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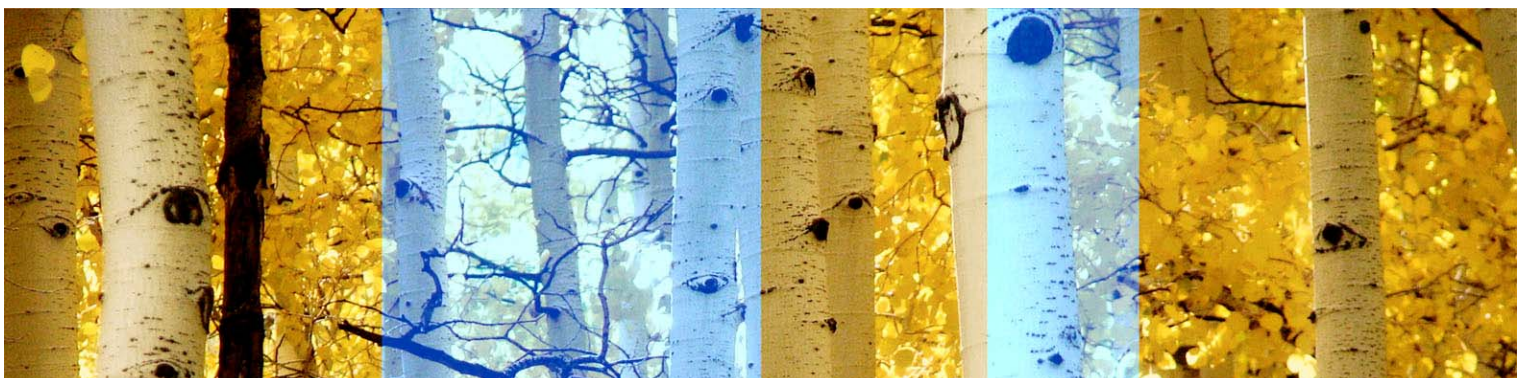
PEFC Council

## **Conformity Assessment of the China Forest Certification Scheme with PEFC Requirements**

Final Report

Helsinki, Finland  
September 20, 2013

7013  
ID 38302





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## **ABBREVIATIONS**

C	Convention
CAF	Chinese Academy of Forestry
CCAA	China Certification and Accreditation Association
CFCC	China Forest Certification Council
CFCS	China Forest Certification Scheme
CNAS	China National Accreditation Service for Conformity Assessment
CNCA	China National Certification and Accreditation Administration
CoC	chain of custody
ENGO	Environmental non-governmental organisation
GD	Guideline
GMO	Gene manipulated organism
IAF	International Accreditation Forum
ILO	UN International Labor Organization
ISO	International Organization for Standardization
NGO	Non-governmental organisation
NWFP	Non-wood forest products
PEFC	Programme for the Endorsement of Forest Certification Schemes
SAC	Standard Amendment Committee
SDC	Standard Development Committee
SDG	Standard Development Group
SFA	State Forest Administration
SFM	Sustainable forest management
SRC	Standard Revision Committee
SRF	Stakeholder Representative Forum
ST	standard
STDC	The Science and Technology Development Centre
SFA	State Forest Administration
UN	United Nations
WHO	UN World Health Organization



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## **PREFACE**

In January 2013, PEFC Council (client) contracted Indufor Oy (consultant) to assess the conformity of China Forest Certification Scheme (CFCS) to the requirements of PEFC Council on forest certification schemes and their development. This report describes the assessment process and provides the consultant's conclusions on the conformity.

This report may only be used for the purpose for which it was prepared and its use is restricted to consideration of its entire contents. The conclusions presented are subject to the assumptions and limiting conditions noted within.

The intended users of this study/report are the Client, and the Client's auditors and accountants.

We trust that our work provides relevant information and analysis of the China Forest Certification Scheme. / We thank PEFC Council for trusting us with the opportunity to carry out assessment.

Indufor Oy

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## 1. INTRODUCTION

### 1.1 Background

China Forest Certification Scheme (CFCS) has been developed in two phases. State Forest Administration (SFA) launched the first initiatives for standard development already in 2001 and also in 2001 the Science and Technology Development Centre of SFA engaged the Chinese Academy of Forestry (CAF) to prepare drafts for forest management standard. At this point the initiative was national and it was not linked to any international framework. However, the standard was developed in line with international requirements including public consultations and field testing in 2003.

Later SFA and the other stakeholders recognised the importance of international recognition in order to gain any market support for the forest certification scheme. In early 2000's international frameworks PEFC and FSC expanded internationally. China had an interest to develop a national scheme that would be endorsed by an international framework.

In 2007 SFA officially approved the first standard of *Forest Certification in China – Forest management* but the procedures for its implementation were not yet finalized. In 2009 China started the discussions with PEFC Council on potential membership and scheme endorsement along with the establishment of the non-governmental China Forest Certification Council (CFCC) to administer the scheme and its development. This development coincides with the PEFC Council's decision to establish offices in Beijing and Tokyo to strengthen the possibilities for PEFC certification in Asia. CFCC was accepted as PEFC Council member in 2011.

The second phase of China Forest Certification Scheme (CFCS) development started in 2010 when CFCC made an announcement on standard amendment process and developed the Scheme implementation and certification procedures required by PEFC Council for endorsed schemes. The scheme amendment process was based on the 2007 approved standard of *Forest Certification in China – Forest management* but it included all the required stages of standard setting, i.e. stakeholder participation, public consultation and testing. In June 2011 CFCC approved the amended standard and the other scheme documents. In August, 2012 CFCC submitted the CFCS forest management standard and its implementation and certification arrangements to PEFC Council for endorsement. In March and April 2013, based on field mission observation and draft report, CFCC made some changes to the Scheme documentation to ensure the compliance with PEFC requirements. These changes are taken into consideration in this assessment.

CFCS has taken a broad approach to forest certification and plans to expand the scheme to provide certification standards and procedures tailored for plantation forestry, bamboo forestry, non-wood forest products and ecosystem services, etc. These standards have not yet been finalized and they are not part of this assessment. In future they will be implemented as sector specific standards under the current forest management standard. In that stage it would be important to discuss the need to endorse these standards by PEFC Council in order to assure rigidity and consistency in PEFC certification under CFCS.

### 1.2 Reporting

The phase I of this assessment covered the assessment of the CFCS scheme documentation submitted to PEFC Council for endorsement in August 2012. The assessment reviewed the conformity to PEFC requirements and identified the need for further clarifications during the field visit. The draft report *Conformity Assessment of the*



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*China Forest Certification Scheme with PEFC Requirements Draft of Summary Findings* was delivered to PEFC Council and CFCC on 28 February 2013.

This Final Draft report on *Conformity Assessment of China Forest Certification Scheme with PEFC Requirements* was delivered to PEFC Council and CFCC on 17 April 2013. The CFCC informed on a few points that needed correction in description of the CFCS development history on 22 April 2013. In addition PEFC Council reviewed the report and requested additional information from CFCC and its consideration in the assessment before submitting the final draft report to the review of the Panel of Experts. CFCC provided the requested information and related amendments to CFCS implementation on 14 August 2013. This final draft report takes into consideration the CFCC editorial comments as deemed appropriate and the recent amendments made to the CFCS auditing process. The report will be submitted to the review of the Panel of Experts and it will be completed as a final assessment report after receiving the comments from the Panel.

The structure of this report is following:

Chapter 1 gives an introduction to the assessment work.

Chapter 2 provides a recommendation on the endorsement to the PEFC Board of Directors and specifies possible conditions the Board should take into consideration in the decision-making.

Chapter 3 includes a summary of findings which presents the conclusions on the compliance of

- standard setting procedures and processes implemented,
- forest management standard
- group certification arrangements
- chain of custody certification and control of logo use
- complaints and dispute resolution procedures and
- certification and accreditation procedures

with the requirements of PEFC Council.

Chapter 4 describes the material and methods of the assessment, i.e. the CFCS documentation used and the PEFC Council documents providing the reference in conformity evaluation. Data collection methods as well as principles used for grading of conclusions are also described.

Chapter 5 presents the governance structure of the China Forest Certification Scheme and the organisations involved in its implementation.

Chapter 6 provides a detailed assessment of the standard setting process against the requirements of PEFC Council.

Chapter 7 provides the conformity assessment of forest management standard with the requirements of PEFC Council

Chapter 8 includes an assessment of the CFCS group certification arrangements and their compliance with the requirements of PEFC Council

Chapter 9 reviews the compliance of chain of custody certification standard with the PEFC Council requirements

Chapter 10 review the compliance of the rules for PEFC logo use with the PEFC Council requirements





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Chapter 11 gives a detailed analysis of CFCS complaints and dispute resolution procedures and their compliance with PEFC Council requirements.

Chapter 12 summarizes the comments received in international and national consultation and describes how they have been taken into consideration in the assessment



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## 2. RECOMMENDATION

**Indufor suggests that PEFC Board will recommend the endorsement of the China Forest Certification Scheme (CFCS). The Scheme conforms to the PEFC Council requirements for national forest certification schemes.**

**In addition, Indufor wants to make for the Board following comments related to CFCS implementation. The comments give relevant information to be considered in the scheme endorsement:**

1. CFCS standard for forest management is fully applicable to the certification of natural forests and extensively managed, long rotation planted forests. The standard fully complies with PEFC requirements.

The standard does not take into consideration all aspects relevant to intensive plantation management or bamboo growing and some standard requirements are not applicable as such to these management regimes. China Forest Certification Council is preparing sector specific standards for forest plantation and bamboo forest management. The standards will operate under the assessed forest certification standard and will improve the applicability of CFCS in forest plantation and bamboo forest management. Possible endorsement of these standards should be taken into consideration in future.

2. The Regulation on Certification and Accreditation of the People's Republic of China issued in 2003 clearly specifies that all certification bodies operating in China has to be registered as Chinese organizations and approved by the Certification and Accreditation Administration (CNCA) before they can apply for accreditation from China National Accreditation Service for Conformity Assessment (CNAS).

The China Forest Certification Scheme is open to all qualified certification bodies. Currently there is only one accredited certification body due to the pilot stage. While three applicants are being assessed by CNCA and most likely that there will be up to 4 CFCS certification bodies in the near future. This will allow competition between the certification bodies that would contribute to high quality and cost efficiency in certification and improve the credibility of CFCS certificates.

3. CFCC has formally adopted the PEFC international chain of custody standard (PEFC 2002:2010). Due to the Chinese regulations restricting the use of references to international requirements in national standards, CFCC has changed the references to PEFC Council and other international organisations (ILO, etc.,) in a number of requirements making references to the CFCS scheme or national regulations. This has in some cases changed the standard requirement which has obliged CFCC to amend the standard with Supplementary audit requirements (see Annex 2 to Appendix 1). The assessment concludes that with its current amendments the CFCC chain of custody requirements comply with those of the PEFC ST 2002:2010, that was the reference standard when CFCC applied for endorsement.



### **3. SUMMARY OF THE FINDINGS**

#### **3.1 Structure of China Forest Certification Scheme**

The China Forest Certification Scheme (CFCS) is governed by the China Forest Certification Council (CFCC). CFCC secretariat is responsible for daily management of the Scheme. CFCC is a member organisation (21 members) representing social, environmental and economic interests. CFCC bylaws are described in Part I *Scheme Description and Implementation Arrangements, Annex I*.

Standard setting is organised by CFCC that delegates the mandate to working groups whose members CFCC invites in an open process and nominates to expert and stakeholder working groups.

CFCC has also the responsibility to arrange notification of independent certification bodies eligible for forest management and chain of custody certification in the Scheme.

#### **3.2 Standard Setting Procedures and Process**

Development of CFCS forest management standard has taken place in two phases (see Chapter 6). Phase I started in 2001 and extended to 2007 when the forest management standard was approved.

Phase II started in 2010 when CFCC decided to amend the standard and CFCS with the objective to apply for PEFC endorsement. The amendment process followed the steps PEFC requires for standard development and this conformity assessment focus on the compliance of these procedures and processes with the PEFC requirements.

The Science and Technology Development Centre of the State Forest Administration (STDC/SFA) and later CFCC undertook stakeholder mapping and informed widely the start and progress in standard setting by using different communication channels. A total of 37 parties were contacted directly by phone during the initiation of standard amendment process in 2010. Forest owners, i.e. government and semi-state organisations were considered as key stakeholders and communities, research, trade unions as well as national and international non-governmental organisations (NGO) were invited as additional stakeholders. In working groups and meetings all interest groups had the power of influence. Regional level interest groups were also contacted but their interest to participate in standard development/amendment was low. In the pilot testing of the forest management standard, their role becomes more prominent.

Public consultation was carried out in both phases. In phase I the consultation was held in October to November 2003 (60 days) and in phase II in January to March 2011 (60 days). The first consultation period was followed by two Stakeholder representative meetings in June 2004 and July 2007 which contributed to the approval of the first version of *Forest Certification in China – Forest management* standard. The second consultation period was followed by the meeting of Standard Amendment Committee in May 2011 and approval of the final standard by CFCC in June 2011.

The standard setting procedures as described in the *CFCS Part II Standard Development Rules* comply with the PEFC requirements. The implemented processes are described in *CFCS Part III Standard Development Process and Records* and they also conform to PEFC requirements.



### 3.3 Forest Certification Standard

Criteria for sustainable forest management are described in CFCS *Part IV Forest Certification China – Forest management (SFM standard)*. The standard is drafted as an umbrella standard that covers the management of natural forests, forest plantations, bamboo production and production of non-wood forest products (NWFP) as well as ecosystem services. CFCC is in the final stage of developing specific standards for bamboo production and management of intensive forest plantations. These standards will be operated under the current SFM standard.

The forest management standard requirements are quite general and most applicable to the management of natural forests. China has very detailed regulatory framework for forest management operations. Detailed legislation and codes are available for forest zoning, forest management planning and monitoring, assessment of ecological and social impact, chemical use, infrastructure development, use of NWFP, as well as consideration of the rights of workers' and local people. The forest management standard and the regulatory framework establish requirements that are feasible to implement and verify in practice even in the very diverse ecosystems and land tenure systems in the country. "

Some PEFC requirements and subsequent SFM standard requirements are not feasible in the management of bamboo forests or forest plantations. The forest management standard does not either give adequate requirements for sustainable use of NWFP. The specific standards under development will provide the required guidance for sustainable management of these specific types of forests and it is strongly recommended that these standards should be submitted for PEFC endorsement in due time.

The SFM standard complies with the requirements of PEFC ST 1003:2010. China has not ratified four out of the eight fundamental ILO Conventions (see Table 7.1) resulting in the CFCS needing to demonstrate how the requirements of non-ratified Conventions are taken into consideration in certified forest management either through legislation or through Scheme requirements. CFCC provided an explanation on the consideration of these requirements in labour and trade union laws. It also requires that auditors specifically address ILO Conventions in forest management and chain of custody audits (Scheme amendments presented in Appendix 1, Annexes 1 and 2). It is concluded that the legislation and standard covers the requirements of the other fundamental ILO Conventions (C29, C87, C98, C105, C111, C138, C182).

International consultation raised the following concerns regarding the compliance of CFCS SFM standard with PEFC requirements:

1. Use of WHO Type 1A and 1B pesticides and other highly toxic pesticides

SFM standard prohibits the use of these pesticides except where no other viable alternative is available, thus allowing their use in certain conditions. The standard does not specify what would be the exceptional conditions where the toxic pesticides could be used. CFCC is in the process of developing audit guidelines where they would give extremely strict interpretation for the exceptional conditions and in practice prohibit the use of the toxic pesticides. PEFC requirement (PEFC ST 1003:2010, 5.2.9) allows the use of the WHO Type 1A and 1B pesticides and other highly toxic pesticides in cases where no other viable alternative is available but requires that scheme defines conditions for exceptional use.

According to regulations the use of toxic chemicals in forests to protect forests from insect or fungal damage is decided by the State Forest Administration based on risk analysis of threats to forest health. Authorized bodies are also responsible for the application of the chemicals.



In the “*Supplementary Requirements when Assessing “Forest Certification in China – Forest management”*” of 14 August 2013, CFCS strictly prohibits the use of the WHO classified toxic pesticides in line with PEFC requirements.

2. Use of gene manipulated organisms and their recognition in audited forest stands  
SFM standard prohibits the use of GMO trees (indicator 5.5.5) and requires record keeping of all exotic species (indicator 7.4.2). These requirements would provide first access to information for auditors to assess the origin of planted trees. Data requirements to improve the control of origin of seedlings and use of GMOs could be further developed. However, the standard explicitly prohibits the use of GMOs in line with PEFC requirements.

As a conclusion the CFCS SFM standard complies with PEFC requirements under the following scope of implementation:

- SFM standard is a reference base in the certification of natural forest management or management of extensively managed planted forests (long rotation) and when applied in the certification of intensively managed forest plantations (short rotation) or in bamboo forests, it will be complemented with the specific plantation and bamboo production standards.
- SFM standard does not deliver, as such, an adequate basis for the certification of NWFP or ecosystem services. Specific requirements that complement the SFM standard will be needed.

### **3.4 Group Certification Arrangements**

CFCS rules for group certification are defined in *CFCS Part VI Guidelines on Group Management Certification*. Group certification is an option for (collective/community level forestry) in Southern China where individual farmers or villages have the tenure right to the forest land in practice. Large State forest bureaus will not apply for group certification.

Group entity is defined very broadly as any legal entity. The scheme defines rights and responsibilities of applicants and participants in a comprehensive way. Certified area will be the area of land to which the participating farmers have a tenure right.

The provisions for group certification comply with the PEFC requirements (PEFC ST 1002:2010).

### **3.5 Chain of Custody Certification**

In September 2010, the Standard Revision Committee on chain of custody certification adopted the PEFC ST 2002:2010 as the CFCS chain of custody standard. The standard went through the formal approval process in China and it was amended with the changes required by formal national standardization process. It is published in the CFCS documentation *Part V Forest certification in China – Chain of custody*. In August 2013, CFCC issued *Supplementary Requirements when Assessing “Forest certification in China-Chain of custody”* that specify that audits shall cover specific issues related to risk assessment as well as in social requirements.

The CFCS chain of custody standard and the Supplementary Requirements are aligned with the requirements of PEFC ST 2002:2010 that was the reference standard when CFCC applied for endorsement.



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### **3.6 Logo Use Rules**

CFCC has its own logo and rules for its use (see *CFCS Part I Scheme Description and Implementation Arrangements, Annex II*). This assessment does not cover the logo use rules of the China Forest Certification Logo.

In April 2013 CFCC amended the general rules for logo use and required compliance with PEFC Logo Usage Rules (see Chapter 9.).

However, CFCC does not specify the transition procedures where CFCS certified entities become PEFC certified and eligible to apply for the use of PEFC logo, nor does it make any reference to the adoption of PEFC logo use rules.

The CFCS provisions for the use of PEFC logo conform to PEFC requirements.

### **3.7 Complaints and Dispute Resolution Procedures**

CFCS defines arbitration procedures for disputes where CFCC is involved and for conflicts where CFCC is not involved. The procedures are described in *CFCS Part I Scheme Description and Implementation Arrangements, Annex IV: Dispute Resolution Procedures* revised in March 2013.

CFCC provides secretarial services to Arbitration Committee that is selected by the Stakeholders Forum's Plenary Meeting based on the candidates selected by a Nomination Committee. CFCC shall not influence the decision-making of Arbitration Committee.

The candidates for the committee and the elected members (5) shall represent social, environmental and economic interests. CFCC shall not influence in the arbitration process.

Complaints and dispute resolution procedures conform to PEFC requirements.

### **3.8 Certification and Accreditation Procedures**

Documentation of certification and accreditation procedures in CFCS generally aligned with the PEFC requirements (see *Part I Scheme Description and Implementation Arrangements, Annex III Procedures of Certification, Accreditation and CFCC Notification of Certification Bodies*).

CFCS requires that certification bodies doing forest management or chain of custody certification have accreditation to product certification (ISO Guide 65). The CFCS requirement is in line with the specifications in the accreditation program for forest management and chain of custody certification.

Legislation on certification and accreditation in China allow only nationally approved bodies to operate in certification and verification business. Certification and Accreditation Administration (CNCA), a government department responsible for certification and accreditation, register all certification bodies that are liable to operate and apply for accreditation in China. Auditors have to be accredited by the China Certification and Accreditation Association (CCAA) a government authorized organization accrediting certification auditors. The only government recognized national accreditation body in the country is China National Accreditation Service for Conformity Assessment (CNAS) that provides accreditation services for the registered certification bodies. Certification bodies liable for registration and accreditation shall be registered as Chinese companies.



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Due to the pilot stage CNCA has approved only one certification body to provide services in CFCS forest management and chain of custody certification, i.e. Beijing Zhonglin Tianhe Certification Body Co., Ltd., which was originally a State owned company but has now transformed into a share-holding company with private sector controlling the share. Three other certification bodies have applied for CNCA approval for CFCS certification. The approval that is foreseen in the near future would allow these companies to proceed with application of accreditation from CNAS.

The fact that currently only one certification body that was approved by CNCA and accredited by CNAS to issue CFCS certificates hampers the credibility of CFCS certifications on the international markets. This issue was also raised in the international consultation. However, the fact that CNCA is assessing and is likely to approve some other certification bodies will significantly improve such situation.

For CFCS, CFCC notification requires that the certification body carrying out CFCS forest management certification shall be accredited by CNAS, and the certification body carrying out chain of custody certification shall be accredited by CNAS or other accreditation bodies which shall comply with the PEFC and CFCS requirements of the accreditation bodies.



#### 4. MATERIAL AND METHODS

##### 4.1 Material

The conformity assessment of the China Forest Certification Scheme (CFCS) is based on the following scheme documentation:

**Normative documents:**

CFCS Documentation Part	Version	Date of issuance
I – Scheme Description and Implementation Arrangements	2	March 21, 2013
Annex 1: Bylaws of CFCC	1	February 15, 2010
Annex 2: Usage Rules of CFCC logo	3	April 8, 2013
Annex 3: Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies	2	March 21, 2013
Annex 4: Dispute Resolution Procedures	2	March 21, 2013
Annex 5: CFCS Terms and Acronyms	1	August 27, 2012
II – Standard Development Rule	3	December 11, 2010
IV – Forest Certification in China – Forest management	Published version	June 27, 2011
V – Forest Certification in China – Chain of custody – adoption of PEFC 2002:2010)	Published version	June 27, 2011
VI – Guidelines for Group Certification	1	August 27, 2012
Supplementary Requirements when Assessing “Forest Certification in China – Forest management”	1	August 14, 2013
Supplementary Requirements when Assessing “Forest Certification in China –Chain of custody”	1	August 14, 2013

**Descriptive documents:**

**CFCS Documentation Part:**

III – Standard Development Process and Records	3	December 11, 2010
VIII – PEFC Council Minimum Requirements Checklist GL 2/2011 – CFCS compliance by CFCC		

**Additional documents:**

Part VII – Important Laws and Regulations		
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Following the Indufor draft report submitted on February 28, 2013 and the field visit CFCC amended selected documents based on the identified non-conformities and clarification needs in the CFCS. The revised documents were approved by CFCC on March 20, 2013 and additional amendments to logo-use rules were provided on April 8, 2013. On August 14, 2013 CFCC amended auditing requirements requiring auditors to address relevant ILO Conventions and specify requirements on pesticide use in forest management audits. In chain of custody audits auditors are also obliged also to verify compliance with ILO Conventions and apply specified risk assessment criteria (Annexes 1 and 2 to Appendix 1). The final draft report was submitted on 2 September 2013 to PEFC Council and Panel of Experts for comments. Indufor received the comments on 16 September for the completion of this final report.

The conformity of the standard setting process and performance requirements of the CFCS were assessed against the following PEFC Council requirements:





1. Forest management requirements: PEFC ST 1003:2010, Sustainable Forest Management – Requirements
2. Standard setting requirements: PEFC ST 1001:2010, Standard Setting – Requirements
3. Group certification: PEFC ST 1002:2010, Group Forest Management Certification – Requirements
4. Chain of Custody: PEFC ST 2002:2010, Chain of Custody of Forest Based Products – Requirements<sup>1</sup>
5. Notification of certification bodies: PEFC GD 1004:2009, Administration of PEFC Scheme, chapter 5 Logo use: PEFC GD 1004:2009, Administration of PEFC Scheme, chapter 6
6. Complaints and dispute resolution: PEFC GD 1004:2009, Administration of PEFC Scheme, chapter 8
7. Certification and accreditation: PEFC Technical Documentation Annex 6.

#### 4.2 Methods

The main part of this assessment was done as a desk study based on the documentation listed above and on the feedback received from the stakeholders and on the additional clarification provided by CFCC. In addition, the Consultant carried out a field visit to China from 4 to 9 March 2013 in order to meet selected key stakeholders and collect further verification on compliance with the PEFC requirements. List of interviewees in the field visit is presented in Appendix 5. In addition, Indufor sent questionnaires to 24 stakeholders to inquire their views on the standard setting process and on its performance. Altogether 19 answers were received. The questionnaire is presented in Appendix 2.

The assessment intends to provide an assurance that the scheme is planned and developed in line with PEFC requirements and that it will operate in a consistent and reliable way. The assessment covers scheme development and provisions for scheme implementation as described in Table 4.1.

**Table 4.1 Assessed Elements and Core Issues**

Element	Core issues
Standard setting	<ul style="list-style-type: none"> <li>- Stakeholder participation</li> <li>- Transparency</li> <li>- Consensus building</li> <li>- Consistency in planned procedures and in their implementation</li> </ul>
Criteria for forest management (standard)	<ul style="list-style-type: none"> <li>- Performance requirements</li> <li>- Practical applicability of the criteria considering natural conditions, forest tenure, organisational and administrative structures</li> <li>- Auditability of compliance with the criteria</li> </ul>
Certification arrangements (group, individual and regional)	<ul style="list-style-type: none"> <li>- Applicability and governance of planned arrangements</li> <li>- Reliability of arrangements to deliver full conformance to the scheme requirements</li> <li>- Methods to indicate certification status</li> </ul>
Requirements for chain of custody certification and logo use	<ul style="list-style-type: none"> <li>- Compatibility of the requirements with PEFC CoC standard</li> <li>- Rules for issuance and control of PEFC logo use within the scheme</li> <li>- Risks for unjustified use e.g., during transition of national</li> </ul>

<sup>1</sup> PEFC ST 2002:2013 entered into force on 24 May 2013, after submission of final draft report.



Element	Core issues
	certification to PEFC certification
Certification and accreditation procedures	<ul style="list-style-type: none"> <li>- Requirements set for certification bodies and procedures: competence requirements, independence and impartiality</li> <li>- Applied procedures</li> <li>- Access for CBs to enter into the market</li> <li>- Compliance of scheme provisions with PEFC requirements</li> <li>- Availability of eligible accreditation body to provide the service</li> </ul>

The detailed results and conclusions of the conformity analysis are presented in detail in the assessment of CFCS against each requirement of PEFC Council Checklist (Appendix 1). For standard setting the assessment includes separate conclusions for procedures and applied processes, i.e. rules for standard setting and the processes implemented in standard setting in practice.

The following grading of conformity levels was used in the assessment (Box 4.1).

**Box 4.1 Assessment Scales Used in Conformity Evaluation**

**Conformity**

A procedure described by the Scheme documentation fully meets the particular requirement of PEFC Council

**Minor non-conformity**

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

**Major non-conformity**

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

**NA** Not applicable.

Only a positive conclusion on the conformity, was considered to meet the PEFC requirements. The Scheme elements indicating minor or major non-conformities were classified as not meeting the performance level set for the endorsed Schemes

PEFC requirements were classified as not applicable e.g., if they address a scheme development phase that is not relevant for CFCS (i.e., requirements for scheme revision or dispute resolution process in the case where no disputes have been raised to implement the planned procedures).

This report presents a detailed summary of CFCS conformity to PEFC requirements and justifies the conclusions made. Appendix 1 lists detailed conclusions for each individual PEFC requirement.



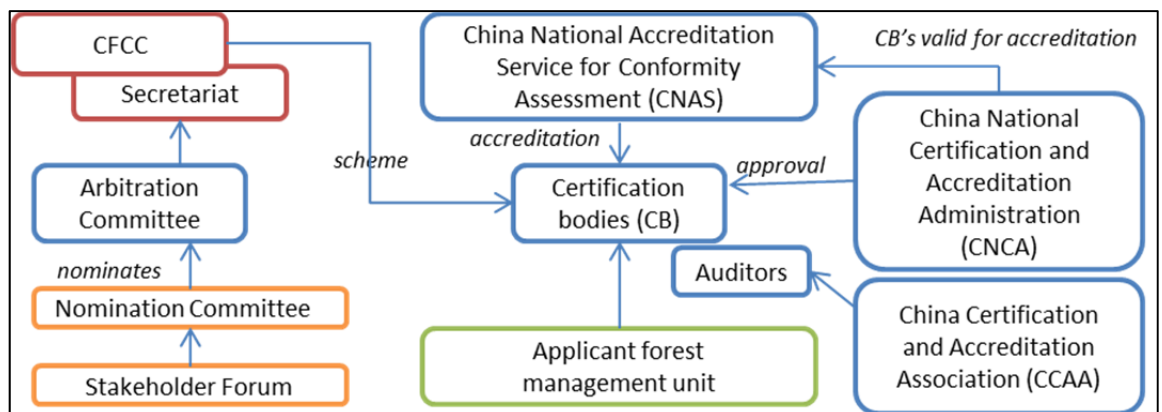
## 5. STRUCTURE OF THE CHINA FOREST CERTIFICATION SCHEME

### 5.1 China Forest Certification Council

China Forest Certification Scheme (CFCS) is governed by the China Forest Certification Council (CFCC) (Figure 5.1). CFCC secretariat is responsible for daily management of the Scheme. CFCC is a member organisation (21 members) representing social, environmental and economic interests. CFCC bylaws are described in Part I *Scheme Description and Implementation Arrangements, Annex I* of the CFCS documentation.

The CFCC is responsible for arranging notification of independent certification bodies eligible for forest and chain of custody certification in the Scheme. CFCC is responsible for launching periodic scheme revisions and other scheme amendments requested by PEFC Council or other parties.

Figure 5.1 Structure of CFCS Forest Certification Scheme



CFCC provides secretarial services also to the potential independent Arbitration Committee established to settle disputes related to scheme development or implementation. This Committee is nominated by a Nomination Committee that is in turn elected by a Stakeholder Forum Plenary Meeting (See Chapter 11 on Dispute Resolution and *Part I Scheme Description and Implementation Arrangements – Annex 4 Dispute Resolution Procedures*). The Stakeholders Forum is an open platform consisting of all stakeholders interested in forest certification in China with members not limited to Chinese organizations.

### 5.2 Organizations in Accreditation and Certification

China National Accreditation Service for Conformity Assessment (CNAS) is the government authorized national accreditation body that has the sole right to provide accreditation services in the country. CNAS is a member of International Accreditation Forum (IAF) and a signatory to their multilateral agreement, which means that CNAS is subject to the peer reviews of other IAF members. CNAS meets the PEFC requirements for accreditation bodies.

In China certification bodies entitled to be accredited by CNAS and to carry certification and verification activities in the country shall be approved by Certification and Accreditation Administration (CNCA) and registered as Chinese companies. This government organization decides which organizations can participate in providing



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services in CFCS forest and chain of custody certification and develop certification procedures and apply for accreditation from CNAS.

### 5.3 Applicants

Applicants in forest certification are

- i. State forest bureaus, which are large (100 000 – 500 000 ha) forest management units managing state forests and often engaging also to primary processing. The state forest bureaus are divided into smaller units called “farms”.
- ii. Farmers holding tenure rights for a plot of land
- iii. Groups of farmers/ villages representing people having tenure rights for forest land
- iv. Private companies having tenure right over of forest land.

In China all land is state owned and private people, communities or companies may have tenure right to land for 70 years at time. In principle the tenure right can be renewed. Tenure right can be used as a guarantee for mortgage and thus can be considered as a property.

The definition of applicant(s) conform with the PEFC requirements.



## 6. STANDARD SETTING PROCESS

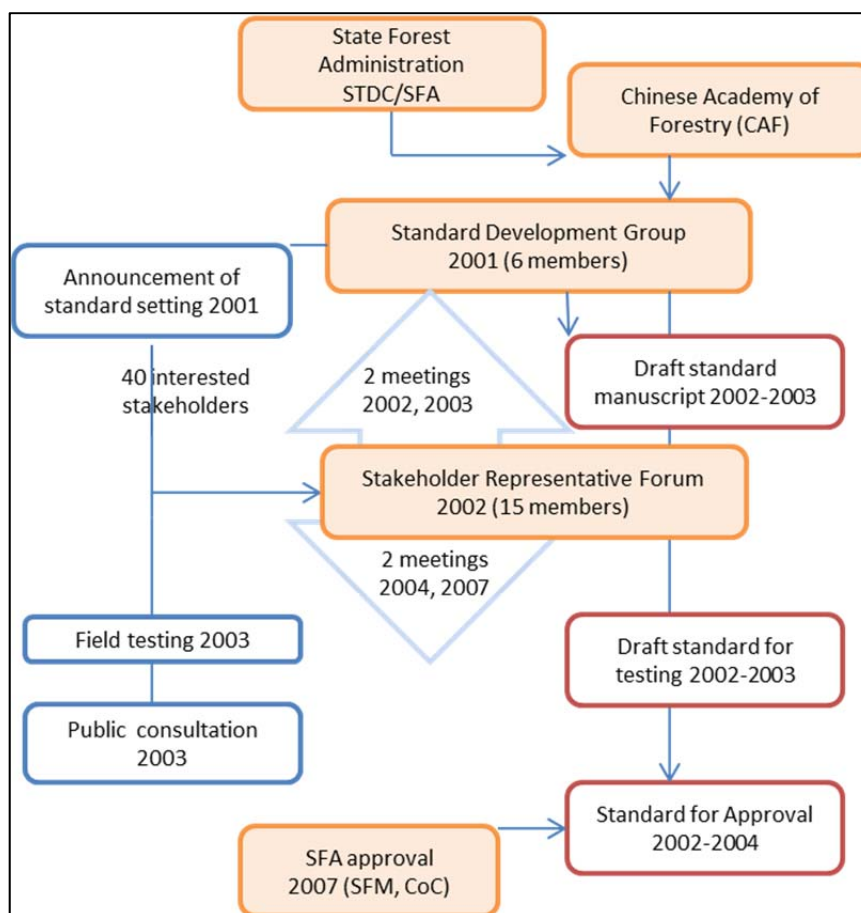
### 6.1 Organization

Development of CFCS Forest management standard has taken place in two phases. This assessment covers the both phases but the emphasis is on the procedures implemented in the Phase II between 2010 – 2011 that covered the revision of all the CFCS documents and amended them to meet the PEFC requirements. The implemented processes are described in *CFCS Part III Standard Development Process and Records* and the standard setting rules as defined in Phase II are described in *Part II Standard Development Rules* of CFCS documentation.

