

Guidelines PEFC Council Minimum Requirements Checklist	Revised on 4 February 2010	GL 2/2010
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PEFC Council Minimum Requirements Checklist

TABLE OF CONTENTS

OBJECTIVE	2
SCOPE	2
PART I: MINIMUM REQUIREMENTS CHECKLIST FOR STANDARD SETTING	
PROCESS (ANNEX 2)	3
1 SCOPE	3
2 CHECKLIST	3
3 APPLICATION DOCUMENTATION.....	8
PART II: MINIMUM REQUIREMENTS CHECKLIST FOR CERTIFICATION	
SCHEMES AND THEIR IMPLEMENTATION (ANNEX 3)	10
1 SCOPE.....	10
2 CHECKLIST	10
PART III: MINIMUM REQUIREMENTS CHECKLIST FOR SCHEME COMPLIANCE	
WITH PEOLG (ANNEX 3, CHAPTER 4.2)	16
1 SCOPE.....	16
2 CHECKLIST	16
PART IV: MINIMUM REQUIREMENTS CHECKLIST FOR SCHEME COMPLIANCE	
WITH ATO / ITTO PCI (ANNEX 3, CHAPTER 4.3)	20
1 SCOPE.....	20
2 CHECKLIST	20
PART V: MINIMUM REQUIREMENTS CHECKLIST FOR SCHEME COMPLIANCE	
WITH ITTO GUIDELINES (ANNEX 3, CHAPTER 4.4)	22
3 SCOPE.....	22
PART VI: MINIMUM REQUIREMENTS CHECKLIST FOR SCHEME SPECIFIC	
CHAIN OF CUSTODY STANDARDS (ANNEX 4)	28
1 SCOPE.....	28
2 CHECKLIST	28
PART VII: MINIMUM REQUIREMENTS CHECKLIST FOR CERTIFICATION AND	
ACCREDITATION PROCEDURES (ANNEX 6)	31
1 SCOPE.....	31
2 CHECKLIST	31

OBJECTIVE

The objectives of this guideline are (i) to assist bodies, which develop or revise their forest certification schemes and preparation of an application for PEFC Council endorsement, and (ii) to facilitate the assessment of the compliance of a national or sub-national forest certification scheme against the PEFC Council requirements carried out by the PEFC Council as a part of its endorsement and mutual recognition process (*Annex 7 Endorsement and Mutual Recognition of National Schemes and their Revision*).

SCOPE

These guidelines cover the PEFC Council minimum requirements, which shall be met by national and sub-national schemes and standards applying for PEFC Council endorsement and mutual recognition as per chapter 4, Annex 7 (*Endorsement and Mutual Recognition of National Schemes and their Revision*), and are a part of the application for the PEFC Council endorsement and mutual recognition as defined by chapter 5, Annex 7 (*Endorsement and Mutual Recognition of National Schemes and their Revision*).

These guidelines were adopted by the PEFC Council Board of Directors on 2 April 2003 and revised on 27 January 2005, 28 April 2005, 26 January 2006 26 January 2007, 31 January 2008 and 4 February 2010.

PART I: MINIMUM REQUIREMENTS CHECKLIST FOR STANDARD SETTING PROCESS (ANNEX 2)

1 SCOPE

Part I covers the requirements for the standard setting process defined in Annex 2 of the PEFC Council Technical Document (*Rules for Standard Setting*).

2 CHECKLIST

Abbreviations:

IFA	Irish Farmers Association
IFCS	PEFC Irish Forest Certification Standard
ITGA	Irish Timber Growers Association
SSF	Standard Setting Forum
TWG	Technical Working Group

No.	Question	Reference to PEFC Council doc.	Assess. basis*	YES /NO*	Reference to application documents
Standard setting for forest certification					
1	Has the development of the certification standards been independent from the certification and accreditation process? [*1]	Annex 2, 3.2	Doc.	Yes	IFCS Introduction; Scheme Introduction, section 6, Annex 4 and Appendix 5
			Process	Yes	Chairman and members of the SSF are all independent of the certification and accreditation process.
2	Has the standard setting process been carried out at national and/or sub-national levels?	Annex 2, 3.3	Doc.	Yes	IFCS Introduction; Scheme Introduction, section 6, Annex 4 and Appendix 5 (clause 2.3)
			Process	Yes	The standard setting process and IFCS are at national level
3.	Has the standard setting process been co-ordinated by the PEFC National Governing Body? [*1]	Annex 2, 3.3	Doc.	Yes	Scheme section 6.1
			Process	Yes	The National Secretary of PEFC Ireland also acted as Secretary to the SSF
4.	Has the certification standard been drafted to be applied at individual and/or group and/or regional level?	Annex 2, 3.3		Yes	See Scheme section 7.3 and IFCS Introduction. PEFC ST 1002:2010 applies to Group Certification Schemes
5.	Has the development of certification criteria been initiated by national forest owners' organisations or national forestry sector organisations having support of the major forest owners' organisations in that country? [*1]	Annex 2, 3.4.1		Yes	See Scheme documentation and IFCS Introduction. The entire process was initiated by ITGA, with subsequent support of the Forest Service, Coillte Teo and the IFA
6.	Have all relevant interested parties representing the different aspects	Annex 2, 3.4.1	Doc.	Yes	Scheme section 6.1 and Appendix 5 (clause 2.4); IFCS Introduction

No.	Question	Reference to PEFC Council doc.	Assess. basis*	YES /NO*	Reference to application documents
	of sustainable forest management been invited to participate in the standard setting process and a created Forum? [*1]		Process	Yes	Correspondence, meetings and discussions were conducted with representative of key environmental, economic and social organisations with interests in SFM
7.	Do consensus-building procedures of the Forum provide for balanced representation of interest categories? [*2]	Annex 2, 3.4.1	Doc.	Yes	Scheme sections 6.2 and 6.6, and Appendix 5 (clause 2.4); IFCS Introduction
			Process	Yes	The SSF is structured on a 3-chamber basis with 5 seats on each chamber. Seats on the economic and environmental chambers remain vacant
8.	Have the views of all relevant interested parties been documented and considered in an open and transparent way? [*3]	Annex 2, 3.4.1	Doc.	Yes	Scheme section 6; IFCS Introduction; Minutes of all SSF and TWG meetings
			Process	Yes	Minutes of meetings record views of Forum members; results of public consultation reported on independently
9.	Has the formal approval of standards been based on evidence of consensus? [*3]	Annex 2, 3.4.1	Doc.	Yes	Scheme section 6 and Appendix 5; IFCS Introduction; Minutes of all SSF and TWG meetings
			Process	Yes	Minutes record that approval was unanimous
10.	Does the implementation of the consensus based approach comply with Guideline GL 5/2006	GL 5/2006	Doc.	Yes	Scheme Appendix 5 (clause 2.4.6)
			Process	Yes	Minutes record that consensus was reached at each stage
11.	Has the Forum defined its own written procedures which have been made available to interest parties upon request? [*2]	Annex 2, 3.4.1	Doc.	Yes	Scheme Appendix 5
			Process		The written procedures were posted on the PEFC Ireland website when ratified
12.	Do the written procedures for standard setting contain an appeal mechanism for impartial handling of any substantive and procedural complaints? [*2]	Annex2, 3.4.1	Doc.	Yes	Scheme Appendix 5 (clause 2.8)
			Process	Yes	See Scheme Appendix 5 (clause 2.8)
13.	Has the start of the standard setting process been communicated to the public? [*3]	Annex 2, 3.4.2	Doc.	Yes	Scheme Appendix 5 (clause 2.7)
			Process	Yes	Communicated to the public in the national press and by direct notification to key stakeholders
14.	Has the information on the development process been distributed and discussed? [*3]	Annex 2, 3.4.2	Doc.	Yes	Scheme Appendix 5 (clause 2.7)
			Process	Yes	Communicated to stakeholders by direct notification and posting on PEFC Ireland website
15.	Has the final draft standard been available to all interested parties, e.g. by posting it on the Internet? [*3]	Annex 2, 3.4.2	Doc.	Yes	Scheme Appendix 5 (clause 2.7)
			Process	Yes	Communicated to stakeholders by direct notification; advertised in the national press; final draft

