</p> <p>No difficult parts. With proper training and guidance CB's must be able to properly audit companies against the IFCC standard.</p>
<p>Are there any inconsistencies in the standard?</p>	



CB (involved in field testing)	No.
Is the standard applicable and feasible for forest companies? Any difficult parts?	
CB (involved in field testing)	Yes, at least for large companies. For smaller companies the requirement on R&D might be challenging.
Forest Managers and Business community	Yes. Forestry companies in Indonesia already face the governmental mandatory certification to comply with forestry legislation, and companies who are exporting their timber also need SVLK certification (under the VPA with the EU). Forestry companies are therefore becoming more and more familiar with certification. The IFCC Scheme does require more from forestry companies, and during the standard setting process they were carefully assessing whether the Standard requirements would not contradict with national legislation. According to them, the current standard does not contradict with these legislation.
Workers and Trade Unions (and Business Community)	Yes, companies can for sure reach this scheme level. It is not really new to them, there are already other certification schemes. The new part would be the international recognition of Indonesian certification. All requirements can be achieved and do not ask extreme efforts of forestry companies. It is expected that this standard is suitable in the field, applicable for forestry companies.
Business Community and Forest Managers	Yes, it is practical and we do not see any significant difficult parts to implement.
ADDITIONAL QUESTIONS	
How is this IFCC Scheme received by the Indonesian Government?	
Government Organizations	It was a long process with multi-stakeholder involvement, in which the Government always attended the meeting, since the Government is positive regarding this development.
Will many forestry companies try to get certified under this scheme?	
Business Community and Forest Managers	Yes, in particular plantation forestry companies. However, we do also expect that forestry companies operating in natural forests (selective logging) will also try to apply for IFCC certification. The scheme is also applicable and feasible to them. Although the scheme is also expected to be very applicable and implementable for community forests, the biggest challenge to them will be financial resources.
What are the differences between the IFCC Scheme and the other mandatory national certification schemes?	
Business Community and Forest Managers	Differences: <ul style="list-style-type: none"> • IFCC has clearer and stronger requirements related to conversion of natural forests; • IFCC will be more credible internationally; • Requirements related to the use of fertilizers and insecticides are more specific; • Requirements related to local communities and indigenous people are more clear, what is accepted and what not; • The mandatory schemes do have more room for interpretations and debates.



Are there any issues the assessor should know?	
NGO's and Indigenous People and Local Communities	The criteria and indicators were developed well, however, will it also be applicable? How to involve broad stakeholder input? Because auditors have little understanding of mainly the social issues. The current level of requirement is high, but it needs to be improved in the coming years to reach higher levels.
Scientific and Technological community	Concessions outside Java are commonly not established based on natural borders, but based on governance structures. The management of concessions, such as hydrological systems, are therefore more complicated.
Forest Managers and Business community	We appreciated the multi-stakeholder process, since that gave us better insight in the concerns of the stakeholders, and enables us to adequately respond to these concerns.
Workers and Trade Unions (and Business Community)	The SC had many different backgrounds. We did have the consensus to make sure that everybody would be happy with the standard. We have learned from the LEI process, the IFCC process was more efficient. We tried to do a bottom-up approach. The chairman of the SC was very transparent in delivering the agenda, minutes and additional information to the SC members.

Summary of the visit to the field testing site

The visit to the field testing site provided information on plantation forestry and some of the Indonesian forestry issues, such as forest conservation, forest protection, encroachment, illegal logging, forest fires, effect of buffer zones, set aside areas and forest operations on surrounding areas and vice versa, and the effect of large scale forest plantations on local ecology, economy and societies.

Next to a fly-over by helicopter to see a mosaic of several estates, national parks and surrounding agricultural lands, several estates were visited: the Pelalawan Estate, Tesso Estate and Ukui Estate (some are in peat areas, others on mineral soils). On the Estates several aspects of forest management were illustrated, both during presentations at the Estate offices and in the field:

- Tree propagation in nurseries (both indigenous and introduced species – Acacia and Eucalyptus species)
- Water management in the peat forest areas
- Preparations for planting
- Several growth stages of forest plantations
- Transport through channels
- Conservation areas
- Measures to keep wild elephants into the conservation areas
- Occupational Safety and Health issues
- Harvesting activities
- Transport of logs
- Local communities engagements and development projects



According to several representatives of RAPP the IFCC Scheme is applicable for forestry companies. Forestry companies in Indonesia already face the governmental mandatory certification to comply with forestry legislation, and companies who are exporting their timber also need SVLK certification (under the VPA with the EU). Forestry companies are therefore becoming more and more familiar with certification. The IFCC Scheme does require more from forestry companies, and during the standard setting process they were carefully assessing whether the Standard requirements would not contradict with national legislation. According to them, the current standard does not contradict with these legislation. They furthermore appreciated the multi-stakeholder process, since that gave them better insight in the concerns of the stakeholders, and enables them to adequately respond to these concerns.

Summary of the wrap-up meeting with IFCC

During the wrap-up meeting, Mr. Rutger de Wolf presented the most relevant and important findings of the field assessment:

- The IFCC provided relevant additional records, references and clarifications;
- The main outcomes of stakeholders consultations:
 - In general these discussions provided valuable and relevant information to a wide range of topics;
 - Stakeholders (including indigenous & local people) were very positive on the broad and intensive stakeholders involvement during the standard setting process;
 - The process was considered very intensive, but with a good outcome;
 - Stakeholders generally considered the standard setting as exceptional for the Indonesian context, mainly because of high transparency, information provided on time and even after meetings, high involvement of broad range of stakeholders in developing the standard and high efficiency in the development of the standard and equal opportunities in reaching consensus on each of the criteria of the standard;
 - The results from the questionnaires showed that there were several complaints during the process. However, some of these respondents were asked for clarification and it appeared that they did not mean formal complaints, but intensive discussions amongst SC members;
 - There were still some concerns related to the definition of “degraded” forests;
 - According to stakeholders, in specific forestry companies and CB’s, the standard is implementable, applicable and feasible;
 - Stakeholders were of the opinion that their concerns were considered during the process and sufficiently covered in the standard;



- Stakeholders were generally proud on this national forest certification scheme and are looking forward to endorsement by the PEFC;
- The field visit provided valuable background information on plantation and forestry issues in the Indonesian context.

Next, an overview was presented of non-conformities within the sustainable forest management standard that would be solved based on the additional references provided during the field assessment.