#### Phase I

The State organization Science and Technology Development Centre (STDC) of the State Forest Administration (SFA) organized the first standard setting phase between 2001-2007. STDC commissioned the Chinese Academy of Forestry (CAF) to set up a Standard Development Group (SDG) to draft the standard proposals for a broader stakeholder discussion (Figure 6.1). The first CFCS standards for forest management and chain of custody certification were approved by State Forest Administration in 2007. At that point there was no feasible certification arrangement available and no certification body that could provide certification services against the standards. STDC and CAF had followed the main steps required by international certification frameworks but there was not any formal linkage to any of these frameworks.

Figure 6.1 Phase I Standard Setting



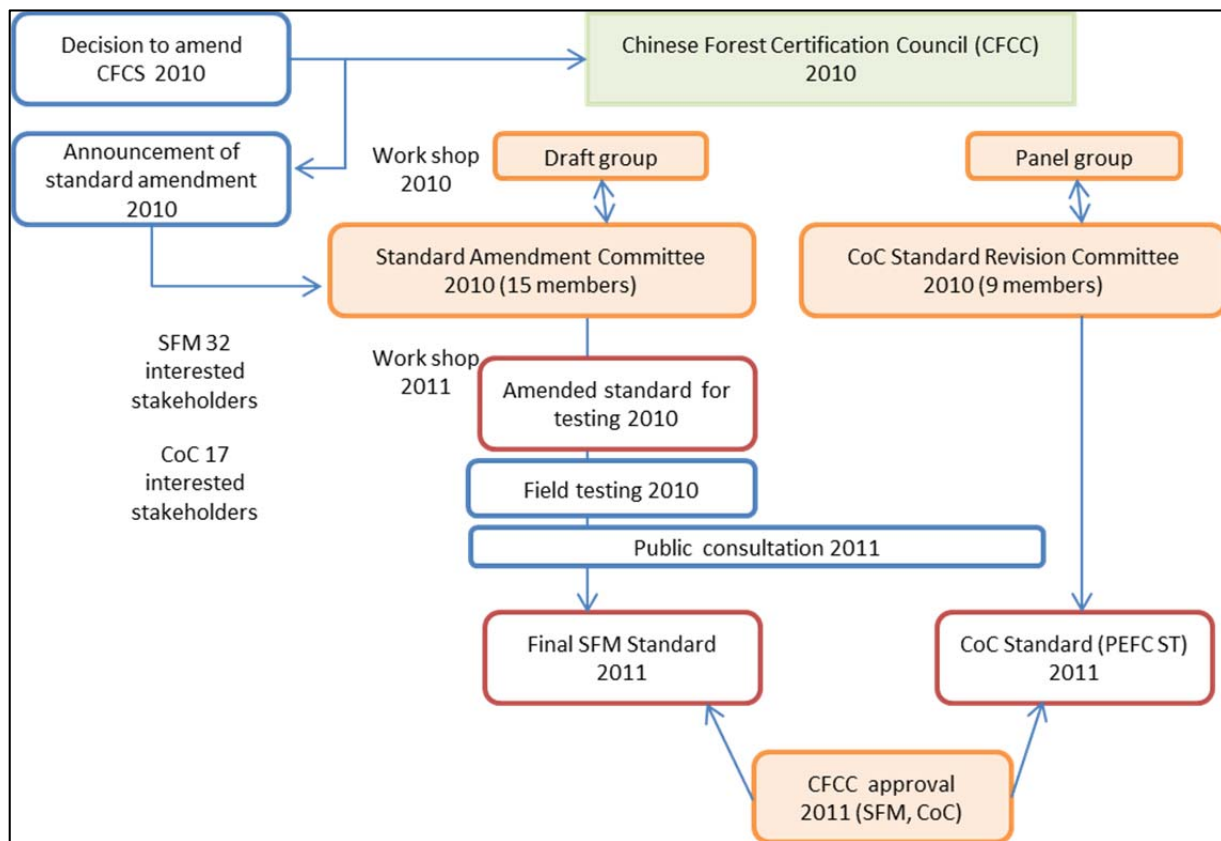


## Phase II

After 2007 STDC/SFA looked for options for international endorsement of CFCS standards and started cooperation with PEFC Council. In 2010 interested parties with the support of STDC/SFA and CAF established the Chinese Forest Certification Council (CFCC) that had the responsibility to organize the Phase II standard amendment and act as the governing body to and operator of CFCS.

In February 2010, CFCC decided in a plenary meeting to revise/amend the forest management and chain of custody standards in order to meet the PEFC Council's requirements for scheme endorsement. The meeting also agreed on standard development rules (*Part II – Standard Development Rule*) be implemented in the standard amendment process (Figure 6.2).

**Figure 6.2 Phase II Standard Amendment**



The final amended standards for forest management (*Part IV – Forest Certification in China – Forest management*) and chain of custody (*Part V – Forest Certification in China – Chain of custody*) were approved by CFCC in June 2011.



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## 6.2 Standard Setting Working Group

### Phase I

Between 2001 to 2004, the first version of the forest management standard was developed by small Standard Development Group (SDG) of six members representing CAF professionals in forestry.

An open invitation to participate in standard setting was sent out in January 2002 through Internet, government news bulletin and forestry related network. The invitation included information on standard development rules and a work plan.

A total of 40 persons representing different interest groups were listed as potential interested candidates. They represented educational and research institutions, government agencies, non-governmental organisations, forest management units in regions, industrial associations and a certification body. CAF and STDC/SFA nominated 15 members to a Stakeholder Representative Forum (SRF) that discussed the draft standard proposals. SRF members represented environmental, social and economic interests (five members in each category). Research sector and forest administration were strongly presented in environmental and social interests and state forestry and timber production associations in the economic interests. Environmental non-governmental organisations (ENGO) were aware of the process and included as candidates to SRF. A number of them chose not to participate in the SRF resulting in that only one environmental NGO being a member of the SRF.

Records on meetings and consultations are detailed and demonstrate a thorough consideration of comments received by SDG.

In Phase I SFA approved the forest management standard after consultation and testing.

### Phase II

#### Forest management standard

In March 2010, CFCC undertook a stakeholder mapping and invited stakeholders to participate in standard amendment process. The invitation was open and posted to CAF web page<sup>2</sup> and it was informed in CFCC Newsletter and network. Active personal invitations were made to stakeholders considered as relevant in the standard amendment process. Revised Standard Setting Rules and work plans for the amendment of forest management and chain of custody standards were attached to the invitation.

A total of 32 persons representing ENGOs, government agencies, research and educational institutes, trade union, industry associations and regional state forestry organisations expressed their willingness to participate in the standard amendment process. Information was also distributed regionally but regional organisations showed little interest to participate in it.

CAF provided the contact point for the standard setting which distributed information and recorded any enquiries and complaints issued on the process. Information on standard setting was posted on CAF web page. The information on standard setting and the CFCS documentation was also posted to the CFCC web site<sup>3</sup> after CFCC was established in January 2010.

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<sup>2</sup> [www.caf.ac.cn](http://www.caf.ac.cn)

<sup>3</sup> [www.cfcs.org.cn/](http://www.cfcs.org.cn/)



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CFCC set up a Standard Amendment Committee (SAC) based on the stakeholder mapping, discussions with stakeholders and the objective of balanced representation. The SAC had 15 members representing environmental, social and economic interests. The SAC had a broader representation of non-governmental organisations and private industry and the number of participating government agencies was lower than in the SRF in the Phase I.

The standard development rules were amended in December 2010 and CFCC approved the standard in June 2011 after a stakeholder meeting.

### **Chain of custody standard**

CFCC informed stakeholders on the revision of chain of custody (CoC) standard in February 2010 and the formal announcement was made in March 2010 through CAF web page. CFCC made a stakeholder mapping for CoC standard revision and set up a Standard Revision Committee (SRC) of nine participants in April 2010. The members included state forestry organisations, forest industry and industry associations, research and consumer representatives. A smaller Panel Group prepared the material for SRC meetings.

In September 2010, the SRC agreed that the PEFC international chain of custody standard (PEFC TD Annex 6) be adopted as CFCC's chain of custody certification standard with specific introductory and explanatory amendments required by Chinese standardization agency. The standard was submitted to public consultation in January – March 2011 (60 days). SRC agreed on the standard in April 2011 and in June 2011 CFCC approved the standard *Part V – Forest Certification in China – Chain of custody* (see also Chapter 8).

## **6.3 Conformity to PEFC ST 1001:2010 Standard Setting Requirements**

Phase I stakeholder process was launched in an open and transparent way assuring that various interest groups had the possibility to express their interest to participate in standard setting. The working groups (SDG and SRF) drafting the standard were highly professional on different aspects of forest management but did not strongly represent the interest of common people. However, the information on standard development and public consultations provided opportunities to influence in standard setting.

Phase II stakeholder process was more participatory with a true objective to engage representatives from non-governmental and private sectors. All interested parties had the opportunity to express their willingness to participate, CFCC, however, decided which organisations became the members of SAC. CFCC communicated with all interested stakeholders giving the basis for the conclusion that all parties that truly wanted to participate in the standard amendment work in 2010-2011 were accepted to the process.





### 6.3.1 Standardising Body

#### PEFC ST 1001:2010

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 and for formal adoption of the standard
- b) record keeping procedures
- c) the procedures for balanced representation of stakeholders
- d) standard-setting process
- e) the mechanisms for reaching consensus
- f) revision of standards/normative documents

**CFCS procedure:** *Part II Standard Development Rules* define the procedures for standard-setting

- CFCC shall nominate Standard Development Committee (SDC) that develops the standard for CFCC approval (chapters 2, 3)
- CFCC is responsible for keeping records on standard-setting (sec 3.5). It provides secretarial services to the working groups
- SDC (9-15 members) shall have balanced representation and cover geographical scope (sec 2.2, 3.3)
- CFCS Rules describe the standard setting process (chapter 3)
- SDC shall have procedures for consensus building, if not reached CFCC dispute settlement procedures apply (sec 3.4 and *Part I Scheme Description and Implementation Arrangements, Annex IV*)
- Standard revision shall take place every 5 years, CFCC is responsible for launching the work. (sec 3.2, 3.6)

**Conclusion 1: Procedures for standard-setting conform to PEFC requirements (procedures and process)**

#### PEFC ST 1001:2010

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

**CFCS procedure:** *Part II Standard Development Rules*

- CFCC shall make a public announcement on standard-setting, invite stakeholders and review the planned process based on comments received (sec 3.2.1) and all stages of the development shall be publicly available (sec 3.1.3)

**CFCS process:** *Part III Standard Development Process Records*

- Work plans for the phase I (2002) (sec A) and phase II (2010) (sec B)
- Public announcements and records (Annexes 1, 2)



**Conclusion 2: Publicity announcement of standard-setting conforms to PEFC requirements (procedures and process)**

**PEFC ST 1001:2010**

4.3 The standardizing body shall keep records relating to the standard-setting process providing evidence of compliance with this requirement and the standardizing bodies own procedures. The records shall be kept for a minimum of five years and shall be available to interested parties upon request.

**CFCS procedure: Part II Standard Development Rules**

- CFCC responsible for record keeping (sec 3.5)

**CFCS process: Part III Standard Development Process Records**

- Records were first available in the CAF web page, after establishment of CFCC in 2010 (see both [www.caf.acc.cn](http://www.caf.acc.cn) and [www.cfcs.org.cn/home](http://www.cfcs.org.cn/home))

**Conclusion 3: Record keeping conforms to PEFC requirements (procedures and process)**

**PEFC ST 1001:2010**

4.4 The standardising body shall establish a permanent or temporary working group responsible for standard-setting activities. The working group shall be

- a) accessible to materially and directly affected stakeholders
- b) have balanced representation and decision-making by stakeholder categories relevant to the subject matter and geographical scope; single interests shall not dominate nor be dominated
- c) include stakeholders with expertise relevant to the subject matter of the standard, those that are materially affected by the standard, and those that can influence the implementation of the standard. The materially affected stakeholders shall represent a meaningful segment of the participants

**CFCS procedure: Part II Standard Development Rules**

- CCFC shall establish standard setting committee (SDC) and invite stakeholders based on balanced interest and expertise. Dominance of any single interest is not allowed (sec 2.2., 3.3)

**CFCS process: Part III Standard Development Process Records**

- In 2002 and 2010 relevant and interested stakeholders were identified and invited to working groups (SDG / SAC respectively) through various channels and personal contacts (Annexes 2, 3, 11, 12). The invitations called for participation in forest management or chain of custody standard setting.
- In 2010, CCFC accepted applications for participation from any interest group that expressed their willingness to contribute to standard amendment. Also, CCFC invited and accepted participation also from organisations that were not officially registered in China.
- In 2010, the Standard Amendment Committee (SAC) had the following composition:



**Table 6.1 Balanced of Different Interests in Standard Amendment Committee**

Interest	No	Background of representatives
<b>Environmental interest</b>	5	2 represented research, 2 non-governmental organisations and 1 forest management planning organization
<b>Social interest</b>	5	2 represented research, 1 non-governmental organisations (trade-union) and 1 state forest administration and 1 forest farmer
<b>Economic interest</b>	5	2 represented industry, 3 non-governmental organizations

In the Standard Revision Committee (SRC) for chain of custody standard, out of the nine members one represented research, one non-governmental organisation, two government organizations and four forest industry or trade organisation and one consumer representative.

Regions did not have much interest to participate in the standard setting, but standard testing involved regional organisations which contribute to its further development.

Representation of NGOs is not very high, partly due to the fact that the presence of Chinese organisations interested in environmental and social issues related to forest management is still quite low and some of the existing organizations prioritize other areas of operation or other certification options.

**Conclusion 4: The composition of standardising body conforms to PEFC requirements (procedures and process)**

**PEFC ST 1001:2010**

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

- 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, and
- c) formally communicate the decision on the complaint and of the complaint handling process to the complainant

**CFCS procedure: Part II Standard Development Rules (3.8) and Part I Scheme Description; Dispute Resolution (Annex IV)**

- SDC is responsible in the first hand to arbitrate in case of any disputes in standard setting.
- The dispute settlement procedures for standard setting are defined in standard setting rules and they define the procedures to receive a grievance, communicate it with the parties in objective and transparent manner, a consensus decision shall be reached.
- If the process is not successful the CFCC scheme dispute resolution procedures apply.

There has not been any disputes in standard setting that would have tested the procedures in practice.



**Conclusion 5: Dispute settlement procedures in standard setting conform to PEFC requirements**

**PEFC ST 1001:2010**

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

**CFCS procedure:** *Part II Standard Development Rules*

- CCFC shall nominate contact persons for standard setting and complaint processes

**CFCS process:** A contact person was nominated for the standard amendment process in 2010. This issue was verified during the field visit.

**Conclusion 6: Arrangements for contact point conform to PEFC requirements (Procedure)**

**6.3.2 Standard Setting Process**

**PEFC ST 1001:2010**

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

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

**CFCS procedure:** *Part II Standard Development Rules*

- CCFC shall follow mechanisms for balanced representation of stakeholders. It shall identify relevant stakeholders based on analysis on how various social, economic and environmental interests will be influenced by forest management (sec 3.3).
- CCFC shall pay special attention to the participation of disadvantaged stakeholder groups affected by forest management.

**CFCS process:** *Part III Standard Development Process Records*

- Identification of relevant stakeholders was done in 2001 (sec 3.3) and 2010 (sec 8.2 for SAC for SFM standard development and sec 15.2 for SRC for CoC standard approval)
- Open public invitations for stakeholders to participate in the process (Annexes 2, 11) addressed to disadvantaged stakeholders and in 2010, the standard setting work shop discussed the impacts of draft standard to key and disadvantaged stakeholders (sec 9.3, Annex 13, 15.3).

**Conclusion 7: Identification of stakeholders conform to PEFC requirements (procedure and process) (See also conclusion 4)**



**PEFC ST 1001:2010**

5.3 The standardising body shall make a public announcement of the start of the standard-setting process and include an invitation for participation in a timely manner on its website and in suitable media as appropriate to afford stakeholders an opportunity for meaningful contributions

- a) information about the objectives, scope and the steps of the standard-setting process and its timetable
- b) information about opportunities for stakeholders to participate in the process
- 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
- d) an invitation to comment on the scope and the standard-setting process, and
- e) reference to publicly available standard-setting procedures

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

**CFCS procedure: Part II Standard Development Rules**

- CFCS rules require a public announcement of standard setting process that contains the information required by PEFC under 5.3. above (sec 3.1, 3.2, 3.3, 3.6)
- CFCS rules provide options for commenting on the planned standard-setting process and require the standardising body to consider the comments received (Sec 2.2, 3.2).

**CFCS process: Part III Standard Development Process Records**

- In 2002, the invitation was published in the Internet, in government news bulletin, and relevant network. Personal invitations were also sent to (sec 3.1, Annexes 1, 2 and 3)
- In 2010, invitation was published in the Internet, relevant meetings, bi-annual Newsletter and it was also informed through personal phone calls to 37 parties. Non-governmental organisations were invited no matter if they were legally registered or not in China.
- The invitations of 2002 and 2010 included the information required by the PEFC (see for 2002 sec 3.1, 3.2, 3.3, Annex 2, for 2010 sec 8.1, 8.2, 15.1, 15.2, Annex 11)
- In 2010, the Phase II requested comments for the planned standard-setting process for forest management and chain of custody standards (sec 8.3, 15.3, Annex 11).

**Conclusion 8: Invitation for standard setting and consideration of comments conform to PEFC requirements (procedures and process)** (see also conclusions 7 and 4)

**PEFC ST 1001:2010**

5.5 The work of the working group/committee shall be organised in an open and transparent manner where:

- a) working drafts shall be available to all members of the working group/committee
- 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
- 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



**CFCS procedure: Part II Standard Development Rules**

- CCFC rules require transparency and fair consideration of views presented in standard-setting (sec 2.2, 3.5).

**CFCS process: Part III Standard Development Process Records**

In CFCS small working groups prepared versions of the draft standard versions for stakeholder groups to comment. Between 2002 and 2007, SDG (6 members) provided drafts for the SRF (15 members) for comment; Between 2010 and 2011 the drafting group prepared preliminary standards for the SAC (15 members) for comment. CCFC approved the standard (see Figure 6.1, Figure 6.2, sec 3.5, 3.6, Annex 4 (2002) and 5.3, 9.3, Annexes 12, 13 (2010). For chain of custody see Annexes 16, 19, 20, 22.

- Periodic workshops provided the opportunity to discuss and comment standard proposals (sec 3.6, Annexes 8, 9; 9.3, Annexes 13; 17, 18 sec 19, Annex 20, 22)
- Material on standard-setting and meeting minutes were available in the CAF web page and later also on the CCFC web page after CCFC was established in January 2010.
- Replies to questionnaires and interviews during the field visit confirmed the participants' satisfaction on transparent standard-setting process. Interviewed parties stated that relevant material was readily available and that differing views were openly discussed in order to reach a consensus decision
- CFCC recorded in detail comments stated on the draft standards.

**Conclusion 9: Transparency in working group procedures and processes conform to PEFC requirements (procedures and process)**

**6.3.3 Public Consultation**

**PEFC ST 1001:2010**

5.6 The standardising body shall organise a public consultation on the enquiry draft and shall ensure that:

- a) the start and the end of the public consultation is announced in a timely manner in suitable media
- b) the invitation of disadvantaged and key stakeholders shall be made by means that ensure that the information reaches its recipient and is understandable
- c) the enquiry draft is publicly available and accessible
- d) the public consultation is for at least 60 days
- e) all comments received are considered by the working group/committee in an objective manner
- f) a synopsis of received comments compiled from material issues, including the results of their consideration, is publicly available, for example on a website

Formal consultations were carried out in Phase I and Phase II and also in the finalization of the amendments to chain of custody standard (Table 6.2). Information on the consultations was issued on the CAF web page and the invitations on the consultations were also distributed to different stakeholders.



**Table 6.2 Public Consultations**

Phase	Standard	Time
Phase I	Forest Certification in China – Forest management	1 October – 30 November, 2003
Phase II	Part IV – Forest Certification in China – Forest management	15 January – 15 March, 2011
Chain of custody	Part V – Forest Certification in China – Chain of custody	15 January – 15 March, 2011

The comments received for each consultation were recorded in detail. Also their consideration by respective standard setting working group and CFCC was recorded. This material is part of the scheme documentation (*Part III – Standard Development Process and Records*).

**CFCS procedure: Part II Standard Development Rules**

- CFCS rules require public consultation and sets terms for the announcement and length of the consultation period and recording of the comments received (sec 3.2, 3.6)

**CFCS process: Part III Standard Development Process Records**

- The first version (Phase I) and amended version (Phase II) of forest management standard and the Chinese version of the adopted PEFC chain of custody standard were submitted for public consultation in line with the PEFC requirements. See Table 6.2 for time and length of the consultation (sec 5.1, Annex 7; sec 11, 18, Annexes 15, 18)
- The draft standards were attached to the invitation for consultation and they were also available on the CAF web page ([www.caf.ac.cn](http://www.caf.ac.cn))
- The comments received were recorded and taken into consideration by the standard setting working groups (sec 5.2, Annex 7; sec 11, Annex 16 and sec 18, Annex 21)

**Conclusion 10: Public consultation conforms to PEFC requirements (procedures and process)**

**6.3.4 Pilot Testing**

**PEFC ST 1001:2010**

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

CFCS forest management and chain of custody standards have been widely tested in the different regions of the country. A total of two million hectares of forests are audited against the forest management standard. A CNCA approved and CNAS accredited certification body has issued a forest management certificate under the CFCS to one million hectares of this area.

Extensive pilot testing provided a feasible way to engage regional and local organizations in standard development. Experiences from field testing are also recorded in detail as well as their consideration in the SFM standard development. Local and national level stakeholders were also invited to participate in pilot testing.



**Table 6.3 Pilot Testing of CFCS Standards**

	Standard	Region	Time
<b>Phase I</b>	Forest management	Forest bureau, Heilongjiang	July 2003
<b>Phase II</b>	Forest management	Forest bureau, Heilongjiang* Forest bureau, Jilin*	October 2010

\*Summary of the testing report was available at CAF web site.

The testing areas are located in the northern part of the country where management of natural and planted forests is fairly extensive. Expansion of fast growing plantations of native and exotic species is typical to Southern part of the country where also private land tenure rights are more common. Currently the forest management standard has been tested on over ten different regions including also forest areas with private or community tenure rights (collective ownership). CFCC will use the experience gained in this testing for the development for the specific standard for forest plantations. The standard will be part of CFCS.

**CFCS procedure:** *Part II Standard Development Rules*

- CFCS rules require pilot testing of draft standards (sec 3.2, 3.6)

**CFCS process:** *Part III Standard Development Process Records*

- The forest management standards have been tested in practice (Table 6.3). Testing results are recorded and taken into consideration in standard development and finalization (sec 4, Annex 5; Sec 10, Annex 14).
- Field testing continues and expands to new areas with different vegetation zones and land tenure arrangements.
- The adopted PEFC chain of custody standard has not been and it is not necessary to test in practice, which is in line with PEFC requirements.

**Conclusion 11: Pilot testing conforms to PEFC requirements (procedure and process)**





### 6.3.5 Decision-making in Standard Setting

#### PEFC ST 1001:2010

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. 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) a combination there of

5.9 In the case of a negative vote which represents sustained opposition to any important part of the concerned interests surrounding a substantive issue, the issue shall be resolved using the following mechanism(s):

- a) discussion and negotiation on the disputed issue within the working group/committee in order to find a compromise,
- b) direct negotiation between the stakeholder(s) submitting the objection and stakeholders with different views on the disputed issue in order to find a compromise
- c) dispute resolution process.

5.10 Documentation on the implementation of the standard-setting process shall be made publicly available.

5.11 The standardising body shall formally approve the standards/normative documents based on evidence of consensus reached by the working group/committee

5.12 The formally approved standards/normative documents shall be published in a timely manner and made publicly available

#### **CFCS procedure:** *Part II Standard Development Rules*

- CFCS rules require standard approval based on consensus decision and define procedures to be implemented in case of a negative vote (sec 3.2.5, 3.4)
- CFCS mechanism for transparency require public availability of all important information related to the process, including the draft and final standards (sec 3.6).

#### **CFCS process:** *Part III Standard Development Process Records*

- The content of draft standard was discussed in workshops in 2004, 2007 (SRF) and 2010 and 2011 (SAC and SRC) and unanimously agreed on by CFCC members in 2011 (sec 5.3, 12, 13, 19, 20, Annex 18).
- Interviews in the field visit and received comments received from the questionnaires indicate that discussions in the work shops were open and transparent and participants felt that they could freely express their views and that they were taken into consideration in the process in a fair manner. In the end the participating stakeholders could support in consensus the standard version that was submitted to CFCC for approval.

**Conclusion 12: Consensus based decision-making and publicity of standard conform to PEFC requirements (procedure and process)** (see also conclusion 9)



### 6.3.6 Revision of Standards

This section is not applicable in the initial endorsement of China Forest Certification Scheme.

## 6.4 CONFORMITY TO PEFC ST 1002:2010, Group Forest Management Certification

### General

In China group certification will be the most feasible option among individual farmers having land tenure rights to small plots of forests. This land tenure system, referred as collective “ownership”<sup>4</sup> is common in southern China and the government is promoting the private tenure of such land. In areas with extensive forests and where state forest agencies control forest resources, group certification is not likely as it will be individual certification. Forest industry has tenure rights for large but often fragmented areas of forest plantations. For the forest industry, group certification is a possibility but not a likely option.

#### PEFC ST 1002:2010

4.1 Does the forest certification scheme provide clear definitions for the following terms in conformity with the definitions of those terms presented in chapter 3 of PEFC ST 1002:2010:

a) the group organisation, b) the group entity, c) the participant, d) the certified area, e) the group forest certificate, f) the document confirming participation in group forest certification.

4.1.2 In cases where a forest certification scheme allows an individual forest owner to be covered by additional group or individual forest management certifications, the scheme shall ensure that non-conformity by the forest owner identified under one forest management certification scheme is addressed in any other forest management certification scheme that covers the forest owner

CFCS procedures for group certification are stated in scheme documentation *Part VI Guidelines on Group Forest Management Certification*. All CFCS references under this chapter on group certification are made to this document.

- CFCS sets general rules for group certification that are applicable to all possible types of groups. It defines the responsibilities of group entities (applicants, organizers) and participants in group certification (sec 2.5, 3.1, 3.3, 4.1)
- Group entity shall be a legal entity responsible for conformity to certification standard in the area. It can be forest manager, company, association or government organisation (sec 2.2, 3.3)
- Participants can be a tenure right holder, use right holder or a party to which these rights are transferred, he/she can be a person, community, or other group (sec 2.6, 3.4)
- Group entity shall keep record on the area to be certified (sec 4.1 (5))
- Document defines the nature and rules for the use of group forest certificate (sec 2.4, 2.7) and documents indicating participation in group certification (sec 4.2, 4.1 (3e))
- In case a participant is also in another group certification CFCS requires information in case of any non-conformities being identified (sec 4.2 (4)).

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<sup>4</sup> All land is owned by state, but people and organizations have tenure rights to land that can be issued for 70 years and renewed



**PEFC ST 1002:2010**

4.1.3 The forest certification scheme shall define requirements for group forest certification which ensure that participants' conformity with the sustainable forest management standard is centrally administered and is subject to central review and that all participants shall be subject to the internal monitoring programme

4.1.4 The forest certification scheme shall define requirements for an annual internal monitoring programme that provides sufficient confidence in the conformity of the whole group organisation with the sustainable forest management standard

- Responsibilities of group entity and participants cover the basic requirements for implementation of group certification. Group entity is responsible for the central management of the group and it shall ensure through internal monitoring that all participants conform to forest management requirements (sec 4.1)
- Group entity shall make written procedures for group administration and keep relevant records (sec 4.1.(5))
- Group entity is a contracting party to a certification body and it represents group participants, (sec 4.1 (1))
- Participants make a written contract to join the group with the agreed terms (sec 4.2).

**Function and Responsibilities of Group Entity**

**PEFC ST 1002:2010**

4.2.1 The forest certification scheme shall define the following requirements for the function and responsibility of the group entity

a) To represent the group organisation in the certification process, including in communications and relationships with the certification body, submission of an application for certification, and contractual relationship with the certification body

b) To provide a commitment on behalf of the whole group organisation to comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme;

c) To establish written procedures for the management of the group organisation

d) To keep records of the group entity and participants' conformity, all participants, including their contact details, identification of their forest property and its/their size(s), the certified area, the implementation of an internal monitoring programme, its review and any preventive and/or corrective actions taken.

e) To establish connections with all participants based on a written agreement which shall include the participants' commitment to comply with the sustainable forest management standard. The group entity shall have a written contract or other written agreement with all participants covering the right of the group entity to implement and enforce any corrective or preventive measures, and to initiate the exclusion of any participant from the scope of certification in the event of non-conformity with the sustainable forest management standard

f) To provide participants with a document confirming participation in the group forest certification

g) To provide all participants with information and guidance required for the effective implementation

h) To operate an annual internal monitoring programme

i) To operate a review of conformity with the sustainable forest management standard

- The responsibilities of group entity (sec 4.1) cover the PEFC requirements. The detailed procedures for the implementation of these requirements shall be defined in the written procedures for group administration which is the responsibility of group entity.



### Function and Responsibilities of Participants

#### PEFC ST 1002:2010

4.3.1 The forest certification scheme shall define the following requirements for the participants:

- a) To provide the group entity with a written agreement
- b) To comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme
- c) To provide full co-operation and assistance in responding effectively to all requests from the group entity or certification body for relevant data, documentation or other information; allowing access to the forest and other facilities
- d) To implement relevant corrective and preventive actions established by the group entity

- The responsibilities of participants (sec 4.2) are covered by adequate requirements for participants in group certification. Written procedures for group administration and participant's written contract with group entity shall strengthen the due implementation of the responsibilities.

#### **Conclusion 13: CFCS group certification rules conform to PEFC requirements**



## 7. CONFORMITY TO PEFC ST 1003:2010 - SUSTAINABLE FOREST MANAGEMENT

### 7.1 General Requirements for SFM Standards

CFCS documentation *Part IV Forest Certification in China – Forest Management –* standard (hereafter Standard or SFM standard) defines the CFCS requirements for forest management. CFCC amended the standard requirements in March 2013 with clarifying notes and will specify interpretation of individual indicators in Audit Guidelines at the end of 2013. The compliance analysis is made against PEFC Council requirements for sustainable forest management PEFC ST 1003:2010.

References to specific criteria and indicators that establish the conformity to PEFC ST 1003:2010 are presented in PEFC Minimum Requirements Checklist Part III which is Appendix 1 to this report.

#### PEFC ST 1003:2010

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

b) be clear, objective-based and auditable

c) apply to activities of all operators in the defined forest area who have a measurable impact on achieving compliance with the requirements

d) require record-keeping that provides evidence of compliance with the requirements of the forest management standards

- The standard sets requirements applicable to all management unit levels: state forest farms, private collective forest “ownership”, companies and individual farmers (sec 2.3, 2.5, 2.6, and *Part I Scheme Description and Implementation Arrangements* sec 4.3)
- The standard introduction states that forest management units shall comply with its requirements. Detailed forest management and operational plans and codes for specific management activities interpret standard requirements in practice and apply to all operators in the management unit.
- Standard requires detailed record keeping on forest resources and various aspects of forest management and use and its impacts. Forest management plan, operational plan and working contract set requirements for systematic recording. Indicators 9.1<sup>5</sup> and 9.3 set specific requirements for monitoring and record management.

**Conclusion 14: CFCS SFM standard complies with the general PEFC requirements for forest management standards**

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<sup>5</sup> The SFM standard chapter number 3 preceding each indicator in the standard is excluded in the numbering of indicators in this assessment report and Annex 1, in order to clarify the standard structure of nine different criteria and a number of underlying indicators.



## 7.2 Specific Requirements for SFM Standard

### Criterion 1 Maintenance and appropriate enhancement of forest resources and their contribution to the global carbon cycle

#### PEFC ST 1003:2010

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

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

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.

- In China, state policies and regulations strongly control strongly forest management planning and use. Forest certification aims to increase the contribution of society in decision-making on planning and forest use.
- Since 2998, China has implemented since 2008 a strict protection programme to save natural forests that with a stepwise approach decreases harvesting levels in natural forests by 50 to 80%. At the same time relevant national policies support afforestation of un-forested land and management of short and long rotation planted forests.
- Forest classification by different ecological and social characteristics sets the basis for planning and outlines allowable management regimes.
- State forest agencies are responsible for forest inventories and mapping as well as for definition of harvesting quotas and preparation and/or approval of long term forest management plans.
- The standard requires compliance with legislation in force (criterion 1) and prohibits illegal conversion of forest land (indicator 1.3). It also requires specifically consultations with local people (indicator 3.5), protection of natural values in forests (indicator 5.8) and assessment of social and ecological impacts (indicators 3.9, 7.1).

**Conclusion 15: CFCS SFM standard contribute together with legislation to systematic planning and increase in forest resources. Conforms.**



**PEFC ST 1003:2010**

5.1.4 Management plans or their equivalents, appropriate to the size and use of the forest area, shall be elaborated and periodically updated. They shall be based on legislation as well as existing land-use plans, and adequately cover the forest resources.

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.

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.

5.1.7 Monitoring of forest resources and evaluation of their management shall be periodically performed, and results fed back into the planning process.

5.1.8 Responsibilities for sustainable forest management shall be clearly defined and assigned.

- State forest agencies make forest management plans for 10 years based on inventory data and other information on environmental and social conditions. In Southern China farmers managing small timber plots are encouraged to make their own plans that they will submit to authorities for approval. Annual operational plans are in line with the long term plans. The plans are revised every five years and renewed in 10 year cycles.
- State agencies also define harvesting quotas for the planning period. This applies also to non-wood forest products when relevant to the area.
- Standard requires that summaries to plans and monitoring results shall be made publicly available (indicators 4.1, 9.1). Local and regional administration publishes the summaries for state forests.
- Standard specifically requires that forest management units shall assign responsibilities in implementation of the plan (indicator 4.2.1).

**Conclusion 16: CFCS SFM standard contribute together with legislation to systematic forest management planning and implementation. Conforms.**

**PEFC ST 1003:2010**

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.

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.