No.	Question	Reference to PEFC Council doc.	Assess. basis*	YES /NO*	Reference to application documents
					standard posted on PEFC Ireland website
16.	Has the final draft standard been sent out for formal national consultation process? [*3]	Annex 2, 3.4.3	Doc.	Yes	Scheme Appendix 5 (clause 2.7)
			Process	Yes	National public consultation commenced 25 th March 2010 and closed on 11 th June 2010
17.	Have views of interested parties been discussed? [*3]	Annex 2, 3.4.3	Doc.	Yes	Scheme section 6.4
			Process	Yes	Minutes record discussions; independent consultants report on consultation responses considered at SSF meetings
18.	Has the Forum given general information on the changes made as a result of a consultation process? [*3]	Annex 2, 3.4.3	Doc.	Yes	IFCS Introduction
			Process	Yes	Final approved version of the IFCS with agreed amendments highlighted was posted on PEFC Ireland website and all respondents notified directly
19.	Had the consultation been at least 60 days? [*3]	Annex 2, 3.4.3	Doc.	Yes	Scheme section 6.6; IFCS Introduction
			Process	Yes	Consultation lasted 79 days from 25 March to 11 June 2010
Standards for chain of custody certification (only if the scheme includes a scheme specific C-o-C standard)					
20.	Has the development of certification standards been independent from the certification and accreditation process? [*4]	Annex 2, 4.1	Doc.		Non-applicable. The Scheme adopts PEFC Annex 4 and PEFC ST 2002:2010
			Process		
21.	Has the process of development of national or sub-national chain of custody requirements been supported by the PEFC National Governing Body? [*4]	Annex 2, 4.2.1			
22.	Have all relevant interested parties representing different aspects of sustainable forest management, wood procurement, processing and retailing been invited to participate in the standard setting process? [*4]	Annex 2, 4.2.1	Doc.		
			Process		
23.	Do consensus-building procedures of the Forum provide for balance representation of interest categories? [*6]	Annex 2, 4.2.1	Doc.		
			Process		
24.	Have the views of all relevant interested parties been documented and considered in an open and transparent way? [*5]	Annex 2, 4.2.1, 4.2.3	Doc.		
			Process		
25.	Has the formal approval of	Annex	Doc.		

No.	Question	Reference to PEFC Council doc.	Assess. basis*	YES /NO*	Reference to application documents
	standards been based on evidence of consensus? [*5]	2, 4.2.1	Process		
26.	Does the implementation of the consensus based approach comply with Guideline GL 5/2006	GL 5/2006	Doc.		
			Process		
27.	Has the Forum defined its own written procedures which have been made available to interest parties upon request? [*6]	Annex 2, 4.2.1	Doc.		
			Process		
28.	Do the written procedures for standard setting contain an appeal mechanism for impartial handling of any substantive and procedural complaints? [*6]	Annex2, 4.2.1	Doc.		
			Process		
29.	Has the start of the standard setting process been communicated to the public? [*5]	Annex 2, 4.2.2	Doc.		
			Process		
30.	Has the information on the development process been distributed and discussed? [*5]	Annex 2, 4.2.2	Doc.		
			Process		
31.	Has the final draft standard been available to all interested parties, e.g. by posting it on the Internet? [*5]	Annex 2, 4.2.2	Doc.		
			Process		
32.	Has the final draft standard been sent out for a formal national consultation process? [*5]	Annex 2, 4.2.3	Doc.		
			Process		
33.	Has the Forum given general information on the changes made as a result of a consultation process? [*5]	Annex 2, 4.2.3	Doc.		
			Process		
34.	Had the consultation period been at least 60 days long? [*5]	Annex 2, 4.2.3	Doc.		
			Process		
Pilot testing					
35.	Have the first results on the testing of the final drafts for national/sub-national forest certification standards and their implementation arrangements been available prior to submission of the scheme for the PEFC Council endorsement and mutual recognition? [*7]	Annex 2, 5	Doc.	Yes	Scheme section 6.6 and Appendix 5 (clause 3); IFCS Introduction
			Process	Yes	Report available. Final approved version of the IFCS with agreed amendments highlighted was posted on PEFC Ireland website
36.	Has appropriate action been taken to incorporate improvements and recommendations prior to submission of the scheme for the PEFC Council endorsement and mutual recognition process? [*7]	Annex 2, 5	Doc.	Yes	Scheme sections 6.4, 6.6 and Appendix 5 (clause 3); IFCS Introduction
			Process	Yes	Report on pilot testing considered by SSF; amendments agreed and highlighted on version posted on

No.	Question	Reference to PEFC Council doc.	Assess. basis*	YES /NO*	Reference to application documents
					PEFC Ireland website
Review of standards					
37.	Have the standards on forest and chain of custody certifications been reviewed at least every 5 years or is it foreseen to review these standards at least every 5 years?	Annex 2, 6.1	Doc.	Yes	Scheme section 6.3 and Appendix 5 (clause 4); IFCS Introduction
			Process	Yes	The SSF will reconvene in order to participate in the review process
38.	Does the scheme documentation indicate which organisation is responsible to initiate the revision work?	Annex 2, 6.1		Yes	Scheme section 6.3 and Appendix 5 (clause 4); IFCS Introduction
39.	Has the revision procedures been participatory, fair and transparent? [*8]	Annex 2, 6.1		No	Non-applicable as revision has yet to take place
40.	Has the PEFC National Governing Body appropriately considered the revisions of the general PEFC requirements for standard setting and implementation in the national standards? [*8]	Annex 2, 6.2		Yes	Standard setting was carried out under PEFC Annex 2 which was cancelled and replaced by PEFC ST 1001:2010 after the standard was finalised. The Scheme notes this in the Introduction. See also Scheme sections 2.6, 2.7 and 6.3
41.	Has the PEFC National Governing Body indicated to the PEFC Council the appropriate considerations of the revisions induced by the PEFC Council in national standards? [*8]	Annex 2, 6.2		Yes	Standard setting was carried out under PEFC Annex 2 which was cancelled and replaced by PEFC ST 1001:2010 after the standard was finalised. The Scheme notes this in the Introduction. See also Scheme sections 2.6, 2.7 and 6.3

3 APPLICATION DOCUMENTATION

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

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

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

YES/NO* If the answer to any question is no, the application documentation shall indicate for each element why and what alternative measures have been taken to address the element in question.