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 circumstance (see PEFC Checklist for details)

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

- Standard require measures to reduce environmental damages that decrease the value or degrade the ecosystem or forest resources (indicators 5.9, 5.11, 7.2)
- Harvesting quotas are set by the state, but the standard require that harvesting level shall be below the stand growth (indicator 5.7)
- Regarding conversion, the Standard includes a copy of the PEFC ST requirement 5.1.11. In addition the national programme of protection of natural forests practically prohibits conversion of natural forests e.g. to forest plantation. On afforestation of



**Indufor** ...forest intelligence

non-forested land, the Standard sets requirements on development of appropriate diversity in stand structure (indicator 5.6).

**Conclusion 17: CFCS SFM standard conforms to the PEFC requirements on sustainable harvesting levels, avoidance of damage and restrictions on forest conversion.**

## **Criterion 2 Maintenance of forest ecosystem health and vitality**

5.2.1 Forest management planning shall aim to maintain and increase the health and vitality of forest ecosystems and to rehabilitate degraded forest ecosystems, whenever this is possible by silvicultural means.

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.

- Standard requires that disease and pest control measures shall conform to the regulations (indicator 8.1.1) and degraded ecosystems shall be rehabilitated (indicator 7.2.5)
- Potential risks for pest damages shall be monitored to provide appropriate predictions for their occurrence (indicator 8.1.2)
- Pests, disease and fire risks shall be monitored regularly (indicator 9.2).

**Conclusion 18: CFCS SFM standard conforms to the PEFC requirements on consideration of forest health in planning and monitoring**

### **PEFC ST 1003:2010**

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.

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.

- Forest fires are a periodic risk and regulations on the use of fire in forests are strict (indicator 8.2.6 specifies that open fires are allowed only in forest camps where workers stay overnight).
- Standard requires zoning of forest area according to fire risks and regular monitoring of fires (indicators 8.2.2, 8.2.3).

**Conclusion 19: CFCS SFM standard conforms to the PEFC requirements on fire protection**





**PEFC ST 1003:2010**

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.

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.

5.2.7 Appropriate forest management practices such as reforestation and afforestation with tree species and provenances that are suited to the site conditions or the use of tending, harvesting and transport techniques that minimise tree and/or soil damages shall be applied. The spillage of oil during forest management operations or the indiscriminate disposal of waste on forest land shall be strictly avoided. Non-organic waste and litter shall be avoided, collected, stored in designated areas and removed in an environmentally-responsible manner.

- Standard includes several requirements that contribute to the health of forests: forest management plan shall include measures to maintain health (indicator 4.1.4), species used shall be suitable to site (indicator 5.5) and applied measure shall not damage the ecosystem (indicators 5.9, 5.11, 7.1, 7.2).
- State Forest Agency (Forestry Genetic Security Office) sets regulations on genetic diversity and protection of genetic resources of forest trees
- Standard requirements on waste management set complying provisions for management and disposal of normal and hazardous waste (7.3.8).
- Structural diversity of stands is aimed at in natural forests and in long rotation planted forests. For intensive forest plantations regulations set provisions for the landscape level diversity but the Standard does not address the issue.

**Conclusion 20: CFCS SFM standard together with regulations conform to the PEFC requirements on consideration of forest health in forest management operations**

**PEFC ST 1003:2010**

5.2.8 The use of pesticides shall be minimised and appropriate silvicultural alternatives and other biological measures preferred.

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.

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.

5.2.11 The use of pesticides shall follow the instructions given by the pesticide producer and be implemented with proper equipment and training.

5.2.12 Where fertilisers are used, they shall be applied in a controlled manner and with due consideration for the environment.

CFCC Supplementary Requirements When Assessing "Forest certification in China --- Forest management" (issued August 14, 2013) :

- When assessing the indicator of "3.7.3.2 Pesticides listed in the WHO Type 1A and 1B and in the national laws and regulations as well as other highly toxic pesticides (see Appendix A) shall be prohibited, except where no other viable alternative is available", the auditors shall consult with relevant management staff and workers to ensure that no chemical listed in WHO Type 1A and 1B and in the national laws and regulations as well as other highly toxic pesticides can be used under any condition.



- By law forest management units are not authorized to use pesticides in forests. In the case of an epidemic disease or pest infection, the Chinese government organisation's plan and implement their use ie pesticides in natural and planted forests.
- Legislation sets requirements on recording and appropriate use of chemicals including measures to ensure work safety. Appropriate training is also required by regulations. These issues are also addressed by the Standard (indicators 4.4, 7.3)
- Standard requires integrated pest management and to strengthen the ecosystem's ability to resist pest and disease damage (indicator 8.1)
- Additionally, regarding the use of toxic pesticides the Standard has adopted by word the PEFC requirement 5.2.9 (indicator 7.3.2), in addition the "Supplementary Requirements When Assessing "Forest certification in China – Forest management" which prohibits the use of WHO type 1A and 1B pesticides.
- The use of chlorinated hydrocarbons is prohibited (indicator 7.3.3)
- The Standard requires minimization and controlled use of fertilizers (indicators 7.1, 7.2).

**Conclusion 21: CFCS SFM standard and CFCC Supplementary Requirements When Assessing "Forest certification in China --- Forest management" specifying chemical use conforms to PEFC requirements on chemical use."**

**Criterion 3 Maintenance and encouragement of productive functions of forests (wood and non-wood)**

**PEFC ST 1003:2010**

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.

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.

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.

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.

- The Standard requires that forest management plan is in line with the higher level plans, is based on valid information on resources as well as harvesting levels of wood and non-wood forest products (indicator 4.1)
- FMU shall contribute to production of a diversity of forest products, including non-wood forest products, and strengthen the diversity of local economy (indicator 5.3)
- Annual operational plans that set the framework for practical forest management shall be in accordance with forest management plan (also regarding the diversity of production) (indicators 5.1, 5.2, 5.3) and ecosystem services of forests shall be maintained (indicator 7.5).

**Conclusion 22: CFCS SFM standard conform to the PEFC requirements on consideration of diverse production options and sound economic performance in forest management planning and its implementation**



**Indufor** ...forest intelligence

**PEFC ST 1003:2010**

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.

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.

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.

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.

- Legislation defines the terms for regeneration and forest management plans together with operational plans specify the actions to be taken and their timing for regeneration. The Standard requires compliance with legislation and specifies the licenses required for harvesting (indicators 1.1, 5.7). Forest management techniques used shall have low environmental impacts (indicators 5.9, 7.2) and the impacts shall be monitored (indicator 7.1).
- Harvesting levels shall not exceed the allowable level for sustainable development (indicator 5.7). Management plans developed in line with issued harvesting quotas set the potential harvesting levels for timber and non-wood forest products.
- The Standard requires a control of unauthorized use of non-wood forest products (indicator 6.2) as well as monitoring of the environmental and social impacts of harvesting (indicator 9.2).
- Standard requires development and maintenance of adequate infrastructure to minimize negative impacts to environment (indicator 5.11)

**Conclusion 23: CFCS SFM standard conforms to the PEFC requirements on enhancement of production in forests**

**Criterion 4 Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems**



**PEFC ST 1003:2010**

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.

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

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.

- In China, the Natural Forest Protection Programme (2008) restricts the harvesting in natural forests. Forest categorization and zoning according to their characteristics and level of diversity define which management operations are allowed, e.g. forest plantations are allowed only in low diversity areas, e.g. former agricultural lands and in a small scale on areas where objective is to mix native and exotic species.
- Protected species are listed in national and regional levels and categorized in two classes in both levels. The regulations on species protection are strictly enforced.
- Protection of gene reserves in forests is the responsibility of State Forest Agency's Forestry Genetic Security Office which sets regulations for protection of genetic diversity.
- Standard amends the regulations and require that forest management plans include zoning of forest area, measures for protection of biodiversity and rare species (indicator 4.1), habitats of rare species shall be mapped and appropriate biological corridors should be established, along with other protective measures listed in indicator 3.6.

**Conclusion 24: CFCS SFM standard conforms to the PEFC requirements on consideration of biodiversity protection in forest management planning**

5.4.4 Forest management shall ensure successful regeneration through natural regeneration or, where not appropriate, planting that is adequate to ensure the quantity and quality of the forest resources.

5.4.5 For reforestation and afforestation, origins of native species and local provenances that are well-adapted to site conditions shall be preferred, where appropriate. Only those introduced species, provenances or varieties shall be used whose impacts on the ecosystem and on the genetic integrity of native species and local provenances have been evaluated, and if negative impacts can be avoided or minimised.

5.4.7 Genetically-modified trees shall not be used.

- Zoning and habitat classification set the framework for regeneration options. Clear cutting and planting is common practice in short rotation forest plantations whereas in long rotation planted forests selective cutting or shelter wood cutting is more common. Code of forest harvest and forest management plan define the cutting



regime to be used. Natural regeneration is applied if appropriate in long rotation planted forests and in natural forests.

- Standard requires that regeneration shall be in line with regulations (indicator 5.7.4). It also requires preference for indigenous species and the use of suitable origin of seeds/seedlings (indicator 5.5).
- Exotic species may not be used by regulations in natural forests or in areas with higher biodiversity values (cf. biodiversity classification). Exotic species are allowed in general in short rotation plantations.
- Standard allows only the use of non-invasive exotic species and requires monitoring of their impacts (indicator 5.5, 7.4). Exotic species shall pass strict quarantine and environmental assessment and they shall not harm environment and biodiversity (indicator 7.4.1). Records on their use shall be kept (indicator 7.4.2).
- Indicator 5.5.5 prohibits the use of gene modified trees.

**Conclusion 25: CFCS SFM standard conforms to the PEFC requirements on selection of regeneration method and seed/plant material for the new tree generation.**

Comment: A stakeholder raised a concern on the limited possibilities to identify gene manipulated trees in certification process. Standard requires good records on the origin of trees, especially on exotic species, which should disclose information on any modified gene material in the planted trees.

**PEFC ST 1003:2010**

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

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.

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.

- Standard requires diversification of stand and forest structure at landscape level on afforestation sites (indicator 5.6). In addition the provisions to leave buffer zones and protect special habitats and leave dead wood practically in long rotation stands contribute to increased diversity (indicators 6.1, 6.2, 6.3). Wild life corridors shall be established on afforestation sites (indicator 5.6.4).

**Conclusion 26: CFCS SFM standard conforms in natural and long rotation planted forests to the PEFC requirements on landscape and stand level diversity**

Comment: Short rotation forest plantations would need more specified requirements for the landscape level diversity. The requirements should be part of CFCS Plantation Standard being developed and take into consideration the special characteristics of land tenure and use regimes in plantation forestry.



**PEFC ST 1003:2010**

5.4.9 Traditional management systems that have created valuable ecosystems, such as coppice, on appropriate sites shall be supported, when economically feasible.

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.

5.4.11 Infrastructure shall be planned and constructed in a way that minimises damage to ecosystems, especially to rare, sensitive or representative ecosystems and genetic reserves, and that takes threatened or other key species – in particular their migration patterns – into consideration.

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.

- Standard requirement on traditional management system is a copy of respective PEFC requirement. Stakeholders could not mention any traditional management system in forestry that would not be covered by the Standard.
- Forest management shall safeguard the integrity of forest ecosystem, contribute to forest conservation and restoration as well as soil and water protection (indicators 5.1, 5.8, 7.2). Standard also requires measures for fire protection and mitigation of natural disasters (indicators 8.2, 8.3).
- Standard requirements on consideration of infrastructure development in forest management plan, minimization of any negative impact to environment and special requirement for soil and water protection (indicators 4.1.4, 5.11.2, 7.2.1) along with requirements for species protection (indicator 6.1) set environmental provisions for planning of infrastructure.
- Standard requires appropriate measures to minimize impacts of animal population to forest stands (indicator 7.6).

**Conclusion 27: CFCS SFM standard conforms to the PEFC requirements on taking measures to protect biodiversity in selected activities**

**Criterion 5 Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)**

**PEFC ST 1003:2010**

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.

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.

- Regulations and forest zoning identify the most vulnerable areas and areas where protective functions of forest have special importance.
- Standard requires that forest management plans shall take into consideration the zoning, watershed management functions of forest and assess the impacts of management and infrastructure development (indicator 4.1.4). Local peoples should have the possibility to express their views regarding zoning, in order to find areas with protective functions to society (indicator 3.5)
- Standard also requires buffer zones for soil and water protection, measures for fire protection and appropriate emergency measures in case of natural disaster (indicators 7.2.3, 8.2, 8.3)



**Conclusion 28: CFCS SFM standard conforms to the PEFC requirements on consideration of protective functions of forests in planning**

**PEFC ST 1003:2010**

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.

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

5.5.5 Construction of roads, bridges and other infrastructure shall be carried out in a manner that minimises bare soil exposure, avoids the introduction of soil into watercourses and preserves the natural level and function of water courses and river beds. Proper road drainage facilities shall be installed and maintained.

- Standard requires that soil protection is taken into consideration in long term and operational planning and in practical forest management
- Standard requires measures for soil and water protection and reducing of damage to environment in operations (indicator 7.2). It also requires measures to control the pressure of animal populations (indicator 7.6)
- Legislation regulates the use of chemicals in forests. In addition Standard requires strict control on chemical use and a reduction in their use (indicators 7.3, 8.1.3)
- Standard requires that infrastructure design minimizes negative impacts to environment (indicator 5.11) and that effective measures are taken to prevent and mitigate any damage to the environment (indicator 7.2).

**Conclusion 29: CFCS SFM standard conforms to the PEFC requirements on protection of soil from erosion and water resources from contamination in forest operations**

**Criterion 6 Maintenance of other socio-economic functions and conditions**

**PEFC ST 1003:2010**

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.

5.6.2 Forest management shall promote the long-term health and well-being of communities within or adjacent to the forest management area.

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.

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.

- Standard includes several requirements that strengthen the potential benefits forests can provide to locally and regionally:



- Forest management shall provide opportunities for employment, training and social services as well as develop transportation and communication infrastructure to forest area and attached communities (indicator 3.1)
- Objective to diversify forest produce imply investments in production and processing of non-wood forest products and improvement of forest ecosystem services (indicators 5.3, 7.5)
- In forest zoning local people shall be consulted (indicator 3.4) and traditional use rights shall be respected (indicator 3.6)
- In case of negative social impacts or loss of income to the residents, they shall be provided an opportunity for consultation and compensation (indicator 3.7)
- Forest management planning takes into consideration officially recognized sites with cultural significance. Level of their protection depends on applicable regulations in the planning process. The Standard require consultation with local people in zoning (indicator 3.5) and respect of their legal rights (indicator 3.4)
- Regarding scientific input in forest management, the China State Forest Administration coordinates forest management planning and it has the capacity to integrate applicable research results into planning process and into practical level guidelines. it's organizations are also contact points for research organizations when needing testing areas or other contribution for research.

The research sector is involved in testing of CFCS in practice.

**Conclusion 30: CFCS SFM standard conforms to the PEFC requirements on general provisions to disseminate diverse benefits of forest management locally and regionally**

**PEFC ST 1003:2010**

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.

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.

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.

- Standard requires that forest management unit shall not encroach upon the legal rights of local residents (indicator 3.4)
- In certified forests forest tenure rights shall be clear (indicator 2.1) and any disputes shall be resolved according to established procedures on Dispute Settlement of Forest Trees and Forest Land Tenure. Significant unresolved land tenure disputes prevent successful certification (indicator 3.2)
- Standard requires that traditional use rights are respected and any justified restrictions are informed (e.g. denied access to forest during high fire risk) (indicator 3.6)
- Requirement for diversification of forest products (indicator 5.3) and maintenance of environmental services (indicator 7.5) encourages forest use by local people.

**Conclusion 31 CFCS SFM standard conforms to the PEFC requirements on safeguarding local people's rights to use forests**

Comment: In state owned forests with extensive forest management, local people have the possibility to participate in decision-making, have access to forest area and listed





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forest products. The situation is different in intensively managed short rotation forest plantations managed by individual farmers or forest industry. The current Standard requirements on land tenure, access and use rights and consultations are not very applicable in all forms of forest plantations. CFCS Plantation Standard being developed should address these issues taking into consideration special characteristics of plantation forestry.

**PEFC ST 1003:2010**

**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.

- China has not ratified the ILO Convention 169 and officially China does not have groups of indigenous people in its population. China has 55 minority groups for which state has provided specific privileges in order to protect their economic, cultural and spiritual values.
- Standard sets a number of requirements that address the issues covered by the ILO 169 and UN Declaration as referred to in the PEFC requirement:
  - Compliance with relevant laws (indicator 1.1.1)
  - Provision of benefits to local communities, employment, infrastructure (indicator 3.1)
  - Avoidance of damage to property and compensation (indicator 3.7) ,
  - Respect of traditional use rights and knowledge and consultation (indicators 3.6, 3.8, 3.5)
  - social and environmental impact analysis, communication mechanisms (indicator 3.9)

**Conclusion 32: CFCS SFM standard together with legislation conforms to the PEFC requirements on respect of local people and minority groups**



**PEFC ST 1003:2010**

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.

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.

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.

5.6.13 Forest management shall comply with fundamental ILO conventions (see Table 7.1)

CFCS "*Supplementary Requirements When Assessing "Forest certification in China – Forest management"*" require auditors to gain assurance the forest management complies with all relevant ILO Conventions:

- When assessing the indicator of "3.3.2 Abiding by requirements about working and safety of the workers and guaranteeing the health and safety of the workers", the auditors shall consult with relevant management staff and workers to ensure that the use of forced or compulsory labour in the forest management is strictly prohibited under any condition, and in practice, all of the relevant ILO conventions shall be complied with.
- When assessing the indicator of "3.3.2.4 Requirements of all ILO conventions to which China is a signatory shall be complied with", the auditors shall consult with relevant management staff and workers to ensure that in the forest management the workers have freedom of association, protection of the right to organise, and right to collective bargaining, and in practice, all of the relevant ILO conventions shall be complied with.

- By law, workers shall have training for their tasks before signing a contract. Employer is also responsible for providing necessary safety equipment to prevent accidents in work
- Labour legislation address health and safety and they shall be informed to workers.
- China has ratified only four out of eight fundamental ILO Conventions. Ratification would give assurance that the internationally agreed provisions are taken into consideration in the national legislation as appropriate. For the provisions of non-ratified Conventions CFCC shall indicate how they are taken into consideration either in the Standard and audit guidelines or national legislation. CFCC clarification is presented in Annex 1 to Appendix 1 to this report.



**Table 7.1 Ratification Status of Selected ILO Conventions in China**

<b>Fundamental ILO Conventions Number</b>	<b>Name and Year</b>	<b>Status in China</b>
<b>ILO No 29</b>	Forced Labor, 1930	not ratified
<b>ILO No 87</b>	Freedom of Association and Protection of the Right to Organize, 1948	not ratified
<b>ILO No 98</b>	Right to Organize and Collective Bargaining, 1949	not ratified
<b>ILO No 100</b>	Equal Remuneration, 1951	2.11.1990
<b>ILO No 105</b>	Abolition of Forced Labor, 1957	not ratified
<b>ILO No 111</b>	Discrimination (Employment and Occupation) 1958	12.1.2006
<b>ILO No 138</b>	Minimum Age for Admission to Employment, 1973	28.4.1999
<b>ILO No 182</b>	Worst Forms of Child Labour Convention, 1999	8.8.2002
<b>Other ILO Conventions referred by PEFC Council</b>		
<b>ILO No 155</b>	Occupational Safety and Health Convention, 1981	25.1.2007
<b>ILO No 169</b>	Indigenous and Tribal People's Convention, 1989	not ratified*

Source: [www.ilo.org](http://www.ilo.org), [www.un.org/esa/socdev/unpfii/documents/DRIPS\\_en.pdf](http://www.un.org/esa/socdev/unpfii/documents/DRIPS_en.pdf), <http://chm.pops.int/Countries/StatusofRatifications/tabid/252/Default.aspx> (23.2.2013) [http://actrav.itcilo.org/english/about/about\\_fundamentals.html](http://actrav.itcilo.org/english/about/about_fundamentals.html) (23.2.2013)

\*Officially China does not have any groups of indigenous people. It has minority groups

- Interviewed stakeholders claimed that labour legislation applicable in forest work is advanced in the country and sets adequate basis for appropriate protection of workers, fair compensations and adequate working provisions for conditions and safety in work.
- Standard requires legal compliance with and training for all workers on work safety (indicator 3.2, 4.4)
- Use of forced labour in forestry is not in line with Chinese legislation and “Supplementary Requirements When Assessing “Forest certification in China – Forest management” requires auditors specifically to verify that forced or compulsory labour is not used.

**Conclusion 33: CFCS SFM standard and labour legislation amended with the requirements of “Supplementary Requirements When Assessing “Forest certification in China – Forest management” conforms with PEFC requirements on compliance with international labour conventions**



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**Criterion 7 Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)**

**PEFC ST 1003:2010**

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.

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.

- Standard requires compliance to relevant legislation and includes a list of all relevant laws that guide forest management (indicators 1.1, 1.2 and Appendix A.1 to the Standard)
- Indicator 1.3 requires protection of forests against any illegal activity. Standard indicator and legislation on timber harvesting and transport provide adequate requirements for the control of unauthorized activities.

**Conclusion 34: CFCS SFM standard together with control measures stipulated by legislation conforms to PEFC requirements on legal compliance**



## 8. CHAIN OF CUSTODY STANDARD

CFCC has adopted PEFC ST 2002:2010 as the national standard for chain of custody verification. The standard is *Part V – Forest Certification in China – Chain of custody (27 June, 2011)*. It includes minor modifications to the PEFC standard due to the requirements of national laws and regulations related to standard development and standard approval. The list of differences between the CFCS and PEFC chain of custody standards are listed in the beginning of the standard. In August 2013, CFCC issued *Supplementary Requirements when Assessing “Forest certification in China --- Chain of custody”*. The document specified requirements e.g. for risk assessment and social issues. The PEFC ST 2002:2013 entered into force on May 24, 2013, during the assessment.

In China, accredited certification may be carried out only against approved national standards. National standards may refer only to the organizations that are registered in China, which is the reason why all references to PEFC are replaced with CFCC and references to other organizations e.g. Transparency International's corruption index are removed from the Chinese version of the PEFC chain of custody standard.

CFCS chain of custody standard and the Supplementary requirements are comparable to the PEFC ST 2002:2010. The most significant alterations include:

- exclusion of the consideration of indigenous people's property, tenure and use rights as an aspect relevant in the definition of controversial sources of timber (see PEFC ST 2002:2010 sec 3.7 and CFCS chain of custody standard sec 3.7)
- requirement to comply exclusively with CFCS logo usage rules. The rules are not equal to PEFC logo usage rules (CFCS chain of custody standard sec 5.5.2 Note 2).
- in corruption perception index assessment CFCS standard does not give a specific threshold for the index for high sustainability risk (CFCS chain of custody standard Annex B). PEFC standard requires that all supplies from countries where corruption perception index defined by Transparency International is lower than 5.0 shall be classified as high.

These alterations in the standard may result, in some cases, in differences in the performance requirements, which is a fact that CFCC and PEFC should be aware of. However, there are justifiable reasons why these alterations were essential in order to get formal registration for the CFCS chain of custody standard:

- i. Officially China does not have indigenous peoples. People representing different ethnic groups are classified as minority groups (55 in total). Therefore the requirement concerning indigenous people is not deemed to be applicable in China. However, protection of the rights of indigenous people is a valid and essential requirement for any timber/ timber product imported to China. Removal of the requirement to respect indigenous peoples' rights among the criteria to assure that timber originates from uncontroversial sources, may result in certification of chain of custody management systems that in practice deliver timber from sources violating these rights.
- ii. National standards may not have a reference to PEFC Council which is not a registered Chinese organisation
- iii. Transparency International is not either registered in China.

*“Supplementary Requirements When Assessing “Forest certification in China – Chain of custody”* specify that chain of custody audits collect adequate evidence on

- respect of indigenous people's rights related to imported timber
- compliance with relevant ILO Conventions



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- specific risk assessment criteria comparable to the requirements of PEFC 2002:2010 standard.

The CFCS chain of custody standard and the Supplementary Requirements are aligned with the requirements of PEFC ST 2002:2010 but a few gaps in compliance exist with PEFC ST 2002:2013. CFCS Chain of custody standard is less specific on definition and requirements on conflict timber, controlled sources and risk assessment.

**Conclusion 35: CFCS standard for chain of custody together with “*Supplementary Requirements When Assessing “Forest certification in China –Chain of custody”*” verification conform to PEFC ST 2010 that was the reference standard when CFCC applied for the endorsement.**



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## 9. IMPLEMENTATION OF PEFC LOGO USAGE

PEFC Logo Usage Rules ST 2001:2008, Second edition of 26 November 2010 set the rules for the use of PEFC logo.

*CFCS Part One. Scheme Description and Implementation Arrangements, Annex II: Usage Rules for China Forest Certification Logo revised in 20 March 2013 and informed to consultant on 8 April 2013 require that:*

- *When CFCS is endorsed by PEFC, all certified forest management units for forest management certification and certified companies for COC certification shall use both CFCC logo and PEFC logo together. Furthermore, they should also follow PEFC Logo Usages Rules – Requirements and Issuance of PEFC Logo Usage Licenses by the PEFC Council. Logo user has the legal liability according to relevant laws and regulations in case of any abuse of CFCC Logo and/or PEFC Logo use.*
- The document includes logo-use rules for CFCC label, which follow closely the structure and content of PEFC logo use standard, however the documents are not fully compatible
- The PEFC logo use rules are not part of the scheme documentation, but they are available in Chinese language.

**Conclusion 36: CFCS provisions with the amendments of April 2013 for the use of PEFC logo conform to the PEFC requirements.**



## 10. CERTIFICATION AND ACCREDITATION ARRANGEMENTS

CFCS provisions for certification and accreditation are described in *Part I - Scheme description: Chapters 4 and 5 and in Annex III on Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies (21 March 2013)*.

In China certification bodies and the national accreditation body that have the official mandate to operate in the country shall be approved by Certification and Accreditation Administration of the People's Republic of China (CNCA). According to Chinese laws and regulations, CNCA can only approve organisations that are registered as national entities.

The national accreditation body, China National Accreditation Service for Conformity Assessment (CNAS), has the mandate to accredit certification bodies that are approved by CNCA. CNAS is a member of International Accreditation Forum (IAF) and complies with the international accreditation standards (e.g. ISO 17011:2004 on Conformity assessment -- General requirements for accreditation bodies accrediting conformity assessment bodies).

CNCA considers that current status of CFCS implementation is a testing phase and it has approved only one certification body (Beijing Zhonlin Tianhe Forest Certification Centre Co., LTD.) to apply for accreditation and issue forest or chain of custody certificates. CFCC has recognized the disadvantages of having only one service supplier and has communicated to CNCA and CNAS the need to open up access for certification services to several companies. This concern was shared with the stakeholder comments in international communication.

Three additional certification bodies have already applied for CNCA approval and are willing to enter into the business but so far the registration is pending. This hinders their ability to undertake certifications and apply for accreditation from CNAS. The testing phase is envisaged to extend to two years and after that time it is likely that CNCA will register new companies to enter into the forest management and CoC certification business.

Certification bodies:

PEFC Requirements	CFCS Requirements
1. Certification shall be carried out by impartial, independent third parties...	Impartial, independent third parties and approved by CNCA sec 4.1, Annex III sec 2.1 <i>Conforms</i>
2. Certification bodies for SFM or CoC shall fulfil requirements defined in ISO 17021 or ISO Guide 65? 3. Certification body for PEFC CoC certification shall fulfil requirements defined in ISO Guide 65?	Certification bodies for SFM / CoC: ISO Guide 65 (EN 45 011) on product certification Annex III sec 2.1.2 <i>Conforms</i>
4. SFM certification bodies shall have the technical competence in forest management and on certification criteria? 5. CoC certification bodies shall have the technical competence in forest based products, procurement and processing and material flows and on certification criteria?	Adequate technical know-how and competence in SFM and wood products & processing Annex III sec 2.1.3(a –b) <i>Conforms</i>
6. Certification bodies have good understanding of the national PEFC system?	Understanding of CFCS and related Standards Annex III sec 2.1.3 (c) <i>Conforms</i>
7. Certification bodies have responsibility to use competent auditors 8. Auditors must fulfil the general criteria of ISO 19011 for Quality	Technical know-how, CFCC





PEFC Requirements	CFCS Requirements
Management Systems auditors or for Environmental Management Systems auditors	recognized assessor training Conformance to selected requirements of ISO 19011 Annex III sec 2.2, 2.2.1 <i>Conforms</i>
9. Does the scheme documentation include additional qualification requirements for auditors	Degree, working experience, assessor training Annex III sec 2.2.2 <i>Conforms</i>

**Conclusion 37: CFCS requirements for certification bodies conform to PEFC requirements**

Certification procedure:

PEFC Requirements	CFCS Requirements
10. Certification bodies shall have <u>established internal procedures</u> 11. Applied certification procedures for SFM and CoC certification against a scheme specific chain of custody standard shall fulfil or be compatible with the requirements defined in ISO 17021 (A) or ISO Guide 65 (B)? 12. 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?	Internal procedures SFM and CoC certification in line with ISO Guide 65 (product certification) sec 4.4, Annex III sec 3.1, 3.2 <i>Conforms</i>
13. Applied auditing procedures shall fulfil or be compatible with the requirements of ISO 19011?	Auditing procedures compatible with ISO 19011 Annex III sec 3.2 <i>Conforms</i>
14. 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?	Information on SFM and CoC certificates and list of sites covered by multi-site CoC certificates Annex III sec 3.3(a) <i>Conforms</i>
15. Certification body shall carry out controls of PEFC logo usage if the certified entity is a PEFC logo user?	Certification bodies shall report on surveillance of CFCC/PEFC logo usage Annex III sec 3.3 (b) <i>Conforms</i>



16. Maximum period for surveillance audits defined by the scheme documentation not exceed more than one year?	Certificate is valid for 5 years, annual surveillance audits
17. Maximum period for assessment audit not exceed five years for both forest management and chain of custody certifications?	Annex III sec 3.4 <i>Conforms</i>
<b>PEFC Requirements</b>	<b>CFCS Requirements</b>
18. Requirements for public availability of certification report summaries?	A summary, including findings on conformity to SFM standard, is submitted to CFCC so that it is made public.  Annex III sec 3.6 <i>Conforms</i>
19. Requirements for usage of information from external parties as the audit evidence?	Audit evidence shall include information from external parties  Annex III sec 3.5 <i>Conforms</i>
20. Scheme documentation includes additional requirements for certification procedures?	Yes. Delivery of data on multisite CoC certificates to CFCC and other PEFC CB:s  <i>Conforms</i>

**Conclusion 38: CFCS provisions for certification process conform to PEFC requirements**



Accreditation procedures:

PEFC Requirements	CFCS Requirements
<p>21. Certification bodies carrying out forest management and/or chain of custody certification shall be accredited by a national accreditation body?</p> <p>22. Accredited certificate shall bear an accreditation symbol of the relevant accreditation body?</p>	<p>CB shall take SFM/ CoC certification as accredited certification, in accordance of ISO Guide 65... accredited certificate shall bear an accreditation symbol sec 5, Annex III sec 4</p> <p><i>Conforms</i></p>
<p>23. Accreditation shall be issued by an accreditation body which is a part of the International Accreditation Forum (IAF)?</p>	<p>Accreditation body shall be a member of IAF...</p> <p>Annex III sec 4</p> <p><i>Conforms</i></p>
<p>24. Certification body undertake forest management or/and chain of custody certification against a scheme specific chain of custody standard as "accredited certification" based on ISO 17021 or ISO Guide 65 and the relevant forest management or chain of custody standard(s) shall be covered by the accreditation scope?</p>	<p>CB doing SFM certification shall be accredited by CNAS, CB doing CoC certification shall be accreditation by CNAS or accreditation body complying with requirements for ABs</p> <p>Annex III sec 4</p> <p><i>Conforms</i></p>
<p>25. Certification body undertake chain of custody certification against PEFC ST 2002:2010 as "accredited certification" based on ISO Guide 65?</p>	<p>CB shall take SFM/ CoC certification as accredited certification, in accordance of ISO Guide 65</p> <p>Annex III sec 4</p> <p><i>Conforms</i></p>
<p>26. Does the scheme documentation include a mechanism for PEFC notification of certification bodies?</p> <p>27. Are the procedures for PEFC notification of certification bodies non-discriminatory?</p>	<p>CFCS includes mechanisms for notification of CBs, notification shall not discriminate or create obstacles</p> <p>Annex III sec 5</p> <p><i>Conforms</i></p>

CFCC requires that certification body notification procedures are non-discriminatory towards any certification body. On the other hand, procedures require that all certification bodies undertaking forest management certification shall be accredited by CNAS. Currently, only one certification body has such accreditation. As explained previously, CFCC's intention is to engage several certification bodies in CFCS certification through appropriate accreditation and notification procedures but CFCC is not in the position to influence the formal approval of certification bodies eligible to apply for accreditation.

International consultation raised the risk related to fair and equal treatment of certification bodies within the CFCC and in the accreditation process. The CFCS disclosed the draft notification contract that did not specify in detail all essential issues, e.g. CFCS terms for termination of notification and contract conditions allowing immediate termination are very general and allow different forms of interpretation without defining the specific terms defining



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conditions for immediate termination of notification contract. CFCC should disclose the details in order to assure fair, transparent and equal terms for all certification bodies interested in applying for accreditation to CFCS certification.

**Conclusion 39: CFCS accreditation arrangements conform to PEFC requirements**



## 11. DISPUTE RESOLUTION

The PEFC requirements for complaints and dispute procedures are defined in PEFC GD 1004:2009 *Administration of PEFC scheme*. Requirements for the procedures for dealing with any substantive and procedural complaints are described in *PEFC ST 1001:2010 on Standard setting – Requirements*.

CFCC has developed procedures for dispute resolution that apply to standard setting, implementation and scheme administration. The provisions for dispute resolution procedures are described in *Part I Scheme Description and Implementation Arrangements Annex IV Dispute Resolution Procedures (of 21 March 2013)*. CFCS compliance with the dispute resolution procedures related to standard setting are addressed also in sec 6.3.1 to this report.

### PEFC GD 1004:2009

#### 8. Complaints and dispute procedures

8.1 The PEFC Council and authorized bodies shall have written procedures for dealing with complaints relating to the governance and administration of the PEFC scheme

8.2 Upon receipt of the complaint, the procedures shall provide for:

- a) acknowledgement of the complaint to the complainant
- b) gathering and verification of all necessary information, validation and impartial evaluation of the complaint, and decision making on the complaint,
- c) formal communication of the decision on the complaint and the complaint handling process to the complainant and concerned parties,
- d) appropriate corrective and preventive actions.

The CFCC procedures for dispute resolution apply to all disputes involving CFCC and also to disputes not involving CFCC. Complaints arising from standard setting are first discussed in Standard Development Committee in line with Standard Development Rules. If an agreement cannot be achieved, the CFCC arbitration procedures will apply. Complaints related to decisions and activities of certification bodies shall be dealt with through the certification bodies' own procedures as defined in accreditation requirements.

An independent Arbitration Committee of three members appointed by CFCC for a two year period. The Committee will discuss the complaints and decide on the resolution. Parties involved in the dispute may appeal to the Stakeholder Forum if dissatisfied with the outcome of the arbitration process. CFCC Secretariat provides technical support to the dispute resolution process.

The procedures are described separately for disputes involving CFCC and for those not involving CFCC (sec 4 and 5). The procedures define steps for submission of a complaint, notification of arbitration committee, the role of CFCC Secretariat in the process and decision-making procedures.

The arbitration procedure is well described in the CFCS documentation and it provides a good framework for impartial arbitration procedures in line with PEFC requirements.

### **Conclusion 40: CFCC dispute resolution procedures conform to PEFC requirements**



## 12. STAKEHOLDER VIEWS

### 12.1 International Consultation

During international consultation stakeholder views were invited during the international consultation open at PEFC Council web site. Two comments were received addressing the following issues:

#### 1. Standard setting process and scheme development

Standard setting process was claimed to be exclusive denying access for an organisation willing to participate in the process.

The issue was reviewed and discussed during the field visit in a number of interviews. The consultant is aware that some inquiries to contribute to the standard development were raised at the point when the agreed draft standard was submitted for testing. The possibility to comment on the draft proposal was communicated also at that point.

The start of the standard setting was informed openly and interested candidates were documented. Information of the process was also communicated to the stakeholders and publicly.

In future the balance of different stakeholders could be increased, but based on the evidence gained during the assessment stakeholders were given fair access to the process.

#### 2. CFCS SFM standard requirements

##### a) Forests with high biological values and other values for conservation are not addressed as appropriate to ensure a sustainable level of their protection

Forest with biological or other conservation values are taken into special consideration by legislation, forest classification and zoning. Forest management standard requirements complement the legal regulations.

Indufor concludes that regulations and standard together deliver adequate provisions for consideration of forests with high biological and conservation values (see sec 6.4).

##### b) Conversion of natural forests to other land uses is allowed

Natural forest protection programme (2008) prohibits the conversion of natural forests to other uses and restricts strongly their harvesting. Forest classification and zoning also set strict restrictions for conversion. The forest management standard prohibits conversion in general.

Indufor concludes that regulations and standard together set adequate restrictions to forest conversion (see sec 6.4).

##### c) Use of toxic pesticides is allowed

In China government authorities publish a list of chemicals that are strictly prohibited and a list of chemicals that can be used conditionally. Current standard requirement is in line with PEFC requirements but CFCC is developing audit guidelines where it specifies the interpretation of criteria and indicators. There it will explicitly deny the use of chemicals classified as WHO 1A or 1 B.

##### d) Standard does not assure the respect of traditional rights of local people



Traditional rights of local residents including minorities are limited to by conditions of “*not impacting on the integrity of the forest ecosystem and the fulfilment of forest management targets*”

**CFCS SFM Standard**

**3.6 Respecting and safeguarding the traditional or authorized rights of local residents to enter into or use forest preconditioned by guaranteeing the legal rights and interests of the forest management unit**

3.6.1 Under the condition of not impacting on the integrity of the forest ecosystem and the fulfilment of forest management targets, the traditional and authorized right of local residents, especially minority nationalities, shall be guaranteed to enter into or use forest, such as picking non wood forest products, forest recreation, passing, environmental education etc.

Reply:

The rights of local people and minority groups are largely defined in the national and regional regulations. Also the forest management procedures in planning and implementation including the multiple use of forests rely on regulatory framework. The regulations give special forest use rights for minority groups, e.g. picking non wood forest products, and also outline the rights of local people to participate in forest management planning and use.

The SFM standard emphasizes these rights and assures that their implementation is audited in annually, but as a requirement it does go beyond applicable legislation. The principles of assessing the role of *integrity of forest ecosystem and forest management targets* in view of the rights of local people are largely defined by regulations and their implementation procedures.

With this background Indufor concludes that the restriction does not risk the respect of traditional rights in certified forest management to the level that would be in conflict with PEFC requirements.

3. Scheme does not provide tools to identify gene manipulated trees in field audits

CFCS denies the use of GMOs in forestry (in PEFC/CFCC chain of custody standard and SFM standard (5.5.5)). The SFM standard requires records on the origin of exotic species (7.4.2) and forest management plans require detailed recording of stand characteristics.

Reply:

Indufor concludes that SFM standard provides auditor with adequate means to look for documents on stand origin in forest plantations. Auditors should pay due attention to the origin of species, because intensive poplar forest plantations with GMO trees have been introduced in Northern China.

4. Consideration of legal requirements in CFCS are classified as informative material

The baseline in CFCS certification is compliance with applicable regulations and legislation and the Conventions China is a signatory to. So regardless of the fact that important codes are listed under the title of informative material they set a baseline for certified forest management.

A more complex issue is compliance to the ILO Conventions China has not ratified. CFCC provided an assessment on the compatibility of national legislation with the specific requirements of the un-ratified ILO Codes (see Annex 1 to Appendix 1).



Supplementary Requirements in Assessing “Forest certification in China – Forest certification (August 14, 2013) require compliance with all relevant ILO Conventions covering also the ILO Convention 29.

5. Information dissemination is not functioning as described in CFCS documentation  
Reports on pilot testing were not available as indicated by CFCS procedures.

During the CFCS development the documentation was first placed to CAF web page and also placed later transferred to CFCC web page after it was established in 2010.

Consultant verified that a summary report on pilot testing is available at CAF web page ([www.caf.ac.cn/html/slrz/19645.html](http://www.caf.ac.cn/html/slrz/19645.html)) and it was released on 18 November 2010 and the Scheme indicated that full reports are also available for public in the CAF and CCFC web page.

6. Arbitration procedures are biased and fully controlled by CFCC

Arbitrary Committee proposed by CFCC is made of three members selected by CFCC and is an integral part of CFCC. This cannot guarantee any independence in the decisions taken and in the review of CFCC decisions.

Reply:

CFCC revised dispute resolution procedures in March 20, 2013. In current procedures CFCC does not have a direct role in decision-making, which ensures improved impartiality in conflict resolution (see chapter 11).

7. CFCS and PEFC chain of custody requirements are not fully compatible

The comment questions why CFCS chain of custody standard makes a reference to international organisations such as Transparency International and its corruption index and why there are differences in due diligence systems between the standards.

The most recent version of CFCS chain of custody standard does not have a reference to any international organization which have its implications discussed in the Chapter 8 to this report.

8. Restricted accreditation procedures do not provide fair access to international certification bodies and it risks independent and impartial certification

Reply:

Certification bodies applying accreditation/certification need to be approved by Certification and Accreditation Administration of the People’s Republic of China (CNCA) and then accredited by China National Accreditation Service for Conformity Assessment (CNAS).

National legislation requires that certification bodies accredited in line with PEFC requirements shall be Chinese organizations and approve by CNCA. CFCC has discussed with CNCA and CNAS on the benefits of having several certification bodies in the business, but CNCA has approved only one certification body for the first two year period, it considers as a testing period. CFCC does not have the mandate to change the situation.

9. Certification body’s notification procedures are not transparent

The comment stated that CFCC notification procedures do not disclose

- the fee schedule, although the level of fees have implications to access of national and foreign certification to CFCS certification,
- CFCC terms and conditions for the termination of notification





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Reply:

CFCC notification procedures require impartiality and non-discrimination and they will deliver impartial notification when implemented. The limited access of certification bodies to CFCS certification is due to the restrictions in accreditation, not on notification process.

CFCS terms for termination of notification and contract conditions allowing immediate termination are very general and allow different forms of interpretation without defining the specific terms defining conditions for immediate termination of notification contract. Additional guidance and clear terms would be required in order to assure non-discrimination of notified certification bodies.

Indufor concludes that notification rules require non-discrimination of certification bodies. The model contract does not include all the information a certification body wants to agree on in order to assure fair contract terms, but contract details may be developed after the scheme endorsement as long as they are in line with the CFCS requirement on non-discrimination. Consultant wanted to communicate to CFCC the concerns issued on the current contract terms and give a recommendation that they are taken into consideration when notification contract are signed with other certification bodies.

## 12.2 National Consultation on Standard Setting

In national consultation stakeholders relevant to standard setting were asked a number of questions related to standard setting process. The questionnaire sent to 24 different persons is in Appendix 2. A total of 19 replies were received to the questionnaire on scheme development. All respondents were satisfied with the standard setting process regarding

- e) information dissemination
- f) composition and function of standard setting working group
- g) decision-making procedures and
- h) dispute resolution procedures.

The respondents valued the discussion process where conflicting views were thoroughly discussed and conclusions were agreed on in consensus manner. None of the respondents strongly criticized the standard setting process. Recommendation for the future process wished a stronger engagement of environmental NGOs in the process (2 out of 19 replies).



**Indufor** ...forest intelligence

## Appendix 1

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### **CFCS Conformance to PEFC Council Minimum Requirement Checklist**

**INDUFOR ASSESSMENT ON CFCS COMPLIANCE WITH  
PEFC Council Minimum Requirements Checklist**

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## 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 4 February 2010 and 26 May

## ASSESSMENT SCALE

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

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

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

Assessment codes:

Code	Explanation
Y	Yes – Scheme requirement complies with the particular requirement of PEFC Council
NO	Non Conformity - Scheme requirement does not conform to the particular PEFC Council requirement
a) Major non conformity	Violates the integrity of the certification system and has to be corrected before the endorsement
b) Minor NC – Minor non conformity	Does not violate the integrity of the system, shall be corrected within a defined time
*	Clarification on the compliance or related conditions

**INDUFOR ASSESSMENT ON CFCS COMPLIANCE WITH  
PEFC Council Minimum Requirements Checklist**

**PART I: STANDARD SETTING (PEFC ST 1001:2010)**

**1 SCOPE**

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

**2 CHECKLIST**

Question	Assessment basis*	YES /NO*	Reference to application documents
<b>Standardising Body</b>			
4.1 The standardising body shall have written procedures for standard-setting activities describing:			
a) its status and structure, including a body responsible for consensus building (see 4.4) and for formal adoption of the standard (see 5.11),	Procedures	Y	<i>Part II Standard Development Rules, 2, 3.2.5</i>  CFCC nominates Standard Development Committee (SDC) that develops standard, CFCC approves  <i>Complies</i>
b) the record-keeping procedures,	Procedures	Y	<i>Standard Development Rules, 3.5</i>  CFCC responsible,  <i>Complies</i>
c) the procedures for balanced representation of stakeholders,	Procedures	Y	<i>Standard Development Rules, 2.2.1, 2.2.2, 3.3</i>  Standard Development Committee SDC (9-15mbrs) cover geographical scope. balanced representation, specific interest groups shall be included  <i>Complies</i>
d) the standard-setting process,	Procedures	Y	<i>Standard Development Rules, 3</i>  <i>Complies</i>
e) the mechanism for reaching consensus, and	Procedures	Y	<i>Standard Development Rules, 3.4</i>  SDC has procedures for consensus building; if not successful CFCC dispute resolution applies (Scheme description and implementation arrangements Part I, A IV)

Question	Assessment basis*	YES /NO*	Reference to application documents
			<i>Complies</i>
f) revision of standards/normative documents.	Procedures	Y	<i>Standard Development Rules, 3.7; 2.1, 2.2.1</i> Revision required every 5 years, CFCC responsible for standardization i.e. launching of revision  <i>Complies</i>
4.2 The standardising body shall make its standard-setting <u>procedures publicly available</u> and shall regularly <u>review its standard-setting procedures</u> including consideration of comments from stakeholders.	Procedures	Y	<i>Standard Development Rules, 3.2.1, 3.6</i>  <i>Complies</i>
	Process	Y	<b>Part III Standard Development Process Records, Sect. 2 work plan (2002; 2011)</b>  2002: Announcement on standard setting, work plan, invitation; SRF consultation, 2003 testing and public consultation, 2007 approval, (CAF)  2010 CCFC minutes, work plan, contact, standard, testing, 2011 Consultation, approval (CAF)  2010: CoC work plan, working group, etc  Annexes 1, 2, 10, 11 formal and public publications (2001, 2010), Annex 10 complaint resolution  <i>Work plan was sent as an attached to public announcement of standard amendment in 2010.</i>  <i>Description of activities comply with requirements; information currently in CFCC web page</i> <i>Comment: Part I: Standard development process and records should inform systematically that documentation published in CAF web page is transferred to CFCC site. The documents are not accessible with CFCS instructions.</i>  <i>Complies</i>
4.3 The standardising body shall keep <u>records</u> relating to the standard-setting process providing evidence of compliance with the requirements of this document and the standardising body's own procedures. The records shall be kept for a minimum of five years and shall be available to interested parties upon request.	Procedures	Y	<i>Standard Development Rules, 3.5</i> CFCC responsible for SDC 2010 record keeping  <i>Complies</i>
	Process	Y	<i>Standard Development Process Records, (all)</i>  Records first available in CAF web page; transferred to CFCC web

Question	Assessment basis*	YES /NO*	Reference to application documents
			page in 2010 <i>Complies</i>
4.4 The standardising body shall establish a permanent or temporary <u>working group</u> /committee responsible for standard-setting activities.	Procedures	Y	<i>Standard Development Rules, 2.2 SDC established by CFCC as temporary WGs</i> <i>Complies</i>
	Process	Y	<i>Standard Development Process Records, 2001: 1. CAF – SDG (6prs), 3.3 SRF (15 prs), 2010: 8.3 SAC 15 prs), 15.3 CoC SRC (9prs)</i> <i>Complies</i>
4.4 The working group/committee shall:			
a) be accessible to materially and directly affected stakeholders,	Procedures	Y	<i>Standard Development Rules, 2.2.1, 2.2.2</i> CFCC nominates SDC of 9-15 members, aim at including affected groups <i>Complies</i>
	Process	Y	<i>Standard Development Process Records, 2002:Annex 2 invitation Annex 3: 40 interested, 3.3 SRF (15 prs)</i>  Stakeholder mapping 2003, 2010) 2010: 8.2 stakeholder review, Annex 12 interested (32prs), 8.3 SAC (15 prs) 2010: CoC stakeholder mapping 15.2, Annex 19 interested (17prs), 15.3 SRC (9prs), Annex 10, dispute  various information channels were in use <i>Complies</i>
b) have <u>balanced representation and decision-making</u> by stakeholder categories relevant to the subject matter and <u>geographical scope</u> of the standard where single concerned interests shall not dominate nor be dominated in the process, and	Procedures	Y	<i>Standard Development Rules, 2.2.1, 2.2.2, 2.2.4, 3.3</i> CFCC invites members to SDC based on interest and expertise, balanced composition looked for, objective, dominance not allowed <i>Complies</i>
	Process	Y	<i>Standard Development Process Records, 2010: Annex 12 candidates for SAC (32 prs), 8.3 SAC (15 prs)</i> <i>2010: CoC, Annex 19 candidates for SRC (17prs), 15.3 SRC (9prs)</i>  <i>Regions did not have much interest to participate, more through testing</i>

Question	Assessment basis*	YES /NO*	Reference to application documents
			<i>Complies</i>
c) include stakeholders with <u>expertise</u> relevant to the subject matter of the standard, those that are materially <u>affected</u> by the standard, and those that can <u>influence</u> the implementation of the standard. The materially affected stakeholders shall represent a meaningful segment of the participants.	Procedures	Y	<i>Standard Development Rules, 2.2.2</i> Objective to include affected and disadvantaged groups  <i>Complies</i>
	Process	Y	<i>Standard Development Process Records,</i>  2010:8.3 SAC 4-5/ 15 materially affected (villager, tradeunion, forest bureaus), expertise (not incl above 5) 2002: NGO representation low; contacts made  8.3, 15.3 (CoC) mapping stakeholders <i>Complies</i>
4.5 The standardising body shall <u>establish procedures for dealing with any substantive and procedural complaints</u> relating to the standardising activities which are accessible to stakeholders.	Procedures	Y	<i>Standard Development Rules, 3.8, Scheme description: Dispute resolution (A IV):</i> SDC is responsible in first hand to settle disputes in std setting, if not successful CFCC procedures apply  <i>Complies</i>
	Process	NA	No complaints were reported in 2003, in 2012 complain on limited access to WG reported late in the process (SFM and CoC)
4.5 Upon receipt of the complaint, the standard-setting body shall:			
a) acknowledge receipt of the complaint to the complainant,	Procedures	Y	<i>Standard Development Rules, 3.8.2</i> Contact point shall react within 5 working days <i>Complies</i>
	Process	NA	No complaints were reported in 2003, or 2011 in the process (SFM and CoC)
b) gather and verify all necessary information to validate the complaint, impartially and <u>objectively evaluate</u> the subject matter of the complaint, and make a decision upon the complaint, and	Procedures	Y	<i>Standard Development Rules, 3.8.3</i> SDC internal process, contact person organize, stakeholders in SDC address, if not successful, CFCC procedures apply  <i>Complies</i>
	Process	NA	No complaints were reported in 2003, or 2011
c) formally communicate the decision on the complaint and of the complaint handling process to the complainant.	Procedures	Y	<i>Standard Development Rules, 3.8.3</i>  <i>Complies</i>



Question	Assessment basis*	YES /NO*	Reference to application documents
	Process	NA	No complaints in 2003, late comments in 2012 communicated to the addressing body
4.6 The standardising body shall establish at least one <u>contact point</u> for enquiries and complaints relating to its standard-setting activities. The contact point shall be made easily available.	Procedures	Y	<i>Standard Development Rules, 2.1, 3.8</i>  <i>Complies</i> <i>A person in CAF was nominated as contact person</i>
<b>Standard-setting process</b>			
5.1 The standardising body shall identify stakeholders relevant to the objectives and scope of the standard-setting work.	Procedures	Y	<i>Standard Development Rules, 3.3</i> <i>CFCC identifies stakeholders based on impact analysis</i>  <i>Complies</i>
	Process	Y	<i>Standard Development Process Records, Stakeholder mapping 3.3 (2001), 8.2 (2010 SAC), 15.2 (2010 SRC CoC)</i> Stakeholder mapping made in all stages  <i>Complies</i>
5.2 The standardising body shall identify <u>disadvantaged and key stakeholders</u> . The standardising body shall address the constraints of their participation and proactively seek their participation and contribution in the standard-setting activities.  -	Procedures	Y	<i>Standard Development Rules, 2.2.2, 3.2.1, 3.3</i> <i>CFCC identifies stakeholders, special emphasis on disadvantaged groups</i>  <i>Complies</i>
	Process	Y	<i>Standard Development Process Records, Stakeholder mapping 3.3 (2001), 8.2 2010 SAC), 15.2 (2010 SRC CoC)</i>  3.3, 8.1, 9.3. (Work shop 2010); 11, 15.1, 15.2, 15.3, <del>16, 18</del>
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 <b>and</b> in suitable media as appropriate to afford stakeholders an opportunity for meaningful contributions.	Procedures	Y	<i>Standard Development Rules, 3.2.1, 3.6</i>  <i>Complies</i>
	Process	Y	<i>Standard Development Process Records, 3.1, 8.1, 8.2, 15.1, 15.2, Annex 1, Annex 2, Annex 11 (invitation)</i>  Invitation in web, phone, network  <i>Complies</i>
5.3 The announcement and invitation shall include:			
a) information about the objectives, scope and the steps of the standard-setting process and its timetable,	Procedures	Y	<i>Standard Development Rules, 3.2.1</i>  <i>Complies</i>
	Process	Y	<i>Standard Development Process Records, 3.1, 8.1, 15.1, Annex 2,</i>

Question	Assessment basis*	YES /NO*	Reference to application documents
			Annex 11, WPs 7, 14. <i>Complies</i>
b) information about opportunities for stakeholders to participate in the process,	Procedures	Y	<i>Standard Development Rules, 3.2.1</i> <i>Complies</i>
	Process	Y	<i>Standard Development Process Records, 3.1, 8.1, 15.1, Annex 2, Annex 11</i> <i>Complies</i>
(c) an invitation to stakeholders to nominate their representative(s) to the working group/committee. The invitation to disadvantaged and key stakeholders shall be made in a manner that ensures that the information reaches intended recipients and in a format that is understandable,	Procedures	Y	<i>Standard Development Rules, 3.2.1, 3.3</i> <i>Complies</i>
	Process	Y	<i>Standard Development Process Records, 3.1, 8.1, 8.2, 15.1, 15.2; Annex 2, Annex 11</i> Stakeholder mapping 2010: Invitation in meetings, web <i>Complies</i>
c) an invitation to comment on the scope and the standard-setting process, and -	Procedures	Y	<i>Standard Development Rules, 3.2.1, 3.3</i> <i>Complies</i>
	Process	Y	<i>Standard Development Process Records, 3.1, 8.1, 8.3, 15.1, 15.3, Annex 11</i> <i>Direct invitations along with public ones</i> <i>Complies</i>
d) reference to <u>publicly available standard-setting procedures</u> . -	Procedures	Y	<i>Standard Development Rules, 3.1, 3.2.1, 3.6</i> <i>Complies</i>
	Process	Y	<i>Standard Development Process Records, 3.1, 8.1, 8.3, 15.1, 15.3, Annex 1, Annex 2, Annex 11</i> <i>Rules with invitations and in web</i> <i>Complies</i>
5.4 The standardising body shall review the standard-setting process based on <u>comments</u> received from the public announcement and establish a working group/committee or <u>adjust</u> the composition of an already existing working group/committee based on received nominations. The acceptance and refusal of nominations shall be justifiable in relation to the requirements for balanced representation of the working group/committee and resources available for the standard-setting.	Procedures	Y	<i>Standard Development Rules, 2.2.1, 2.2.2, 3.2.1</i> <i>Complies</i>
	Process	Y	<i>Standard Development Process Records, 8.3, 15.3, Annex 11, consideration of late comment received, Invitations to comments and contacts</i> <i>Complies</i>
5.5 The work of the working group/committee shall be organised in an open and transparent manner where:			

Question	Assessment basis*	YES /NO*	Reference to application documents
a) working drafts shall be available to all members of the working group/committee, -	Procedures	Y	<i>Standard Development Rules, 2.2.5</i> <i>Complies</i>
	Process	Y	<i>Standard Development Process Records,3.5, 3.6, Annex 4; 5.3, 9.3,Annex 13, 12, CoC Annexes 20&amp;22, 16, 19, 20</i> <i>Complies</i>
b) all members of the working group shall be provided with <u>meaningful opportunities to contribute</u> to the development or revision of the standard and submit comments to the working drafts, and	Procedures	Y	<i>Standard Development Rules, 2.2.5</i> <i>Complies</i>
	Process	Y	<i>Standard Development Process Records,3.5, 3.6, 5.3, 9.3, 12, 16, 19</i> <i>Complies</i>
c) comments and views submitted by any member of the working group/committee shall be <u>considered in an open and transparent way and their resolution and proposed changes shall be recorded.</u> -	Procedures	Y	<i>Standard Development Rules, 2.2.5, 3.5</i> <i>Complies</i>
	Process	Y	<i>Standard Development Process Records,3.5, 3.6, Annex 4 5.3, 9.3, 12, 16, 19</i> <i>Complies</i>
5.6 The standardising body shall organise a public consultation on the enquiry draft and shall ensure that:			
a) the start and the end of the public consultation is <u>announced</u> in a timely manner in suitable media,	Procedures	Y	<i>Standard Development Rules, 3.2.4, 3.6</i> <i>Complies</i>
	Process	Y	<i>Standard Development Process Records,5.1, 11, 18 Annex 15, Annex 7</i> <i>Complies</i>
b) the invitation of disadvantaged and key stakeholders shall be made by means that ensure that the <u>information reaches its recipient and is understandable.</u>	Procedures	Y	<i>Standard Development Rules, 3.2.4, 3.3, 3.6</i> <i>Complies</i>
	Process	Y	<i>Standard Development Process Records,5.1, 11, 18, Annex 15</i> <i>Complies</i>
c) the enquiry draft is publicly available and accessible,	Procedures	Y	<i>Standard Development Rules, 3.2.4, 3.6</i> <i>Complies</i>
	Process	Y	<i>Standard Development Process Records,5.1, 11, 18, Annex 6, Annex 15,</i> <i>Complies</i>
d) the public consultation is for at least <u>60 days</u> ,	Procedures	Y	<i>Standard Development Rules, 3.2.4</i> <i>Complies</i>
	Process	Y	<i>Standard Development Process Records,5.1, 11, 18 Annexes 7, 15</i>

Question	Assessment basis*	YES /NO*	Reference to application documents
			<i>Complies</i>
e) all <u>comments received</u> are considered by the working group/committee in an objective manner,	Procedures	Y	<i>Standard Development Rules, 3.2.4</i> <i>Complies</i>
	Process	Y	<i>Standard Development Process Records,5.2, 11, 18 Annexes 7, 16, 21</i> <i>Complies</i>
(f) a <u>synopsis of received comments</u> compiled from material issues, including the results of their consideration, is publicly available, for example on a website.	Procedures	Y	<i>Standard Development Rules, 3.2.4, 3.6</i> <i>Complies</i>
	Process	Y	<i>Standard Development Process Records,5.2, 11, 18, Annex 7, Annex 16, Annex 21</i> <i>Complies</i>
5.7 The standardising body shall <u>organise pilot testing</u> of the new standards and the results of the pilot testing shall be considered by the working group/committee.	Procedures	Y	<i>Standard Development Rules, 3.2.3, 3.6</i> <i>Complies</i>
	Process	Y	<i>Standard Development Process Records,4, 10, 17, Annex5, Annex 14</i> <i>Complies</i>
5.8 The decision of the working group to recommend the final draft <u>for formal approval</u> shall be taken on the basis of a <u>consensus</u> .	Procedures	Y	<i>Standard Development Rules, 3.2.5, 3.4</i> <i>Complies</i>
	Process	Y	<i>Standard Development Process Records,5.3, 12, 13, 19, 20, Annex 18</i> <i>Complies</i>
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 <u>face-to face meeting</u> where there is a verbal yes/no vote, show of hands for a yes/no vote; a statement on consensus from the Chair where there are no dissenting voices or hands (votes); a formal balloting process, etc.,	Procedures	Y	<i>Standard Development Rules, 3.4</i> <i>Complies</i>
	Process	Y	<i>Standard Development Process Records,5.3, 12, 13, 19, 20, Annex 18</i> <i>Complies</i>
b) a telephone conference meeting where there is a verbal yes/no vote,	Procedures	Y	<i>Standard Development Rules, 3.4</i> <i>Complies</i>
	Process	NA	Decision made in a CFCC meeting , Annex 18
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	Y	<i>Standard Development Rules, 3.4</i> <i>Complies</i>
	Process	NA	Decision made in a CFCC meeting , Annex 18

Question	Assessment basis*	YES /NO*	Reference to application documents
d) combinations thereof.	Procedures	Y	<i>Standard Development Rules, 3.4</i> <i>Complies</i>
	Process	NA	Decision made in a CFCC meeting , Annex 18
5.9 In the case of a negative vote which represents sustained opposition to any important part of the concerned interests surrounding a substantive issue, the issue shall be resolved using the following mechanism(s):			
a) discussion and negotiation on the disputed issue within the working group/committee in order to find a compromise,	Procedures	Y	<i>Standard Development Rules, 3.4</i> <i>Complies</i>
	Process	Y	<i>Standard Development Process Records,9.3, 11, Annex13, Annex 16</i> <i>Annex 18 (final adoption)</i> <i>Complies</i>
b) direct negotiation between the stakeholder(s) submitting the objection and stakeholders with different views on the disputed issue in order to find a compromise,	Procedures	Y	<i>Standard Development Rules, 3.4</i> <i>Complies</i>
	Process	NA	
c) dispute resolution process.	Procedures	Y	<i>Standard Development Rules, 3.4, 3.8, Scheme description A IV</i> <i>Complies</i>
	Process	NA	
5.10 Documentation on the <u>implementation</u> of the standard-setting process shall be made <u>publicly available</u> .	Procedures	Y	<i>Standard Development Rules, 3.6</i> <i>Complies</i>
	Process	Y	<i>Standard Development Process Records,3.1, 3.6, 4, 5, 6, 8.1, 9.3, 10, 11, 13, 15.1, 18, 20</i> <i>Parties involved in the process had access to information and followed it in web. Participants were happy with the level of information available.</i> <i>Complies</i>
5.11 The standardising body shall <u>formally approve</u> the standards/normative documents based on evidence of <u>consensus</u> reached by the working group/committee.	Procedures	Y	<i>Standard Development Rules, 2.1, 3.2.5</i> <i>Complies</i>
	Process	Y	<i>Standard Development Process Records, 5.3, 6, 13, 20, Annex 18</i> <i>Complies</i>
5.12 The formally approved standards/normative documents shall be <u>published in a timely manner</u> and made publicly available.	Procedures	Y	<i>Standard Development Rules, 3.6 (5)</i> <i>Complies</i>
	Process	Y	<i>Standard Development Process Records,5.3, 6, 13, 20</i> <i>Publication in CFCC web page</i> <i>Complies</i>

Question	Assessment basis*	YES /NO*	Reference to application documents
<b>Revisions of standards/normative documents</b>			
<p>6.1 The standards/normative documents shall be reviewed and <u>revised at intervals</u> 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.</p> <p>-</p>	Process	NA	<i>Standard Development Process Records</i> , Sect. 2, (2.1), Sect. 3 set the procedural requirements Initial assessment, process requirements for revision NA
<p>6.2 The revision shall define the application date and transition date of the revised standards/normative documents.</p>	Process	NA	Initial assessment, process requirements for revision NA
<p>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.</p>	Process	NA	Initial assessment, process requirements for revision NA
<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.</p>	Process	NA	Initial assessment, process requirements for revision NA

**PART II: MINIMUM REQUIREMENTS CHECKLIST FOR GROUP FOREST MANAGEMENT CERTIFICATION (PEFC ST 1002:2010)**

**1 SCOPE**

Part II covers requirements for group forest management certification as defined in PEFC ST 1002:2010, *Group Forest Management Certification – Requirements*.

**2 CHECKLIST**

Question	YES / NO*	Reference to scheme documentation
<b>General</b>		
4.1 Does the forest certification scheme provide clear definitions for the following terms in conformity with the definitions of those terms presented in chapter 3 of PEFC ST 1002:2010:		
a) the group organisation,	Y	<i>Guidelines on Group Forest Management Certification Part VI, 2.4, 3.1, 3.3, 4.1</i> Group entity and its responsibilities  <i>Complies</i>
b) the group entity,	Y	<i>Guidelines on Group Forest Management Certification, 2.2, 3.3</i> Forms of group entity  <i>Complies</i>
c) the participant,.	Y	<i>Guidelines on Group Forest Management Certification, 2.6, 4.2</i> General definition– accepts any actors doing forest management Responsibilities  <i>Complies</i>
d) the certified area,	Y	<i>Guidelines on Group Forest Management Certification, 2.1, 4.1</i>  <i>Complies</i>
e) the group forest certificate, and	Y	<i>Guidelines on Group Forest Management Certification, 2.5</i> General definition <i>Complies</i>
f) the document confirming participation in group forest certification. ..	Y	<i>Guidelines on Group Forest Management Certification, 2.7</i>  <i>Complies</i>
4.1.2 In cases where a forest certification scheme allows an individual forest owner to be covered by additional group or individual forest management certifications, the scheme shall ensure that non-conformity by the forest owner identified under one forest management certification scheme is addressed in any other forest management certification scheme that covers the forest owner.	Y	<i>Guidelines on Group Forest Management Certification, 4.1(6), 4.2(1), 4.2(4)</i>  <i>Complies</i>
4.1.3 The forest certification scheme shall define requirements for group forest certification which ensure that participants' conformity with the sustainable forest management standard is centrally administered and is subject to central review and that all participants shall be subject to the internal monitoring programme.	Y	<i>Guidelines on Group Forest Management Certification, 4.1(1), 4.1(4), 4.2</i>  <i>Complies</i>
4.1.4 The forest certification scheme shall define requirements for an annual internal monitoring programme that provides sufficient	Y	<i>Guidelines on Group Forest Management Certification, 4.1(4),</i>

Question	YES / NO*	Reference to scheme documentation
confidence in the conformity of the whole group organisation with the sustainable forest management standard.		4.1(5) <i>Complies</i>
<b>Functions and responsibilities of the group entity</b>		
4.2.1 The forest certification scheme shall define the following requirements for the function and responsibility of the <u>group entity</u> :		
a) To <u>represent</u> the group organisation in the certification process, including in communications and relationships with the <u>certification body</u> , submission of an application for certification, and <u>contractual</u> relationship with the certification body;	Y	<i>Guidelines on Group Forest Management Certification, 2.2, 4.1(2)</i>  <i>Complies</i>
b) To provide a <u>commitment</u> on behalf of the whole group organisation to comply with the sustainable forest management standard and other applicable requirements of the forest certification scheme;	Y	<i>Guidelines on Group Forest Management Certification, 2.2, 4.1(1)</i>  <i>Complies</i>
c) To establish <u>written procedures</u> for the management of the group organisation;	Y	<i>Guidelines on Group Forest Management Certification, 4.1(5)</i>  <i>Complies</i>
d) To keep <u>records</u> of:  - the <u>group entity and participants' conformity</u> with the requirements of the sustainable forest management standard, and other applicable requirements of the forest certification scheme,  - all participants, including their <u>contact details</u> , identification of their forest property and its/their size(s),  - the <u>certified area</u> ,  - the implementation of an <u>internal monitoring programme</u> , its review and any preventive and/or corrective actions taken;	Y	<i>Guidelines on Group Forest Management Certification, 2.2, 4.1(1), 4.1.(3), 4.1(4), 4.1(5)</i>  <i>Complies</i>
e) To establish connections with all participants based on a <u>written agreement</u> which shall include the participants' commitment to comply with the sustainable forest management standard. The group entity shall have a written contract or other written <u>agreement with all participants</u> covering the right of the group entity to implement and <u>enforce any corrective or preventive measures, and to initiate the exclusion</u> of any participant from the scope of certification in the event of non-conformity with the sustainable forest management standard;	Y	<i>Guidelines on Group Forest Management Certification, 4.1(1), 4.1(3)</i>  <i>Complies</i>
f) To provide participants with a <u>document confirming participation</u> in the group forest certification;	Y	<i>Guidelines on Group Forest Management Certification, 4.1(2), 4.1(3)</i>  <i>Complies</i>
g) To provide all participants with <u>information and guidance required</u> for the effective implementation of the sustainable forest management standard and other applicable requirements of the forest certification scheme;	Y	<i>Guidelines on Group Forest Management Certification, 4.1(2)</i>  <i>Complies</i>
h) To operate an annual <u>internal monitoring programme</u> that provides for the evaluation of the participants' conformity with the certification requirements, and;	Y	<i>Guidelines on Group Forest Management Certification, 4.1(4)</i>  <i>Complies</i>
i) To operate a <u>review of conformity</u> with the sustainable forest management standard, that includes reviewing the results of the	Y	<i>Guidelines on Group Forest Management Certification, 4.1(4), 4.1(5)</i>



Question	YES / NO*	Reference to scheme documentation
internal monitoring programme and the certification body's evaluations and surveillance; corrective and preventive measures if required; and the evaluation of the effectiveness of corrective actions taken.		<i>Complies</i>
<b>Function and responsibilities of participants</b>		
4.3.1 The forest certification scheme shall define the following requirements for the participants:		
a) To provide the <u>group entity</u> with a <u>written agreement</u> , including a commitment on conformity with the sustainable forest management standard and other applicable requirements of the forest certification scheme;	Y	<i>Guidelines on Group Forest Management Certification, 4.2(1)a</i>  <i>Complies</i>
b) To <u>comply</u> with the sustainable forest management <u>standard</u> and other applicable requirements of the forest certification scheme;	Y	<i>Guidelines on Group Forest Management Certification, 4.2(1)b</i>  <i>Complies</i>
c) To provide full <u>co-operation</u> and assistance in responding effectively to all requests from the group entity or certification body for relevant data, documentation or other information; allowing <u>access</u> to the forest and other facilities, whether in connection with formal audits or reviews or otherwise;	Y	<i>Guidelines on Group Forest Management Certification, 4.2(2)</i>  <i>Complies</i>
d) To implement relevant <u>corrective and preventive actions</u> established by the group entity.	Y	<i>Guidelines on Group Forest Management Certification, 4.2(1)e, 4.2(3)</i>  <i>Complies</i>

**PART III: MINIMUM REQUIREMENTS CHECKLIST FOR SUSTAINABLE FOREST MANAGEMENT (PEFC ST 1003:2010)**

**1 SCOPE**

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

In August 24, 2013 CFCC specified for auditors *Supplementary Requirements when Assessing “Forest certification in China –Forest management”* to the standard. The specifications clarified consideration of the core ILO Conventions in the assessment and required compliance to their requirements.