[*1] Includes a description of an organisation responsible for co-ordination and decision making in the forest management standard setting process; details on organisations and/or individuals who participated and/or who were invited to participate in the standard setting process including their status (forest owners, industry, E-NGO, etc.); creation of a Forum and representation of different stakeholders.

Questions: 1, 3, 5, 6

[*2] Includes information on written procedures for forest management standard setting process adopted by the Forum

Questions: 7, 11, 12

[*3] Includes a description of the forest management standard setting process including measures for ensuring transparency and credibility of the standard setting process; details on meetings and other events; public availability of draft documents; consultation process and time periods.

Questions: 8, 9, 13, 14, 15, 16, 17, 18, 19

[*4] Includes a description of a organisation responsible for co-ordination and decision making of the chain of custody standard setting process, details on organisations and/or individuals who participated and/or who were invited to participate in the standard setting process including their status (forest owners, industry, E-NGO, etc.); creation of a Forum and representation of different stakeholders.

Questions: 20, 21, 22

[*5] Includes a description of the chain of custody standard setting process including measures for ensuring transparency and credibility of the standard setting process; details on meetings and other events; public availability of draft documents; consultation process and time periods.

Questions: 24, 25, 29, 30, 31, 32, 33, 34

[*6] Includes information on written procedures for chain of custody standard setting process adopted by the Forum.

Questions: 23, 27, 28

[*7] Includes information on pilot project(s) for the testing of forest management and/or chain of custody standards; scope of the pilot projects; details on organisations/individuals participated in the pilot projects; results of the pilot projects and follow up actions.

Questions: 35, 36

[*8] Includes a description of the process of review and revision of the national standard(s)

Questions: 39, 40, 41

PART II: MINIMUM REQUIREMENTS CHECKLIST FOR CERTIFICATION SCHEMES AND THEIR IMPLEMENTATION (ANNEX 3)

1 SCOPE

Part II covers requirements for certification schemes and their implementation given in Annex 3 of the PEFC Council Technical Document (*Basis for certification schemes and their implementation*).

2 CHECKLIST

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
General requirements for certification criteria				
1	Are the criteria relevant to all types of forests and management systems, which exist in the nation/region they have been elaborated for?	Annex 3, 3.6	Yes	Scheme section 4; IFCS Introduction
2	Do the criteria clearly express the objectives for forest management that can be unambiguously verified by different auditors?	Annex 3, 3.6	Yes	Scheme sections 4 & 7; IFCS Introduction
3	Are management and performance requirements applicable at the level of a forest management unit?	Annex 3, 3.6	Yes	IFCS Introduction
4	Are management and performance requirements applicable optionally also at group and regional levels? ^[*1]	Annex 3, 3.6	No	Group certification schemes must satisfy management and performance requirements at FMU level – see IFCS Introduction
Other requirements for forest management criteria				
5	Does the scheme require that property rights and land tenure arrangements shall be clearly defined, documented and established for the relevant forest area?	Annex 3, 3.5	Yes	IFCS section 1.1.3
6	Does the scheme require the clarification, recognition and respect of legal, customary and traditional rights related to the forest land in compliance with chapter 3.5 of Annex?	Annex 3, 3.5	Yes	IFCS section 7.2.1
7	Does the scheme require that a summary of the forest management plan or its equivalent, which contains information about the forest management measures to be applied, is publicly available, except for confidential business and personal information?	Annex 3, 3.5	Yes	IFCS section 2.1.4
Laws and regulations				
8	Are the national certification criteria in compliance with national laws programmes and policies?	Annex 3, 3.2, 3.6	Yes	IFCS all sections
9	Are the references to national laws, programs and policies indicated in the scheme	Annex 3, 3.6	Yes	IFCS <i>passim</i> & Appendices A, C, D & E

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
	documentation when relevant, e.g., if the requirement of the PEOLG is not addressed in the certification criteria but is included in normative regulations?			
10	Does the scheme include the requirement that any apparent violation of the legislation shall be taken into consideration in internal and external audits?	Annex 3, 3.2	Yes	IFCS section 1.1
ILO Conventions				
11	Are the Fundamental ILO Conventions ratified by the country and implemented through the legislative framework?	Annex 3, 3.3	Yes	IFCS Appendix C
12	Do the national certification criteria address the core elements of those Fundamental ILO Conventions, which have been not ratified by the country?	Annex 3, 3.3	N/a	Not applicable
13	Has the ILO Code of Practise on Safety and Health in Forestry Work been considered in development of national and regional certification criteria?	Annex 3, 3.3	Yes	IFCS section 8.1
Other international conventions				
14	Are the international conventions relevant to forest management and ratified by the country respected through the legislative framework?	Annex 3, 3.4	Yes	IFCS Appendix C
15	Are the requirements agreed upon in the conventions, even if they are not ratified by the country, respected in the certification criteria to the degree that they are covered in PEOLG or other reference documents basis approved by the PEFC Council?	Annex 3, 3.4	N/a	Not applicable
Level of application – general				
16	Are the applicants, the certified areas and participating forest owners/managers/others actors clearly identified in the scheme documentation?	Annex 3, 4.1	Yes	Scheme sections 6 & 7; IFCS <i>passim</i>
17	Does the scheme documentation require that all actors involved in or operating on the certified area comply with the certification requirements?	Annex 3, 4.1	Yes	Scheme section 7.2; IFCS Introduction
18	Does the scheme documentation require that all actors individually certified or participating in regional/group certification are responsible for ensuring that contractors' activities and operations meet the respective forest management criteria?	Annex 3, 4.1	Yes	Scheme sections 6 & 7; IFCS <i>passim</i>
Level of application – regional certification (only for schemes which include regional certification)				
19	Does the national definition of regional certification comply with the PEFC Council definition?	Annex 3, 4.1, a	N/a	“regional” certification now included under “group” certification in next section
20	Does the forest certification standard include criteria for the regional and also for forest management unit level?	Annex 3, 4.1, a		