**2 CHECKLIST**

Question	YES / NO*	Reference to scheme documentation
<b>General requirements for SFM standards</b>		
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 <u>forest management unit level</u> , or at another level as appropriate, to ensure that the intent of all requirements is achieved at the forest management unit level.	Y	Part IV- Forest certification in China - Forest management Application in state forestry (large FMUs), private collective ownership (small tenure in south), forest plantations (large and small/ company / farmer managed)  <i>Complies</i>
b) be clear, objective-based and auditable.	Y	<i>Part IV- Forest certification in China - Forest management</i> - some are quite general but management plan and regulations outline their interpretation in practice preventing unintended interpretation. Standard sets more pressure on legal compliance  <i>Complies</i>
c) <u>apply to activities of all operators in the defined forest area</u> who have a measurable impact on achieving compliance with the requirements.	Y	<i>Part IV- Forest certification in China - Forest management, Introduction and Scope</i> - Standard and plan and regulations control all operations - System covers NWFP and ecosystem services but standard sets little requirements – requires legal compliance, regulations demand sustainable use of NWFP  <i>Complies</i>
d) require <u>record-keeping</u> that provides <u>evidence of compliance</u> with the requirements of the forest management standards.	Y	<i>Part IV- Forest certification in China - Forest management</i> 1.1.4 – violation of laws 2.1.3 - boundaries 4.1 – plan, 5.1.3 changes to plan 5.7.3 – harvesting volumes, sites (general) 6.1.2, 6.1.3 – map protected sp, zones 7.1.3, 7.3.4, 7.4.2 – monitoring environmental impacts, chemical use,

Question	YES / NO*	Reference to scheme documentation
		exotic species 8.2 – fire prevention system 9.1, 9.3 – monitoring/inventory; record management  Forest management plan and operational and working contracts set out requirements for recording of broader issues than the standard alone.  <i>Complies</i>
<b>Specific requirements for SFM standards</b>		
<b>Criterion 1: Maintenance and appropriate enhancement of forest resources and their contribution to the global carbon cycle</b>		
5.1.1 Forest management planning shall aim to maintain or <u>increase forests and other wooded areas</u> and enhance the quality of the economic, ecological, cultural and social <u>values</u> of forest resources, including soil and water. This shall be done by making full use of related services and tools that support <u>land-use planning and nature conservation</u> .	Y	<i>Forest certification in China - Forest management</i> 3.3 Local community 3.4 Respect of legal rights of residents 3.5 Consulting in zoning 3.6 Traditions use rights 3.8 Traditional knowledge, participation in planning 5.6 Afforestation 5.7 Harvesting, reforestation 5.8 Conservation natural forests 7.2. Protect, nature water, land Regulations amend the standard requirements.  <i>Complies</i>
5.1.2 Forest management shall comprise the cycle of <u>inventory and planning, implementation, monitoring and evaluation</u> , and shall include an appropriate assessment of the <u>social, environmental and economic impacts</u> of forest management operations. This shall form a basis for a cycle of continuous improvement to minimise or avoid negative impacts.	Y	<i>Forest certification in China - Forest management</i> 3.9 Social impact 4.1.3, 4.1.4, plan 4.3 revision of plan 5.1. Operational plan, update of plan 7.1 Ecological impact assessment 9.1 Monitoring, 9.1.1 inventory Planning cycle is 10 yrs, revisions start every 5 yrs, operational plans made annually. State agency does planning, but in collective forestry farmers encouraged to prepare plans (2ha) – approve by authority  <i>Complies</i>
5.1.3 Inventory and <u>mapping</u> of forest resources shall be established and maintained, adequate to local and national conditions and in correspondence with the topics described in this document.	Y	<i>Forest certification in China - Forest management</i> 4.1.3, 4.1.4, plan 9.1 Monitoring, 9.1.1 inventory (mapping of ecological sites, sp in other criteria)  Inventory precedes planning  <i>Complies</i>
5.1.4 Management <u>plans</u> or their equivalents, appropriate to the size and use of the forest area, shall be elaborated and periodically <u>updated</u> . They shall be based on legislation as well as existing land-use plans, and adequately cover the forest resources.	Y	<i>Forest certification in China - Forest management</i> 1.1.2 Management in line with laws 5.7 Timber & NWFP harvesting in line with laws 4.1.3, 4.1.4, plan

Question	YES / NO*	Reference to scheme documentation
		4.3.2 updated (< 10 years) <i>Complies</i>
5.1.5 Management <u>plans</u> or their equivalents shall include at least a description of the <u>current condition</u> of the forest management unit, <u>long-term objectives</u> ; and the average <u>annual allowable cut</u> , including its justification and, where relevant, the annually allowable <u>exploitation of non-timber forest products</u> .	Y	<i>Forest certification in China - Forest management</i> 4.1.4 plan 5.3.2 plan for NWFP 5.7.1 harvesting level – too general; reference to regulation? 6.2.2 – NWFP quotas; applies also in collection  <i>Complies</i>
5.1.6 A <u>summary</u> 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 <u>publicly available</u> . 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.	Y	<i>Forest certification in China - Forest management</i> 4.1.5 summary of plan public –9.1.3 summary of monitoring results public  Summaries to the plans are made publicly available in local and regional administration  <i>Complies</i>
5.1.7 <u>Monitoring</u> of forest resources and evaluation of their management shall be <u>periodically</u> performed, and results <u>fed</u> back into the <u>planning</u> process.	Y	<i>Forest certification in China - Forest management</i> 4.3.2 plans revised < 10 years; NWFP plan, when revised? 7.1 monitoring of ecological impacts ( <u>how often?</u> ) 9 monitoring, 9.1 Inventory, 9.2. monitoring system, 9.1.4 consideration of monitoring results in planning Department of Forest Resources Management implements periodic monitoring  <i>Complies</i>
5.1.8 <u>Responsibilities</u> for sustainable forest management shall be clearly defined and assigned.	Y	<i>Forest certification in China - Forest management</i> 4.2.1 FMU assigns responsibilities Planning and its implementation and tenure structure set framework for responsibilities in forest work.  <i>Complies</i>
5.1.9 Forest management practices shall safeguard the <u>quantity and quality of the forest resources</u> in the medium and long term by <u>balancing harvesting and growth rates</u> , and by preferring <u>techniques that minimise direct or indirect damage</u> to forest, soil or water resources.	Y	<i>Forest certification in China - Forest management</i> 4.1.4 plan evaluation of resource management 5.7, 5.7.1 harvesting below growth, 5.7.2 license, 5.7.5 timber NWFP use in line with sust. dev, 5.9.1 appropriate measure to reduce damage (general!), 5.11 reduce infrastructure damage 7.2, 7.2.1 avoid damage in management (general!), 7.2.2 avoid damage to water&soil, 7.2.3 bufferzone 9.1.2 monitoring system Forest management plans and technical standards and codes for different forest works set specific requirements

Question	YES / NO*	Reference to scheme documentation
<p>5.1.10 Appropriate <u>silvicultural</u> measures shall be taken to maintain or reach a level of the <u>growing stock</u> that is economically, ecologically and socially desirable.</p>	Y	<p><i>Complies</i></p> <p><i>Forest certification in China - Forest management</i> 4.1.4 plan 5.1 Operational plans 5.7.4 harvesting and regeneration shall comply with specific regulations and codes</p> <p><i>Complies</i></p>
<p>5.1.11 <u>Conversion</u> 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 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>	Y	<p><i>Forest certification in China - Forest management</i> 5.8.2 copy of PEFC req 5.1.11</p> <p>Programme for the protection of natural forests (2008) along with zoning of forests and classification of habitats set strict restrictions to conversion of natural forests to other uses, or logging in natural forests in general. Laws and regulations set the detailed restrictions to conversion</p> <p><i>Complies</i></p>
<p>5.1.12 <u>Conversion of abandoned agricultural and treeless</u> land into forest land shall <u>be taken into consideration</u>, whenever it can add economic, ecological, social and/or cultural value.</p>	Y	<p><i>Forest certification in China - Forest management</i> 5.6 afforestation in line with rules 5.6.2, 5.6.5 link with plan, 5.6.3-4 diversification, corridors 5.6.6 consideration Afforestation plans and plantation development on former agricultural land regulated by laws</p> <p><i>Complies</i></p>
<p>5.2.1 Forest management <u>planning</u> shall aim to maintain and increase the <u>health and vitality of forest ecosystems</u> and to <u>rehabilitate degraded</u> forest ecosystems, whenever this is possible by silvicultural means.</p>	Y	<p>5.6.3 diversification (unclear if applies only to afforestation) 7.2 protective measures, 7.2.5 rehabilitation 8 Forest health</p> <p><i>Complies</i></p>
<b>Criterion 2: Maintenance of forest ecosystem health and vitality</b>		
<p>5.2.2 <u>Health and vitality</u> of forests shall be periodically <u>monitored</u>, 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>	Y	<p>8.1.1 Pest, disease control according to law, 8.1.2 Risk assessment control plan 8.2.3 Forest fire monitoring 9.2.1 monitoring dynamics of disease, pest and fire 8.3 emergency measures for natural disasters</p> <p><i>Complies</i></p>
<p>5.2.3 The monitoring and maintaining of health and vitality of forest ecosystems shall take into consideration the effects of <u>naturally occurring fire, pests and other disturbances</u>.</p>	Y	<p>8.1.2 forecasting pest damage, 8.2.2 fire risk zoning, 8.2.3 fire monitoring 9.2.1 monitoring, 9.2.3 (analysis)</p> <p><i>Complies</i></p>

Question	YES / NO*	Reference to scheme documentation
<p>5.2.4 Forest management <u>plans</u> or their equivalents shall specify ways and means to <u>minimise the risk of degradation of and damages to forest ecosystems</u>. Forest management planning shall make use of those <u>policy</u> instruments set up to support these activities.</p>	Y	<p>4.1.4 plan 5.5 suitable species, 5.9.1 approaches with least eco impact, 5.11 avoidance of damage to infrastructure 7.1.1 ecosystem impact analysis, 7.1.2 avoid damage of management, 7.2.1 avoid human induced damage (grazing etc) (general) 7.2.2 avoid damage to water&amp;soil 3.9 Monitoring</p> <p>Criteria along with zoning and management codes for different zones and protection programmes establish compliance</p> <p><i>Complies</i></p>
<p>5.2.5 Forest management practices shall make best use of <u>natural structures and processes</u> and use <u>preventive biological measures</u> wherever and as far as economically feasible to maintain and enhance the health and vitality of forests. Adequate <u>genetic, species and structural diversity</u> 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>	Y	<p>5.5 suitable local species, 5.6.3 diversification 8.1, 8.1.4 improve forest's own control capacity</p> <p>This PEFC requirement is two general for intensive management of forest plantation. CTCS will include a separate standard for forest plantations. For management of natural and regulations deliver adequate requirements together with regulations.</p> <p><i>Complies</i></p>
<p>5.2.6 Lighting of <u>fires</u> shall be avoided and is only permitted if it is necessary for the achievement of the <u>management goals of the forest management unit</u>.</p>	Y	<p>8.2.6 Fires are allowed for living purposes (subsistence of forest workers when working in forests)</p> <p><i>Complies</i></p>
<p>5.2.7 Appropriate forest management practices such as <u>reforestation and afforestation</u> with tree species and provenances that <u>are suited to the site conditions</u> or the use of tending, harvesting and transport <u>techniques that minimise tree and/or soil damages</u> shall be applied. The spillage of <u>oil</u> during forest management operations or the indiscriminate <u>disposal of waste</u> on forest land shall be strictly avoided. Non-organic waste and litter shall be avoided, collected, stored in designated areas and removed in an environmentally-responsible manner.</p>	Y	<p><i>Forest certification in China - Forest management</i> 5.5, 5.5.1 species, 5.9.1 avoid management impacts, 5.11 avoid damage to infrastructure, 7.1 ecological impact analysis, 7.2, 7.2.1 measures to minimize impacts, 7.3.6 waste, 7.3.9 avoidance of oil damage</p> <p><i>Complies</i></p>
<p>5.2.8 The use of <u>pesticides</u> shall be <u>minimised</u> and appropriate silvicultural alternatives and other biological measures preferred.</p>	Y	<p><i>Forest certification in China - Forest management</i> 8.1, 8.1.3 integrated pest management, 8.1.4 improve own pest control FMUs are not authorized to use chemicals – application by government organisations, rules for use in place</p> <p><i>Complies</i></p>
<p>5.2.9 The WHO Type 1A and 1B pesticides and other highly toxic pesticides shall be <u>prohibited, except where no other viable alternative is available</u>.</p>	Y	<p><i>Forest certification in China - Forest management</i> 7.3.2, 1A and 1B allowed if no other viable alternative is available, 7.3.3 chlorinated hydrocarbons prohibited</p> <p>China has a list of chemicals which is</p>

Question	YES / NO*	Reference to scheme documentation
		strictly prohibited and a list of chemicals which is conditionally used. CCFC amendment of August 14, 2013 to the standard makes specific reference to WHO requirements and requires assurance that the listed chemicals are not used in any condition.  <i>Complies</i>
5.2.10 Pesticides, such as <u>chlorinated hydrocarbons</u> 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.	Y	7.3.3 Use of chlorinated hydrocarbons prohibited  <i>Complies</i>
5.2.11 The use of pesticides shall follow the <u>instructions</u> given by the pesticide producer and be implemented with <u>proper equipment and training</u> .	Y	4.4 training and guidance 7.3.1 list of applied chemicals, 7.3.4 written implementation procedures, 7.3.5 emergency procedures, 7.3.7 training, equipment in chemical use, 7.3.8 disposal  Criteria and regulations on chemical use establish a compliance  <i>Complies</i>
5.2.12 Where fertilisers are used, they shall be applied in a <u>controlled manner and with due consideration for the environment</u> .	Y	7.1.2 minimize negative impacts, 7.2.4 use of chemical fertilizers minimized  <i>Complies</i>
<b>Criterion 3: Maintenance and encouragement of productive functions of forests (wood and non-wood)</b>		
5.3.1 Forest management planning shall aim to <u>maintain</u> the capability of forests to produce a <u>range of wood and non-wood forest products</u> and services on a <u>sustainable basis</u> .	Y	4.1 Plan in line with regional plan, based on correct information, covers: wood and NWFP; 5.3.2 specifically for NWFP 5.1.2, 5.2.2 operational plan, 5.3.1 objective diversified economy, 5.7 sustainable harvesting 7.5 Environmental service  <i>Complies</i>
5.3.2 Forest management planning shall aim to achieve <u>sound economic performance</u> taking into account any available market studies and possibilities for <u>new markets</u> and economic activities in connection with all relevant goods and services of forests.	Y	4.1, 4.3, 4.3.2 plan and its revision 5.2.2, 5.2.1, investments economic viability, 5.3 diversified economy, 5.10 optimal use, processing, 7.5 environmental service  <i>Complies</i>
5.3.3 Forest management plans or their equivalents shall take into account the <u>different uses or functions of the managed forest area</u> . 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.	Y	4.1, 4.3, 4.3.2 plan and its revision, 5.3.2 NWFP, 7.5 Environmental services, 5.3.1 objective diversified economy  <i>Complies</i>
5.3.4 Forest management practices shall <u>maintain and improve the forest resources</u> and encourage a <u>diversified output</u> of goods and services over the long term.	Y	5.1.2, 5.2.2 operational plan, 5.3.1 objective diversified economy 5.7 sustainable harvesting timber&NWFP, 5.3.2 plan for NWFP; 7.5 Environmental service  <i>Complies</i>
5.3.5 <u>Regeneration, tending and harvesting operations</u> shall be carried out in time, and in a way that does not reduce the <u>productive capacity of the site</u> , for example by <u>avoiding damage</u> to retained	Y	5.7 regeneration according to law, 5.8 conservation of natural forests, 5.9.1 techniques with low environmental

Question	YES / NO*	Reference to scheme documentation
stands and trees as well as to the forest soil, and by using appropriate systems.		impact, 7.1 impact analysis and monitoring, 7.2 reduced impact on soil&water (general)  Criteria and codes for different forest management works ensure compliance  <i>Complies</i>
5.3.6 Harvesting <u>levels</u> of both wood and non-wood forest products shall <u>not exceed a rate that can be sustained</u> in the long term, and optimum use shall be made of the harvested forest products, with due regard to nutrient off-take.	Y	5.7 sustainable harvesting timber&NWFP,  Forest management plan define sustainable yield in line with criterion  <i>Complies</i>
5.3.7 <u>Where it is the responsibility of the forest owner/manager</u> and included in forest management, the exploitation of non-timber forest products, including hunting and fishing, shall be regulated, monitored and controlled.	Y	5.3.2 plan for NWFP, 5.7 sustainable harvesting timber&NWFP 6.2 Control of unauthorized use of NWFP 9.2 monitoring  <i>Complies</i>
5.3.8 Adequate <u>infrastructure</u> such as roads, skid tracks or bridges shall be planned, established and maintained to ensure efficient delivery of goods and services while <u>minimising negative impacts</u> on the environment.	Y	5.11.1 infrastructure maintained, 5.11.2 negative impacts minimized  Codes for forest road construction and harvesting set adequate rules complementing the criterion  <i>Complies</i>
<b>Criterion 4: Maintenance, conservation and appropriate enhancement of biological diversity in forest ecosystems</b>		
5.4.1 Forest management <u>planning</u> shall aim to maintain, conserve and enhance <u>biodiversity</u> on ecosystem, species and genetic levels and, where appropriate, diversity at landscape level.	Y	4.1.4 plan (zoning, biodiversity, wildlife conservation, ecological impact assessment) 5.6.3, 5.6.4, 5.6.5 (stand and landscape diversification), 6.1 protected zones, 6.3 special ecosystems  <i>Complies</i>
5.4.2 Forest management planning, inventory and mapping of forest resources shall <u>identify, protect</u> and/or conserve ecologically important forest areas containing significant concentrations of:  a) protected, rare, sensitive or representative forest <u>ecosystems</u> such as riparian areas and wetland biotopes;  b) areas containing <u>endemic species and habitats of threatened species</u> , as defined in recognised reference lists;  c) endangered or protected <u>genetic in situ resources</u> ;  and taking into account  d) globally, regionally and nationally significant large landscape areas with natural distribution and abundance of naturally occurring species.	Y	6.1 Protected zones, 6.1.2 mapping of rare species, 6.1.3 habitats for species, migration needs considered, 6.1.4 protective management measures, 6.3 ecosystem protection, 6.3.4 consideration of global distribution of ecosystems 7.2, 7.2.2 protection of soil&water, 7.2.3 buffer zones  Protection programme on natural forests reduces the harvesting levels and prioritizes protection measures. Endemic species protected in line with national and provincial lists and related rules. Genetic protection is the responsibility of SFA's Forestry Genetic Security Office – it sets rules for protection.



Question	YES / NO*	Reference to scheme documentation
<p>5.4.3 Protected and endangered plant and animal species <u>shall not be exploited for commercial purposes</u>. Where necessary, measures shall be taken for their protection and, where relevant, to increase their population.</p>	Y	<p><i>Complies</i></p> <p>6.1.4 Protected zones, special management measures (general), 6.1.5 Banned species shall not be developed or utilized, 6.2 Control of unauthorized NWFP use</p> <p>National and provincial lists of protected species with classifications, protected by law</p> <p><i>Complies</i></p>
<p>5.4.4 Forest management shall ensure successful <u>regeneration</u> through <u>natural</u> regeneration or, where not appropriate, <u>planting</u> that is adequate to ensure the quantity and quality of the forest resources.</p>	Y	<p>5.7.4 regeneration according to regulations</p> <p>Habitat classification by diversity, and other zoning define options for regeneration. Forest management plan outlines the harvesting regimes and regeneration methods in practice.</p> <p><i>Complies</i></p>
<p>5.4.5 For reforestation and afforestation, <u>origins of native species and local provenances</u> that are well-adapted to site conditions shall be <u>preferred</u>, where appropriate. Only those <u>introduced species</u>, provenances or varieties shall be used whose impacts on the ecosystem and on the genetic integrity of native species and local provenances <u>have been evaluated</u>, and if negative impacts can be avoided or minimised.</p>	Y	<p>5.5, 5.5.1, 5.5.2 (suitable species, priority to indigenous species), 5.5.3 (exotic sp – non invasive and beneficial), 5.5.4 (monitoring impacts of exotic sp), 5.6. afforestation, 7.4 (strict control in exotic species), 7.4.1 (quarantine, ecological assessments), 7.4.2 (records)</p> <p>Exotic species may not be used in natural forests or in areas with biodiversity values (c.f. diversity classification and other zoning). Exotic species allowed in plantations. Information on genetic adaptability of provenances available.</p> <p><i>Complies</i></p>
<p>5.4.6 Afforestation and reforestation activities that contribute to the <u>improvement and restoration of ecological connectivity</u> shall be promoted.</p>	Y	<p>5.6, 5.6.3, 5.6.4, 5.6.5 (afforestation, landscape level diversity)</p> <p><i>Complies</i></p>
<p>5.4.7 <u>Genetically-modified</u> trees shall not be used.</p>	Y	<p>5.5.5 No GMO trees are allowed 7.4.2 records on exotic species</p> <p>Standard requirement is in line with PEFC, and records should disclose the origin of plants (whether GMO or not)</p> <p><i>Complies</i></p>
<p>5.4.8 Forest management practices shall, where appropriate, promote a <u>diversity of both horizontal and vertical structures</u> such as <u>uneven-aged stands and the diversity of species such as mixed stands</u>. Where appropriate, the practices shall also aim to maintain and restore landscape diversity.</p>	Y*	<p>5.6.3 stand level diversification, 5.6.4, 5.6.5 landscape level diversification in afforestation 6.1 protected zones, 6.3 protection of habitats 6.4.2 dead wood</p> <p>*Applicable in plantation forestry only at landscape level – CFCS plantation standard may include specific requirements.</p> <p>In natural forests protection and</p>

Question	YES / NO*	Reference to scheme documentation
		controlled harvesting regimes (selective cutting etc.) contribute to structural diversity.  <i>Complies</i>
5.4.9 <u>Traditional management</u> systems that have created valuable ecosystems, such as coppice, on appropriate sites shall be supported, when economically feasible.	Y	5.3.3 copy of PEFC 5.4.9  No indication of any economically feasible traditional management system in forests that would not be covered by the standard. NWFP included in standard.  <i>Complies</i>
5.4.10 <u>Tending and harvesting</u> operations shall be conducted in a way that does not cause <u>lasting damage</u> to ecosystems. Wherever possible, practical measures shall be taken to improve or <u>maintain biological diversity</u> .	Y	4.1.4, 4.2.2 plan, operational plan 5.1.2 safeguarding integrity of ecosystem 5.8 Management favorable to forest conservation 6.4, 6.4.1 restoration 7.1.2 impact analysis, adaptation of management, 7.2 water&soil protection 8.2 Fire protection 8.3 Natural disasters  <i>Complies</i>
5.4.11 <u>Infrastructure</u> shall be planned and constructed in a way that minimises damage to ecosystems, especially to rare, sensitive or representative ecosystems and genetic reserves, and that takes threatened or other key species – in particular their migration patterns – into consideration.	Y	4.1.4 plan, 5.11.2 minimize negative impact to environment 7.2.1 Protection of soil&water  Codes for infrastructure development and habitat & species protection address the issue and require their consideration in planning  <i>Complies</i>
5.4.12 With due regard to management objectives, measures shall be taken to <u>balance the pressure of animal populations and grazing on forest regeneration and growth</u> as well as on biodiversity.	Y	7.6, 7.6.1 (measures to minimize impacts of animal populations), 7.6.2 (measures to minimize impacts of grazing)  <i>Complies</i>
5.4.13 <u>Standing and fallen dead wood</u> , 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.	Y*	6.4, 6.4.2 copy of PEFC requirement  In forests with long term rotation (25-30 yrs) decaying wood is kept and selective harvesting is used when appropriate or if required by regulations. *Not applicable in intensive plantation forests  <i>Complies</i>
<b>Criterion 5: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)</b>		
5.5.1 Forest management planning shall aim to maintain and enhance <u>protective functions of forests for society</u> , such as protection of infrastructure, protection from soil erosion, protection of water resources and from adverse impacts of water such as floods or avalanches.	Y	4.1.4 zoning, watershed management, infrastructure, impact assessment 7.2.1 Measures to protect soil&water, 7.2.3 bufferzones 8.2 Fire protection 8.3 Natural disasters  <i>Complies</i>

Question	YES / NO*	Reference to scheme documentation
5.5.2 <u>Areas</u> that fulfil specific and <u>recognised protective functions for society shall be registered and mapped</u> , and forest management plans or their equivalents shall take these areas into account.	Y	3.5 Consultation in zoning 4.1.4 Zoning, watershed management, infrastructure, impact assessment 7.2.1 Measures to protect soil&water, 7.2.3 bufferzones  <i>Complies</i>
5.5.3 <u>Special care</u> shall be given to silvicultural <u>operations on sensitive soils and erosion-prone areas</u> as well as in areas where operations might lead to excessive erosion of soil into watercourses. <u>Inappropriate techniques</u> 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.	Y	7.2.1 Measures to protect soil&water, 7.2.3 bufferzones 7.2.2 reduction of damage  Soil protection is taken into consideration in long term and operational planning  <i>Complies</i>
5.5.4 Special care shall be given to forest management practices in forest areas with <u>water protection functions to avoid adverse effects on the quality and quantity of water resources</u> . <u>Inappropriate use of chemicals</u> or other harmful substances or inappropriate silvicultural practices influencing water quality in a harmful way shall be avoided.	Y	7.2.1 Measures to protect soil&water, 7.2.3 bufferzones 7.2.2 reduction of damage 7.3 Chemical use strictly controlled 8.1.3 Reduced use of chemicals  <i>Complies</i>
5.5.5 Construction of roads, bridges and other <u>infrastructure</u> shall be carried out in a manner that <u>minimises bare soil exposure, avoids the introduction of soil into watercourses and preserves the natural level and function of water courses and river beds</u> . Proper road drainage facilities shall be installed and maintained.	Y	5.11, 5.11.2 infrastructure design minimize negative impacts 7.2, 7.2.1, 7.2.2, 7.2.3 Effective measures to minimize damage, bufferzones  <i>Complies</i>
<b>Criterion 6: Maintenance of other socio-economic functions and conditions</b>		
5.6.1 Forest management planning shall aim to respect the <u>multiple functions of forests to society</u> , give due regard to the role of forestry in rural development, and especially consider new opportunities for <u>employment</u> in connection with the socio-economic functions of forests.	Y	3.1.1 employment, training and social service opportunities, 3.8 traditional knowledge, 3.9. adaptation to social impact evaluation, 5.3 diversified economy, plan for NWFP 7.5 Environmental service  <i>Complies</i>
5.6.2 Forest management shall promote the <u>long-term health and well-being of communities</u> within or adjacent to the forest management area.	Y*	3, 3.1 employment, training, social services, 3.4 legal rights of local residents, 3.5 consultation in zoning, 3.6 respecting traditional use rights  In state forests and “collective ownership local communities have a role in decision making by regulations. *In plantation forestry land tenure and benefit sharing issues may require more detailed criteria  <i>Complies</i>
5.6.3 <u>Property rights and land tenure arrangements</u> shall be clearly defined, documented and established for the relevant forest area. Likewise, <u>legal, customary and traditional rights related to the forest land</u> shall be clarified, recognised and respected.	Y*	2.1 Forest tenure shall be clear, 2.2 Dispute settlement 3.4 legal rights of local residents, 3.5 consultation in zoning, 3.6 respecting traditional use rights  See comment above  <i>Complies</i>
5.6.4 Forest management activities shall be conducted in recognition of the established framework of <u>legal, customary and</u>	Y	According to CFCS there are not Indigenous Peoples in China, but there

Question	YES / NO*	Reference to scheme documentation
<p><u>traditional rights such as outlined in ILO 169 and the UN Declaration on the Rights of Indigenous Peoples</u>, which shall not be infringed upon without the free, prior and informed consent of the holders of the rights, including the provision of <u>compensation</u> where applicable. Where the extent of rights is not yet resolved or is in dispute there are <u>processes for just and fair resolution</u>. In such cases forest managers shall, in the interim, provide meaningful opportunities for parties to be <u>engaged in forest management decisions</u> whilst respecting the processes and roles and responsibilities laid out in the policies and laws where the certification takes place.</p>		<p>are 55 minorities of which a number have special use rights to forests.</p> <p>1.1.1 relevant laws available in FMU App A 3.1.1 employment, 3.1.2 transportation and communication, 3.4.2 avoid damage &amp; limitations to use rights, 3.5.1 consultation zoning, protection of values, 3.6.1 traditional use rights respected, 3.6.2 information of forests with limited use rights, 3.7.1 avoid damage to property, 3.7.2 consultation, compensation of damage, 3.8.1 respect of traditional knowledge, 3.8.2 local participation in planning, 3.9 social and environmental impact analysis, 3.9.3 communication mechanisms</p> <p>China has not ratified C169: Indigenous and Tribal Peoples Convention (1989). Standard criteria meet the PEFC requirements</p> <p><i>Complies</i></p>
<p>5.6.5 Adequate <u>public access</u> to forests for the purpose of <u>recreation</u> 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>	Y*	<p>3.6.1 traditional use rights respected, 3.6.2 information of forests with limited use rights</p> <p>In natural forests people have access to forests except on specific seasons (high fire risk, etc.). *PEFC requirement not applicable in plantation forests</p> <p><i>Complies</i></p>
<p>5.6.6 Sites with recognised specific <u>historical, cultural or spiritual significance</u> and <u>areas fundamental</u> to meeting the basic needs of local communities (e.g. health, subsistence) <u>shall be protected or managed</u> in a way that takes due regard of the significance of the site.</p>	Y	<p>3.4 forestry shall not encroach upon the legal rights of local residents, 3.4.1 recognize legal rights, 3.4.2 avoid damage, 3.4.3 written agreement if resource management entrusted to third party, 3.5 consultation in zoning and measures to protect as agreed</p> <p>Planning takes into consideration officially recognized sites with cultural significance. Level of protection relies on regulations and planning process.</p> <p><i>Complies</i></p>
<p>5.6.7 Forest management operations shall take into account <u>all socio-economic functions</u>, especially the recreational function and aesthetic values of forests <u>by maintaining for example varied forest structures</u>, 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>	Y*	<p>4.1.4 plan 5.3 diversified economy of timber and NWFP, 5.10 Optimal use and processing 7.5 Environmental services, identification, measures in maintain</p> <p>Complies in natural forests. *PEFC requirement not fully applicable in plantation forests, CFCS standard in practice is different in natural and plantation forests due to difference in regulations.</p>

Question	YES / NO*	Reference to scheme documentation
		<i>Complies</i>
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.	Y	3.2.3 security training 4.1 participation in planning, 4.4 training to workers 5.1 operations in line with plan Training before signing of contract  <i>Complies</i>
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.	Y	3.8 respect of traditional knowledge, participation in planning 4.1.2 participation in planning 3.9 social and environmental impact analysis, 3.9.3 communication mechanisms  <i>Complies</i>
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.	Y	2.2 settling disputes use rights 3.4 legal rights, contracts, 3.5 local residents consulted in zoning, protection, 3.6 respect of traditions knowledge, 3.7 compensation  <i>Complies</i>
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.	Y	3.2.1 Health and safety guaranteed in line with laws, 3.2.3 safety equipment, training, 3.2.4 ILO Convention China is signatory 4.4 Training  China has ratified ILO C155 on Occupational Safety and Health Convention (1981), but not ILO C161 and C187 and C197 that address also safety and health. Labour legislation is well developed in China and it address in health and safety. Labour laws are informed to workers.  <i>Complies</i>
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.	Y	3.2.3 safety equipment, training, 3.2.4 ILO Convention 155 4.4 Training <i>Complies</i>
5.6.13 Forest management shall comply with fundamental ILO conventions: <i>ILO C29 Forced Labor, 1930 (not ratified)</i> <i>ILO C87 Freedom of Association and Protection of the Right to Organize, 1948 (not ratified)</i> <i>ILO C98 Right to Organize and Collective Bargaining, 1949 (not ratified)</i> <i>ILO C105 Equal Remuneration, 1951 (not ratified)</i> <i>ILO C111 Discrimination (Employment and Occupation) 1958 (ratified 2006)</i> <i>ILO C138 Minimum Age for Admission to Employment, 1973 (ratified 1999)</i> <i>ILO C182 Worst Forms of Child Labour Convention, 1999 (ratified)</i>	Y	3.2.4 3.2.4 ILO Convention China is signatory  See Table 7.1 (ratification status) in report and CFCC justification of consideration of the non-ratified fundamental ILO Conventions in national labour legislation Appendix 1 (Annex 1) to the report. Standard amendment of 14 August 2013 specifies that assurance on compliance with all listed conventions shall be verified.  <i>Compliance</i>

Question	YES / NO*	Reference to scheme documentation
2002)		
5.6.14 Forest management shall be based inter-alia on the <u>results of scientific research</u> . Forest management shall <u>contribute to research activities and data</u> collection needed for sustainable forest <u>management or support relevant research activities</u> carried out by other organisations, as appropriate.	Y	4.1.3 scientific information taken into consideration in planning, 4.3.2 periodic revision of plan <10yrs  State forest administration coordinates forest management planning and has the capacity to integrate applicable research results into the planning process.  <i>Complies</i>
<b>Criterion 7: Maintenance and appropriate enhancement of protective functions in forest management (notably soil and water)</b>		
5.7.1 Forest management shall <u>comply with legislation</u> 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.	Y	1.1, 1.2 Appendix A.1 list of relevant laws  Forest management planning and codes for conducting specific management activities ensure adequate awareness of legislation and provides solid procedures for its implementation in practical forest management.  <i>Complies</i>
5.7.2 Forest management shall provide for adequate <u>protection of the forest from unauthorised activities</u> such as illegal logging, illegal land use, illegally initiated fires, and other illegal activities.	Y	1.3 protection against illegal activities and conversion, 1.4 compliance to international laws China is signatory  Criterion and applied control measures in forests and wood transports provide feasible procedures to control unauthorized forest use.  <i>Complies</i>

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

**PART IV: 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 PROCEDURES	YES / NO*	Reference to scheme documentation
<b>Certification Bodies</b>				
1.	Does the scheme documentation require that certification shall be carried out by <u>impartial, independent third parties</u> 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	Y	<i>Part I - Scheme description: 4.1-4.2; Annex III Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies, 2.1.1</i>  <i>Complies</i> In China certification bodies that apply for accreditation from national accreditation body CNAS, shall be recognized by CNCA (government organization)
2.	Does the scheme documentation require that <u>certification body</u> for forest management certification or chain of custody certification against a scheme specific chain of custody standard <u>shall fulfil requirements</u> defined in ISO 17021 or ISO Guide 65?	Annex 6, 3.1	Y*	<i>Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies, 2.1.2a-b;4</i>  *(of March 21, 2013) Accreditation to product certification standard (ISO Guide 65) is required  <i>Complies</i>
3.	Does the scheme documentation require that <u>certification body chain of custody certification</u> against PEFC ST 2002:2010 shall fulfil requirements defined in ISO Guide 65?	Annex 6, 3.1	Y	<i>Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies, 2.1.2(a)</i>  <i>Complies</i>
4.	Does the scheme documentation require that <u>certification bodies</u> carrying out forest certification shall have the <u>technical competence in forest management</u> on its economic, social and environmental impacts, and on the forest <u>certification criteria</u> ?	Annex 6, 3.1	Y	<i>Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies, 2.1.3(a)</i>  <i>Complies</i>
5.	Does the scheme documentation require that certification bodies carrying out <u>C-o-C certifications</u> shall have <u>technical competence in forest based products</u> procurement and processing and material flows in different stages of processing and trading?	Annex 6, 3.1	Y	<i>Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies, 2.1.3(b)</i>  <i>Complies</i>
6.	Does the scheme documentation require that certification bodies shall have a <u>good understanding</u> of the national PEFC system against which they	Annex 6, 3.1	Y	<i>Procedures for Certification, Accreditation and CFCC Notification of Certification</i>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
	carry out forest management or C-o-C certifications?			<i>Bodies, 2.1.3(c)</i> <i>Complies</i>
7.	Does the scheme documentation require that certification bodies have the <u>responsibility to use competent auditors</u> 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	Y	<i>Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies, 2.2</i>  <i>Complies</i> In China auditors shall be registered by CNCA
8.	Does the scheme documentation require that the <u>auditors must fulfil the general criteria of ISO 19011 for Quality Management Systems auditors or for Environmental Management Systems auditors?</u>	Annex 6, 3.2	Y	<i>Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies, 2.2.1</i> Part of IAF recognized accreditation process carried out by CNAS  <i>Complies</i>
9.	Does the scheme documentation include <u>additional qualification requirements</u> for auditors carrying out forest management or chain of custody audits? <sup>[*1]</sup>	Annex 6, 3.2	Y	<i>Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies, 2.2.2</i> Includes proficiency requirements  <i>Complies</i>
<b>Certification procedures</b>				
10.	Does the scheme documentation require that certification bodies shall have <u>established internal procedures</u> for forest management and/or chain of custody certification?	Annex 6, 4	Y	<i>Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies, 3.1</i>  <i>Complies</i>
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 (A) or ISO Guide 65 (B)?	Annex 6, 4	Y	<i>Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies, 3.2</i>  <i>Complies</i>
12.	Does the scheme documentation require that applied certification <u>procedures for chain of custody certification against PEFC ST 2002:2010 shall fulfil or be compatible with the requirements defined in ISO Guide 65?</u>	Annex 6, 4	Y	<i>Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies, 3.2</i>  <i>Complies</i>
13.	Does the scheme documentation require that applied <u>auditing procedures</u> shall fulfil or be compatible with the requirements of <u>ISO 19011?</u>	Annex 6, 4	Y	<i>Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies, 3.2</i>  <i>Complies</i>
14.	Does the scheme documentation require that <u>certification body shall inform the relevant PEFC National Governing Body about all issued forest management and chain of custody certificates</u> and changes concerning the validity and scope of these certificates?	Annex 6, 4	Y	<i>Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies, 3.3(a)</i> <i>Complies</i>



No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
15.	Does the scheme documentation require that <u>certification body</u> shall carry out controls of PEFC logo usage if the certified entity is a PEFC logo user?	Annex 6, 4	Y	<i>Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies, 3.3(b)</i>  <i>Part I Scheme description, Annex II Usage Rules for China Forest Certification Logo [CFCC]; Appendix (of 8.04.2013): After CFCS is endorsed by PEFC, all certified forest management units for forest management certification and certified companies for COC certification shall use both CFCC logo and PEFC logo together in line with PEFC logo usage rules.</i>  <i>Complies</i>
16.	Does a maximum period for <u>surveillance audits</u> defined by the scheme documentation not exceed more than one year?	Annex 6, 4	Y	<i>Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies, 3.4</i>  <i>Complies</i>
17	Does a maximum period for <u>assessment audit not exceed five years</u> for both forest management and chain of custody certifications?	Annex 6, 4	Y	<i>Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies, 3.4</i>  <i>Complies</i>
18	Does the scheme documentation include requirements for <u>public availability of certification report summaries</u> ?	Annex 6, 4	Y	<i>Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies, 3.6</i>  <i>Complies</i>
19	Does the scheme documentation include requirements for <u>usage of information from external parties</u> as the audit evidence?	Annex 6, 4	Y	<i>Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies, 3.5</i>  <i>Complies</i>
20.	Does the scheme documentation include <u>additional requirements</u> for certification procedures? <sup>[*]</sup>	Annex 6, 4	Y	3.3a –delivery of data on multisite CoC certificates to CFCC and other PEFC CB:s  <i>Complies</i>
<b>Accreditation procedures</b>				
21.	Does the scheme documentation require that certification bodies carrying out forest management and/or chain of custody certification <u>shall be accredited</u> by a national accreditation body?	Annex 6, 5	Y	<i>Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies, 4</i> In China CNAS is the national accreditation body  <i>Complies</i>

No.	Question	Reference to PEFC Council PROCEDURES	YES / NO*	Reference to scheme documentation
22.	Does the scheme documentation require that an accredited certificate shall <u>bear an accreditation symbol</u> of the relevant accreditation body?	Annex 6, 5	Y	<i>Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies, 4</i>  <i>Complies</i>
23.	Does the scheme documentation require that the accreditation shall be issued by an <u>accreditation body which is a part of the International Accreditation Forum (IAF) umbrella</u> 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	Y	<i>Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies, 4</i>  <i>Complies</i>
24.	Does the scheme documentation require that certification body <u>undertake</u> forest management or/and chain of custody certification against a scheme specific chain of custody <u>standard as "accredited certification"</u> based on ISO 17021 or <u>ISO Guide 65</u> and the <u>relevant forest management or chain of custody standard(s)</u> shall be covered by <u>the accreditation scope</u> ?	Annex 6, 5	Y	<i>Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies, 4</i>  <i>Complies</i>
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	Y	<i>Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies, 4</i>  <i>Complies</i>
26.	Does the scheme documentation include a mechanism <u>for PEFC notification</u> of certification bodies?	Annex 6, 6	Y	<i>Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies, 5</i>  <i>Complies</i>
27.	Are the procedures for PEFC notification of certification bodies non-discriminatory?	Annex 6, 6	Y	<i>Procedures for Certification, Accreditation and CFCC Notification of Certification Bodies, 5., 5.2</i>  <i>Complies</i> In China government body CNCA recognize all certification bodies that are eligible to apply for accreditation from CNAS. So far CNCA has recognized only one certification body, several other have applied for approval. CFCC does not have a mandate to make decisions on this issue, only to inform and discuss the benefits of having several CBs in business.

\* If the answer to any question is no, the application documentation shall indicate for each element why and what alternative measures have been taken to address the element in question.  
[\*1] This is not an obligatory requirement

**PART V:                   MINIMUM REQUIREMENTS CHECKLIST FOR SCHEME SPECIFIC CHAIN OF CUSTODY STANDARDS – COMPLIANCE WITH PEFC ST PEFC 2002:2010**

CFCC has adopted PEFC ST 2002:2010 as the national standard for chain of custody verification. The standard is *Part V – Forest Certification in China – Chain of custody (27 June, 2011)*. It includes a few modifications to the PEFC standard due to the requirements of national laws and regulations related to standard development. The list of differences between the CFCS and PEFC chain of custody standards are listed in the beginning of the standard and their significance is analysed in the report in Chapter 8.

In August 24, 2013 CFCC listed for auditors *Supplementary Requirements when Assessing “Forest certification in China – Chain of custody”* standard. These requirement further specify CFCS requirements for chain of custody verification and related risk classification

### China Forest Certification Council Amendment to CFCS

*CFCC: The principal reason why China has not signed 4 ILO conventions is not because China opposes the main principles and core articles of these 4 ILO conventions, but because a few articles of these conventions are incommensurate with the specific national condition of China.*

*The Labor Law, the Labor Contract Law and the Trade Union Law etc of China have many corresponding articles which stipulate the prohibition of forced labor and freedom of organizing etc.*

For detailed comparison of the requirements of unratified fundamental ILO Conventions and Chinese labour legislation see Annex 3 to Appendix 1.

August 14, 2013

### **Supplementary Requirements When Assessing “Forest certification in China --- Forest management”**

The following supplementary requirements are added when assessing some indicators in the standard of “Forest certification in China --- Forest management”:

1. When assessing the indicator of “3.3.2 Abiding by requirements about working and safety of the workers and guaranteeing the health and safety of the workers”, the auditors shall consult with relevant management staff and workers to ensure that the use of forced or compulsory labour in the forest management is strictly prohibited under any condition, and in practice, all of the relevant ILO conventions shall be complied with.
2. When assessing the indicator of “3.3.2.4 Requirements of all ILO conventions to which China is a signatory shall be complied with”, the auditors shall consult with relevant management staff and workers to ensure that in the forest management the workers have freedom of association, protection of the right to organise, and right to collective bargaining, and in practice, all of the relevant ILO conventions shall be complied with.
3. When assessing the indicator of “3.7.3.2 Pesticides listed in the WHO Type 1A and 1B and in the national laws and regulations as well as other highly toxic pesticides (see Appendix A) shall be prohibited, except where no other viable alternative is available”, the auditors shall consult with relevant management staff and workers to ensure that no chemical listed in WHO Type 1A and 1B and in the national laws and regulations as well as other highly toxic pesticides can be used under any condition.

China Forest Certification Council Amendment to CFCS

August 14, 2013

**Supplementary Requirements When Assessing  
“Forest certification in China --- Chain of custody”**

The following supplementary requirements are added when assessing some indicators in the standard of “Forest certification in China --- Chain of custody”:

1. When assessing, if the material is imported, the original supplier shall abide by relevant laws and regulations on indigenous people’s property, tenure and use rights, as otherwise the material shall be regarded as controversial sources.
2. When defining “3.18 Product group”, the approach of implementing chain of custody in Note 2 is also called “project chain of custody”.
3. When assessing B.3.5, apart from Table B.1, any other supplies without VPA License, without any certificates from any non CFCC mutually recognized forest certification schemes, or without any evidence on the scope of the verification or licensing mechanism are regarded as “high risk supplies”.
4. When assessing, for the content in line 3 of column 2 in Table B.1, the following websites can be referred:
  - The World Bank FLEG Newsletter (<http://go.worldbank.org/FMKUFABJ80>);
  - UK based Chatham House ([www.illegal-logging.info](http://www.illegal-logging.info));
  - Environmental Investigation Agency ([www.eia-international.org](http://www.eia-international.org));
  - Global Witness ([www.globalwitness.org](http://www.globalwitness.org)), etc.
5. When assessing B.3.6, apart from Table B.2, any other supplies with VPA License, with any certificates from any non CFCC mutually recognized forest certification schemes, or with any evidence on the scope of the verification or licensing mechanism are regarded as “low risk supplies”.
6. When assessing, for the content in line 2 of column 2 in Table B.2, an example can be added which states “Such forest certification scheme includes any non CFCC mutually recognized forest certification schemes”.
7. When assessing, for the content in line 3 of column 2 in Table B.2, the following websites can be referred:
  - The World Bank FLEGT (<http://ec.europa.eu/environment/forests/flegt.htm>);
  - Tropical Forest Trust ([www.tropicalforesttrust.com](http://www.tropicalforesttrust.com)).
8. When assessing D.2.1, the auditors shall also verify that the organisation shall demonstrate its commitment to comply with the social, health and safety requirements.
9. When assessing D.2.2, the auditors shall consult with relevant management staff and workers to ensure that the organisation does not have any use of forced or compulsory labour, and its workers have freedom of association, protection of the right to organise, and right to collective bargaining, and in practice, all of the relevant ILO conventions shall be complied with.

**Comparison Table of 4 Other ILO Conventions with Chinese Laws**

**1. C29 - Forced Labour Convention**

<b>ILO C29 “Forced Labour Convention”</b>	<b>Labour Law of PRC</b>	<b>Labour Contract Law of PRC</b>
<p><b>Article 1</b></p> <p>1. Each Member of the International Labour Organisation which ratifies this Convention undertakes to suppress the use of forced or compulsory labour in all its forms within the shortest possible period.</p> <p>2. With a view to this complete suppression, recourse to forced or compulsory labour may be had, during the transitional period, for public purposes only and as an exceptional measure, subject to the conditions and guarantees hereinafter provided.</p> <p>3. At the expiration of a period of five years after the coming into force of this Convention, and when the Governing Body of the International Labour Office prepares the report provided for in Article 31 below, the said Governing Body shall consider the possibility of the suppression of forced or compulsory labour in all its forms without a further transitional period and the desirability of placing this question on the agenda of the Conference.</p>	<p>Article 18 The following labor contracts shall be invalid: (1) labor contracts concluded in violation of laws , administrative rules and regulations; and (2) labor contracts concluded by resorting to such measures as cheating and intimidation. An invalid labor contract shall have no legal binding force from the very beginning of its conclusion. Where a part of a labor contract is confirmed as invalid and where the validity of the remaining part is not affected, the remaining part shall remain valid. The invalidity of a labor contract shall be confirmed by a labor dispute arbitration committee or a people's court.</p>	<p>Article 38</p> <p>A Employee may terminate his employment contract if his Employer:</p> <p>(1) Fails to provide the labor protection or working conditions specified in the employment contract;</p> <p>(2) Fails to pay labor compensation in full and on time;</p> <p>(3) Fails to pay the social insurance premiums for the Employee in accordance with the law;</p> <p>(4) Has rules and regulations that violate laws or regulations, thereby harming the Employee's rights and interests;</p> <p>(5) causes the employment contract to be invalid due to a circumstance specified in the first paragraph of Article 26 hereof;</p> <p>(6) Gives rise to another circumstance in which laws or administrative statutes</p>

ILO C29 “Forced Labour Convention”	Labour Law of PRC	Labour Contract Law of PRC
		<p>permit a Employee to terminate his employment contract.</p> <p>If an Employer uses violence, threats or unlawful restriction of personal freedom to compel a Employee to work, or if a Employee is instructed in violation of rules and regulations or peremptorily ordered by his Employer to perform dangerous operations which threaten his personal safety, the Employee may terminate his employment contract forthwith without giving prior notice to the Employer.</p>
<p><b>Article 2</b></p> <p>1. For the purposes of this Convention the term <b><i>forced or compulsory labour</i></b> shall mean all work or service which is exacted from any person under the menace of any penalty and for which the said person has not offered himself voluntarily.</p> <p>2. Nevertheless, for the purposes of this Convention, the term <b><i>forced or compulsory labour</i></b> shall not include--</p> <ul style="list-style-type: none"> <li>(a) any work or service exacted in virtue of compulsory military service laws for work of a purely military character;</li> <li>(b) any work or service which forms part of the normal civic obligations of the citizens of a fully self-governing country;</li> <li>(c) any work or service exacted from any person as a consequence of a conviction in a court of law, provided that the said work or service is carried out under the supervision and control of a public authority and that the said person is not hired to or placed at the disposal of private individuals, companies or associations;</li> </ul>		

ILO C29 “Forced Labour Convention”	Labour Law of PRC	Labour Contract Law of PRC
<p>(d) any work or service exacted in cases of emergency, that is to say, in the event of war or of a calamity or threatened calamity, such as fire, flood, famine, earthquake, violent epidemic or epizootic diseases, invasion by animal, insect or vegetable pests, and in general any circumstance that would endanger the existence or the well-being of the whole or part of the population;</p> <p>(e) minor communal services of a kind which, being performed by the members of the community in the direct interest of the said community, can therefore be considered as normal civic obligations incumbent upon the members of the community, provided that the members of the community or their direct representatives shall have the right to be consulted in regard to the need for such services.</p>		
<p><b>Article 3</b></p> <p>For the purposes of this Convention the term <b>competent authority</b> shall mean either an authority of the metropolitan country or the highest central authority in the territory concerned.</p>		
<p><b>Article 4</b></p> <p>1. The competent authority shall not impose or permit the imposition of forced or compulsory labour for the benefit of private individuals, companies or associations.</p> <p>2. Where such forced or compulsory labour for the benefit of private individuals, companies or associations exists at the date on which a Member's ratification of this Convention is registered by the Director-General of the International Labour Office, the Member shall completely suppress such forced or compulsory labour from the date on which this Convention comes into force for that Member.</p>		
<p><b>Article 5</b></p> <p>1. No concession granted to private individuals, companies or associations shall involve any form of forced or compulsory labour for the production or the collection of products which such private individuals, companies or associations utilise or in which they trade.</p> <p>2. Where concessions exist containing provisions involving such forced or compulsory labour, such provisions shall be rescinded as soon as possible, in order to comply with Article 1 of this</p>		



ILO C29 “Forced Labour Convention”	Labour Law of PRC	Labour Contract Law of PRC
Convention.		
<p><b>Article 6</b></p> <p>Officials of the administration, even when they have the duty of encouraging the populations under their charge to engage in some form of labour, shall not put constraint upon the said populations or upon any individual members thereof to work for private individuals, companies or associations.</p>		
<p><b>Article 7</b></p> <p>1. Chiefs who do not exercise administrative functions shall not have recourse to forced or compulsory labour.</p> <p>2. Chiefs who exercise administrative functions may, with the express permission of the competent authority, have recourse to forced or compulsory labour, subject to the provisions of Article 10 of this Convention.</p> <p>3. Chiefs who are duly recognised and who do not receive adequate remuneration in other forms may have the enjoyment of personal services, subject to due regulation and provided that all necessary measures are taken to prevent abuses.</p>		
<p><b>Article 8</b></p> <p>1. The responsibility for every decision to have recourse to forced or compulsory labour shall rest with the highest civil authority in the territory concerned.</p> <p>2. Nevertheless, that authority may delegate powers to the highest local authorities to exact forced or compulsory labour which does not involve the removal of the workers from their place of habitual residence. That authority may also delegate, for such periods and subject to such conditions as may be laid down in the regulations provided for in Article 23 of this Convention, powers to the highest local authorities to exact forced or compulsory labour which involves the removal of the workers from their place of habitual residence for the purpose of facilitating the movement of officials of the administration, when on duty, and for the transport of Government stores.</p>		
<p><b>Article 9</b></p> <p>Except as otherwise provided for in Article 10 of this Convention, any authority competent to exact forced or compulsory labour shall, before deciding to have recourse to such labour, satisfy itself—</p>		

ILO C29 “Forced Labour Convention”	Labour Law of PRC	Labour Contract Law of PRC
<p>(a) that the work to be done or the service to be rendered is of important direct interest for the community called upon to do work or render the service;</p> <p>(b) that the work or service is of present or imminent necessity;</p> <p>(c) that it has been impossible to obtain voluntary labour for carrying out the work or rendering the service by the offer of rates of wages and conditions of labour not less favourable than those prevailing in the area concerned for similar work or service; and</p> <p>(d) that the work or service will not lay too heavy a burden upon the present population, having regard to the labour available and its capacity to undertake the work.</p>		
<p><b>Article 10</b></p> <p>1. Forced or compulsory labour exacted as a tax and forced or compulsory labour to which recourse is had for the execution of public works by chiefs who exercise administrative functions shall be progressively abolished.</p> <p>2. Meanwhile, where forced or compulsory labour is exacted as a tax, and where recourse is had to forced or compulsory labour for the execution of public works by chiefs who exercise administrative functions, the authority concerned shall first satisfy itself--</p> <p>(a) that the work to be done or the service to be rendered is of important direct interest for the community called upon to do the work or render the service;</p> <p>(b) that the work or the service is of present or imminent necessity;</p> <p>(c) that the work or service will not lay too heavy a burden upon the present population, having regard to the labour available and its capacity to undertake the work;</p> <p>(d) that the work or service will not entail the removal of the workers from their place of habitual residence;</p> <p>(e) that the execution of the work or the rendering of the service will be directed in accordance with the exigencies of religion, social life and agriculture.</p>		
<p><b>Article 11</b></p> <p>1. Only adult able-bodied males who are of an apparent age of not less than 18 and not more than 45 years may be called upon for forced or compulsory labour. Except in respect of the kinds of</p>		

ILO C29 “Forced Labour Convention”	Labour Law of PRC	Labour Contract Law of PRC
<p>labour provided for in Article 10 of this Convention, the following limitations and conditions shall apply:</p> <ul style="list-style-type: none"> <li>(a) whenever possible prior determination by a medical officer appointed by the administration that the persons concerned are not suffering from any infectious or contagious disease and that they are physically fit for the work required and for the conditions under which it is to be carried out;</li> <li>(b) exemption of school teachers and pupils and officials of the administration in general;</li> <li>(c) the maintenance in each community of the number of adult able-bodied men indispensable for family and social life;</li> <li>(d) respect for conjugal and family ties.</li> </ul> <p>2. For the purposes of subparagraph (c) of the preceding paragraph, the regulations provided for in Article 23 of this Convention shall fix the proportion of the resident adult able-bodied males who may be taken at any one time for forced or compulsory labour, provided always that this proportion shall in no case exceed 25 per cent. In fixing this proportion the competent authority shall take account of the density of the population, of its social and physical development, of the seasons, and of the work which must be done by the persons concerned on their own behalf in their locality, and, generally, shall have regard to the economic and social necessities of the normal life of the community concerned.</p>		
<p><b>Article 12</b></p> <p>1. The maximum period for which any person may be taken for forced or compulsory labour of all kinds in any one period of twelve months shall not exceed sixty days, including the time spent in going to and from the place of work.</p> <p>2. Every person from whom forced or compulsory labour is exacted shall be furnished with a certificate indicating the periods of such labour which he has completed.</p>		
<p><b>Article 13</b></p> <p>1. The normal working hours of any person from whom forced or compulsory labour is exacted shall be the same as those prevailing in the case of voluntary labour, and the hours worked in</p>		

ILO C29 “Forced Labour Convention”	Labour Law of PRC	Labour Contract Law of PRC
<p>excess of the normal working hours shall be remunerated at the rates prevailing in the case of overtime for voluntary labour.</p> <p>2. A weekly day of rest shall be granted to all persons from whom forced or compulsory labour of any kind is exacted and this day shall coincide as far as possible with the day fixed by tradition or custom in the territories or regions concerned.</p>		
<p><b>Article 14</b></p> <p>1. With the exception of the forced or compulsory labour provided for in Article 10 of this Convention, forced or compulsory labour of all kinds shall be remunerated in cash at rates not less than those prevailing for similar kinds of work either in the district in which the labour is employed or in the district from which the labour is recruited, whichever may be the higher.</p> <p>2. In the case of labour to which recourse is had by chiefs in the exercise of their administrative functions, payment of wages in accordance with the provisions of the preceding paragraph shall be introduced as soon as possible.</p> <p>3. The wages shall be paid to each worker individually and not to his tribal chief or to any other authority.</p> <p>4. For the purpose of payment of wages the days spent in travelling to and from the place of work shall be counted as working days.</p> <p>5. Nothing in this Article shall prevent ordinary rations being given as a part of wages, such rations to be at least equivalent in value to the money payment they are taken to represent, but deductions from wages shall not be made either for the payment of taxes or for special food, clothing or accommodation supplied to a worker for the purpose of maintaining him in a fit condition to carry on his work under the special conditions of any employment, or for the supply of tools.</p>		
<p><b>Article 15</b></p> <p>1. Any laws or regulations relating to workmen's compensation for accidents or sickness arising out of the employment of the worker and any laws or regulations providing compensation for the dependants of deceased or incapacitated workers which are or shall be in force in the territory concerned shall be equally applicable to persons from whom forced or compulsory labour is</p>		

ILO C29 “Forced Labour Convention”	Labour Law of PRC	Labour Contract Law of PRC
<p>exacted and to voluntary workers.</p> <p>2. In any case it shall be an obligation on any authority employing any worker on forced or compulsory labour to ensure the subsistence of any such worker who, by accident or sickness arising out of his employment, is rendered wholly or partially incapable of providing for himself, and to take measures to ensure the maintenance of any persons actually dependent upon such a worker in the event of his incapacity or decease arising out of his employment.</p>		
<p><b>Article 16</b></p> <p>1. Except in cases of special necessity, persons from whom forced or compulsory labour is exacted shall not be transferred to districts where the food and climate differ so considerably from those to which they have been accustomed as to endanger their health.</p> <p>2. In no case shall the transfer of such workers be permitted unless all measures relating to hygiene and accommodation which are necessary to adapt such workers to the conditions and to safeguard their health can be strictly applied.</p> <p>3. When such transfer cannot be avoided, measures of gradual habituation to the new conditions of diet and of climate shall be adopted on competent medical advice.</p> <p>4. In cases where such workers are required to perform regular work to which they are not accustomed, measures shall be taken to ensure their habituation to it, especially as regards progressive training, the hours of work and the provision of rest intervals, and any increase or amelioration of diet which may be necessary.</p>		
<p><b>Article 17</b></p> <p>Before permitting recourse to forced or compulsory labour for works of construction or maintenance which entail the workers remaining at the workplaces for considerable periods, the competent authority shall satisfy itself--</p> <p>(1) that all necessary measures are taken to safeguard the health of the workers and to guarantee the necessary medical care, and, in particular, (a) that the workers are medically examined before commencing the work and at fixed intervals during the period of service, (b) that there is an adequate medical staff, provided with the dispensaries, infirmaries, hospitals</p>		

ILO C29 “Forced Labour Convention”	Labour Law of PRC	Labour Contract Law of PRC
<p>and equipment necessary to meet all requirements, and (c) that the sanitary conditions of the workplaces, the supply of drinking water, food, fuel, and cooking utensils, and, where necessary, of housing and clothing, are satisfactory;</p> <p>(2) that definite arrangements are made to ensure the subsistence of the families of the workers, in particular by facilitating the remittance, by a safe method, of part of the wages to the family, at the request or with the consent of the workers;</p> <p>(3) that the journeys of the workers to and from the workplaces are made at the expense and under the responsibility of the administration, which shall facilitate such journeys by making the fullest use of all available means of transport;</p> <p>(4) that, in case of illness or accident causing incapacity to work of a certain duration, the worker is repatriated at the expense of the administration;</p> <p>(5) that any worker who may wish to remain as a voluntary worker at the end of his period of forced or compulsory labour is permitted to do so without, for a period of two years, losing his right to repatriation free of expense to himself.</p>		
<p><b>Article 18</b></p> <p>1. Forced or compulsory labour for the transport of persons or goods, such as the labour of porters or boatmen, shall be abolished within the shortest possible period. Meanwhile the competent authority shall promulgate regulations determining, inter alia, (a) that such labour shall only be employed for the purpose of facilitating the movement of officials of the administration, when on duty, or for the transport of Government stores, or, in cases of very urgent necessity, the transport of persons other than officials, (b) that the workers so employed shall be medically certified to be physically fit, where medical examination is possible, and that where such medical examination is not practicable the person employing such workers shall be held responsible for ensuring that they are physically fit and not suffering from any infectious or contagious disease, (c) the maximum load which these workers may carry, (d) the maximum distance from their homes to which they may be taken, (e) the maximum number of days per month or other period for which they may be taken, including the days spent in returning to their homes, and (f) the persons entitled to demand this</p>		

ILO C29 “Forced Labour Convention”	Labour Law of PRC	Labour Contract Law of PRC
<p>form of forced or compulsory labour and the extent to which they are entitled to demand it.</p> <p>2. In fixing the maxima referred to under (c), (d) and (e) in the foregoing paragraph, the competent authority shall have regard to all relevant factors, including the physical development of the population from which the workers are recruited, the nature of the country through which they must travel and the climatic conditions.</p> <p>3. The competent authority shall further provide that the normal daily journey of such workers shall not exceed a distance corresponding to an average working day of eight hours, it being understood that account shall be taken not only of the weight to be carried and the distance to be covered, but also of the nature of the road, the season and all other relevant factors, and that, where hours of journey in excess of the normal daily journey are exacted, they shall be remunerated at rates higher than the normal rates.</p>		
<p><b>Article 19</b></p> <p>1. The competent authority shall only authorise recourse to compulsory cultivation as a method of precaution against famine or a deficiency of food supplies and always under the condition that the food or produce shall remain the property of the individuals or the community producing it.</p> <p>2. Nothing in this Article shall be construed as abrogating the obligation on members of a community, where production is organised on a communal basis by virtue of law or custom and where the produce or any profit accruing from the sale thereof remain the property of the community, to perform the work demanded by the community by virtue of law or custom.</p>		
<p><b>Article 20</b></p> <p>Collective punishment laws under which a community may be punished for crimes committed by any of its members shall not contain provisions for forced or compulsory labour by the community as one of the methods of punishment.</p>		
<p><b>Article 21</b></p> <p>Forced or compulsory labour shall not be used for work underground in mines.</p>		
<p><b>Article 22</b></p> <p>The annual reports that Members which ratify this Convention agree to make to the International</p>		

ILO C29 “Forced Labour Convention”	Labour Law of PRC	Labour Contract Law of PRC
<p>Labour Office, pursuant to the provisions of Article 22 of the Constitution of the International Labour Organisation, on the measures they have taken to give effect to the provisions of this Convention, shall contain as full information as possible, in respect of each territory concerned, regarding the extent to which recourse has been had to forced or compulsory labour in that territory, the purposes for which it has been employed, the sickness and death rates, hours of work, methods of payment of wages and rates of wages, and any other relevant information.</p>		
<p><b>Article 23</b></p> <p>1. To give effect to the provisions of this Convention the competent authority shall issue complete and precise regulations governing the use of forced or compulsory labour.</p> <p>2. These regulations shall contain, inter alia, rules permitting any person from whom forced or compulsory labour is exacted to forward all complaints relative to the conditions of labour to the authorities and ensuring that such complaints will be examined and taken into consideration.</p>		
<p><b>Article 24</b></p> <p>Adequate measures shall in all cases be taken to ensure that the regulations governing the employment of forced or compulsory labour are strictly applied, either by extending the duties of any existing labour inspectorate which has been established for the inspection of voluntary labour to cover the inspection of forced or compulsory labour or in some other appropriate manner. Measures shall also be taken to ensure that the regulations are brought to the knowledge of persons from whom such labour is exacted.</p>		
<p><b>Article 25</b></p> <p>The illegal exaction of forced or compulsory labour shall be punishable as a penal offence, and it shall be an obligation on any Member ratifying this Convention to ensure that the penalties imposed by law are really adequate and are strictly enforced.</p>		
<p><i>[Note Articles 26-33 include requirements on ratification and state level implementation of C87. They are not relevant in view of forest certification]</i></p>		
<p><b>Article 26</b></p> <p>1. Each Member of the International Labour Organisation which ratifies this Convention undertakes to apply it to the territories placed under its sovereignty, jurisdiction, protection, suzerainty, tutelage or authority, so far as it has the right to accept obligations affecting matters of internal jurisdiction; provided that, if such Member may desire to take advantage of</p>		



ILO C29 “Forced Labour Convention”	Labour Law of PRC	Labour Contract Law of PRC
<p>the provisions of article 35 of the Constitution of the International Labour Organisation, it shall append to its ratification a declaration stating--</p> <ol style="list-style-type: none"> <li>(1) the territories to which it intends to apply the provisions of this Convention without modification;</li> <li>(2) the territories to which it intends to apply the provisions of this Convention with modifications, together with details of the said modifications;</li> <li>(3) the territories in respect of which it reserves its decision.</li> </ol> <p>2. The aforesaid declaration shall be deemed to be an integral part of the ratification and shall have the force of ratification. It shall be open to any Member, by a subsequent declaration, to cancel in whole or in part the reservations made, in pursuance of the provisions of subparagraphs (2) and (3) of this Article, in the original declaration.</p>		
<p><b>Article 27</b></p>		
<p>The formal ratifications of this Convention under the conditions set forth in the Constitution of the International Labour Organisation shall be communicated to the Director-General of the International Labour Office for registration.</p>		
<p><b>Article 28</b></p>		
<ol style="list-style-type: none"> <li>1. This Convention shall be binding only upon those Members whose ratifications have been registered with the International Labour Office.</li> <li>2. It shall come into force twelve months after the date on which the ratifications of two Members of the International Labour Organisation have been registered with the Director-General.</li> <li>3. Thereafter, this Convention shall come into force for any Member twelve months after the date on which the ratification has been registered.</li> </ol>		
<p><b>Article 29</b></p>		
<p>As soon as the ratifications of two Members of the International Labour Organisation have been registered with the International Labour Office, the Director-General of the International Labour Office shall so notify all the Members of the International Labour Organisation. He shall likewise notify them of the registration of ratifications which may be communicated subsequently by other Members of the Organisation.</p>		
<p><b>Article 30</b></p>		
<ol style="list-style-type: none"> <li>1. A Member which has ratified this Convention may denounce it after the expiration of ten years from the date on which the Convention first comes into force, by an act communicated to the Director-General of the International Labour Office for registration. Such denunciation shall not take effect until one year after the date on which it is registered with the International Labour Office.</li> <li>2. Each Member which has ratified this Convention and which does not, within the year following the expiration of the period of ten years mentioned in the preceding paragraph, exercise the right of denunciation provided for in this Article, will be bound for another period of five years and, thereafter, may denounce this Convention at the expiration of each period of five years under the terms provided for in this Article.</li> </ol>		
<p><b>Article 31</b></p>		
<p>At such times as it may consider necessary the Governing Body of the International Labour Office shall present to the General Conference a report on the working of this Convention</p>		

ILO C29 “Forced Labour Convention”	Labour Law of PRC	Labour Contract Law of PRC
and shall examine the desirability of placing on the agenda of the Conference the question of its revision in whole or in part.		
<b>Article 32</b>		
<p>1. Should the Conference adopt a new Convention revising this Convention in whole or in part, the ratification by a Member of the new revising Convention shall ipso jure involve denunciation of this Convention without any requirement of delay, notwithstanding the provisions of Article 30 above, if and when the new revising Convention shall have come into force.</p> <p>2. As from the date of the coming into force of the new revising Convention, the present Convention shall cease to be open to ratification by the Members.</p> <p>3. Nevertheless, this Convention shall remain in force in its actual form and content for those Members which have ratified it but have not ratified the revising convention.</p>		
<b>Article 33</b>		
The French and English texts of this Convention shall both be authentic.		