No.	Question	Reference to PEFCC Council doc.	YES / NO*	Reference to scheme documentation
21	Does the scheme documentation require that the assessment of the certification criteria defined for the regional level covers the whole region to be certified?	Annex 3, 4.1, a		
22	Does the scheme documentation require that sampling for the assessment of the certification criteria defined for the forest management unit level cover forest owners/managers/other actors participating in the regional certification?	Annex 3, 4.1, a		
23	Does the scheme documentation require that the applicant organisation shall be a legal entity?	Annex 3, 4.1, a		
24	Does the scheme documentation require that the applicant organisation should represent more than 50 % of forest area of the region? (<i>This does not need to be fulfilled by the time of the start of certification – see reference</i>)	Annex 3, 4.1, a		
25	Does the scheme documentation describe the applicant's responsibility to assure the compliance of all participants with the certification requirements?	Annex 3, 4.1, a		
26	Does the scheme documentation describe the applicant's responsibility to ensure that credible registers of participants to certification and certified forest area are kept?	Annex 3, 4.1, a		
27	Does the scheme documentation describe the applicant's responsibility to implement rules for regional certification?	Annex 3, 4.1, a		
28	Does the scheme documentation define the responsibilities and authorities of the applicant and participating forest owners/managers for the inclusion of new participants and to inform the certification body thereof?	Annex 3, 4.1, a		
29	Does the scheme documentation define the responsibilities and authorities of the applicant and participating forest owners/managers for the internal control of conformity and follow up corrective and preventive measures?	Annex 3, 4.1, a		
30	Does the scheme documentation describe that forest management certificate is issued to the applicant (certificate holder)?	Annex 3, 4.1, a		
31	Does the scheme documentation describe that participants in regional certification shall receive either a copy of the regional certificate including the appendix (when applicable) listing all participating forest owners or an individual attestation issued by the certification body or the applicant which refers to the main certificate?	Annex 3, 4.1, a		

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
32	Does the scheme documentation require that forest owners/managers/other actors can participate in the regional certification either by (i) entering into an individually signed commitment, or (ii) based on the majority decision of a forest owner's organisation on behalf of forest owners they represent in the region?	Annex 3, 4.1, a		
33	Does the scheme documentation require that only participating forest owners / managers shall be considered as certified; their area counted as certified area and the forest raw material coming from thereof will be considered as certified raw material?	Annex 3, 4.1, a		
34	Does the scheme documentation describe that forest owners should submit all the forest area under his management in the region for certification? <i>(not obligatory to be met but should be aimed at)</i>	Annex 3, 4.1, a		
Level of application – group certification (only for schemes which include group certification)				
35	Does the national definition for group certification comply with the PEFC Council definition?	Annex 3, 4.1 b	Yes	Scheme section 7.3
36	Does the scheme documentation clearly define who the applicant is for group certification?	Annex 3, 4.1 b	Yes	Scheme section 7.3
37	Does the scheme documentation describe the applicant's responsibility to assure the compliance of all participants with the certification requirements?	Annex 3, 4.1 b	Yes	Scheme section 7.3
38	Does the scheme documentation describe the applicant's responsibility to ensure that credible registers are kept of participants to certification and certified forest area?	Annex 3, 4.1 b	Yes	Scheme section 7.3
39	Does the scheme documentation describe the applicant's responsibility to implement the rules for group certification?	Annex 3, 4.1 b	Yes	Scheme section 7.3
40	Does the scheme documentation require that total forest area participating in group certification is recorded?	Annex 3, 4.1 b	Yes	Scheme section 7.3
41	Does the scheme documentation describe that forest owners should submit all the forest area under his management in the catchment area for the group certification? <i>(no obligatory to be met but should be aimed at)</i>	Annex 3, 4.1 b	N/a	No longer a requirement in PEFC ST 1002:2010
42	Does the scheme documentation define the responsibilities and authorities of the applicant and participating forest owners/managers for the inclusion of new participants and to inform the certification body thereof?	Annex 3, 4.1 b	Yes	Scheme section 7.3
43	Does the scheme documentation define the responsibilities and authorities of the applicant and participating forest owners/managers for the internal control of conformity and follow up	Annex 3, 4.1 b	Yes	Scheme section 7.3

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
	corrective and/or preventive measures?			
44	Does the scheme documentation describe that the forest management certificate is issued to the applicant (certificate holder)?	Annex 3, 4.1 b	Yes	Scheme section 7.3
45	Does the scheme documentation describe that participants in group certification shall receive either a copy of the group certificate including the appendix (when applicable) listing all participating forest owners or an individual attestation issued by the certification body or the applicant which refers to the main certificate?	Annex 3, 4.1 b	Yes	Scheme section 7.3
Level of application – individual certification (only for schemes which include individual certification)				
46	Does the scheme documentation describe that forest owner should submit all the forest area under his management in the catchment area of the certification scheme in the certification? <i>(not obligatory to be met but should be aimed at)</i>	Annex 3, 4.1 c	No	The requirement is limited to forest management unit level, ie all the woodland within a single FMU must be submitted
Implementation of changes to the scheme				
47	Does the scheme documentation define transition period(s) for implementation of changes to the endorsed scheme in compliance with chapter 5 of Annex 3. <i>(This is not applicable to the initial endorsement of a scheme)</i>	Annex 3, 5	N/a	Not applicable
Appeals, complaints and dispute procedures				
48	Has the PEFC National Governing Body set up or appointed an impartial and independent dispute settlement body on a permanent basis or does it have written procedures for the establishment of a dispute settlement body on an ad hoc basis?	Annex 3, 6.1	Yes	The latter: see Scheme section 7.7 and Appendix 5 (clause 2.8); IFCS Introduction
49	Has the PEFC National Governing Body established and have documented procedures for an independent dispute settlement body, either permanent or ad hoc, that takes care of those complaints arising from forest management or chain of custody scheme implementation that cannot be addressed in the dispute settlement procedures of the relevant certification or accreditation body?	Annex 3, 6.1	Yes	Scheme section 7.7 and Appendix 5 (clause 2.8); IFCS Introduction
50	Can the dispute settlement body also resolve possible grievances in chain of custody certification that do not exclusively concern an applicant and a certification body?	Annex 3, 6.1	Yes	Scheme section 7.7 and Appendix 5 (clause 2.8); IFCS Introduction
51	Does the scheme documentation require that the accredited certification body has procedures for dispute settlement for all grievances between the applicant and the certification body?	Annex 3, 6.2	Yes	Scheme section 7; IFCS Introduction

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
52	Does the scheme documentation require that the relevant accreditation body, whose accreditation covers the certification, deals with disputes and complaints concerning observance of the accreditation requirements?	Annex 3, 6.2	Yes	Scheme section 7; IFCS Introduction

* If the answer to any question is no, the application documentation shall indicate for each element why and what alternative measures have been taken to address the element in question.

[*1] This requirement is applicable only when a national scheme includes rules for regional and/or group forest management certification.

PART III: MINIMUM REQUIREMENTS CHECKLIST FOR SCHEME COMPLIANCE WITH PEOLG (ANNEX 3, CHAPTER 4.2)

1 SCOPE

Part III covers requirements for certification criteria (forest management standards) for all schemes except those which are covered by ATO / ITTO PCI and by ITTO process.

2 CHECKLIST

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
Basis for criteria development (only for schemes based on MCPFE)				
1	Are certification criteria used in the national or sub-national scheme based on Pan European Criteria and Indicators for SFM as a common framework?	Annex 3, 3.1.1	Yes	
2	Have the Pan European Operational Level Guidelines (PEOLG) formed the reference base when the national and regional criteria were elaborated, amended or revised?	Annex 3, 3.1.2		
Basis for criteria development (only for schemes based on inter-governmental processes other than MCPFE, ATO/ITTO and ITTO)				
3	Are the certification criteria based on the inter-governmental process other than MCPFE, ATO /ITTO and ITTO process (only for countries which participated in this process)?	Annex 3, 3.1.5	N/a	Not applicable
Compatibility with the PEOLG (only for schemes to be assessed against the PEOLG) ^[*1]				
4	Criterion 1: Maintenance and appropriate enhancement of forest and their contribution to global carbon cycle	PEOLG 1.1.a	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS Sections 2 (Intro.); 3.5.1; 5.1.7; 6.3.1
5		PEOLG 1.1.b	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 2.1.1
6		PEOLG 1.1.c	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 2.1.2; 2.1.3; 2.3.3
7		PEOLG 1.1.d	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 2.3.2, 2.3.3, and 4.1.2
8		PEOLG 1.2.a	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 2.2.1, 2.2.2, 2.2.3 and 4
9		PEOLG 1.2.b	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 2.2.1, 2.2.2 and 2.2.3
10		PEOLG 1.2.c	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS Section 2 (Intro)

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
11	Criterion 2: Maintenance of forest ecosystem health and vitality	PEOLG 2.1.a	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 2.2.1, 3.4.1 and 5.1.2
12		PEOLG 2.1.b	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 5.1.1 and 5.1.2
13		PEOLG 2.1.c	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 2.2.1, 5.1 (all), 5.2.1 and 5.3.1
14		PEOLG 2.2.a	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 3.3.1, 3.4.1, 5.2.2, 6.3.1, 6.3.2 and 6.3.3
15		PEOLG 2.2.b	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 3.3.1, 3.3.2, 3.3.3, 4.1.1, 4.1.2, 4.2.1, 4.2.2, 4.3.2, 5.4.1 and 5.4.2
16		PEOLG 2.2.c	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 5.2.1, 5.2.2, 5.2.3 and 5.2.4
17		PEOLG 2.2.d	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 5.2.5
18	Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood)	PEOLG 3.1.a	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 2.2.1, 2.2.2, 2.2.3 and 2.2.4
19		PEOLG 3.1.b	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 2.2.2 and 7.4.1
20		PEOLG 3.1.c	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 2.1.1, 2.1.2, 2.1.3, 2.2.1, 2.2.2, 2.2.3, 6.1.1, 6.1.2, 6.1.3, 6.2.2 and 6.3.1
21		PEOLG 3.2.a	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 3.1.1, 3.1.2, 3.2.1, 3.2.2, 3.2.3, 3.2.4, 3.3.2, 3.4.1, 4.1.1, 4.1.2, 4.2.1, 4.2.2, 4.2.4, 4.3.1 and 4.3.2
22		PEOLG 3.2.b	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 2.3.1, 4.1.1, 4.2.1, 4.2.2, 4.2.4 and 4.3.2
23		PEOLG 3.3.c	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 2.2.1, 2.2.2, 2.2.3 and 4.2.2
24		PEOLG 3.3.d	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 2.1.3, 4.3.1 and 4.3.2
25	Criterion 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems	PEOLG 4.1.a	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 3.2.2, 4.1.1, 6.1.1, 6.1.2, 6.1.3, 6.2.1, 6.2.2, 6.3.1, 6.3.2 and 6.3.3
26		PEOLG 4.1.b	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 2.1.1, 6.1.1, 6.1.2, 6.1.3, 6.2.1, 6.3.1, 6.3.2, 6.3.3 and 6.4.2

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation	
27		PEOLG 4.2.a	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 3.2.1, 3.3.1, 3.3.2, 3.4.1 and 6.3.3	
28		PEOLG 4.2.b	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 3.3.1, 3.3.2, 3.3.3, 3.4.1, 6.3.1 and 6.3.3	
29		PEOLG 4.2.c	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 3.2.3, 3.4.1, 3.4.2 and 6.2.1	
30		PEOLG 4.2.d	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 3.4.2	
31		PEOLG 4.2.e	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 4.2.1, 4.2.2 and 4.2.4	
32		PEOLG 4.2.f	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 4.3.1, 4.3.2, 6.1.1, 6.1.2, 6.1.3 and 6.3.1	
33		PEOLG 4.2.g	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 5.1.1, 5.1.2, 5.1.3, 5.1.4 and 5.1.5	
34		PEOLG 4.2.h	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 6.1.2 and 6.2.2	
35		PEOLG 4.2.i	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 6.1.1, 6.1.2, 6.1.3, 6.2.1 and 6.3.1	
36		Criterion 5: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)	PEOLG 5.1.a	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 5.1.7
37			PEOLG 5.1.b	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 5.1.7
38	PEOLG 5.2.a		Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 2.2.1, 4.1.1, 4.2.2, 4.2.3, 4.2.4, 5.1.7 and 6.4.2	
39	PEOLG 5.2.b		Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 2.2.1, 4.1.1, 4.2.1, 4.2.4, 4.3.2, 5.1.7, 5.2.4, 5.2.5 and 5.4.1	
40	PEOLG 5.2.c		Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 4.3.1 and 4.3.2	
41	Criterion 6: Maintenance of other socio-economic functions and conditions	PEOLG 6.1.a	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 2.1.1, 2.1.2 and 7.4.1	
42		PEOLG 6.1.b	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 1.1.3 and 7.2.1	
43		PEOLG 6.1.c	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 7.2.1 and 7.2.2	
44		PEOLG 6.1.d	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 7.3.1	

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
45		PEOLG 6.1.e	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 8.2.1 and 8.2.2
46		PEOLG 6.2.a	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 4.1.1 and 7.1.1
47		PEOLG 6.2.b	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 8.1.1, 8.2.1 and 8.2.2
48		PEOLG 6.2.c	Yes	Scheme sections 4.4, 4.5, 4.8 and Appendix 1; IFCS 3.2.1 and 4.1.1

[*1] For the purposes of PEFC assessment and endorsement of national or sub national forest certification schemes the terms “should” used in the PEOLG shall be interpreted as “shall”.

PART IV: MINIMUM REQUIREMENTS CHECKLIST FOR SCHEME COMPLIANCE WITH ATO / ITTO PCI (ANNEX 3, CHAPTER 4.3)

1 SCOPE

Part IV includes requirements for certification criteria (forest management standards) for schemes which are covered by ATO / ITTO PCI.