## 2. C87 - Freedom of Association and Protection of the Right to Organise Convention

ILO C87 “Freedom of Association and Protection of the Right to Organise Convention”	Labour Law of PRC	Trade Union Law of PRC
<b>PART I. FREEDOM OF ASSOCIATION</b>		
<b>Article 1</b>		
<p>Each Member of the International Labour Organisation for which this Convention is in force undertakes to give effect to the following provisions.</p>		<p>Article 2 Trade unions are mass organizations <u>formed by the working classes of their own free will</u>.</p> <p>The All-China Federation of Trade Unions and all of its trade union organizations shall represent the interests of the employees and protect the legal rights and interests of the employees.</p>
<b>Article 2</b>		
<p>Workers and employers, without distinction whatsoever, shall have the <u>right to establish</u> and, subject <u>only to the rules of the organisation</u> concerned, to <u>join organisations</u> of their own choosing without previous authorisation.</p>	<p>Article 7 Laborers shall have the <u>right to participate in and organize trade unions</u> in accordance with the law.</p> <p>Trade unions shall represent and safeguard the legitimate rights and</p>	<p>Article 3 All laborers doing physical or mental work in enterprises, public institutions and government organs within Chinese territory who earn their living primarily from wages shall have</p>

ILO C87 “Freedom of Association and Protection of the Right to Organise Convention”	Labour Law of PRC	Trade Union Law of PRC
	<p>interests of laborers , and independently conduct their activities in accordance with the law.</p>	<p>the <u>right to participate in and form trade union organizations pursuant to the law</u>, regardless of their nationalities, races, sexes, occupations, religious beliefs or educations. No organization or individual may hinder them from doing so or restrict them.</p>
<p><b>Article 3</b></p> <p>1. Workers' and employers' organisations shall have the right to draw up their <u>constitutions and rules</u>, to elect their representatives in full freedom, to organise their administration and activities and to formulate their programmes.</p> <p>2. The public <u>authorities shall refrain from any interference</u> which would restrict this right or impede the lawful exercise thereof.</p>		<p>Article 9 Trade union organizations at all levels shall be established in accordance with the principle of democratic centralism.</p> <p>Trade union committees at all levels shall be elected by their <u>general assemblies</u> or representative assemblies. The close relatives of the major principals of an enterprise may not be elected as the members of the basic-level trade union committee of that enterprise.</p> <p>Trade union committees at all levels shall be responsible to and shall submit work reports to general assemblies or representative assemblies at their respective levels and shall be subject to their supervision.</p> <p>Trade union general assemblies and representative assemblies shall have</p>

ILO C87 “Freedom of Association and Protection of the Right to Organise Convention”	Labour Law of PRC	Trade Union Law of PRC
		<p>the right to change or dismiss their elected representatives or committee members.</p> <p>Trade union organizations at the higher level shall lead the trade union organizations at the lower level.</p>
<p><b>Article 4</b></p> <p>Workers' and employers' organisations <u>shall not be liable to be dissolved or suspended by administrative authority.</u></p>		
<p><b>Article 5</b></p> <p>Workers' and employers' organisations shall have the right to establish and <u>join federations and confederations</u> and any such organisation, federation or confederation shall have the right to affiliate with international organisations of workers and employers.</p>		
<p><b>Article 6</b></p> <p>The provisions of Articles 2, 3 and 4 hereof apply to federations and confederations of workers' and employers' organisations.</p>		
<p><b>Article 7</b></p> <p>The acquisition of legal personality by workers' and employers' organisations, federations and confederations shall not be made subject to conditions of such a character as to restrict the application of the provisions of Articles 2, 3 and 4 hereof.</p>		
<p><b>Article 8</b></p> <p>1. In <u>exercising the rights provided</u> for in this Convention workers and employers and their respective organisations, like other persons or organised collectivities, shall <u>respect the law of the land.</u></p> <p>2. The law of the land shall not be such as to impair, nor shall it be so applied as to impair, the guarantees provided for in this Convention.</p>		<p>Article 4 Trade unions must abide by and safeguard the Constitution and use the Constitution as the standard for their basic activities, focus on the economic development, adhere to the socialist road and people's democratic dictatorship, insist on the leadership of</p>

ILO C87 “Freedom of Association and Protection of the Right to Organise Convention”	Labour Law of PRC	Trade Union Law of PRC
		<p>the Chinese Communist Party and the guidance of Marxism Leninism, Mao Zedong Thought and Deng Xiaoping Theory, and persevere in reform and opening to the outside world, and <u>the trade union work shall be carried out independently and voluntarily in accordance with the Constitution of Trade Unions.</u></p> <p>The trade union national representative assembly shall formulate or amend the Constitution of the All-China Federation of Trade Unions, which shall not be in conflict in any way with China's Constitution and laws.</p> <p><u>The State shall protect the legal rights and interests of trade unions</u> and any infringement of these rights and interests shall be prohibited.</p> <p>Many other articles of the Trade Union Law stipulate this aspect.</p>
<p><b>Article 9</b></p> <p>1. The extent to which the guarantees provided for in this Convention shall apply to the armed forces and the police shall be determined by national laws or regulations.</p> <p>2. In accordance with the principle set forth in paragraph 8 of Article 19 of the Constitution of the International Labour Organisation the ratification of this Convention by any Member shall not be</p>		

ILO C87 “Freedom of Association and Protection of the Right to Organise Convention”	Labour Law of PRC	Trade Union Law of PRC
deemed to affect any existing law, award, custom or agreement in virtue of which members of the armed forces or the police enjoy any right guaranteed by this Convention.		
<b>Article 10</b> In this Convention the term <i>organisation</i> means any organisation of workers or of employers for furthering and defending the interests of workers or of employers.		
<b>PART II. PROTECTION OF THE RIGHT TO ORGANISE</b>		
<b>Article 11</b> Each Member of the International Labour Organisation for which this Convention is in force undertakes to take all necessary and appropriate measures to ensure that workers and employers may exercise freely the right to organise.		
<b>PART III. MISCELLANEOUS PROVISIONS</b> [Note the Parts III and IV include requirements on ratification and state level implementation of C87. They are not relevant in view of forest certification]		
<b>Article 12</b> 1. In respect of the territories referred to in Article 35 of the Constitution of the International Labour Organisation as amended by the Constitution of the International Labour Organisation Instrument of Amendment 1946, other than the territories referred to in paragraphs 4 and 5 of the said article as so amended, each Member of the Organisation which ratifies this Convention shall communicate to the Director-General of the International Labour Office with or as soon as possible after its ratification a declaration stating: <ol style="list-style-type: none"> <li>(a) the territories in respect of which it undertakes that the provisions of the Convention shall be applied without modification;</li> <li>(b) the territories in respect of which it undertakes that the provisions of the Convention shall be applied subject to modifications, together with details of the said modifications;</li> <li>(c) the territories in respect of which the Convention is inapplicable and in such cases the grounds on which it is inapplicable;</li> <li>(d) the territories in respect of which it reserves its decision.</li> </ol> 2. The undertakings referred to in subparagraphs (a) and (b) of paragraph 1 of this Article shall be deemed to be an integral part of the ratification and shall have the force of ratification. 3. Any Member may at any time by a subsequent declaration cancel in whole or in part any reservations made in its original declaration in virtue of subparagraphs (b), (c) or (d) of paragraph 1 of this Article. 4. Any Member may, at any time at which the Convention is subject to denunciation in accordance with the provisions of Article 16, communicate to the Director-General a declaration modifying in any other respect the terms of any former declaration and stating the present position in respect of such territories as it may specify.		
<b>Article 13</b> 1. Where the subject-matter of this Convention is within the self-governing powers of any non-metropolitan territory, the Member responsible for the international relations of that		

ILO C87 “Freedom of Association and Protection of the Right to Organise Convention”	Labour Law of PRC	Trade Union Law of PRC
<p>territory may, in agreement with the government of the territory, communicate to the Director-General of the International Labour Office a declaration accepting on behalf of the territory the obligations of this Convention.</p> <p>2. A declaration accepting the obligations of this Convention may be communicated to the Director-General of the International Labour Office:</p> <p style="padding-left: 40px;">(a) by two or more Members of the Organisation in respect of any territory which is under their joint authority; or</p> <p style="padding-left: 40px;">(b) by any international authority responsible for the administration of any territory, in virtue of the Charter of the United Nations or otherwise, in respect of any such territory.</p> <p>3. Declarations communicated to the Director-General of the International Labour Office in accordance with the preceding paragraphs of this Article shall indicate whether the provisions of the Convention will be applied in the territory concerned without modification or subject to modifications; when the declaration indicates that the provisions of the Convention will be applied subject to modifications it shall give details of the said modifications.</p> <p>4. The Member, Members or international authority concerned may at any time by a subsequent declaration renounce in whole or in part the right to have recourse to any modification indicated in any former declaration.</p> <p>5. The Member, Members or international authority concerned may, at any time at which this Convention is subject to denunciation in accordance with the provisions of Article 16, communicate to the Director-General a declaration modifying in any other respect the terms of any former declaration and stating the present position in respect of the application of the Convention.</p>		
<b>PART IV. FINAL PROVISIONS</b>		
<b>Article 14</b>		
The formal ratifications of this Convention shall be communicated to the Director-General of the International Labour Office for registration.		
<b>Article 15</b>		
<p>1. This Convention shall be binding only upon those Members of the International Labour Organisation whose ratifications have been registered with the Director-General.</p> <p>2. It shall come into force twelve months after the date on which the ratifications of two Members have been registered with the Director-General.</p> <p>3. Thereafter, this Convention shall come into force for any Member twelve months after the date on which its ratifications has been registered.</p>		
<b>Article 16</b>		
<p>1. A Member which has ratified this Convention may denounce it after the expiration of ten years from the date on which the Convention first comes into force, by an act communicated to the Director-General of the International Labour Office for registration. Such denunciation shall not take effect until one year after the date on which it is registered.</p> <p>2. Each Member which has ratified this Convention and which does not, within the year following the expiration of the period of ten years mentioned in the preceding paragraph, exercise the right of denunciation provided for in this Article, will be bound for another period of ten years and, thereafter, may denounce this Convention at the expiration of each period of ten years under the terms provided for in this Article.</p>		
<b>Article 17</b>		

ILO C87 “Freedom of Association and Protection of the Right to Organise Convention”	Labour Law of PRC	Trade Union Law of PRC
<p>1. The Director-General of the International Labour Office shall notify all Members of the International Labour Organisation of the registration of all ratifications, declarations and denunciations communicated to him by the Members of the Organisation.</p> <p>2. When notifying the Members of the Organisation of the registration of the second ratification communicated to him, the Director-General shall draw the attention of the Members of the Organisation to the date upon which the Convention will come into force.</p>		
<p><b>Article 18</b></p>		
<p>The Director-General of the International Labour Office shall communicate to the Secretary-General of the United Nations for registration in accordance with Article 102 of the Charter of the United Nations full particulars of all ratifications, declarations and acts of denunciation registered by him in accordance with the provisions of the preceding articles.</p>		
<p><b>Article 19</b></p>		
<p>At such times as it may consider necessary the Governing Body of the International Labour Office shall present to the General Conference a report on the working of this Convention and shall examine the desirability of placing on the agenda of the Conference the question of its revision in whole or in part.</p>		
<p><b>Article 20</b></p>		
<p>1. Should the Conference adopt a new Convention revising this Convention in whole or in part, then, unless the new Convention otherwise provides:</p> <p style="padding-left: 40px;">(a) the ratification by a Member of the new revising Convention shall ipso jure involve the immediate denunciation of this Convention, notwithstanding the provisions of Article 16 above, if and when the new revising Convention shall have come into force;</p> <p style="padding-left: 40px;">(b) as from the date when the new revising Convention comes into force this Convention shall cease to be open to ratification by the Members.</p> <p>2. This Convention shall in any case remain in force in its actual form and content for those Members which have ratified it but have not ratified the revising Convention.</p>		
<p><b>Article 21</b></p>		
<p>The English and French versions of the text of this Convention are equally authoritative.</p>		

### 3. C98 - Right to Organise and Collective Bargaining Convention

ILO C98 “Right to Organise and Collective Bargaining”	Labour Law of PRC	Trade Union Law of PRC
<p><b>Article 1</b></p>		
<p>1. Workers shall enjoy <u>adequate protection against acts of anti-union discrimination in respect of their employment.</u></p> <p>2. Such protection shall apply more particularly in respect of acts calculated to--</p>	<p>Article 7 Laborers <u>shall have the right to participate in and organize trade unions in accordance with the law.</u></p> <p>Trade unions shall represent and</p>	<p>Article 3 All laborers doing physical or mental work in enterprises, public institutions and government organs within Chinese territory who earn their</p>



ILO C98 “Right to Organise and Collective Bargaining”	Labour Law of PRC	Trade Union Law of PRC
<p>(a) make the employment of a worker subject to the condition that he shall not join a union or shall relinquish trade union membership;</p> <p>(b) cause the dismissal of or otherwise prejudice a worker by reason of union membership or because of participation in union activities outside working hours or, with the consent of the employer, within working hours.</p>	<p>safeguard the legitimate rights and interests of laborers, and independently conduct their activities in accordance with the law.</p> <p>Article 8 Laborers <u>shall</u>, through the assembly of staff and workers or their congress, or other forms in accordance with the provisions of laws, rules and regulations, <u>take part in democratic management</u> or consult with the employing units on an equal footing about protection of the legitimate rights and interests of laborers.</p>	<p>living primarily from wages <u>shall have the right to participate in and form trade union</u> organizations pursuant to the law, regardless of their nationalities, races, sexes, occupations, religious beliefs or educations. <u>No organization or individual may hinder them from doing so or restrict them.</u></p>
<p><b>Article 2</b></p> <p>1. Workers' and employers' organisations shall enjoy adequate protection against any acts of interference by each other or each other's agents or members in their establishment, functioning or administration.</p> <p>2. In particular, <u>acts</u> which are designed to promote the <u>establishment of workers' organisations under the domination of employers or employers' organisations</u>, or to support workers' organisations by financial or other means, with the object of placing such organisations under the control of employers or employers' organisations, <u>shall be deemed to constitute acts of interference</u> within the meaning of this Article.</p>	<p>Article 8 Laborers shall, through the assembly of staff and workers or their congress, or other <u>forms in accordance with the provisions of laws, rules and regulations</u>, <u>take part in democratic management</u> or consult with the <u>employing units</u> on an equal footing about protection of the legitimate rights and interests of laborers.</p>	<p>Article 9 Trade union organizations at all levels shall be established in accordance with the <u>principle of democratic centralism.</u></p> <p>Trade union committees at all levels shall be <u>elected by their general assemblies</u> or <u>representative assemblies</u>. The close relatives of the major principals of an enterprise may not be elected as the members of the basic-level trade union committee of that enterprise.</p> <p>Trade union committees at all levels shall be responsible to and shall submit</p>

ILO C98 “Right to Organise and Collective Bargaining”	Labour Law of PRC	Trade Union Law of PRC
		<p>work reports to general assemblies or representative assemblies at their respective levels and shall be subject to their supervision.</p> <p>Trade union general assemblies and representative assemblies shall have the <u>right to change or dismiss their elected representatives or committee members.</u></p> <p>Trade union organizations at the higher level shall lead the trade union organizations at the lower level.</p>
<p><b>Article 3</b>  <u>Machinery appropriate to national conditions shall be established, where necessary, for the purpose of ensuring respect for the right to organise as defined in the preceding Articles.</u></p>		<p>Article 4 Trade unions must <u>abide by and safeguard the Constitution and use the Constitution as the standard for their basic activities,</u> focus on the economic development, adhere to the socialist road and people's democratic dictatorship, insist on the leadership of the Chinese Communist Party and the guidance of Marxism Leninism, Mao Zedong Thought and Deng Xiaoping Theory, and persevere in reform and opening to the outside world, and the trade union work shall be carried out independently and voluntarily in accordance with the Constitution of</p>

ILO C98 “Right to Organise and Collective Bargaining”	Labour Law of PRC	Trade Union Law of PRC
		<p>Trade Unions.</p> <p>The <u>trade union national representative assembly</u> shall formulate or amend the <u>Constitution of the All-China Federation of Trade Unions</u>, which shall not be in conflict in any way with China's Constitution and laws.</p> <p>The <u>State shall protect the legal rights and interests of trade unions and any infringement of these rights and interests shall be prohibited.</u></p>
<p><b>Article 4</b></p> <p>Measures appropriate to national conditions shall be taken, where necessary, to encourage and promote <u>the full development and utilisation of machinery for voluntary negotiation between employers or employers' organisations and workers' organisations</u>, with a view to the regulation of terms and conditions of employment by means of collective agreements.</p>		<p>Article 5 <u>Trade unions shall organize and educate employees to exercise their democratic rights</u> pursuant to the provisions of China's Constitution and laws, to play their role as the nation's master, participate through various channels and formats in the management of national affairs, economic and cultural institutions and social matters, assist the people's governments in their work, uphold the leadership of the working classes and support the worker-peasant alliance which forms the basis of the people's democratic dictatorship of socialist</p>

ILO C98 “Right to Organise and Collective Bargaining”	Labour Law of PRC	Trade Union Law of PRC
		state power.
<b>[Articles 5-16 define ratification and state level implementation procedures. They are not relevant in certified forest management]</b>		
<b>Article 5</b>		
<p>1. The extent to which the guarantees provided for in this Convention shall apply to the armed forces and the police shall be determined by national laws or regulations.</p> <p>2. In accordance with the principle set forth in paragraph 8 of Article 19 of the Constitution of the International Labour Organisation the ratification of this Convention by any Member shall not be deemed to affect any existing law, award, custom or agreement in virtue of which members of the armed forces or the police enjoy any right guaranteed by this Convention.</p>		
<b>Article 6</b>		
This Convention does not deal with the position of public servants engaged in the administration of the State, nor shall it be construed as prejudicing their rights or status in any way.		
<b>Article 7</b>		
The formal ratifications of this Convention shall be communicated to the Director-General of the International Labour Office for registration.		
<b>Article 8</b>		
<p>1. This Convention shall be binding only upon those Members of the International Labour Organisation whose ratifications have been registered with the Director-General.</p> <p>2. It shall come into force twelve months after the date on which the ratifications of two Members have been registered with the Director-General.</p> <p>3. Thereafter, this Convention shall come into force for any Member twelve months after the date on which its ratification has been registered.</p>		
<b>Article 9</b>		
<p>1. Declarations communicated to the Director-General of the International Labour Office in accordance with paragraph 2 of Article 35 of the Constitution of the International Labour Organisation shall indicate --</p> <ul style="list-style-type: none"> <li>(a) the territories in respect of which the Member concerned undertakes that the provisions of the Convention shall be applied without modification;</li> <li>(b) the territories in respect of which it undertakes that the provisions of the Convention shall be applied subject to modifications, together with details of the said modifications;</li> <li>(c) the territories in respect of which the Convention is inapplicable and in such cases the grounds on which it is inapplicable;</li> <li>(d) the territories in respect of which it reserves its decision pending further consideration of the position.</li> </ul> <p>2. The undertakings referred to in subparagraphs (a) and (b) of paragraph 1 of this Article shall be deemed to be an integral part of the ratification and shall have the force of ratification.</p> <p>3. Any Member may at any time by a subsequent declaration cancel in whole or in part any reservation made in its original declaration in virtue of subparagraph (b), (c) or (d) of paragraph 1 of this Article.</p> <p>4. Any Member may, at any time at which the Convention is subject to denunciation in accordance with the provisions of Article 11, communicate to the Director-General a declaration</p>		

ILO C98 “Right to Organise and Collective Bargaining”	Labour Law of PRC	Trade Union Law of PRC
modifying in any other respect the terms of any former declaration and stating the present position in respect of such territories as it may specify.		
<b>Article 10</b>		
<p>1. Declarations communicated to the Director-General of the International Labour Office in accordance with paragraph 4 or 5 of Article 35 of the Constitution of the International Labour Organisation shall indicate whether the provisions of the Convention will be applied in the territory concerned without modification or subject to modifications; when the declaration indicates that the provisions of the Convention will be applied subject to modifications, it shall give details of the said modifications.</p> <p>2. The Member, Members or international authority concerned may at any time by a subsequent declaration renounce in whole or in part the right to have recourse to any modification indicated in any former declaration.</p> <p>3. The Member, Members or international authority concerned may, at any time at which this Convention is subject to denunciation in accordance with the provisions of Article 11, communicate to the Director-General a declaration modifying in any other respect the terms of any former declaration and stating the present position in respect of the application of the Convention.</p>		
<b>Article 11</b>		
<p>1. A Member which has ratified this Convention may denounce it after the expiration of ten years from the date on which the Convention first comes into force, by an act communicated to the Director-General of the International Labour Office for registration. Such denunciation shall not take effect until one year after the date on which it is registered.</p> <p>2. Each Member which has ratified this Convention and which does not, within the year following the expiration of the period of ten years mentioned in the preceding paragraph, exercise the right of denunciation provided for in this Article, will be bound for another period of ten years and, thereafter, may denounce this Convention at the expiration of each period of ten years under the terms provided for in this Article.</p>		
<b>Article 12</b>		
<p>1. The Director-General of the International Labour Office shall notify all Members of the International Labour Organisation of the registration of all ratifications, declarations and denunciations communicated to him by the Members of the Organisation.</p> <p>2. When notifying the Members of the Organisation of the registration of the second ratification communicated to him, the Director-General shall draw the attention of the Members of the Organisation to the date upon which the Convention will come into force.</p>		
<b>Article 13</b>		
The Director-General of the International Labour Office shall communicate to the Secretary-General of the United Nations for registration in accordance with Article 102 of the Charter of the United Nations full particulars of all ratifications, declarations and acts of denunciation registered by him in accordance with the provisions of the preceding articles.		
<b>Article 14</b>		
At such times as it may consider necessary the Governing Body of the International Labour Office shall present to the General Conference a report on the working of this Convention and shall examine the desirability of placing on the agenda of the Conference the question of its revision in whole or in part.		

ILO C98 “Right to Organise and Collective Bargaining”	Labour Law of PRC	Trade Union Law of PRC
<b>Article 15</b>		
<p>1. Should the Conference adopt a new Convention revising this Convention in whole or in part, then, unless the new Convention otherwise provides,</p> <p>(a) the ratification by a Member of the new revising Convention shall ipso jure involve the immediate denunciation of this Convention, notwithstanding the provisions of Article 11 above, if and when the new revising Convention shall have come into force;</p> <p>(b) as from the date when the new revising Convention comes into force, this Convention shall cease to be open to ratification by the Members.</p> <p>2. This Convention shall in any case remain in force in its actual form and content for those Members which have ratified it but have not ratified the revising Convention.</p>		
<b>Article 16</b>		
The English and French versions of the text of this Convention are equally authoritative.		

#### 4. C105 – Convention Concerning the Abolition of Forced Labor

##### ILO C105 “Convention Concerning the Abolition of Forced Labor”

###### Article 1

Each Member of the International Labour Organisation which ratifies this Convention undertakes to suppress and not to make use of any form of forced or compulsory labour—

- (a) as a means of political coercion or education or as a punishment for holding or expressing political views or views ideologically opposed to the established political, social or economic system;
- (b) as a method of mobilising and using labour for purposes of economic development;
- (c) as a means of labour discipline;
- (d) as a punishment for having participated in strikes;
- (e) as a means of racial, social, national or religious discrimination.

**Labour Law of PRC:** Article 12 Laborers shall not be discriminated against in employment, regardless of their ethnic community, race, sex, or religious belief.

Article 32 A laborer may notify at any time the employing unit of his decision to revoke the labor contract in any of the following circumstances:

- (1) within the probation period;
- (2) where the employing unit forces the laborer to work by resorting to violence, intimidation or illegal restriction of personal freedom; or
- (3) failure on the part of the employing unit to pay labor remuneration or to provide working conditions as agreed upon in the labor contract.

Article 41 The employing unit may extend working hours due to the requirements of its production or business after consultation with the trade union and laborers, but the extended working hour for a day shall generally not exceed one hour; if such extension is called for due to special reasons, the extended hours shall not exceed three hours a day under the condition that the health of laborers is guaranteed. However, the total extension in a month shall not exceed thirty six hours.

Article 43 The employing unit shall not extend working hours of laborers in violation of the provisions of this Law.

Article 93 Where an employing unit forces labourers to operate with risks in violation of the rules and regulations, causing thus major accident of injuries and deaths, and serious consequences, criminal responsibilities of the person in charge shall be investigated according to law.

Article 96 Where an employing unit commits one of the following acts, the person in charge shall be taken by a public security organ into custody for 15 days or less, or fined, given a warning; and criminal responsibilities shall be investigated against the person in charge according to law if the act constitutes a crime;

- (1) to force labourers to work by resorting to violence, intimidation or illegal restriction of personal freedom; or
- (2) humiliating, giving corporal punishment, bating illegally searching or detaining labourers.

*[Indufor comment: the requirements of Labour Law apply to free labour working on contract – not to forced labor]*



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Appendix 2

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**National Stakeholder Survey on Standard Setting -  
Questionnaire**





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## 利益相关者调查问卷

这份调查问卷是为了收集利益相关者对国家制定《森林认证体系认可计划-PEFC》的看法。本问卷侧重于可持续性森林管理标准制订所使用的应用程序。

此外，《森林认证体系认可计划》还要求标准制订应当对所有感兴趣的利益相关者透明、公开；不同的观点应予以讨论，并形成书面文件，对于认证标准所做出的决定也应有共识。

本调查问卷将发送给所有参与标准制定的各方。我们希望，您能够与他人共同分享您在程序制订方面的看法，以期提升在《森林认证体系认可计划》框架下，这一公正的计划评估的质量和价值。

《森林认证体系认可计划》委员会也开通了网上对这一计划及其制订程序进行一般性咨询的网站。该咨询对任何感兴趣的利益相关者公开，您可以到以下网址了解详情  
[www.pefc.org/standards/endorsement-mutual-recognition/assessments](http://www.pefc.org/standards/endorsement-mutual-recognition/assessments)

### **Stakeholder questionnaire**

This questionnaire is prepared to collect stakeholders' views on the development of national PEFC forest certification scheme. The questionnaire focus on procedures applied in the development of standards for sustainable management of forests.

PEFC requires, among other, that standard development shall be transparent and open to all interested stakeholders; different views shall be discussed and documented and decisions on certification criteria shall be made in consensus.

The questionnaire will be sent to all parties involved in standard setting and we hope you can share your views on the development process and thus improve the quality and value of impartial scheme assessment under the PEFC framework.

PEFC Council has also opened an online general consultation on the scheme and its development process. The consultation is open to any interested party and can be accessed in [www.pefc.org/standards/endorsement-mutual-recognition/assessments](http://www.pefc.org/standards/endorsement-mutual-recognition/assessments)



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## Questionnaire on the Development Forest of Certification Schemes

### 制定森林认证计划的调查问卷

1. **By whom and when were you invited to participate to the development of Chinese standard for PEFC Forest certification?** 关于《森林认证体系认可计划》(以下简称“该计划”)的森林认证，谁，什么时间邀请您参加中国标准的制定？

By whom: 邀请方	Comments 评论
When: 具体时间	Comments 评论

2. **In your view, were all interested parties given the possibility to participate and contribute to the scheme development and revision?** 在您看来，是否所有感兴趣的各方都有可能参与并促进该计划的制定和修订工作？

- if you deem that some parties were neglected or prioritised, please comment 请您做出

评论，如果您认为某些当事人被忽略或者被优先照顾

Yes 是	No 否	Comments 评论

3. **Did the organiser provide you with adequate material to participate in the standard development before and during the process?** 该计划的组织者是否在本程序之前，或者过程中给您提供充足的材料来参与该标准的制定？

Yes 是	No 否	Comments 评论



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4. **Was the development and revision process well planned and structured?** 该计划制定和修正过程是否规划到位和构架合理？

Yes 是	No 否	Comments 评论

5. **Did the process follow procedures or rules that were informed to participants in advance?** 该规划制定和规划过程是否遵循事先知会参与者的有关程序和规则？

Yes 是	No 否	Comments 评论

6. **Were the views and opinions of different parties in standard setting taken into consideration as appropriate during the standard development?** 在标准制定过程中，各方对标准起草的不同观点和意见是否得以适当考虑？

Yes 是	No 否	Comments 评论

7. **Were the criteria (requirements) in the standard agreed on in consensus?** 在标准制定过程中的有关标准（要求）是否达成共识？

Yes 是	No 否	Comments 评论

8. **Did the participating stakeholders represent the range of interests in forest use in your country? If not, which other interests groups should have participated?** 在贵国，各参与利益相关者能否代表森林利用的利益范围？如果不能的话，还有哪些其他的利益团体应该参加？

Yes 是	No 否	Comments and proposals 评论与建议



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9. Were there any dispute settlement procedures in case of conflicting views between members of standard setting working group? 在标准起草工作小组的成员之间，如果发生争执，是否有解决争议的程序？

Yes是	No否	Comments and proposals 评论与建议

10. Do you believe any aspects of the scheme deserve further consideration? 您是否认为该计划还有值得进一步考虑的任何方面？

Yes是	No否	Comments and proposals 评论与建议

- \*Which of the following parties best describes you or your organisation? 以下哪个团体最能够描述您或您的组织？

Yes是	Representing: 代表
	Administration 行政部门
	Authorities 当局
	Environmental non-government organisation 环保性非政府组织
	Forest Industry 林业行业
	Forest owner / manager 林场主/管理公司
	Research institute 研究院/所
	Social non-government organisation 社会性非政府组织
	Trade 贸易
Other其它	Specify: 请注明



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Appendix 3

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**International Consultation**



### **International Consultation**

Two persons representing a certification body and timber product trade provided comments on the CFCS in international consultation organized by the PEFC Council. The comments were duly taken into consideration throughout the assessment and in the discussions during the field visit. Chapter 12 to the report gives a justified summary on how the Consultant addressed the commented issues from the comments in the assessment.

The comments presented below are the opinions presented by replying stakeholders.

### **Comments Received in International Consultation**

#### **1. Standard setting**

Development of the "China forest certification scheme" and especially its standard setting process have failed to comply with the principle of "openness, transparency and multi-stakeholder participation". E. g. despite of a number of attempts our organization was not given an opportunity to engage in or provide any input to the standard development process. Stakeholder meetings arranged by CFCC invited only a close circle of experts and failed to present a wider public opinion.

#### **2. Standard requirements**

To our opinion it is not delivering to the stakeholders expectation in the following main areas:

- 1) Forests of high biological & conservation value do not sufficiently cover all types of forest that have to be managed in a way preserving their values
- 2) Conversion of natural forests is allowed under a number of conditions which make it very likely to happen (and happening) in reality
- 3) The use of pesticides 1A and 1B is allowed when "no viable alternative is available" - shall be restricted under all circumstances
- 4) Traditional rights of local residents including minorities are limited by conditions of "not impacting on the integrity of the forest ecosystem and the fulfillment of forest management targets" which may significantly limit the above rights

#### **3. Difficulties to enforce the ban of GMOs in practice**

The CFCC terms include the PEFC definition of controversial sources and includes reference to GMOs. It should be clearly indicated in the CFCC standards that GMO plantation cannot be CFCC certified as large areas of GMO plantations have been introduced in the field in China, but it is impossible for an auditor to identify in the field GMO trees from non-GMO trees. CFCC should be very clear and explicit as to how this should be evaluated during an audit and if GMO plantations can be CFCC certified.

1. LY/T 1692-2007, Technical Codes for the Importance Evaluation of Genetically-modified Forest Plants and their Products (2007)

It may look like GMO plantations could be certified under the CFCC FM standard but would not be appropriate for CFCC DDS

#### **4. Consideration of legal requirements in CFCS**

VERY IMPORTANT: In the FM standard (part 4) CFCC indicates that international agreements of which China is signatory are just "informative material". Of course this should



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not be the case and these international agreements should be considered as minimum basic certification requirements and not just informative material. The same comment should be made for China Code of Forest Harvesting (LY/T 1646-2005, Codes of Forest Harvesting (2005) which is just considered as informative material. However, this code is the only document in China which sets clear requirements for forestry management and harvesting activities. If this document is not considered as legal requirements, then in practice forestry companies can perform any activity they want as not legal requirement exist to for example control size of clear cut areas, harvesting on steep slopes, buffer zones, etc. All such requirements are only included in this code of forest harvesting and could be totally ignored by most forestry companies. This would open the door to certifying any forestry management activity, even the most controversial ones such as clear cutting over more than 20 ha on very steep slopes of more than 35 degrees, without the need to establish any buffer zones alongside water courses.