2 CHECKLIST

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
Basis for criteria development – compatibility with ATO /ITTO PCI – Part 2 (only for schemes based on ATO / ITTO Principles, criteria and indicators for SFM of African tropical forests – ATO /ITTO PCI)				
1	Criterion 2.1: Forest management complies with the national policies and legislation in force in the country where it is implemented, and also with all the international treaties the country has ratified.	Indicator 2.1.1		
2		Indicator 2.1.2		
3	Criterion 2.2: The FMU is managed with well-defined and clearly established objectives compatible with sustainable forest management.	Indicator 2.2.1		
4		Indicator 2.2.2		
5		Indicator 2.2.3		
6		Indicator 2.2.4		
7		Indicator 2.2.5		
8		Indicator 2.2.6		
9		Indicator 2.2.7		
10		Indicator 2.2.8		
11	Criterion 2.3: The sustainable production of timber is ensured both in quantity and quality.	Indicator 2.3.1		
12		Indicator 2.3.2		
13		Indicator 2.3.3		
14		Indicator 2.3.4		
15		Indicator 2.3.5		
16		Indicator 2.3.6		
17	Criterion 2.4: The silvicultural techniques implemented in the FMU are compatible with the objectives of sustainable forest management and are well adapted to the needs of management in the FMU and to the expected production.	Indicator 2.4.1		
18		Indicator 2.4.2		
19		Indicator 2.4.3		
20		Indicator 2.4.4		
21	Criterion 2.5: Within FMU, NTFPs are harvested on a sustainable basis, in consultation with relevant stakeholders.	Indicator 2.5.1		
22		Indicator 2.5.2		
23		Indicator 2.5.3		
24	Criterion 2.6: Forest management is revised periodically, or when necessary due to unforeseen circumstances.	Indicator 2.6.1		
25		Indicator 2.6.2		
26	Criterion 3.1: The sustainable management of the forest resources is based on a dynamic acquisition of knowledge on ecology.	Indicator 3.1.1		
27		Indicator 3.1.2		
28		Indicator 3.1.3		
29		Indicator 3.1.4		

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
30	Criterion 3.2: The impact of harvesting activities on the structure of the forest is minimized.	Indicator 3.2.1		
31		Indicator 3.2.2		
32	Criterion 3.3: The impact of harvesting activities on biodiversity is minimized.	Indicator 3.3.1		
33		Indicator 3.3.2		
34		Indicator 3.3.3		
35		Indicator 3.3.4		
36	Criterion 3.4: The natural regeneration capacity of the forests is ensured.	Indicator 3.4.1		
37		Indicator 3.4.2		
38	Criterion 3.5: The impact of harvesting activities on water, soils and slopes is minimized.	Indicator 3.5.1		
39		Indicator 3.5.2		
40		Indicator 3.5.3		
41	Criterion 4.1: The rights and responsibilities of workers in the FMU and local populations are clearly defined, acknowledged and respected.	Indicator 4.1.1		
42		Indicator 4.1.2		
43		Indicator 4.1.3		
44		Indicator 4.1.4		
45		Indicator 4.1.5		
46	Criterion 4.2: The concessionaire encourages the participation of local populations present in the FMU in the management of forest resources.	Indicator 4.2.1		
47		Indicator 4.2.2		
48		Indicator 4.2.3		
49		Indicator 4.2.4		
50		Indicator 4.2.5		
51	Criterion 4.3: All stakeholders consider the share of benefits derived from forests to be satisfactory.	Indicator 4.3.1		
52		Indicator 4.3.2		
53		Indicator 4.3.3		
54	Criterion 4.4: According to the importance and impact of the forestry operations the concessionaire contributes to improving the health and education of local populations.	Indicator 4.4.1		
55		Indicator 4.4.2		
56		Indicator 4.4.3		
57		Indicator 4.4.4		
58	Do the national criteria address the maintenance, increase and monitoring of forest health and vitality including biotic risks (e.g. fire), if relevant in the nation / region?	Annex 3, 3.1.3		
59	Do the national criteria address the use of fertilizers, if relevant in the nation / region?	Annex 3, 3.1.3		
60	Do the national criteria address the management and prevention of damages caused by animal grazing in forests (domestic and wild animals), if relevant in the nation / region?	Annex 3, 3.1.3		
61	Do the national criteria address the maintenance of adequate quantity and quality of old, dead and decaying trees in forests to safeguard biological diversity?	Annex 3, 3.1.3		

PART V: MINIMUM REQUIREMENTS CHECKLIST FOR SCHEME COMPLIANCE WITH ITTO GUIDELINES (ANNEX 3, CHAPTER 4.4)

3 SCOPE

Part V includes requirements for certification criteria (forest management standards) for forest management of natural tropical forests and planted tropical forests for schemes developed in ITTO member producing countries except those which are covered by ATO / ITTO PCI (as per Part IV).

Requirements for criteria for forest management of natural tropical forests

No.	Question	Reference to the doc.	YES / NO*	Reference to scheme documentation
Basis for development of criteria for forest management of natural tropical forests – compatibility with ITTO guidelines on the sustainable forest management of natural tropical forests (1992) ^{[*1], [*2], [*3]}				
Policy and legislation				
1	National Forest Inventory	Principle 4		
2		Principle 5		
3		Principle 6		
4		Principle 7		
5		Possible action 7		
6		Principle 8		
Forest Management				
7	Forest management - general	Principle 11		
8	Planning	Principle 12		
9	Static and dynamic inventory	Principle 13		
10		Possible action 10		
11		Possible action 11		
12	Setting of management objectives	Principle 14		
13		Principle 15		
14	Choice for silvicultural concept	Principle 16		
15		Possible action 12		
16	Yield regulation, Annual Allowable Cut	Principle 17		
17		Possible action 13		
18		Possible action 14		
19	Management inventory and mapping	Principle 18		
20		Possible action 15		
21	Preparation of working plans	Principle 19		
22		Possible action 16		
23	Environmental Impact assessment	Principle 20		
24		Possible action 17		
25		Possible action 18		
26	Harvesting (general)	Principle 21		
27	Pre-harvest prescriptions	Principle 22		
28		Possible action 19		
29	Roads	Principle 23		
30		Possible action 20		
31	Extraction	Principle 24		
32		Possible action 21		
33	Post-harvest management	Principle 25		

No.	Question	Reference to the doc.	YES / NO*	Reference to scheme documentation
34		Possible action 22		
35	Protection – control of access	Principle 26		
36		Possible action 23		
37	Protection - fire	Principle 27		
38		Possible action 24		
39	Protection - chemicals	Principle 28		
40		Possible action 25		
41	Salvage permits	Principle 32		
42		Possible action 28		
43		Possible action 29		
44	Monitoring and research (including yield control and silviculture)	Principle 33		
45		Possible action 30		
46		Possible action 31		
47		Possible action 32		
48		Possible action 33		
Socio-economic aspects				
49	Socio-economic and financial aspects (general)	Principle 34		
50	Relations with local populations	Principle 35		
51		Principle 36		
52		Possible action 34		
53	Economics, incentives, taxation	Principle 37		
54		PA35		
55		Principle 38		
56		Principle 39		
57		Principle 40		
58		Principle 41		
59		Possible action 36		
Basis for development of criteria for forest management of natural tropical forests – compatibility with ITTO / IUCN guidelines for the conservation and sustainable use of biodiversity in tropical timber production forests (2009) ^{[*1], [*2], [*3], [*5]}				
60	Principle 1: Sovereignty and societal choice	Guideline 2		
61	Principle 2: International commitments	Guideline 4		
62	Principle 5: Decentralization, forest tenure and natural resource access rights	Guideline 9		
63	Principle 7: Knowledge, learning, technology transfer and capacity building	Guideline 15		
64		Guideline 17		
65		Guideline 18		
66		Guideline 19		
67		Guideline 20		
68	Principle 8: Managing tropical production forests at a landscape scale	Guideline 21		
69		Guideline 22		
70	Principle 9: Biodiversity considerations at the forest management unit level	Guideline 24		
71		Guideline 25		
72		Guideline 26		
73		Guideline 27		

74		Guideline 28		
75		Guideline 29		
76		Guideline 30		
77		Guideline 31		
78		Guideline 32		
79		Guideline 33		
80		Guideline 34		
81		Guideline 35		
82		Guideline 36		
83		Guideline 37		
84	Principle 10: Biodiversity conservation in planted forests	Guideline 38		
85		Guideline 39		
86		Guideline 40		
87		Guideline 41		
88		Guideline 42		
89	Principle 11: Maintaining functioning forest ecosystems	Guideline 43		
90		Guideline 44		
91		Guideline 45		
92		Guideline 46		

Requirements for criteria for forest management of tropical planted forests

No.	Question	Reference to the doc.	YES / NO*	Reference to scheme documentation
Basis for development of criteria for forest management of planted tropical forests – compatibility with ITTO guidelines for the establishment and sustainable management of planted forests (1993) [*1], [*2], [*3]				
Policy and legislation				
93	Permanent forest estate	Principle 10		
94		Principle 11		
95		Rec. action 8		
96		Principle 12		
97		Principle 13		
98		Rec. action 9		
99		Principle 15		
Feasibility assessment				
100	Environmental considerations	Rec. action 13		
101		Rec. action 14		
102		Rec. action 15		
103		Rec. action 16		
104		Rec. action 17		
105	Socio-economic considerations	Rec. action 18		
106		Rec. action 19		
107		Rec. action 20		
108	Institutional considerations	Principle 24		
109		Principle 25		
110		Rec. action 21		
Planted forest establishment				
111	Management plan preparation – the importance of management planning	Rec. action 22		
112		Rec. action 23		
113		Principle 27		
114	Management plan preparation – Soil and site considerations	Rec. action 25		
115		Rec. action 26		
116		Rec. action 27		
117		Rec. action 28		
118		Rec. action 29		
119		Rec. action 30		
120		Rec. action 31		
121	Management plan preparation – research needs	Rec. action 32		
122	Choice of site, tree species and planting material	Rec. action 33		
123		Rec. action 33		
124		Rec. action 35		
125		Rec. action 36		
126	Roads and site protection	Rec. action 37		
127		Rec. action 38		
128		Rec. action 39		
129	Site preparation	Rec. action 40		
130		Rec. action 41		
131	Approach to planting	Rec. action 42		
132	Fertilisation	Rec. action 43		
133		Rec. action 44		
134		Rec. action 45		
135	Tending and weed control	Rec. action 46		

No.	Question	Reference to the doc.	YES / NO*	Reference to scheme documentation
136	Pest control and disease management	Rec. action 47		
137		Rec. action 48		
138		Rec. action 49		
139		Rec. action 50		
140		Rec. action 51		
Planted forest establishment				
141	Institutional considerations	Rec. action 53		
142		Rec. action 54		
143	Social considerations	Rec. action 55		
144	Economic considerations	Rec. action 56		
145		Rec. action 57		
146		Rec. action 58		
147	Integrated resource inventories	Rec. action 59		
148		Rec. action 60		
149		Rec. action 61		
150		Rec. action 62		
151	Timber production	Rec. action 63		
152		Rec. action 64		
153	Restoration and maintenance of soil fertility	Rec. action 65		
154		Rec. action 66		
155	Tending operations and weed control	Rec. action 67		
156	Thinning and pruning	Rec. action 68		
157	Roading	Rec. action 69		
158		Rec. action 70		
159	Forest protection – control of access	Rec. action 71		
160	Protection from fire	Rec. action 72		
161	Pest disease and fire management	Rec. action 73		
162		Rec. action 74		
163	Harvesting and planning of the subsequent rotation	Rec. action 75		
Additional PEFC requirements for forest management of natural tropical forests ^[*4] .				
164	PEOLG	2.2b		
165		4.2f		
166		4.2i		
167		6.1a		

[*1] For the purposes of the PEFC assessment and endorsement process, the provisions of the ITTO guidelines shall be interpreted as normative and obligatory (Annex 3 of the PEFC Technical Document, chapter 3.1.4).

[*2] The Checklist and thus the PEFC assessment and endorsement process do not include those provisions of the ITTO guidelines which are only designed for the governments (e.g. a provision to establish an effective legislation). For the purposes of the PEFC assessment and endorsement those provisions of the ITTO guidelines which are applicable to both, the governments and forest owners / managers will be interpreted as for their intended application relevant to the forest owners / managers.

[*3] The terms “Principles”, “Possible actions”, “Rec. actions” (Recommended actions), “Guidelines” used in the column “Reference to the doc.” and their numbering have been taken from and corresponds with the respective ITTO guidelines.

[*4] For the purposes of PEFC assessment and endorsement of national or sub national forest certification schemes the terms “should” used in the PEOLG shall be interpreted as “shall”.

[*5] For the purposes of PEFC assessment and endorsement of national or sub national forest certification schemes only those priority actions of the respective Guidelines which are applicable for forest owners / managers have relevance.

PART VI: Minimum requirements checklist for SCHEME specific Chain of custody standards (Annex 4)

1 SCOPE

Part III covers requirements for chain of custody of wood certification given in chapter 4.2 of Annex 3 (*Basis for Certification Schemes and their implementation*) and Annex 4 (*Chain of Custody of Forest Based Products - Requirements*) and is used for the assessment of scheme specific chain of custody standards.