Most documents listed in appendix C of the FM standard are essential requirements that should not be listed as informative material but should be set as clear management requirements if CFCC certification is to meet basic forest management sustainability standards and to ensure that the credibility of PEFC is maintained. The Forest Law of the People's Republic of China is clearly not specific enough to ensure appropriate and sustainable management practices.

## **5. Conversion of forest land**

Regarding the conversion of natural forest to plantation, timber coming from such plantation would not be in compliance with CFCC DDS. However, this is happening everywhere in China and it is even encouraged by Chinese authorities. CFCC FM standards appears to allow conversion under the terminology AFFORESTATION and with the restoration of "degraded forest systems":

CFCS: 3.5.6.6 Promoting the conversion of abandoned land and treeless land into forest land shall be taken into consideration. (abandoned land may just be natural ecosystem or natural forest which has not been managed for many years, ... or??)

It also clearly allows conversion under section 3.5.8.2 as conversion is clearly encouraged by Chinese authorities in many regions of China. So how timber from such plantation can be excluded from CFCC DDS. This will not be possible in practice as it is not possible to know throughout the supply chain whether a specific piece of Eucalyptus is coming from an area that was converted.

CFCS: 3.5.8.2 Conversion of forests to other types of land use, including conversion of primary forests to forest plantations, shall not occur unless justified by circumstances where the conversion:

- 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 stakeholders;
- entails a small proportion of the forest type;
- does not have negative impacts on the following:
  - threatened forest ecosystems;
  - culturally and socially significant areas;
  - important habitats of threatened species;
  - other protected areas; and
- contributes to long-term ecological, economic and social benefits, such as improvement of low productive secondary forests.



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## **6. Information dissemination is not functioning as described in CFCS documentation**

Currently CFCC does not comply with its own Pilot Testing procedure as it has not published any findings from all the pilot testing already performed of its FM standard over a million of ha. While the procedure part 3 indicates that reports of pilot testing are published on CFA website, it is not indicated where exactly such report can be found and these field testing should be published on CFCC website rather than the website of another organisation:

CFCS: (3) Pilot testing

A pilot testing report to describe the process and major findings as well as a revised standard draft after the completion of pilot testing shall be made public.

PEFC should ensure that CFCC complies with its own procedures before final recognition, ensuring that all relevant information is publicly available and can be easily found on CFCC website.

## **7. Arbitration procedures are fully controlled by CFCC**

The arbitrary Committee proposed by CFCC is made of 3 members selected by CFCC and is an integral part of CFCC. This clearly cannot guarantee any independence in the decisions taken and in the review of CFCC decisions. This should be reviewed.

CFCC Dispute resolution mechanism in document part 2 is totally different and not aligned with CFCC arbitrary Committee procedures for dispute resolution in document part 1. It looks like both dispute resolution procedures are totally different while addressing the same objective. This should be corrected in the final version of CFCC documented procedures.

## **8. Compatibility of CFCS and PEFC chain of custody requirements**

In terms of the CFCC COC standard, part on CFCC DDS system shall be reviewed to ensure consistency.

For example, CFCC DDS requires that GMO timber be excluded, but CFCC FM standard does not refer to GMO and includes the following legislation regarding GMO

It is also interesting to see that CFCC refers to Transparency International corruption Index as an indicator of controversial sources when China's CPI is not very high. Not sure why CFCC would want to consider all timber being grown in China as being from controversial sources based on such an index. It does not look like the author of the document fully understands the implication for the timber industry in China.

I think that it is important to raise these major issues at an early stage so that they are clearly addressed before PEFC approves the CFCC scheme in order to ensure the credibility of both CFCC and PEFC schemes during implementation.

## **9. PEFC should ensure that CFCC certification is effectively open to foreign CBs and notification procedures shall be transparent and fair**

The accreditation procedure as described in CFCC documentation part 1 is not clear and it is not clear how this accreditation procedure will work in practice.

While CFCC indicates that CFCC notification will be open (section 5.2 The CFCC notification conditions shall not discriminate against certification bodies or create trade obstacles.), it is not clearly indicated in the procedure how the registration process with CNCA and accreditation process with CNAS will also be open and will not discriminate against foreign CBs. It is also indicated in section 5.3 CFCC notification issuance procedures that appeals against CFCC will be directly considered by CFCC itself and that CFCC decision will be final. Therefore it is not clear whether such appeal procedure is really independent.





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Under section 5.5 Validity of the CFCC notification it is not clear under what conditions the CFCC notification can be terminated. The CFCC termination procedure is not clear and not detailed and may be open to abuse without any recourse from affected certification body. Additional guidance and clear requirements shall be specified in this procedure to ensure that only fair and appropriate decisions are taken.

In the proposed contract template CFCC refers to immediate termination or suspension without any clear guidance when such actions may be taken. The wording is very open to many different interpretation and not appropriate for such contract template as no recourse appears to be considered and it looks like any decision can be taken from CFCC without any clear justification. Conditions for suspension or termination are not clearly defined.

Proposed fee schedule could not be found in the documentation presented by CFCC. Such fee schedule should be included.

Current certification body (Zhong Lin Tian He) was established by the State Forest Administration and being a state owned organization cannot secure impartiality of audits of state-owned Forest Bureaus.

A commentator stated that *based on above comments we recommend PEFC not to endorse CFCC in its current form.*



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Appendix 4

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## **Consideration of Comments of the Panel of Experts**

## Panel of Experts review on Assessment report of China Forest Certification Scheme

## Detailed comments

Report chapter / page	PoE member	Consultant's report statement	PoE member comment	Consultant's response
			<b>Specific content related comments</b>	
Preface, 3 <sup>rd</sup> para	ME		Are the NGBs considered as 3 <sup>rd</sup> parties with respect to the PEFC Council being the client? What do PEFC's 'auditors and accountants' have to do with a report on scheme endorsement?	Sentence _ No other third party shall have any right to use or rely upon the report for any purpose. Deleted
1.1, 3 <sup>rd</sup> para., last sentence	ME		Isn't it the CFCC rather than the CFCS!	CFCS changed to CFCC
1.1, 4 <sup>th</sup> para., 2 <sup>nd</sup> last sentence			This would appear to be after Indufor commenced its evaluation of the CFCS	In March and April 2013, <i>based on field mission observation and draft report</i> , CFCC made some changes to the Scheme documentation to ensure the compliance with PEFC requirements. text in italic added to the sentence to explain the fact the CFCC made a few changes to CFCS as clarifications and corrective actions to the observations made during the assessment.
2 Recommendation, 1 <sup>st</sup> para.	ME		The use of 'will' – the recommendation is the PEFC Board to consider in its recommendation to the PEFC GA for its vote on endorsement – correct?	Changed to <i>Indufor suggests that PEFC Board will recommend the endorsement of the China Forest Certification Scheme (CFCS).</i>
2 Recommendation, 2 <sup>nd</sup> para.			Are the 'comments' to be conditions for the CFCC and the CFCS? If so, it's a conditional endorsement which provides a specific time period to complete requirements for full endorsement	These comments are not conditions, but they provide the Board relevant information on the limitations of CFCS. The PEFC Board needs to be informed on the issues and be able to address them in endorsement and in stakeholder communication

Report chapter / page	PoE member	Consultant's report statement	PoE member comment	Consultant's response
			<b>Specific content related comments</b>	
				No change to report
2.1 / 4	Cz	"The standard does not take into consideration all aspects relevant to intensive plantation management or bamboo growing and some standard requirements are not applicable as such to these management regimes. However, the standard fully complies with PEFC requirements on these aspects (see sec 7.2)."	I understand that the intensive plantation and bamboo need further amendments to comply and this standard for the certification of natural forests and extensively managed, long rotation planted forests does fully comply. The wording in the last sentence „the standard fully complies“ is therefore unclear to the reader as he / she does not know which standard is referred to.	The last sentence is moved after the first sentence: CFCS standard for forest management is fully applicable to the certification of natural forests and extensively managed, long rotation planted forests. The standard fully complies with PEFC requirements.
2.3 / 4 3.6 / 8 9 / 46		<p>Chapter 2.3 / p. 4 states:</p> <p>CFCS requires that users of PEFC logo apply PEFC Logo use rules but the scheme does not make an explicit reference to these rules and the rules are not readily available for local industry. It is a recommendation to clearly indicate that CFCS forest certification provides a pathway for the use of PEFC or/and CFCS labels and both labels have specific rules</p> <p><u>Chapter 3.6 / p. 8 states:</u> In April 2013 CFCC amended the general rules for logo use and required compliance with PEFC Logo Usage Rules (see Chapter 9.).</p> <p>CFCC does not specify the transition procedures where CFCS certified entities become PEFC certified and eligible to apply for the use of PEFC logo, nor does it make any reference to the adoption of PEFC logo use</p>	<p>The explanations and conclusions concerning the logo requirements are unclear concerning the following points:</p> <p>Although there is no reference to the rules (2.3), several specifications are missing (3.6) and the documents are not fully compatible (9) the conclusion is that the provisions conform. Why?</p> <p>Chapter 9 states that the provisions conform under a certain condition. This indicates a (minor) non-conformity. In the summary in 2.3 there is only a recommendation given. Why not a minor non-conformity so that this issue has to be solved in a defined period of time?</p> <p>2.3 states that the rules are not available for local industry, chapter 9 states that they are available in Chinese language. What is correct?</p>	<p>Inconsistency between the comment formulation and assessment result in Chapter 3.6.</p> <p>Not clear</p>

Report chapter / page	PoE member	Consultant's report statement	PoE member comment	Consultant's response
			<b>Specific content related comments</b>	
		<p>rules.</p> <p>The CFCS provisions for the use of PEFC logo conform to PEFC requirements.</p> <p><u>Chapter 9 / p. 46 states:</u></p> <ul style="list-style-type: none"> <li>- The document includes logo-use rules for CFCC label, which follow closely the structure and content of PEFC logo use standard, however the documents are not fully compatible</li> <li>- The PEFC logo use rules are not part of the scheme documentation, but they are available in Chinese language.</li> </ul> <p>Conclusion 36: CFCS provisions for the use of PEFC logo conform to the PEFC requirements under the condition that the CFCS make a specific reference to the updated versions of PEFC ST 2001:2008 and that the standard is readily available in Chinese for local industry entitled to use the PEFC logo.</p>		
3.3, 2 <sup>nd</sup> para., last sentence	ME		Its not just 'regulations', isn't it legislation, codes, other instruments as well?	regulations changed to regulatory framework that covers, all legal instruments guiding forest management
3.3, 4 <sup>th</sup> para., 2 <sup>nd</sup> sentence	ME		What have the amendments been made in?	Sentence changed: CFCC provided an explanation on the consideration of these requirements in labour and trade union laws. It also requires that auditors specifically address ILO Conventions in forest management and chain of custody audits (Scheme amendments presented in

Report chapter / page	PoE member	Consultant's report statement	PoE member comment	Consultant's response
			<b>Specific content related comments</b>	
				Appendix 1, Annexes 1 and 2)
3.4, 1 <sup>st</sup> para	ME		Need to close the bracket!	corrected
3.5	ME		There should be appropriate references to the relevant PEFC ST	The assessment initiated and made first reports before PEFC ST 2002:2013 entered into force in May 2013.
3.7, 2 <sup>nd</sup> and 3 <sup>rd</sup> paras., last sentence of each para.	ME		Are these Indufor statements or are they from CFCC documented conditions? Need to differentiate between Indufor comments and CFCC conditions/requirements.	The assessment conclusions are Indufor comments based on CFCS documentation  No change
3.8, 2 <sup>nd</sup> para.	ME		Is there a condition on this if not full conformity? Isn't it ISO 17021 for forest management certification?	CFCS was developed before the issuance of ISO 17021. The new standard will be implemented in due course by accreditation bodies that respect the national standardization and implementation procedures of ISO standards
3.8, 5 <sup>th</sup> para., last sentence	ME		Use of 'will' – how can Indufor be so certain that this will happen? Isn't it 'may' in this situation?	changed to is likely to approve
3.8	ME		Need a final statement as per 3.3 to 3.7 at the end of section on 3.8	The final statement is given in the first sentence in the beginning of the chapter. The wording are "in general" in line is changed to "are in line". Each paragraphe under justifies the conclusion from the different aspects relevant in certification and accreditation process. No change
4.1 / 10	Cz	The table listing the documents	The table lists two times documents with the number II, but there is no number III given. Is this correct or a numbering error?	Standard Development Process and Records was changed from number II to III
5.1, 2 <sup>nd</sup> para., 1 <sup>st</sup> sentence	ME	p 13	Isn't use of CFCS really the forest management standard?	CFCS changed to forest... and chain of custody certification

Report chapter / page	PoE member	Consultant's report statement	PoE member comment	Consultant's response
<b>Specific content related comments</b>				
5.2, 1 <sup>st</sup> para.	ME		Use of 'unitary' – I don't believe is correct, would suggest 'sole'	unitary changed to sole
5.2, 2 <sup>nd</sup> para., last sentence	ME		Use of 'even plan to provide' – I query this as I would see it as 'participate in providing'?	changed to participate in providing
	HK		For the public consultations only months are mentioned, not -as usual the dates in order to trace the essential 60 days (at least!).	The dates of public consultations are presented in the Table 6.2  No change
	HK		p.20 (centre) please list examples of organizations which were invited and participated although not officially registered in China	Examples of invited non registered organisations were discussed during field mission and consultant got an assurance that these organisations were informed on the process and they were either invited or had given the possibility to express their interest to participate. A list of organisations not participating in the process is not appropriate to be included in a public report. No change
Requirement 4.5 / 21	Cz	SDC is responsible in the first hand to arbitrate in case of any disputes in standard setting.  If the process is not successful the CFCC scheme dispute resolution procedures apply.	Do the procedures cover all requirements listed (a, b, c)? This should be more clearly stated in the answer.	The dispute settlement procedures for standard setting are defined in std setting rules and define the procedures to receive a grievance, communicate it with the parties in objective and transparent manner, a concensus decision shall be reached. The description above added to assessment report
	ME		I'm not sure why the grouping of PEFC ST 1003 requirements has been made in this manner. Why not each requirement individually and provide the appropriate evidence and commentary under each requirement	The new PEFC standard is very detailed and includes a lot of repetition. PEFC Council has not given specific guidelines for the structure of the main part of the assessment report, which is the reason consultant need to include a lot of detailed information in the main report.

Report chapter / page	PoE member	Consultant's report statement	PoE member comment	Consultant's response
			<b>Specific content related comments</b>	
				To avoid a full duplicate with the Minimum Requirement Checklist and significant repetition of the justification of scheme compliance the PEFC requirements the were covered with same justifications where grouped together to make the reading more meaningful. The structure can be simplified when PEFC Council provides guidance on the core elements that shall be in the main report and on the elements that can be covered in the Checklist. No change
Requirment 5.2.8 – 5.2.12 / 34	Cz	There is not a full assurance that this applies to the intensive industrial forest plantations.	It is unclear if this last sentence of the para refers to the law (sentence one) or the implementation (sentence 2).	The sentence is removed because also in intensively managed plantations pesticide use is done in cooperation with government forest bureaus.
	ME	p 18	In 6.3.1, there are a number of comments in which the relevant sections of the CFCS document haven't been quoted – this is required in order to verify the evidence that the consultant relied on for conformity assessment	The report presents point by point with exact reference what CFCS requires and in the conclusion the consultants' requirement on the conformity. The original text can be easily verified, but reporting will be extremely long and complicated if the original extracts of all the requirements and consultant's interpretation of them in addition to the conclusion need to be included in the main report. No change
	ME		I'm assuming that in Section 6.2 that this is the document i.e. the forest management standard and the references in brackets are from the document – might be worthwhile indicating this as a general statement for the conformity assessment	
5.3	ME	Is it better to indicate that there is individual and group applicants for forest management		Clear definition of applicant groups or types of applicants gives evidence on the fact that the



Report chapter / page	PoE member	Consultant's report statement	PoE member comment	Consultant's response
			<b>Specific content related comments</b>	
		certification comprised of i – iv and there is no regional applicants?  P 14		scheme is adapted to national conditions and can be implemented. It also provides information on types of certified entities. Current formulation is thus more informative than simple classification of individual or group applicants.  No change
6.2, 1 <sup>st</sup> para. Phase I	ME	p 17	Does it cover both standards or just forest management – see last para. in this section! The 'first standard version' – presume this was a draft which the SRF could work on through multi-stakeholder participation?	Specification "approved the <i>forest management standard</i> " was made to text.
6.2, 3 <sup>rd</sup> para. Phase I			As this was the main standard development, was there any public comment period?	There was public consultation from Oct 1, 2003 to Nov 30, 2003. The consultation periods are explained in the respective chapters in the report No change
6.2, 5 <sup>th</sup> para. Phase II			The first part of the paragraph doesn't gel with the first <b>paragraph of this section</b> . <b>It should be indicated in full – see para. below the Figure 6.2</b>	Sentence: Active personal invitations were made to stakeholders considered as relevant in the <del>mapping</del> changed to <i>standard amendment process</i>
6.3, 1 <sup>st</sup> para., 2 <sup>nd</sup> sentence			Isn't it the various stakeholder groups ie environmental, economic, social, cultural?	The word interest group is commonly used as partly as a synonyme to stakeholder group No change
6.3, 2 <sup>nd</sup> para., 2 <sup>nd</sup> sentence			The use of 'possibility' – I would use 'opportunity'. The use of 'access' – does this mean membership?	possibility changed to opportunity
6.3, 2 <sup>nd</sup> para., last sentence			I'm not sure of what is being said here. Is it – provided reasons for choosing membership of the SAC?	The decision on nomination of members to SAC was made by CFCC, but evidence collected from information material and interviews indicated the CFCC was not

Report chapter / page	PoE member	Consultant's report statement	PoE member comment	Consultant's response
			<b>Specific content related comments</b>	
				restrictive in appointing the members to SAC. . International consultation also addressed this issue and it was given true consideration in the assessment. No change
6.3.1, PEFC ST 4.2, CFCS process			Doesn't this one require an indication that CFCS has its standard setting procedures available publicly e.g. on a website?	Added the following clarification: all stages of the development shall be publicly available (sec 3.1.3)
6.3.1, PEFC ST 4.4, CFCS process 1 <sup>st</sup> para. under Table 6.1			In my count there is 1 + 1 + 2 + 3 + 1 = 8, it doesn't equal 9!	Change: out of the nine members one represented research, one non-governmental organisation, two government organisations and <i>four</i> forest industry <i>or trade organisation</i> and one consumer representative.
6.3.1, PEFC ST 4.5, CFCS procedure		OLI JO STD laadinta dispute p 21	If this is taken as a 'procedure', I am comfortable. The 'scheme dispute resolution procedures' would now apply	
6.3, 2 <sup>nd</sup> para., 2 <sup>nd</sup> sentence			The use of 'possibility' – I would use 'opportunity'. The use of 'access' – does this mean membership?	
6.3, 2 <sup>nd</sup> para., last sentence		OLI JO STD laadinta dispute p 21	I'm not sure of <b>what is being said here. Is it – provided reasons for choosing</b> membership of the SAC?	
6.3.1, PEFC ST 4.6			Is the middle sentence in fact the 'CFCS process'?	Title <i>CFCS process</i> added in front of the middle sentence
6.3.2, PEFC ST 5.3 & 5.4, CFCS process			1 <sup>st</sup> dot pt - What is meant by 'network'? Need to indicate generally who the 'personal invitations' were sent to? 2 <sup>nd</sup> dot pt – what or who is in the 'relevant meetings'?	Standard Development Process Records Annex 3, lists candidates to SRF – who amongst other received personal invitation. Interviews gave evidence that invitations were sent to a broad range of relevant stakeholders. And it is more important that any party willing but not personally invited has access to the process. Annex list was added to the list of references.

Report chapter / page	PoE member	Consultant's report statement	PoE member comment	Consultant's response
<b>Specific content related comments</b>				
6.3.2, PEFC ST 5.5, CFCS process			1 <sup>st</sup> dot pt – I don't believe all the information in brackets at end of dot pint is required 2 <sup>nd</sup> dot pt – are 'proposals' in fact the drafts? Last dot pt – I don't understand this comment!	Sentences and bracket were corrected to make logical meaning.
6.3.3, PEFC ST 5.6, CFCS process			Is the 'first and amended' in fact Phase I and II? If so, keep consistent language.	The sentence amended with reference to the respective Phases. The first version (Phase I) and amended version (Phase II) of forest management ...
6.3.5, PEFC ST 5.8-5.12, CFCS process			1 <sup>st</sup> dot point – does this cover consensus on the SRF and SAC?	As indicated in the report p. 10 Standard Development Rule was developed for the standard amendment, thus it applies to the SAC. PEFC did not require written rules during the SRF standard setting work. No change
6.4, PEFC ST 4.1.3-4			3 <sup>rd</sup> dot pt – presume that this is dealing with the certification body	Specification made in sentence: Group entity is a contracting party to a certification body and it represents group participants
7.2, C1, 5.1.1-3			2 <sup>nd</sup> dot point – 2 <sup>nd</sup> sentence – use of 'policy' what in fact is 'policy' in this context? Is it just generically relevant Chinese policies?	Speicification made: At the same time relevant national policies support afforestation of un-forested land and management of short and long rotation planted forests
7.2, C2, 5.2.8-12			Conclusion – this needs re-phrasing to be compatible with the language used in other Conclusions	Conclusion reformulated: Conclusion 21: CFCS SFM standard and CFCC Supplementary Requirements When Assessing "Forest certification in China --- Forest management" specifying chemical use conforms to PEFC requirements on chemical use." and CFCC Supplementary Requirements When Assessing "Forest certification in China - -- Forest management" (issued August 14, 2013) added to the list of CFCS requirements
7.2, C6, 5.6.1,2,6,14	ME		Last sentence – See 6.3.4 – are they mentioned in that section's response?	

Report chapter / page	PoE member	Consultant's report statement	PoE member comment	Consultant's response
<b>Specific content related comments</b>				
7.2, C6, 6.8, 5.6.11-13	ME		4 <sup>th</sup> dot pt – presumably those that haven't been ratified? Table 7.1 – for ILO 169, what is the * for as there is no text or footnote linked to it?	Supplementary Requirements in Assessing "Forest certification in China --- Forest management"(August 14, 2013 ) listed as additional CFCS requirements; requires compliance with all relevant Conventions Amendment made: *Officially China does not have any groups of indigenous people. It has minority groups
8, 3 <sup>rd</sup> para., 2 <sup>nd</sup> dot pt			Should a reference be made to <b>Section 9</b> for this issue?	Supplementary Requirements in Assessing "Forest certification in China ---chain of custody (August 14, 2013)
8, 4 <sup>th</sup> para., i			If the minority groups are treated as equivalent to the majority of the populace, it would be OK	Chinese legislation gives specific rights to minority groups No change
8 / 45	Cz	Conclusion 35: CFCS standard for chain of custody together with "Supplementary Requirements When Assessing "Forest certification in China –Chain of custody" verification conform to PEFC requirements	The threshold of CPI (high risk if below 5) is neither given in the CFCS standard for coc nor in the supplementary requirements when assessing coc. I also could not identify any wording which is equivalent to this threshold. How can the coc standard of CFCS conform with this gap? If there is no gap and I understood something wrong then this fact needs to be explained in more detail.	The CFCS CoC standard does not directly refer to corruption index defined by Transparency International. Supplementary Requirements in Assessing "Forest certification in China ---chain of custody (August 14, 2013) specify the corruption risk assessment methods in CFCS.They are based on availability of certificates, VPA license or other verificatin and licensing mechanisms. Requirements oblige also to look information from relevant internet sites. These measures provide tools comparable to CPI to assess the risk level .  Change in content of Supplementary Requirements p. 46: 3 <sup>rd</sup> dot specific risk assessment criteria comparable to the requirements of PEFC 2002:2010 standard
9, 2 <sup>nd</sup> para.,			This doesn't seem complete – is it the 'log user	Changed to: Logo user has the legal liability

Report chapter / page	PoE member	Consultant's report statement	PoE member comment	Consultant's response
			<b>Specific content related comments</b>	
1 <sup>st</sup> dot pt, last sentence			will be held legally liable for any breaches'?	according to relevant laws and regulations in case of any abuse of CFCC Logo and/or PEFC Logo use
9, 2 <sup>nd</sup> para., 3 <sup>rd</sup> dot pt,			The 1 <sup>st</sup> dot point indicate they will be if CFCS is endorsed by PEFC, so is it '... are not currently ...' and an addition that will be included in CFCS if the CFCS is endorsed	
10, 3 <sup>rd</sup> para. 2 <sup>nd</sup> sentence			Isn't it ISO 17011:2004 Conformity assessment -- General requirements for accreditation bodies accrediting conformity assessment bodies as ISO 17021 is for the certification bodies?	Corrected as recommended
10, 5 <sup>th</sup> para. 3 <sup>rd</sup> sentence			What period is the two years – from when to when?	The exact testing period is not informed by CNCA. Exact dates is not essential information for the assessment No change
10, 21, PEFC Requirements			The CFCS doesn't use a 'scheme' specific CoC standard – it uses the PEFC ST for CoC.	
10, 26 & 27 CFCS Requirements			What is the * for as there is no text or footnote linked to it? Where does the star of "obstacles*" refer to, what does it mean?	* removed
10, 1 <sup>st</sup> para., 3 <sup>rd</sup> sentence under 'Accreditation procedures' table			Rather than 'engage', isn't it 'provide opportunity' as CFCC doesn't engage a certification body to undertake the certification!	Corrected as recommended
10 / 50-51	Cz	CFCS terms for termination of notification and contract conditions allowing immediate termination are very general and allow different forms of interpretation without defining the specific terms defining conditions for immediate termination of notification contract. CFCC should disclose the details in	Why does Conclusion 39 state "conform" after such an evaluation which recommends the disclosure of details? This fact is not stated in the summary of the finding in the beginning of the report.  Is this a condition for the endorsement? As it	Consultant concluded that notification rules require non-discrimination of certification bodies. The model contract does not include all the information a certification body wants to agree on in order to assure fair contract terms, but contract details may be developed after the scheme endorsement as long as they are in

Report chapter / page	PoE member	Consultant's report statement	PoE member comment	Consultant's response
			<b>Specific content related comments</b>	
		<u>order to assure fair, transparent and equal terms for all certification bodies interested in applying for accreditation to CFCS certification.</u>	comes through as the consultant's recommendation with the use of 'should'!	line with the CFCS requirement on non-discrimination. Consultant wanted to communicate to CFCC the concerns issued on the current contract terms and give a <u>recommendation</u> that they are taken into consideration when notification contract are signed with other certification bodies.  Note the word should is conditional as defined by PEFCC. Standard text setting obligatory requirements shall use the expression „shall“- The same principle applies in the assessment report.
12.1.9 / 55	Cz	The remark was raised as a comment for the Board, with the recommendation that CFCC specifies the terms and conditions for the termination of notification of certification bodies and determination of notification fees.	I could not find such a recommendation in chapter 2 (Recommendation to the Board). And why is it only a recommendation and not a minor non-conformity?	See above
See above 10, 2 <sup>nd</sup> para., 2 <sup>nd</sup> sentence under 'Accreditation procedures' table			Don't believe its CFCS, wasn't it the CFCC?	Corrected as recommended
11			Arbitration and dispute resolution seem to be used interchangeably in this section (and in places in the report) – is this correct?	Yes the both terms are interchangeable No change
11, 2 <sup>nd</sup> para			For 'implementation, is it the scheme (CFCS) implementation?	Changed to CFCS
11, 4 <sup>th</sup> para.			There are 3 groups but only 5 members – there is no equal representation of the stakeholder groups; is there an independent chair?	Corrected in line with Annex IV: Three members are appointed by CFCC

Report chapter / page	PoE member	Consultant's report statement	PoE member comment	Consultant's response
			<b>Specific content related comments</b>	
12.1			Where applicable, the statement "Indufor concludes that" should be included in the comment or recommendation from the consultant	Indufor conclusion is presented after description of the comment
12.1, 4., 2 <sup>nd</sup> para			Where 'Codes' have been used, isn't it 'Conventions'?	Corrected as recommended
12.1.4 / 55	Cz	Minor non-conformity is raised on insufficiently demonstrated compliance with ILO Code 29.	Who raises this minor non-conformity? Is this the result of the evaluation? If yes, why is this minor non-conformity not stated anywhere else in the report (chapter 2 Recommendation, chapter 3 summary of findings; respective chapters in the report)?	Non conformity removed and explained by Supplementary Requirements in Assessing "Forest certification in China – Forest certification (August 14, 2013) require compliance with all relevant ILO Conventions covering also the ILO Convention 29.
Appendix 2	Cz	Introduction to stakeholder questionnaire	It would be easier to read and to understand what this is about if the English version would be on top followed the Chinese version.	The questionnaire was used in Chinese and translated only for informative purpose into English. No change
Appendix 1 / 1	Cz	Table of contents: ERROR! BOOKMARK NOT DEFINED	Error in table of contents	Deleted
	ME		For the Checklist, all of Indufor's comments should be in normal text ie not in italics. Leave the italics for the documents in the CFCS	Italics is currently used to emphasize the conclusion. This editorial recommendation will be taken into consideration along with other potential recommendations from PEFCC.  No change at this point
Annex 1 to Appendix 1	Cz	For detailed comparison of the requirements of ungratified fundamental ILO Conventions and Chinese labour legislation see Annex 3 to Appendix 1.	Annex 3 is not part of the Appendix (it is not annexed)	<b>Will be corrected</b>
Annex 1 to Appendix 1	ME		Is the text in italics an Indufor comment?	Added CFCC: to specify that text originates from CFCC
Appendix 1 / Minimum	Cz	All parts	In case of any adaptation of the report, the results in the checklist need to be adapted	<b>CHECK</b>

Report chapter / page	PoE member	Consultant's report statement	PoE member comment	Consultant's response
			<b>Specific content related comments</b>	
requirement Checklist			accordingly.	
Checklist			Can the consultant make sure that the formatting in each cell of the 'Reference to application documents' is correct i.e. a space after the document heading and a space after the Indufor comment (before the Indufor assessment of conformity) and make sure the correct order is maintained – document, relevant sections for conformity, Indufor comment and Indufor assessment	No change
			Each relevant section of a document which has been relied on for conformity should be on its own line so as to avoid any doubt as to the number and the issue/value covered	CHECK
			Make sure the relevant document is quoted at the start of the cell under 'Reference to application documents' – there are many without this reference	CHECK
			'infra'; 'BD'; 'mngmnt' – need to be in full not in shortened form	Corrected
Checklist, Part III, 5.6.11			What is meant by '... but not ILO the other ILO C161 and C187 and C197 ...'?	Corrected to but not ILO C161 and C187 and C197 that address also safety and health
Appendix 3	ME		Are these direct quotes from the submissions from the 2 organisations? If so, please place quotation marks around the relevant text There are some spelling and format mistakes – not sure if they are in the submission or in transcribing from the submission.	The answers were given in Chinese so these answers are direct translations from the answers.





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Appendix 5

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**Field Visit Discussions**



Interviews Conducted in Field Visit

Field visit agenda 4.3.-9.3.2013

Date	Time	Persons	Organisation	Issues
4.3.	pm	Mr Wang Wei Mr Lu Wenming	CCFC chairman Professor CAF	General discussion on the scheme and in field visit
5.3.	am	Ms. Yu Fengqin	Greenlines Ecological Culture Dissemination Center	Standard setting Standard Issues in forest ecology
	am	Mr. Benson Yu	Director of PEFC China initiative	Standard development process, raised comments
	pm	Mr. Wang Wei Mr. Lu Wenming Mr. Benson Yu Ms Yu Len Ms. Chen Li Ms. Yu Baisong Ms. Wong Wei Mr. Liong Xiao Qiong	CCFC chairman Professor CAF Director of PEFC China General Secretary CCFC Assistant CCFC Assistant CCFC Assistant CCFC Assistant CCFC	Background to forestry in China  Preliminary findings and non-conformities
6.3.	am	Mr Tang Xiaoping	Vice president, professor, Academy of Forest Inventory Planning, Wetland and Wildlife Monitor Center, State Forestry Administration (SFA)	Forest management planning, zoning, plantation forestry
	am	Mr. Wang Hongchun	Regulation development AFIP, SFA	Plantation forestry, Regulation structure GMOs
	am	Mr. Zhang Songdan	Deputy Director, Senior Forester, Ph.D. Office of Forest Resources Supervision, SFA	Scheme development Standard requirements Legal requirements Enforcement system
	am	Mr. Zhou Jinfeng	Division Director Dept. of Policy and Legislation, SFA	Formal standard approval, Enforcement
	am	Mr. Wang Jinxin	Certification body Beijing Zhonglin Thiane Forest Co,	Certification and accreditation status Regional and habitat



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Date	Time	Persons	Organisation	Issues
			LTD.	adaptation of standard
	pm	Ms. Jiang Nan	xx National tradeunion, Division of Agriculture, Forestry and Water	Workers' rights
	pm	Mr. Liu Lixin	Director China National Accreditation Service for Conformity Assessment, Accreditation Department 1	Accreditation requirements, certification bodies
7.3	am	Ms. Cheng Xiaoqian	EFI FLEGT Support (ex The Nature Conservancy TNC)	Standard setting Standard requirements, biodiversity Plantation forestry
	am	Mr. Chen Mingshan	CAF Trade union representative	Standard setting Labour issues Customary rights
	am	Mr. Zao Jie	Associate professor CAF Environment	Standard requirements biodiversity Environmental protection in practice Chemical use
	am	Mr. Zheng Xiaoxian	Professor Forest management, Beijing University	Standard setting Standard requirements – timber and NWFP production, labour issues
8.3	am	Mr. Meng Xiangbin	Heilongjiang Provincial General Forest Bureau	Standard development Implementation standard requirements in practice
		Mr. Zhao Dongning	Jilin Wangqing Forest Bureau	Certification arrangements
		Mr. Xie Keqin	Heilongjiang Xinqing Forest Bureau	
	am	Mr. Zhang Peixin	Zhejiang Anji Bamboo Association, Secretary General	Standard setting Specific requirements in bamboo production
	am	Mr. Ning Guobin	Heilongjiang Youhao Fiberboard Company, General manager	Standard setting Industry's role in certification
	am	Mr. Huang Jianpin	Wuxi Hualiang Wood Products Trading Co. Ltd General manager	Chain of custody Supply chain



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