2 CHECKLIST

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to application documents
Requirements for chain of custody process – physical separation method				
1.	Does the national C-o-C standard require identification and verification of the category of origin for all procured products in compliance with chapter 2.2.1 and 2.2.2?	Annex 4, 2.2.1, 2.2.2		Non-applicable. Scheme adopts PEFC Council Annex 4 and PEFC ST 2002:2010
2.	Does the national C-o-C standard require separation of the certified raw material in compliance with chapter 2.3?	Annex 4, 2.3		
3.	Does the national C-o-C standard require information delivered to customer at the point of sale of certified products in compliance with chapter 2.4.1 and 2.4.2?	Annex 4, 2.4.1, 2.4.2		
4.	Does the national standard require that usage of the logo or label shall be carried out according to the terms and conditions of the logo / label copyright owner?	Annex 4, 2.4.3		
Requirements for the chain of custody process – percentage based methods				
5.	Does the national standard require that the requirements for C-o-C process shall be implemented for the production batch defined in compliance with chapters 3.1.1 and 3.1.2?	Annex 4, 3.1.1, 3.1.2		
6.	Does the national C-o-C standard require identification and verification of the category of origin for all procured products in compliance with chapter 3.2.1 and 3.2.2?	Annex 4, 3.2.1, 3.2.2		
7.	Does the national standard include a calculation formula for the certification percentage, which is compatible with the formula of chapter 3.3?	Annex 4, 3.3		
8.	Does the national standard include an average percentage method in compliance with chapter 3.4.1?	Annex 4, 3.4.1		
9.	Does the national standard include a volume credit method in compliance with chapter 3.4.2?	Annex 4, 3.4.2		
10.	Does the national C-o-C standard require	Annex 4,		

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to application documents
	information delivered to customer at the point of sale of certified products in compliance with chapter 3.5.1 and 3.5.2?	3.5.1, 3.5.2		
11.	Does the national standard require that usage of the logo or label shall be carried out according to the terms and conditions of the logo / label copyright owner?	Annex 4, 3.5.3		
12.	Does the national standard include measures to ensure that the certified products do not include raw material from controversial sources in compliance with chapter 3.6 and Appendix 7 to Annex 4?	Annex 4, 3.6; Appendix 7		
Minimum management system requirements				
13.	Does the national standard require management responsibilities for the organisation's top management in compliance with chapter 4.2.1?	Annex 4, 4.2.1		
14.	Does the national standard include requirements for responsibilities and authorities for C-o-C in compliance with chapter 4.2.2?	Annex 4, 4.2.2		
15.	Does the national standard include requirements for documented procedures in compliance with chapter 4.3?	Annex 4, 4.3		
16.	Does the national standard include requirements for record keeping in compliance with chapter 4.4?	Annex 4, 4.4		
17.	Does the national standard include requirements for human resources management and technical facilities in compliance with chapter 4.5?	Annex 4, 4.5		
18.	Does the national standard include requirements for inspection and control in compliance with chapter 4.6?	Annex 4, 4.6		
PEFC specification for the origin for the purposes of PEFC label and declaration				
19.	Does the national standard include definition of certified raw material, neutral and other raw material (for the purposes of PEFC claims / labelling) in compliance with Appendix 1?	Annex 4, Appendix 1		
Implementation of chain of custody in multi-site organisation (only for standards which include rules for multi-site or group certification)				
20.	Does the national standard include requirements for function and responsibilities of the central office in compliance with Appendix 4?	Annex 4, Appendix 4		
21.	Does the national standard include requirements for function and responsibilities of the central office in compliance with Appendix 4?	Annex 4, Appendix 4		

PEFC specification of the origin for the purposes of PEFC label and declarations covering recycled raw material (only for standards which allow claims to be made on recycled raw material)			
22.	Does the national standard include definition of certified raw material, neutral and other raw material for certified and recycled raw material (for the purposes of PEFC claims / labelling) in compliance with Appendix 6?	Annex 4, Appendix 6	
PEFC specification of the origin for the purposes of PEFC label and declarations on non wood forest products (only for standards which are applicable to non wood forest products)			
23.	Does the national standard include definition of certified raw material, neutral and other raw material for non wood forest products (for the purposes of PEFC claims / labelling) in compliance with Appendix 8?	Annex 4, Appendix 8	

PART VII: MINIMUM REQUIREMENTS CHECKLIST FOR CERTIFICATION AND ACCREDITATION PROCEDURES (ANNEX 6)

1 SCOPE

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

2 CHECKLIST

No.	Question	Reference to PEFC Council doc.	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	Scheme sections 6.11, 7.1 and IFCS Intro.
2.	Does the scheme documentation require that certification body for forest management certification or chain of custody certification against a scheme specific chain of custody standard shall fulfil requirements defined in ISO 17021 or ISO Guide 65?	Annex 6, 3.1	Yes	Scheme sections 6.11, 7.1 and IFCS Intro.
3.	Does the scheme documentation require that certification body chain of custody certification against Annex 4 shall fulfil requirements defined in ISO Guide 65?	Annex 6, 3.1	Yes	Scheme Annex 7
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	Scheme section 7.1; IFCS Intro.
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	Scheme section 7.1
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	Scheme section 7.1; IFCS Intro.

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
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	Scheme section 7.1; IFCS Intro.
8.	Does the scheme documentation require that the auditors must fulfil the general criteria of ISO 19011 for Quality Management Systems auditors or for Environmental Management Systems auditors?	Annex 6, 3.2	Yes	Scheme section 7.1; IFCS Intro.
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	Scheme section 7.1; IFCS Intro.
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	Scheme section 7.1; IFCS Intro.
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	Scheme section 7.1; IFCS Intro.
12.	Does the scheme documentation require that applied certification procedures for chain of custody certification against Annex 4 shall fulfil or be compatible with the requirements defined in ISO Guide 65?	Annex 6, 4	Yes	Scheme section 7.4 and Annex 7
13.	Does the scheme documentation require that applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011?	Annex 6, 4	Yes	Scheme section 7.1; IFCS Intro.
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	Scheme section 7.5
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	Scheme section 7.6
16.	Does a maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?	Annex 6, 4	Yes	Scheme section 7.1
17.	Does a maximum period for assessment audit not exceed five years for both forest	Annex 6, 4	Yes	Scheme section 7.1

No.	Question	Reference to PEFC Council doc.	YES / NO*	Reference to scheme documentation
	management and chain of custody certifications?			
18	Does the scheme documentation include requirements for public availability of certification report summaries?	Annex 6, 4	Yes	Scheme section 7.2
19	Does the scheme documentation include requirements for usage of information from external parties as the audit evidence?	Annex 6, 4	Yes	Scheme section 7.2
20.	Does the scheme documentation include additional requirements for certification procedures? [^{*1}]	Annex 6, 4	Yes	Scheme section 7.1; IFCS Intro.
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	Scheme section 7.1; IFCS Intro.
22.	Does the scheme documentation require that an accredited certificate shall bear an accreditation symbol of the relevant accreditation body?	Annex 6, 5	Yes	Scheme section 7.5
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	Scheme section 7.1; IFCS Intro.
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	Scheme section 7.1
25.	Does the scheme documentation require that certification body undertake chain of custody certification against Annex 4 as "accredited certification" based on ISO Guide 65?	Annex 6, 5	Yes	Scheme section 7.1
26.	Does the scheme documentation include a mechanism for PEFC notification of certification bodies?	Annex 6, 6	Yes	Scheme section 7.1
27.	Are the procedures for PEFC notification of certification bodies non-discriminatory?	Annex 6, 6	Yes	Scheme section 7.1

* If the answer to any question is no, the application documentation shall indicate for each element why and what alternative measures have been taken to address the element in question.

[*1] This is not an obligatory requirement